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Business, Consumer Services and Housing Agency
Department of Consumer Affairs
Gavin Newsom, Governor

Legislation and Regulation Committee Report

Jessica Crowley, Licensee Member, Chair
Jose De La Paz, Public Member, Vice Chair
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Maria Serpa, Licensee Member
Nicole Thibeau, Licensee Member

a. Discussion and Consideration of Pending Legislation Impacting the Practice of Pharmacy, the Board's Jurisdiction, or Board Operations

Provided below are several measures for the Committee's consideration. A brief summary of each measure is provided along with staff comments and recommendations. A link to each measure and committee bill analysis is also provided. During the meeting members will have the opportunity to discuss each measure and determine if the Board should establish a position on any of the measures. April 28, 2023, is the last day for policy committees to consider measures with a fiscal impact. May 5, 2023, is the last day for policy committees to consider measures without a fiscal impact.

1. Assembly Bill 317 (Weber) Pharmacist Service Coverage
   Version: As Introduced January 26, 2023
   Status: Referred to Assembly Appropriations
   Committee Analysis: Assembly Health Committee
   Summary: Would require a health care service plan and specified disability insurers that offer coverage for a service that is within the scope of practice of a pharmacist to pay or reimburse the cost of services performed by a pharmacy at an in-network or out-of-network pharmacy as specified.
   Recommended Position: Support
   Comments: The Board's Licensing Committee has received public comment from pharmacists detailing barriers to patient care stemming from a lack of reimbursement. The measure is sponsored by the California Pharmacy Association.
   Support: California Pharmacists Association & National Community Pharmacists Association
   Opposition: None on file
   Fiscal Impact: Undetermined

2. Assembly Bill 602 (Pellerin) California State Board of Pharmacy: Emergency Refills: Report
   Version: As Introduced February 9, 2023
   Status: Assembly Business and Professions Committee hearing April 18, 2023
   Committee Analysis: None

Summary: Would require the Board to report to the Legislature on or before February 28, 2025, the total number of times a pharmacist refilled a prescription for a dangerous drug without a prescriber's authorization. Further, would require the Board to report the total number of complaints the Board receives alleging that a pharmacist failed to refill a prescription because the prescriber was unavailable and would require the Board to make a reasonable effort to determine how many of these complaints resulted from pharmacist's failure to refill a prescription due to a lack of understanding of the authority vested in pharmacists to refill the prescription
Recommended Position: Watch
Comments: The Board will need to determine if pharmacy systems have a means by which to collect the number of refills dispensed without authorization by a prescriber pursuant to the authority in BPC 4064. It is unclear how the Board will obtain this information unless the measure is amended to require mandatory collecting and reporting of this information from a pharmacy. Further, the Board will need to develop a system for tracking complaints specified in the measure to complete the required report to the Legislature.
Fiscal Impact: The Board anticipates the need to collect data and write the report. This could require limited term staff.

3. Assembly Bill 663 (Haney) Pharmacy: Mobile Units
Version: As Amended April 12, 2023
Status: Referred to Assembly Appropriations Committee
Committee Analysis: Assembly Business and Professions
Summary: Would allow a mobile unit deployed as an extension of a county owned pharmacy, to carry controlled substances approved by the FDA for the treatment of opioid use disorder under specified conditions.
Recommended Position: Support
Comments: The measure appears to be a follow-up to last year's provisions allowing for the use of mobile units as an extension of a county owned pharmacy. Under current provisions of the law, such units are prohibited from carrying controlled substances.
Support: City and County of San Francisco (Sponsor)
Attorney Rob Bonta
California Pharmacists Association
County Behavioral Health Directors Association
County health Executives Association of California
Steinberg Institute
Opposition: None on file
Fiscal Impact: The Board anticipates any fiscal impact would be minor and absorbable and associated with educational activities including updating the Board's FAQs.

4. Assembly Bill 913 (Petrie-Norris) Pharmacy Benefit Managers
Version: As Amended March 16, 2023
Status: Assembly Business and Professions Committee Hearing, April 18, 2023
Committee Analysis: None

Summary: Would require the Board to license and regulate pharmacy benefits managers as specified. Would require the Board to promulgate necessary regulations and prepare a report to the Legislature on or before August 1, 2025, and annually thereafter.
Recommend Position: Support
Comments: This measure is sponsored by the California Pharmacists Association. Efforts to implement of this measure could be a significant undertaking but has the potential to significantly improve current patient care challenges. Under the provisions of the measure, Board staff believe there are significant opportunities to improve patient care challenges that exist through PBM business practices such as white bagging, changing of formularies, drug coverage issues and delays in therapy. This measure will also address inequities that currently exist in pharmacy reimbursement models.

Staff suggests that amendment be offered to require annual renewal of the license.

Fiscal Impact: Staff believes additional staff will be necessary to implement the provisions. Staffing could include a CEA to develop policy and regulation, financial auditor, software specialist. Staff believe there will also be an increase in the number of complaints received that will require investigation. The Board believes costs would be offset through application and renewal fees.

5. Assembly Bill 1060 (Ortega) Health Care Coverage: Naloxone Hydrochloride
Version: As Amended March 16, 2023
Status: Assembly Health Committee Hearing April 25, 2023
Committee Analysis: None
Summary: Would make legislative findings regarding the naloxone hydrochloride as a medicine that can counter overdose effects when administered timely to reduce opioid overdose deaths. Would prohibit health care service plans, health insurance plans and Medi-Cal from imposing a cost-sharing requirement, including a copayment or deductible, for coverage provided and shall require the plan to cover the costs of prescription or nonprescription naloxone hydrochloride.
Recommended Position: Support
Comments: The Board has a long and consistent history of supporting measures that increase availability of naloxone.
Fiscal Impact: **I**mpact should be minor and absorbable.

6. Assembly Bill 1286 (Haney) Pharmacy
Version: As Introduced February 16, 2023
Status: Assembly Business and Professions Hearing, April 18, 2023
Committee Analysis: None
Summary: This measure is the Board's patient safety measure.
Board Position: Board Sponsored

Comments: California Pharmacists Association has advised the Board it has established a Support if Amended position. The California Community Pharmacy Coalition, a project of the California Retailers Association, is opposed to the measure.
Fiscal Impact: Impact should be minor and absorbable. Activities will include development of a self-assessment for surgical clinics.

7. Assembly Bill 1341 (Berman) Public Health: COVID-19 Testing and Dispensing Sites: Oral Therapeutics
Version: As Amended March 29, 2023
Status: Referred to Assembly Appropriations Committee
Committee Analysis: Assembly Business and Professions
Summary: Establishes temporary authority, for a pharmacist to furnish COVID-19 therapeutics until January 1, 2025, under specified conditions.
Recommended Position: Support, if amended
Comments: This measure includes an urgency provision and will take effect upon signature of the governor. Staff suggested recommending amendment to remove the temporary nature of the provisions. Pharmacists have been safely providing COVID-19 therapeutics throughout the public health emergency. Permanent authority appears appropriate.
Support: California Community Pharmacy Coalition & County Health Executives Association of California
Opposition: None on file
Fiscal Impact: Impact should be minor and absorbable.

8. Assembly Bill 1557 (Flora) Pharmacy: Electronic Prescriptions
Version: As Amended April 12, 2023
Status: Referred to Assembly Appropriations Committee
Committee Analysis: Assembly Business and Professions Committee
Summary: Would make permanent authority for a California licensed pharmacist to perform medication chart order reviews from a remote location within California under specified conditions. As amended, the measure also includes an urgency provision.
Board Position: Board Sponsored
Comments: This measure enjoys support from the following:
    - California Hospital Association
    - California Medical Association
    - California Pharmacists Association
    - Cedars Sinai
    - Kaiser Permanente
    - Sonoma Valley Hospital
    - Sutter Health
    - Tenet Healthcare Corporation

    There is no registered opposition.
Fiscal Impact: Minor and absorbable.

9. Assembly Bill 1619 (Dixon) Pharmacists: Drug Disclosures: Cannabis or

Cannabidiol Interactions
Version: As Amended March 23, 2023
Status: Hearing canceled at the request of the author
Committee Analysis: None
Summary: Would require a pharmacist that dispenses a prescription drug to include a warning label if its use has major or moderate interaction with either edible or inhaled cannabis or CBD products. Would require a pharmacy to develop the labeling guideline.
Recommended Position: Oppose Unless Amended
Comments: Staff has been advised this has become a two-year bill.
Fiscal Impact: Unknown at this time.

10. Senate Bill 339 (Weiner) HIV Preexposure Prophylaxis and Postexposure Prophylaxis
Version: As Amended March 14, 2023
Status: This measure passed out of Senate Business, Professions and Economic Development on April 10, 2023, and was referred to Assembly Health Committee.
Committee Analysis: Senate Business, Professions and Economic Development
Summary: Would authorize a pharmacist to furnish up to a 90-day course of PrEP or beyond, under specified conditions. Would require the Board to adopt emergency regulations by July 1, 2024. Further, would require health plans and health insurers to cover PrEP and PEP including medications furnished and tests ordered by pharmacists as specified.
Recommended Position: Support
Comments: The bill addresses some of the challenges discussed during the Licensing Committee's recent post-implementation discussion on pharmacist-provided PrEP and PEP. Further, it updates the law to allow for flexibility in treatment by removing the specified type of PrEP authorized to be furnished. Further, it provides a means by which a pharmacist can continue to provide care beyond the 90-days under specified conditions, including that a patient receives testing and follow-up care consistent with the CDC guidelines.
Support: California Pharmacists Association (Co-sponsor)
- Equity California (Co-sponsor)
- San Francisco AIDS Foundation (Co-sponsor)
- ACLU California Action
- Biocom California
- California Community Pharmacy Coalition
- California Life Sciences
- City and County of San Francisco
- City of West Hollywood
- County Health Executives Association of California
- Desert Aids Project
- End the Epidemic: Californians Mobilizing to End HIV, Viral Hepatitis, STIS and Overdose
- Instituto Familiar De La Raza
- National Association of Social Workers, California Chapter
- Radiant Health Centers

- San Francisco Community Health Center
- San Francisco Department of Public Health
- Somos Familia Valle

Opposition: American College of Obstetrician and Gynecologists District IX and California Medical Association
Fiscal Impact: The Board anticipates a fiscal impact not to exceed approximately $50,000/year for two years to perform functions related to this measure including regulation work (emergency and permanent) and updates to the Board's training program.

11. Senate Bill 345 (Skinner) Health Care Services: Legally Protected Health Care Services
Version: As Amended April 10, 2023
Status: Senate Public Safety Committee hearing, April 18, 2023
Committee Analysis: None
Summary: Would prohibit a board from suspending, revoking, or denying a license of a person based solely because the licensee provided legally protected activity as defined. Legally protected activities include the exercise of rights related to reproductive health care services or gender-affirming health care services.
Recommended Position: Neutral
Comments: The measure would prohibit the Board from disciplining a licensee solely for performing reproductive health care services that are within their scope. The Board would retain the ability to take action however is the services were provided in a negligent matter, incompetently or with gross negligence.
Fiscal Impact: The Board estimates implementation costs of no more than $10,000/annually.

12. Senate Bill 427 (Portantino) Health care coverage: Antiretroviral Drugs, Devices, and Products
Version: As Amended March 21, 2023
Status: Senate Health Committee Hearing April 26, 2023
Committee Analysis: None on file
Summary: Would prohibit prior authorization or step therapy for medications approved for the prevention of AIDS/HIV under specified conditions. The measure would allow for prior authorization or step therapy if at least one therapeutically equivalent version is covered without prior authorization or step therapy.
Recommended Position: Support, if Amended
Comments: The measure appears to remove a barrier to care; however, staff notes that it is possible that formulary issues could result in out-of-pocket costs to patients for therapeutics not on the formulary but could be preferred by the patient and/or prescriber. Staff suggests that it may be appropriate to require plans to offer more than one therapeutic under the provisions to meet the policy goal of the measure.
Fiscal Impact: Minor and absorbable

13. Senate Bill 524 (Caballero) Pharmacists: Testing and Treatment
Version: As Amended April 10, 2023
Status: Senate Business, Professions and Economic Development hearing April 17, 2023
Committee Analysis: None on file
Summary: As amended, would establish authority for a pharmacist, until January 1, 2034, furnish specified medications based upon test results received for specified illness, conditions, or diseases. Specified illnesses include SARS-CoV-2, Influenza, Streptococcal pharyngitis, sexually transmitted infection, and conjunctivitis. Would require the Board to develop standardized procedures and protocols with the Medical Board of California. Would require a pharmacy or health care facility in which a pharmacist is providing such treatment to provide an area designated to maintain privacy and confidentiality. Would require documentation to the extent possible, of the testing services provided in a record system maintained by the pharmacy. The measure would specify the provisions established are covered under Medi-Cal.
Recommended Position: None
Comments: Given challenges with staffing at some pharmacies, adding these additional services without sufficient staff, could further aggravate working conditions. As the Board has learned through the standard of care meetings, some pharmacies use policies and procedures to define the practice not just the process to be used. It may be appropriate to also recommend that amendments be incorporated to specify that the pharmacist must use professional judgement when determining what medication to furnish. Staff notes that some of these concerns would be addressed if Assembly Bill 1286 is enacted. The Board should consider offering amendments to specify that records must be maintained consistent with the provisions in BPC 4081 and 4105.
Support: California Community Pharmacy Coalition
Fiscal Impact: As amended, it is anticipated the Board will require a two-year limited term .5 manager specialist to complete the workload necessary to implement the provisions.

14. Senate Bill 544 (Laird) Bagley-Keene Open Meetings Act: Teleconferencing
Version: As Amended March 20, 2023
Status: Senate Judiciary Committee Hearing Hearing, April 25, 2023
Committee Analysis: Senate Governmental Organization
Summary: Would create permanent authority for remote Board Meetings underspecified conditions.
Recommended Position: Support
Comments: Although the measure would allow for all meetings to be convened remotely, it may be appropriate for the Board to consider a meeting calendar that established at least one meeting annually that is conducted in-person.
Support: California Commission on Aging and Little Hoover Commission
Opposition: None on file
Fiscal Impact: The Board anticipates a cost savings of approximately $35,000/annually.

15. Senate Bill 826 (Rubio) Crimes: Criminal History Information: Subsequent Arrest
Version: As Amended March 21, 2023
Status: Referred to Senate Public Safety Committee
Committee Analysis: None on File
Summary: Would establish a process for the Board to receive subsequent arrest notifications from the FBI.
Recommended Position: Support
Comments: Access to subsequent arrest notification at the federal level is consistent with the Board's consumer protection mandate. As inequities exist in the criminal justice system, staff will perform an investigation into the matter to determine if action is necessary.
Fiscal Impact: The Board could experience an increase in the number of subsequent arrest notifications received through the FBI resulting in an increase in investigations. It is difficult to anticipate the increase in workload as the Board does not currently receive this information.

16. Senate Bill 873 (Bradford) Prescription Drugs: Cost Sharing
Version: As Introduced February 17, 2023
Status: Senate Health Committee Hearing April 19, 2023
Committee Analysis: None
Summary: Would require the cost sharing savings of a prescription drug, based on rebates received, to be calculated at the point of sale as specified, by requiring the health care service plan or insurer to provide the information to the dispensing pharmacy.
Recommended Position: Support
Comments: The policy of the measure is intended to ensure patients receive the benefits of drug rebates.
Fiscal Impact: The Board anticipates any fiscal impact would be minor and absorbable.

b. Discussion and Consideration of Board Approved Regulations Undergoing Pre-Notice Review by the Department of Consumer Affairs or Business, Consumer Services and Housing Agency

Attachment 1

1. Proposed Regulation to Add Title 16 CCR Section 1706.6 Related to Military Temporary Licensure

Summary of Regulation: This proposal adds to the board's regulations requirements specific to the eligibility and issuance of a temporary license to a military spouse.

Status: Submitted for pre-review on November 18, 2022.

2. Proposed Regulation to Amend Title 16 CCR Section 1709.1 Related to the Designation of Pharmacist-in-Charge

Summary of Regulation: This proposal amends the board's regulations regarding the designation of a pharmacist-in-charge and required training.

Status: Submitted for pre-review on November 20, 2022.

3. Proposed Regulation to Add Title 16 CCR Section 1750 Related to Outsourcing Facilities

   Summary of Regulation: This proposal adds to the board's regulations regarding the licensure requirements for Outsourcing facilities.

   Status: Submitted for pre-review on February 6, 2023.

4. Proposed Regulation to Amend Title 16 CCR Section 1746.3 Related to Opioid Antagonist

   Summary of Regulation: This proposal amends the board's regulations regarding the furnishing of opioid antagonists by pharmacists.

   Status: Submitted for pre-review on March 1, 2023.

c. Discussion and Consideration of Board Approved Regulations – Board Staff Reviewing Comments Provided by the Department of Consumer Affairs or Business, Consumer Services and Housing Agency

Attachment 2

1. Proposed Regulation to Amend Title 16 CCR Section 1760 Related to the Disciplinary Guidelines

   Summary of Regulation: This proposal amends the board's regulations regarding the Board disciplinary guidelines.

   Status: Returned to Board Staff on December 5, 2022.

d. Discussion and Consideration of Board Approved Regulations – Board Staff Drafting Rulemaking Documents

Attachment 3

The full timelines for each of the regulation are included in **Attachment 3**.

1. Proposed Regulation to Amend Title 16 CCR Section 1732.5 and Add Section 1732.8 Related to Continuing Education

Summary of Regulation: This proposal amends the board's regulations regarding continuing education requirements.

Status: Approved by the Board on February 7, 2023.

2. Proposed Regulation to Amend Title 16 CCR Section 1708.2 Related to Discontinuance of Business

   Summary of Regulation: This proposal amends the board's regulations regarding facility discontinuance of business.

   Status: Approved by the Board on February 7, 2023.

3. Proposed Regulation to Add Title 16 CCR Section 1746.6 Related to Medication Assisted Treatment Protocol

   Summary of Regulation: This proposal adds to the board's regulations regarding medication assisted treatment.

   Status: Approved by the Board on February 7, 2023.

4. Proposed Regulation to Amend Title 16 CCR Section 1711 Related to Quality Assurance

   Summary of Regulation: This proposal amends the board's regulations regarding quality assurance programs.

   Status: Approved by the Board on February 7, 2023.

e. Discussion and Consideration of Board Authorized Section 100 – Board Staff Drafting Section 100 Documents

Attachment 4

The full timelines for each of the regulation are included in **Attachment 4**.

1. Proposed Regulation to Amend Title 16 CCR Sections 1715 and 1784 Related to the Community Pharmacy, Hospital Pharmacy, and Dangerous Drug Distributor Self-Assessment Forms

   Summary of Regulation: This proposal amends the board's regulations regarding the self-assessment forms for a community pharmacy, hospital pharmacy, and dangerous drug distributors.

   Status: Approved by the Board on February 7, 2023.

Attachment 1

Regulation Timeline

XVI(b). Discussion and Consideration of Board Approved Regulations Undergoing Pre-Notice Review by the Department of Consumer Affairs or the Business, Consumer Services and Housing Agency

1. Proposed Regulation to Add Title 16, CCR Section 1706.6, Related to Military Temporary Licensure

   Timeline:
   Approved by Board: October 27, 2022
   Submitted to DCA for Pre-Notice Review: November 18, 2022

2. Proposed Regulation to Amend Title 16, CCR Section 1709.1, Related to the Designation of Pharmacist-in-Charge

   Timeline:
   Approved by Board: January 28, 2022
   Submitted to DCA for Pre-Notice Review: May 20, 2022 (To be Noticed for Public Comment on April 14, 2023)

3. Proposed Regulation to Amend Title 16, CCR Section 1750 and 1750.1, Related to the Outsourcing Facilities

   Timeline:
   Approved by Board: October 26, 2022
   Submitted to DCA for Pre-Notice Review: February 6, 2023

4. Proposed Regulation to Amend Title 16, CCR Section 1746.3 Related to Opioid Antagonist

   Timeline:
   Approved by Board: February 7, 2023
   Submitted to DCA for Pre-Notice Review: March 1, 2023

Military Temporary Licensure 16 CCR § 1706.6

Title 16. Board of Pharmacy
Proposed Text

Add section 1706.6 to Article 1 of Division 17 of Title 16 of the California Code of Regulations to read as follows:

§ 1706.6. Temporary Licenses for Military Spouses/Domestic Partners

(a) Definitions: For the purposes of this section, the following definitions shall apply:

(1) "Disciplined" means that the applicant's license was placed on probation, revoked, suspended, reproved, censured, reprimanded, restricted, limited, or conditioned.

(2) "Jurisdiction" shall mean a California or another state's licensing board or agency, any agency of the federal government, or another territory of the United States.

(3) "Disciplinary proceeding" shall mean any proceeding or investigation under the authority of the licensing jurisdiction pursuant to which a licensee may be disciplined.

(4) "Good standing" shall mean that the applicant has not been disciplined, is not the subject of an unresolved complaint or review procedure and is not the subject of any unresolved disciplinary proceeding.

(5) "Original licensing jurisdiction" shall mean the entity that issued a license to the applicant authorizing the applicant to practice within the same scope for which the applicant seeks a temporary license from the Board.

(b) An applicant for a temporary pharmacist, advanced practice pharmacist, pharmacy technician, designated representative, designated representative-reverse distributor, designated representative-3PL or a designated paramedic license pursuant to section 115.6 of the Business and Professions Code ("Code") shall submit a completed application to the Board and meet all of the requirements of this section and section 115.6 of the Code to be eligible for a temporary license. A completed application shall provide the following information:

(1) The applicant's identifying and contact information:

(A) Applicant's full legal name ((Last Name) (First Name) (Middle Name) and/or (Suffix)),

(B) Other name(s) applicant has used or has been known by,

(C) Applicant's address of record (The address of record may be a post office box number or other alternate address.),

(D) Applicant's physical address, if different than the applicant's address of record,

(E) Applicant's email address,

(F) Applicant's telephone number,

(G) Applicant's Social Security Number or Individual Taxpayer Identification Number, and,

(H) Applicant's birthdate (month, day, and year).

(2) The applicant shall indicate that the applicant is married to, or in a domestic partnership or other legal union with, an active-duty member of the Armed Forces of the United States who is assigned to a duty station in California under official active-duty military orders and shall provide the following documentation with the application:

(A) Certificate of marriage or certified declaration/registration of domestic partnership filed with the California Secretary of State or other documentary evidence of legal union with an active-duty member of the Armed Forces, and,

(B) A copy of the military orders establishing their spouse or partner's duty station in California.

(3) The applicant shall disclose whether the applicant holds a current, active, and unrestricted license of the same type of license that the applicant is applying for, or comparable authority to practice in another state, district, or territory of the United States and provide written verification from the applicant's original licensing jurisdiction that the applicant's license or other comparable authority ("license") is in good standing in that jurisdiction. The verification shall include all of the following:

(A) the full legal name of the applicant and any other name(s) the applicant has used or has been known by,

(B) the license type and number issued to the applicant by the original licensing jurisdiction, and relevant law(s) and regulation(s) under which the license was issued,

(C) the name and location of the licensing agency,

(D) the issuance and expiration date of the license, and,

(E) information showing that the applicant's license is currently in good standing.

(4) The applicant shall disclose whether the applicant has committed an act in any jurisdiction that would have constituted grounds for denial, suspension, or revocation of the license pursuant to Sections 141, 480, or 490 of the Code, or Sections 4300, 4301, 4311 of the Code, or section 1762 of this Division. For applicants for a temporary pharmacist license, those applicants shall also disclose whether the applicant has committed an act in any jurisdiction that would have constituted grounds for denial, suspension, or revocation of the license pursuant to Sections 4305 or 4306.5 of the Code.

(5) The applicant shall disclose whether the applicant has been disciplined by a licensing entity in another jurisdiction or is the subject of an unresolved complaint, review procedure, or disciplinary proceeding conducted by a licensing entity in another jurisdiction.

(6) The applicant shall submit fingerprints for use by and accessible to the board in conducting criminal history information record checks through the California Department of Justice.

(7) For applicants for a temporary pharmacist license, the applicant has successfully completed the California Practice Standards and Jurisprudence Examination (CPJE).

(8) The applicant shall sign a statement attesting to the fact that the applicant meets all the requirements for the temporary license, and that the information submitted in the application is accurate, to the best of the applicant's knowledge.

(c) In addition to the above requirements, and prior to submission of the application specified in subsection (b), applicants for a temporary pharmacist license must successfully complete the Board's law and ethics examination designated as the California Practice Standards and Jurisprudence Examination (CPJE) for Pharmacists set forth in Section 4200 of the Code, which tests the applicant's knowledge and proficiency in state and federal laws and provisions of safe patient care, and the items set forth in Section 4200.2 and 4200.3 (d) of the Code.

(d) Upon issuance of a temporary license in accordance with Section 115.6(a) of the Code, the Board shall provide written notice to the applicant of the following:

(1) That the temporary license is nonrenewable;

(2) That the license expires 12 months after issuance, upon issuance or denial of a standard license, or upon issuance or denial of an expedited license pursuant to Section 115.5 of the Code, whichever occurs first; and,

(3) Any holder of a temporary license desiring to continue their licensure or to practice in California after expiration of their temporary license shall apply for and obtain a standard pharmacist, advanced practice pharmacist, pharmacy technician, designated representative, designated representative-reverse distributor, designated representative-3PL or a designated paramedic license, as applicable, in accordance with Sections 4200, 4202, 4210, 4053, 4053.1, 4053.2, and 4202.5 of the Code.

Authority: Sections 115.6 and 4005, Business and Professions Code.
Reference: Sections 30, 31, 115.6, 141, 480, 490, 4200, 4300, 4301, 4301.5, 4305, 4306.5, and 4311, Business and Professions Code.

Designation of Pharmacist-in-Charge 16 CCR § 1709.1

Title 16. Board of Pharmacy
Proposed Text

Proposed changes to current regulation text are indicated with ~~single strikethrough~~ for deletions and single underline for additions.

Amend Sections 1709.1 of Article 4 of Division 17 of Title 16 of the California Code of Regulations to read:

§ 1709.1. Designation of Pharmacist-In-Charge

(a) The pharmacist-in-charge of a pharmacy shall be employed at that location and shall have responsibility for the daily operation of the pharmacy. Prior to approval of Board, a proposed pharmacist-in-charge shall complete an attestation confirming their understanding of the roles and responsibilities of a pharmacist-in-charge and the legal prohibitions of a pharmacy owner to subvert the efforts of a pharmacist-in-charge. The proposed pharmacist-in-charge shall also provide proof demonstrating completion of a Board provided training course on the role of a pharmacist-in-charge.

(b) The pharmacy owner shall vest the pharmacist-in-charge with adequate authority to assure compliance with the laws governing the operation of a pharmacy.

(c) No pharmacist shall be the pharmacist-in-charge of more than two pharmacies. If a pharmacist serves as pharmacist-in-charge at two pharmacies, those pharmacies shall not be separated by a driving distance of more than 50 miles.

(d) No pharmacist shall be the pharmacist-in-charge of a pharmacy while concurrently serving as the designated representative-in-charge for a wholesaler or a veterinary food-animal drug retailer.

(e) Notwithstanding subdivision (a), a pharmacy may designate any pharmacist who is an employee, officer or administrator of the pharmacy or the entity which owns the pharmacy and who is actively involved in the management of the pharmacy on a daily basis as the pharmacist-in-charge for a period not to exceed 120 days. The pharmacy, or the entity which owns the pharmacy, shall be prepared during normal business hours to provide a representative of the board with documentation of the involvement of a pharmacist-in-charge designated pursuant to this subdivision with the pharmacy and efforts to obtain and designate a permanent pharmacist-in-charge.

(f) A pharmacist may refuse to act as a pharmacist-in-charge at a second pharmacy if the pharmacist determines, in the exercise of his or her professional judgment, that assuming responsibility for a second pharmacy would interfere with the effective performance of the pharmacist's responsibilities under the Pharmacy Law. A pharmacist who refuses to become pharmacist-in-charge at a second pharmacy shall notify the pharmacy owner in writing of his or her determination, specifying the circumstances of concern that have led to that determination.

(g) A person employing a pharmacist may not discharge, discipline, or otherwise discriminate against any pharmacist in the terms and conditions of employment for exercising or attempting to exercise in good faith the right established pursuant to this section.

Note: Authority cited: Section 4005, Business and Professions Code. Reference: Sections 4081, 4113, 4305 and 4330, Business and Professions Code.

Outsourcing Facilities
16 CCR § 1750

Title 16. Board of Pharmacy

Proposal To Add Article 6.5 and Sections 1750 and 1750.1 in Division 17 of Title 16 of the California Code of Regulations to read as follows:

Article 6.5 Outsourcing Facilities

1750 Outsourcing Facility Requirements

(a) Each outsourcing facility defined under section 4034 of the Business and Professions Code shall compound all sterile products and nonsterile products in compliance with federal current good manufacturing practices (cGMP) applicable to outsourcing facilities under section 501(a)(2)(B) of the Federal Food, Drug, and Cosmetic Act (21 USC § 351(a)(2)(B)) and shall meet the requirements of this Article.

(b) In addition to subsections (a) and (c), an outsourcing facility licensed pursuant to Business and Professions Code sections 4129.1 or 4129.2 shall comply with all applicable federal and state laws and regulations, including all of the following:

(1) Code of Federal Regulations, Title 16, Chapter II, Subchapter E, Part 1700 (commencing with section 1700.1) – Poison Prevention Packaging,

(2) Code of Federal Regulations, Title 21, Chapter I, Subchapter C, Part 210 (commencing with section 210.1) – Current Good Manufacturing Practice in Manufacturing, Processing, Packaging, or Holding of Drugs; General,

(3) Code of Federal Regulations, Title 21, Chapter I, Subchapter C, Part 211 (commencing with section 211.1) – Current Good Manufacturing Practice for Finished Pharmaceuticals,

(4) Code of Federal Regulations, Title 21, Chapter II, Parts 1301 (commencing with section 1301.01) – Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances,

(5) Code of Federal Regulations, Title 21, Chapter II, Part 1304 (commencing with section 1304.01) – Records and Reports of Registrants with the Drug Enforcement Administration,

(6) Code of Federal Regulations, Title 21, Chapter II, Part 1305 (commencing with section 1305.01) -- Orders for Schedule I and II Controlled Substances,

(7) Code of Federal Regulations, Title 21, Chapter II, Part 1306 (commencing with section 1306.01) -- Prescriptions,

(8) Code of Federal Regulations, Title 21, Chapter II, Part 1311 (commencing with section 1311.01 -- Requirements for Electronic Orders and Prescriptions,

(9) The Uniform Controlled Substances Act (Health and Safety Code, Division 10 (commencing with section 11000),
(10) Chapters 1, 4, 6 and 8 of the Sherman Food, Drug, and Cosmetics Law (Health and Safety Code, Division 104, Part 5 (commencing with Section 109875) -,
(11) United States Code, Title 21, Chapter 9, Subchapter V, Part A (commencing with section 351) – Drugs and Devices, and,
(12) United States Code, Title 21, Chapter 13, Part C (commencing with section 821) – Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances, except for sections 821, 822a, and 826a of that Part.

(c) An outsourcing facility licensed pursuant to Business and Professions Code sections 4129.1 or 4129.2 shall dispense patient-specific compounded preparations pursuant to a prescription for an individual patient in compliance with all applicable provisions of state and federal laws and regulations relating to a pharmacy as follows:
(1) Orally transmitted prescriptions are received and reduced to writing by a pharmacist consistent with the provisions of Business and Professions Code section 4070 and section 1717(c) of this Division and are issued by an appropriately licensed prescriber.
(2) Internet prescriptions are only dispensed pursuant to a prior good faith examination as required in Business and Professions Code section 4067(a) and are issued only by an appropriately licensed prescriber.
(3) Electronic prescriptions meeting the requirements of Business and Professions Code section 688 are issued only by an appropriately licensed prescriber.
(4) Controlled substances prescriptions meet the requirements of Health and Safety Code sections 11164(a), 11164.5, 11167.5, and 11162.1 and Business and Professions Code section 688.
(5) Each prescription contains all information required by Business and Professions Code sections 4040 and 4070.
(6) Each prescription label complies with the provisions of Business and Professions Code sections 4076, 4076.5, and 4076.6 and section 1707.5 of this Division.
(7) Drug warnings are provided orally or in writing consistent with the provisions of Business and Professions Code sections 4074 and 4076.7, section 1744 of this Division, and section 290.5 of Title 21 of the Code of Federal Regulations.

(8) Prescriptions are dispensed in containers meeting the requirements of section 1473(b) of Title 15 of the United States Code, section 1700.15 of Title 16 of the Code of Federal Regulations, and section 1717(a) of this Division.
(9) Patient consultation is provided consistent with the provisions of section 1707.2 of this Division.
(10) Prior to consultation as required in section 1707.2, a pharmacist shall review drug therapy and patient medication records consistent with the provisions of section 1707.3 of this Division.
(11) The facility shall maintain medication profiles consistent with the provisions of section 1707.1 of this Division.
(12) All Schedule II through V controlled substance dispensing data are reported to the CURES Prescription Drug Monitoring Program as required in Health and Safety Code section 11165.
(13) A pharmacist communicates with the patient or patient's agent if a medication error occurs consistent with the provisions of section 1711.
(14) Medication errors must be documented as part of the facility's quality assurance program consistent with the provisions of Business and Professions Code section 4125 and section 1711 of this Division.
(15) Patient information and prescriptions are kept confidential consistent with the provisions of the Confidentiality of Medical Information Act (Civil Code sections 56 and following), and section 1764 of this Division.
(16) Prescription refills must comply with Business and Professions Code section 4063, Health and Safety Code section 11200, and sections 1717 and 1717.5 of this Division.
(17) All records of disposition are maintained for at least three years consistent with Business and Professions Code sections 4081 and 4105.

(d) For the purposes of this section, "appropriately licensed prescriber" shall mean any health care professional listed in Section 4040(a)(2) of the Business and Professions Code.

Proposal to Add Section 1750.1 to Article 6.5 of Division 17 of Title 16 of the California Code of Regulations to read as follows:

1750.1 Self-Assessment of an Outsourcing Facility (Resident and Nonresident)

(a) Each outsourcing facility as defined under section 4034 of the Business and Professions Code shall complete a self-assessment of its compliance with federal and state pharmacy law. The assessment shall be performed by the outsourcing facility's designated quality control personnel, before July 1 of

every odd-numbered year. The primary purpose of the self-assessment is to promote compliance through self-examination and education, for compliance with federal current good manufacturing practices as referenced in section 1750 (cGMP) and provisions of state law related to pharmacies, Pharmacy law and this Division related to patient specific prescriptions. For the purposes of this section, "designated quality control personnel" shall mean an individual or individuals from the quality control unit as defined in section 211.22 of Title 21 of the Code of Federal Regulations ("quality control unit") identified by the outsourcing facility as the person or persons responsible for the facility's operations as detailed in the FDA Current Good Manufacturing Practice – Guidance for Human Drug Compounding Outsourcing Facilities Under Section 503B of the FD&C Act, Guidance for Industry.

(b) Each outsourcing facility shall designate a member of the quality control unit to be responsible for compliance with this section. The name and job title of the designated member must be maintained as part of the records of the outsourcing facility in accordance with Business and Professions Code section 4081.

(c) In addition to the self-assessment required in subdivision (a) of this section, the designated quality control personnel shall complete a self-assessment within 30 days whenever:
   (1) A new outsourcing facility license is issued.
   (2) There is a change in the designated quality control personnel.
   (3) There is a change in the licensed physical location of an outsourcing facility to a new address.

(d) Each outsourcing facility licensed pursuant to Business and Professions Code sections 4129.1 or 4129.2 shall complete the "Outsourcing Facility Self-Assessment," Form 17M-117 (New. 9/2022), which is hereby incorporated by reference and contains the following components:
   (1) The designated quality control personnel shall provide identifying information about the outsourcing facility including:
      (A) Name, license number of the premises, and the license expiration date;
      (B) Address, phone number, website address, if applicable, and type of ownership;
      (C) U.S. Food and Drug Administration (FDA) Federal Establishment Identification number, expiration date and date of most recent

inspection completed by the FDA pursuant to Section 360 of Title 21 of the United States Code;

(D) Federal Drug Enforcement Administration (DEA) registration number and expiration date and date of most recent DEA inventory pursuant to Title 21, Code of Federal Regulations section 1304.11; and,

(E) Hours of operation of the licensee.

(2) The designated quality control personnel shall list the name of each staff person involved in the dispensing of patient specific prescriptions at the facility at the time the self-assessment is completed, and each person's role within the facility's operations.

(3) The designated quality control personnel shall respond "yes", "no" or "not applicable" (N/A) about whether the licensed premises is, at the time of the self-assessment, in compliance with each of the requirements.

(4) For each "no" response, the designated quality control personnel shall provide a written corrective action or action plan describing the actions to be taken to come into compliance with the applicable law or regulation cited on the self-assessment form for which a "no" response was provided.

(5) The designated quality control personnel shall initial each page of the self-assessment form with original handwritten initials in ink or digitally signed in compliance with Civil Code section 1633.2(h) on the self-assessment form.

(6) The designated quality control personnel shall certify, under penalty of perjury of the laws of the State of California, on the final page of the self-assessment that:

(A) They have completed the self-assessment of the licensed premises for which they are responsible;

(B) Any deficiency identified within the self-assessment will be corrected and list the timeframe for correction;

(C) They acknowledge receiving the following notice: "All responses on this form are subject to verification by the Board of Pharmacy"; and,

(D) The information provided in the self-assessment form is true and correct.

(E) The certification, made under penalty of perjury of the laws of the State of California that the information provided in the self-

assessment form is true and correct, may be an original handwritten signature in ink or digitally signed in compliance with Civil Code section 1633.2(h) on the self-assessment form.

(7) The licensed premises owner, partner or corporate officer shall certify on the final page of the self-assessment that they have read and reviewed the completed self-assessment and have received notice that failure to correct any deficiency identified in the self-assessment could result in the revocation of the license issued by the board. The certification shall be made, under penalty of perjury of the laws of the State of California, that the information provided in the self-assessment form is true and correct with an original handwritten signature in ink or digitally signed in compliance with Civil Code section 1633.2(h) on the self-assessment form.

(e) Each self-assessment shall be completed in its entirety and kept on file in the licensed premises for three years after it is completed. The completed, initialed, and signed original must be readily available for review during any inspection in accordance with Business and Professions Code section 4081.

(f) The outsourcing facility is responsible for compliance with this article.

(g) Any identified areas of deficiency identified in the self-assessment shall be corrected as specified in the timeframe listed in the certification as provided in subsection (d)(6).

Note: Authority cited: Section 4005, Business and Professions Code. Reference: Sections 4034, 4129- 4129.9, Business and Professions Code.

California State Board of Pharmacy
2720 Gateway Oaks Drive, Ste. 100
Sacramento, CA 95833
Phone: (916) 518-3100 Fax: (916) 574-8618
www.pharmacy.ca.gov

Business, Consumer Services and Housing Agency
Department of Consumer Affairs
Gavin Newsom, Governor

Outsourcing Facility Self-Assessment

Sections 4129.1(b) and 4129.2(b) of the Business and Professions Code (BPC) and section 1750 of Title 16 of the California Code of Regulations (CCR) require any Outsourcing Facility licensed in the state of California to be compliant with federal current Good Manufacturing Practices (cGMP) and other federal laws as specified in Section 1750.**The assessment shall be performed before July 1 of every odd-numbered year by the facility's designated quality control person (as defined in CCR section 1750.1).** The designated quality control personnel must also complete a self-assessment within 30 days whenever: (1) a new outsourcing license has been issued; (2) there is a change in the designated quality control personnel; or (3) there is a change in the licensed physical location of the outsourcing facility. The primary purpose of the self-assessment is to promote compliance through self-examination and education.

This self-assessment should be completed in its entirety, may be completed online, printed, initialed, signed and readily retrievable and available for Board inspection in the pharmacy as required by BPC section 4081. Do not copy a previous assessment. This is meant as a guide for Board requirements for filling a patient specific prescription to be furnished within and into the state of California by a licensed Outsourcing Facility.

Note: The licensed Outsourcing Facility can only dispense compounded drug preparations from its licensed location pursuant to a prescription within or into the state of California. Further, Outsourcing Facilities are not licensed pharmacies and may not provide or accept transferred prescriptions from pharmacies or other outsourcing facilities.

All references to the Business and Professions Code (BPC) are to Division 2, Chapter 9. All references to the California Code of Regulations (CCR) are to Title 16.

Each self-assessment must be kept on file in the facility for three years after it is performed.

Facility Name: _____

Address: _____ Phone: _____

Ownership: Sole Owner ☐ Partnership ☐ Corporation ☐ LLC ☐ Trust ☐

Other ☐ (please specify) _____

License #: _____ Exp. Date:_____ Date of Last FDA Inspection: _____

FDA EIN #: _____ Registration Date: _____ _____ DEA Number: _____

Name(s) of Designated Quality Control Personnel Responsible for Compliance (attach additional sheets if necessary): _____

Hours: Weekdays _____ Sat_____ Sun. _____ 24 Hours _____

Website address (optional): _____

_____
Initials

Facility Staff (Please include license type and license number where appropriate): (Please use additional sheets if necessary)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____
16. _____
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19. _____
20. _____

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Initials

Please mark the appropriate box for each question. If "NO", enter an explanation on "CORRECTIVE ACTION OR ACTION PLAN" lines at the end of the section. If more space is needed, you may add additional sheets.

Section I
Prescription Specific Regulations

Duties of a pharmacist in an Outsourcing Facility filling patient specific prescriptions
1. A pharmacist:

Yes No N/A

☐ ☐ ☐ 1.1 Transmits a valid prescription to another pharmacist; (BPC 4052[a][2])
☐ ☐ ☐ 1.2 Provides consultation, training, and education to patients about drug therapy disease management and disease prevention; (BPC 4052[a][8])
☐ ☐ ☐ 1.3 Receives a new prescription order from the prescriber; (BPC 4070[a]), (CCR 1793.1[a])
☐ ☐ ☐ 1.4 Consults with the patient; (BPC 4052[a][8], CCR 1707.2, CCR 1793.1[b])
☐ ☐ ☐ 1.5 Identifies, evaluates, and interprets a prescription; (CCR 1793.1[c])
☐ ☐ ☐ 1.6 Interprets the clinical data in a patient medication record; (CCR 1793.1[d])
☐ ☐ ☐ 1.7 Consults with any prescriber, nurse, health professional or agent thereof; (1793.1[e])

CORRECTIVE ACTION OR ACTION PLAN: _____

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2. Patient Consultation

Yes No N/A

☐ ☐ ☐ 2.1 Pharmacists provide oral consultation: (BPC 4052[a][8], CCR 1707.2)
- ☐ 2.1.1 Whenever the prescription drug has not been previously dispensed to the patient;
- ☐ 2.1.2 Whenever a refill prescription drug is dispensed in a different dosage form, strength, or with new written directions;
- ☐ 2.1.3 Upon request;
- ☐ 2.1.4 Whenever the pharmacist deems it is warranted in the exercise of his or her professional judgment; and
- ☐ 2.1.5 All the above, unless a patient or patient's agent declines the consultation directly to the pharmacist.

☐ ☐ ☐ 2.2 The facility maintains patient profile information including allergies, date of birth or age, gender and other prescription and nonprescription drugs that the patient takes. (CCR 1707.1)
☐ ☐ ☐ 2.3 The pharmacist reviews a patient's drug therapy and medication record prior to consultation. (CCR 1707.3)
☐ ☐ ☐ 2.4 Consultation is performed in a manner that protects the patient's protected health care information and in an area suitable for confidential patient consultation and provided in accordance with nondisclosure obligations of Civil Code 56.10. (Civil Code 56.10, CCR 1714[a], 1764)

Yes No N/A

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Initials

☐ ☐ ☐ 2.5 Appropriate drug warnings are provided orally or in writing. (BPC 4074, CCR 1744)
☐ ☐ ☐ 2.6 If prescription medication is mailed or delivered, the facility ensures that: (CCR 1707.2[b][1])
- ☐ 2.6.1 The patient receives written notice of his or her right to request consultation (CCR 1707.2 [b][1][A]);
- ☐ 2.6.2 The patient receives written notice of the hours of availability and the telephone number from which the patient may obtain oral consultation (CCR 1707.2 [b][1][B]);
- ☐ 2.6.3 A pharmacist is available to speak with the patient or patient's agent during any regular hours of operation, within an average of ten (10) minutes or less, unless a return call is schedule to occur within one business hour, for no fewer than six days per week, and for a minimum of 40 hours per week (CCR 1707.2 [b][1][C]).

CORRECTIVE ACTION OR ACTION PLAN: _____

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3. Prescription Requirements

Yes No N/A

☐ ☐ ☐ 3.1 Prescriptions or electronic data transmission prescriptions are complete with all the required information and, if electronic, reduced to the required writing by a pharmacist. (BPC 4040, 4070)
☐ ☐ ☐ 3.2 Orally transmitted prescriptions are received and reduced to writing only by a Pharmacist. (BPC 4070[a], CCR 1717[c])
☐ ☐ ☐ 3.3 If a prescription is orally or electronically transmitted by the prescriber's agent, the pharmacist makes a reasonable attempt to verify that the prescriber's agent is authorized to do so, and the agent's name is recorded. (BPC 4071)
☐ ☐ ☐ 3.4 If orally transmitted, the pharmacist who received the prescription is identified by initialing the prescription, and if dispensed by another pharmacist, the dispensing pharmacist also initials the prescription. (CCR 1717[c], 1712)
☐ ☐ ☐ 3.5 The security, accuracy and confidentiality of electronically transmitted prescriptions are maintained. (BPC 4070[c], CCR 1717.4[h])
☐ ☐ ☐ 3.6 Facsimile prescriptions are received from a prescriber's office. (BPC 4040[c])
☐ ☐ ☐ 3.7 Internet prescriptions for patients (human or animal) in this state are only dispensed or furnished pursuant to a prior good faith examination. (BPC 4067[a])
☐ ☐ ☐ 3.8 Except for those prescriptions written under Health and Safety Code (HSC) sections 11159.2, 11159.3 and 11167.5, all written controlled substances prescriptions (Schedules II - V) are on California Security Prescription forms meeting the requirements of HSC 11162.1. (HSC 11162.1, 11164[a], 11167.5)
☐ ☐ ☐ 3.9 All controlled substance prescriptions are valid for six months and are signed and dated by the prescriber. (HSC 11164[a][1], 11166)
☐ ☐ ☐ 3.10 All controlled substance prescriptions that are e-prescribed conform to provisions of federal law. (21 CFR 1306.08, 1306.11, 1311.100)
☐ ☐ ☐ 3.11 The facility confirms compliance with the following: “No person shall dispense a controlled substance pursuant to a preprinted multiple check-off prescription blank. A person may dispense a dangerous drug that is not a controlled substance pursuant to a preprinted multiple checkoff prescription blank and may dispense more than one dangerous drug, that is not a controlled substance,

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Initials

pursuant to such a blank if the prescriber has indicated on the blank the number of dangerous drugs they have prescribed. 'Preprinted multiple checkoff prescription blank,' as used in this section means any form listing more than one dangerous drug where the intent is that a mark next to the name of a drug, i.e., a 'checkoff,' indicates a prescription order for that drug." (CCR 1717.3)

CORRECTIVE ACTION OR ACTION PLAN: _____

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4. Refill Authorization

Yes No N/A

☐ ☐ ☐ 4.1 Refill authorization from the prescriber for dangerous drugs or dangerous devices is obtained before refilling a prescription. (BPC 4063, 4064[a])

☐ ☐ ☐ 4.2 Prescriptions for dangerous drugs or devices are only filled without the prescriber's authorization if the prescriber is unavailable to authorize the refill and if, in the pharmacist's professional judgment, failure to refill the prescription might interrupt the patient's ongoing care and have a significant adverse effect on the patient's well-being. (BPC 4064)

☐ ☐ ☐ 4.3 Refills are documented. (CCR 1717)

☐ ☐ ☐ 4.4 Refills for Schedule II controlled substances are prohibited. (HSC 11200[c])

☐ ☐ ☐ 4.5 Refills for Schedule Ill and IV controlled substance prescriptions are limited to a maximum of 5 times within 6 months, and all refills taken together do not exceed a 120-day supply. (HSC 11200[a]-[b])

CORRECTIVE ACTION OR ACTION PLAN: _____

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5. Medication Errors related to a patient specific prescription

Yes No N/A

☐ ☐ ☐ 5.1 The facility has an established quality assurance program that documents medication errors attributable, in whole or in part, to the facility or its personnel. (BPC 4125, CCR 1711)

☐ ☐ ☐ 5.2 Quality assurance policies and procedures are maintained in the facility and are immediately retrievable. (CCR 1711[c])

☐ ☐ ☐ 5.3 The pharmacist communicates with the patient or patient's agent that a medication error has occurred, and the steps required to avoid injury or mitigate the error. (CCR 1711[c][2][A], 1711[c][3])

☐ ☐ ☐ 5.4 When a medication error has occurred (drug was administered to or by the patient or resulted in a clinically significant delay in therapy) the pharmacist communicates to the prescriber that a medication error has occurred. (CCR 1711[c][2][B], 1711[c][3])

☐ ☐ ☐ 5.5 Investigation of the medication errors is initiated within two business days from the date the medication error is discovered. (CCR 1711[d])

Yes No N/A

☐ ☐ ☐ 5.6 In addition to all complaint and adverse drug reaction tracking compliant with the

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Initials

CFR, the record for quality assurance review for a medication error contains: (CCR 1711[e])

☐ 5.6.1 Date, location, and participants in the quality assurance review;
☐ 5.6.2 Pertinent data and other information related to the medication error(s) reviewed;
☐ 5.6.3 Findings and determinations; and
☐ 5.6.4 Recommended changes to policy, procedure, systems, or processes, if any.

☐ ☐ ☐ 5.7 The record of the quality assurance review is immediately retrievable in the facility and is maintained in the facility for at least one year from the date it was created. (CCR 1711[f])

CORRECTIVE ACTION OR ACTION PLAN: _____

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6. Erroneous or Uncertain prescriptions

Yes No N/A

☐ ☐ ☐ 6.1 If a prescription contains any significant error, omission, irregularity, uncertainty, ambiguity or alteration, the pharmacist contacts the prescriber to obtain information needed to validate the prescription. (CCR 1761[a])

☐ ☐ ☐ 6.2 Pharmacists are aware of their corresponding responsibility to determine that a prescription written for a controlled substance was issued for legitimate medical purposes only. (HSC 11153)

☐ ☐ ☐ 6.3 Even after conferring with the prescriber, the pharmacist does not dispense a controlled substance prescription if they know or have objective reason to know that the prescription was not issued for a legitimate medical purpose. (CCR 1761[b], HSC 11153)

☐ ☐ ☐ 6.4 Internet prescriptions for controlled substances are only dispensed if in compliance with the Ryan Haight Online Pharmacy Consumer Protection Act of 2008. (21 USC 802, 829[e])

CORRECTIVE ACTION OR ACTION PLAN: _____

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7. Labeling for a patient specific prescription

Yes No N/A

☐ ☐ ☐ 7.1 In addition to the requirements for labeling listed in the CFR, the prescription label contains all the required information specified in BPC 4076. (BPC 4076)

☐ ☐ ☐ 7.2 The prescription label is formatted in accordance with patient centered labeling requirements. (CCR 1707.5)

☐ ☐ ☐ 7.3 The beyond use date of a drug's effectiveness is accurately identified on the label. (BPC 4076[a][9])

☐ ☐ ☐ 7.4 The trade name or generic name and manufacturer of the prescription drug is accurately identified on the label and prescription record and includes the statement "generic for __ " where the brand name is inserted, and the name of the

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Initials

manufacturer. In the professional judgment of the pharmacist, if the brand name is no longer widely used, the label may list only the generic name of the drug and the manufacturer's name may be listed outside the patient-centered area. (BPC 4076[a][1], CCR 1707.5[a][1][B], CCR 1717[b][2])

☐ ☐ ☐ 7.5 The federal warning label prohibiting transfer of controlled substances is on the prescription container. (21 CFR 290.5)

☐ ☐ ☐ 7.6 The label includes a physical description of the dispensed medication, including its color, shape, and any identification code that appears on the tablets or capsules. (BPC 4076[a][11])

☐ ☐ ☐ 7.7 Whenever an opioid prescription drug is dispensed to patient for outpatient use, the facility prominently displays on the label or container or by a flag or other notification to the container, a notice that states, "Caution: Opioid. Risk of overdose and addiction." (BPC 4076.7)

☐ ☐ ☐ 7.8 When requested by a patient or patient representative, the facility provides translated directions for use, printed on the prescription container, label, or on a supplemental document. If the translated directions for use appear on the prescription container or label, the English-language version of the directions for use also appears on the container or label, whenever possible, and may appear on other areas of the label outside the patient-centered area. If it is not possible for the English-language directions to appear on the container or label, the English-language directions are provided on a supplemental document. (BPC 4076.6[a])

☐ ☐ ☐ 7.9 The pharmacist includes a written label on the drug container indicating that the drug may impair a person's ability to operate a vehicle or vessel. The label may be printed on an auxiliary label affixed to the prescription container. (BPC 4074[b], BPC 4076.7, CCR 1744[a])

☐ ☐ ☐ 7.10 The pharmacist includes a written label on the drug container to alert the patient about possible potentiating effects when taken in combination with alcohol. The label may be printed on an auxiliary label affixed to the prescription container. (CCR 1744[b])

CORRECTIVE ACTION OR ACTION PLAN: _____

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8. Furnishing and Dispensing

Yes No N/A

☐ ☐ ☐ 8.1 If the prescription is filled by a pharmacy technician, before dispensing, the prescription is checked for accuracy by a licensed pharmacist and that pharmacist initials the prescription label or records by their identity as the reviewing pharmacist in a computer system by a secure means. (BPC 4115, 4115.5[b][3], CCR 1712, 1793.7[a])

Yes No N/A

☐ ☐ ☐ 8.2 Prescriptions are dispensed in a new and child-resistant container, or senior-adult ease-of-opening tested container, or in a non-complying package only pursuant to the prescriber or when requested by the purchaser. (15 USC 1473[b], 16 CFR 1700.15, CCR 1717[a])

☐ ☐ ☐ 8.3 Patient package inserts are dispensed with all estrogen medications.

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Initials

(21 CFR 310.515)

☐ ☐ ☐ 8.4 The facility provides patients with Black Box Warning Information in conformance with 21 CFR 201.57[c]. (21 CFR 201.57[c])

☐ ☐ ☐ 8.5 Medication guides are provided on required medications. (21 CFR, Part 208)

☐ ☐ ☐ 8.6 The facility furnishes dangerous drugs in compliance with BPC 4126.5 only to a patient pursuant to a prescription. (BPC 4126.5[a][5])

☐ ☐ ☐ 8.7 Controlled substance prescriptions are not filled or refilled more than six months from the date written. (HSC 11200[a])

☐ ☐ ☐ 8.8 Refills for Schedule Ill and IV controlled substance prescriptions are limited to a maximum of 5 times and in an amount, for all refills of that prescription taken together, not exceeding a 120-day supply. (HSC 11200[b])

☐ ☐ ☐ 8.9 The facility dispenses not more than a 90-day supply of a dangerous drug, excluding controlled substances, under the following provisions: (BPC 4064.5).

- ☐ 8.9.1 The prescription specifies an initial quantity of less than a 90-day supply followed by periodic refills; (BPC 4064.5[a])
- ☐ 8.9.2 The prescriber has not indicated "no change to quantity" or words of similar meaning; (BPC 4064.5[d])
- ☐ 8.9.3 The patient has completed an initial 30-day supply (this is not required where the prescription continues the same medication as previously dispensed in a 90-day supply); (BPC 4064.5[a][1], 4064.5[b])
- ☐ 8.9.4 The total quantity dispensed does not exceed the total quantity authorized on the prescription, including refills; (BPC 4064.5[a][2])
- ☐ 8.9.5 The prescriber has not specified on the prescription that dispensing the prescription in an initial amount, followed by periodic refills, is medically necessary; (BPC 4064.5[a][3])
- ☐ 8.9.6 The pharmacist is exercising their professional judgment; and (BPC 4064.5[a][4])
- ☐ 8.9.7 The pharmacist notifies the prescriber of the increase in quantity dispensed. (BPC 4064.5[c])

CORRECTIVE ACTION OR ACTION PLAN: _____

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9. Confidentiality of Prescriptions

Yes No N/A

☐ ☐ ☐ 9.1 Patient information is maintained to safeguard confidentiality. (Civil Code 56 et seq.)

☐ ☐ ☐ 9.2 All prescriptions are kept confidential and only disclosed as authorized by law. (CCR 1764)

☐ ☐ ☐ 9.3 The facility ensures electronically transmitted prescriptions are received maintained and transmitted in a secure and confidential manner. (CCR 1717.4[h])

Yes No N/A

☐ ☐ ☐ 9.4 If electronically transmitted prescriptions are received by an interim storage device (to allow for retrieval at a later time), the facility maintains the interim storage device in a manner to prevent unauthorized access. (CCR 1717.4[d])

☐ ☐ ☐ 9.5 If the facility has established and utilizes common electronic prescription files to maintain required dispensing information, the system shall not permit disclosure

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Initials

of confidential medical information except as authorized by law. (CCR 1717.1)

☐ ☐ ☐ 9.6 Destruction or disposal of patient records preserves the confidentiality of the information contained therein. (Civil Code 56.101)

CORRECTIVE ACTION OR ACTION PLAN: _____

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10. Record Keeping Requirements in addition to compliance with cGMP

Yes No N/A

☐ ☐ ☐ 10.1 Completed self-assessments are kept on file in the facility and maintained for three years after completion. (CCR 1750.1[e])

☐ ☐ ☐ 10.2 All drug acquisition and disposition records (complete accountability) are maintained for at least three years. For any record maintained electronically, a hardcopy is able to be produced upon inspection and electronic copy of all records of acquisition or disposition or other drug or dispensing-related records, including: (BPC 4081, 4105, 4169, 4333, CCR 1718)

- ☐ 10.2.1 Prescription records (BPC 4081[a])
- ☐ 10.2.2 Purchase Invoices for all prescription drugs (BPC 4081[b])
- ☐ 10.2.3 Purchase Invoices and sales records for non-prescription diabetic test devices dispensed pursuant to a prescription (BPC 4081[d])
- ☐ 10.2.4 Biennial controlled substances inventory (21 CFR 1304.11)
- ☐ 10.2.5 U.S. Official Order Forms (DEA Form 222) (21 CFR 1305.13)
- ☐ 10.2.6 Power of Attorney for completion of DEA 222 forms (21 CFR 1305.05)
- ☐ 10.2.7 Theft and Loss Reports (DEA Form 106) (21 CFR 1301.74[c])

CORRECTIVE ACTION OR ACTION PLAN: _____

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11. Patient specific prescriptions may not be returned and reused by the facility.

Yes No N/A

☐ ☐ ☐ 11.1 Patient specific prescriptions are not returned and reused by the facility**.**

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

_____
Initials

Section II

Code of Federal Regulation Part 211 for all Outsourcing Facilities

Quality Systems, validation control, facility control and training

12. CFR Part 211, Subpart B, Organization and Personnel

Yes No N/A

☐ ☐ ☐ 12.1 Compliance with sections 211.22 through 211.34 in their entirety

Facility

13. CFR Part 211, Subpart C Buildings and Facilities

Yes No N/A

☐ ☐ ☐ 13.1 Compliance with Sections 211.42 through 211.58 in their entirety.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Equipment

14. CFR Part 211, Subpart D Equipment

Yes No N/A

☐ ☐ ☐ 14.1 Compliance with sections 211.63 through 211.72 in their entirely.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Compounding and manufacture of the product

15. CFR Part 211, Subpart E Control of Components and Drug Product Containers and Closures

Yes No N/A

☐ ☐ ☐ 15.1 Compliance with sections 211.80 through 211.94 in their entirety.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

16. CFR Part 211, Subpart F—Production and Process Controls

Yes No N/A

☐ ☐ ☐ 11.1 Compliance with sections 211.100 through 211.115 in their entirety.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

_____
Initials

17. CFR Part 211, Subpart G—Packaging and Labeling Control

Yes No N/A

☐ ☐ ☐ 17.1 Compliance with sections 211.122 through 211.137 in their entirety.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Distribution, storage,

18. CFR Section 211, Subpart H—Holding and Distribution

Yes No N/A

☐ ☐ ☐ 19.1 Compliance with sections 211.142 through 211.150

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Release of product for sale

19. CFR Section 211, Subpart I—Laboratory Controls

Yes No N/A

☐ ☐ ☐ 18.1 Compliance with sections 211.160 through 211.176 in their entirety.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Record keeping

20. CFR Part 211, Subpart J—Records and Reports

Yes No N/A

☐ ☐ ☐ 20.1 Compliance with sections 211.180 through 211.198 in their entirety.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Returns

21. CFR part 211, Subpart K—Returned and Salvaged Drug Products

Yes No N/A

☐ ☐ ☐ 21.1 Compliance with sections 211.204 through 211.208 in their entirety for products not sold pursuant to a patient specific prescription.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____
Initials

Section III

DEA Controlled Substances Inventory, as applicable to your facility

22. Inventory:

Yes No N/A

☐ ☐ ☐ 22.1 Is completed biennially (every two years). (21 CFR 1304.11[c])
☐ ☐ ☐ 22.2 Schedule II inventory is separate from Schedule III, IV and V. (21 CFR 1304.04[h][1])
☐ ☐ ☐ 22.3 All completed inventories are available for inspection for three years. (CCR 1718)
☐ ☐ ☐ 22.4 Indicates on the inventory record whether the inventory was taken at the open of business or at the close of business. (21 CFR 1304.11 [a])
☐ ☐ ☐ 22.5 Separate Schedule II records are maintained. This includes Schedule II prescriptions, invoices, US official order forms, and inventory records. (21 CFR 1304.04[h])
☐ ☐ ☐ 22.6 Schedule III-V prescriptions are filed separately from all prescription records or are designated with a red "C." However, the red C requirement is waived if the facility uses an automated data processing or other record keeping system for identification of controlled substances by prescription number and the original prescription documents can be retrieved promptly. (21 CFR 1304.04[h][4])
☐ ☐ ☐ 22.6 Inventories and records for Schedule III-V controlled substances are filed separately or are designated in some manner that makes the required information readily retrievable from ordinary business records. (21 CFR 1304.04)
☐ ☐ ☐ 22.7 A U.S. Official Order Form (DEA Form 222) or electronic equivalent (CSOS) is utilized when ordering all Schedule II-controlled substances. When Schedule II Controlled substance orders are received by the facility, for each item received, the date and quantity received is indicated on the DEA Form 222. (21 CFR 1305.03, 1305.12, 1305.13, 1305.21, 1305.22[g])
☐ ☐ ☐ 22.8 When dispensed upon an "oral" order for a true emergency, a Schedule II prescription is provided by the prescriber by the 7th day following the transmission of the oral order. If not received, the facility reports failure to provide prescription document to the California Bureau of Narcotic Enforcement within 144 hours of the failure to provide the prescription. (HSC 11167[c]-[d])
☐ ☐ ☐ 22.9 The facility generates a controlled substances printout for refills of Schedule II-V prescriptions at least every three days (72 hours) which contains the signature of the dispensing pharmacist, or the facility maintains an alternate system to document the refilling of controlled substance prescriptions that complies with 21 CFR 1306.22.
☐ ☐ ☐ 22.10 Any controlled substances drug theft or significant loss is reported within one business day of discovery to the DEA (21 CFR 1301.74[c].)
☐ ☐ ☐ 22.11 A report is submitted to the Board within 30 days of the date of discovery of any loss of a controlled substance or any other significant drug losses as specified in Section 1715.6. (CCR 1715.6)
☐ ☐ ☐ 22.12 Pharmacists are creating initial prescription records and prescription labels by hand, or a pharmacist initials or signs prescription records and prescription labels by recording the identity of the pharmacist in a computer system by a secure means. This computer system does not permit the record to be altered after made and the record of the pharmacist's identity made in the computer system is immediately retrievable in the facility. (CCR 1712, 1717[b][1], 1717[f])

Yes No N/A

_____
Initials

☐ ☐ ☐ 22.13 All Schedule II through V controlled substances dispensing data is successfully transmitted within one working day from the date the controlled substance is released to the patient through the CURES System Administrator. [HSC 11165(d)])

☐ ☐ ☐ 22.14 The facility has designed and operates a system to identify suspicious orders and ensures the system complies with applicable Federal and State privacy laws. Upon discovering a suspicious order or series of orders, notify the DEA administration and the Special Agent in charge of DEA in their area. (21 USC 832[a])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

DESIGNATED QUALITY CONTROL PERSONNEL CERTIFICATION:

I, (please print) _____, Title _____ hereby certify that I have completed the self-assessment of this outsourcing facility of which I am the designated quality control person. Any deficiency identified herein will be corrected by _____(date). I understand that all responses are subject to verification by the Board of Pharmacy. I further state under penalty of perjury of the laws of the State of California that the information that I have provided in this self-assessment form is true and correct.

Signature _____ Date _____
(Designated Quality Control Personnel)

ACKNOWLEDGEMENT BY FACILITY OWNER OR OFFICER:

I, (please print) _____, hereby certify under penalty of perjury of the laws of the State of California that I have read and reviewed this completed self-assessment. I understand that failure to correct any deficiency identified in this self-assessment in the timeframe identified in the Designated Quality Control Personnel Certification above could result in the revocation of the outsourcing facility's license issued by the California State Board of Pharmacy.

Signature _____ Date _____
(Outsourcing Facility Owner or Officer)

_____
Initials

The following **Legal References** are used in the self-assessment form. Many of these references can be viewed on the Board of Pharmacy Web site at www.pharmacy.ca.gov (see *Laws and Regulations*), at the California State Law Library, or at other libraries or Internet web sites.

- Business and Professions Code, Division 1, Chapter 1 – General Provisions
- Business and Professions Code, Division 2, Chapter 1 – General Provisions
- Business and Professions Code, Division 2, Chapter 9 – Pharmacy
- California Code of Regulation, Title 16, Division 17 – California State Board of Pharmacy
- Civil Code, Division 1, Part 2.6, Chapter 2 – Disclosure of Medical Information by Providers
- Code of Federal Regulations, Title 16, Chapter II, Subchapter E, Part 1700 – Poison Prevention Packaging
- Code of Federal Regulations, Title 21, Chapter I, Subchapter C, Part 210 – Current Good Manufacturing Practice in Manufacturing, Processing, Packaging, or Holding of Drugs; General
- Code of Federal Regulations, Title 21, Chapter I, Subchapter C, Part 211 – Current Good Manufacturing Practice for Finished Pharmaceuticals
- Code of Federal Regulations, Title 21, Chapter II, Parts 1301, 1304, 1305, 1306, 1311
- Health and Safety Code, Division 10 – Uniform Controlled Substances Act
- Health and Safety Code, Division 104, Part 5 - Sherman Food, Drug, and Cosmetics Law
- United States Code, Title 21, Chapter 9, Subchapter V, Part A – Federal Food, Drug, and Cosmetic Act
- United States Code, Title 21, Chapter 13 – Drug Abuse Prevention and Control

Initials

Opioid Antagonist 16 CCR § 1746.3

Title 16. Board of Pharmacy
Proposed Text

Proposed changes made to the current regulation language are shown by ~~strikethrough~~ for deleted language and underline for added language.

Amend section 1746.3 to Article 5 of Division 17 of Title 16 of the California Code of Regulations to read as follows:

§ 1746.3. Protocol for Pharmacists Furnishing Opioid Antagonists ~~Naloxone Hydrochloride~~.

A pharmacist furnishing an opioid antagonist ~~naloxone hydrochloride~~ pursuant to section 4052.01 of the Business and Professions Code shall satisfy the requirements of this section.

(a) As used in this section:

(1) "Opioid" means naturally derived opiates as well as synthetic and semi-synthetic opioids.

(2) "Recipient" means the person to whom ~~naloxone hydrochloride~~ an opioid antagonist is furnished.

(b) Training. Prior to furnishing ~~naloxone hydrochloride~~ an opioid antagonist, pharmacists who use this protocol must have successfully completed a minimum of one hour of an approved continuing education program or equivalent curriculum-based training program completed in a board recognized school of pharmacy specific to the use of opioid antagonists for overdose reversal. ~~naloxone hydrochloride in all routes of administration recognized in subsection (c)(4) of this protocol, or an equivalent curriculum-based training program completed in a board recognized school of pharmacy.~~

(c) Protocol for Pharmacists Furnishing Opioid Antagonists ~~Naloxone Hydrochloride~~. Before providing an opioid antagonist ~~naloxone hydrochloride~~, the pharmacist shall:

~~(1) Screen the potential recipient by asking the following questions:~~

~~(A) Whether the potential recipient currently uses or has a history of using illicit or prescription opioids. (If the recipient answers yes, the pharmacist may skip screening question B.);~~

~~(B) Whether the potential recipient is in contact with anyone who uses or has a history of using illicit or prescription opioids. (If the recipient answers yes, the pharmacist may continue.);~~

~~(C) Whether the person to whom the naloxone hydrochloride would be administered has a known hypersensitivity to naloxone. (If the recipient answers yes, the pharmacist may not provide naloxone. If the recipient responds no, the pharmacist may continue.)~~

~~The screening questions shall be made available on the Board of Pharmacy's website in alternate languages for patients whose primary language is not English.~~

(~~2~~1) Provide the recipient training in opioid overdose prevention, recognition, response, and administration of the opioid antagonist ~~antidote naloxone~~.

(~~3~~2) When an opioid antagonist ~~naloxone hydrochloride~~ is furnished:

(A) The pharmacist shall provide the recipient with appropriate counseling and information on the product furnished, including dosing, effectiveness, adverse effects, storage conditions, shelf-life, and safety. The recipient is not permitted to waive the required consultation.

(B) The pharmacist shall provide the recipient with any informational resources on hand and/or referrals to appropriate resources if the recipient indicates interest in addiction treatment, recovery services, or medication disposal resources at this time.

(C) The pharmacist shall answer any questions the recipient may have regarding ~~naloxone hydrochloride~~ the opioid antagonist.

(~~4~~3) Product Selection: A pharmacist shall advise the recipient on how to choose the route of administration based on the formulation available, how well it can likely be administered, the setting, and local context. ~~A pharmacist may supply naloxone hydrochloride as an intramuscular injection, intranasal spray, auto-injector or in another FDA-approved product form.~~ A pharmacist may also recommend optional items when appropriate, including alcohol pads, rescue breathing masks, and rubber gloves.

(~~5~~4) Labeling: A pharmacist shall label the ~~naloxone hydrochloride~~ product consistent with law and regulations. The patient shall also receive the FDA approved medication guide. ~~Labels shall include an expiration date for the naloxone hydrochloride furnished. An example of appropriate labeling is available on the Board of Pharmacy's website.~~

~~(6) Fact Sheet: The pharmacist shall provide the recipient a copy of the current naloxone fact sheet approved by the Board of Pharmacy or a fact sheet approved by the executive officer. The executive officer may only approve a fact sheet that has all the elements and information that are contained in the current board-approved fact sheet. The board-approved fact sheet shall be made available on the Board of Pharmacy's website in alternate languages for patients whose primary language is not English. Fact sheets in alternate languages must be the current naloxone fact sheet approved by the Board of Pharmacy.~~

(~~7~~5) Notifications: ~~If the recipient of the naloxone hydrochloride is also the person to whom the naloxone hydrochloride would be administered, then the naloxone recipient is considered a patient for purposes of this protocol and notification may be required under this section.~~

~~If the patient gives verbal or written consent, then the pharmacist shall notify the patient's primary care provider of any drug(s) and/or device(s) furnished, or enter the appropriate information in a patient record system shared with the primary care provider, as permitted by the patient and that primary care provider.~~

At the request of the patient, a pharmacist shall notify the identified primary care provider of the product furnished or enter appropriate information in a shared patient record system as permitted by the primary care provider. If the patient does not have or does not identify a primary care provider, ~~or chooses not to give notification consent, then~~ the pharmacist shall provide the recipient a written record of the drug~~(s) and/or device(s)~~ furnished ~~and advise the patient~~ along with

a recommendation to consult with an appropriate health care provider of the patient's choice.

~~(8) Documentation: Each naloxone hydrochloride product furnished by a pharmacist pursuant to this protocol shall be documented in a medication record for the naloxone recipient, and securely stored within the originating pharmacy or health care facility for a period of at least three years from the date of dispense. The medication record shall be maintained in an automated data or manual record mode such that the required information under title 16, sections 1707.1 and 1717 of the California Code of Regulations is readily retrievable during the pharmacy or facility's normal operating hours.~~

~~(9) Privacy: All pharmacists furnishing naloxone hydrochloride in a pharmacy or health care facility shall operate under the pharmacy or facility's policies and procedures to ensure that recipient confidentiality and privacy are maintained.~~

NOTE: Authority cited: Section 4052.01, Business and Professions Code. Reference: Section 4052.01, Business and Professions Code.

Attachment 2

Regulation Timeline

XVI(c). Discussion and Consideration of Board Approved Regulations – Board Staff Reviewing Comments Provided by the Department of Consumer Affairs or Business, Consumer Services and Housing Agency

1. Proposed Regulation to Add Title 16, CCR Section 1760, Related to Disciplinary Guidelines

   Timeline:
   Approved by Board: January 28, 2022
   Submitted to DCA for Pre-Notice Review: June 17, 2022
   Returned to Board Staff for Review: December 5, 2022

Disciplinary Guidelines
16 CCR § 1760

Title 16. Board of Pharmacy
Proposed Text

Proposed changes to current regulation text are indicated with ~~single strikethrough~~ for deletions and single underline for additions.

Amend Sections 1760 of Article 4 of Division 17 of Title 16 of the California Code of Regulations to read:

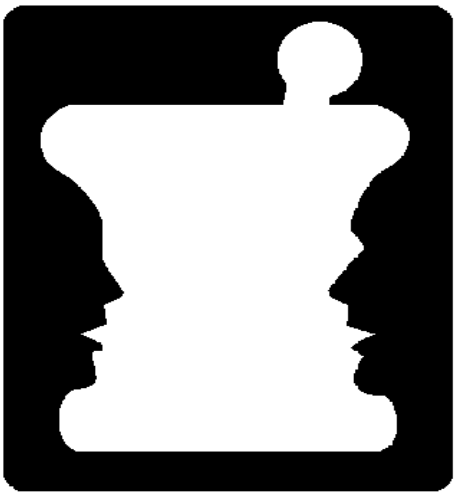
§ 1760. Disciplinary Guidelines.

In reaching a decision on a disciplinary action under the Administrative Procedure Act (Government Code section 11400 et seq.) the board shall consider the disciplinary guidelines entitled "Disciplinary Guidelines" (Rev. ~~2/2017~~ 1/2022), which are hereby incorporated by reference.
Deviation from these guidelines and orders, including the standard terms of probation, is appropriate where the board, in its sole discretion, determines that the facts of the particular case warrant such a deviation -the presence of mitigating factors; the age of the case; evidentiary problems.

Note: Authority cited: Sections 315, 315.2, 315.4 and 4005, Business and Professions Code; and Section 11400.20, Government Code. Reference: Sections 315, 315.2, 315.4 and 4300-4313, Business and Professions Code; and Sections 11400.20 and 11425.50(e), Government Code.

DISCIPLINARY GUIDELINES

A Manual of Disciplinary Guidelines
and Model Disciplinary Orders



BE AWARE & TAKE CARE:
Talk to your pharmacist!

California State Board of Pharmacy
Department of Consumer Affairs
(Rev. ~~2/2017~~1/2022)

STATE BOARD OF PHARMACY

DEPARTMENT OF CONSUMER AFFAIRS

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Additional copies of these disciplinary guidelines may be downloaded from the board's website

BOARD OF PHARMACY

DISCIPLINARY GUIDELINES

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DEPARTMENT OF CONSUMER AFFAIRS
STATE BOARD OF PHARMACY

DISCIPLINARY GUIDELINES
(Rev. ~~2/2017~~1/2022)

INTRODUCTION

The Board of Pharmacy (board) is responsible for the enforcement of statutes and regulations related to the practice of pharmacy (the Pharmacy Law) and to the regulation of controlled substances (the Uniform Controlled Substances Act). The board serves the public by:

- protecting the health, safety, and welfare of the people of California with integrity and honesty;
- advocating the highest quality of affordable pharmaceutical care;
- providing the best available information on pharmaceutical care; and
- promoting education, wellness and quality of life.

Pharmacists and intern pharmacists are patient advocates and vital members of the clinical care team who provide pharmaceutical care and exercise clinical judgment for their patients. They also exercise critical vigilance and control over medication stocks, drug inventories, and quality assurance protocols. Pharmacy technicians provide crucial assistance to pharmacists and intern pharmacists in all of their pharmacy tasks. Pharmacists and intern pharmacists enlighten their patients about their drug therapies through effective communicating and listening, assessing, collaborating, understanding and intervening. They also, under appropriate conditions, initiate or terminate drug therapies, compound drug preparations, ensure safety and security of drug stocks, and otherwise contribute to clinical safety and performance. Also, pharmacists and intern pharmacists are always vigilant to ensure that drug therapies are being appropriately and effectively utilized. When a pharmacist takes on the responsibility of a pharmacist-in-charge, the pharmacist also ensures the pharmacy's compliance with state and federal law, quality assurance responsibilities, and inventory controls. Likewise, the premises and other individuals licensed by the board help to ensure the reliability, safety, and security of the dangerous drug and/or dangerous device supply chain, so that patients and prescribers can be confident in the drugs or devices prescribed. Enforcement officials act quickly, consistently and efficiently in the public's interest to ensure the safe, effective delivery of these services.

The board recognizes the importance of ensuring the safe and effective delivery of dangerous drugs and controlled substances for therapeutic purposes. At the same time, and given the historical and current abuse and diversion of drugs, particularly controlled substances, the board believes there should be no tolerance for licensees who traffic in drugs or who, in the absence of appropriate evidence of rehabilitation, personally abuse drugs or alcohol.

In accordance with Section 1760 of the California Code of Regulations, the board has produced this booklet for those involved in and affected by the disciplinary process: the general public, , attorneys from the Office of the Attorney General, administrative law judges from the Office of Administrative Hearings, defense attorneys, the courts, board staff, and board members who review and vote on proposed decisions and stipulations.

These guidelines are to be followed in Board of Pharmacy disciplinary actions. Subject to judicial review, the board has the final authority over the disposition of its cases, and, to complete its work, it uses the services of the Office of the Attorney General and the Office of Administrative Hearings. The board recognizes that individual cases may necessitate a departure from these guidelines. In such cases, the mitigating or aggravating circumstances shall be detailed in any proposed decision or any transmittal memorandum accompanying a proposed stipulation, especially where Category III or IV- violations are involved.

In general, the position of the board is that revocation should always be an option whenever grounds for discipline are found to exist. Board policy is that revocation is generally an appropriate order where a respondent is in default, such as when ~~he or she fails~~they fail to file a notice of defense or fails to appear at a disciplinary hearing.

Board policy is that a suspension, where imposed, should be at least 30 days for an individual and at least 14 days for a licensed premises.

The board seeks recovery of all investigative and prosecution costs up to the hearing in all disciplinary cases. This includes all charges of the Office of the Attorney General, including, but not limited to, those for legal services, and includes charges by expert consultants. The board believes that the burden of paying for disciplinary cases should fall on those whose conduct requires investigation and prosecution, not on the profession as a whole.

The board recognizes there may be situations where an individual licensee deserves a stronger penalty than the pharmacy for which ~~he or she works~~they work. Similarly, the board recognizes that in some cases a licensed premises may well be more culpable than any individual licensed by or registered with the board. Typically, the board also believes in holding a pharmacy owner, manager, and/or pharmacist-in-charge responsible for the acts of pharmacy personnel.

For purposes of these guidelines “board” includes the board and/or its designees.

FACTORS TO BE CONSIDERED IN DETERMINING PENALTIES

Section 4300 of the Business and Professions Code provides that the board may discipline the holder of, and suspend or revoke, any certificate, license or permit issued by the board.

In determining whether the minimum, maximum, or an intermediate penalty is to be imposed in a given case, factors such as the following should be considered:

1. actual or potential harm to the public
2. actual or potential harm to any consumer
3. prior disciplinary record, including level of compliance with disciplinary order(s)
4. prior warning(s), including but not limited to citation(s) and fine(s), letter(s) of admonishment, and/or correction notice(s)
5. number and/or variety of current violations
6. nature and severity of the act(s), offense(s) or crime(s) under consideration
7. aggravating evidence
8. mitigating evidence
9. rehabilitation evidence
10. compliance with terms of any criminal sentence, parole, or probation
11. overall criminal record
12. if applicable, evidence of proceedings for case being set aside and dismissed pursuant to Section 1203.4 of the Penal Code
13. time passed since the act(s) or offense(s)
14. whether the conduct was intentional or negligent, demonstrated incompetence~~, or, if the respondent is being held to account for conduct committed by another, the respondent had knowledge of or knowingly participated in such conduct~~
15. financial benefit to the respondent from the misconduct.
16. other licenses held by the respondent and license history of those licenses.
17. Uniform Standards Regarding Substance-Abusing Healing Arts Licensees (see Business and Professions Code Section 315)
18. if the respondent is being held to account for conduct committed by another, whether or not the respondent had knowledge of or knowingly participated in such conduct

No single one or combination of the above factors is required to justify the minimum and/or maximum penalty in a given case, as opposed to an intermediate ~~one~~penalty.

MITIGATING EVIDENCE

A respondent is permitted to present mitigating circumstances at a hearing or in the settlement process and has the burden of demonstrating any rehabilitative or corrective measures ~~he, she, or it has~~they have taken. The board does not intend, by the following references to written statements, letters, and reports, to waive any evidentiary objections to the form or admissibility of such evidence. The respondent must produce admissible evidence in the form required by law in the absence of a stipulation to admissibility by the complainant.

The following are examples of appropriate evidence a respondent may submit to demonstrate ~~his or her~~their rehabilitative efforts and competency:

a. Recent, dated, written statements and/or performance evaluations from persons in positions of authority who have on-the-job knowledge of the respondent's current competence in the practice relevant to the disciplinary proceeding, including the period of time and capacity in which the person worked with the respondent. Such reports must be signed under penalty of perjury and will be subject to verification by board staff.
b. Recent, dated, letters from counselors regarding the respondent's participation in a rehabilitation or recovery program, which should include at least a description and requirements of the program, a ~~psychologist's~~ mental health practitioner's diagnosis of the condition and current
state of recovery, and the ~~psychologist's~~ mental health practitioner's basis for determining rehabilitation. Such letters and reports will be subject to verification by board staff.
c. Recent, dated letters describing the respondent's participation in support groups, (e.g., Alcoholics Anonymous, Narcotics Anonymous, professional support groups, etc.). Such letters and reports will be subject to verification by board staff.
d. Recent, dated, laboratory analyses or drug screen reports, confirming abstention from drugs and alcohol. Such analyses and reports will be subject to verification by board staff.
e. Recent, dated~~,~~ , physical examination~~/ or~~ assessment report(s) by a licensed ~~physician~~health care practitioner, confirming the absence of any physical impairment that would prohibit the respondent
from practicing safely. Such report(s) will be subject to verification by board staff.
f. Recent, dated~~,~~ , letters from probation or parole officers regarding the respondent's participation in and/or compliance with terms and conditions of probation or parole, which should include at least a description of the terms and conditions, and the officer's basis for determining compliance. Such letters and reports will be subject to verification by board staff.
g. Recent, dated, letters from persons familiar with respondent in either a personal or professional capacity regarding their knowledge of: the respondent's character; the respondent's rehabilitation, if any; the conduct of which the respondent is accused; or any other pertinent facts that would enable the board to better decide the case. Such letters must be signed under penalty of perjury and will be subject to verification by board staff.
h. For premises licensees, recent, dated letters from appropriate licensees or representatives of licensees of the board in good standing, or from appropriate consultants and/or experts in the field, written by persons familiar with respondent in either a personal or professional capacity regarding their knowledge of: the character and rehabilitation, if any, of respondent's owner(s), officer(s), or managerial employee(s); the conduct of which the respondent is accused; the details of respondent's operation(s); or any other pertinent facts that would enable the board to

better decide the case. Such letters must be signed under penalty of perjury and will be subject to verification by board staff.

TERMS OF PROBATION – INDIVIDUAL LICENSEES ~~(PHARMACIST, ADVANCED PRACTICE PHARMACIST, INTERN PHARMACIST, PHARMACY TECHNICIAN, DESIGNATED REPRESENTATIVE AND DESIGNATED REPRESENTATIVE-3PL)~~

~~A minimum three-year probation period has been established by the board as appropriate in most cases where probation is imposed. A minimum five-year probation period has been established by the board as appropriate in cases involving self-administration or diversion of controlled substances or dangerous drugs and/or dangerous devices, or abusive use of alcohol.~~ Terms and conditions are imposed to provide consumer protection and to allow the probationer to demonstrate rehabilitation. A suspension period may also be required as part of the probation order. The board prefers that any stayed order be for revocation rather than for some period of suspension. The board also uses the Uniform Standards Regarding Substance-Abusing Licensees developed by the Substance Abuse Coordinating Committee of the Department of Consumer Affairs (2011).

Probation conditions are divided into two categories: (1) standard conditions that shall appear in all probation cases, and (2) optional conditions that depend on the nature and circumstances of a particular case. These conditions may vary depending on the nature of the offense(s).

The board may also impose any other condition appropriate to the case where the condition is not contrary to public policy.

CATEGORIES OF VIOLATIONS AND RECOMMENDED PENALTIES

The California Pharmacy Law identifies offenses for which the board may take disciplinary action against the license. Included among grounds for discipline are violations of the Pharmacy Law itself, violations of regulations promulgated by the board, and violations of other state or federal statutes or regulations.

For those licenses issued to individuals ~~(pharmacists, intern pharmacists, pharmacy technicians, and designated representatives, designated representatives-3PL, and advanced practice pharmacists)~~, the board has identified four (4) categories of violations and their associated recommended minimum and maximum penalties. These categories of violations are arranged in ascending order from the least serious (Category I) to the most serious (Category IV), although any single violation in any category, or any combination of violation(s) in one or more categories, may merit revocation. For pharmacy technicians and designated representatives, the board believes an order of revocation is typically the appropriate penalty when any grounds for discipline are established, and that if revocation is not imposed that a minimum Category III level of discipline should be imposed.

For each violation category, the board has given ~~offense~~ descriptions and examples where violations would typically merit the recommended range of minimum to maximum penalties for that category. These descriptions and examples are representative, and are not intended to be comprehensive or exclusive. Where a violation not included in these lists is a basis for disciplinary action, the appropriate penalty for that violation may be best derived by comparison to any analogous violation(s) that are included. Where no such analogous violation is listed, the category descriptions may be consulted.

These categories ~~assume~~ presume a single violation. For multiple violations, the appropriate penalty shall increase accordingly. Moreover, if an individual has committed violations in more than one category, the minimum and maximum penalties shall be those recommended in the highest category.

The board also has the authority, pursuant to Business and Professions Code section 4301(n), to impose discipline based on disciplinary action taken by another jurisdiction. The discipline imposed by the board will depend on the discipline imposed by the other jurisdiction, the extent of the respondent's compliance with the terms of that discipline, the nature of the conduct for which the discipline was imposed, and other factors set forth in these guidelines.

CATEGORY I

Minimum: Revocation; Revocation stayed; two years probation. All standard terms and conditions shall be included and optional terms and conditions as appropriate.

Maximum: Revocation

Category I discipline is recommended for violations that are less serious than Category ~~2~~ II through ~~4~~ IV but are potentially harmful. These may include:

- violations of recordkeeping requirements, ~~scope of practice requirements,~~ or inventory control requirements;
- smaller or isolated failure(s) to abide by or enforce prescription or refill requirements, drug-substitution requirements, or labeling requirements;
- violation(s) of obligations to supply or update information to the board, or to other enforcement or regulatory agencies;
- failure(s) to adequately supervise staff or ensure security and sanitation of premises, dangerous drugs and/or dangerous devices, or controlled substances; and
- violation(s) of packaging requirements, security control requirements, or reporting requirements.
- violation(s) involving the improper compounding of drug products
- violation(s) resulting from the misuse of education or licensing privileges irrespective of whether it occurs outside of an entity licensed by the board.

CATEGORY II

Minimum: Revocation; Revocation stayed, three years probation (five years probation in cases involving self-administration or diversion of controlled substances or dangerous drugs and/or dangerous devices, or abusive use of alcohol). All standard terms and conditions shall be included and optional terms and conditions as appropriate.

Maximum: Revocation

Category II discipline is recommended for violation(s) with serious potential for harm, as well as for violations involving disregard for public safety or for the laws or regulations pertaining to pharmacy and/or to dispensing or distributing of dangerous drugs and/or dangerous devices or controlled substances, violations that reflect on ethics, competence, or diligence, and criminal convictions not involving alcohol, dangerous drugs and/or dangerous devices, or controlled substances. Violations in this category may include:

- failure(s) to abide by prohibitions on referral rebates or discounts (kickbacks) and/or volume or percentage-based lease agreements;
- violation(s) of advertising or marketing limitations, including use of false or misleading advertising or marketing;
- repeat or serious violation(s) of recordkeeping requirements, scope of practice requirements, or inventory control requirements;
- violation(s) of controlled substance secure prescription requirements, inventory controls, or security requirements;
- failure(s) to meet compliance requirements, including pharmacist-in-charge or designated representative-in-charge designation and duties;

- violation(s) of monitoring and reporting requirements with regard to chemically, mentally, or physically impaired licensees or employees;
- repeat or serious failure(s) to adequately supervise staff or ensure security and sanitation of premises, dangerous drugs and/or dangerous devices, or controlled substances;
- violation(s) of law governing controlled substances, dangerous drugs and/or dangerous devices, or alcohol, including smaller cases of diversion or self-administration or abusive use of a controlled substance, dangerous drug and/or dangerous device, or alcohol;
- unlawful possession(s) of dangerous drugs and/or dangerous devices, controlled substances, hypodermic needles and syringes, or drug paraphernalia;
- smaller scale dispensing or furnishing of dangerous drug(s) and/or dangerous device(s) via the internet without valid prescription(s);
- purchasing, trading, selling, or transferring dangerous drug(s) and/or dangerous device(s) to or from unauthorized person(s);
- failure(s) to make required reports to the board or other regulatory agencies, including CURES obligations and reporting to DEA;
- violation(s) of quality assurance and self-assessment obligations, failure(s) to clarify erroneous or uncertain prescription(s);
- gross immorality, incompetence, gross negligence, excessive furnishing of controlled substances, moral turpitude, dishonesty, or fraud;
- criminal conviction(s) not involving alcohol, dangerous drugs and/or dangerous devices, or controlled substances;
- violating, or assisting in or abetting violation of, or conspiring to violate the laws and regulations governing pharmacy; and
- subverting or attempting to subvert an investigation conducted by the board.
- repeated violation(s) involving the improper compounding of drug ~~products~~preparations
- repeated violation(s) involving the improper sterile compounding of drug preparations
- violations resulting from the misuse of education or licensing privileges irrespective of whether these violations occur in an entity regulated by the board.

CATEGORY III

Minimum: Revocation; Revocation stayed, 90 days actual suspension, three to five years probation (five years probation in cases involving self-administration or diversion of controlled substances or dangerous drugs and/or dangerous devices, or abusive use of alcohol). All standard terms and conditions and optional terms and conditions as appropriate.

Maximum: Revocation

Category III discipline is recommended for violations where potential for harm is greater, more imminent, or more serious than it is for Category II violations, as well as for violations that involve knowingly or willfully violating laws or regulations pertaining to pharmacy and/or to the dispensing or distributing of dangerous drugs and/or dangerous devices or controlled substances, and most criminal convictions involving alcohol, dangerous drugs and/or dangerous devices or controlled substances. Violations in this category may include:

- violation(s) involving creation, manipulation, perpetuation, or disregard of drug shortages;
- failure(s) to deploy or abide by Drug Supply Chain Security Act requirements, and other similar requirements for dangerous drugs and/or dangerous devices;

- violation(s) of licensee’s corresponding responsibility to ensure the proper prescribing and dispensing of controlled substances;

- dispensing or furnishing without valid prescription, dispensing or furnishing to unauthorized person(s);
- violation(s) involving fraudulent acts committed in connection with the licensee's practice;
- repeat or serious violation(s) of controlled substance secure prescription requirements, inventory controls, or security requirements;
- violation(s) of laws governing controlled substances, dangerous drugs and/or dangerous devices, or alcohol, including repeat or serious diversion or self-administration, or abuse;
- violation(s) of law governing self-administration of controlled substances that create a potential infection control risk.
- repeat or serious unlawful possession(s) of dangerous drugs and/or dangerous devices, controlled substances, hypodermic needles or syringes, or drug paraphernalia;
- larger scale dispensing or furnishing of dangerous drug(s) and/or dangerous device(s) via the internet, without valid prescription(s);
- purchasing, trading, selling, or transferring adulterated, misbranded, or expired dangerous drug(s) and/or dangerous device(s);
- removal, sale, or disposal of embargoed dangerous drug(s) and/or dangerous device(s);
- failing to maintain record(s) of acquisition and disposition of dangerous drug(s) and/or dangerous device(s);
- resale(s) of preferentially priced drugs, contract bid diversion, or other instances of improper sale(s) or resale(s);
- repeat or serious violation(s) of quality assurance and self-assessment obligations, failure(s) to ensure properly trained staff and conduct practice safely;
- repeat or serious failure(s) to perform drug utilization reviews, monitor patient medication profiles, or promote safety and efficacy of prescribed drugs;
- forgery of prescriptions, passing of forged prescriptions, or other unlawful means of acquiring dangerous drug(s) and/or dangerous device(s) or controlled substance(s);
- repeat or serious acts violating, assisting in or abetting violation of, or conspiring to violate the laws and regulations governing pharmacy; and
- violation(s) involving providing or offering to provide controlled substance(s) to addict(s).
- repeat or serious violation(s) involving the improper compounding of drug products
- repeat or serious violation(s) resulting from the misuse of education or licensing privileges irrespective of whether ~~is~~ it occurs outside of an entity licensed by the board.

CATEGORY IV

Penalty: Revocation

Category IV discipline (revocation) is recommended for the most serious violations of laws or regulations pertaining to pharmacy and/or to the dispensing or distributing of dangerous drugs and/or dangerous devices or controlled substances. Violations in this category may include:

- violations involving possession for sale, transportation, importation, and/or use of a minor for unlawful sale of controlled substances;
- criminal convictions involving the above, or repeat convictions involving diversion or abuse of alcohol, dangerous drugs and/or dangerous devices, or controlled substances;
- repeated or serious example(s) of conduct described in Category I, Category II, or Category III.
- violation(s) of law governing self-administration of controlled substances that create a potential infection control risk.

Revocation is also recommended where a respondent fails to file a notice of defense to an Accusation or Petition to Revoke Probation or to appear at a disciplinary hearing, where a respondent violates the terms and conditions of probation from a previous disciplinary order, or where prior discipline has been imposed on the license.

MODEL DISCIPLINARY LANGUAGE - INDIVIDUAL LICENSEES ~~(PHARMACIST, INTERN PHARMACIST, PHARMACY TECHNICIAN, DESIGNATED REPRESENTATIVE, DESIGNATED REPRESENTATIVE – 3PL, ADVANCED PRACTICE PHARMACIST)~~

The following standardized language shall be used in every decision where the order or condition is imposed. Where brackets appear, drafters should choose the appropriate term or consider the text instructional.

Revocation

License number _____, issued to respondent _____,is

revoked. Respondent shall relinquish ~~[his/her]~~their license, including any indicia of licensure issued by the board, to the board within 10 days of the effective date of this decision. Respondent may not reapply or petition the board for reinstatement of ~~[his/her]~~their revoked license for three years from the effective date of this decision.

As a condition precedent to reinstatement of ~~[his/her]~~their revoked license, respondent shall reimburse the board for its costs of investigation and prosecution in the amount of $_____. Said amount shall be paid in full prior to the reinstatement of ~~his or her~~their license unless otherwise ordered by the board.

Option: Respondent shall pay to the board its costs of investigation and prosecution in the amount of $ _____within fifteen (15) days of the effective date of this decision.

Suspension

As part of probation, respondent is suspended from ~~the~~ practice as a [insert license type] for [day(s)/month(s)/year(s)] beginning the effective date of this decision.

During suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~practice pharmacy~~ exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with this suspension shall be considered a violation of probation.

Revocation, stayed, Probation Order

License number _____, issued to respondent is revoked; however, the revocation is stayed and respondent is placed on probation for _____ years upon the following terms and conditions:

It is further ordered that any new license(s) issued while Respondent remains on probation shall also be placed on probation subject to the same terms and conditions applicable to Respondent's _____ license.

Issuance of Probationary License (In cases where a Statement of Issues has been filed.)

Upon satisfaction of all statutory and regulatory requirements for issuance of a [insert license type] license, a [insert license type] license shall be issued to respondent and immediately revoked; the order of revocation is stayed and respondent is placed on probation for _____ years upon the following terms and conditions:

Option: (Intern Pharmacist Only)
Should the board subsequently issue a license to practice as a pharmacist to respondent during the period of probation, the intern license shall be cancelled and the pharmacist license shall be immediately revoked. The revocation of such license shall be stayed, and the probation imposed by this decision and order will continue. Respondent shall remain subject to the same terms and conditions imposed by this disciplinary order. Notwithstanding this provision, the board reserves the right to deny respondent's application for the pharmacist licensure exam. If the board issues a pharmacist license to respondent, the following additional terms and conditions shall be included as part of the disciplinary order:

Surrender

Respondent surrenders license number _____as of the effective date of this decision. Respondent shall relinquish ~~[his/her]~~their license, including any indicia of licensure issued by the board, to the board within ten (10) days of the effective date of this decision.

The surrender of respondent's license and the acceptance of the surrendered license by the board shall constitute the imposition of discipline against respondent. This decision constitutes a record of discipline and shall become a part of respondent's license history with the board. Respondent understands and agrees that for purposes of Business and Professions Code section 4307, this surrender shall be construed the same as revocation.

Respondent may only seek a new or reinstated license from the board by way of a ~~new application for licensure~~reinstatement. Respondent understands and agrees that if ~~he or she [he/she]~~they ever file~~s~~ an application for licensure or a petition for reinstatement in the State of California, the board shall treat it as a ~~new application for licensure shall not be eligible to~~ petition for reinstatement of licensure.

Respondent may not ~~apply~~ petition for any license, permit, or registration from the board for three years from the effective date of this decision. Respondent stipūlates that should ~~he or she [he/she]~~ they apply for any license from the board on or after the effective date of this decision, all allegations set forth in the [accusation or petition to revoke probation] shall be deemed to be true, correct and admitted by respondent when the board determines whether to grant or deny the ~~application~~petition. ~~Respondent shall satisfy all requirements applicable to that license as of the date the application is submitted to the board, including, but not limited to, taking and passing licensing examination(s) as well as fulfilling any education or~~

~~experience requirements prior to the issuance of a new license.~~

Respondent is required to report this surrender as disciplinary action.

Respondent further stipulates that ~~[he/she]~~they shall reimburse the board for its costs of investigation and prosecution in the amount of $_____within_____days of the effective date of this decision.

Option: Respondent stipulates that should ~~[he/she]~~they ~~apply~~ petition for ~~any license~~reinstatement of licensure from the board on or after the effective date of this decision the investigation and prosecution costs in the amount of $_____shall be paid to the board prior to ~~issuance of the new license~~reinstatement.

Public Reproval

~~It is hereby ordered that a public reproval be issued against licensee, _____.~~
It is hereby ordered that license number _____ issued to Respondent shall be publicly reproved by the Board of Pharmacy under Business and Professions Code section 495 in resolution to Accusation No. _____, attached as Exhibit A.

Respondent is required to report this reproval as a disciplinary action.

License Reinstatement with Conditions Precedent (Pharmacists and Pharmacy Technicians Only)

It is hereby ordered that the petition for reinstatement is granted. Upon satisfaction of the following conditions precedent to licensure, Petitioner's License No. _____ will be reinstated:

OPTION (Pharmacists Only)

a. Petitioner must satisfy licensure requirements as defined by Business and Professions Code section 4200, subdivision (a)~~Examination (NAPLEX) and/or the California Practice Standards and Jurisprudence Examination for Pharmacists (CPJE)]~~ within one (1) year of the effective date of this order. Failure to take and pass the examination(s) within one (1) year of the effective date of this order shall invalidate the order granting the petition for reinstatement~~,~~. Petitioner shall be deemed to have failed the conditions precedent for re-licensure, and Petitioner's License No. _____ shall remain [revoked or surrendered]

b. Petitioner must pay the fee(s) in place at the time for [this/these] examinations.

c. Petitioner must pay all applicable application and licensing fees as well as any cost recovery owed from the prior action.

Option (Pharmacy Technicians Only)

a. Petitioner shall ~~take and pass the Pharmacy Technician Certification Board exam]~~become certified as defined by Business and Professions Code section 4202, subdivision (a)(4) within one (1) year of the effective date of

this order. Failure to ~~take and pass the examinations~~become certified within one (1) year of the effective date of this order shall invalidate the order granting the petition for reinstatement, Petitioner shall be deemed to have failed the conditions precedent for re-licensure, and Petitioner's License No. _____shall remain [revoked or surrendered]."

b. Petitioner must pay the fee(s) in place at the time for [this/these] examinations.

c. Petitioner must pay all applicable application and licensing fees as well as any cost recovery owed from the prior action.

Upon completion of the foregoing conditions precedent, Petitioner's license shall be reinstated and immediately revoked, with revocation stayed and Petitioner placed on probation for a period of _____ year(s) on the following terms and conditions:

License Reinstatement

It is hereby ordered that the petition for reinstatement filed by _____ is hereby granted and Petitioner's license shall be reinstated. Petitioner's license shall be reinstated and immediately revoked, with revocation stayed and Petitioner placed on probation for a period of _____year(s)~~]~~ on the following terms and conditions:

STANDARD CONDITIONS - To be included in all probation decisions/orders.

1. Obey All Laws
2. Report to the Board
3. Interview with the Board
4. Cooperate with Board Staff
5. Continuing Education
6. Reporting of Employment and Notice to Employers
7. Notification of Change(s) in Name, Employment, Address(es), or Phone Number(s)
8. Restrictions on Supervision and Oversight of Licensed Facilities
9. Reimbursement of Board Costs
10. Probation Monitoring Costs
11. Status of License
12. License Surrender While on Probation/Suspension
13. Certification Prior to Resuming Work
14. Practice Requirement – Extension of Probation
15. Violation of Probation
16. Completion of Probation

OPTIONAL CONDITIONS

17. Suspension
18. Restricted Practice
19. Pharmacist Examination
20. Clinical Diagnostic Evaluation
21. Psychotherapy
22. Medical Evaluation
23. Pharmacists Recovery Program (PRP)
24. Drug and Alcohol Testing
25. Notification of Departure
26. Abstain from Drugs and Alcohol
27. Prescription Coordination and Monitoring of Prescription Use
28. Facilitated Group Recovery and/or Support Meetings
29. Attend Substance Abuse Recovery Relapse Prevention and Support Groups
30. Work Site Monitor
31. Community Service Program
32. Restitution
33. Remedial Education
34. Ethics Course
35. Supervised Practice
36. No Ownership or Management of Licensed Premises
37. Separate File of Controlled Substances Records
38. Report of Controlled Substances
39. No Access to Controlled Substances
40. Criminal Probation/Parole Reports
41. ~~Tolling of Suspension~~Board's One-Day Training Program
42. Surrender of DEA Permit
43. Administrative Fine

STANDARD CONDITIONS: TO BE INCLUDED IN ALL PROBATIONS

1. Obey All Laws

Respondent shall obey all state and federal laws and regulations.

Respondent shall report any of the following occurrences to the board, in writing, within seventy-two (72) hours of such occurrence:

- an arrest or issuance of a criminal complaint, information or indictment ~~for violation of any provision of the Pharmacy Law, state and federal food and drug laws, or state and federal controlled substances laws~~
- a plea of guilty, or nolo contendere, no contest, or similar, in any state or federal criminal proceeding to any criminal complaint, information or indictment
- a conviction of any crime
- the filing of a disciplinary pleading, issuance of a citation, or initiation of another administrative action filed by any state or federal agency ~~which involves respondent's license or which is related to the practice of pharmacy or the manufacturing, obtaining, handling, distributing, billing, or charging for any drug, device or controlled substance.~~

Failure to timely report such occurrence shall be considered a violation of probation.

2. Report to the Board

Respondent shall report to the board quarterly, on a schedule as directed by the board ~~or its designee~~. The report shall be made either in person or in writing, as directed. Among other requirements, respondent shall state in each report under penalty of perjury whether there has been compliance with all the terms and conditions of probation.

Failure to submit timely reports in a form as directed shall be considered a violation of probation. Any period(s) of delinquency in submission of reports as directed may be added to the total period of probation. Moreover, if the final probation report is not made as directed, probation shall be automatically extended until such time as the final report is made and accepted by the board.

3. Interview with the Board

Upon receipt of reasonable prior notice, respondent shall appear ~~in person~~ for interviews with the board ~~or its designee~~, at such intervals and locations as are determined by the board ~~or its designee~~. Failure to appear for any scheduled interview without prior notification to board staff, or failure to appear for two (2) or more scheduled interviews with the board ~~or its designee~~ during the period of probation, shall be considered a violation of probation.

4. Cooperate with Board Staff

Respondent shall timely cooperate with the board's inspection program and with the board's monitoring and investigation of respondent's compliance with the terms and conditions of ~~[his/her]~~their probation, including but not limited to: timely responses to requests for information by board staff; timely compliance with directives from board staff regarding requirements of any term or condition of probation; and timely completion of documentation pertaining to a term or condition of probation. Failure to timely cooperate shall be considered a violation of probation.

5. Continuing Education (Pharmacists Only)

Respondent shall provide evidence of efforts to maintain skill and knowledge as a pharmacist as directed by the board ~~or its designee~~that complies with Title 16 California Code of Regulations section 1732.3.

6. Reporting of Employment and Notice to Employers

During the period of probation, respondent shall notify all present and prospective employers of the decision in case number _____and the terms, conditions and restrictions imposed on respondent by the decision, as follows:

Within thirty (30) days of the effective date of this decision, and within ten (10) days of undertaking any new employment, respondent shall report to the board in writing the name, physical address, and mailing address of each of ~~[his/her]~~their employer(s), and the name(s) and telephone number(s) and email address(es) of all of ~~[his/her]~~their direct supervisor(s), as well as any pharmacist(s)-in- charge, designated representative(s)-in-charge, responsible manager, or other compliance supervisor(s) and the work schedule, if known. Respondent shall also include the reason(s) for leaving the prior employment and the last day worked. Respondent shall sign and return to the board a written consent authorizing the board ~~or its designee~~ to communicate with all of respondent's employer(s) and supervisor(s), and authorizing those employer(s) or supervisor(s) to communicate with the board~~ or its designee~~, concerning respondent's work status, performance, and monitoring. Failure to comply with the requirements or deadlines of this condition shall be considered a violation of probation.

Within thirty (30) days of the effective date of this decision, and within fifteen (15) days of respondent undertaking any new employment, respondent shall cause (a) ~~[his/her]~~their direct supervisor, (b) ~~[his/her]~~their pharmacist-in-charge, designated representative-in-charge, responsible manager, or other compliance supervisor, and (c) the owner or owner representative of ~~[his/her]~~their employer, to report to the board in writing acknowledging that the listed individual(s) has/have read the decision in case number _____, and terms and conditions imposed thereby. If one person serves in more than one role described in (a), (b), or (c), the acknowledgment shall so state. It shall be the respondent's responsibility to ensure that these acknowledgment(s) are timely submitted to the board. In the event of a change in the person(s) serving the role(s) described in (a), (b), or (c) during the term of probation, respondent shall cause the person(s) taking over the role(s) to report to the board in writing within fifteen (15) days of the change acknowledging that ~~he or she has~~they have read the decision in case number
_____, and the terms and conditions imposed thereby.

If respondent works for or is employed by or through an employment service, respondent must notify the person(s) described in (a), (b), and (c) above at every entity licensed by the board of the decision in case number _____, and the terms and conditions imposed thereby in advance of respondent commencing work at such licensed entity. A record of this notification must be provided to the board upon request.

Furthermore, within thirty (30) days of the effective date of this decision, and within fifteen (15) days of respondent undertaking any new employment by or through an employment service, respondent shall cause the person(s) described in (a), (b), and (c) above at the employment service to report to the board in writing acknowledging that ~~he or she has~~they have read the decision in case number_____, and the terms and conditions imposed thereby. It shall be respondent's responsibility to ensure that these acknowledgment(s) are timely submitted to the board.

Failure to timely notify present or prospective employer(s) or failure to cause the identified

person(s) with that/those employer(s) to submit timely written acknowledgments to the board shall be considered a violation of probation.

"Employment" within the meaning of this provision includes any full-time, part-time, temporary, relief, or employment/management service position as a [insert license type], or any position for which a [insert license type] license is a requirement or criterion for employment, whether the respondent is an employee, independent contractor or volunteer.

7. Notification of Change(s) in Name, Address(es), or Phone Number(s)

Respondent shall further notify the board ~~in writing~~as directed within ten (10) days of any change in name, residence address, mailing address, e-mail address or phone number.

Failure to timely notify the board of any change in employer, name, address, email address, or phone number, within 10 days, shall be considered a violation of probation.

8. Restrictions on Supervision and Oversight of Licensed Facilities (Not appropriate for Pharmacy Technicians)

During the period of probation, respondent shall not supervise any intern pharmacist, be the pharmacist-in-charge, designated representative-in-charge, responsible manager, supervising pharmacist, quality manager, designated individual (as defined in the United States Pharmacopeia (USP) ~~USP Chapter 797~~, including as an individual responsible and accountable for the performance and operations of the facility and personnel in the preparation of compounded ~~sterile~~ products) or other ~~compliance~~ supervisor, nor serve as a consultant of any entity licensed by the board~~, nor serve as a consultant~~. Assumption of any such unauthorized supervision responsibilities shall be considered a violation of probation.

Option 1 (To be included along with standard language when appropriate): During the period of probation, respondent shall not supervise any ancillary personnel, including, but not limited to, pharmacy technicians, designated representatives, designated representative-3PL, , designated individual (as defined in the USP ~~Chapter 797~~, including as an individual responsible and accountable for the performance and operations of the facility and personnel in the preparation of compounded ~~sterile~~ products), production operators in any entity licensed by the board. Assumption of any such unauthorized ancillary personnel supervision responsibilities shall be considered a violation of probation.

Option 2 (To be used in place of standard language when appropriate): During the period of probation, respondent shall not supervise any intern pharmacist or serve as a consultant to any entity licensed by the board. Respondent may be a pharmacist-in-charge, designated representative-in-charge, responsible manager, designated individual (as defined in the USP ~~Chapter 797~~, including as an individual responsible ~~and~~ accountable for the performance and operations of the facility and personnel in the preparation of compounded ~~sterile~~ products), or other compliance supervisor of any single entity licensed by the board, but only if respondent or that entity retains, at ~~[his/her]~~their own expense, an independent consultant who shall be responsible for reviewing the operations of the entity on a [monthly/quarterly] basis for compliance by respondent and the entity with state and federal laws and regulations governing the practice of the entity, and compliance by respondent with the obligations of ~~[his/her]~~their supervisory position. The consultant shall have sufficient education, training, and professional experience to be able to provide guidance to Respondent related to the causes for discipline in Case No. . Respondent may serve in such a position at only one entity licensed by the board, and only upon approval by the board ~~or its designee~~. Any such approval shall be site specific. The consultant shall be a pharmacist licensed by and not on probation with the board or other professional as appropriate and not on probation with the board, who has been approved by the board ~~or its designee~~ to serve in this position. Respondent shall submit the

name of the proposed consultant to the board ~~or its designee~~ for approval within thirty (30) days of the effective date of the decision or prior to assumption of duties allowed in this term. Assumption of any unauthorized supervision responsibilities shall be considered a violation of probation. In addition, failure to timely seek approval for, timely retain, or ensure timely reporting by the consultant shall be considered a violation of probation.

9. Reimbursement of Board Costs

As a condition precedent to successful completion of probation, respondent shall pay to the board its costs of investigation and prosecution in the amount of $_____. Respondent shall make said payments as follows:

There shall be no deviation from this schedule absent prior written approval by the board ~~or its designee~~. Failure to pay costs by the deadline(s) as directed shall be considered a violation of probation.

Option Respondent shall be permitted to pay these costs in a payment plan approved by the board ~~or its designee~~, so long as full payment is completed no later than one (1) year prior to the end date of probation.

10. Probation Monitoring Costs

Respondent shall pay any costs associated with probation monitoring as determined by the board each and every year of probation. Such costs shall be payable to the board on a schedule as directed by the board ~~or its designee~~. Failure to pay such costs by the deadline(s) as directed shall be considered a violation of probation.

11. Status of License

Respondent shall, at all times while on probation, maintain an active, current [insert license type] license with the board, including any period during which suspension or probation is tolled. Failure to maintain an active, current [insert license type] license shall be considered a violation of probation.

If respondent's [insert license type] license expires or is cancelled by operation of law or otherwise at any time during the period of probation, including any extensions thereof due to tolling or otherwise, upon renewal or reapplication respondent's license shall be subject to all terms and conditions of this probation not previously satisfied.

12. License Surrender While on Probation/Suspension

Following the effective date of this decision, should respondent cease practice due to retirement or health, or be otherwise unable to satisfy the terms and conditions of probation, respondent may relinquish ~~[his/her]~~their license, including any indicia of licensure issued by the board, along with a request to surrender the license. The board ~~or its designee~~ shall have the discretion whether to accept the surrender or take any other action it deems appropriate and reasonable. Upon formal acceptance of the surrender of the license, respondent will no longer be subject to the terms and conditions of probation. This surrender constitutes a record of discipline and shall become a part of the respondent's license history with the board.

Upon acceptance of the surrender, respondent shall relinquish ~~[his/her]~~their pocket and/or wall license, including any indicia of licensure not previously provided to the board within ten (10) days of notification by the board that the surrender is accepted if not already provided. Respondent may not reapply for any license from the board for three (3) years from the

effective date of the surrender. Respondent shall meet all requirements applicable to the license sought as of the date the application for that license is submitted to the board, including any outstanding costs.

13. Certification Prior to Resuming Work (Pharmacy Technicians Only)

Respondent shall be suspended, and shall not work as a pharmacy technician, until ~~[he/she] has~~they have been certified as defined by Business and Professions Code section 4202, subdivision (a)(4), and has submitted proof of certification to the board, and has been notified by the board ~~or its designee~~ that ~~[he/she]~~they may begin work. Failure to achieve certification within six (6) months of the effective date shall be considered a violation of probation.

During suspension, respondent shall not enter any pharmacy area or any portion of any other board licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~do any act involving drug selection, selection of stock, manufacturing, compounding or dispensing; nor shall respondent manage, administer,~~exercise any of the privileges conveyed by the board or assist any licensee of the board. Respondent shall not have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During this suspension, respondent shall not engage in any activity that requires licensure as a pharmacy technician. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy or of the manufacture, distribution, wholesaling, or retailing of dangerous drugs and/or dangerous devices, or controlled substances~~.

Failure to comply with any such suspension shall be considered a violation of probation.

Option: Respondent shall maintain an active, current certification as defined by Business and Professions Code section 4202, subdivision (a)(4), for the entire period of probation, and shall submit proof of re-certification or renewal of certification to the board within ten (10) days of receipt. Failure to maintain active, current certification or to timely submit proof of same shall be considered a violation of probation.

14. Practice Requirement – Extension of Probation

Except during periods of suspension, respondent shall, at all times while on probation, be employed as a [insert license type] in California for a minimum of _____ hours per calendar month. Any month during which this minimum is not met shall extend the period of probation by one month. During any such period of insufficient employment, respondent must nonetheless comply with all terms and conditions of probation, unless respondent receives a waiver in writing from the board ~~or its designee~~.

If respondent does not practice as a [insert license type] in California for the minimum number of hours in any calendar month**,** for any reason (including vacation), respondent shall notify the board in writing within ten (10) days of the conclusion of that calendar month. This notification shall include at least: the date(s), location(s), and hours of last practice; the reason(s) for the interruption or reduction in practice; and the anticipated date(s) on which respondent will resume practice at the required level. Respondent shall further notify the board in writing within

ten (10) days following the next calendar month during which respondent practices as a [insert license type] in California for the minimum of hours. Any failure to timely provide such notification(s) shall be considered a violation of probation.

It is a violation of probation for respondent's probation to be extended pursuant to the provisions of this condition for a total period, counting consecutive and non-consecutive months, exceeding thirty-six (36) months. The board ~~or its designee~~ may post a notice of the extended probation period on its website.

Option: **(Pharmacist interns only)** During respondent's enrollment in a school or college of pharmacy, no minimum practice hours shall be required. Instead, respondent shall report to the board quarterly in writing, in a format and schedule as directed by the board ~~or its designee~~, on ~~[his/her]~~their compliance with academic and vocational requirements, and on ~~[his/her]~~their academic progress. Respondent must comply with all other terms and conditions of probation, unless notified in writing by the board ~~or its designee~~.

15. Violation of Probation

If respondent has not complied with any term or condition of probation, the board shall have continuing jurisdiction over respondent, and the board shall provide notice to respondent that probation shall automatically be extended, until all terms and conditions have been satisfied or the board has taken other action as deemed appropriate to treat the failure to comply as a violation of probation, to terminate probation, and to impose the penalty that was stayed. The board ~~or its designee~~ may post a notice of the extended probation period on its website.

If respondent violates probation in any respect, the board, after giving respondent notice and an opportunity to be heard, may revoke probation and carry out the disciplinary order that was stayed. If a petition to revoke probation or an accusation is filed against respondent during probation, or the preparation of an accusation or petition to revoke probation is requested from the Office of the Attorney General, the board shall have continuing jurisdiction and the period of probation shall be automatically extended until the petition to revoke probation or accusation is heard and decided.

16. Completion of Probation

Upon written notice by the board ~~or its designee~~ indicating successful completion of probation, respondent's license will be fully restored.

OPTIONAL CONDITIONS OF PROBATION

17. Suspension

As part of probation, respondent is suspended from practice as a [insert license type] for [day(s)/month(s)/year(s)] beginning the effective date of this decision.

During suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs that is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing

or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During this suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with this suspension shall be considered a violation of probation.

Option: During the period of suspension, respondent shall not leave California for any period exceeding ten (10) days, regardless of purpose (including vacation). Any such absence in excess of ten (10) days during the period of suspension shall be considered a violation of probation, and shall toll the suspension, i.e., the suspension shall be extended by one day for each day over ten (10) days respondent is absent from California. During any such period of tolling of suspension, respondent must nonetheless comply with all terms and conditions of probation, unless respondent is notified otherwise in writing by the board ~~or its designee~~.

Respondent shall notify the board ~~or its designee~~ in writing within ten (10) days of any departure from California, for any period, and shall further notify the board ~~or its designee~~ in writing within ten (10) days of return. Failure to timely provide such notification(s) shall be considered a violation of probation. Upon such departure and return, respondent shall not resume practice until notified by the board ~~or its designee~~ that the period of suspension has been satisfactorily completed.

18. Restricted Practice

Respondent's practice as a [insert license type] shall be restricted to [specify setting or type of practice] for the first _____year(s) of probation. Respondent shall submit proof satisfactory to the board ~~or its designee~~ of compliance with this term of probation.

Option: Respondent shall not [sterile] ~~prepare~~compound, supervise ~~oversee, or participate in the preparation of~~ [sterile] ~~compounds~~ compounding, or be involved in [sterile] compounding during the first _____year(s) of probation. Upon request, respondent shall submit to the board ~~or its designee on~~in writing, satisfactory proof of compliance with this restriction, including but not limited to a written acknowledgment of this restriction signed by (a) respondent's direct supervisor, (b) the pharmacist-in-charge, and (c) the owner or owner representative of ~~his or her~~their employer, which explains whether the workplace in question compounds drug ~~preparations~~ products and how this restriction will be enforced. Failure to abide by this restriction or to timely submit proof to the board ~~or its designee~~ shall be considered a violation of probation.

19. Pharmacist Examination (Pharmacists Only)

Respondent ~~shall~~ must pass the examinations required for licensure as defined by Business and Professions Code section 4200, subdivision (a)~~take and pass the [California Pharmacist Jurisprudence Examination (CPJE) [and/or] the North American Pharmacist Licensure Examination (NAPLEX)]~~ within six (6) months of the effective date of this decision. If respondent fails to take and pass the examination(s) within six (6) months of the effective of this decision, respondent shall be automatically suspended from practice. Respondent shall not resume the practice of pharmacy until ~~[he/she]~~they take~~s~~ and pass~~es~~ the ~~[CPJE and/or NAPLEX]~~examination(s) and is notified, in writing, that ~~[he/she] has~~they have passed the examination(s) and may resume practice. Respondent shall bear all costs of the examination(s) required by the board.

During any- suspension, respondent shall not enter any pharmacy area or any portion of any boardthe licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained. Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices and controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a pharmacist. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices and controlled substances~~.

Failure to comply with any suspension shall be considered a violation of probation.

Failure to take and pass the examination(s) within twelve (12) months of the effective date of this decision shall be considered a violation of probation.

If respondent fails to comply with licensure requirements as defined by Business and Professions Code section 4200, subdivision (a)~~take and pass the [CPJE and/or NAPLEX]~~ after four attempts, respondent shall successfully complete, at a minimum, sixteen (16) additional semester units of pharmacy education as approved by the board. Respondent shall complete the coursework, and submit proof of completion satisfactory to the board ~~or its designee~~, within three (3) months of the fourth failure of the examination. Failure to complete coursework or provide proof of such completion as required shall be considered a violation of probation.

20. Clinical Diagnostic Evaluation (Appropriate for those cases where evidence demonstrates that psychiatric disorders, mental ~~illness~~health issues, emotional disturbance, gambling addiction), diversion, self-administration, or ~~ab~~use of alcohol or drugs, or disability was a contributing cause of the violation(s).)

Within thirty (30) days of the effective date of this decision, and on a periodic basis thereafter if required by the board ~~or its designee~~, respondent shall undergo, at ~~[his/her]~~their own expense, clinical diagnostic evaluation(s) by a practitioner selected or approved prior to the evaluation by the board ~~or its designee~~. The approved evaluator shall be provided with a copy of the board's [accusation, petition to revoke probation, or other pleading] and decision. Respondent shall sign a release ~~authorizing~~ authorizing the evaluator to furnish the board with a current diagnosis and a written report regarding the respondent's judgment and ability to function independently as a [insert license type] with safety to the public. If the evaluator recommends restrictions or conditions on respondent's practice, including but not limited to other terms and ~~conditions~~ conditions listed in these guidelines (e.g., required psychotherapy, inpatient treatment, prescription coordination and monitoring, restricted practice), the board ~~or its designee~~ may by written notice to respondent adopt any such restrictions or conditions as additional probation terms and conditions, violation of which shall be considered a violation of probation. Failure to comply with any requirement or deadline stated by this paragraph shall be considered a violation of probation.

If at any time the approved evaluator or therapist determines that respondent is unable to practice safely or independently, the licensed mental health practitioner shall notify the board immediately by telephone and follow up by written letter or email within three (3) working days.

Upon notification from the board ~~or its designee~~ of this determination, respondent shall be automatically suspended and shall not resume practice until notified by the board ~~or its designee~~ that practice may resume.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

Option 1: (Appropriate for those cases where evidence demonstrates ~~ab~~use of alcohol or drugs. Option language to be used in addition to standard language**)**:
Commencing on the effective date of this decision, respondent is suspended from practice and shall not practice as a [insert license type] until:

- Respondent has undergone and completed clinical diagnostic evaluation(s);
- The report(s) of the evaluation(s) has/have been received by the board ~~or its designee~~;
- One or more report(s) has concluded that respondent is safe to return to practice as a [insert license type];
- The board ~~or its designee~~ is satisfied that respondent is safe to return to practice as a [insert license type];
- Respondent receives written notice from the board ~~or its designee~~ that practice may resume.

For all such evaluations, a final written report shall be provided to the board no later than ten (10) days from the date the evaluator is assigned the matter unless the evaluator requests additional information to complete the evaluation, not to exceed thirty (30) days.

During any suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained. Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premise~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement, including any suspension or deadline stated by this term shall be considered a violation of probation.

Option 2 Option language to be used in addition to standard language when deemed appropriate: Commencing on the effective date of this decision, respondent is suspended from practice and shall not practice as a [insert license type] until the evaluator recommends that respondent return to practice, this recommendation is accepted by the board ~~or its designee~~, and respondent receives written notice from the board ~~or its designee~~ that practice may resume.

The final written report of the evaluation shall be provided to the board no later than ten (10) days from the date the evaluator is assigned the matter unless the evaluator requests additional information to complete the evaluation, not to exceed thirty (30) days.

During any suspension, respondent shall not enter any pharmacy area or any portion of the licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

Option 3: If recommended by evaluator, the board ~~or its designee~~ may suspend respondent from practice as a [insert license type] by providing written notice of suspension to the respondent. Upon suspension, respondent shall not resume practice as a [insert license type] until: 1) another evaluation is done at respondent's expense by a licensed practitioner selected or approved by the board ~~or its designee~~; 2) the evaluator recommends that respondent return to practice; 3) the board ~~or its designee~~ accepts the recommendation; 4) and the board notifies the respondent in writing that practice may resume.

The report(s) from any such additional evaluation(s) shall be provided to the board ~~or its designee~~ in writing by the evaluator no later than ten (10) days from the date the evaluator is assigned the matter unless the evaluator requests additional information to complete the evaluation, not to exceed thirty (30) days.

During any suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing,~~
~~distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

21. Psychotherapy (Appropriate for those cases where the evidence demonstrates psychiatric disorders (mental ~~illness~~health issues, emotional disturbance, gambling addiction,) ~~or~~ alcohol or drug ~~ab~~use was involved in the violation(s).)

Within thirty (30) days of the effective date of this decision, respondent shall submit to the board ~~or its designee~~, for prior approval, the name and qualifications of a licensed mental health practitioner of respondent's choice. Within thirty (30) days of approval thereof, respondent shall submit documentation to the board demonstrating the commencement of psychotherapy with the approved licensed mental health practitioner. Respondent shall sign a release authorizing the mental health practitioner to furnish the board with a current diagnosis and a written report regarding the respondent's ability to function independently as a [insert license type] with no harm to the public. Should respondent, for any reason, cease treatment with the approved licensed mental health practitioner, respondent shall notify the board immediately and, within thirty (30) days of ceasing treatment, submit the name of a replacement psychotherapist or licensed mental health practitioner of respondent's choice to the board for its prior approval. Within thirty (30) days of approval thereof, respondent shall submit documentation to the board demonstrating the commencement of psychotherapy with the approved replacement. Failure to comply with any requirement or deadline stated by this paragraph shall be considered a violation of probation.

Upon approval of the initial or any subsequent licensed mental health practitioner, respondent shall undergo and continue treatment with that therapist, at respondent's own expense, until the therapist recommends in writing to the board, and the board ~~or its designee~~ agrees by way of a written notification to respondent, that no further psychotherapy is necessary. Upon receipt of such recommendation from the treating therapist, and before determining whether to accept or reject said recommendation, the board ~~or its designee~~ may require respondent to undergo, at respondent's own expense, a mental health evaluation by a board-appointed or board-approved psychiatrist or psychologist. If the approved evaluator recommends that respondent continue psychotherapy, the board ~~or its designee~~ may require respondent to continue psychotherapy.

Psychotherapy shall be at least once a week unless otherwise approved by the board. Respondent shall provide the therapist with a copy of the board's accusation and decision no later than the first therapy session. Respondent shall take all necessary steps to ensure that the treating therapist submits written quarterly reports to the board concerning respondent's fitness to practice, progress in treatment, and such other information required by the board ~~or its designee~~.

If at any time the treating therapist determines that respondent cannot practice safely or independently, the therapist shall notify the board immediately by telephone and follow up by written letter or email within three (3) working days. Upon notification from the board ~~or its designee~~ of this determination, respondent shall be automatically suspended and shall not resume practice

until notified by the board that practice may be resumed.

During any suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing

or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances. Respondent shall not resume practice until notified by the board.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

22. Medical Evaluation (Appropriate for those cases where the evidence demonstrates that the respondent has had a physical problem/disability which was a contributing cause of the violations and which may affect the respondent's ability to practice.)

Within thirty (30) days of the effective date of this decision, and on a periodic basis thereafter as may be required by the board ~~or its designee~~, respondent shall undergo a medical evaluation, at respondent's own expense, by a board-appointed or board-approved ~~physician~~ health care practitioner who shall
furnish a medical report to the board. The approved ~~physician~~ practitioner shall be provided with a copy of the board's [accusation, petition to revoke probation, or other pleading] and decision. A
record of this notification must be provided to the board upon request. Respondent shall sign a release authorizing the ~~physician~~ practitioner to furnish the board with a current diagnosis and a written report regarding the respondent's ability to function independently as [insert license type] with ~~safety~~ no harm to the public. If the ~~physician~~ practitioner recommends restrictions or conditions on respondent's practice, including but not limited to other terms and conditions listed in these guidelines (e.g., required ~~psychotherapy~~mental health treatment, inpatient treatment, prescription coordination and monitoring, restricted practice), the board ~~or its designee~~ may by written notice to respondent adopt any such restrictions or conditions as additional probation terms and conditions, violation of which shall be considered a violation of probation.

If the physician recommends, and the board ~~or its designee~~ directs, that respondent undergo medical treatment, respondent shall, within thirty (30) days of written notice from the board, submit to the board ~~or its designee~~, for prior approval, the name and qualifications of a licensed ~~physician~~ health care practitioner of respondent's choice. Within thirty (30) days of approval thereof, respondent shall submit documentation to the board demonstrating the commencement of treatment with the
approved ~~physician~~practitioner. Should respondent, for any reason, cease treatment with the approved ~~physician~~practitioner, respondent shall notify the board immediately and, within thirty (30) days of ceasing treatment, submit the name of a replacement ~~physician~~ practitioner of respondent's choice to the board ~~or its designee~~ for prior approval. Within thirty (30) days of approval thereof, respondent shall submit documentation to the board demonstrating the commencement of treatment with the approved replacement. Failure to comply with any deadline stated by this paragraph shall be considered a violation of probation.

Upon approval of the initial or any subsequent ~~physician~~practitioner, respondent shall undergo and continue treatment with that ~~physician~~practitioner, at respondent's own expense, until the treating ~~physician~~ practitioner recommends in writing to the board, and the board ~~or its designee~~ agrees by way of a written notification to respondent, that no further treatment is necessary.

Upon receipt of such recommendation from the treating ~~physician~~practitioner, and before determining whether to accept or reject said recommendation, the board ~~or its designee~~ may require respondent to undergo, at respondent's own expense, a medical evaluation by a separate board-appointed or board- approved ~~physician~~health care practitioner. If the approved evaluating ~~physician~~ practitioner recommends that respondent continue treatment, the board ~~or its designee~~ may require respondent to continue treatment.

Respondent shall take all necessary steps to ensure that any treating ~~physician~~ practitioner submits written quarterly reports to the board concerning respondent's fitness to practice, progress in treatment, and other such information as may be required by the board ~~or its designee~~.

If at any time an approved evaluating ~~physician~~ practitioner or respondent's approved treating ~~physician~~ practitioner determines that respondent is unable to practice safely or independently as a [insert license type], the evaluating or treating ~~physician~~ practitioner shall notify the board immediately by telephone and follow up by written letter or email within three (3) working days. Upon notification from the board ~~or its designee~~ of this determination, respondent shall be automatically suspended and shall not resume practice until notified by the board that practice may be resumed.

During any suspension, respondent shall not enter any pharmacy area or any portion of any board~~the~~ licensed premises ~~of a wholesaler, third-party logistics providers, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained.

Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

(Option language to be used in addition to standard language when suspension is warranted until the evaluation is completed.)
Option 1: Commencing on the effective date of this decision, respondent shall not engage in the practice as a [insert license type] until notified in writing by the board that respondent has been deemed medically fit to practice safely and independently, and the board ~~or its designee~~ approves said recommendation.

During this suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal~~ drug retailer, ~~or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled

substances are maintained.

Respondent shall not ~~practice as a [insert license type]~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances. Respondent shall not resume practice until notified by the board.

During this suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

23. **Pharmacists Recovery Program (PRP)** (Appropriate for those cases where evidence demonstrates substance abuse or psychiatric disorders (mental ~~illness~~health issues, emotional disturbance, gambling addiction or substance abuse or misuse) (Pharmacists and Pharmacist Interns Only)

By no later than ten (10) days after the effective date of this decision, respondent shall have completed all of the following: contacted the Pharmacists Recovery Program (PRP) for evaluation; enrolled in the PRP; completed, signed, and returned the treatment contract as well as any addendums required or suggested by the PRP; successfully completed registration for any drug or alcohol testing mandated by the treatment contract and/or by enrollment in the PRP; and begun compliance with the drug or alcohol testing protocol(s). Respondent shall successfully participate in the PRP and complete the treatment contract and any addendums required or suggested by the PRP. The costs for PRP participation shall be borne by the respondent.

If respondent is currently enrolled in the PRP, said participation is now mandatory and as of the effective date of this decision is no longer considered a self-referral under Business and Professions Code section 4362 (a)(2). Respondent shall successfully participate in and complete ~~his or her~~their current contract and any subsequent addendums with the PRP.

Respondent shall pay administrative fees as invoiced by the PRP or its designee. Fees not timely paid to the PRP shall constitute a violation of probation. The board will collect unpaid administrative fees as part of the annual probation monitoring costs if not submitted to the PRP.

Any of the following shall result in the automatic suspension of practice by respondent and shall be considered a violation of probation:

- Failure to contact, complete enrollment, and execute and return the treatment contract with the PRP, including any addendum(s), within ten (10) days of the effective date of the decision as directed by the PRP;
- Failure to complete registration for any drug or alcohol testing mandated by the treatment contract and/or by the PRP, and begin compliance with the testing protocol(s), within ten (10) days of the effective date of the decision as directed by the PRP;

- Failure to comply with testing protocols regarding daily check-in and/or failure to complete a mandated test as directed by the PRP;
- Any report from the PRP of material non-compliance with the terms and conditions of the treatment contract and/or any addendum(s); or
- Termination by the PRP for non-compliance, failure to derive benefit, or as a public risk.

Respondent may not resume the practice of pharmacy until notified by the board in writing.

Probation shall be automatically extended until respondent successfully completes the PRP. The board will provide notice of any such suspension or extension of probation.

During any suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained. Respondent shall not ~~practice as a [insert license type]~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

(Option language to be used in addition to standard language when appropriate to ensure licensee works in an access position while being monitored.)
Option: Respondent shall work in a pharmacy setting with access to controlled substances for six (6) consecutive months before successfully completing the PRP. If respondent fails to do so, probation shall be automatically extended until this condition has been met. Failure to satisfy this condition within six (6) months beyond the original date of expiration of the term of probation shall be considered a violation of probation.

24. Drug and Alcohol Testing (Appropriate for those cases where the evidence demonstrates substance use.)

Respondent, at ~~[his/her]~~their own expense, shall participate in testing as directed by the board ~~or its designee~~ for the detection of alcohol, controlled substances, and dangerous drugs and/or dangerous devices. Testing protocols may include biological fluid testing (urine, blood), breathalyzer, hair follicle testing, or other testing protocols as directed by the board ~~or its designee~~. All testing must be pursuant to an observed testing protocol, unless respondent is informed otherwise in writing by the board ~~or its designee~~. Respondent may be required to participate in testing for the entire probation period and frequency of testing will be determined

by the board ~~or its designee~~.

By no later than thirty (30) days after the effective date of this decision, respondent shall have completed all of the following tasks: enrolled and registered with an approved drug and alcohol testing vendor; provided that vendor with any documentation, and any information necessary for payment by respondent; commenced testing protocols, including all required contacts with the testing vendor to determine testing date(s); and begun testing. At all times, respondent shall fully cooperate with the testing vendor, and with the board ~~or its designee~~, with regard to enrollment, registration, and payment for, and compliance with, testing. Any failure to cooperate timely shall be considered a violation of probation.

Respondent may be required to test on any day, including weekends and holidays. Respondent is required to make daily contact with the testing vendor to determine if a test is required, and if a test is required must submit to testing on the same day.

Prior to any vacation or other period of absence from the area where the approved testing vendor provides services, respondent shall seek and receive approval from the board ~~or its designee~~ to use an alternate testing vendor to ensure testing can occur. Upon approval, respondent shall enroll and register with the approved alternate drug testing vendor, provide to that alternate vendor any documentation required by the vendor, including any necessary payment by respondent. During the period of absence of the area, respondent shall commence testing protocols with the alternate vendor, including required daily contacts with the testing vendor to determine if testing is required, and required testing. Any failure to timely seek or receive approval from the board ~~or its designee~~, or to timely enroll and register with, timely commence testing protocols with, or timely undergo testing with, the alternate testing vendor, shall be considered a violation of probation.

Upon detection of an illicit drug, controlled substance or dangerous drug, the board ~~or its designee~~ may require respondent to timely provide documentation from a licensed practitioner authorized to prescribe the detected substance demonstrating that the substance was administered or ingested pursuant to a legitimate prescription issued as a necessary part of treatment. All such documentation shall be provided by respondent within ten (10) days of being requested.

Any of the following shall be considered a violation of probation and shall result in respondent being immediately suspended from practice as a [insert license type] until notified by the board in writing that ~~[he/she]~~they may resume practice: failure to timely complete all of the steps required for enrollment/registration with the drug testing vendor, including making arrangements for payment; failure to timely commence drug testing protocols; failure to contact the drug testing vendor as required to determine testing date(s); failure to test as required; failure to timely supply documentation demonstrating that a detected substance was taken pursuant to a legitimate prescription issued as a necessary part of treatment; and/or detection through testing of alcohol, or of an illicit drug, or of a controlled substance or dangerous drug absent documentation that the detected substance was taken pursuant to a legitimate prescription and a necessary treatment. In the event of a suspension ordered after detection through testing of alcohol, an illicit drug, or of a controlled substance or dangerous drug absent documentation that the detected substance was taken pursuant to a legitimate prescription and a necessary treatment, the board ~~or its designee~~ shall inform respondent of the suspension and inform ~~[him/her]~~them to immediately leave work, and shall notify respondent's employer(s) and work site monitor(s) of the suspension.

During any such suspension, respondent shall not enter any pharmacy area or any portion of any board
~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or~~

~~any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained. Respondent shall not ~~practice pharmacy~~exercise any of the privileges by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices and controlled substances.

During any such suspension, respondent shall not engage in any activity that requires the professional judgment of and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy, or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices~~.

Failure to comply with any such suspension shall be considered a violation of probation. Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

25. Notification of Departure

Within three (3) business days, ~~Prior~~ prior to leaving the probationary geographic area designated by the board ~~or its designee~~ for a period greater than twenty-four (24) hours, respondent shall notify the board verbally and in writing of the dates of departure and return. Failure to comply with this provision shall be considered a violation of probation.

26. Abstain from Drugs and Alcohol
(Appropriate for those cases where the evidence demonstrates substance use.)

Respondent shall completely abstain from the possession or use of alcohol, controlled substances, illicit drugs, dangerous drugs and/or dangerous devices, or their associated paraphernalia, except when possessed or used pursuant to a legitimate prescription issued as a necessary part of treatment. Respondent shall ensure that ~~[he/she] is~~they are not in the same physical location as individuals who are using illicit substances even if respondent is not personally ingesting the drugs. Any possession or use of alcohol, dangerous drugs and/or dangerous devices or controlled substances, or their associated paraphernalia for which a legitimate prescription has not been issued as a necessary part of treatment, or any physical proximity to persons using illicit substances, shall be considered a violation of probation.
Respondent shall sign an acknowledgment confirming receipt of a list of examples of prohibited substances.

27. Prescription Coordination and Monitoring of Prescription Use (Appropriate for those cases where the evidence demonstrates substance use or psychiatric disorders (mental ~~illness~~health, emotional disturbance, gambling addiction)

Within thirty (30) days of the effective date of this decision, respondent shall submit to the board, for its prior approval, the name and qualifications of a single ~~physician, nurse practitioner, physician assistant, or psychiatrist~~practitioner of respondent's choice, who shall be aware of the respondent's history [with the use of alcohol, illicit drugs, controlled substances, and/or dangerous drugs, and/or of mental ~~illness~~health issues, and/or of gambling addiction] and who will coordinate and monitor any prescriptions for respondent for dangerous drugs and/or dangerous devices, controlled substances or mood-altering drugs. The approved practitioner shall be provided with a copy of the board's [accusation, petition to revoke probation, or other pleading] and decision. A record of this notification must be provided to the board ~~or its designee~~ upon request. Respondent shall sign a release authorizing the practitioner to

communicate with the board ~~or its designee~~ about respondent's treatment(s). The coordinating ~~physician, nurse practitioner, physician assistant, or psychiatrist~~practitioner shall report to the board on a quarterly basis for the duration of probation regarding respondent's compliance with this condition. If any substances considered addictive have been prescribed, the report shall identify a program for the time limited use of any such substances. The board ~~or its designee~~ may require that the single coordinating ~~physician, nurse practitioner, physician assistant or psychiatrist~~practitioner be a specialist in addictive medicine, or consult a specialist in addictive medicine. Should respondent, for any reason, cease supervision by the approved practitioner, respondent shall notify the board ~~or its designee~~ immediately and, within thirty (30) days of ceasing supervision, submit the name of a replacement ~~physician, nurse practitioner, physician assistant, or psychiatrist~~practitioner of respondent's choice to the board ~~or its designee~~ for its prior approval. Failure to timely submit the selected practitioner or replacement practitioner to the board ~~or its designee~~ for approval, or to ensure the required quarterly reporting thereby, shall be considered a violation of probation.

If at any time an approved practitioner determines that respondent is unable to practice safely or independently as a [insert license type], the practitioner shall notify the board ~~or its designee~~ immediately by telephone and follow up by written letter or email within three (3) working days. Upon notification from the board ~~or its designee~~ of this determination, respondent shall be automatically suspended and shall not resume practice as a [insert license type] until notified by the board ~~or its designee~~ that practice may be resumed.

During ~~any~~ suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer, or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained. Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices and controlled substances. Respondent shall not resume practice until notified by the board.

During ~~any~~ suspension, respondent shall not engage in any activity that requires the professional judgment and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy or of the manufacturing, distributing, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any requirement or deadline stated by this term shall be considered a violation of probation.

28. Facilitated Group Recovery and/or Support Meetings (Appropriate for those cases where the evidence demonstrates substance use. Pharmacists and Pharmacist Interns Only)

Within thirty (30) days of the effective date of this decision, respondent shall begin regular attendance at a group recovery and/or support meeting that is run by a trained facilitator approved in advance by the board~~ or its designee~~. The required frequency of group meeting attendance shall be determined by the board~~ or its designee~~. Respondent shall continue regular attendance as directed at an approved facilitated group meeting until the board ~~or its designee~~ advises the respondent in writing that ~~[he/she]~~they may cease regular attendance.

Respondent shall provide signed and dated documentation of attendance as required with each quarterly report. Failure to attend as required or to submit documentation of attendance shall be

considered a violation of probation.

If respondent is required to participate in the PRP, compliance with this term can be demonstrated through that program. Where respondent is enrolled in the PRP, participation as required in a facilitated group meeting approved by the PRP shall be sufficient for satisfaction of this requirement. Any deviation from participation requirements for the PRP-approved group shall be considered a violation of probation.

29. Attend Substance Abuse Recovery Relapse Prevention and Support Groups (Appropriate for those cases where the evidence demonstrates substance use.)

Within thirty (30) days of the effective date of this decision, respondent shall begin regular attendance at a recognized and established substance abuse recovery support group in California (e.g., Alcoholics Anonymous, Narcotics Anonymous, etc.) which has been approved by the board ~~or its designee~~. Respondent must attend the number of group meetings per week or month directed by the board ~~or its designee~~, which shall typically be at least one per week. Respondent shall continue regular attendance and submit signed and dated documentation confirming attendance with each quarterly report for the duration of probation. Failure to attend or submit documentation thereof shall be considered a violation of probation.

Where respondent is enrolled in the PRP, participation as required in a recovery group meeting approved by the PRP shall be sufficient for satisfaction of this requirement. Any deviation from participation requirements for the PRP-approved group shall be considered a violation of probation.

30. Work Site Monitor (Appropriate for those cases where the evidence demonstrates substance use.)

Within ten (10) days of the effective date of this decision, respondent shall identify a work site monitor, for prior approval by the board ~~or its designee~~, who shall be responsible for supervising respondent during working hours. Respondent shall be responsible for ensuring that the work site monitor reports in writing to the board monthly or on another schedule as directed by the board ~~or its designee~~. Should the designated work site monitor suspect at any time during the probationary period that respondent has abused alcohol or drugs, ~~he or she~~they shall notify the board immediately.

In the event of suspected abuse, the monitor shall make at least oral notification within one (1) business day of the occurrence, and shall be followed by written notification within two (2) business days of the occurrence. If, for any reason, including change of employment, respondent is no longer able to be monitored by the approved work site monitor, within ten (10) days respondent shall designate a new work site monitor for approval by the board ~~or its designee~~. Failure to timely identify an acceptable initial or replacement work site monitor, or to ensure monthly reports are submitted to the board by the monitor, shall be considered a violation of probation.

Within thirty (30) days of being approved by the board ~~or its designee~~, the work site monitor shall sign an affirmation that ~~he or she has~~they have reviewed the terms and conditions of respondent's disciplinary order and agrees to monitor respondent. The work site monitor shall at least:

1) Have regular face-to-face contact with respondent in the work environment, at least once per week or with greater frequency if required by the board ~~or its designee~~;
2) Interview other staff in the office regarding respondent's behavior, if applicable; and
3) Review respondent's work attendance.

The written reports submitted to the board ~~or its designee~~ by the work site monitor shall include at least the following information: respondent's name and license number; the monitor's name, license number (if applicable) and work site location; the date(s) the monitor had face-to-face contact with respondent; the staff interviewed, if applicable; an attendance report; notes on any changes in respondent's behavior or personal habits; notes on any indicators that may lead to substance abuse; and the work site monitor's signature.

Respondent shall complete the required consent forms and sign an agreement with the work site monitor and the board to allow the board to communicate with the work site monitor.

Option (Alternate language that is appropriate for respondents enrolled in PRP or who are given the PRP enrollment term: It is a condition of respondent's enrollment in the Pharmacists Recovery Program (PRP) that ~~[he/she] is~~they are required to have a work site monitor approved by the PRP who shall be responsible for supervising respondent during working hours. Respondent shall be responsible for ensuring that the work site monitor reports in writing to the PRP monthly or on another schedule as directed by the PRP. Should the designated work site monitor suspect at any time during the probationary period that respondent has abused alcohol or drugs, ~~he or she~~they shall notify the PRP immediately. The initial notification shall be made orally within one (1) business day of the occurrence, which shall be followed by written notification within two (2) business days of the occurrence. If, for any reason, including change of employment, respondent is no longer able to be monitored by the approved work site monitor, within ten (10) days of commencing new employment for prior approval by the PRP. Failure to identify an acceptable initial or replacement work site monitor, or to ensure monthly reports are submitted to the PRP by the work site monitor, shall be considered a violation of probation.

Within thirty (30) days of being approved by the PRP, the work site monitor shall sign an affirmation that ~~he or she has~~they have reviewed the terms and conditions of respondent's disciplinary order and agrees to monitor respondent. The work site monitor shall at least:

1) Have regular face-to-face contact with respondent in the work environment, at least once per week or with greater frequency if required by the board ~~or its designee~~;
2) Interview other staff in the office regarding respondent's behavior, if applicable; and
3) Review respondent's work attendance.

The written reports submitted to the PRP by the work site monitor shall include at least the following information: respondent's name and license number; the monitor's name, license number (if applicable) and work site location; the date(s) the monitor had face-to-face contact with respondent; the staff interviewed, if applicable; an attendance report; notes on any changes in respondent's behavior or personal habits; notes on any indicators that may lead to substance abuse; and the work site monitor's signature.

Respondent shall complete the required consent forms and sign an agreement with the work site monitor and the board to allow the board to communicate with the work site monitor.

31. Community Service~~s~~ Program

Within sixty (60) days of the effective date of this decision, respondent shall submit to the board ~~or its designee~~, for prior approval, a community service program in which respondent shall provide free [insert type of service, e.g., health-care related services] on a regular basis to a community or charitable facility or agency for at least _____hours per _____for the first _____of probation. Within thirty (30) days of board approval thereof, respondent shall submit documentation to the board ~~or its designee~~ demonstrating commencement of the community service program. Respondent shall report on progress with the community service program in the quarterly reports and provide satisfactory documentary evidence of such

progress to the board ~~or its designee~~ upon request. Failure to timely submit, commence, or comply with the program shall be considered a violation of probation.

32. Restitution (Appropriate in cases of drug diversion, theft, fraudulent billing, or patient harm resulting from negligence or incompetence.)

Within _____ days of the effective date of this decision, respondent shall pay restitution to _____ in the amount of $_____. Failure to make restitution by this deadline shall be considered a violation of probation.

33. Remedial Education

Within [thirty (30), sixty (60), ninety (90)] days of the effective date of this decision, respondent shall submit to the board ~~or its designee~~, for prior approval, an appropriate program of remedial education related to [the grounds for discipline]. The program of remedial education shall consist of at least _____hours, which shall be completed within _____months/year at respondent's own expense. All remedial education shall be in addition to, and shall not be credited toward, continuing education (CE) courses used for license renewal purposes for pharmacists.

Failure to timely submit for approval or complete the approved remedial education shall be considered a violation of probation. The period of probation will be automatically extended until such remedial education is successfully completed and written proof, in a form acceptable to the board, is provided to the board ~~or its designee~~.

Following the completion of each course, the board ~~or its designee~~ may require the respondent, at ~~[his/her]~~their own expense, to take an approved examination to test the respondent's knowledge of the course. If the respondent does not achieve a passing score, as determined by the provider, on the examination that course shall not count towards satisfaction of this term. Respondent shall take another course approved by the board in the same subject area.

Option: Respondent shall be restricted from the practice of [areas where a serious deficiency has been identified] until the remedial education program has been successfully completed.

34. Ethics Course (Pharmacists, Advanced Practice Pharmacists and Pharmacist Intern Only)

Within sixty (60) calendar days of the effective date of this decision, respondent shall enroll in a course in ethics, at respondent's expense, approved in advance by the board ~~or its designee~~ that complies with Title 16 California Code of Regulations section 1773.5. ~~Respondent~~ Within five (5) days of enrollment, respondent shall provide proof of enrollment ~~upon request~~to the board. Within five (5) days of completion, respondent shall submit a copy of the certificate of completion to the board ~~or its designee~~. Failure to timely enroll in an approved ethics course, to initiate the course during the first year of probation, to successfully complete it before the end of the second year of probation, or to timely submit proof of completion to the board ~~or its designee~~, shall be considered a violation of probation.

35. Supervised Practice (See Option for Pharmacy Technicians.)

Within thirty (30) days of the effective date of this decision, respondent shall submit to the board ~~or its designee~~, for prior approval, the name of a [insert license type] licensed by and not on probation with the board, to serve as respondent's practice supervisor. As part of the documentation submitted, respondent shall cause the proposed practice supervisor to report to the board in writing acknowledging that ~~he or she has~~they have read the decision in case

number [insert case number], and is familiar with the terms and conditions imposed thereby, including the level of supervision required by the board ~~or its designee~~. This level will be determined by the board ~~or its designee~~, will be communicated to the respondent on or before the effective date of this decision and shall be one of the following:

Continuous – At least 75% of a work week
Substantial - At least 50% of a work week
Partial - At least 25% of a work week
Daily Review - Supervisor's review of probationer's daily activities within 24 hours

Respondent may practice only under the required level of supervision by an approved practice supervisor. If, for any reason, including change of employment, respondent is no longer supervised at the required level by an approved practice supervisor, within ten (10) days of this change in supervision respondent shall submit to the board ~~or its designee~~, for prior approval, the name of a [insert license type] licensed by and not on probation with the board, to serve as respondent's replacement practice supervisor. As part of the documentation submitted, respondent shall cause the proposed replacement practice supervisor to report to the board in writing acknowledging that ~~he or she has~~they have read the decision in case number [insert case number], and is familiar with the terms and conditions imposed thereby, including the level of supervision required.

Any of the following shall result in the automatic suspension of practice by a respondent and shall be considered a violation of probation:

- Failure to nominate an initial practice supervisor, and to have that practice supervisor report to the board in writing acknowledging the decision, terms and conditions, and supervision level, within thirty (30) days;
- Failure to nominate a replacement practice supervisor, and to have that practice supervisor report to the board in writing acknowledging the decision, terms and conditions, and supervision level, within ten (10) days;
- Practicing in the absence of an approved practice supervisor beyond the initial or replacement nomination period; or
- Any failure to adhere to the required level of supervision.

Respondent shall not resume practice until notified in writing by the board ~~or its designee~~.

During any suspension, respondent shall not enter any pharmacy area or any portion of any board ~~the~~ licensed premises ~~of a wholesaler, third-party logistics provider, veterinary food-animal drug retailer or any other distributor of drugs which is licensed by the board, or any manufacturer, or any area~~ where dangerous drugs and/or dangerous devices or controlled substances are maintained. Respondent shall not ~~practice pharmacy~~exercise any of the privileges conveyed by the board nor do any act involving drug selection, selection of stock, manufacturing, compounding, dispensing or patient consultation; nor shall respondent manage, administer, or be a consultant to any licensee of the board, or have access to or control the ordering, distributing, manufacturing or dispensing of dangerous drugs and/or dangerous devices or controlled substances.

During any suspension, respondent shall not engage in any activity that requires the professional judgment and/or licensure as a [insert license type]. Respondent shall not direct or control any aspect of any board licensed premises~~the practice of pharmacy or of the manufacture, distribution, wholesaling, or retailing of dangerous drugs and/or dangerous devices or controlled substances~~.

Failure to comply with any suspension shall be considered a violation of probation.

Option: (For Pharmacy Technicians Only)

Within thirty (30) days of the effective date of this decision, respondent shall submit to the board ~~or its designee~~, for prior approval, the name of a pharmacist licensed by and not on probation with the board, to serve as respondent's practice supervisor. As part of the documentation submitted, respondent shall cause the proposed practice supervisor to report to the board in writing acknowledging that ~~her or she has~~they have read the decision in case number [insert case number], and is familiar with the terms and conditions imposed thereby, including the level of supervision required by the board ~~or its designee~~. Respondent may have multiple supervisors approved by the board if necessary to meet respondent's work requirements.

Any of the following shall be considered a violation of probation: failure to timely nominate either an initial or a replacement practice supervisor; failure to cause the practice supervisor to timely report to the board in writing acknowledging the decision, terms and conditions, and supervision level; practicing in the absence of an approved practice supervisor after lapse of the nomination period; and/or failure to adhere to the level of supervision required by the board ~~or its designee~~. If any of these obligations or prohibitions is not met, respondent shall be prohibited from practice as a [insert license type] and may not resume such practice until notified by the board ~~or its designee~~ in writing.

36. No Ownership or Management of Licensed Premises

Respondent shall not own, have any legal or beneficial interest in, nor serve as a manager, administrator, member, officer, director, trustee, associate, or partner of any business, firm, partnership, or corporation currently or hereinafter licensed by the board. Respondent shall sell or transfer any legal or beneficial interest in any entity licensed by the board within ninety (90) days following the effective date of this decision and shall immediately thereafter provide written proof thereof to the board. Failure to timely divest any legal or beneficial interest(s) or provide documentation thereof shall be considered a violation of probation.

Option (To be used in place of the standard language in those circumstances where respondent is permitted to continue existing ownership of a licensed entity): Respondent shall not acquire any new ownership, legal or beneficial interest nor serve as a manager, administrator, member, officer, director, trustee, associate, or partner of any additional business, firm, partnership, or corporation licensed by the board. If respondent currently owns or has any legal or beneficial interest in, or serves as a manager, administrator, member, officer, director, trustee, associate, or partner of any business, firm, partnership, or corporation currently or hereinafter licensed by the board, respondent may continue to serve in such capacity or hold that interest, but only to the extent of that position or interest as of the effective date of this decision. Violation of this restriction shall be considered a violation of probation.

37. Separate File of Controlled Substances Records (Pharmacist owners and pharmacists-in-charge)

Respondent shall maintain and make available for inspection a separate file of all records pertaining to the acquisition or disposition of all controlled substances. Failure to maintain such file or make it available for inspection shall be considered a violation of probation.

38. Report of Controlled Substances (Pharmacist owners and pharmacists-in-charge)

Respondent shall submit reports to the board detailing the total acquisition and disposition of such controlled substances as the board ~~or its designee~~ may direct. Respondent shall specify the manner of disposition (e.g., by prescription, due to burglary, etc.) or acquisition (e.g., from a manufacturer, from another retailer, etc.) of such controlled substances. Respondent shall report on a quarterly basis or as directed by the board ~~or its designee~~. The report shall be delivered or mailed to the board no later than ten (10) days following the end of the reporting period as determined by the board ~~or its designee~~. Failure to timely prepare or submit such reports shall be considered a violation of probation.

39. No Access to Controlled Substances

During the period of probation and as directed by the board ~~or its designee~~, respondent shall not order, possess, dispense or otherwise have access to any controlled substance(s) in Schedules I, II, III, IV or V (Health and Safety Code sections 11054 -11058 inclusive). Respondent shall not order, receive or retain any security prescription forms. Failure to comply with this restriction shall be considered a violation of probation.

40. Criminal Probation/Parole Reports

Within ten (10) days of the effective date of this decision, or within ten (10) days of the issuance or assignment/replacement of same, whichever is earlier, respondent shall provide the board ~~or its designee~~ in writing: a copy of the conditions of any criminal probation/parole applicable to respondent; and the name and contact information of any probation, parole or similar supervisory officer assigned to respondent. Respondent shall provide a copy of all criminal probation/parole reports to the board within ten (10) days after such report is issued. Failure to timely make any of the submissions required hereby shall be considered a violation of probation.

41. Board's One-Day Training Program

Within the first year of probation, respondent shall enroll in the board's one-day, six (6) hour, training program, *"Preventing Prescription Drug Abuse and Drug Diversion."* Respondent shall provide proof of enrollment within five (5) days of enrollment. Within five (5) days of completion, Respondent shall submit a copy of the certificate of completion to the board. Failure to timely enroll in the training program, to initiate the training program during the first year of probation, to successfully complete it before the end of the second year of probation, or to timely submit proof of completion to the board, shall be considered a violation of probation.

42. Surrender of DEA Permit (Pharmacists, Advanced Practice Pharmacists and Pharmacist Intern Only)

Within thirty (30) days of the effective date of this decision, respondent shall surrender ~~[his/her]~~their federal Drug Enforcement Administration (DEA) permit to the DEA, for cancellation. Respondent shall provide documentary proof of such cancellation to the board ~~or its designee~~. Respondent is prohibited from dispensing, furnishing, or otherwise providing dangerous drugs

and/or dangerous devices or controlled substances until the board has received satisfactory proof of cancellation. Thereafter, respondent shall not apply/reapply for a DEA registration number without the prior written consent of the board ~~or its designee~~.

Option 1: Respondent may obtain a DEA permit restricted to Schedule(s) _____ controlled substance(s).

Option 2: Respondent shall not order, receive, or retain any federal order forms, including DEA form 222 forms, for controlled substances.

43. Administrative Fine

Respondent shall pay an administrative fine to the board in the amount of _____. Respondent shall have [insert timeframe] from the effective date of this Decision and Order to pay the administrative fine. Failure to pay the administrative fine as ordered, shall be considered a violation of probation.

TERMS OF PROBATION – PREMISES

~~A three-year probation period has been established by the board as the minimum appropriate length in most cases where probation is imposed. A minimum five-year probation period has been established by the board as appropriate where self-administration or diversion of dangerous drugs or devices or controlled substances has occurred at a licensed premises.~~ Terms and conditions are imposed to provide consumer protection. A suspension period may also be required as part of the probation order. The board prefers that any stayed order be for revocation rather than for some period of suspension.

Probation conditions are divided into two categories: (1) standard conditions that shall appear in all probation cases, and (2) optional conditions that depend on the nature and circumstances of a particular case. These conditions may vary depending on the nature of the offense(s).

The board may also impose any other condition appropriate to the case where the condition is not contrary to public policy.

CATEGORIES OF VIOLATIONS AND RECOMMENDED PENALTIES

The California Pharmacy Law identifies offenses for which the board may take disciplinary action against a license. Included among grounds for discipline are violations of the Pharmacy Law itself, violations of regulations promulgated by the board, and violations of other state or federal statutes or regulations.

For those licenses issued to premises the board has identified four (4) categories of violations and associated recommended minimum and maximum penalties for each. These categories of violations are arranged in ascending order from the least serious (Category I) to the most serious (Category IV), although any violation in any category, or any combination of violation(s) in one or more categories, may merit revocation.

For each violation category, the board has given offense descriptions and examples where violations would typically merit the recommended range of minimum to maximum penalties for that category. These descriptions and examples are representative, and are not intended to be comprehensive or exclusive. Where a violation not included in these lists is a basis for disciplinary action, the appropriate penalty for that violation may be best derived by comparison to any analogous violation(s) that are included. Where no such analogous violation is listed, the category descriptions may be consulted.

These categories ~~assume~~ presume a single violation. For multiple violations, the appropriate penalty shall increase accordingly. Moreover, if respondent has committed violations in more than one category, the minimum and maximum penalties shall be those recommended in the highest category.

The board also has the authority, pursuant to Business and Professions Code section 4301(n), to impose discipline based on disciplinary action taken by another jurisdiction. The discipline imposed by the board will depend on the discipline imposed by the other jurisdiction, the extent of the respondent's compliance with the terms of that discipline, the nature of the conduct for which the discipline was imposed, and other factors set forth in these guidelines.

CATEGORY I

Minimum: Revocation; Revocation stayed; two years probation. All standard terms and conditions shall be included and the disciplinary order may include optional terms and conditions, as appropriate.

Maximum: Revocation

Category I discipline is recommended for violations which are less serious than Categories II through IV but are potentially harmful:

- violation(s) of recordkeeping requirements, ~~scope of practice requirements,~~ or inventory control requirements;
- smaller or isolated failure(s) to abide by or enforce prescription or refill requirements, drug-substitution requirements, or labeling requirements;
- violation(s) of obligations to supply or update information to the board, or to other enforcement or regulatory agencies;
- failure(s) to adequately supervise staff to ensure security and sanitation of premises, dangerous drugs and/or dangerous devices or controlled substances;
- violation(s) of packaging requirements, security control requirements, or reporting requirements; and
- failure(s) to display original license(s), or to supply name(s) of owner(s), manager(s), or employee(s).
- violation(s) involving the improper compounding of drug products
- institution or use of policies and procedures that are in violation of laws or regulations governing pharmacy

CATEGORY II

Minimum: Revocation; Revocation stayed, three years probation (five years probation where self-administration or diversion of dangerous drugs and/or dangerous devices or controlled substances occurred at the licensed premises). All standard terms and conditions shall be included and the disciplinary order may include optional terms and conditions, as appropriate.

Maximum: Revocation

Category II discipline is recommended for violations with serious potential for harm, as well as for violations involving disregard for public safety or for laws or regulations pertaining to pharmacy and/or to the dispensing or distributing of dangerous drugs and/or dangerous devices or controlled substances, violations that reflect on ethics, competency, or diligence, and criminal convictions not involving alcohol, dangerous drugs and/or dangerous devices, or controlled substances. Violations in this category may include:

- failure(s) to abide by prohibitions on referral rebates or discounts (kickbacks) and/or volume or percentage-based lease agreements;
- violation(s) of advertising or marketing limitations, including use of false or misleading advertising or marketing;
- repeat or serious violation(s) of recordkeeping requirements, scope of practice requirements, or inventory control requirements;
- violation(s) of controlled substance secure prescription requirements, inventory controls, or security requirements;
- failure(s) to meet compliance requirements, including pharmacist-in-charge or designated representative-in-charge designation and duties;
- violation(s) of monitoring and reporting requirements with regard to chemically,

mentally, or physically impaired licensees or employees;

- repeat or serious failure(s) to adequately supervise staff or ensure security and sanitation of premises, dangerous drugs and/or dangerous devices or controlled substances;
- violation(s) of laws governing dangerous drugs and/or dangerous devices and controlled substances, including smaller cases of diversion or self-administration;
- unlawful possession(s) of dangerous drugs and/or dangerous devices, controlled substances, hypodermic needles or syringes, or drug paraphernalia;
- smaller scale dispensing or furnishing of dangerous drugs and/or dangerous devices via the internet, without a valid prescription;
- purchasing, trading, selling, or transferring dangerous drugs and/or dangerous devices to or from unauthorized person(s);
- failure(s) to make required reports to the board or to other regulatory agencies, including CURES obligations and reporting to the DEA;
- violation(s) of quality assurance and self-assessment obligations, failure(s) to ensure properly trained staff and conduct practice safely;
- failure(s)~~(s)~~ to perform drug utilization reviews, monitor patient medication profiles, or promote safety and efficacy of prescribed drugs or devices or controlled substances; repeat failure(s) to provide patient consultation
- repeat or serious deviation(s) from the requirements of prescription(s) or failure(s) to clarify erroneous or uncertain prescription(s);
- gross immorality, incompetence, gross negligence, clearly excessive furnishing of controlled substances, moral turpitude, dishonestly, or fraud;
- criminal conviction(s) not involving alcohol, dangerous drugs and/or dangerous devices or controlled substances;
- violating, assisting in or abetting violation of, or conspiring to violate the laws and regulations governing pharmacy; and
- subverting or attempting to subvert an investigation conducted by the board.
- repeat or serious violation(s) involving the improper compounding of drug products

CATEGORY III

Minimum: Revocation; Revocation stayed, 90 days actual suspension, three to five years probation (five years probation where self-administration or diversion of dangerous drugs and/or dangerous devices or controlled substances, or abusive use of alcohol, occurred at the licensed premises). All standard terms and conditions shall be included and the disciplinary order may include optional terms and conditions, as appropriate. For a licensed premises, a minimum of 14-28 days actual suspension.

Maximum: Revocation

Category III discipline is recommended for violations where potential for harm is greater, more imminent, or more serious than it is for Category II violations, as well as for violations that involve knowingly or willfully violating laws or regulations pertaining to pharmacy and/or to the dispensing or distributing of dangerous drugs and/or dangerous devices or controlled substances, and most criminal convictions involving alcohol, dangerous drugs and/or dangerous devices or controlled substances. Violations in this category may include:

- violation(s) involving creation, manipulation, perpetuation, or disregard of drug shortages;
- failure(s) to deploy or abide by Drug Supply Chain Security Act requirements;
- violation(s) of licensee's corresponding responsibility to ensure the proper prescribing and dispensing of controlled substances;

- dispensing or furnishing without valid prescription, dispensing or furnishing to unauthorized person(s);
- violation(s) involving fraudulent acts committed in connection with the licensee's practice;
- repeat or serious unlawful possession(s) of dangerous drugs and/or dangerous devices,
  controlled substances, hypodermic needles or syringes, or drug paraphernalia;
- larger scale dispensing or furnishing of dangerous drug(s) and/or dangerous device(s) via the internet, without valid prescription(s);
- purchasing, trading, selling, or transferring adulterated, misbranded, or expired dangerous drug(s) and/or dangerous device(s);
- removal, sale, or disposal of embargoed dangerous drug(s) and/or dangerous device(s);
- failing to maintain record(s) of acquisition and disposition of dangerous drug(s) and/or dangerous devise(s) or controlled substances
- resale(s) of preferentially prices drugs, contract bid diversion, or other instances of improper sale(s) or resale(s);
- repeat or serious violation(s) of quality assurance and self-assessment obligations, failure(s) to ensure properly trained staff and conduct practice safely;
- repeat or serious failure(s) to perform drug utilization reviews, monitor patient medication profiles, or promote safety and efficacy of prescribed drugs;
- forgery of prescriptions, passing of forged prescriptions, or other unlawful means of acquiring dangerous drug(s) and/or dangerous device(s) or controlled substances(s);
- repeat or serious acts violating, assisting in or abetting violation of, or conspiring to violate the laws and regulations governing pharmacy; and
- violation(s) involving providing or offering to provide controlled substance(s) to addict(s).
- repeat or serious violation(s) involving the improper compounding of drug products

CATEGORY IV

Penalty: Revocation

Category IV discipline (revocation) is recommended for the most serious violations of laws or regulations pertaining to pharmacy and/or to the dispensing or distributing of dangerous drugs and/or dangerous devices or controlled substances. Violations in this category may include:

- violation(s) involving possession for sale, transportation, importation, and/or use of a minor for unlawful acquisition of sale, of controlled substances;
- criminal conviction(s) involving the above, or repeat convictions involving diversion or abuse of alcohol, dangerous drugs and/or dangerous devices, or controlled substances; and
- repeat or serious example(s) of conduct described in Category I, Category II, or Category III.

Revocation is also recommended where a respondent fails to file a notice of defense to a pleading requiring a timely notice of defense or to appear at a disciplinary hearing, where a respondent violates the terms and conditions of probation from a previous disciplinary order, or where prior discipline has been imposed on the license.

MODEL DISCIPLINARY LANGUAGE - PREMISES

The following standardized language shall be used in every decision where the order or condition is imposed.

Revocation

License number _____, issued to respondent _____, is revoked.

Respondent shall, by the effective date of this decision, arrange for the destruction of, the transfer to, sale of or storage in a facility licensed by the board of all dangerous drugs and/or dangerous devices or controlled substances and dangerous drugs and/or dangerous devices. Respondent shall further arrange for the transfer of all records of acquisition and disposition of dangerous drugs to premises licensed and approved by the board. Respondent shall provide written proof of such disposition, submit a completed Discontinuance of Business form and return the wall and renewal license to the board within five (5) days of disposition.

Respondent shall also, by the effective date of this decision, arrange for the continuation of care for ongoing patients of the pharmacy by, at minimum, providing a written notice to ongoing patients that specifies the anticipated closing date of the pharmacy and that identifies one or more area pharmacies capable of taking up the patients' care, and by cooperating as may be necessary in the transfer of records or prescriptions for ongoing patients. Within five (5) days of its provision to the pharmacy's ongoing patients, Respondent shall provide a copy of the written notice to the board. For the purposes of this provision, "ongoing patients" means those patients for whom the pharmacy has on file a prescription with one or more refills outstanding, or for whom the pharmacy has filled a prescription within the preceding sixty (60) days.

Suspension

License number _____, issued to respondent _____is suspended for a period of _____days beginning the effective of this decision.

Respondent shall cease all operations as a [insert license type] during the period of suspension. Failure to comply with this suspension shall be considered a violation of probation.

Standard Stay/Probation Order

License number _____, issued to respondent, is revoked; however, the revocation is stayed and respondent is placed on probation for _____years on the following terms and conditions:

Issuance of Probationary License (In cases where a Statement of Issues has been filed.)

Upon satisfaction of all statutory and regulatory requirements for issuance of a [insert license type] license, a license shall be issued to respondent and immediately revoked; the order of revocation is stayed and respondent is placed on probation for _____years on the following terms and conditions:

Surrender

Respondent surrenders license number _____as of the effective date of this decision. Respondent shall relinquish the premises wall license and renewal license to the board within ten (10) days of the effective date of this decision.

The surrender of respondent's license and the acceptance of the surrendered license by the board shall constitute the imposition of discipline against respondent. This decision constitutes a record of discipline and shall become a part of respondent's license history with the board. Respondent understands and agrees that for purposes of Business and Professions Code section 4307, this surrender shall be construed the same as revocation.

Respondent shall, within ten (10) days of the effective date, arrange for the destruction of, the transfer to, sale of or storage in a facility licensed and approved by the board of all controlled substances and dangerous drugs and/or dangerous devices. Respondent shall further arrange for the transfer of all records of acquisition and disposition of dangerous drugs to premises licensed and approved by the board. Respondent shall further provide written proof of such disposition and submit a completed Discontinuance of Business form according to board guidelines.

Respondent may only seek a new or reinstated license from the board by way of a new application for licensure. Respondent shall not be eligible to petition for reinstatement of licensure.

Respondent may not reapply for any license from the board for three (3) years from the effective date of this decision. Respondent stipulates that should ~~[he/she]~~they apply for any license from the board on or after the effective date of this decision, all allegations set forth in the [accusation or petition to revoke probation] shall be deemed to be true, correct and admitted by respondent when the board determines whether to grant or deny the application. Respondent shall satisfy all requirements applicable to that license as of the date the application is submitted to the board. Respondent is required to report this surrender as disciplinary action.

Respondent further stipulates that ~~[he/she]~~they shall reimburse the board for its costs of investigation and prosecution in the amount of $_____within _____days of the effective date of this decision.

(To be included if the respondent is a pharmacy.) Respondent shall also, by the effective date of this decision, arrange for the continuation of care for ongoing patients of the pharmacy by, at minimum, providing a written notice to ongoing patients that specifies the anticipated closing date of the pharmacy and that identifies one or more area pharmacies capable of taking up the patients' care, and by cooperating as may be necessary in the transfer of records or prescriptions for ongoing patients. Within five days of its provision to the pharmacy's ongoing patients, Respondent shall provide a copy of the written notice to the board. For the purposes of this provision, "ongoing patients" means those patients for whom the pharmacy has on file a prescription with one or more refills outstanding, or for whom the pharmacy has filled a prescription within the preceding sixty (60) days.

Option 2: Respondent stipulates that should ~~[he/she]~~they apply for any license from the board on or after the effective date of this decision the investigation and prosecution costs in the amount of $_____shall be paid to the board prior to issuance of the new license.

Public Reproval

It is hereby ordered that a public reproval be issued against licensee, _____.
Respondent is required to report this reproval as a disciplinary action.

STANDARD CONDITIONS - To be included in all probation decisions/orders.

1. Definition: Respondent
2. Obey All laws
3. Report to the Board
4. Interview with the Board
5. Cooperate with Board Staff
6. Reimbursement of Board Costs
7. Probation Monitoring Costs
8. Status of License
9. License Surrender While on Probation/Suspension
10. Sale or Discontinuance of Business
11. Notice to Employees
12. Owners and Officers: Knowledge of the Law
13. Premises Open for Business
14. Posted Notice of Probation
15. Violation of Probation
16. Completion of Probation

OPTIONAL CONDITIONS

17. Suspension
18. Community Services Program
19. Restitution
20. Separate File of Records
21. Report of Controlled Substances
22. Surrender of DEA Permit
23. Posted Notice of Suspension
24. Destruction of Dangerous Drugs and/or Dangerous Devices
25. No Additional Ownership or Management of Licensed Premises
26. Administrative Fine
27. Consultant Review of Facility Operations

STANDARD CONDITIONS: TO BE INCLUDED IN ALL PROBATIONS

1. Definition: Respondent

For the purposes of these terms and conditions, "respondent" shall refer to [insert name]. All terms and conditions stated herein shall bind and be applicable to the licensed premises and to all owners, managers, officers, administrators, members, directors, trustees, associates, or partners thereof. For purposes of compliance with any term or condition, any report, submission, filing, payment, or appearance required to be made by respondent to or before the board ~~or its designee~~ shall be made by an owner or executive officer with authority to act on

behalf of and legally bind the licensed entity.

2. Obey All Laws

Respondent shall obey all state and federal laws and regulations.

Respondent shall report any of the following occurrences to the board, in writing, within seventy-two (72) hours of such occurrence:

- an arrest or issuance of a criminal complaint, information or indictment ~~for violation of any provision of the Pharmacy Law, state and federal food and drug laws, or state and federal controlled substances laws;~~
- a plea of guilty, or nolo contendere, no contest, or similar, in any state or federal criminal proceeding to any criminal complaint, information or indictment;
- a conviction of any crime; or
- discipline, citation, or other administrative action filed by any state or federal agency ~~which involves respondent's _____ license or which is related to the practice of pharmacy or the manufacturing, obtaining, handling or distributing, billing, or charging for any dangerous drug, and/or dangerous device or controlled substance.~~

Failure to timely report any such occurrence shall be considered a violation of probation.

3. Report to the Board

Respondent shall report to the board quarterly, on a schedule as directed by the board ~~or its designee~~. The report shall be made either in person or in writing, as directed. Among other requirements, respondent shall state in each report under penalty of perjury whether there has been compliance with all the terms and conditions of probation.

Failure to submit timely reports in a form as directed shall be considered a violation of probation. Any period(s) of delinquency in submission of reports as directed may be added to the total period of probation. Moreover, if the final probation report is not made as directed, probation shall be automatically extended until such time as the final report is made and accepted by the board.

4. Interview with the Board

Upon receipt of reasonable prior notice, respondent shall appear ~~in person~~ for interviews with the board ~~or its designee~~, at such intervals and locations as are determined by the board ~~or its designee~~. Failure to appear for any scheduled interview without prior notification to board staff, or failure to appear for two (2) or more scheduled interviews with the board ~~or its designee~~ during the period of probation, shall be considered a violation of probation.

5. Cooperate with Board Staff

Respondent shall timely cooperate with the board's inspection program and with the board's monitoring and investigation of respondent's compliance with the terms and conditions of the probation, including but not limited to: timely responses to requests for information by board staff; timely compliance with directives from board staff regarding requirements of any term or condition of probation; and timely completion of documentation pertaining to a term or condition

of probation. Failure to timely cooperate shall be considered a violation of probation.

6. Reimbursement of Board Costs

As a condition precedent to successful completion of probation, respondent shall pay to the board its costs of investigation and prosecution in the amount of $_____. Respondent shall make said payments as follows: _____.

There shall be no deviation from this schedule absent prior written approval by the board ~~or its designee~~. Failure to pay costs by the deadline(s) as directed shall be considered a violation of probation.

Option Respondent shall be permitted to pay these costs in a payment plan approved by the board ~~or its designee~~, so long as full payment is completed no later than one (1) year prior to the end date of probation.

7. Probation Monitoring Costs

Respondent shall pay any costs associated with probation monitoring as determined by the board each and every year of probation. Such costs shall be payable to the board on a schedule as directed by the board ~~or its designee~~. Failure to pay such costs by the deadline(s) as directed shall be considered a violation of probation.

Option (additional language to be used for out of state premises) Probation monitoring costs include travel expenses for an inspector to inspect the premises on a scheduled as determined by the board.

8. Status of License

Respondent shall, at all times while on probation, maintain a current [insert license type] with the board. Failure to maintain current licensure shall be considered a violation of probation.

If respondent's license expires or is cancelled by operation of law or otherwise at any time during the period of probation, including any extensions thereof or otherwise, upon renewal or reapplication respondent's license shall be subject to all terms and conditions of this probation not previously satisfied.

9. License Surrender While on Probation/Suspension

Following the effective date of this decision, should respondent wish to discontinue business, respondent may tender the premises license to the board for surrender. The board ~~or its designee~~ shall have the discretion whether to grant the request for surrender or take any other action it deems appropriate and reasonable. Upon formal acceptance of the surrender of the license, respondent will no longer be subject to the terms and conditions of probation.

Respondent may not apply for any new license from the board for three (3) years from the effective date of the surrender. Respondent shall meet all requirements applicable to the license sought as of the date the application for that license is submitted to the board.

Respondent further stipulates that it shall reimburse the board for its costs of investigation and prosecution prior to the acceptance of the surrender.

OPTION: Upon acceptance of the surrender, respondent shall relinquish the premises wall and renewal license to the board within ten (10) days of notification by the board that the surrender is accepted. Respondent shall further submit a completed Discontinuance of Business form according to board guidelines and shall notify the board of the records inventory transfer within five (5) days. Respondent shall further arrange for the transfer of all records of acquisition and disposition of dangerous drugs and/or devices to premises licensed and approved by the board.

Respondent shall also, by the effective date of this decision, arrange for the continuation of care for ongoing patients of the pharmacy by, at minimum, providing a written notice to ongoing patients that specifies the anticipated closing date of the pharmacy and that identifies one or more area pharmacies capable of taking up the patients' care, and by cooperating as may be necessary in the transfer of records or prescriptions for ongoing patients. Within five days of its provision to the pharmacy's ongoing patients, Respondent shall provide a copy of the written notice to the board. For the purposes of this provision, "ongoing patients" means those patients for whom the pharmacy has on file a prescription with one or more refills outstanding, or for whom the pharmacy has filled a prescription within the preceding sixty (60) days.

Respondent may not apply for any new license from the board for three (3) years from the effective date of the surrender. Respondent shall meet all requirements applicable to the license sought as of the date the application for that license is submitted to the board.

Respondent further stipulates that it shall reimburse the board for its costs of investigation and prosecution prior to the acceptance of the surrender.

10. Sale or Discontinuance of Business

During the period of probation, should respondent sell, trade or transfer all or part of the ownership of the licensed entity, discontinue doing business under the license issued to respondent, or should practice at that location be assumed by another full or partial owner, person, firm, business, or entity, under the same or a different premises license number, the board ~~or its designee~~ shall have the sole discretion to determine whether to exercise continuing jurisdiction over the licensed location, under the current or new premises license number, and/or carry the remaining period of probation forward to be applicable to the current or new premises license number of the new owner.

11. Notice to Employees

Respondent shall, upon or before the effective date of this decision, ensure that all employees involved in permit operations are made aware of all the terms and conditions of probation, either by posting a notice of the terms and conditions, circulating such notice, or both. If the notice required by this provision is posted, it shall be posted in a prominent place and shall remain posted throughout the probation period. Respondent shall ensure that any employees hired or used after the effective date of this decision are made aware of the terms and conditions of probation by posting a notice, circulating a notice, or both. Additionally, respondent shall submit written notification to the board, within fifteen (15) days of the effective date of this decision, that this term has been satisfied. Failure to timely provide such notification to employees, or to timely submit such notification to the board shall be considered a violation of probation.

> "Employees" as used in this provision includes all full-time, part-time, volunteer, temporary and relief employees and independent contractors employed or hired at any time during probation.

12. Owners and Officers: Knowledge of the Law

Respondent shall provide, within thirty (30) days after the effective date of this decision, signed and dated statements from its owners, including any owner or holder of ten percent (10%) or more of the interest in respondent or respondent's stock, and all of its officer, stating under penalty of perjury that said individuals have read and are familiar with state and federal laws and regulations governing the practice of pharmacy. The failure to timely provide said statements under penalty of perjury shall be considered a violation of probation.

13. Premises Open for Business

Respondent shall remain open and engaged in its ordinary business as a [insert license type] in California for a minimum of ~~_____~~[insert number] hours per calendar month. Any month during which this
minimum is not met shall toll the period of probation, i.e., the period of probation shall be extended by one month for each month during with this minimum is not met. During any such period of tolling of probation, respondent must nonetheless comply with all terms and conditions of probation, unless respondent is informed otherwise in writing by the board ~~or its designee~~.

If respondent is not open and engaged in its ordinary business as a [insert license type] for a minimum of ~~_____~~[insert number] hours in any calendar month, for any reason (including vacation),
respondent shall notify the board in writing within ten (10) days of the conclusion of that calendar month. This notification shall include at minimum all of the following: the date(s) and hours respondent was open; the reason(s) for the interruption or why business was not conducted; and the anticipated date(s) on which respondent will resume business as required. Respondent shall further notify the board in writing with ten (10) days following the next calendar month during which respondent is open and engaged in its ordinary business as a [insert license type] in California for a minimum ~~of~~ ~~_____~~of[insert number] hours. Any failure to timely provide such notification(s) shall be considered a violation of probation.

14. Posted Notice of Probation

Respondent shall prominently post a probation notice provided by the board ~~or its designee~~ in a place conspicuous to and readable by the public within two (2) days of receipt thereof from the board ~~or its designee~~. Failure to timely post such notice, or to maintain the posting during the entire period of probation, shall be considered a violation of probation.

In addition, respondent shall prominently post a probation notice similar to that provided by the board on respondent's website in a place that is likely to be frequented by California consumers and health care providers.

Respondent shall not, directly or indirectly, engage in any conduct or make any statement which is intended to mislead or is likely to have the effect of misleading any patient, customer, member of the public, or other person(s) as to the nature of and reason for the probation of the licensed entity.

Option (include additional language for mail order pharmacies)
Respondent shall also provide a copy of the notice of probation in all shipments to California.

15. Violation of Probation

If ~~a~~ respondent has not complied with any term or condition of probation, the board shall have continuing jurisdiction over respondent, and probation shall be automatically extended, until all terms and conditions have been satisfied or the board has taken other action as deemed appropriate to treat the failure to comply as a violation of probation, to terminate probation, and to impose the penalty that was stayed. The board may post a notice of the extended probation period on its website.

If respondent violates probation in any respect, the board, after giving respondent notice and an opportunity to be heard, may revoke probation and carry out the disciplinary order that was stayed. If a petition to revoke probation or an accusation is filed against respondent during probation, or the preparation of an accusation or petition to revoke probation is requested from the Office of the Attorney General, the board shall have continuing jurisdiction and the period of probation shall be
automatically extended until the petition to revoke probation or accusation is heard and decided.

16. Completion of Probation

Upon written notice by the board ~~or its designee~~ indicating successful completion of probation, respondent's license will be fully restored.

OPTIONAL CONDITIONS OF PROBATION

17. Suspension

As part of probation, respondent's license to operate a [insert license type] is suspended for _____[day(s)/month(s)/year(s)] beginning the effective date of this decision. Respondent shall cease all operations as a [insert license type] during the period of suspension. Failure to comply with this suspension shall be considered a violation of probation.

18. Community Service~~s~~ Program

Within sixty (60) days of the effective date of this decision, respondent shall submit to the board ~~or its designee~~, for prior approval, a community service program in which respondent shall provide free health-care related services to a community or charitable facility or agency for at least _____hours per _____for the first _____of probation.

Within thirty (30) days of board approval thereof, respondent shall submit documentation to the board demonstrating commencement of the community service program. Respondent shall report on progress with the community service program in the quarterly reports.

Failure to timely submit, commence, or comply with the program shall be considered a violation of probation.

19. Restitution (Appropriate in cases of drug diversion, theft, fraudulent billing, or patient harm resulting from negligence or incompetence.)

Within _____days of the effective date of this decision, respondent shall pay restitution to _____in the amount of $ _____. Failure to make restitution by this deadline shall be considered a violation of probation.

20. Separate File of Controlled Substances Records

Respondent shall maintain and make available for inspection a separate file of all records pertaining to the acquisition or disposition of all controlled substances. Failure to maintain such file or make it available for inspection shall be considered a violation of probation.

21. Report of Controlled Substances

Respondent shall submit reports to the board detailing the total acquisition and disposition of such controlled substances as the board ~~or its designee~~ may direct. Respondent shall specify the manner of disposition (e.g., by prescription, due to burglary, etc.) or acquisition (e.g., from a manufacturer, from another retailer, etc.) of such controlled substances. Respondent shall report on a quarterly basis or as directed by the board ~~or its designee~~. The report shall be delivered or mailed to the board no later than ten (10) days following the end of the reporting period as determined by the board ~~or its designee~~. Failure to timely prepare or submit such reports shall be considered a violation of probation.

22. Surrender of DEA Permit

Within thirty (30) days of the effective date of this decision, respondent shall surrender its federal Drug Enforcement Administration (DEA) permit to the DEA, for cancellation. Respondent shall provide documentary proof of such cancellation to the board ~~or its designee~~. Thereafter, respondent shall not apply/reapply for a DEA registration number without the prior written consent of the board ~~or its designee~~.

Option**:** Respondent may obtain a DEA permit restricted to Schedule(s) _____ controlled substance(s).

Option**:** Respondent shall not order, receive, or retain any federal order forms, including DEA Form 222, for controlled substances.

23. Posted Notice of Suspension

Respondent shall prominently post a suspension notice provided by the board in a place conspicuous and readable to the public within two (2) days of receipt thereof from the board ~~or its designee~~. The suspension notice shall remain posted during the entire period of suspension ordered by this decision. Failure to timely post such notice, or to maintain the posting during the entire period of suspension, shall be considered a violation of probation.

Respondent shall not, directly or indirectly, engage in any conduct or make any statement, orally, electronically or in writing, which is intended to mislead or is likely to have the effect of misleading any patient, customer, member of the public, or other person(s) as to the nature of and reason for the closure of the licensed entity.

24. Destruction of Dangerous Drugs and/or Dangerous Devices [To be used when the violations include misbranded or adulterated drugs.]

Respondent shall, by the effective date of this decision, arrange for the destruction of all dangerous drugs and/or dangerous devices or controlled substances and dangerous drugs and devices by a waste management company or reverse distributor. All products must be inventoried with an exact count prior to destruction. Respondent shall provide written proof of such destruction within five days of disposition.

Option: [To be used when the integrity, quality and strength of compounded drug products is at issue]

Respondent shall, by the effective date of this decision, arrange for the destruction of all compounded drug products and the components used to compound drug products by a waste management company. Respondent shall provide written proof of such destruction within five days of disposition. The Board ~~or its designee~~ shall have the right to retain a sample(s) of any and all compounded drug products or components used to compound drug products by Respondent.

25. No Additional Ownership or Management of Licensed Premises

Respondent shall not acquire any additional ownership, legal or beneficial interest in, nor serve as a manager, administrator, member, officer, director, associate, partner or any business, firm , partnership, or corporation currently or hereinafter licensed by the board except as approved by the board ~~or its designee~~. Violations of this restriction shall be considered a violation of probation.

26. Administrative Fine

Respondent shall pay an administrative fine to the board in the amount of . Respondent shall have [insert timeframe] from the effective date of this Decision and Order to pay the administrative fine. Failure to pay the administrative fine as ordered, shall be considered a violation of probation.

27. Consultant Review of Facility Operations

Respondent shall retain, at its own expense, an independent consultant who shall review the operations of the facility, during the period of probation, on a [monthly/quarterly] basis for compliance of the facility with state and federal laws and regulations governing the practice of pharmacy, and compliance by respondent. The consultant shall provide the board with an inspection agenda for approval prior to conducting the inspection. Any inspection conducted without prior approval of the inspection agenda shall not be accepted. The consultant shall also provide the board with reports documenting the inspection. The reports shall be provided directly to the board, and receive confirmation of receipt from the board, prior to providing to the respondent. Should the board determine that the consultant is not appropriately assessing the operations of respondent, or providing the appropriate written reports, the board shall require respondent to obtain a different consultant through the same process outlined above, by submitting a new name of an expert within sixty (60) days of respondent being notified of the need for a new consultant. During the period of probation, the board shall retain discretion to reduce the frequency of the consultant's review.

Respondent shall submit the name of the proposed consultant for approval within thirty (30) days of the effective date of this decision. The consultant shall be a pharmacist licensed by and not on probation with the board or other professional as appropriate and not on probation with the board, who has been approved by the board to serve in this position. The consultant shall have sufficient education, training, and professional experience to be able to provide guidance to respondent related to the causes for discipline in Case No. . Assumption of any unauthorized supervision responsibilities shall be considered a violation of probation.

Failure to timely seek approval for, timely retain, or ensure timely reporting by the consultant shall

be considered a violation of probation.

~~2/2017~~1/2022

Attachment 3

Regulation Timeline

XVI(d). Discussion and Consideration of Board Approved Regulations – Board Staff Drafting Rulemaking Documents

1. Proposed Regulation to Amend Title 16, CCR Section 1732.5 and add Section 1732.8, Related to Continuing Education

   Timeline:
   Approved by Board: February 7, 2023

2. Proposed Regulation to Amend Title 16, CCR Section 1708.2, Related to the Discontinuance of Business

   Timeline:
   Approved by Board: February 7, 2023

3. Proposed Regulation to Add Title 16, CCR Section 1746.6 Related to the Medication Assisted Treatment Protocol

   Timeline:
   Approved by Board: February 7, 2023

4. Proposed Regulation to Amend Title 16, CCR Section 1711 Related to Quality Assurance

   Timeline:
   Approved by Board: February 7, 2023

Continuing Education 16 CCR §§ 1732.5 and 1732.8

Proposal to Amend § 1732.5. Renewal Requirements for Pharmacists.

(a) Except as provided in Section 4234 of the Business and Professions Code and Section 1732.6 of this Division, each applicant for renewal of a pharmacist license shall submit proof satisfactory to the board, that the applicant has completed 30 hours of continuing education (CE) in the prior 24 months.
(b) At least two (2) of the thirty (30) hours required for pharmacist license renewal ("required CE hours") shall be completed by participation in a Board provided CE course in Law and Ethics. Further, beginning January 1, 2024, at least one (1) hour of the required CE hours shall be completed by participation in a cultural competency course from an accreditation agency approved by the board pursuant to Section 1732.05, covering the specified content areas as required by Section 4231 of the Business and Professions Code. ~~Pharmacists renewing their licenses which expire on or after July 1, 2019, shall be subject to the requirements of this subdivision~~.
(c) Pharmacists providing specified patient-care services must complete continuing education as specified below.
(1) At least one (1) hour of approved CE specific to smoking cessation therapy, as required by Section 4052.9 of the Business and Professions Code, if applicable.
(2) At least two (2) hours of approved CE specific to travel medicine, as required by Section 1746.5, if applicable.
(3) At least one (1) hour of approved CE specific to emergency contraception drug therapy as required by Business and Professions section 4052.3, if applicable.
(4) At least one (1) hour of approved CE specific to vaccinations as required by Section 1746.4, if applicable.
(d) For a pharmacist who prescribes a Schedule II controlled substance (as defined in Health and Safety Code section 11055), at least one (1) hour of the required CE hours shall be completed by participation in a Board approved CE course once every four (4) years on the risks of additional associated with the use of Schedule II drugs, as required by Section 4232.5 of the Business and Professions Code.
(e) All pharmacists shall retain their certificates of completion for four (4) years following completion of a continuing education course demonstrating compliance with the provisions of this section.
(e) "Board approved CE course" shall mean coursework from a provider meeting the requirements of Section 1732.1.

NOTE: Authority cited: Section 4005, Business and Professions Code. Reference: Sections 4052.3, 4052.8, 4052.9, 4231 ~~and~~ 4232, and 4232.5, Business and Professions Code.

Proposal to Add § 1732.8. Renewal Requirements for Pharmacy Technicians

(a) Beginning January 1, 2024, as a condition of renewal, a pharmacy technician licensee shall submit proof satisfactory to the board that the applicant has completed at least one (1) hour of continuing education in a cultural competency course covering the specified content areas from an accreditation agency approved by the board pursuant to Section 1732.05 during the two years preceding the application for renewal, as required by Section 4202 of the Business and Professions Code. All pharmacy technicians shall retain their certificate of completion for four (4) years from the date of completion of the cultural competency course demonstrating compliance with the provisions of this section.

(b) If an applicant for renewal of a pharmacy technician license submits the renewal application and payment of the renewal fee but does not submit proof satisfactory to the board that the licensee has completed the cultural competency course as required, the board shall not renew the license and shall issue the applicant an inactive pharmacy technician license.

(c) If, as part of an investigation or audit conducted by the board, a pharmacy technician fails to provide documentation substantiating the completion of continuing education as required in subdivision (a), the board shall cancel the active pharmacy technician license and issue an inactive pharmacy technician license in its place. A licensee with an inactive pharmacy technician license issued pursuant to this section may obtain an active pharmacy technician license by submitting renewal fees due and submitting proof to the board that the pharmacy technician has completed the required continuing education.

NOTE: Authority cited: Section 462 and 4005, Business and Professions Code. Reference: Sections 462 and 4202, Business and Professions Code.

Discontinuance of Business
16 CCR § 1708.2

16 CCR § 1708.2

Proposal to Amend § 1708.2. Discontinuance of Business as follows:

(a) Any permit holder shall contact the board prior to transferring or selling any dangerous drugs, devices or hypodermics inventory as a result of termination of business or bankruptcy proceedings (collectively referred to as a "closure") and shall follow official instructions given by the board applicable to the transaction.
(b)In addition to the requirements in (a), a pharmacy that shall cease operations due to a closure shall complete the following:

(1) Provide written notice to its patients that have received a prescription within the last year, at least 30 days in advance of the closure. At a minimum this notice shall include:
(A) the name of the patient and/or legal representative of the patient, if known,
(B) the name and physical address of the pharmacy closure,
(C) the name of pharmacy where patient records will be transferred or maintained, and
(D) information on how to request a prescription transfer prior to closure of the pharmacy.
(2) Reverse all prescriptions for which reimbursement was sought that are not picked up by patients,
(3) Provide the board with a copy of the notice specified in subsection (b)(1),
(4) The pharmacist-in-charge shall certify compliance with the requirements in this section. In the event the pharmacist-in-charge is no longer available, the owner must certify the compliance along with a pharmacist retained to perform these functions.

NOTE: Authority cited: Section 4005, Business and Professions Code. Reference: Sections 4080, 4081, 4113, 4332 and 4333, Business and Professions Code; and Section 11205, Health and Safety Code.

Medication Assisted Treatment Protocol 16 CCR § 1746.6

Proposal to Add CCR Section 1746.6 Pharmacist Provided Medication-Assisted Treatment

(a) A pharmacist may initiate, modify, administer, or discontinue medication-assisted treatment pursuant to Section 4052(a)(14) consistent with all relevant provisions of federal law and shall satisfy the requirements of this section.
    1. The pharmacist possesses appropriate education and training to provide such treatment consistent with the established standard of care used by other health care practitioners providing medication-assisted treatment including nationally accepted guidelines.
    2. The pharmacist must ensure a confidential patient care area is used to provide the services. The patient may not waive consultation.
    3. Assessment of the substance use disorder is performed including physical and laboratory examinations for signs and symptoms of substance use disorder. Initial assessment may be waived if the patient is referred to the pharmacist for treatment following diagnosis by another health care provider.
    4. Development of a treatment plan for substance use disorder including referral to medical services, case management, psychosocial services, substance use counseling, and residential treatment is provided as indicated.
    5. Documentation of the pharmacist's assessment, clinical findings, plan of care, and medications dispended and administered will be documented in a patient record system and shared with a patient's primary care provider or other prescriber, if one if identified.
    6. A pharmacist performing the functions authorized in this section shall do so in collaboration with other health care providers.

(b) For purposes of this section medication assisted treatment includes any medication used to treat a substance use disorder.

Quality Assurance 16 CCR § 1711

Proposal to Amend 16 CCR § 1711 as follows:

§ 1711. Quality Assurance Programs.

(a) Each pharmacy shall establish or participate in an established quality assurance program that documents and assesses medication errors to determine cause and an appropriate response as part of a mission to improve the quality of pharmacy service and prevent errors.

(b) For purposes of this section, "medication error" means any variation from a prescription or drug order not authorized by the prescriber, as described in Section 1716. Medication error, as defined in the section, does not include any variation that is corrected prior to furnishing the drug to the patient or patient's agent or any variation allowed by law.

(c)(1) Each quality assurance program shall be managed in accordance with written policies and procedures maintained in the pharmacy in an immediately retrievable form.

(2) When a pharmacist determines that a medication error has occurred, a pharmacist shall as soon as possible:

(A) Communicate to the patient or the patient's agent the fact that a medication error has occurred and the steps required to avoid injury or mitigate the error.

(B) Communicate to the prescriber the fact that a medication error has occurred.

(3) The communication requirement in paragraph (2) of this subdivision shall only apply to medication errors if the drug was administered to or by the patient, or if the medication error resulted in a clinically significant delay in therapy.

(4) If a pharmacist is notified of a prescription error by the patient, the patient's agent, or a prescriber, the pharmacist is not required to communicate with that individual as required in paragraph (2) of this subdivision.

(d) Each pharmacy shall use the findings of its quality assurance program to develop pharmacy systems and workflow processes designed to prevent medication errors. An investigation of each medication error shall commence as soon as is reasonably possible, but no later than 2 business days from the date the medication error is discovered. All medication errors discovered shall be subject to a quality assurance review.

(e) The primary purpose of the quality assurance review shall be to advance error prevention by analyzing, individually and collectively, investigative and other pertinent data collected in response to a medication error to assess the cause and any contributing factors such as system or process failures. A record of the quality assurance review shall be immediately retrievable in the pharmacy. The record shall contain at least the following:

(1) The date, location, and participants in the quality assurance review;

(2) The pertinent data and other information relating to the medication error(s) reviewed and documentation of any patient contact required by subdivision (c)~~,~~ including:

(A) The date and approximate time or date range when the error occurred if known or can be determined. If it cannot be determined, the pharmacy shall note "unknown" in the record.

(B) The names of staff involved in the error.
(C) The use of automation, if any, in the dispensing process.
(D) The type of error that occurred. To ensure standardization of error reporting, the pharmacies' policies and procedures shall include the category the pharmacy uses for identifying the types of errors.
(E) The volume of workload completed by the pharmacy staff on the date of the error including clinical functions. If the date of the error is unknown, the average volume of workload completed daily shall be documented. For errors that occur in a community pharmacy, at a minimum the volume of workload records shall include the number of new prescriptions dispensed, the number of refill prescriptions dispensed, the number of vaccines administered, number of patient consultations given, and any other mandatory activities required by the pharmacy employer. Prescriptions filled at a central fill location and dispensed at the pharmacy must be documented separately from other prescriptions filled at the pharmacy.
(3) The findings and determinations generated by the quality assurance review; and,
(4) Recommend changes to pharmacy policy, procedure, systems, or processes, if any.
The pharmacy shall inform pharmacy personnel of changes to pharmacy policy, procedure, systems, or processes made as a result of recommendations generated in the quality assurance program. Documentation of the steps taken to prevent future errors shall be maintained as part quality assurance report.
(f) The record of the quality assurance review, as provided in subdivision (e) shall be immediately retrievable in the pharmacy for at least ~~one~~ three years from the date the record was created. Any quality assurance record related to the use of a licensed automated drug delivery system must also be submitted to the board within 30 days of completion of the quality assurance review and any facility with an unlicensed automated drug delivery system must report the quality assurance review to the Board at the time of annual renewal of the facility license.
(g) The pharmacy's compliance with this section will be considered by the board as a mitigating factor in the investigation and evaluation of a medication error.
(h) Nothing in this section shall be construed to prevent a pharmacy from contracting or otherwise arranging for the provision of personnel or other resources, by a third party or administrative offices, with such skill or expertise as the pharmacy believes to be necessary to satisfy the requirements of this section.

NOTE: Authority cited: Section 4005, Business and Professions Code; and Section 2 of Chapter 677, Statutes of 2000. Reference: Sections 4125 and 4427.7, Business and Professions Code.

Attachment 4

Regulation Timeline

XVI(e). Discussion and Consideration of Board Authorized Section 100 – Board Staff Drafting Section 100 Documents

1. Proposed Regulation to Amend Title 16 CCR Sections 1715 and 1784 Related to the Community Pharmacy, Hospital Pharmacy, and Dangerous Drug Distributor Self-Assessment Forms

   Timeline:
   Approved by Board: February 7, 2023

Community Pharmacy, Hospital Pharmacy, and Dangerous Drug Distributor Self-Assessments 16 CCR §§ 1715 and 1784

California State Board of Pharmacy
2720 Gateway Oaks Drive, Suite 100
Sacramento, CA 95833
Phone: (916) 518-3100 Fax: (916) 574-8618
www.pharmacy.ca.gov

Business, Consumer Services and Housing Agency
Department of Consumer Affairs
Gavin Newsom, Governor

COMMUNITY PHARMACY SELF-ASSESSMENT/
HOSPITAL OUTPATIENT PHARMACY SELF-ASSESSMENT

Title 16 of the California Code of Regulations section 1715 requires the pharmacist-in-charge of each pharmacy licensed under section 4037 or 4029 of the Business and Professions Code to complete a self-assessment of the pharmacy's compliance with federal and state pharmacy law. **The assessment shall be performed before July 1 of every odd-numbered year. The pharmacist-in-charge must also complete a self-assessment within 30 days whenever: (1) a new pharmacy permit has been issued; (2) there is a change in the pharmacist-in-charge; or (3) there is a change in the licensed location of the pharmacy. The primary purpose of the self-assessment is to promote compliance through self-examination and education.**

The self-assessment must be completed in its entirety. It may be completed online, printed, initialed, signed, and readily available in the pharmacy. Signatures and initials shall be an original handwritten signature or initial on the self-assessment form. Do not copy a previous assessment.

Notes: If a hospital pharmacy dispenses prescriptions for outpatient use, this Community Pharmacy Self-Assessment/Hospital Outpatient Pharmacy Self-Assessment must be completed in addition to the Hospital Pharmacy Self-Assessment (17M-14 pursuant to 16 CCR 1715). Any pharmacy that compounds drug products must also complete the Compounding Self-Assessment (17M-39 pursuant to 16 CCR 1735.2[k]).

Each self-assessment must be kept on file in the pharmacy for three years after it is performed.

Pharmacy Name: _____

Address: _____ Phone: _____

Ownership: Sole Owner ☐ Partnership ☐ Corporation ☐ LLC ☐ Trust ☐
Non-Licensed Owner ☐ Other (please specify) ☐

License #: _____ Exp. Date:_____ Other Permit #: _____ Exp. Date: _____

Licensed Sterile Compounding License# _____ Exp Date: _____

Licensed Remote Dispensing Site Pharmacy License # _____ Exp Date: _____

DEA Registration #: _____ Exp. Date: _____ Date of DEA Inventory: _____

Hours: *Weekdays* _____ *Sat.*_____ *Sun.* _____ *24 Hours* _____

PIC: _____ RPH # _____ Exp. Date: _____

Website address (if any): _____

_____
PIC Initials

Pharmacy Staff (pharmacists, intern pharmacists, pharmacy technicians):
Please use an additional sheet if necessary. APH=Advanced Practice Pharmacist, DEA=Drug Enforcement Administration.

1. _____ RPH # _____ Exp. Date: _____
   APH# _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

2. _____ RPH # _____ Exp. Date: _____
   APH# _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

3. _____ RPH # _____ Exp. Date: _____
   APH# _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

4. _____ RPH # _____ Exp. Date: _____
   APH# _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

5. _____ RPH # _____ Exp. Date: _____
   APH# _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

6. _____ INT # _____ Exp. Date: _____

7. _____ INT # _____ Exp. Date: _____

8. _____ INT # _____ Exp. Date: _____

9. _____ TCH # _____ Exp. Date: _____

10. _____ TCH # _____ Exp. Date: _____

11. _____ TCH # _____ Exp. Date: _____

COMMUNITY PHARMACY SELF-ASSESSMENT /
HOSPITAL OUTPATIENT PHARMACY SELF-ASSESSMENT

All references to the California Code of Regulations (CCR) are to Title 16 unless otherwise noted. Additionally, Business and Professions Code is referenced as BPC.

Please mark the appropriate box for each item. If "NO", enter an explanation on "CORRECTIVE ACTION OR ACTION PLAN" lines at the end of the section. If more space is needed, you may add additional sheets.

1. Facility

Yes No N/A

☐☐☐ 1.1. The pharmacy has an area suitable for confidential patient consultation. (CCR 1764, 1714[a])

☐☐☐ 1.2. The pharmacy is secure and only a pharmacist possesses a key. The pharmacy has provisions for effective control against the theft of dangerous drugs and devices. (BPC 4116, CCR 1714[b], [d])

☐☐☐ 1.3. The pharmacy is of sufficient size and has an unobstructed area to accommodate the safe practice of pharmacy. (CCR 1714[b])

☐☐☐ 1.4. The pharmacy premises, fixtures, and equipment are maintained in a clean and orderly condition, properly lighted and free from rodents and insects. (CCR 1714[c])

☐☐☐ 1.5. The pharmacy sink has hot and cold running water. (CCR 1714[c])

☐☐☐ 1.6. The pharmacy has a readily accessible restroom. (CCR 1714[g])

☐☐☐ 1.7. Current board-issued "Notice to Consumers" is posted in public view where it can be read by the consumer, or written receipts containing the required information are provided to the consumers. A written receipt that contains the required information on the notice may be provided to consumers as an alternative to posting the notice in the pharmacy. A pharmacy may also or instead display the notice on a video screen. Additional "Notice to Consumers" in languages other than English may also be posted. (BPC 4122[a], CCR 1707.6)

☐☐☐ 1.8. "Point to Your Language" poster is posted or provided in a place conspicuous to and readable by a prescription drug consumer or adjacent to each counter in a pharmacy where drugs are dispensed. (CCR 1707.6[c])

☐☐☐ 1.9. Pharmacists, interns, pharmacy technicians, and pharmacy technician trainees wear nametags, in 18-point type, that contain their name and license status. (BPC 680, BPC 4115.5[e], CCR 1793.7[c])

☐☐☐ 1.10. The original board-issued pharmacy license and the current renewal are posted where they may be clearly read by the purchasing public. (BPC 4032, 4058)

Yes No N/A

PIC Initials

☐☐☐ 1.11. Does the pharmacy compound sterile drugs? (If yes, complete the Compounding Self-Assessment as required by CCR 1735.2(k).)

☐☐☐ 1.12. The pharmacy has procedures in place to take action to protect the public when a licensed individual employed by or with the pharmacy is discovered or known to be chemically, mentally, or physically impaired to the extent it affects their ability to practice the profession or occupation authorized by their license, or is discovered or known to have engaged in the theft, diversion, or self-use of dangerous drugs. (BPC 4104[a])

☐☐☐ 1.13. The pharmacy has written policies and procedures for addressing chemical, mental, or physical impairment, as well as theft, diversion, or self-use of dangerous drugs, among licensed individual employed by or with the pharmacy. (BPC 4104[b])

☐☐☐ 1.14. The pharmacy reports to the board within 14 days of the receipt or development of the following information with regard to any licensed individual employed by or with the pharmacy: (1) any admission by a licensed individual of chemical, mental, or physical impairment affecting their ability to practice; (2) Any admission by a licensed individual of theft, diversion, or self-use of dangerous drugs; (3) Any video or documentary evidence demonstrating chemical, mental, or physical impairment of a licensed individual to the extent it affects their ability to practice; (4) Any video or documentary evidence demonstrating theft, diversion, or self-use of dangerous drugs by a licensed individual; (5) Any termination based on chemical, mental, or physical impairment of a licensed individual to the extent it affects their ability to practice; (6) Any termination of a licensed individual based on theft, diversion, or self-use of dangerous drugs. (BPC 4104[c])

☐☐☐ 1.15. The pharmacy is subscribed to the board's e-mail notifications. (BPC 4013)

Date Last Notification Received: _____

E-mail address registered with the board: _____

☐☐☐ 1.16 In addition to the email notification, the pharmacy has provided to the Board the electronic mail address and must notify the Board within 30 days of any change in the electronic mail address. (CCR 1704)

☐☐☐ 1.16~~7~~. For a pharmacy whose owner owns two or more pharmacies, the pharmacy receives the board's e-mail notifications through the owner's electronic notice system. (BPC 4013[c])

Date Last Notification Received: _____

E-mail address registered with the board: _____

☐☐☐ 1.17~~8~~. The pharmacy informs the customer at the point of sale for a covered prescription drug whether the retail price is lower than the applicable cost-sharing amount for the prescription drug unless the pharmacy automatically charges the

customer the lower price. Additionally, the pharmacy submits the claim to the health care service plan or insurer. (BPC 4079[a], [b])

Yes No N/A

☐☐☐ ~~1.18. A pharmacy that dispenses controlled substances shall display safe storage products (a device made with the purpose of storing prescription medications with a locking or secure mechanism for access by the patient, i.e., medicine lock boxes, locking medicine cabinets, locking medication bags, prescription locking vials, etc.) in a place on the premise that is located close to the pharmacy unless the pharmacy is owned and managed by pharmacists who owns 4 or less pharmacy. (BPC 4106.5[a], [b])~~

☐☐☐ 1.19. A community pharmacy does not require a pharmacist employee to engage in practice of pharmacy at any time the pharmacy is open to the public unless either another employee at the establishment is made available to assist the pharmacist at all times unless the pharmacy is exempted. (BPC 4113.5)

- ☐ 1.19.1. The pharmacy has designated the name(s) of personnel who will be available to assist the pharmacist; (CCR 1714.3[a][1])
- ☐ 1.19.2. Designated personnel are able, at a minimum, to perform the duties of non-licensed pharmacy personnel as specified in section 1793.3, and is qualified to have access to controlled substances; (CCR 1714.3[a][2], [3])
- ☐ 1.19.3. Designated personnel respond and are able to assist the pharmacist within five minutes after the pharmacist's request; (CCR 1714.3[a][4])
- ☐ 1.19.4. The pharmacy has policies and procedures in compliance with CCR 1714.3; (CCR 1714.3[b])
- ☐ 1.19.5. All impacted pharmacy employees and designated persons have read and signed a copy of the policies and procedures. (CCR 1714.3[c])

☐☐☐ <u>1.20. The pharmacy has the capability to receive an electronic data transmission prescription on behalf of a patient. (BPC 688[b])</u>

- ☐ <u>1.20.1 The pharmacy shall not refuse to dispense or furnish an electronic data transmission prescription solely because the prescription was not submitted via, or is not compatible with, the proprietary software of the pharmacy. (BPC 688[b][2])</u>
- ☐ <u>1.20.2 The pharmacy's staff is aware they may continue to dispense the medication from a legally valid written, oral or fax prescription and are not required to verify the prescription properly falls under one of the exceptions. (BPC 688[i])</u>

☐ 1.20.~~1~~3. For prescriptions for controlled substances, as defined by BPC section 4021 generation and transmission of the electronic data transmission prescription complies with Parts 1300, 1304, and 1311 of Title 21 of the Code of Federal Regulations. (BPC 688[c])

☐ 1.20.~~2~~4. At the request of the patient or person authorized to make a request on behalf of the patient, the pharmacy immediately transfers or forwards an electronic data transmission prescription, that was received but not dispensed to the patient, to an alternative pharmacy designated by the requester, unless the action would result in a violation of any state or federal law or the action is not supported by the latest version of NCPDP SCRIPT standard. (BPC 688[g]) ~~Unfulfilled controlled substance prescriptions are transferred or forwarded in compliance with Federal Law~~. (21 CFR 1300, 1304, 1306, 1311, BPC 688[g])

☐ 1.20.3. If ~~the~~ pharmacy staff~~, or its staff~~, is aware that an attempted transmission of an electronic data transmission prescription failed, is incomplete, or is otherwise not appropriately received, pharmacy staff immediately notifies the prescribing health care practitioner. (BPC 688[h])

Yes No N/A

☐☐☐ 1.21. The pharmacy performs FDA approved or authorized tests that are classified as CLIA waived. (BPC 4119.10)

☐ 1.21.1. The pharmacy is appropriately licensed as a laboratory under Section 1265 of the Health and Safety Code. (BPC 4119.10[a])

CDPH (CLIA) Registration #:_____ Expiration: _____

☐ 1.21.2. The pharmacy maintains policies and procedures as specified in. (BPC 4119.10[b])

☐ 1.21.3. The tests are authorized to be administered by a pharmacist pursuant to BPC 4052.4(b)(1). (BPC 4119.10[c])

☐ 1.21.4. The pharmacist-in-charge reviews the policies and procedures annually, assesses compliance with its policies, documents corrective actions to be taken when noncompliance is found, and maintains documentation of the annual review and assessment in a readily retrievable format for a period of three years. (BPC 4119.10[d])

☐ 1.21.5. The pharmacy maintains documentation related to performing tests, including the name of the pharmacist performing the test, the results of the test, and communication of results to the patient's primary medical provider, and is maintained in a readily retrievable format for a period of three years. (BPC 4119.10[e])

☐☐☐ 1.22 If the pharmacy qualifies as a chain store as defined in BPC 4001, the chain community pharmacy does not establish a quota. (BPC 4113.7, BPC 4317)

☐☐☐ 1.23 The pharmacy must report to the board any disciplinary action taken by any government agency since its last license issuance or last renewal. (CCR 1702.5)

Yes No N/A

☐☐☐ 1.24 When the pharmacy temporarily closes, the pharmacy must notify the board of the temporary closure as soon as closure exceeds three consecutive calendar days. A temporary closure does not include a routine closure (including weekends or state and federal holidays), unless that closure exceeds four consecutive calendar days. (CCR 1708.1)

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

2. Delivery of Drugs

Yes No N/A

☐☐☐ 2.1. Dangerous drugs and dangerous devices are only delivered to the licensed premises, and signed for and received by a pharmacist. (BPC 4059.5[a], HSC 1120[a])

☐☐☐ 2.2. The pharmacy takes delivery of dangerous drugs and dangerous devices when the pharmacy is closed and no pharmacist is on duty ~~if~~ only when all of the following requirements are met: (BPC 4059.5[f])

- ☐ 2.2.1. The drugs are placed in a secure storage facility in the same building as the pharmacy; (BPC 4059.5[f][1])
- ☐ 2.2.2. Only the pharmacist-in-charge or a pharmacist designated by the pharmacist-in-charge has access to the secure storage facility after dangerous drugs or dangerous devices have been delivered; (BPC 4059.5[f][2])
- ☐ 2.2.3. The secure storage facility has a means of indicating whether it has been entered after dangerous drugs or dangerous devices have been delivered; (BPC 4059.5[f][3])
- ☐ 2.2.4. The pharmacy maintains written policies and procedures for the delivery of dangerous drugs and dangerous devices to a secure storage facility; and (BPC 4059.5[f][4])
- ☐ 2.2.5. The agent delivering dangerous drugs and dangerous devices leaves documents indicating the name and amount of each dangerous drug or dangerous device delivered in the secure storage facility. The pharmacy is responsible for the dangerous drugs and dangerous devices delivered to the secure storage facility. The pharmacy is also responsible for obtaining and maintaining records relating to the delivery of dangerous drugs and dangerous devices to a secure storage facility. BPC 4059.5[f][5])

Yes No N/A

☐☐☐ 2.3. Prior to, or at the time of, accepting ownership of a product included in the Drug Supply Chain Security Act from an authorized trading partner, the pharmacy is provided transaction history, transaction information, and a transaction statement. (21 USC 360eee-1[d][1][A][i])

☐☐☐ 2.4. Prior to, or at the time of, each transaction in which the pharmacy transfers ownership of a product included in the Drug Supply Chain Security Act to an authorized trading partner, the subsequent owner is provided transaction history, transaction information, and a transaction statement for the product. This requirement does not apply to sales by a pharmacy to another pharmacy to fulfill a specific patient need. (21 USC 360eee-1[d][1][A][ii])

☐☐☐ 2.5. The pharmacy captures transaction information (including lot level information, if provided), transaction history, and transaction statements, as necessary to investigate a suspect product, and maintains such information, history, and statements for not less than 6 years after the transaction. (21 USC 360eee-1[d][1][A][iii])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

3. Drug Stock

Yes No N/A

☐☐☐ 3.1. The drug stock is clean, orderly, properly stored, properly labeled and in-date. (21 USC sections 331, 351, 352, BPC 4342, HSC 111255, 111335, CCR 1714[b], 22 CCR 70263[q])

☐☐☐ 3.2. Dangerous drugs or dangerous devices are purchased, traded, sold, warehoused, distributed or transferred with an entity licensed with the board as a wholesaler, third-party logistics provider, pharmacy, or manufacturer, and provided the dangerous drugs and devices: (BPC 4059.5[b], 4169)

- ☐ 3.2.1. Are not known or reasonably should not be known to the pharmacy as being adulterated.
- ☐ 3.2.2. Are not known or reasonably should not be known to the pharmacy as being misbranded.
- ☐ 3.2.3. Are not expired.

Yes No N/A

☐☐☐ 3.3. If the pharmacy has reasonable cause to believe a dangerous drug or dangerous device in, or having been in its possession is counterfeit or the subject of a fraudulent transaction, the pharmacy will notify the board within 72 hours of obtaining that knowledge. (BPC 4107.5)

☐☐☐ 3.4. The pharmacy does not furnish dangerous drugs or dangerous devices to an unauthorized person. (BPC 4163)

☐☐☐ 3.5. The pharmacy is aware that pharmacies are required by the Drug Quality and Security Act (DQSA), to have pharmacy lot-level traceability and by November 27, 2023, unit-level traceability. (21 USC 360eee-1[d][2], [g][1])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

4. Voluntary Drug Repository and Distribution Program (HSC 150200)

Yes No N/A

☐☐☐ 4.1. Does the pharmacy donate to or operate a county-approved Voluntary Drug Repository and Distribution Program?

~~(If yes, complete Section 30 [donate drugs] or Section 31 [operate program] of this Self-Assessment.)~~

☐☐☐ 4.2 The pharmacy that donates medications to or operates a voluntary county approved drug repository and distribution program meets all the requirements as specified in law. (HSC 150200, 150201, 150202, 150202.5, 150203, 150204, 150204.5, 150204.6, 150205, BPC 4169.5)

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

5. Pharmacist-in-Charge (PIC)

Yes No N/A

☐☐☐ 5.1. The pharmacy has a PIC that is responsible for the daily operation of the pharmacy. (BPC 4101, 4113, 4305, 4330, CCR 1709, 1709.1)

☐☐☐ 5.2. The PIC has adequate authority to assure the pharmacy's compliance with laws governing the operation of a pharmacy. (BPC 4113[c], CCR 1709.1[b])

☐☐☐ 5.3. The PIC has completed a biennial pharmacy self-assessment before July 1 of each odd numbered year. An additional self-assessment will be completed within 30 days if a new license is issued or a new PIC employed. Each self-assessment will be maintained in the pharmacy for three years. (CCR 1715)

☐☐☐ 5.4. Is the PIC in charge of another pharmacy?

☐☐☐ 5.5. If yes, are the pharmacies within 50 driving miles of each other? (CCR 1709.1[c])

Name of the other pharmacy _____

☐☐☐ 5.6. Any change of PIC is reported by the pharmacy and the departing PIC to the board in writing within 30 days. (BPC 4101[a], 4113[d])

☐☐☐ 5.7. The PIC is responsible for directing and overseeing the performance of waived clinical laboratory tests, if the pharmacy holds a registration from CDPH to conduct such tests. (BPC 1206.~~5~~6, 1209, 1265)

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

PIC Initials _____

6. Duties of a Pharmacist

Yes No N/A

☐☐☐ 6.1. A pharmacist:

- ☐ transmits a valid prescription to another pharmacist; (BPC 4052[a][2])
- ☐ administers drugs and biological products ordered by the prescriber; (BPC 4052[a][3])
- ☐ manufactures, measures, fits to the patient or sells and repairs dangerous devices or furnishes instructions to the patient or patient representative concerning the use of the dangerous devices; (BPC 4052[a][7])
- ☐ provides consultation, training and education to patients about drug therapy disease management and disease prevention; (BPC 4052[a][8])
- ☐ provides professional information and participates in multidiscipline review of patient progress; (BPC 4052[a][9])
- ☐ furnishes medication including emergency contraception drug therapy, self-administered hormonal contraceptives, nicotine replacement products, naloxone, or prescription medication not requiring a diagnosis recommended by the Centers for Disease Control when traveling outside of the US; administers immunizations, HIV preexposure prophylaxis, HIV postexposure prophylaxis pursuant to a protocol; (BPC 4052 [a][10], 4052[a][11], 4052.01, 4052.02, 4052.03, 4052.3, 4052.8, 4052.9)
- ☐ dispenses aid-in-dying drugs; (HSC 443.5 [b][2])
- ☐ orders and interprets tests for monitoring and managing efficacy and toxicity of drug therapies; (BPC 4052 [a][12])
- ☐ initiate, adjust, or discontinue drug therapy for a patient under a collaborative practice agreement with any health care provider with prescriptive authority; and (BPC 4052 [a][13])
- ☐ provide medication-assisted treatment pursuant to a state protocol, to the extent authorized by federal law. (BPC 4052 [a][14])

Yes No N/A

☐☐☐ 6.2. In addition, a pharmacist:

- ☐ receives a new prescription order from the prescriber; (CCR 1793.1[a])
- ☐ consults with the patient; (BPC 4052[a][8], CCR 1707.2, CCR 1793.1[b])
- ☐ identifies, evaluates, and interprets a prescription; (CCR 1793.1[c])
- ☐ interprets the clinical data in a patient medication record; (CCR 1793.1[d])
- ☐ consults with any prescriber, nurse, health professional or agent thereof; (CCR 1793.1[e])
- ☐ supervises the packaging of drugs; (CCR 1793.1[f])
- ☐ checks the packaging procedure and product upon completion; (CCR 1793.1[f])

- ☐ is responsible for all activities of pharmacy technicians to ensure that all such activities are performed completely, safely and without risk of harm to patients; (CCR 1793.7[e]) or
- ☐ performs any other duty which federal or state law or regulation authorizes only a registered pharmacist to perform and performs all functions which require professional judgment. (BPC 4052, 4052.02, 4052.03, 4052.1, 4052.2, 4052.3, 4052.4, CCR 1793.1 [g])

Yes No N/A

☐☐☐ 6.3. The pharmacist as part of the care provided by a health care facility, a licensed clinic and a licensed home health agency in which there is physician oversight, or a provider who contracts with a licensed health care service plan with regard to the care or services provided to the enrollees of that health care service plan, is performing the following functions, in accordance with policies, procedures, or protocols of that facility, licensed clinic, or health care service plan that were developed by health professionals, including physicians and surgeons, pharmacists and registered nurses. The functions are: ordering or performing routine drug therapy related patient assessment procedures; ordering drug therapy related laboratory tests; administering drugs or biologicals by injection; initiating and adjusting the drug regimen of a patient; and performing moderate or waived laboratory tests. (BPC 4052, 4052.1, 4052.2, 4052.3, 4052.4)

☐☐☐ 6.4. Pharmacists have obtained approval to access the CURES Prescription Drug Monitoring Program (PDMP). (HSC 11165.1)

☐☐☐ 6.5. The pharmacist dispenses emergency contraception only pursuant to the statewide protocol found in CCR 1746. (BPC 4052.3[b][1])

☐☐☐ 6.6. Only a pharmacist performs blood glucose, hemoglobin A1c, or cholesterol tests that are waived under CLIA. (BPC 1206.6)

☐☐☐ 6.7. Only a pharmacist performs FDA-approved or authorized CLIA waived clinical laboratory tests as specified in law. ~~in BPC 4052.4~~ (BPC 4052.4, BPC 1206.6, BPC 4119.10)

CDPH (CLIA) Registration #: _____ Expiration: _____

☐☐☐ 6.8. The pharmacist who is authorized to issue an order to initiate or adjust a controlled substance therapy is personally registered with the federal Drug Enforcement Administration. (BPC 4052[b])

☐☐☐ 6.9. ~~Effective July 1, 2022, a~~ A pharmacist who is authorized to initiate or adjust a Schedule II Controlled substance shall have completed an education course on the risks of addiction associated with the use of Schedule II drugs. (BPC 4232.5[a])

☐☐☐ 6.10. All pharmacists have joined the board's email notification list. (BPC 4013)

☐☐☐ 6.11. Only a pharmacist may electronically enter a prescription or an order, as defined in BPC 4019, into a pharmacy's or hospital's computer from any location outside of the pharmacy or hospital with the permission of the pharmacy or hospital. This does not apply to prescriptions for Schedule II, III, IV or V controlled substances, except as permitted pursuant to HSC 11164.5. (BPC 4071.1)

CORRECTIVE ACTION OR ACTION PLAN: _____

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7. Duties of an Advanced Practice Pharmacist

Yes No N/A

☐☐☐ 7.1. The advanced practice pharmacist has received an advanced practice pharmacist license from the board and may do the following: (BPC 4016.5, 4210)

- ☐ 7.1.1. Perform patient assessments, order and interpret drug therapy-related tests, and refer patients to other health care providers; (BPC 4052.6[a][1]-[3])
- ☐ 7.1.2. Participate in the evaluation and management of diseases and health conditions in collaboration with other health care providers; (BPC 4052.6[a][4])
- ☐ 7.1.3. Initiate drug therapy and promptly transmit written notification to, or enter the appropriate information into a patient record system shared with the patient's primary care provider or diagnosing provider; (BPC 4052.6[a][5], [b])
- ☐ 7.1.4. Adjust or discontinue drug therapy and promptly transmit written notification to the patient's diagnosing prescriber or enters the appropriate information in a patient's record system shared with the prescriber; (BPC 4052.6[a][5], [b])
- ☐ 7.1.5. Prior to initiating or adjusting a controlled substance therapy, the advance practice pharmacist is personally registered with the federal Drug Enforcement Administration; (BPC 4052.6[d])
- ☐ 7.1.6. Ordering of tests is done in coordination with the patient's primary care provider or diagnosing prescriber, including promptly transmitting written notification to the prescriber or entering information in a patient record system shared with the prescriber. (BPC 4052.6[e])

CORRECTIVE ACTION OR ACTION PLAN: _____

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8. Duties of an Intern Pharmacist

Yes No N/A

☐☐☐ 8.1. The intern pharmacist performs the functions of a pharmacist only under the direct supervision of a pharmacist. The pharmacist supervises no more than **two interns** at any one time. (BPC 4114, 4023.5, CCR 1726)

☐☐☐ 8.2. All prescriptions filled or refilled by an intern are, prior to dispensing, checked for accuracy by a licensed pharmacist and the prescription label initialed by the checking pharmacist. (CCR 1717[b][1], CCR 1712)

☐☐☐ 8.3. The intern hours affidavits are signed by the pharmacist under whom the experience was earned or by the pharmacist-in-charge at the pharmacy while the intern pharmacist obtained the experience, when applicable. (BPC 4209[b], CCR 1726)

☐☐☐ 8.4. During a temporary absence of a pharmacist or duty-free breaks or meal periods, an intern pharmacist may not perform any discretionary duties nor act as a pharmacist. (CCR 1714.1[d])

☐☐☐ 8.5. All intern pharmacists have joined the board's email notification list. (BPC 4013)

CORRECTIVE ACTION OR ACTION PLAN: _____

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9. Duties of a Pharmacy Technician

Yes No N/A

☐☐☐ 9.1. Pharmacy technicians only perform packaging, manipulative, repetitive, or other nondiscretionary tasks, while assisting and under the direct supervision and control of a pharmacist. The pharmacist is responsible for the duties performed by the pharmacy technician under the pharmacist's supervision. (BPC 4023.5, 4038, 4115, CCR 1793, 1793.2, 1793.7)

☐☐☐ 9.2. Pharmacy technician ratio when only one pharmacist is present, is no more than one technician. For each additional pharmacist present, the ratio may not exceed 2 technicians for each additional pharmacist. (BPC 4038, 4115[a], [f][1], CCR 1793.7[f])

☐☐☐ 9.3. A pharmacy technician or pharmacy technician trainee wears identification, in 18-point type, that identifies them as a pharmacy technician or pharmacy technician trainee. (BPC 680[a], 4115.5[e], CCR 1793.7[c])

☐☐☐ 9.4. The pharmacy has a job description for the pharmacy technician and written policies and procedures to ensure compliance with technician requirements. (CCR 1793.7[d])

☐☐☐ 9.5. A pharmacy technician trainee participating in an externship may perform packaging, manipulative, repetitive or other nondiscretionary tasks only under the direct supervision and control of a pharmacist; a pharmacist may only supervise one technician trainee and only for a period of no more than 140 hours. (BPC 4115.5)

☐☐☐ 9.6. All pharmacy technicians have joined the board's email notification list. (BPC 4013)

☐☐☐ 9.7 A person shall not act as a pharmacy technician without first being licensed by the board as a pharmacy technician. A certification only is not equivalent to being licensed by the board as a pharmacy technician. (BPC 4115[e])

CORRECTIVE ACTION OR ACTION PLAN: _____

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10. Duties of Non-Licensed Personnel

Yes No N/A

☐☐☐ 10.1. A non-licensed person (clerk/typist) is permitted to type a prescription label or otherwise enter prescription information into a computer record system, and—at the direction of a pharmacist—may request and receive refill authorization. (CCR 1793.3)

☐☐☐ 10.2. The number of non-licensed personnel supervised by each pharmacist does not interfere with the effective performance of the pharmacist's responsibilities under the Pharmacy Law. (CCR 1793.3[b])

CORRECTIVE ACTION OR ACTION PLAN: _____

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PHARMACY PRACTICE

11. Consultation/Patient Profile/Review of Drug Therapy

Yes No N/A

☐☐☐ 11.1. Pharmacists provide oral consultation: (BPC 4052[a][8], CCR 1707.2)

- ☐ 11.1.1. whenever the prescription drug has not been previously dispensed to the patient;
- ☐ 11.1.2. whenever a refill prescription drug is dispensed in a different dosage form, strength, or with new written directions;
- ☐ 11.1.3. upon request;
- ☐ 11.1.4. whenever the pharmacist deems it is warranted in the exercise of their professional judgment; and
- ☐ 11.1.5. all of the above, unless a patient or patient's agent declines the consultation directly to the pharmacist.

☐☐☐ 11.2. The pharmacy maintains patient profile information including allergies, date of birth or age, gender and other prescription and nonprescription drugs that the patient takes. (CCR 1707.1)

☐☐☐ 11.3. The pharmacist reviews a patient's drug therapy and medication record prior to consultation. (CCR 1707.3)

☐☐☐ 11.4. Consultation is performed in a manner that protects the patient's protected health care information and in an area suitable for confidential patient consultation. (Civil Code 56.10, CCR 1714[a])

☐☐☐ 11.5. Appropriate drug warnings are provided orally or in writing. (BPC 4074, CCR 1744)

☐☐☐ 11.6. If prescription medication is mailed or delivered, written notice about the availability of consultation is provided. (CCR 1707.2[b][2])

CORRECTIVE ACTION OR ACTION PLAN: _____

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12. Prescription Requirements

Yes No N/A

☐☐☐ 12.1. Prescriptions are complete with all the required information. (BPC 4040, 4070)

☐☐☐ 12.2. Orally transmitted prescriptions are received and reduced to writing only by a pharmacist or intern pharmacist working under the direct supervision of a pharmacist. (BPC 4070, CCR 1717[c])

Yes No N/A

☐☐☐ 12.3. If a prescription is orally or electronically transmitted by the prescriber's agent, the pharmacist makes a reasonable attempt to verify that the prescriber's agent is authorized to do so, and the agent's name is recorded. (BPC 4071)

☐☐☐ 12.4. If orally transmitted, the pharmacist who received the prescription is identified by initialing the prescription, and if dispensed by another pharmacist, the dispensing pharmacist also initials the prescription. (CCR 1717[c], 1712)

☐☐☐ 12.5. The security and confidentiality of electronically transmitted prescriptions are maintained. (BPC 4070[c], CCR 1717.4[h])

☐☐☐ 12.6. Facsimile prescriptions are received only from a prescriber's office. (BPC 4040[c])

☐☐☐ 12.7. Internet prescriptions for patients (human or animal) in this state are only dispensed or furnished pursuant to a prior good faith examination. (BPC 2290.5, 2242, 2242.1, 4067[a])

☐☐☐ 12.8. With the exception of those prescriptions written under HSC 11159.2 (terminally ill exemption), 11159.3 (declared emergency exemption) and 11167.5 (SNF, ICF, licensed home health agency and licensed hospice exemption), all written controlled substances prescriptions (Schedules II – V) are on California Security Prescription forms. (HSC 11164[a], 11167.5, 11162.1, 11159.2, 11159.3)

☐☐☐ 12.9. All controlled substance prescriptions are valid for six months and are signed and dated by the prescriber. (HSC 11164[a][1], 11166)

☐☐☐ 12.10. All controlled substance prescriptions that are e-prescribed conform to provisions of federal law. (21 CFR parts 1300, 1306, 1311)

CORRECTIVE ACTION OR ACTION PLAN: _____

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13. Prescription Labeling, Furnishing and Dispensing

Yes No N/A

☐☐☐ 13.1. The prescription label contains all the required information. (BPC 4076)

☐☐☐ 13.2. The prescription label is formatted in accordance with patient centered labeling requirements. (CCR 1707.5)

☐☐☐ 13.3. The expiration dates of a drug's effectiveness is accurately identified on the label. (BPC 4076[a][9])

☐☐☐ 13.4. The trade name or generic name and manufacturer of the prescription drug is accurately identified on the label and prescription record and includes the statement "generic for _____" where the brand name is inserted, and the name of the manufacturer. In the professional judgment of the pharmacist, if the brand name is no longer widely used, the label may list only the generic name of the drug and the manufacturer's name may be listed outside the patient-centered area. (BPC 4076[a][1], CCR 1707.5[a][1], 1717[b][2])

☐☐☐ 13.5. Generic substitution is communicated to the patient. (BPC 4073)

☐☐☐ 13.6. When a biological product is substituted with an alternative biological product, all the requirements of BPC 4073.5 are met. (BPC 4073.5)

☐☐☐ 13.7. If the prescription is filled by a pharmacy technician or a pharmacy technician trainee, before dispensing, the prescription is checked for accuracy by a licensed pharmacist and that pharmacist initials the prescription label or the identity of the reviewing pharmacist is recorded in a computer system by a secure means. (BPC 4115, 4115.5[b][3], CCR 1793.7, CCR 1712)

☐☐☐ 13.8. The federal warning label prohibiting transfer of controlled substances is on the prescription container. (21 CFR 290.5)

☐☐☐ 13.9. Prescriptions are dispensed in a new and child-resistant container, or senior-adult ease-of-opening tested container, or in a non-complying package only pursuant to the prescriber or when requested by the purchaser. (15 USC 1473[b], 16 CFR 1700.15, CCR 1717[a])

☐☐☐ 13.10. Patient package inserts are dispensed with all estrogen medications. (21 CFR 310.515)

☐☐☐ 13.11. The pharmacy provides patients with Black Box Warning Information in conformance with 21 CFR 201.57[c].

☐☐☐ 13.12. Medication guides are provided on required medications. (21 CFR 208.24[e])

☐☐☐ 13.13. The pharmacy furnishes dangerous drugs in compliance with:

- ☐ BPC 4119(b) to an approved service provider within an emergency medical services system for storage in a secured emergency pharmaceutical supplies container, in accordance with the policies and procedures of the local emergency medical services agency. (BPC 4119)
- ☐ BPC 4126.5(a) only to a patient pursuant to a prescription, a wholesaler from whom the dangerous drugs were purchased, a manufacturer from whom the drugs were purchased, a licensed wholesaler acting as a reverse distributor, another pharmacy to alleviate a temporary shortage with a quantity sufficient to alleviate the temporary shortage, a health care provider authorized to received drugs, or to another pharmacy of common ownership.

☐☐☐ 13.14. The label includes a physical description of the dispensed medication, including its color, shape, and any identification code that appears on the tablets or capsules. (BPC 4076[a][11])

☐☐☐ 13.15. Controlled substance prescriptions are not filled or refilled more than six months from the date written. (HSC 11200[a])

☐☐☐ 13.16. Refills for Schedule III and IV controlled substance prescriptions are limited to a maximum of 5 times and in an amount, for all refills of that prescription taken together, not exceeding a 120-day supply. (HSC 11200[b])

☐☐☐ 13.17. The pharmacy dispenses not more than a 90-day supply of a dangerous drug, excluding controlled substances, psychotropic medications and self-administered hormonal contraception, under the following provisions: (BPC 4064.5)

- ☐ 13.17.1 Where the prescription specifies an initial quantity of less than a 90-day supply followed by periodic refills; and where: (BPC 4064.5[a])
  - ☐ 13.17.1.1. The prescriber has not indicated “no change to quantity” or words of similar meaning; (BPC 4064.5[d])
  - ☐ 13.17.1.2. The patient has completed an initial 30 day supply; (BPC 4064.5[a][1]) (This is not required where the prescription continues the same medication as previously dispensed in a 90 day supply. BPC 4064.5[b])
  - ☐ 13.17.1.3. The total quantity dispensed does not exceed the total quantity authorized on the prescription, including refills; (BPC 4064.5[a][2])
  - ☐ 13.17.1.4. The prescriber has not specified on the prescription that dispensing the prescription in an initial amount, followed by periodic refills, is medically necessary; and (BPC 4064.5[a][3])
  - ☐ 13.17.1.5. The pharmacist is exercising their professional judgment. (BPC 4064.5[a][4])
  - ☐ 13.17.1.6. The pharmacist notifies the prescriber of the increase in quantity dispensed. (BPC 4064.5[c])

☐ 13.17.2. The pharmacist notifies the prescriber of the increase in quantity dispensed. (BPC 4064.5[c])

☐ 13.17.3. When requested by the patient, the pharmacist dispenses up to a 12-month supply of an FDA-approved, self-administered hormonal contraceptive pursuant to a valid prescription that specifies an initial quantity followed by periodic refills. (BPC 4064.5[f][1])

☐ 13.17.4. When a pharmacist furnishes a self-administered hormonal contraceptive pursuant to BPC 4052.3 under protocols developed by the Board of Pharmacy, the pharmacist may furnish, at the patient's request, up to a 12-month supply at one time. (BPC 4064.5[f][2])

Yes No N/A

☐☐☐ 13.18. The pharmacist includes a written label on the drug container indicating that the drug may impair a person's ability to operate a vehicle or vessel. The label may be printed on an auxiliary label affixed to the prescription container. (BPC 4074[a], [b], 4076.7, CCR 1744)

☐☐☐ 13.19. The pharmacist includes a written label on the drug container to alert the patient about possible potentiating effects when taken in combination with alcohol. The label may be printed on an auxiliary label affixed to the prescription container. (BPC 4074[a], CCR 1744[b])

☐☐☐ 13.20. Whenever an opioid prescription drug is dispensed to patient for outpatient use, the pharmacy prominently displays on the label or container or by a flag or other notification to the container, a notice that states, "Caution: Opioid. Risk of overdose and addiction." (BPC 4076.7)

☐☐☐ 13.21. When requested by a patient or patient representative, the pharmacy provides translated directions for use, printed on the prescription container, label, or on a supplemental document. If the translated directions for use appears on the prescription container or label, the English-language version of the directions for use also appears on the container or label, whenever possible, and may appear on other areas of the label outside the patient-centered area. If it is not possible for the English-language directions to appear on the container or label, the English-language directions are provided on a supplemental document. (BPC 4076.6[a])

Yes No N/A

☐☐☐ 13.22. When a pharmacist furnishes ~~naloxone~~ federal FDA-approved opioid antagonists pursuant to the board of pharmacy's approved protocol, the pharmacist complies with all the requirements listed in BPC 4052.01 and CCR 1746.3.

☐☐☐ 13.23. When the pharmacy furnishes naloxone or another opioid antagonist to a school district, county office of education, or charter school pursuant to Section 49414.3 of the Education Code, it is furnished exclusively for use at a school district school site, county office of education school site, or charter school, and a physician or surgeon provides a written order specifying the quantity to be furnished. (BPC 4119.8)

☐☐☐ 13.24. The pharmacy furnishes naloxone hydrochloride or other opioid antagonist to a law enforcement agency exclusively for use by employees of the law enforcement agency, who have completed training provided by the law enforcement agency, in administering naloxone hydrochloride or other opioid antagonists, and the records of

acquisition and disposition of naloxone hydrochloride or other opioid antagonists furnished shall be maintained by the law enforcement agency for 3 years. (BPC 4119.9)

☐☐☐ 13.25. For each vaccine administered by a pharmacist, a patient vaccine administration record is maintained in an automated data processing or manual record mode such that the information required under section 300aa-25 of Title 42 of the United States Code is readily retrievable during the pharmacy's normal operating hours. A pharmacist provides each patient with a vaccine administration record, and reports to the immunization registry, in accordance with BPC 4052.8(b)(3), the information described in HSC 120440(c) within 14 days of the administration of any vaccine. A pharmacist informs each patient or patient's guardian of immunization record sharing preferences detailed in HSC 120440(e). At the request of a patient, the pharmacist shall notify each patient's primary care provider or enter the appropriate information in a patient record system shared with the primary care provider, as permitted by the primary care provider. The pharmacist shall also notify each pregnant patient's prenatal care provider, if known, of any vaccine administered to the patient within 14 days. (CCR 1746.4[d][e], [f])

☐☐☐ 13.26. The pharmacy furnishes epinephrine auto-injectors to an authorized entity for the purpose of rendering emergency care in accordance with HSC 1797.197a, and is furnished exclusively for use by, or in connection with, an authorized entity and an authorized health care provider provides a prescription specifying the quantity of the epinephrine auto-injectors to be furnished to the authorized entity. A new prescription is obtained for any additional epinephrine auto-injector required for use. The pharmacy complies with the requirements for labeling and records pursuant to BPC 4119.4.

☐☐☐ 13.27. When a pharmacist initiates and furnishes HIV preexposure prophylaxis, the pharmacist does so in compliance with all the requirements of BPC 4052.02. (BPC 4052.02, CCR 1747)

☐☐☐ 13.28. When a pharmacist initiates and furnishes HIV postexposure prophylaxis, the pharmacist does so in compliance with all the requirements of BPC 4052.03. (BPC 4052.03, CCR 1747).

☐☐☐ 13.29. When a pharmacist receives a prescription, which include the words "expedited partner therapy" or the letters "EPT" pursuant to HSC 120582, the pharmacists labels the drug without the name of the individual for whom the drug is intended (BPC 4076 [a], [f]).

Yes No N/A

☐☐☐ 13.30. When a pharmacist provides EPT the pharmacist provides written notification that describes the right of an individual who receives EPT to consult with a pharmacist about the medication dispensed and additional information regarding possible drug interactions. (BPC 4076[a], [h]).

CORRECTIVE ACTION OR ACTION PLAN: _____

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14. Refill Authorization

Yes No N/A

☐☐☐ 14.1. Refill authorization from the prescriber is obtained before refilling a prescription. (BPC 4063)

☐☐☐ 14.2. Refills are documented. (CCR 1717)

☐☐☐ 14.3. Prescriptions for dangerous drugs or devices are only filled without the prescriber's authorization if the prescriber is unavailable to authorize the refill and if, in the pharmacist's professional judgment, failure to refill the prescription might interrupt the patient's ongoing care and have a significant adverse effect on the patient's well-being. (BPC 4064[a])

☐☐☐ 14.4. Refills for Schedule II controlled substances are prohibited. (HSC 11200)

☐☐☐ 14.5. Refills for Schedule III and IV controlled substance prescriptions are limited to a maximum of 5 times within 6 months, and all refills taken together do not exceed a 120-day supply. (HSC 11200)

CORRECTIVE ACTION OR ACTION PLAN: _____

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15. Auto-Refill Program

Yes No N/A

☐☐☐ 15.1. The pharmacy offers a program to automatically refill prescriptions (CCR 1717.5). The pharmacy is aware ~~that effective July 1, 2022,~~ the following actions are required:

- ☐ 15.1.1. The pharmacy has policies and procedures describing the program. (CCR 1717.5[a][1])
- ☐ 15.1.2. Before a patient enrolls, the pharmacy provides a written or electronic notice summarizing the program to the patient or patient's agent. (CCR 1717.5[a][2])
- ☐ 15.1.3. The pharmacy obtains an annual renewal of each prescription from the patient or patient's agent for each prescription refilled through the program. (CCR 1717.5[a][3])
- ☐ 15.1.4. The pharmacy maintains a copy of the written or electronic consent to enroll on file for one year from date of dispensing. (CCR 1717.5[a][4])
- ☐ 15.1.5. The pharmacy completes a drug regimen review for each prescription refilled through the program at the time of refill. (CCR 1717.5[a][5])
- ☐ 15.1.6. Each time a prescription is refilled through the program, the pharmacy provides the patient or patient's agent with a written or electronic notice that a prescription was refilled through the program. (CCR 1717.5[a][6])

☐ 15.1.7. The pharmacy documents and maintains records of patient withdrawal or disenrollment for one year from the date of withdrawal or disenrollment and provides confirmation to the patient or patient's agent. (CCR 1717.5[a][7])

☐ 15.1.8. The pharmacy provides a full refund to the patient, patient's agent or payer for any prescription refilled through the program if the pharmacy was notified that the patient did not want the refill, regardless of the reason, or the pharmacy had been notified of withdrawal or disenrollment from the program prior to dispensing the prescription medication. (CCR 1717.5[a][8])

☐ 15.1.9. The pharmacy makes available any written or electronic notification required by this section in alternate languages as required by state or federal law. (CCR 1717.5[a][9])

CORRECTIVE ACTION OR ACTION PLAN: _____

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16. Quality Assurance and Medication Errors

Yes	No	N/A	
☐	☐	☐	16.1. Pharmacy has established quality assurance program that documents medication errors attributable, in whole or in part, to the pharmacy or its personnel. (BPC 4125, CCR 1711)
☐	☐	☐	16.2. Pharmacy quality assurance policies and procedures are maintained in the pharmacy and are immediately retrievable. (CCR 1711[c])
☐	☐	☐	16.3. The pharmacist communicates with the patient or patient's agent that a medication error has occurred and the steps required to avoid injury or mitigate the error. (CCR 1711[c][2][A], [c][3])
☐	☐	☐	16.4. When a medication error has occurred (drug was administered to or by the patient, or resulted in a clinically significant delay in therapy) the pharmacist communicates to the prescriber that a medication error has occurred. (CCR 1711[c][2][B], 1711[c][3])
☐	☐	☐	16.5. Investigation of pharmacy medication errors is initiated within two business days from the date the medication error is discovered. (CCR 1711[d])

Yes	No	N/A	
☐	☐	☐	16.6. The record for quality assurance review for a medication error contains: (CCR 1711[e])

☐ 16.6.1. Date, location, and participants in the quality assurance review;

☐ 16.6.2. Pertinent data and other information related to the medication error(s) reviewed;

☐ 16.6.3. Findings and determinations; and

☐ 16.6.4. Recommended changes to pharmacy policy, procedure, systems or processes, if any.

☐☐☐ 16.7. The record of the quality assurance review is immediately retrievable in the pharmacy and is maintained in the pharmacy for at least one year from the date it was created. (CCR 1711[f])

☐☐☐ 16.8. Pharmacists are not deviating from the requirements of a prescription except upon the prior consent of the prescriber, and selection of the drug product is in accordance with BPC 4073 (generic substitution). (CCR 1716)

CORRECTIVE ACTION OR ACTION PLAN: _____

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17. Erroneous or Uncertain Prescriptions / Corresponding Responsibility for Filling Controlled Substance Prescriptions

Yes No N/A

☐☐☐ 17.1. Before dispensing a prescription that contains any significant error, omission, irregularity, uncertainty, ambiguity or alteration, the pharmacist contacts the prescriber to obtain information needed to validate the prescription. (CCR 1761[a])

☐☐☐ 17.2. Pharmacists are aware of their corresponding responsibility to determine that a prescription written for a controlled substance was issued for legitimate medical purposes only. (HSC 11153)

☐☐☐ 17.3. Even after conferring with the prescriber, the pharmacist does not dispense a controlled substance prescription if the pharmacist knows or has objective reason to know that the prescription was not issued for a legitimate medical purpose. (CCR 1761[b], HSC 11153)

☐☐☐ 17.4. Internet prescriptions for controlled substances are only dispensed if in compliance with the Ryan Haight Online Pharmacy Consumer Protection Act of 2008. (21 USC 829, 21 USC 802.)

CORRECTIVE ACTION OR ACTION PLAN: _____

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18. Prescription Transfer

Yes No N/A

☐☐☐ 18.1. Only pharmacists transfer prescriptions from pharmacy to pharmacy, and records of prescription transfers are kept as required. (CCR 1717 [e])

☐☐☐ 18.2. Complete and accurate transfer records are kept on each prescription and refill when dispensed by pharmacies sharing a common electronic file. (CCR 1717.1)

☐☐☐ 18.3. For electronic data transmission prescriptions, at the request of the patient or person authorized to make a request on behalf of the patient, the pharmacy immediately transfers or forwards an electronic data transmission prescription, that was received but

not dispensed to the patient, to an alternative pharmacy designated by the requester (BPC 688 (g)), unless the action would result in a violation of any state or federal law or the action is not supported by the latest version of NCPDP SCRIPT standard. ~~Unfulfilled controlled substance prescriptions received as electronic data transmission prescriptions are transferred or forwarded in compliance with Federal Law.~~ (21 CFR 1300, 1304, 1306, and 1311)

a. Schedule III, IV and V Controlled Substance Prescription Transfers

☐☐☐ 18.4. For the **transferring pharmacy**: the prescription hard copy is pulled and "void" is written on its face. The name of the pharmacy to which the prescription is transferred is written on the back of the voided prescription and all other information is recorded as required. The prescription can be transferred only once unless the pharmacies electronically share a real-time, on-line database, in which case the prescription is transferred up to the maximum refills permitted by law and the prescriber's authorization. (21 CFR 1306.25, CCR 1717[e])

☐☐☐ 18.5. For the **receiving pharmacy**: the prescription is reduced to writing by the pharmacist and "transfer" is written on the face of the transferred prescription and all other information is recorded as required. (CCR 1717[e], 21 CFR 1306.25)

CORRECTIVE ACTION OR ACTION PLAN: _____

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19. Confidentiality of Prescriptions

Yes No N/A

☐☐☐ 19.1. Patient information is maintained to safeguard confidentiality. (Civil Code 56.10 et seq.)

☐☐☐ 19.2. All prescriptions are kept confidential and only disclosed as authorized by law. (CCR 1764)

☐☐☐ 19.3. The pharmacy ensures electronically transmitted prescriptions are received, maintained and transmitted in a secure and confidential manner. (CCR 1717.4[h])

☐☐☐ 19.4. If electronically transmitted prescriptions are received by an interim storage device (to allow for retrieval at a later time), the pharmacy maintains the interim storage device in a manner to prevent unauthorized access. (CCR 1717.4[d])

Yes No N/A

☐☐☐ 19.5. If the pharmacy has established and utilizes common electronic prescription files to maintain required dispensing information, the system shall not permit disclosure of confidential medical information except as authorized by law. (CCR 1717.1)

☐☐☐ 19.6. Destruction or disposal of patient records preserves the confidentiality of the information contained therein. (Civil Code 56.101[a])

CORRECTIVE ACTION OR ACTION PLAN: _____

20. Record Keeping Requirements

Yes No N/A

☐☐☐ 20.1. All completed pharmacy self-assessments are on file in the pharmacy and maintained for three years. (CCR 1715[d])

☐☐☐ 20.2. All drug acquisition and disposition records (complete accountability) are maintained for at least three years. Any record maintained electronically, the pharmacist-in-charge or pharmacist on duty is able to produce a hardcopy and electronic copy of all records of acquisition or disposition or other drug or dispensing-related records. These records include (BPC 4081, 4105, 4169, 4333):

- ☐ 20.2.1. Prescription records (BPC 4081[a])
- ☐ 20.2.2. Purchase Invoices for all prescription drugs (BPC 4081[a])
- ☐ 20.2.3. Purchase Invoices and sales records for non-prescription diabetic test devices dispensed pursuant to a prescription (BPC 4081[d])
- ☐ 20.2.4. Biennial controlled substances inventory (21 CFR 1304.11[c], CCR 1718)
- ☐ 20.2.5. U.S. Official Order Forms (DEA Form 222) (21 CFR 1305.13)
- ☐ 20.2.6. Power of Attorney for completion of DEA 222 forms (21 CFR 1305.05~~7~~)
- ☐ 20.2.7. Theft and Loss Reports (DEA Form 106) (21 CFR 1301.74[c])
- ☐ 20.2.8. Record documenting return of drugs to wholesaler or manufacturer (BPC 4081[a])
- ☐ 20.2.9. Record documenting transfers or sales to other pharmacies, licensees, prescribers, and reverse distributors (BPC 4081, 4105, CCR 1718)
- ☐ 20.2.10. Records of receipt and shipment (BPC 4081)

☐☐☐ 20.3. A pharmacist may sell hypodermic needles and syringes to a person without a prescription is limited to: (BPC 4145.5)

- ☐ 20.3.1. Persons known to the pharmacist and when the pharmacist has previously been provided with a prescription or other proof of legitimate medical need; (BPC 4145.5[a])
- ☐ 20.3.2. Use on animals, provided the person is known to the pharmacist or the person's identity can be properly established. (BPC 4145.5[c])
- ☐ 20.3.3. For industrial use, as determined by the board. (BPC 4144.5)
- ☐ 20.3.4. As a public health measure intended to prevent the transmission of HIV, viral hepatitis, and other bloodborne diseases, furnishing of hypodermic needles and syringes for human use to a person 18 years of age or older for personal use. (BPC 4145.5[b])

Yes No N/A

☐☐☐ 20.4. When hypodermic needles and syringes are furnished by a pharmacy without a prescription, the pharmacy provides the consumer with written information or verbal counseling on how to access drug treatment, testing and treatment for HIV and hepatitis

C and safe disposal of sharps waste; and provide one or more of the following disposal options: (BPC 4145.5[e], [f])

☐ 20.4.1. Onsite, safe, hypodermic needle and syringe collection and disposal program.

☐ 20.4.2. Furnish or make available mail-back sharps containers.

☐ 20.4.3. Furnish or make available sharps containers.

☐☐☐ 20.5. Records stored off-site (only for pharmacies who have obtained a waiver from the Board of Pharmacy to store records off-site) are secure and retrievable within two business days. Records for non-controlled substances are maintained on the licensed premises for at least one year from the date of dispensing. Controlled substances are maintained on the licensed premises for at least two years from the date of dispensing. (CCR 1707, BPC 4105[e])

Date Waiver Approved _____ Waiver Number _____

Address of offsite storage location: _____

☐☐☐ 20.6. The pharmacy furnishes an epinephrine auto-injector to a school district, county office of education, or charter school pursuant to Section 49414 of the Education Code if all of the following are met:

☐ 20.6.1. The epinephrine auto-injectors are furnished exclusively for use at a school district site, county office of education, or charter school (BPC 4119.2 [a][1]).

☐ 20.6.2. A physician and surgeon provide a written order that specifies the quantity of epinephrine auto-injectors to be furnished (BPC 4119.2[a][2]).

☐☐☐ 20.7. The pharmacy furnishes an epinephrine auto-injector to an authorized entity for the purpose of rendering emergency care in accordance with HSC 1797.197(a), provided that: (BPC 4119.3, 4119.4)

☐ 20.7.1. An authorized healthcare provider provides a written order that specifies the quantity of epinephrine auto-injectors to be dispensed; (BPC 4119.3[a][1], 4119.4[a][2])

☐ 20.7.2. The pharmacy labels each epinephrine auto-injector with the name of the person to whom the prescription was issued, the designation “Section 1797.197a responder” and “First Aid Purposes Only”, the dosage, use and expiration date; and. (BPC 4119.3[a], 4119.4[b])

☐ 20.7.3. Each dispensed prescription includes the manufacturer’s product information sheet for epinephrine auto-injectors. (BPC 4119.3[a][2][B], 4119.4[c])

CORRECTIVE ACTION OR ACTION PLAN: _____

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21. DEA Controlled Substances Inventory

Inventory:

Yes No N/A

☐☐☐ 21.1. Is completed biennially (every two years).
Date completed: _____ (21 CFR 1304.11[c])

☐☐☐ 21.2. Schedule II inventory is separate from Schedule III, IV and V. See also Section 22. (21 CFR 1304.04[h][1])

☐☐☐ 21.3. All completed inventories are ~~is~~ available for inspection for three years. (CCR 1718)

☐☐☐ 21.4. Indicates on the inventory record whether the inventory was taken at the "open of business" or at the "close of business." (21 CFR 1304.11[a])

☐☐☐ 21.5. Separate Schedule II records are maintained. This includes Schedule II prescriptions, invoices, US official order forms, and inventory records. (21 CFR 1304.04[h])

☐☐☐ 21.6. Schedule III-V prescriptions are filed separately from all prescription records or are designated with a red "C." However, the red C requirement is waived if the pharmacy uses an automated data processing or other record keeping system for identification of controlled substances by prescription number and the original prescription documents can be retrieved promptly. (21 CFR 1304.04[h][4])

☐☐☐ 21.7. Inventories and records for Schedule III-V controlled substances are filed separately or are designated in some manner that makes the required information readily retrievable from ordinary business records. (21 CFR 1304.04)

☐☐☐ 21.8. U.S. Official Order Form (DEA Form222) or electronic equivalent (CSOS) is utilized when ordering all Schedule II controlled substances. When Schedule II controlled substance orders are received by the pharmacy, for each item received, the date and quantity received is indicated on the DEA Form 222. (21 CFR 1305.03, 1305.12, 1305.13, 1305.21, 1305.22[g])

☐☐☐ 21.9. When a pharmacy distributes Schedule II controlled substances to a DEA registrant (pharmacies, wholesales, manufacturers, prescribers) a DEA Form 222 is prepared by the purchasing registrant and provided to the pharmacy selling the schedule II controlled substances. (21 CFR 1305.12)

Yes No N/A

☐☐☐ 21.10. When the pharmacy distributes Schedule II controlled substances to other DEA registrants, such as those listed above, a copy of the DEA Form 222, is properly completed by the pharmacy selling the controlled substances and that copy is submitted at the end of each month to the DEA regional office. (21 CFR 1305.13)

☐☐☐ 21.11. Sales of controlled substances to other pharmacies or prescribers do not exceed five percent of the total number of controlled substances dosage units dispensed per calendar year; otherwise a wholesaler registration is obtained from DEA and from the board. (21 CFR 1307.11[a][1][iv]], Drug Supply Chain Security Act, BPC 4160)

☐☐☐ 21.12. When dispensed upon an “oral” order for a true emergency, a Schedule II prescription is provided by the prescriber by the 7th day following the transmission of the oral order. If not received, the pharmacy reports failure to provide prescription document to the California Department of Justice within 144 hours of the failure to provide prescription. (HSC 11167[c], [d])

☐☐☐ 21.13. The pharmacy generates a controlled substance printout for refills of Schedule III-V prescriptions at least every three days (72 hours) which contains the signature of the dispensing pharmacist, or the pharmacy maintains an alternate system to document the refilling of controlled substance prescriptions that complies with 21 CFR 1306.22.

☐☐☐ 21.14. ~~Any c~~Controlled substances drug loss is reported within one business day of discovery to the DEA and within 30 days ~~of discovery~~ to the Board of Pharmacy the discovery of any loss of controlled substances in one of the following categories that causes the aggregate amount of unreported losses discovered in that category, on or after the same day of the previous year, to equal or exceed: ~~for the following:~~
(21 CFR 1301.74[c], CCR 1715.6)

21.14.1 Tablets, capsules, or other oral medication, 99 dosage units

21.14.2. Single-dose injectable medications, lozenges, film, such as oral, buccal and sublingual, suppositories, or patches, 10 dosage units.

21.14.3 Injectable multi-dose medications, medications administered by continuous infusion, or any other multi-dose unit not described, two or more multi-dose vials, infusion bags or other containers.

☐☐☐ 21.15. Do pharmacy staff hand initial prescription records or prescription labels, or (CCR 1712, 1717[b][1])

☐☐☐ 21.16. Does the pharmacy comply with the requirement for a pharmacist to initial or sign a prescription record or prescription label by recording the identity of the reviewing pharmacist in a computer system by a secure means. This computer does not permit the record to be altered after made and the record of the pharmacist’s identity made in the computer system is immediately retrievable in the pharmacy. (CCR 1712, 1717[b][1])

☐☐☐ 21.17. All Schedule II through IV controlled substance dispensing data is successfully transmitted to CURES within one working day from the date the controlled substance is released to be patient. (HSC 11165[d])

☐☐☐ 21.18. Furnishing of dangerous drugs and controlled substances for physician office use is done under sales and purchase records that correctly give the date, names and addresses of supplier and buyer, the drug or device and its quantity. The prescription may not be used for obtaining dangerous drugs or controlled substances for supplying a practitioner for the purpose of dispensing to patients. (21 CFR 1306.04[b], HSC 11250, BPC 4059)

☐☐☐ 21.19. The pharmacy has designed and operates a system to identify suspicious orders and ensures the system complies with applicable Federal and State privacy laws. Upon

discovering a suspicious order or series of orders, notify the DEA and the Special Agent in charge of DEA in their area. (21 USC 832[a]).

CORRECTIVE ACTION OR ACTION PLAN: _____

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22. Inventory Reconciliation Report of Controlled Substances

Yes No N/A

☐☐☐ 22.1. The pharmacy performs periodic inventory and inventory reconciliation functions to detect and prevent the loss of controlled substances. (CCR 1715.65 [a])

☐☐☐ 22.2. The pharmacist-in-charge of the pharmacy reviews all inventory and inventory reconciliation reports taken and establishes and maintains secure methods to prevent losses of controlled drugs. Written policies and procedures are developed for performing the inventory reconciliation reports required by pharmacy law. (CCR 1715.65 [b])

☐☐☐ 22.3. A pharmacy compiles an inventory reconciliation report of all federal Schedule II controlled substances at least every three months. This report requires: (CCR 1715.65 [c])

- ☐ 22.3.1. A physical count, not an estimate, of all quantities of federal Schedule II controlled substances. The biennial inventory of controlled substances required by federal law may serve as one of the mandated inventories under this section in the year where the federal biennial inventory is performed, provided the biennial inventory was taken no more than three months from the last inventory required by this section; (CCR 1715.65[c][1])
- ☐ 22.3.2. A review of all acquisitions and dispositions of federal Schedule II controlled substances since the last inventory reconciliation report; (CCR 1715.65[c][2])
- ☐ 22.3.3. A comparison of the two above-mentioned items to determine if there are any variances; (CCR 1715.65[c][3])
- ☐ 22.3.4. All records used to compile each inventory reconciliation report shall be maintained in the pharmacy or clinic for at least three years in a readily retrievable form; and (CCR 1715.65[c][4])
- ☐ 22.3.5. Possible causes of overages shall be identified in writing and incorporated into the inventory reconciliation report. (CCR 1715.65[c][5])
- ☐ 22.3.6 In addition to Schedule II controlled substance, the pharmacy is performing an inventory reconciliation of alprazolam 1mg, alprazolam 2mg, tramadol 50mg, and promethazine with codeine 6.25mg/10mg/5ml at least every 12 months. (CCR 1715.65[a][2])
- ☐ 22.3.7 An inventory reconciliation report must be prepared for any identified controlled substances lost no later than three months after discovery of the reportable loss. (CCR 1715.65)

☐ 22.3.8 Inventory activities for all other controlled substances must be performed at least once every two years from the performance of the last inventory activities. (CCR 1715.65[a][3][B])

☐ 22.3.9 The inventory reconciliation report may use a digital or electronic signature or biometric identifier in lieu of a physical signature if, in addition, the individual physically signs a printed statement confirming the accuracy of the inventory or report. The signature shall be dated, and the signed and dated statement shall be retained on file. (CCR 1715.65[e][1])

☐☐☐ 22.4. The pharmacy reports in writing identified losses and known causes to the board within 30 days of discovery unless the cause of the loss is theft, diversion, or self-use in which case the report shall be made within 14 days of discovery. If the pharmacy is unable to identify the cause of the loss, further investigation is undertaken to identify the cause and actions necessary to prevent additional losses of controlled substances. (CCR 1715.65 [d])

☐☐☐ 22.5. The inventory reconciliation report is dated and signed by the individual(s) performing the inventory and countersigned by the pharmacist-in-charge and be readily retrievable in the pharmacy for three years. A countersignature is not required if the pharmacist-in-charge personally completed the inventory reconciliation report. (CCR 1715.65 [e])

Yes No N/A

☐☐☐ 22.6. A new pharmacist-in-charge of the pharmacy completes an inventory reconciliation report as identified in CCR 1715.65 (c) within 30 days of becoming pharmacist-in-charge. When possible, the outgoing pharmacist-in-charge also completes an inventory reconciliation report as required in CCR 1715.65 (c). (CCR 1715.65 [f])

CORRECTIVE ACTION OR ACTION PLAN: _____

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23. Oral/Electronic Transmission and Partial Fill of Schedule II Controlled Substance Prescriptions

Yes No N/A

☐☐☐ 23.1. A faxed prescription for a Schedule II controlled substance is dispensed only **after** the original written prescription is received from the prescriber. (21 CFR 1306.11[a], HSC 11164)

☐☐☐ 23.2. An oral or electronically transmitted prescription for a Schedule II controlled substance for a patient in a licensed skilled nursing facility, licensed intermediate care facility, licensed home health agency or a licensed hospice care is dispensed only **after** the pharmacist has reduced the prescription to writing on a pharmacy-generated prescription form, and: (21 CFR 1306.11, 21 CFR 1306.11[f], HSC 11167.5)

☐ 23.2.1. The licensed facility provides the pharmacy with a copy of the prescriber's signed order, when available.

☐ 23.2.2. The prescription is endorsed by the pharmacist with the pharmacy's name, license, and address.

☐ 23.2.3. The physician has signed the original prescription or provides a facsimile signature on the prescription.

☐ 23.2.4. The signature of the person who received the controlled substance for the licensed skilled nursing facility, licensed intermediate care facility, licensed home health agency or licensed hospice. (21 CFR 1306.11[f], HSC 11167.5)

☐☐☐ 23.3. If unable to supply the full quantity, the pharmacist partially fills a Schedule II prescription and is aware that if the remaining portion of the prescription is to be filled, it must be filled within 72 hours. The pharmacist shall notify the prescriber if the remaining portion of the prescription is not filled within 72 hours. (21 CFR 1306.13[a], CCR 1745[d])

☐☐☐ 23.4. The pharmacist maintains records (in a readily retrievable form or on the original prescription) of each partial filling (filled within 60 days from the date of prescription issuance) of an original prescription for a Schedule II controlled substance written for a patient of a skilled nursing facility or a patient diagnosed as "terminally ill." (21 CFR 1306.13[b], CCR 1745)

☐☐☐ 23.5 The pharmacist maintains records of each partial filling (filled within 30 days from the date of prescription issuance) of an original prescription for a Schedule II controlled substance when a partial fill is requested by the patient or practitioner. The pharmacist shall report to CURES only the actual amounts of drug dispensed. The total dispensed shall not exceed the prescribed quantity. (21 USC 829[f], BPC 4052.10)

☐☐☐ 23.6. Controlled substances written with the "11159.2 exemption" for the terminally ill are only dispensed when the original prescription is received, is tendered and partially filled within 60 days and no portion is dispensed more than 60 days from the date issued. (HSC 11159.2, 21 CFR 1306.11[a], CCR 1745)

☐☐☐ 23.7. The pharmacist, in a true emergency dispenses a Schedule II controlled substance from a prescription transmitted orally or electronically by a prescriber. If the order is written by the prescriber, the prescription is in ink, signed and dated by the prescriber. If the prescription is orally or electronically transmitted, it must be reduced to hard copy. The prescriber provides a written prescription on a controlled substance form that meets the requirements of HSC 11162.1 by the seventh day following the transmission of the initial order. (21 CFR 1306.11[d], HSC 11167)

☐☐☐ 23.8. All prescriptions received, maintained or transmitted by the pharmacy, whether new or refill, received orally, in writing or electronically, are handled to ensure their security, integrity, authenticity and confidentiality. (CCR 1717.4[h])

☐☐☐ 23.9. Electronic image transmission prescriptions are either received in hard copy or the pharmacy has the capacity to retrieve a hard copy facsimile of the prescription from the pharmacy's computer memory. (CCR 1717.4[e])

☐☐☐ 23.10. All electronically transmitted prescriptions include the name & address of the prescriber, a telephone number for oral confirmation, date of transmission and the name of identity of the recipient. (CCR 1717.4[c])

☐☐☐ 23.11. Prescriptions received into an interim storage device, in addition to the prescription information, record and maintain the date the prescription is entered into the device, the date the prescription is transmitted out of the device and the recipient of the outgoing transmission. (CCR 1717.4[d])

☐☐☐ 23.12. A computer-generated prescription that is not an e-script and is printed out or faxed by the practitioner to the pharmacy must be manually signed. (21 CFR 1306.05[d])

☐☐☐ 23.13. Electronic prescriptions (e-scripts) for controlled substances that are received from the prescriber meet federal requirements. (21 CFR 1306.08, 21 CFR 1311)

☐☐☐ 23.14. Controlled substance prescriptions with the 11159.3 exemption during a declared local, state, or federal emergency, noticed by the board, may be dispensed if the following are met: (HSC 11159.3)

- ☐ The prescription contains the information specified in HSC 11164(a), indicates that the patient is affected by a declared emergency with the words "11159.3 exemption" or a similar statement, and is written and dispensed within the first two weeks of notice issued by the board.
- ☐ When the pharmacist fills the prescription, the pharmacist exercises appropriate professional judgment, including reviewing the patient's activity report from the CURES PDMP before dispensing the medication.
- ☐ If the prescription is a Schedule II controlled substance, the pharmacist dispenses no greater than the amount needed for a seven-day supply.
- ☐ The patient first demonstrates, to the satisfaction of the pharmacist, their inability to access medications, which may include, but not limited to, verification of residency within an evacuation area.

CORRECTIVE ACTION OR ACTION PLAN: _____

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24. Automated Drug Delivery Systems

Yes No N/A

☐☐☐ 24.1. Does the pharmacy use an automated drug delivery system, automated patient dispensing system and/or automated unit dose system? (CCR 1713)

If yes, complete the biennial self-assessment for automated drug delivery systems.

Note: An ADDS license is not required for technology installed within the secured licensed premises area of a pharmacy, used in the selecting, counting, packaging, and labeling of dangerous drugs and devices. (BPC 4427.2[j]) or exempt AUDS operated by a licensed hospital pharmacy. (BPC 4427.2(i) As a reminder, a self-assessment form is required for an exempt AUDS.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

25. Repackaging by the Pharmacy

Yes No N/A

☐☐☐ 25.1. Drugs are repackaged (precounted or poured) in quantities suitable for dispensing to patients of the pharmacy. Such repackaging is performed according to the Current Good Manufacturing Practice (CGMP), and the drugs are properly labeled with at least the following information: name of drug, strength, dosage form, manufacturer's name and lot number, expiration date, and quantity per repackaged unit. (21 CFR Part 210, 211 [CGMP], BPC 4342, HSC 110105, 111430)

☐☐☐ 25.2. A log is maintained for drugs pre-packed for future dispensing. (CCR 1751.1, 21 CFR Parts 210, 211)

☐☐☐ 25.3. Drugs previously dispensed by another pharmacy are re-packaged at the patient's request and includes the name and address of both pharmacies and complies with the other requirements of BPC 4052.7.

☐☐☐ 25.4. The pharmacy only repackages and furnishes a reasonable quantity of dangerous drugs and devices for prescriber office use. (BPC 4119.5 [b])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

26. Refill Pharmacy

Yes No N/A

☐☐☐ 26.1. Pharmacy processes refills for another California licensed pharmacy (CCR 1707.4[a])

If the answer is "yes", name the pharmacy or pharmacies _____

☐☐☐ 26.2. Does the pharmacy employ the use of a common electronic file? If yes, are there policies and procedures in place to prevent unauthorized disclosures? (CCR 1717.1)

☐☐☐ 26.3. Some or all pharmacy refill orders are processed by another California licensed pharmacy. (CCR 1707.4[a])

If the answer is "yes," name of refilling pharmacy(s) _____

If the answer to the three questions above is "no" or "not applicable" go to section 27.

☐☐☐ 26.4. Originating pharmacy and refill pharmacy have a contract outlining the refill arrangement, or the pharmacies have the same owner. (CCR 1707.4[a][1])

☐☐☐ 26.5. Refill prescription label meets requirements of BPC 4076 and CCR 1707.5 and shows the name and address of the refilling and or originating pharmacy. (CCR 1707.4[a][2])

☐☐☐ 26.6. Patient is provided with written information, either on the prescription label or prescription container that describes which pharmacy to contact for questions. (CCR 1707.4[a][3])

☐☐☐ 26.7. Both pharmacies maintain complete and accurate records of refill. (CCR 1707.4[a][4])

☐☐☐ 26.8. Both pharmacies are responsible for accuracy of the refilled prescription. (CCR 1707.4[a][5])

☐☐☐ 26.9. Originating pharmacy is responsible for consultation, maintenance of a medication profile and reviewing the patient's drug therapy before delivery of each prescription. (CCR 1707.4[a][6])

CORRECTIVE ACTION OR ACTION PLAN: _____

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27. Standards of Service for Providers of Blood Clotting Products for Home Use (HSC 125286.10)

Yes No N/A

☐☐☐ 27.1. The pharmacy is a provider of blood clotting products for home use in compliance with HC 125286.20 and 125286.25. (HSC 125286.20, 125286.25)

~~☐ 27.1.1. Health system pharmacy. (HSC 125286.20[j][1][B])~~

~~☐ 27.1.2. Pharmacy affiliated with hemophilia treatment centers. (HSC 125286.20[j][1][C])~~

~~☐ 27.1.3. Specialty home care pharmacy. (HSC 125286.20[j][1][D])~~

~~☐ 27.1.4. Retail pharmacy. (HSC 125286.20[j][1][E])~~

~~☐☐☐ 27.2. The pharmacy meets the following requirements:~~

~~☐ 27.2.1. Has sufficient knowledge and understanding of bleeding disorders to accurately follow the instructions of the prescribing physician and ensure high-quality service for the patient. (HSC 125286.25[a])~~

~~☐ 27.2.2. Has access to a provider with sufficient clinical experience that enables the provider to know when patients have an appropriate supply of clotting factor on hand and about proper storage and refrigeration of clotting factors. (HSC 125286.25[b])~~

~~☐ 27.2.3. Maintains 24-hour on-call service 7 days a week, screens telephone calls for emergencies, acknowledges all telephone calls within one hour or less, and has access to knowledgeable pharmacy staffing on call 24 hours a day. (HSC 125286.25[c])~~

~~☐ 27.2.4. Has the ability to obtain all brands of blood clotting products approved by the FDA in multiple assay ranges and vial sizes, including products manufactured from human plasma and those manufactured with recombinant biotechnology techniques, provided manufacturer supply exists and payer authorization is obtained. (HSC 125286.25[d])~~

~~☐ 27.2.5. Supplies all necessary ancillary infusion equipment and supplies with each prescription, as needed. (HSC 125286.25[e])~~

☐ ~~27.2.6. Stores and ships, or otherwise delivers, all blood clotting products in conformity with all state and federally mandated standards, including those set forth in the product's approved package insert. (HSC 125286.25[f])~~

☐ ~~27.2.7. Upon authorization for a nonemergency prescription, ships the prescribed blood clotting products and ancillary infusion equipment and supplies to the patient within two business days or less. (HSC 125286.25[g])~~

☐ ~~27.2.8. Upon approved authorization to dispense a prescription for an emergency situation, provided manufacturer supply exists, delivers prescribed blood products, ancillary infusion equipment and supplies, and medications to the patient within 12 hours for patients living within 100 miles of a major metropolitan airport, and within one day for patients living more than 100 miles from a major metropolitan airport. (HSC 125286.25[h])~~

☐ ~~27.2.9. Provides patients who have ordered their products with a designated contact telephone number for reporting problems with a delivery, and responds to calls within a reasonable time period. (HSC 125286.25[i])~~

☐ ~~27.2.10. Notifies patients of Class 1 and Class 2 recalls and withdrawals of blood clotting products and ancillary infusion equipment within 24 hours of receiving such notice, and participates in the National Patient Notification System for blood clotting recalls. (HSC 125286.25[j])~~

☐ ~~27.2.11. Provides language interpretive services over the telephone or in person, as needed by the patient. (HSC 125286.25[k])~~

☐ ~~27.2.12. Has a detailed plan for meeting the requirements of the Standards of Service for Providers of Blood Clotting Products for Home Use Act in the event of a natural or manmade disaster or other disruption of normal business operations. (HSC 125286.25[*l*])~~

28. Policies and Procedures

Yes No N/A

☐☐☐ 28.1. There are written policies and procedures in place for:

☐ 28.1.1. Action to be taken to protect the public when a licensed individual employed by or with the pharmacy is known to be chemically, mentally, or physically impaired to the extent that it affects their ability to practice the profession or occupation authorized by their license, including the reporting to the board within 14 days of receipt or development; (BPC 4104[a],[c])

☐ 28.1.2. Action to be taken to protect the public when a licensed individual employed by or with the pharmacy is known to have engaged in the theft or diversion or self-use of prescription drugs belonging to the pharmacy, including the reporting to the board within 14 days of receipt or development; (BPC 4104[b], [c])

☐ 28.1.3. Oral consultation for discharge medications to an inpatient of a health care facility licensed pursuant to HSC 1250, or to an inmate of an adult correctional facility or juvenile detention facility; (BPC 4074[a], CCR 1707.2[b][2])

☐ 28.1.4. Operation of the pharmacy during the temporary absence of the pharmacist for breaks and meal periods including authorized duties of personnel, the

pharmacist's responsibilities for checking all work performed by ancillary staff, and the pharmacist's responsibility for maintaining the security of the pharmacy; (CCR 1714.1[f])

☐ 28.1.5. Assuring confidentiality of medical information if your pharmacy maintains the required dispensing information for prescriptions, other than controlled substances, in a shared common electronic file; (CCR 1717.1[e])

☐ 28.1.6. The delivery of dangerous drugs and dangerous devices to a secure storage facility, if the pharmacy accepts deliveries when the pharmacy is closed and there is no pharmacist present; (BPC 4059.5[f][1])

☐ 28.1.7. Compliance with Title VII of Public Law 109-177 – Combat Methamphetamine Epidemic Act of 2005;

☐ 28.1.8. A policy to establish how a patient will receive a medication when a pharmacist has a conscientious objection; (BPC 733[b][3])

☐ 28.1.9. Preventing the dispensing of a prescription when the pharmacist determines that the prescribed drug or device would cause a harmful drug interaction or would otherwise adversely affect the patient's medical condition; (BPC 733[b][1])

☐ 28.1.10. Helping patients with limited or no English proficiency understand the information on the prescription container label in the patient's language, including the selected means to identify the patient's language and providing interpretive services in the patient's language; and (CCR 1707.5[d])

☐ 28.1.11. Inventory reconciliation reporting requirements. (CCR 1715.65[b])

Yes No N/A

☐☐☐ 28.2. Does your pharmacy employ the use of a common electronic file? (CCR 1717.1)

☐ 28.2.1. If yes, are there policies and procedures in place to prevent unauthorized disclosures? (CCR 1717.1[e])

☐☐☐ 28.3. Does your pharmacy furnish emergency contraceptives pursuant to BPC 4052.3[b][1]? (BPC 4052, CCR 1746)

If yes, does the pharmacy:

☐ 28.3.1. Follow the protocol for pharmacists furnishing Emergency Contraception (EC) approved by the California State Board of Pharmacy and the Medical Board of California? (CCR 1746[b])

☐ 28.3.2. Provide the patient with a copy of the current EC Fact Sheet approved by the Board of Pharmacy? (CCR 1746[b][4])

☐ 28.3.3. Maintain in the pharmacy EC medications and adjunctive medications (for nausea and vomiting when taken with EC containing estrogens) as listed in the protocol? (CCR 1746[b][8])

☐ 28.3.4. Prior to furnishing EC, the pharmacist has completed a minimum of one hour of continuing education specific to emergency contraception. (BPC 4052.3[b][2], CCR 1746[b][10])

☐ 28.3.5. If no, EC services are not immediately available or any pharmacist declines to furnish pursuant to a conscience clause, does the pharmacist refer the patient to another emergency contraception provider? (BPC 773[b], CCR 1746[b][5])

☐ 28.3.6. Does the pharmacy have a protocol that ensures a patient has timely access to a prescribed drug or device despite a pharmacist's refusal to dispense a prescription or order? (BPC 733[b])

☐ 28.3.7. If a pharmacist declines to dispense a prescription drug or device pursuant to an order or prescription, the pharmacist has previously notified their employer in writing? (BPC 733[b][3], 4052.3)

Yes No N/A

☐☐☐ 28.4. Furnishes ~~naloxone hydrochloride~~ federal FDA-approved opioid antagonists in accordance with standardized procedures or protocols developed and approved by both the Board of Pharmacy and the Medical Board of California. (BPC 4052.01[a], CCR 1746.3)

☐ 28.4.1. Procedures to ensure education of the person to whom the drug is furnished, not limited to opioid prevention, recognition and response, safe administration, potential side effects, or adverse events and the imperative to seek emergency medical care for the patient.

☐ 28.4.2. Procedures for the notification of the patient's primary care provider with patient consent of any drug or device furnished to the patient or entry of appropriate information in a patient record system.

☐☐☐ 28.5. Furnishes nicotine replacement products in accordance with standardized procedures or protocols developed and approved by both the Board of Pharmacy and the Medical Board of California. (BPC 4052.9, CCR 1746.2)

☐☐☐ 28.6. Furnishes hormonal contraception products in accordance with standardized procedures or protocols developed and approved by both the Board of Pharmacy and the Medical Board of California. (BPC 4052.3, CCR 1746.1)

☐☐☐ 28.7. Does your pharmacy furnish travel medications not requiring a diagnosis that are recommended by the federal Center for Disease Control and Prevention (CDC) for individuals traveling outside the 50 states and the District of Columbia pursuant to section BPC 4052(a)(10)(A)(3)? If yes, does the pharmacy do the following: (CCR 1746.5[a], [c])

☐ 28.7.1. Keep documentation on site and available for inspection by the board, pharmacist(s) completion of an immunization training program that meets the requirements on BPC 4052.8(b)(1), completion of a travel medicine training program, consisting of at least 10 hours of training and cover each element of the International Society of Travel Medicine's Body of Knowledge for the Practice of Travel Medicine (2012) completion of the CDC Yellow Fever Vaccine Course; and current basic life support certification. (CCR 1746.5[c])

☐ 28.7.2. Pharmacists complete two hours of ongoing continuing education focused on travel medicine, separate from continuing education in immunization and vaccines, from an approved provider once every two years. (CCR 1746.5[d])

☐ 28.7.3. Prior to furnishing travel medications, the pharmacist performs a good faith evaluation of the patient, including evaluation of the patient's travel history using destination-specific travel criteria. The travel history includes all the information necessary for a risk assessment during pre-travel consultation, as identified in the CDC Yellow Book. (CCR 1746.5[e])

☐ 28.7.4. The pharmacist notifies the patient's primary care provider of any drugs or devices furnished to the patient within 14 days of the date of furnishing, or enters the appropriate information in the patient record system shared with the primary care provider, as permitted by the primary care provider. If the patient does not have a primary care provider, or is unable to provide contact information for their primary care provider, the pharmacist provides the patient with a written record of the drugs or devices furnished and advises the patient to consult a physician of the patient's choice. (CCR 1746.5[f])

☐ 28.7.5. A patient medication record is maintained and securely stored in a physical or electronic manner for each travel medication furnished, such that the information required under section 300aa-25 of title 42 of the United States Code is readily retrievable during the pharmacy's or facility's normal operating hours and the pharmacist provides the patient with written documentation that reflects the clinical assessment and travel medication plan. (CCR 1746.5[g])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

29. Compounding

Yes No N/A

☐☐☐ 29.1. Prior to allowing any drug product to be compounded in a pharmacy, the pharmacist-in-charge must complete the "Compounding Self-Assessment" required by CCR 1735.2[k].

30. Nuclear Pharmacy

Yes No N/A

☐☐☐ 30.1. All pharmacists handling radioactive drugs are competent in the preparation, handling, storage, receiving, dispensing, disposition and pharmacology of radioactive drugs. (CCR 1708.4)

☐☐☐ 30.2. A pharmacist qualified under CCR 1708.4 to furnish radioactive drugs is in the pharmacy whenever the furnishing of radioactive drugs occurs. All personnel involved in the furnishing of radioactive drugs are under the immediate and direct supervision of such a qualified pharmacist. (CCR 1708.5)

☐☐☐ 30.3. The pharmacy possesses a current Sterile Compounding Permit (BPC 4127) and is compliant with CCR 1751. (Must also complete Compounding Self-Assessment, required by CCR 1735.2[k].

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

31. Telepharmacy Systems and Remote Dispensing Site Pharmacies

Yes No N/A

☐☐☐ 31.1. Pharmacy provides telepharmacy services and has obtained a remote dispensing site pharmacy license from the board. (BPC 4130[e], 4044.6, 4044.3[a])

If the answer is "yes", name the remote dispensing site pharmacy and license number:

Name: _____ License No.: _____

List the names of all qualified remote dispensing site pharmacy technician:

TCH Name: _____ License No. _____

TCH Name: _____ License No. _____

TCH Name: _____ License No. _____

TCH Name: _____ License No. _____

TCH Name: _____ License No. _____

If the answer to the question above is “no” or “not applicable” go to section 32.

Yes No N/A

☐☐☐ 31.2. The supervising pharmacy is not located greater than 150 road miles from the remote dispensing site pharmacy, unless otherwise approved by the board . (BPC 4131[b])

☐☐☐ 31.3. Both the supervising and remote dispensing site pharmacies operate in accordance with BPC 4130, 4131, 4132, 4133, 4134, 4135, 4044, 4044.3, 4044.6, 4044.7, 4059.5.

☐☐☐ 31.4. The remote dispensing site pharmacy will cease to be a remote dispensing site pharmacy and may become a full-service pharmacy licensed under Section 4110 with a pharmacist onsite if it meets all the requirements for licensure for a pharmacy, if the remote dispensing pharmacy dispenses more than 225 prescriptions per day, calculated each calendar year. (BPC 4130[h])

~~31.2. The supervising pharmacy uses a telepharmacy system for the dispensing of prescription drugs and providing related drug regimen review and patient counseling services at the remote dispensing site pharmacy. (BPC 4130[a], BPC 4044.7)~~

~~☐☐☐ 31.3. The remote dispensing site pharmacy is located in a medically underserved area unless otherwise approved by the board. (BPC 4130[c])~~

~~☐☐☐ 31.4. The remote dispensing site pharmacy does not employ any unlicensed personnel. (BPC 4130[d])~~

~~☐☐☐ 31.5. The supervising pharmacy has only obtained one remote dispensing site pharmacy license. (BPC 4130[e])~~

☐☐☐ 31.6. The remote dispensing site pharmacy is not operated by the state and is not located in any state facility, including, but not limited to, correctional facilities, state hospitals, or developmental centers. (BPC 4130[f])

☐☐☐ 31.7. The remote dispensing site pharmacy will cease to be a remote dispensing site pharmacy and may become a full-service pharmacy licensed under Section 4110 with a pharmacist onsite if it meets all the requirements for licensure for a pharmacy, if the remote dispensing pharmacy dispenses more than 225 prescriptions per day, calculated each calendar year. (BPC 4130[h])

☐☐☐ 31.8. The supervising pharmacy provides telepharmacy services for only one remote dispensing site pharmacy. (BPC 4131[a])

☐☐☐ 31.9. The supervising pharmacy is not located greater than 150 road miles from the remote dispensing site pharmacy, unless otherwise approved by the board. (BPC 4131[b])

☐☐☐ 31.10. The supervising pharmacy and the remote dispensing site pharmacy are under common ownership. (BPC 4131[c])

☐☐☐ 31.11. The remote dispensing site pharmacy is staffed by a pharmacist, or at least one registered pharmacy technician meeting the qualifications of BPC section 4132 (BPC 4130[d]).

☐☐☐ 31.12. Pharmacy technicians working at a remote dispensing site pharmacy remain under the direct supervision and control of a pharmacist at the supervising pharmacy at all times that the remote dispensing site pharmacy is operational. (BPC 4131[d])

☐☐☐ 31.13. The supervising pharmacists utilizes a telepharmacy system to supervise operations through audio and visual technology from the supervising pharmacy. (BPC 4131[d])

☐☐☐ 31.14. The designated pharmacist-in-charge of the supervising pharmacy is also the pharmacist-in-charge at the remote dispensing site pharmacy. (BPC 4131[e])

☐☐☐ 31.15. The pharmacist -in-charge of the remote dispensing site pharmacy and the pharmacist-on-duty at the supervising pharmacy are responsible to ensure that both the supervising pharmacy and the remote dispensing site pharmacy are sufficiently staffed to allow for appropriate supervision, which is supervision that would not be reasonably expected to result in an unreasonable risk of harm to public health, safety, or welfare. (BPC 4130[f])

☐☐☐ 31.16. In addition to the requirements of BPC 4202, a pharmacy technician working at the remote dispensing site pharmacy has met the requirements required by BPC 4132. (BPC 4132[a])

- ☐ Possess a pharmacy technician license that is in good standing.
- ☐ Possess and maintain a certification issued by the board-approved pharmacy technician certification program.

PIC Initials

- ☐ Possess one of the following: a minimum of an associated degree in pharmacy technology, a minimum of a bachelor's degree in any subject, or a certification of completion from a course of training specified by regulations adopted by the board pursuant to BPC 4202.
- ☐ Complete a minimum of 2,000 hours of experience working as a pharmacy technician within the two years preceding first commencing work in the remote dispensing site pharmacy.

☐☐☐ 31.17. Registered pharmacy technicians may perform order entry, packaging, manipulative, repetitive, and other nondiscretionary tasks at the remote dispensing site pharmacy under the supervision of a pharmacist at the supervising pharmacy using a telepharmacy system. (BPC 4132[b])

☐☐☐ 31.18. Pharmacy technicians at the remote dispensing site pharmacy do not do any of the following:

- ☐ 31.18.1. Receive a new prescription order orally from a prescriber or other person authorized to prescribe by law. (BPC 4132[c][1])
- ☐ 31.18.2. Consult with a patient or their agent regarding a prescription, either prior to or after dispensing, or regarding any medical information contained in a patient medication record system or patient chart. (BPC 4132[c][2])
- ☐ 31.18.3. Identify, evaluate, or interpret a prescription. (BPC 4132[c][3])
- ☐ 31.18.4. Interpret the clinical data in a patient medication record system or patient chart. (BPC 4132[c][4])
- ☐ 31.18.5. Consult with any prescriber, nurse, or other health care professional or authorized agent thereof. (BPC 4132[c][5])
- ☐ 31.18.6. Supervise the packaging of drugs and check the packaging procedures and product upon completion. (BPC 4132[c][6])
- ☐ 31.18.7. Perform any function that requires the professional judgment of a licensed pharmacist. (BPC 4132[c][7])
- ☐ 31.18.8. Compound drug preparations. (BPC 4132[c][8])

Yes No N/A

☐☐☐ 31.19. A pharmacist at the supervising pharmacy supervises no more than two pharmacy technicians at each remote dispensing site pharmacy. The pharmacist may also supervise pharmacy technicians at the supervising pharmacy. (BPC 4132[d])

☐☐☐ 31.20. The supervising pharmacy's telepharmacy system maintains a video and audio communication system that provides for effective communication between the supervising pharmacy and the remote dispensing site pharmacy's personnel and patients. (BPC 4133[a])

☐☐☐ 31.21. The telepharmacy system facilitates adequate pharmacist supervision and allows the appropriate exchange of visual verbal, and written communications for patient counseling and other matters involved in the lawful dispensing of drugs. (BPC 4133[b])

☐☐☐ 31.22. Patient counseling is provided using audio-visual communication prior to all prescriptions being dispensed from the remote dispensing site pharmacy. (BPC 4133[c])

☐☐☐ 31.23. The telepharmacy system is able to do all of the following:

- ☐ 31.23.1. Identify and record the pharmacy technician preparing each prescription and the supervising pharmacist who reviewed and authorized the dispensing of the prescription. (BPC 4133[d][1])
- ☐ 31.23.2. Require a pharmacist to review and compare the electronic image of any new prescription presented at the remote dispensing site pharmacy with the data entry record of the prescription. (BPC 4133[d][2])
- ☐ 31.23.3. Require the pharmacy technician to use barcode technology to verify the accuracy of the drug to be dispensed. (BPC 4133[d][3])
- ☐ 31.23.4. Require remote visual confirmation by a pharmacist at the supervising pharmacy of the drug stock bottle and the drug to be dispensed prior to dispensing. (BPC 4133[d][4])
- ☐ 31.23.5. Ensure that a prescription is not sold or delivered to a patient prior to a pharmacist performing final verification of the accuracy of the prescription and releasing the prescription for sale and delivery. (BPC 4133[d][5])

Yes No N/A

☐☐☐ 31.24. The video and audio communication system used to counsel and interact with each patient or patient's caregiver shall be secure and compliant with the federal Health Insurance Portability and Accountability Act (Public Law 104-191). (BPC 4133[e])

☐☐☐ 31.25. All records of prescriptions dispensed including the records of the actions performed through the telepharmacy system shall be maintained at the remote dispensing site pharmacy and shall be maintained for three years after the filling of the prescription. (BPC 4133[f])

☐☐☐ 31.26. A pharmacist from the supervising pharmacy completes a monthly in-person, self-inspection of each remote dispensing site pharmacy using the form designated by the board and retains all inspection reports. (BPC 4134[a])

☐☐☐ 31.27. A perpetual inventory is kept for all controlled substances stored at the remote dispensing site pharmacy. (BPC 4134[b])

☐☐☐ 31.28. All controlled substances stored at the remote dispensing site pharmacy are stored in a secure cabinet or safe that is locked. (BPC 4134[c])

☐☐☐ 31.29. A pharmacist from the supervising pharmacy performs inventory and inventory reconciliation functions at the remote dispensing site pharmacy to detect and prevent the loss of any controlled substances. (BPC 4134[d])

☐☐☐ 31.30. The pharmacist-in-charge of the remote dispensing site pharmacy reviews all inventory and inventory reconciliation reports taken and establishes and maintains secure methods to prevent losses of any controlled substances. (BPC 4134[e])

☐☐☐ 31.31. A pharmacist from the supervising pharmacy compiles an inventory reconciliation report of all Schedule II controlled substances at the remote dispensing site pharmacy at least once every three months. (BPC 4134[f]) This compilation shall include the following:

- ☐ 31.31.1. A physical count, not an estimate, of all quantities of federal Schedule II controlled substances. The biennial inventory of controlled substances required by federal law may serve as one of the mandated inventories under this section in the year where the federal biennial inventory is performed, provided the biennial inventory was taken no more than three months from the last inventory required by this section. (BPC 4134[f][1])
- ☐ 31.31.2. A review of all acquisitions and dispositions of federal Schedule II controlled substances since the last inventory reconciliation report. (BPC 4134[f][2])
- ☐ 31.31.3. A comparison of the two above-mentioned items to determine if there are any variances. (BPC 4134[f][3])
- ☐ 31.31.4. All records used to compile each inventory reconciliation report shall be maintained in the pharmacy or clinic for at least three years in a readily retrievable form. (BPC 4134[f][4])

☐☐☐ 31.32. The remote dispensing site pharmacy reports in writing, any identified losses of controlled substances and possible causes of losses to the board within 31 days of discovery unless the cause of the loss is theft, diversion, or self-use in which case the report is made within 14 days of discovery. If the remote dispensing site pharmacy is unable to identify the cause of the loss, further investigation is undertaken to identify the cause and actions necessary to prevent additional losses of controlled substances. (BPC 4134[g])

Yes No N/A

☐☐☐ 31.33. Possible causes of overages are identified in writing and incorporated into the inventory reconciliation report. (BPC 4134[h])

☐☐☐ 31.34. The inventory reconciliation report is dated and signed by the individual(s) performing the inventory, and countersigned by the pharmacist-in-charge of the remote dispensing site pharmacy, and is readily retrievable in the pharmacy for three years. A countersignature is not required if the pharmacist-in-charge personally completed the inventory reconciliation report. (BPC 4134 [i])

☐☐☐ 31.35. While closed, the remote dispensing site pharmacy utilizes an alarm or other comparable monitoring system. (BPC 4135[a])

☐☐☐ 31.36. The remote dispensing site pharmacy is not open and its employees are not allowed access at times when the supervising pharmacy is closed. (BPC 4135[b])

☐☐☐ 31.37. The remote dispensing site pharmacy's security system tracks entries into the remote dispensing site pharmacy and the pharmacist-in-charge periodically review the record of entries. (BPC 4135[b])

☐☐☐ 31.38. Pharmacy services are not provided at the remote dispensing site pharmacy if the telepharmacy system is unavailable. (BPC 4135[b])

☐☐☐ 31.39. The remote dispensing site pharmacy retains a recording of facility surveillance excluding patient communications, for a minimum of 120 days. (BPC 4135[c])

☐☐☐ ~~31.40. Dangerous drugs and devices and controlled substances ordered by the remote dispensing site pharmacy are signed for and received by a pharmacist or a registered pharmacy technician, who meets the qualifications of Section 4132. (BPC 4059.5[g])~~

☐☐☐ ~~31.41. A controlled substance signed for by a pharmacy technician under BPC section 4059.5 is stored separately from existing inventory until the time the controlled substance is reviewed and countersigned by a pharmacist. (BPC 4059.5[g])~~

☐☐☐ ~~31.42. Any receipt and storage of a controlled substance by a pharmacy technician pursuant to BPC section 4059.5 is captured on video, and the video is accessible to the supervising pharmacy and maintained by the remote dispensing site pharmacy for 120 days. (BPC 4059.5[g])~~

~~CORRECTIVE ACTION OR ACTION PLAN: _____~~

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32. Prescription Drug Take-Back Services

Yes No N/A

☐☐☐ 32.1. Does the pharmacy participate in a Prescription Drug Take-Back Program and adheres to the federal, state and local requirements governing the collection and destruction of dangerous drugs? (CCR 1776, 1776.1)
If yes, check off below the type of prescription drug take-back program the pharmacy offers and complete the sections that applies to the type of program(s):

- ☐ Mail back envelopes or package service. (CCR 1776.2)
- ☐ Collection receptacles in the pharmacy. (CCR 1776.3)
- ☐ Drug take-back services in the Skilled Nursing Facilities. (CCR 1776.4, HSC 1250[c])

If the answer to the question above is “no” or “not applicable” go to section 33.

Yes No N/A

☐☐☐ 32.2. Only prescription drugs that have been dispensed by any pharmacy or practitioner to a consumer are eligible for collection as part of drug take-back services maintained by the pharmacy. (CCR 1776.1[f])

☐☐☐ 32.3. Dangerous drugs that have not been dispensed to consumers for use (such as outdated drug stock, drug samples provided to medical practitioners or medical waste) are not collected as part of the pharmacy’s drug take-back service. (CCR 1776.1[f])

☐☐☐ 32.4. The pharmacy does not accept or possess prescription drugs from skilled nursing facilities, residential care homes, health care practitioners or any other entity as part of its drug take-back services. (CCR 1776.1[g][2])

☐☐☐ 32.5. Quarantined, recalled or outdated prescription drugs from the pharmacy stock are not disposed of as part of the pharmacy’s drug take-back services. (CCR 1776.1[g][3])

Pharmacies Offering Mail Back Envelopes or Package Services (CCR 1776.1, 1776.2)

☐☐☐ 32.6. The pharmacy provides prescription drug take-back preaddressed mailing envelopes or packages to consumers to return prescription drugs to an authorized destruction location. (CCR 1776.2[a])

☐☐☐ 32.7. All drug take-back envelopes and packages made available to the public are preaddressed to a location registered with the DEA as a collector. (CCR 1776.2[b])

☐☐☐ 32.8. The preaddressed envelopes and packages are water and spill proof, tamper evident, tear resistant and sealable. The exterior is nondescript and has no markings indicating the envelope or package contains prescription drugs. Postage is prepaid on each envelope or package. (CCR 1776.2[c])

☐☐☐ 32.9. The preaddressed envelope and package contain a unique identification number for each envelope and package, and the instructions for users indicates the process to mail back the drugs. (CCR 1776.2[d])

☐☐☐ 32.10. The pharmacy does not accept any mail back packages or envelopes containing drugs unless the pharmacy is registered as a collector and has an onsite method of destruction that complies with DEA requirements. The consumer is directed to mail the envelopes or packages. (CCR 1776.2[e])

If the answer is no and the pharmacy is registered with DEA as a collector with an onsite method of destruction that complies with DEA requirements, list the following (21 CFR 1317.40):

DEA Collector Registration Number: _____ Expiration Date: _____

Yes No N/A

☐☐☐ 32.11. Once drugs are deposited into a mail back envelope or package by the consumer, the pharmacy does not remove, count, sort or individually handle any prescription drugs from the consumer. (CCR 1776.1[d], [g][1])

Pharmacies with Collection Receptacles in the Pharmacy (CCR 1776.1, 1776.3)

Yes No N/A

☐☐☐ 32.12. The pharmacy is registered with DEA as a collector for purposes of maintaining a prescription drug take-back collection receptacle. (21 CFR 1317.30, 1317.40, CCR 1776)

☐☐☐ 32.13. The pharmacy notified the board in writing within 30 days of establishing the collection program. (CCR 1776.1[i][1])

Date the board was notified: _____

☐☐☐ 32.14. When the pharmacy renewed its pharmacy license, the pharmacy identified and disclosed to the board all the locations where its collection receptacles are located. (CCR 1776.1[i][2])

☐☐☐ 32.15. The pharmacy is aware, any tampering with a collection receptacle or theft of deposited drugs and any tampering, damage or theft of the removed liner are reported to the board in writing within 14 days. (CCR 1776.1[i][3][4])

List the dates the board was notified of any tampering or theft from the collection receptacle and/or tampering, damage or theft of the removed liner:

Date reported: _____

☐☐☐ 32.16. The pharmacy is not on probation with the board. (CCR 1776.1[l])

If answered NO, meaning the pharmacy is on probation, the pharmacy cannot maintain a drug take back collection receptacle and must cease and notify the board in writing within 30 days and notify the DEA within 30 days.

☐☐☐ 32.17. Once drugs are deposited into a collection receptacle by the consumer, the pharmacy does not remove, count, sort or individually handle any prescription drugs from the consumer. (CCR 1776.1[d], 1776.3[e])

☐☐☐ 32.18. The collection receptacle is substantially constructed with a permanent outer container, removable inner liner, and is locked at all times to prevent access to the inner liner. (CCR 1776.3[a])

☐☐☐ 32.19. The collection receptacle is securely fastened to a permanent structure so it cannot be removed and is installed in an inside location. (CCR 1776.3[b])

☐☐☐ 32.20. The receptacle is visible to the pharmacy and DEA registrant employees, but not located in or near emergency areas, nor behind the pharmacy's counter. (CCR 1776.3[b])

☐☐☐ 32.21. The receptacle includes a small opening that allows deposit of drugs into the inside of the receptacle directly into the inner liner, but does not allow for an individual to reach into the receptacle's contents. When the pharmacy is closed, the collection receptacle is not accessible to the public for deposit of drugs. The pharmacy locks the deposit opening on the collection receptacle. (CCR 1776.3[d])

Yes No N/A

☐☐☐ 32.22. The pharmacy directs consumers to directly deposit the drugs into the collection receptacle. (CCR 1776.3[e])

☐☐☐ 32.23. The inner liner used is made of material that is certified by the manufacturer to meet the ASTM D1709 standard test for impact resistance of 165 grams (drop dart test) and the ASTM D1922 standards for tear resistance of 480 grams in both parallel and perpendicular planes. (CCR 1776.3[f])

- ☐ 32.23.1 The liner is waterproof, tamper evident, tear resistant, and opaque to prevent viewing or removal of any contents once the liner has been removed from the collection receptacle. (CCR 1776.3[f][1], [2])
- ☐ 32.23.2. The liner is clearly marked to display the maximum contents (for example, in gallons). (CCR 1776.3[f][2]
- ☐ 32.23.3. The liner bears a permanent, unique identification number established by the pharmacy or pre-entered onto the liner by the liner's manufacturer or distributor. (CCR 1776.3[f][2])
- ☐ 32.23.4. The liner is removable as specified pursuant to CCR 1776.3.

☐☐☐ 32.24. The receptacle allows the public to deposit prescription drugs into the receptacle for containment into the inner liner, without permitting access to or removal of prescription drugs already deposited into the collection receptacle and liner. Once the prescription drugs or any other item is placed in the collection receptacle, the prescription drug or item cannot be removed, counted, sorted, or otherwise individually handled. (CCR 1776.3[g])

☐☐☐ 32.25. If the liner is not already itself rigid or already inside of a rigid container when it is removed from the collection receptacle, the liner is immediately, without interruption, placed in a rigid container for storage, handling, and transport. (CCR 1776.3[h])

☐☐☐ 32.26. The liner is removed from a locked collection receptacle only by or under the supervision of two employees of the pharmacy. Upon removal, the liner is immediately, without interruption, sealed and the pharmacy employees record, in a log, their participation in the removal of each liner from the collection receptacle. Liners and their rigid containers are not opened, x-rayed, analyzed, or penetrated at any time by the pharmacy or pharmacy personnel. (CCR 1776.3[i])

☐☐☐ 32.27. Liners and their rigid containers that are filled and removed from the collection receptacle is stored in a secured, locked location in the pharmacy no longer than 14 days. (CCR 1776.3[j])

☐☐☐ 32.28. The pharmacy maintains records for collected unwanted drugs from consumers for three years, including the records for each liner identified in 1776(a). (CCR 1776.3[k], 1776.6[a])

☐☐☐ 32.29. The pharmacy seals the inner liners and their contents are shipped to a reverse distributor's registered location by common or contract carrier (such as UPS, FEDEX, USPS) or by a licensed reverse distributor pick up at the licensed pharmacy's premises. (CCR 1776.3[l])

Yes No N/A

☐☐☐ 32.30. The collection receptacle has a signage that includes: (1) the name and phone number of the responsible pharmacy, (2) medical sharps and needles (e.g. insulin syringes) are not to be deposited, and (3) consumers may deposit prescription drugs including Schedule II-V controlled substance. (CCR 1776.1[e], 1776.3[m])

Pharmacies with Drug Take-Back Services in Skilled Nursing Facilities

Yes No N/A

☐☐☐ 32.31. The pharmacy provides mail back envelopes or packages to skilled nursing facility employees or person lawfully entitled to dispose of resident decedent's property of unwanted or unused prescription drugs. (CCR 1776.4[a])

☐☐☐ 32.32. If the pharmacy provides mail back envelopes or packages to skilled nursing facilities, the pharmacy requires the skilled nursing facility employees keeps a record noting the specific quantity of each prescription drug mailed back, the unique identification number of the mail back package and the preaddressed location to which the mail back envelope is sent. (CCR 1776.4[a])

☐☐☐ 32.33. If the pharmacy is onsite at a skilled nursing facility, has the pharmacy established a collection receptacle in the skilled nursing facility for the collection and ultimate disposal of unwanted prescription drugs. (CCR 1776.4[b])

If no, answer N/A to the remaining questions in this section.

If yes, continue answering the questions in this section.

List the location(s) of the collection receptacle:

_____

_____

_____

☐☐☐ 32.34. Was the board notified in writing within 30 days of establishing a collection receptacle? (CCR 1776.4[b][2])

☐☐☐ 32.35. Has there been any tampering of the collection receptacle, theft of the deposited drugs and/or tampering, damage or theft of the removed liner? (CCR 1776.4[b][4], [5])

☐ If yes, was the board notified in writing within 14 days of any tampering of the collection receptacles and/or liner?

☐☐☐ 32.36. When the pharmacy license was renewed, did the pharmacy provide ~~the list~~ a current list of collection receptacles? (CCR 1776.4[b][6])

☐☐☐ 32.37. The skilled nursing facility places patient's unneeded prescription drugs into a collection receptacle within three business days after the permanent discontinuance of use of a medication by a prescriber, as a result of the resident's transfer to another facility or as a result of death. Records of such deposit is made in the patient's records, with the name and signature of the employee discarding the drugs. (CCR 1776.4[d])

☐☐☐ 32.38. The collection receptacle is located in a secured area regularly monitored by the skilled nursing facility employees, securely fastened to a permanent structure so it cannot be removed, have a small opening that allows deposit of drugs into the inside of the collection receptacle and directly into the inner liner, but does not allow for an individual to reach into the receptacle's contents, securely locked and substantially constructed with a permanent outer container and a removable inner liner? (CCR 1776.4[e][f][g])

Yes No N/A

☐☐☐ 32.39. The liner certified by the manufacturer to meet the American Society for Testing Materials (ASTM) D1709 standard test for impact resistance of 165 grams (drop dart test), the ASTM D1922 standards for tear resistance of 480 grams in both parallel and perpendicular planes, waterproof, tamper evident, tear resistant, opaque to prevent viewing and discourage removal of any contents once the liner is removed from the collection receptacle, marked to display the maximum contents, and bear a permanent, unique identification number. (CCR 1776.4[h])

☐☐☐ 32.40. The receptacle allows the deposit of prescription drugs into the receptacle for containment into the inner liner, without permitting access to or removal of prescription drugs already deposited into the collection receptacle and liner. Once a prescription drug or item is placed in the collection receptacle, the prescription drug or item cannot be removed, sorted, counted, or otherwise individually handled. (CCR 1776.4[g][1])

☐☐☐ 32.41. If the liner is not already itself rigid or already inside a rigid container when it is removed from the collection receptacle, the liner is immediately placed in a rigid container for storage, handling and transport. (CCR 1776.4[g][2])

☐☐☐ 32.42. The rigid container is disposable, reusable, or recyclable. The rigid container is leak resistant, has sealable tight fitting covers and kept clean and in good repair. (CCR 1776.4[g][2])

☐☐☐ 32.43. The collection receptacle contains signage with (1) the name and phone number of the pharmacy, (2) medical sharps and needles (e.g. insulin syringes) cannot be deposited, and (3) consumers may deposit prescription drugs including Schedule II-V controlled substances. (CCR 1776.4[i])

☐☐☐ 32.44. Once deposited, the prescription drugs are not counted, sorted, or otherwise individually handled. (CCR 1776.4[j])

☐☐☐ 32.45. The installation, removal, transfer, and storage of inner liners is performed only by: (1) one employee of the authorized collector pharmacy and one supervisory level employee of the long-term care facility (e.g. charge nurse or supervisor) designated by the authorized collector or (2) by or under the supervision of two employees of the authorized collector pharmacy. (CCR 1776.4[k])

☐☐☐ 32.46. Sealed inner liners placed in a container are stored at the skilled nursing facility up to three business days in a securely locked, substantially constructed cabinet or a securely locked room with controlled access until transfer to a reverse distributor for destruction. (CCR 1776.4[l])

☐☐☐ 32.47. Liners housed in a rigid container are delivered to a reverse distributor for destruction by a common or contract carrier or by a reverse distributor picked up at the skilled nursing facility. (CCR 1776.4[m])

Record Keeping Requirements for Board Licensees Providing Drug Take Back Services

Yes No N/A

☐☐☐ 32.48. Records required for drug take back services are maintained for three years. (CCR 1776.6)

☐☐☐ 32.49. The pharmacy makes and keeps the following records for each liner: (CCR 1776.6[a])

- ☐ 32.49.1. The date each unused liner is acquired, its unique identification number and size (e.g. 5 gallon, 10 gallon). If the liner does not already contain a unique identification number, the pharmacy assigns the unique identification number. (CCR 1776.6[a][1])
- ☐ 32.49.2. The date each liner is installed in a collection receptacle, the address of the location where each liner is installed, the unique identification number and size (e.g., 5 gallon, 10 gallon), the registration number of the collector pharmacy, and the names and signatures of the two employees that witnessed each installation. (CCR 1776.6[a][2])
- ☐ 32.49.3. The date each inner liner is removed and sealed, the address of the location from which each inner liner is removed, the unique identification number and size (e.g. 5 gallon, 10 gallon) of each inner liner removed, the registration number of the collector pharmacy, and the names and signatures of the two employees that witnessed the removal and sealing. (CCR 1776.6[a][3])
- ☐ 32.49.4. The date each sealed inner liner is transferred to storage, the unique identification number and size (e.g., 5 gallon, 10 gallon) of each inner liner

stored, and the names and signatures of the two employees that transferred each sealed inner liner to storage. (CCR 1776.6[a][4])

☐ 32.49.5. The date each sealed inner liner is transferred for destruction, the address and registration number of the reverse distributor or distributor to whom each sealer inner liner was transferred, the unique identification number and size (e.g., 5 gallon, 10 gallon) of each liner transferred, and the names and signatures of the two employees who transferred each sealed inner liner to the reverse distributor or distributor, or the common carrier who delivered it, the company used, and any related paperwork (invoice, bill of lading). (CCR 1776.6[a][5])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

~~**33. Pharmacies That Donate Drugs to a Voluntary County-Approved Drug Repository and Distribution Program**~~

~~Yes No N/A~~

~~☐☐☐ 33.1. The pharmacy donates medications to a county-approved drug repository and distribution program, and meets all requirements as specified in the laws.: (HSC 150202, 150202.5, 150204, BPC 4169.5)~~

~~☐ 33.1.1. The pharmacy is licensed by and is not on probation with the California State Board of Pharmacy, and (HSC 150202.5)~~

~~☐ 33.1.2. The pharmacy's primary or sole type of pharmacy practice is limited to skilled nursing facility, home health care, board and care, or mail order. (HSC 150202.5)~~

~~Yes No N/A~~

~~☐☐☐ 33.2. If the pharmacy utilizes a surplus medication collection and distribution intermediary, the pharmacy ensures that the intermediary is licensed by the California State Board of Pharmacy. (BPC 4169.5)~~

~~☐☐☐ 33.3. No controlled substances shall be donated. (HSC 150204[c][1])~~

~~☐☐☐ 33.4. Drugs that are donated are unused, unexpired and meet the following requirements: (HSC 150202.5, 150204[c])~~

~~☐ 33.4.1. Have not been adulterated, misbranded, or stored under conditions contrary to standards set by the USP or the product manufacturer. (HSC 150204[c][2])~~

~~☐ 33.4.2. Were received directly from a manufacturer or wholesaler. (HSC 150202.5[a])~~

~~☐ 33.4.3. Were returned from a health facility to which the drugs were originally issued, in a manner consistent with state and federal law, and where the drugs were centrally stored; were under the control of a health facility staff member; and that were never in the possession of a patient or individual member of the public. (HSC 150202.5[b], 150204[c][3])~~

☐ 33.4.4. Are in unopened, tamper-evident packaging or modified unit dose containers with lot numbers and expiration dates affixed. (HSC 105204[d])

☐ 33.4.5. For donated medications that require refrigeration, are medications that are stored, packaged and transported at appropriate temperatures and in accordance with USP standards and pharmacy law. (HSC 150204[m])

34. Pharmacies That Operate a Voluntary County-Approved Drug Repository and Distribution Program

Yes No N/A

☐☐☐ 34.1. The pharmacy conducts a county-approved drug repository and distribution program. (HSC 150201[b][1], 150204)

☐ 34.1.1. The pharmacy is licensed by and is not on probation with the California State Board of Pharmacy, **and:** (HSC 150201[b][1])

☐ 34.1.1.1. Is county owned (HSC 150201[b][1]) or

☐ 34.1.1.2. Contracts with the county to establish a voluntary drug repository and distribution program. (HSC 150201[b][1], 150200, 150204[b][1])

☐ 34.1.2. The pharmacy is owned and operated by a primary care clinic licensed by the California Department of Public Health, and is not on probation with the California State Board of Pharmacy. (HSC 150201[b][2])

☐☐☐ 34.2. The pharmacy has been prohibited by the county board of supervisors, the county public health officer, or the California State Board of Pharmacy from participating in the program because it does not comply with the provisions of the program. (HSC 150204[a][5])

Issued By: _____ Date: _____

Yes No N/A

☐☐☐ 34.3. Date that the county health department confirmed receipt of the pharmacy's "notice of intent" to participate in the program: _____ (HSC 150204[a][3])

☐☐☐ 34.4. The pharmacy provides the county health department on a quarterly basis the name and location of all sources of donated medication it receives. (HSC 150204[a][4][A])

Date last quarterly report was submitted: _____

☐☐☐ 34.5. The pharmacy complies with the county's established written procedures. (HSC 150204[b])

Pharmacies That Operate a Voluntary County-Approved Drug Repository and Distribution Program: Drugs and Maintenance of Drug Stock

Yes No N/A

☐☐☐ 34.6. Donated medications are segregated from the participating entity's other drug stock by physical means, for purposes that include inventory, accounting and inspection. (HSC 150204[j])

☐☐☐ 34.7. Records of acquisition and disposition of donated medications are kept separate from the participating entity's other drug acquisition and disposition records. (HSC 150204[k])

☐☐☐ 34.8. The participating entity follows the same procedural drug pedigree requirements for donated drugs as it does for drugs purchased from a wholesaler or directly from a drug manufacturer. (HSC 150204[n])

☐☐☐ 34.9. Donated medications received are unused, unexpired and meet the following requirements: (HSC 150202, 150202.5, 150204[c])

- ☐ 34.9.1. Are received from authorized sources. (HSC 150202, 150203)
- ☐ 34.9.2. No controlled substances are received. (HSC 150204[c][1])
- ☐ 34.9.3. Are not adulterated, misbranded, or stored under conditions contrary to USP standards or the product manufacturer. (HSC 150204[c][2])
- ☐ 34.9.4. Medications received from a health care facility were centrally stored and under the control of a licensed health care professional or trained staff member of facility, and were never in the possession of a patient or member of the public. (HSC 150204[c][3])
- ☐ 34.9.5. Are received in unopened, tamper-evident packaging or modified unit dose containers with lot numbers and expiration dates affixed. (HSC 150204[d])
- ☐ 34.9.6. Are maintained in the donated packaging until dispensed to an eligible patient under the program, who presents a valid prescription. (HSC 150204[i])
- ☐ 34.9.7. For donated medication that require refrigeration, there are specific procedures to ensure that the medications are packaged, transported, stored, and dispensed at appropriate temperatures and in accordance with USP standards and pharmacy law. (HSC 150204[m])

☐☐☐ 34.10. Donated medication received in open containers is not dispensed under the program or transferred to another participating entity; and once identified, is quarantined immediately and disposed of in accordance with the Medical Waste Management Act. (HSC 150204[d][1], 150204[h])

Pharmacies That Operate a Voluntary County-Approved Drug Repository and Distribution Program: Transferring Donated Drugs From One Participating Entity to Another

~~Yes No N/A~~

☐☐☐ 34.11. The pharmacy transfers donated medication to another participating county-owned pharmacy within an adjacent county. (HSC 150204[g][4])

☐☐☐ 34.12. The pharmacy has a written agreement outlining the protocols and procedures for the transfer of donated medications. (HSC 150204[g][4][A])

Adjacent counties to which donated medication are transferred:

_____
_____

☐☐☐ 34.13. Donated medication is not transferred by any participating entity more than once. (HSC 150204[g][4][B])

☐☐☐ 34.14. When transferring donated medication, documentation accompanies the medication that identifies the drug name, strength, quantity of medication, and the donating facility from where the medication originated. (HSC 150204[g][4][C])

PIC Initials _____

☐☐☐ 34.15. When transferring donated medication, documentation includes a statement that the medication may not be transferred to another participating entity. (HSC 150204[g][4][C])

Pharmacies That Operate a Voluntary County-Approved Drug Repository and Distribution Program: Dispensing to Eligible Patients

Yes No N/A

☐☐☐ 34.16. Donated medications that are dispensed to an eligible patient who presents a valid prescription are dispensed in a new and properly labeled container, specific to the eligible patient. (HSC 150204[i])

☐☐☐ 34.17. The pharmacist adheres to standard pharmacy practices, as required by state and federal law, when dispensing donated medications under this program. (HSC 150204[f])

PHARMACIST-IN-CHARGE CERTIFICATION:

I, (please print) _____, RPH # _____ hereby certify that I have completed the self-assessment of this pharmacy of which I am the pharmacist-in-charge. Any deficiency identified herein will be corrected by _____(date). I understand that all responses are subject to verification by the Board of Pharmacy. I further state under penalty of perjury of the laws of the State of California that the information that I have provided in this self-assessment form is true and correct.

Signature _____ _____ Date
(Pharmacist-in-Charge)

ACKNOWLEDGEMENT BY PHARMACY OWNER OR HOSPITAL ADMINISTRATOR:

I, (please print) _____, hereby certify under penalty of perjury of the laws of the State of California that I have read and reviewed this completed self-assessment. I understand that failure to correct any deficiency identified in this self-assessment in the timeframe identified in the Pharmacist-in-Charge Certification above could result in the revocation of the pharmacy's license issued by the California State Board of Pharmacy.

Signature _____ _____ Date
Pharmacy Owner or Hospital Administrator

The following **Legal References** are used in the self-assessment form. Many of these references can be viewed on the Board of Pharmacy Web site at www.pharmacy.ca.gov (see *Laws and Regulations*), at the California State Law Library, or at other libraries or Internet web sites.

- Business and Professions Code (BPC), Division 1, Chapter 1 – General Provisions
- BPC, Division 2, Chapter 1 – General Provisions
- BPC, Division 2, Chapter 3 – Clinical Laboratory Technology
- BPC, Division 2, Chapter 9 – Pharmacy
- California Code of Regulation (CCR), Title 16, Division 17 – California State Board of Pharmacy
- Civil Code, Division 1, Part 2.6, Chapter 2 – Disclosure of Medical Information by Providers
- Code of Federal Regulations (CFR), Title 16, Chapter II, Subchapter E, Part 1700 – Poison Prevention Packaging
- CFR, Title 21, Chapter I, Subchapter C, Part 201, Subpart B – Labeling Requirements for Prescription Drugs and/or Insulin
- CFR, Title 21, Chapter I, Subchapter C, Part 208 – Medication Guides for Prescription Drug Products
- CFR, Title 21, Chapter I, Subchapter C, Part 210 – Current Good Manufacturing Practice in Manufacturing, Processing, Packaging, or Holding of Drugs; General
- CFR, Title 21, Chapter I, Subchapter C, Part 211 – Current Good Manufacturing Practice for Finished Pharmaceuticals
- CFR, Title 21, Chapter I, Subchapter D, Part 310, Subpart E – Requirements for Specific New Drugs and Devices
- CFR, Title 21, Chapter II - Drug Enforcement Administration, Department of Justice Combat Methamphetamine Epidemic Act of 2005. Pub. L. 109-177. 120 Stat. 256.9 Mar. 2006
- Health and Safety Code (HSC), Division 2, Chapter 1 – Licensing Provisions
- HSC, Division 10 – Uniform Controlled Substances Act
- HSC, Division 104, Part 5 (Sherman Food, Drug, and Cosmetics Law), Chapter 2 – Administration
- HSC, Division 106, Part 5, Chapter 2 – Genetic Disease Services
- HSC, Division 116 – Surplus Medication Collection and Distribution
- United States Code (USC), Title 15, Chapter 39A – Special Packaging of Household Substances for Protection of Children
- USC, Title 21, Chapter 9, Subchapter V, Part H – Pharmaceutical Distribution Supply Chain (Drug Supply Chain Security Act)
- USC, Title 21, Chapter 13 – Drug Abuse Prevention and Control

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Sacramento, CA 95833
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www.pharmacy.ca.gov

Business, Consumer Services and Housing Agency
Department of Consumer Affairs
Gavin Newsom, Governor

HOSPITAL PHARMACY SELF-ASSESSMENT

Title 16 of the California Code of Regulations section 1715 requires the pharmacist-in-charge of each pharmacy licensed under section 4037 or 4029 of the Business and Professions Code (BPC) to complete a self-assessment of the pharmacy's compliance with federal and state pharmacy law. **The assessment shall be performed before July 1 of every odd-numbered year. The pharmacist-in-charge must also complete a self-assessment within 30 days whenever (1) a new pharmacy permit has been issued, or (2) there is a change in the pharmacist-in-charge**. **The primary purpose of the self-assessment is to promote compliance through self-examination and education.**

The self-assessment must be completed in its entirety. It may be completed online, printed, initialed, signed, and readily available in the pharmacy. Signatures and initials shall be an original handwritten signature or initial on the self-assessment form. Do not copy a previous assessment.

Notes: If dispensing prescriptions for outpatient use, a Community Pharmacy Self-Assessment/Hospital Outpatient Pharmacy Self-Assessment (17M-13, pursuant to 16 CCR 1715) must be completed also. A hospital that compounds drug products must also complete the Compounding Self-Assessment (17M-39 pursuant to 16 CCR 1735.2(k).)

Each self-assessment must be kept on file in the pharmacy for three years after it is performed.

Pharmacy Name: _____

Address: _____ Phone: _____

Ownership: ☐ Sole Owner ☐ Partnership ☐ Corporation ☐ LLC ☐ Trust
☐ Non-Licensed Owner ☐ Other (please specify) _____

License #: _____ Exp. Date: _____ Other License #: _____ Exp. Date: _____

Licensed Sterile Compounding License #_____ Expiration: _____

Accredited by (optional):_____ From: _____ To: _____

Centralized Hospital Packaging #: _____ Exp. Date: _____

DEA Registration #: _____ Exp. Date: _____ Date of DEA Inventory: _____

Hours: *Weekdays*_____ *Sat.*_____ *Sun.* _____ *24 Hours* _____

PIC: _____ RPH # _____ Exp. Date: _____

_____
PIC
Initials

Pharmacy staff (pharmacists, interns, technicians):
APH= Advanced Practice Pharmacist, DEA = Drug Enforcement Administration.

1. _____ RPH # _____ Exp. Date: _____
   APH # _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

2. _____ RPH # _____ Exp. Date: _____
   APH # _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

3. _____ RPH # _____ Exp. Date: _____
   APH # _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

4. _____ RPH # _____ Exp. Date: _____
   APH # _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

5. _____ RPH # _____ Exp. Date: _____
   APH # _____ Exp. Date: _____
   DEA # _____ Exp. Date: _____

6. _____ INT # _____ Exp. Date: _____

7. _____ INT # _____ Exp. Date: _____

8. _____ INT # _____ Exp. Date: _____

9. _____ INT # _____ Exp. Date: _____

10. _____ TCH # _____ Exp. Date: _____

11. _____ TCH # _____ Exp. Date: _____

12. _____ TCH # _____ Exp. Date: _____

13. _____ TCH # _____ Exp. Date: _____

_____
PIC
Initials

HOSPITAL PHARMACY SELF-ASSESSMENT

All references to the California Code of Regulations (CCR) are Title 16 unless otherwise noted.

Please mark the appropriate box for each question. If "NO," enter an explanation on "CORRECTIVE ACTION or ACTION PLAN" lines below. If more space is needed, you may add additional sheets.

1. Pharmacy

Yes No N/A

☐☐☐ 1.1. The pharmacy is secure and has provisions for effective control against the theft of dangerous drugs and devices. (BPC 4116, 4117, CCR 1714)

☐☐☐ 1.2. The pharmacy has procedures in place to take action to protect the public when a licensed individual employed by or with the pharmacy is discovered or known to be chemically, mentally, or physically impaired to the extent it affects their ability to practice the profession or occupation authorized by their license, or is discovered or known to have engaged in the theft, diversion, or self-use of dangerous drugs. (BPC 4104[a])

☐☐☐ 1.3. The pharmacy has written policies and procedures for addressing chemical, mental, or physical impairment, as well as theft, diversion, or self-use of dangerous drugs, among licensed individual employed by or with the pharmacy. (BPC 4104[b])

☐☐☐ 1.4. The pharmacy reports to the board within 14 days of the receipt or development of the following information with regard to any licensed individual employed by or with the pharmacy: (1) any admission by a licensed individual of chemical, mental, or physical impairment affecting their ability to practice; (2) Any admission by a licensed individual of theft, diversion, or self-use of dangerous drugs; (3) Any video or documentary evidence demonstrating chemical, mental, or physical impairment of a licensed individual to the extent it affects their ability to practice; (4) Any video or documentary evidence demonstrating theft, diversion, or self-use of dangerous drugs by a licensed individual; (5) Any termination based on chemical, mental, or physical impairment of a licensed individual to the extent it affects their ability to practice; (6) Any termination of a licensed individual based on theft, diversion, or self-use of dangerous drugs. (BPC 4104[c])

☐☐☐ 1.5. The pharmacy maintains a supply of medications which are accessible without entering the pharmacy during hours when the pharmacy is closed, and the pharmacist is not available. Access is limited to designated registered nurses. (22 CCR 70263[n])

☐☐☐ 1.6. The pharmacy is of sufficient size and has an unobstructed area to accommodate the safe practice of pharmacy. (CCR 1714[b])

☐☐☐ 1.7. The pharmacy premises, fixtures, and equipment are maintained in a clean and orderly condition. (CCR 1714[c])

☐☐☐ 1.8. The pharmacy sink has hot and cold running water. (CCR 1714[c])

☐☐☐ 1.9. The pharmacy has a readily accessible restroom. (CCR 1714[g])

PIC Initials

Yes No N/A

☐☐☐ 1.10. The original board-issued pharmacy license and the current renewal are posted where they may be clearly read by the purchasing public. (BPC 4032, 4058)

☐☐☐ 1.11. Pharmacists, interns, pharmacy technicians, and pharmacy technician trainees wear nametags, in 18-point type, that contain their name and license status. (BPC 680, 4115.5[e], CCR 1793.7[c])

☐☐☐ 1.12. Does the pharmacy compound sterile drugs?

(If yes, complete the Compounding Self-Assessment required by CCR 1735.2[k])

☐☐☐ 1.13. The pharmacy is subscribed to the board's email notifications. (BPC 4013)

Date Last Notification Received: _____

Email address registered with the board: _____

☐☐☐ 1.14. For a pharmacy whose owner owns two or more pharmacies, the pharmacy receives the board's email notifications through the owner's electronic notice system. (BPC 4013[c])

Date Last Notification Received: _____

Email address registered with the board: _____

☐☐☐ 1.15. All medicinal cannabis is stored in a locked container in the patient's room, other designated areas, or with the patient's primary caregiver and is retrieved, administered, handled, removed and disposed in accordance with HSC 1649.1, 1649.2, 1649.3, 1649.4.

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

2. Nursing Stations

Yes No N/A

☐☐☐ 2.1. Adequate space is available at ward or nursing station for the storage of drugs and preparation of medication doses. -All such spaces and areas can be locked and are accessible to authorized personnel only. (22 CCR 70269)

☐☐☐ 2.2. The pharmacist, intern pharmacist, or pharmacy technician completes the monthly inspections of all floor stock and drugs maintained in nursing stations. Any irregularities are reported to the director of nursing services, and as required by hospital policy. (BPC 4119.7[c], 4115[j], 22 CCR 70263[q][10])

☐ 2.2.1. An intern pharmacist shall report any irregularities to the pharmacist. (BPC 4119.7[c])

☐ 2.2.2. A pharmacy technician shall report any irregularities to the pharmacist-in-charge and to the director of the health care facility within 24 hours. (BPC 4115[i][3])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

PIC Initials _____

3. Delivery of Drugs

Yes No N/A

☐☐☐ 3.1. Delivery to the pharmacy of dangerous drugs and dangerous devices are only delivered to the licensed premise and signed for and received by a pharmacist. (BPC 4059.5[a])

☐☐☐ 3.2. Deliveries to a hospital pharmacy may be made to a central receiving location within the hospital. However, the dangerous drugs or dangerous devices shall be delivered to the licensed pharmacy premise within one working day following receipt by the hospital, and the pharmacist on duty at that time shall immediately inventory the drugs or devices. (BPC 4059.5[c])

☐☐☐ 3.3. A pharmacy may take delivery of dangerous drugs and dangerous devices when the pharmacy is closed and no pharmacist is on duty if all of the following requirements are met: (BPC 4059.5[f])

- ☐ 3.3.1. The drugs are placed in a secure storage facility in the same building as the pharmacy; (BPC 4059.5[f][1])
- ☐ 3.3.2. Only the pharmacist-in-charge or a pharmacist designated by the pharmacist-in-charge has access to the secure storage facility after dangerous drugs or dangerous devices have been delivered; (BPC 4059.5[f][2])
- ☐ 3.3.3. The secure storage facility has a means of indicating whether it has been entered after dangerous drugs or dangerous devices have been delivered; (BPC 4059.5[f][3])
- ☐ 3.3.4. The pharmacy maintains written policies and procedures for the delivery of dangerous drugs and dangerous devices to a secure storage facility; and (BPC 4059.5[f][4])
- ☐ 3.3.5. The agent delivering dangerous drugs and dangerous devices pursuant to this subdivision leaves documents indicating the name and amount of each dangerous drug or dangerous device delivered in the secure storage facility. The pharmacy shall be responsible for the dangerous drugs and dangerous devices delivered to the secure storage facility. The pharmacy shall also be responsible for obtaining and maintaining records relating to the delivery of dangerous drugs and dangerous devices to a secure storage facility. (BPC 4059.5[f][5])

☐☐☐ 3.4. Prior to, or at the time of, accepting ownership of a product included in the Drug Supply Chain Security Act from an authorized trading partner, the pharmacy is provided transaction history, transaction information, and a transaction statement. (21 USC 360eee-1[d][1][A][i])

☐☐☐ 3.5. Prior to, or at the time of, each transaction in which the pharmacy transfers ownership of a product included in the Drug Supply Chain Security Act to an authorized trading partner, the subsequent owner is provided transaction history, transaction information, and a transaction statement for the product. Note: This requirement does not apply to sales by a pharmacy to another pharmacy to fulfill a specific patient need. (21 USC 360eee-1[d][1][A][ii])

PIC Initials

☐☐☐ 3.6. The pharmacy captures transaction information (including lot level information, if provided), transaction history, and transaction statements, as necessary to investigate a suspect product, and maintains such information, history, and statements for not less than 6 years after the transaction. (21 USC 360eee-1[d][1][A][iii])

☐☐☐ 3.7. ~~The pharmacy is aware, effective November 27, 2020, pharmacies are required by the Drug Quality and Security Act (DQSA), to have pharmacy lot-level traceability and by November 27, 2023 unit-level traceability~~. The pharmacy has lot level traceability and by November 27, 2023 will have unit level traceability in accordance with the Drug Quality and Security Act (DQSA). (21 USC 360eee-1[d][2] and 582[g][1])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

4. Drug Stock

Yes No N/A

☐☐☐ 4.1. The drug stock is clean, orderly, properly stored, properly labeled and in-date. (21 USC sections 331, 351, 352, BPC 4169[a][2]-[4], 4342, HSC 111255, 111335, CCR 1714 (b), 22 CCR 70263[q])

☐☐☐ 4.2. All ward/floor drug stock and drug supplies that are maintained for access when the pharmacist is not available are properly labeled and stored. Records of drugs taken from the drug stock or drug supplies must be maintained and the pharmacist must be notified. (22 CCR 70263[n])

☐☐☐ 4.3. Preferentially priced drugs are furnished solely or predominately to inpatients in accordance with provisions of the Nonprofit Institutions Act (15 USC 13c). Such drugs also may be dispensed pursuant to prescriptions for inpatients at the time of discharge, for employees of the hospital, or on an emergency basis for a walk-in customer (provided that sales to walk-ins do not exceed one percent of the pharmacy's total prescription sales) or to any person in the occasional emergency situation where no other sources are readily available in the community to meet the emergency need. (BPC 4380, CCR 1710[a])

☐☐☐ 4.4. All unit-dose drugs received from a centralized hospital packaging pharmacy are correctly labeled, are barcoded, and the barcode is readable at the patient's bedside. (BPC 4128.4, 4128.5)

☐☐☐ 4.5. All drugs are maintained in accordance with national standards regarding the storage area and refrigerator or freezer temperature and manufacturer's guidelines. (BPC 4119.7[b]

☐☐☐ 4.6. Dangerous drugs or dangerous devices are purchased, traded, sold or transferred with an entity licensed with the board as a wholesaler, third-party logistics provider, pharmacy or a manufacturer, and provided the dangerous drugs and devices: (BPC 4059.5, 4169, CCR 1718.1)

- ☐ 4.6.1. Are not known or reasonably should not be known to the pharmacy as being adulterated.
- ☐ 4.6.2. Are not known or reasonably should not be known to the pharmacy as being misbranded.
- ☐ 4.6.3. Are not expired.

Yes No N/A

☐☐☐ 4.7. If the pharmacy has reasonable cause to believe a dangerous drug or dangerous device in or having been in its possession is counterfeit or the subject of a fraudulent transaction, the pharmacy will notify the board within 72 hours of obtaining that knowledge. (BPC 4107.5)

☐☐☐ 4.8. The pharmacy does not furnish dangerous drugs or dangerous devices to an unauthorized person. (BPC 4163)

☐☐☐ 4.9. An automated unit dose system (AUDS) operated by a licensed hospital pharmacy as defined by BPC 4029, and used solely to provide doses administered to patients while in a licensed general acute care hospital facility shall be exempted from the requirement of obtaining an ADDS license if the hospital pharmacy owns or leases the AUDS and owns the dangerous drugs or devices in the AUDS. The AUDS shall comply with all other requirements for an ADDS (i.e. Security, Record keeping, Self-Assessment, Quality Assurance, etc.) and maintain a list of the location of each AUDS it operates. (BPC 4119.11[b][3], 4427.2, 4427.65)

CORRECTIVE ACTION OR ACTION PLAN: _____

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5. Pharmacies That Donate Drugs to a Voluntary County-Approved Drug Repository and Distribution Program

Yes No N/A

☐☐☐ 5.1. Does the pharmacy donate to or operate a county-approved Voluntary Drug Repository and Distribution Program?

~~(If yes, complete Section 30 [donate drugs] or Section 31 [operate program] of this Self-Assessment.)~~

☐☐☐ 5.2 The pharmacy that donates medications to or operates a voluntary county approved drug repository and distribution program meets all the requirements as specified in law. (HSC 150200, 150201, 150202, 150202.5, 150203, 150204, 150204.5, 150204.6, 150205, BPC 4169.5)

~~5.1. The hospital pharmacy donates medications to a county-approved drug repository and distribution program, and meets the following requirements: (HSC 150202, 150202.5, 150204)~~

- ~~☐ 5.1.1. The hospital pharmacy is licensed by and is not on probation with the California State Board of Pharmacy, and (HSC 150202.5)~~
- ~~☐ 5.1.2. The hospital pharmacy's primary or sole type of pharmacy practice is limited to skilled nursing facility, home health care, board and care, or mail order. (HSC 150202.5)~~

~~☐☐☐ 5.2. No controlled substances shall be donated. (HSC 150204[c][1])~~

PIC Initials

☐☐☐ 5.3. Drugs that are donated are unused, unexpired and meet the following requirements: (HSC 150202.5, 150204[c])

- ☐ 5.3.1. Have not been adulterated, misbranded, or stored under conditions contrary to standards set by the USP or the product manufacturer. (HSC 150204[c][2])
- ☐ 5.3.2. Were received directly from a manufacturer or wholesaler. (HSC 150202.5[a])
- ☐ 5.3.3. Were centrally stored and under the control of a health facility staff member, and were never in the possession of a patient or individual member of the public. (HSC 150202.5[b], 150204[c][3])
- ☐ 5.3.4. Are in unopened, tamper-evident packaging or modified unit dose containers with lot numbers and expiration dates affixed. (HSC 105204[d])
- ☐ 5.3.5. For donated medications that require refrigeration, are medications that are stored, packaged and transported at appropriate temperatures and in accordance with USP standards and pharmacy law. (HSC 150204[m])

Yes No N/A

☐☐☐ 5.4. The hospital pharmacy follows the same procedural drug pedigree requirements for donated drugs as it does for drugs purchased from a wholesaler or directly from a drug manufacturer. (HSC 150204[n])

CORRECTIVE ACTION OR ACTION PLAN: _____

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6. Pharmacist-in-Charge (PIC)

Yes No N/A

☐☐☐ 6.1. The pharmacy has a PIC who is responsible for the daily operation of the pharmacy. (BPC 4101, 4113, 4305, 4330, CCR 1709, 1709.1)

☐☐☐ 6.2. The PIC has adequate authority to assure the pharmacy's compliance with laws governing the operation of a pharmacy. (CCR 1709.1[b])

☐☐☐ 6.3. Is the PIC in charge of another pharmacy?

If yes, the pharmacies are within 50 driving distance miles of each other. (CCR 1709.1[c])

If yes, name of other pharmacy _____

☐☐☐ 6.4. Any change of PIC is reported by the pharmacy and the departing PIC to the board in writing within 30 days. (BPC 4101, 4330)

☐☐☐ 6.5. The PIC is not concurrently serving as the designated representative-in-charge for a wholesaler or veterinary food-animal drug retailer. (CCR 1709.1[d])

CORRECTIVE ACTION OR ACTION PLAN: _____

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PIC Initials

7. Duties of a Pharmacist

Yes No N/A

☐☐☐ 7.1. A pharmacist: (BPC 4019, 4051, 4052, 4052.2, CCR 1717[c], CCR 1793.1, CCR 1793.7)

- ☐ 7.1.1. Receives a chart order for an inpatient; (BPC 4019, 4051 [b], 4052, 4052.2, CCR 1717, CCR 1793.1[a])
- ☐ 7.1.2. Identifies, evaluates and interprets the chart order; (CCR 1717[c], CCR 1793.1[c])
- ☐ 7.1.3. Reviews patient's drug regimen and interprets the clinical data in the patient's medication record; (BPC 4052.1[a][4], 4052.2[a][4], CCR 1793.1[d])
- ☐ 7.1.4. Consults with any prescriber, nurse or health care professional; (CCR 1793.1[e])
- ☐ 7.1.5. Calculates drug doses; (BPC 4052 [a][3], 4052.2 [a][3], 4052.2 [a][4])
- ☐ 7.1.6. Supervises the packaging of drugs and checks the packaging procedures and products upon completion; (CCR 1793.1[f])
- ☐ 7.1.7. Is responsible for all activities of pharmacy technicians, interns and clerks related to the furnishing of drugs to ensure that all such activities are performed completely, safely and without risk of harm to patients; (CCR 1793.7[e])
- ☐ 7.1.8. Performs any other duty which federal or state law or regulation authorizes only a registered pharmacist to perform; and performs all functions which require professional judgment. (BPC 4052, 4052.2, CCR 1793.1[g])

Yes No N/A

☐☐☐ 7.2. Pharmacists in a licensed health care facility who are performing the following functions are doing so in accordance with the hospital's policies, procedures and protocols which have been developed by health professionals including physicians, pharmacists, and registered nurses, with the concurrence of the facility administrator: (BPC 4027, 4051, 4052, 4052.2)

- ☐ 7.2.1. Ordering or performing routine drug therapy-related patient assessment procedures; (BPC 4052.1[a][1]; 4052.2[a][1])
- ☐ 7.2.2. Ordering drug therapy-related laboratory tests; administering drugs or biologicals by injection; (BPC 4052.1[a][2], [3]; 4052.2[a][2], [3])
- ☐ 7.2.3. Initiating or adjusting the drug regimen of a patient; (BPC 4052.1[a][4], BPC 4052.2[a][4])
- ☐ 7.2.4. Performing moderate or waived laboratory tests. Prior to performing any of these functions, the pharmacist must have either (1) successfully completed clinical residency training, or (2) demonstrated clinical experience in direct patient care delivery as specified in BPC section 4052.2[d]. (BPC 4052.4)
- ☐ 7.2.5. A pharmacist may perform any aspect of any FDA-approved or authorized test that is classified as waived pursuant to the federal Clinical

Laboratory Improvement Amendments of 1988 (42 USC Sec 263a) and the pharmacist completes the testing in a pharmacy laboratory that is licensed in California as a laboratory pursuant to BPC section 1265 unless otherwise authorized in law. The pharmacist has completed necessary training as specified in the pharmacy's policies and procedure maintained in subsection be of BPC section 4119.10 and that allows the pharmacist to demonstrate sufficient knowledge of the illness, condition or disease being tested as applicable. (BPC 4052.4)

Yes No N/A

☐☐☐ 7.3. The pharmacist who is authorized to issue an order to initiate or adjust a controlled substance therapy is personally registered with the federal Drug Enforcement Administration. (BPC 4052[b])

☐☐☐ 7.4. All pharmacists have submitted an application to the Department of Justice to obtain approval to access information online regarding the controlled substance history of a patient. Upon approval, the DOJ shall release to the pharmacist or their delegate the CURES information for an individual under the pharmacist's care. (HSC 11165.1)

☐☐☐ 7.5. All pharmacists have joined the board's email notification list. (BPC 4013)

☐☐☐ 7.6 The hospital pharmacist (or pharmacy technician or an intern pharmacist if both requirements of BPC 4118.5(b) are met) shall obtain an accurate medication profile or list for each high-risk patient upon admission of the high-risk patients if the hospital has more than 100 beds, the accurate medication profile is acquired during hospital pharmacy's hours of operation. (BPC 4118.5)

☐☐☐ 7.7. The pharmacist may initiate, adjust or discontinue drug therapy for a patient under a collaborative practice agreement with any health care provider with prescriptive authority. The collaborative practice agreement may be between a single or multiple pharmacists and a single or multiple health care providers with prescriptive authority. (BPC 4052[a][13], [14])

CORRECTIVE ACTION OR ACTION PLAN: _____

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8. Duties of an Advanced Practice Pharmacist

Yes No N/A

☐☐☐ 8.1 The advanced practice pharmacist has received an advanced practice pharmacist license from the board and may do the following: (BPC 4016.5, 4210)

- ☐ 8.1.1 Perform patient assessments, order and interpret drug therapy-related tests, and refer patients to other health care providers; (BPC 4052.6[a])
- ☐ 8.1.2 Participate in the evaluation and management of diseases and health conditions in collaboration with other health care providers; (BPC 4052.6[a])

- ☐ 8.1.3 Initiate, adjust or discontinue drug therapy and shall promptly transmit written notification to, or enter the appropriate information into a patient record system shared with the patient's primary care provider or diagnosing provider; (BPC 4052.6[a][5], [b])
- ☐ 8.1.4 Adjust or discontinue drug therapy and promptly transmit written notification to the patient's diagnosing prescriber or enters the appropriate information in a patient's record system shared with the prescriber; (BPC 4052.6[b])
- ☐ 8.1.5 Prior to initiating or adjusting a controlled substance therapy, the advance practice pharmacist is personally registered with the federal Drug Enforcement Administration; (BPC 4052.6[d])
- ☐ 8.1.6 Ordering of tests is done in coordination with the patient's primary care provider or diagnosing prescriber, including promptly transmitting written notification to the prescriber or entering information in a patient record system shared with the prescriber. (BPC 4052.6[e])

CORRECTIVE ACTION OR ACTION PLAN: _____

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9. Duties of an Intern Pharmacist

Yes No N/A

☐☐☐ 9.1. Intern pharmacists are performing all the functions of a pharmacist only under the direct supervision of a pharmacist, and the pharmacist is supervising no more than **two interns** at any one time. (BPC 4023.5, 4030, 4114, 4119.6, 4119.7, CCR 1726)

- ☐ 9.1.1 Stock, replenish and inspect the emergency pharmaceutical supply container and the emergency medical system supplies. (BPC 4119.6)
- ☐ 9.1.2. Inspect the drugs maintained in the health care facility at least once per month. (BPC 4119.7[c])

☐☐☐ 9.2. All prescriptions filled or refilled by an intern are initialed or documented by secure computer entry by a pharmacist prior to dispensing. (CCR 1712[a], 1717[b][1])

☐☐☐ 9.3. During a temporary absence of a pharmacist for a meal period or duty-free break, an intern pharmacist does not perform any discretionary duties or act as a pharmacist. (CCR 1714.1[d])

☐☐☐ 9.4. The intern hours affidavits are signed by the pharmacist under whom the experience was earned or by the pharmacist-in-charge at the pharmacy while the intern pharmacist obtained the experience, when applicable. (BPC 4209[b], [c], [d]; CCR 1726)

☐☐☐ 9.5. All intern pharmacists have joined the board's email notification list. (BPC 4013)

CORRECTIVE ACTION OR ACTION PLAN: _____

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PIC Initials

10. Duties of a Pharmacy Technician

Yes No N/A

☐☐☐ 10.1. Registered pharmacy technicians are performing packaging, manipulative, repetitive, or other nondiscretionary tasks related to the furnishing of drugs, while assisting and under the direct supervision and control of a pharmacist. The pharmacist is responsible for the duties performed by the pharmacy technician under the pharmacist's supervision. (BPC 4023.5, 4038, 4115, CCR 1793.2, CCR 1793.7)

☐☐☐ 10.2. The ratio is not less than one pharmacist on duty for two technicians when filling prescriptions for an inpatient of a licensed health facility. (BPC 4115[f], CCR 1793.7[f])

☐☐☐ 10.3. When prescriptions are dispensed to discharge patients with only one pharmacist, there is no more than one technician performing the tasks as defined in BPC 4115(a). The ratio of pharmacy technicians performing those tasks for additional pharmacists does not exceed 2:1. (BPC 4038, 4115[f], CCR 1793.7[f])

☐☐☐ 10.4. Any function performed by a technician in connection with the dispensing of a prescription or chart order, including repackaging from bulk and storage of pharmaceuticals is verified and documented in writing by a pharmacist or documented by a pharmacist using secure computer entry. (CCR 1712, 1793.7)

☐☐☐ 10.5. A pharmacy technician or pharmacy technician trainee wears identification, in 18-point type that identifies them as a pharmacy technician or pharmacy technician trainee. (BPC 680, BPC 4115.5[e], CCR 1793.7[d])

☐☐☐ 10.6. The pharmacy has a job description for the pharmacy technician and written policies and procedures to ensure compliance with the technician requirements. (CCR 1793.7)

☐☐☐ 10.7. During a temporary absence of a pharmacist for a meal period or duty-free break, a pharmacy technician may, at the discretion of the pharmacist, remain in the pharmacy but may only perform nondiscretionary tasks. Any task performed by the pharmacy technician during the pharmacist's temporary absence is reviewed by the pharmacist. (BPC 4115[g], CCR 1714.1[c])

☐☐☐ 10.8. The general acute-care hospital has an ongoing clinical pharmacy program and allows specially trained pharmacy technicians to check the work of other pharmacy technicians when the following conditions are met: (CCR 1793.8)

- ☐ 10.8.1. Pharmacists are deployed to the inpatient care setting to provide clinical services.
- ☐ 10.8.2. Compounded or repackaged products are previously checked by a pharmacist, then used by the technician to fill unit dose distribution and floor and ward stock.
- ☐ 10.8.3. The overall operations are the responsibility of the pharmacist-in-charge.

PIC Initials

☐ 10.8.4. The pharmacy technician checking technician program is under the direct supervision of the Pharmacist as specified in the policies and procedures.

☐ 10.8.5. There is an ongoing evaluation of the program that uses specialized and advanced trained pharmacy technicians to check the work of other pharmacy technicians.

Yes No N/A

☐☐☐ 10.9. Pharmacy technician duties include the following:

☐ 10.9.1. Package emergency supplies for use in the health care facility and the hospital's emergency medical system. (BPC 4119, 4115[i])

☐ 10.9.2. Seal emergency containers for use in the health care facility. (BPC 4115[i])

☐ 10.9.3. Perform monthly checks of the drug supplies stored throughout the health care facility and report any irregularities within 24 hours to the pharmacist-in-charge and to the director or chief executive officer. (BPC 4115[i])

☐☐☐ 10.10. All pharmacy technicians have joined the board's email notification list. (BPC 4013)

CORRECTIVE ACTION OR ACTION PLAN: _____

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11. Duties of Non-Licensed Personnel

Yes No N/A

☐☐☐ 11.1. A non-licensed person (clerk/typist) is permitted to type a prescription label or otherwise enter prescription information into a computer record system, and at the direction of a pharmacist, may request and receive refill authorization. (BPC 4007, CCR 1793.3)

☐☐☐ 11.2. The number of non-licensed personnel supervised by each pharmacist does not interfere with the effective performance of the pharmacist's responsibilities under the Pharmacy Law. (CCR 1793.3[b])

CORRECTIVE ACTION OR ACTION PLAN: _____

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PHARMACY PRACTICE

12. Pharmaceutical Service Requirements

Yes No N/A

☐☐☐ 12.1. The pharmacy complies with the requirements of 22 CCR 70263, addressing the following areas in written policies and procedures:

PIC Initials

☐ 12.1.1. Basic information concerning investigational drugs and adverse drug reactions;
☐ 12.1.2. Repackaging and compounding records;
☐ 12.1.3. Physician orders;
☐ 12.1.4. Wards, nursing stations and night stock medications;
☐ 12.1.5. Drugs brought into the facility by patients for storage or use;
☐ 12.1.6. Bedside medications;
☐ 12.1.7. Emergency drug supply;
☐ 12.1.8. Pass medications;
☐ 12.1.9. Inspection of ward stock, nursing stations and night lockers no less frequently than every 30-days\\Outdated drugs;
☐ 12.1.10. Routine distribution of inpatient medications;
☐ 12.1.11. Preparation, labeling and distribution of IV admixtures and cytotoxic agents;
☐ 12.1.12. Handling of medication when pharmacist not on duty; and
☐ 12.1.13. Use of electronic image and data order transmissions.

☐☐☐ 12.2. The pharmacy complies with the requirements of 22 CCR 70263, addressing the following areas:

☐ 12.2.1. Destruction of controlled substances; and
☐ 12.2.2. Development and maintenance of the hospital's formulary. (22 CCR 70263)

CORRECTIVE ACTION OR ACTION PLAN: _____

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13. Medication/Chart Order

Yes No N/A

☐☐☐ 13.1. The pharmacy receives the original, the electronic transmission, or a copy of the medication order. Faxed copies, tele-autograph copies, or transmissions between computers are permissible. (BPC 688, 4019, 4040, CCR 1717.4)

☐☐☐ 13.2. The chart or medical record of the patient contains all of the information required by BPC 4040 and the chart order is signed by the practitioner authorized by law to prescribe drugs if present or, if not present, within a specified time frame not exceeding 48 hours. (BPC 688, 4019, 4040, 22 CCR 70263[g])

☐☐☐ 13.3. A copy of the chart order is maintained on the premises for three years. An order for controlled substance for use by a patient in a county or licensed hospital shall be in the patient's records and the record of such orders shall be maintained as a hospital record for a minimum of seven years. (HSC 11159, BPC 4081, 4105, 4333)

Yes No N/A

☐☐☐ 13.4. The pharmacy furnishes dangerous drugs or dangerous devices pursuant to preprinted or electronic standing orders, order sets and protocols established under policies and procedures. (BPC 4119.7)

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PIC Initials

CORRECTIVE ACTION OR ACTION PLAN: _____

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14. Labeling and Distribution

Yes No N/A

☐☐☐ 14.1. Unit dose medication are properly labeled and include the information as required by BPC 4076, or the information is otherwise readily available at the time of drug administration. (BPC 4076[b])

☐☐☐ 14.2. The pharmacist is responsible for the proper labeling, storage and distribution of investigational drugs pursuant to the written order of the investigator. (22 CCR 70263[o]).

☐☐☐ 14.3. This pharmacy furnishes dangerous drugs in compliance with BPC 4126.5 only to a patient pursuant to a prescription, a wholesaler from whom the dangerous drugs were purchased, a manufacturer from whom the drugs were purchased, a licensed wholesaler acting as a reverse distributor, another pharmacy to alleviate a temporary shortage with a quantity sufficient to alleviate the temporary shortage, a health care provider authorized to receive drugs, to another pharmacy of common ownership, or to a patient or to another pharmacy pursuant to a prescription. (BPC 4126.5[a])

CORRECTIVE ACTION OR ACTION PLAN: _____

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15. Duration of Drug Therapy

Yes No N/A

☐☐☐ 15.1. The hospital has policies limiting the duration of drug therapy in the absence of the prescriber's specific indication of duration of drug therapy or under other circumstances recommended by the pharmacy and therapeutics committee or its equivalent and approved by the executive committee of the medical staff. Limitations are established for classes of drugs and/or individual drug entities. (22 CCR 70263[j])

CORRECTIVE ACTION OR ACTION PLAN: _____

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16. Confidentiality of Chart Orders, Prescriptions and Patient Medical Information

Yes No N/A

☐☐☐ 16.1. Patient information is maintained to safeguard confidentiality. (Civil Code 56 et seq.)

☐☐☐ 16.2. Patient medical information, all prescriptions (chart orders, patient discharge and employee prescriptions) are confidential and are not disclosed unless authorized by law. (BPC 4040, CCR 1764, Civil Code 56 et seq.)

☐☐☐ 16.3. Destruction or disposal of patient records preserves the confidentiality of the information contained therein. (Civil Code 56.101)

☐☐☐ 16.4. The pharmacy ensures electronically transmitted prescriptions (chart orders, discharge patient or employee prescriptions) are received, maintained and transmitted in a secure and confidential manner. (BPC 688, CCR 1717.4)

☐☐☐ 16.5. Records regarding dangerous drugs and dangerous devices stored off-site (only for pharmacies who have obtained a waiver from the Board of Pharmacy to store records off-site) are secure and retrievable within two business days. (BPC 4105, CCR 1707)

Date Waiver Approved _____ Waiver Number _____

Address of offsite storage location: _____

☐☐☐ 16.6. Records for non-controlled substances are maintained on the licensed premises for at least one year from the date of dispensing. Records for controlled substances are maintained on the licensed premises for at least two years from the date of dispensing. (BPC 4105, CCR 1707)

CORRECTIVE ACTION OR ACTION PLAN: _____

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17. Quality Assurance and Medication Errors

Yes No N/A

☐☐☐ 17.1. Pharmacy has established quality assurance program that documents medication errors attributable, in whole or in part, to the pharmacy or its personnel. (BPC 4125, CCR 1711)

☐☐☐ 17.2. Pharmacy quality assurance policies and procedures are maintained in the pharmacy and are immediately retrievable. (CCR 1711[c])

☐☐☐ 17.3. When a medication error has occurred (drug was administered to or by the patient, or resulted in a clinically significant delay in therapy) the pharmacist communicates with the patient or patient's agent that a medication error has occurred and the steps required to avoid injury or mitigate the error. (CCR 1711[c][2][A], 1711 [c][3])

☐☐☐ 17.4. When a medication error has occurred (drug was administered to or by the patient, or resulted in a clinically significant delay in therapy) the pharmacist communicates to the prescriber that a medication error has occurred. (CCR 1711[c][2][B], 1711 [c][3])

Yes No N/A

☐☐☐ 17.5. Investigation of pharmacy medication errors is initiated within two business days from the date the medication error is discovered. (CCR 1711[d])

☐☐☐ 17.6. The record for quality assurance review for a medication error contains: (CCR 1711[e]);

- ☐ 17.6.1. Date, location, and participants in the quality assurance review;
- ☐ 17.6.2. Pertinent data and other information related to the medication error(s) reviewed;
- ☐ 17.6.3. Findings and determinations;
- ☐ 17.6.4. Recommended changes to pharmacy policy, procedure, systems or processes, if any.

☐☐☐ 17.7. The record of the quality assurance review is immediately retrievable in the pharmacy and is maintained in the pharmacy for at least one year from the date it was created. (CCR 1711[f])

☐☐☐ 17.8. Pharmacists are not deviating from the requirements of a prescription except upon the prior consent of the prescriber, and selection of the drug product is in accordance with BPC 4073 (generic substitution). (CCR 1716)

☐☐☐ 17.9. The PIC is reporting the quality assurance review reports for medication errors for all ADDS to the Board at the time of annual renewal of the hospital pharmacy license. (CCR 1711[f])

CORRECTIVE ACTION OR ACTION PLAN: _____

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18. Record Keeping Requirements

Yes No N/A

☐☐☐ 18.1. All completed pharmacy self-assessments are on file in the pharmacy and are maintained for three years. (CCR 1715)

☐☐☐ 18.2. All drug acquisition and disposition records (complete accountability) are maintained for at least three years. Any record maintained electronically, the pharmacist-in-charge or pharmacist on duty is able to produce a hardcopy and electronic copy of all records of acquisition and disposition or other drug or dispensing-related records maintained electronically. These records include:

- ☐ 18.2.1. Prescription records (BPC 4081[a])
- ☐ 18.2.2. Purchase Invoices and sales records for all prescription drugs (BPC 4081)
- ☐ 18.2.3. Biennial controlled substances inventory (21 CFR 1304.11)
- ☐ 18.2.4. U.S. Official Order Forms (DEA Form-222) (21 CFR 1305.13, 21 CFR 1305.22)
- ☐ 18.2.5. Power of Attorney for completion of DEA 222 forms (21 CFR 1305.05)
- ☐ 18.2.6. Theft and Loss Reports (DEA Form 106) (21 CFR 1301.74[c])

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PIC Initials

☐ 18.2.7. Record documenting return of drugs to wholesaler or manufacturer (BPC 4081)

☐ 18.2.8. Record documenting transfers or sales to other pharmacies, ~~and~~ prescribers, and reverse distributors. (BPC 4059, 4081, 4105, 4332, CCR 1718)

☐ 18.2.9. Centrally stored unused medications donated to a drug repository and distribution program. (HSC 150200, 150202[a][1], 150204[k], BPC 4105[c]).

Yes No N/A

☐☐☐ 18.3. Transfers or sales to other pharmacies and prescribers do not exceed five percent of the pharmacy's total annual purchases of dangerous drugs or devices. If more than five percent, registration with the board as a wholesaler has been obtained. (21 CFR 1307.11, Drug Supply Chain Security Act (DSCSA), BPC 4160)

☐☐☐ 18.4. If sales or distributions of controlled substances to other hospitals, pharmacies, or prescribers exceed five percent of the total number of controlled substances dosage units (that are furnished to the inpatients or dispensed on prescriptions to discharge patients or employees) per calendar year, the following have been obtained: a separate DEA distributor registration and a wholesaler's permit from the board. (21 CFR 1307.11, DSCSA, BPC 4160)

☐☐☐ 18.5. A controlled substances inventory is completed biennially (every two years).

Date completed: _____ (21 CFR 1304.11)

☐☐☐ 18.6. All completed controlled substances inventories are available for inspection for three years. (CCR 1718)

☐☐☐ 18.7. Separate Schedule II records are maintained. This includes triplicate prescriptions, invoices, US official order forms and inventory records. (21 CFR 1304.04)

☐☐☐ 18.8. Inventories and records for Schedule III-V controlled substances are filed separately or maintained in a readily retrievable manner that distinguishes them from other ordinary business records. (21 CFR 1304.04)

☐☐☐ 18.9. DEA Forms 222 are properly executed. (21 CFR 1305.12)

☐☐☐ 18.10. When the pharmacy distributes Schedule II controlled substances to other DEA registrants, Copy 2 of the DEA Form 222, properly completed, are submitted at the end of each month to the DEA Regional Office. (21 CFR 1305.13)

~~☐☐☐ 18.11. Any controlled substances drug loss is reported upon discovery to the DEA and to the Board of Pharmacy within 30 days. (21 CFR 1301.74[c], CCR 1715.6)~~

☐☐☐ 18.11. Any Controlled substance drug loss is reported within one business day of discovery to the DEA and within 30 days to the Board of Pharmacy the discovery of any loss of controlled substances in one of the following categories that causes the aggregate amount of unreported losses discovered in that category, on or after the same day of the previous year, to equal or exceed: (21 CFR 1301.74[c], CCR 1715.6)

21.14.1 Tablets, capsules, or other oral medication, 99 dosage units

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PIC Initials

21.14.2. Single-dose injectable medications, lozenges, film, such as oral, Buccal and sublingual, suppositories, or patches, 10 dosages units.

21.14.3 Injectable multi-dose medications, medications administered by continuous infusion, or any other multi-dose unit not described, two or more multi-dose vials, infusion bags or other containers.

☐☐☐ 18.12. Records stored off-site (only for pharmacies who have obtained a waiver from the Board of Pharmacy to store records off-site) are secure and retrievable within two business days. Records for non-controlled substances are maintained on the licensed premises for at least one year from the date of dispensing. Controlled substances are maintained on the licensed premises for at least two years from the date of dispensing. (CCR 1707)

☐☐☐ 18.13. Do pharmacy staff hand initial prescription records and prescription labels, OR does the pharmacy comply with the requirement for a pharmacist to initial or sign a prescription record or prescription label by recording the identity of the reviewing pharmacist in a computer system by a secure means. This computer does not permit the record to be altered after made and the record of the pharmacist's identity made in the computer system is immediately retrievable in the pharmacy. (CCR 1712, 1717)

CORRECTIVE ACTION OR ACTION PLAN: _____

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19. Inventory Reconciliation Report of Controlled Substances

Yes No N/A

☐☐☐ 19.1. The pharmacy performs periodic inventory and inventory reconciliation functions to detect and prevent the loss of controlled substances. Inpatient hospital pharmacy reports shall include controlled substances stored within the pharmacy, within each satellite location, and within each drug storage area in the hospital (CCR 1715.65[a], CCR 1715.65[g])

☐☐☐ 19.2 The pharmacist-in-charge of the pharmacy reviews all inventory and inventory reconciliation reports taken and establishes and maintains secure methods to prevent losses of controlled drugs. Written policies and procedures are developed for performing the inventory reconciliation reports required by pharmacy law. (CCR 1715.65[b])

☐☐☐ 19.3 A pharmacy compiles an inventory reconciliation report of all federal Schedule II controlled substances at least every three months. This compilation shall require: (CCR 1715.65[c])

☐ 19.3.1 A physical count, not an estimate, of all quantities of federal Schedule II controlled substances. The biennial inventory of controlled substances required by federal law may serve as one of the mandated inventories under this section in the year where the federal biennial inventory is performed, provided the

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PIC Initials

biennial inventory was taken no more than three months from the last inventory required by this section; (CCR 1715.65[c][1])

- 19.3.2 A review of all acquisitions and dispositions of federal Schedule II controlled substances since the last inventory reconciliation report; (CCR 1715.65[c][2])
- 19.3.3 A comparison of the two above-mentioned items to determine if there are any variances; (CCR 1715.65[c][3])
- 19.3.4 All records used to compile each inventory reconciliation report shall be maintained in the pharmacy or clinic for at least three years in a readily retrievable form; and (CCR 1715.65[c][4])
- 19.3.5 Possible causes of overages shall be identified in writing and incorporated into the inventory reconciliation report. (CCR 1715.65[c][5])

☐ 19.3.6 In addition to Schedule II controlled substance, the pharmacy is performing an inventory reconciliation of alprazolam 1mg, alprazolam 2mg, tramadol 50mg, and promethazine with codeine 6.25mg/10mg/5ml at least every 12 months. (CCR 1715.65[a][2])

☐ 19.3.7 An inventory reconciliation report must be prepared for any identified controlled substances lost no later than three months after discovery of the reportable loss. (CCR 1715.65)

☐ 19.3.8 Inventory activities for all other controlled substances must be performed at least once every two years from the performance of the last inventory activities. (CCR 1715.65[a][3][B])

☐ 19.3.9 The inventory reconciliation report may use a digital or electronic signature or biometric identifier in lieu of a physical signature if, in addition, the individual physically signs a printed statement confirming the accuracy of the inventory or report. The signature shall be dated, and the signed and dated statement shall be retained on file. (CCR 1715.65[e][1])

☐☐☐ 19.4 The pharmacy reports in writing identified losses and known causes to the board within 30 days of discovery unless the cause of the loss is theft, diversion, or self-use in which case the report shall be made within 14 days of discovery. If the pharmacy is unable to identify the cause of the loss, further investigation is undertaken to identify the cause and actions necessary to prevent additional losses of controlled substances. (BPC 4104, CCR 1715.65[d], CCR 1715.6)

Yes No N/A

☐☐☐ ~~19.5 The inventory reconciliation report is dated and signed by the individual(s) performing the inventory, and countersigned by the pharmacist-in-charge and be readily retrievable in the pharmacy for three years. A countersignature is not required if the pharmacist-in-charge personally completed the inventory reconciliation report. (CCR 1715.65 [e])~~

☐☐☐ 19.6 A new pharmacist-in-charge of the pharmacy completes an inventory reconciliation report as identified in CCR 1715.65 (c) within 30 days of becoming pharmacist-in-charge. When possible, the outgoing pharmacist-in-charge also

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completes an inventory reconciliation report as required in CCR 1715.65 (c). (CCR 1715.65 [f])

☐☐☐ ~~The inpatient hospital pharmacy shall prepare an inventory reconciliation report(s) covering the federal controlled substances for A separate inventory reconciliation report shall be required for federal Schedule II controlled substances and alprazolam 1 mg, alprazolam 2mg, tramadol 50 mg and promethazine/codeine 6.25 mg/10mg on quarterly basis. The report(s) shall include controlled substances stored within the pharmacy, within each pharmacy satellite location and withing each drug storage area in the hospital under the pharmacy's controlled. stored within the pharmacy and for each pharmacy satellite location and within each drug storage area in the hospital under the pharmacy's control. (CCR 1715.65 [g]~~

☐☐☐ ~~19.8 The pharmacist-in-charge of an inpatient hospital pharmacy or of a pharmacy servicing onsite or offsite automated drug delivery systems shall ensure that: (CCR 1715.65[h])~~

- ~~19.8.1 All controlled substances added to an automated drug delivery system are accounted for; (CCR 1715.65[h][1])~~
- ~~19.8.2 Access to automated drug delivery systems is limited to authorized facility personnel; (CCR 1715.65[h][2])~~
- ~~19.8.3 An ongoing evaluation of discrepancies or unusual access associated with controlled substances is performed; and (CCR 1715.65[h][3])~~
- ~~19.8.4 Confirmed losses of controlled substances are reported to the board. (CCR 1715.65[h][4])~~

☐☐☐ 19.8. The inpatient hospital pharmacy uses an ADDS, inventory in the ADDS may be accounted for under subdivision (c)(1) using means other than a physical count. (CCR 1715.65[h])

CORRECTIVE ACTION OR ACTION PLAN: _____

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20. After-Hours Supply of Medication

Yes No N/A

☐☐☐ 20.1 The pharmacy has a system assuring the prescribed medications are available in the hospital 24 hours a day. (22 CCR 70263[e])

☐☐☐ 20.2. The pharmacy maintains a record of the drugs taken from the after-hours supply of medications and the pharmacist is notified of such use. The record includes the name and strength of the drug, the amount taken, the date and time, the name of the patient to whom the drug was administered and the signature of the registered nurse. (22 CCR 70263[n])

CORRECTIVE ACTION OR ACTION PLAN: _____

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21. Drug Supplies for Use in Medical Emergencies

Yes No N/A

☐☐☐ 21.1. A supply of drugs for use in medical emergencies only is immediately available at each nursing unit or service area as required. (22 CCR 70263[f])

☐☐☐ 21.2. Written policies and procedures have been developed that establish the contents of the supply, procedures for use, restocking and sealing of the emergency drug supply. (22 CCR 70263[f][1], BPC 4115, 4119.6))

☐☐☐ 21.3. The emergency drug supply is stored in a clearly marked portable container which is sealed by the pharmacist in such a manner that a seal must be broken to gain access to the drugs. The contents of the container are listed on the outside cover and include the earliest expiration date of any drugs within. (22 CCR 70263[f][2])

☐☐☐ 21.4. The pharmacist is responsible for inspection of the drug supply at periodic intervals (no less frequently than every 30 days) specified in the writ-ten policies. Records of the inspection are kept for at least three years. The inspection can be done by a pharmacy technician or pharmacy intern as defined in the pharmacy's written inspection policies and procedures. (22 CCR 70263[f][3], BPC 4115[i][3], 4119.7[c])

CORRECTIVE ACTION OR ACTION PLAN: _____

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22. Schedule II-V Controlled Substances Floor Stock Distribution Records

Yes No N/A

☐☐☐ 22.1. Records for the distribution of Schedule II-V controlled substances floor stock are open to inspection by authorized officers of the law and are preserved for at least three years from the date of making. (BPC 4081)

CORRECTIVE ACTION OR ACTION PLAN: _____

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23. Emergency Room Dispensing

Yes No N/A

☐☐☐ 23.1. A prescriber may dispense a dangerous drug, including a controlled substance, to an emergency room patient if all of the following apply: (BPC 4068[a])

- ☐ 23.1.1. The hospital pharmacy is closed and there is no pharmacist available in the hospital;
- ☐ 23.1.2. The dangerous drug is acquired by the hospital pharmacy;
- ☐ 23.1.3. The dispensing information is recorded and provided to the pharmacy when the pharmacy reopens;
- ☐ 23.1.4. The hospital pharmacy retains the dispensing information and, if the drug is a schedule II, III, IV or ~~IV~~ V controlled substance, transmits the dispensing data to the Department of Justice within one working day from the date the controlled substance is released to the patient. (HSC 11165[d])
- ☐ 23.1.5. The prescriber determines that it is in the best interest of the patient that a particular drug regimen be immediately commenced or continued, and the prescriber reasonably believes that a pharmacy located outside the hospital is not available and accessible at the time of dispensing to the patient; and
- ☐ 23.1.6. The quantity of drugs dispensed to any patient pursuant to this section are limited to that amount necessary to maintain uninterrupted therapy during the period when pharmacy services outside the hospital are not readily available or accessible, but shall not exceed a 72-hour supply;
- ☐ 23.17. If an ADDS is located in the emergency room and is used for dispensing to patients upon discharge, the ADDS is licensed with the Board. (BPC 4427.2(i).

Yes No N/A

☐☐☐ 23.2. The prescription label contains all the required information and is formatted in accordance with CCR 1707.5 including Patient Centered Labels in at least 12-point sans serif typeface for the four required items in the required order. (BPC 4076, CCR 1707.5)

☐☐☐ 23.3. The prescriber shall be responsible for any error or omission related to the drugs dispensed. (BPC 4068[b])

☐☐☐ 23.4. The brand name or generic name and manufacturer of the prescription drug is accurately identified on the label and prescription record. (BPC 4076, CCR 1717)

☐☐☐ 23.5. Controlled substances are dispensed in prescription containers bearing a federal warning label prohibiting transfer of the drugs. (21 CFR 290.5)

☐☐☐ 23.6. Prescriptions are dispensed in new, senior-adult ease-of-opening tested, and child-resistant containers or in a noncomplying package, only pursuant to the prescription or when requested by the purchaser. (15 USC 1473[b], 16 CFR 1700.15., CCR 1717)

☐☐☐ 23.7. Patient package inserts are dispensed with all estrogen medications (21 CFR 310.515)

☐☐☐ 23.8. The pharmacy provides patients with required Black Box Warning Information. (21 CFR 201.57[c])

☐☐☐ 23.9. Medication guides are provided on required medications. (21 CFR Part 208)

☐☐☐ 23.10. Whenever an opioid prescription drug is dispensed to a patient for outpatient use, the pharmacy prominently displays on the label or container or by a flag or other notification to the container, a notice that states, “Caution: Opioid. Risk of overdose and addiction.” (BPC 4076.7).

☐☐☐ 23.11. A pharmacist may dispense a drug prescribed pursuant to HSC Section 120582 and label the drug without the name of an individual for whom the drug is intended if the prescription includes the words “expedited partner therapy” or the letters “EPT” and shall provide written notification that describes the right of an individual who received EPT to consult with a pharmacist about the medication dispensed and possible drug interactions. (BPC 4076[f], [h])

Yes No N/A

☐☐☐ 23.12. If emergency department patient dispensing is done via AUDS, the AUDS is licensed by the Board. (BPC 4427.2[i])

CORRECTIVE ACTION OR ACTION PLAN: _____

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24. Discharge Medication/Consultation Services

Yes No N/A

☐☐☐ 24.1. Patients receive information regarding each medication given at the time of discharge. The information includes the use and storage of each medication, the precautions and relevant warnings and the importance of compliance with directions. A written policy has been developed in collaboration with a physician and surgeon, a pharmacist, and a registered nurse and approved by the medical staff that ensures that each patient receives the medication consultation. (BPC 4074, CCR 1707.2)

☐☐☐ 24.2. Prescriptions are transmitted to another pharmacy as required by law. (BPC 4072, CCR 1717[c], [f], 1717.4)

☐☐☐ 24.3. The prescription label contains all the required information and is formatted in accordance with CCR 1707.5 including Patient Centered Labels in at least 12-point sans serif typeface for the four required items in the required order. (BPC 4076, CCR 1707.5)

☐☐☐ 24.4. The pharmacist includes a written label on the drug container indicating that the drug may impair a person’s ability to operate a vehicle or vessel. The label may be printed on an auxiliary label affixed to the prescription container. (BPC 4074 [a], [b], CCR 1744[a][1]-[7])

☐☐☐ 24.5 The pharmacist includes a written label on the drug container to alert the patient about possible potentiating effects when taken in combination with alcohol. The

label may be printed on an auxiliary label affixed to the prescription container (BPC 4074[a], CCR 1744[b][1]-[6]).

☐☐☐ 24.6. The trade name or generic name and manufacturer of the prescription drug is accurately identified in the prescription record. (CCR 1717)

☐☐☐ 24.7. Generic substitution for discharge medications is communicated to the patient, and the name of the dispensed drug product is indicated on the prescription label. (BPC 4073)

☐☐☐ 24.8. If the prescription is filled by a pharmacy technician, the pharmacist's initials are on the prescription label to document the pharmacist's verification of the product or can be satisfied by recording the identity of the reviewing pharmacist in a computer system by a secure means and is immediately retrievable in the pharmacy. (CCR 1712, 1793.7)

Yes No N/A

☐☐☐ 24.9. Controlled substances are dispensed in prescription containers bearing a federal warning label prohibiting transfer of the drugs. (21 CFR 290.5)

☐☐☐ 24.10. Prescriptions are dispensed in a new and child-resistant container, or senior-adult ease-of-opening tested container, or in a non-complying package only pursuant to the prescriber or when requested by the purchaser. (15 USC 1473, 16 CFR 1700.15, CCR 1717)

☐☐☐ 24.11. Patient package inserts are dispensed with all estrogen medications. (21 CFR 310.515)

☐☐☐ 24.12. The pharmacy provides patients with required Black Box Warning. (21 CFR 201.57[c])

☐☐☐ 24.13. Medication guides are provided on required medications. (21 CFR Part 208)

☐☐☐ 24.14. Whenever an opioid prescription drug is dispensed to patient for outpatient use, the pharmacy prominently displays on the label or container or by a flag or other notification to the container, a notice that states, "Caution: Opioid. Risk of overdose and addiction." (BPC 4076.7).

☐☐☐ 24.15. ~~Effective January 1, 2022, t~~ The pharmacy has the capability to receive electronic data transmission prescriptions on behalf of patients. (BPC 688)

☐☐☐ 24.16. The hospital pharmacy retains the dispensing information and, if the drug is a schedule II, III, IV or V controlled substance, transmits the dispensing data to the Department of Justice within one working day from the date the controlled substance is released to the patient. (HSC 11165[d])

CORRECTIVE ACTION OR ACTION PLAN: _____

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25. Central Filling of Patient Cassettes For Other Hospital Pharmacies

Yes No N/A

☐☐☐ 25.1. Pharmacy processes orders for the filling of patient cassettes for another hospital or Pharmacy within this state receives filled medication orders or patient cassettes from another hospital. (CCR 1710[b])

If the answer is "yes," name of hospital: _____

☐☐☐ 25.2. Pharmacy receives filled medication containers or cassettes from another pharmacy. (CCR 1710[b])

If the answer is "yes," name of supplying pharmacy:
If the answer to this and the previous question is "no" or "not applicable" go to Section 26.

☐☐☐ 25.3. Prescription information is electronically transferred between the two pharmacies. (CCR 1710[b][6])

☐☐☐ 25.4. Pharmacy has a contract with the ordering hospital pharmacy or has the same owner. (CCR 1710[b][1])

☐☐☐ 25.5. Filled cassettes are delivered directly to the ordering hospital pharmacy. (CCR 1710[b][2])

☐☐☐ 25.6. Each cassette or container meets the requirements of Business and Professions Code section 4076. (BPC 4076[b], [c], [d], CCR 1710[b][3])

☐☐☐ 25.7. Complete and accurate records are maintained of each cassette fill transaction, including the name of the pharmacist checking the cassettes at each pharmacy. (CCR 1710[b][5])

26. Centralized Hospital Packaging Pharmacy

Yes No N/A

☐☐☐ 26.1 Prior to engaging in centralized hospital packaging, the pharmacy in addition to the hospital pharmacy license, has obtained a Centralized Hospital Packaging specialty license from the Board (BPC 4128.2a)

License Number: _____

☐☐☐ 26.2. The pharmacy prepares medications, by performing the following specialized functions, for administration only to inpatients within its own general acute care hospital and one or more general acute care hospitals under common ownership and located within a 75-mile radius: (BPC 4128)

Hospitals to which central packaged unit dose medications are provided:

- ☐ 26.2.1. _____ Distance (miles): _____
- ☐ 26.2.2. _____ Distance (miles): _____
- ☐ 26.2.3. _____ Distance (miles): _____
- ☐ 26.2.4. _____ Distance (miles): _____
- ☐ 26.2.5. Prepares unit dose packages for single administration to inpatients from bulk containers, if each unit dose package is barcoded pursuant to BPC 4128.4.

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- 26.2.6. Prepares sterile compounded unit dose drugs for administration to inpatients, if each compounded unit dose drug is barcoded pursuant to BPC 4128.4.
- 26.2.7. Prepares compounded unit dose drugs for administration to inpatients, if each unit dose package is barcoded pursuant to BPC 4128.4.

☐☐☐ 26.3. The pharmacy prepares and stores limited quantities of unit dose drugs in advance of a patient-specific prescription in amounts necessary to ensure continuity of care. (BPC 4128.3)

☐☐☐ 26.4. Any unit dose medications produced by a centralized hospital packaging pharmacy are barcoded to be machine readable at the inpatient's bedside using barcode medication administrative software. (BPC 4128.4)

- ☐ 26.4.1. The barcode medication administration software permits health care practitioners to ensure that before a medication is administered to an inpatient, it is the right medication, for the right inpatient, in the right dose, and via the right route of administration. (BPC 4128[a])
- ☐ 26.4. The software verifies that the medication satisfies the above criteria by reading the barcode on the medication and comparing the information retrieved to the electronic medical record of the inpatient. [BPC 4128(b)]

☐☐☐ 26.5. Any label for each unit dose medication produced by a centralized hospital packaging pharmacy displays a human-readable label that contains the following: (BPC 4128.5[a])

- 26.5.1. The date the medication was prepared.
- 26.5.2. The beyond-use date
- 26.5.3. The established name of the drug.
- 26.5.4. The quantity of each active ingredient.
- 26.5.5. The lot number or control number assigned by the centralized hospital packaging pharmacy.
- 26.5.6. Special storage or handling requirements.
- 26.5.7. The name of the centralized hospital packaging pharmacy.

Yes No N/A

☐☐☐ 26.6. The pharmacist is able to retrieve all of the following information using the lot number or control number: (BPC 4128.5[b])

- 26.6.1. The components used in the drug product.
- 26.6.2. The expiration date of each of the drug's components.
- 26.6.3. The National Drug Code Directory number.

☐☐☐ 26.7. The centralized hospital packaging pharmacy and the pharmacists working in the pharmacy are responsible for the integrity, potency, quality, and labeled strength of any unit dose drug product prepared by the centralized hospital packaging pharmacy. (BPC 4128.7)

CORRECTIVE ACTION OR ACTION PLAN: _____

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27. Policies and Procedures

Yes No N/A

☐☐☐ 27.1. There are written policies and procedures in place for:

- ☐ 27.1.1. Oral consultation for discharge medication to an inpatient of a health care facility licensed pursuant to HSC 1250. The assurance that each patient received information regarding each medication given at the time of discharge. (BPC 4074[e], CCR 1707.2[b][2])
- ☐ 27.1.2. Action to be taken to protect the public when a licensed individual employed by or with the pharmacy is known to be chemically, mentally, or physically impaired to the extent that it effects their ability to practice the profession or occupation authorized by their license. (BPC 4104[a])
- ☐ 27.1.3. Action to be taken to protect the public when a licensed individual employed by or with the pharmacy is known to have engaged in the theft or diversion or self-use of prescription drugs belonging to the pharmacy. (BPC 4104[b])
- ☐ 27.1.4. Addressing chemical, mental, or physical impairment, as well as, theft, diversion, or self-use of dangerous drugs, among licensed individual employees by or with the pharmacy. (BPC 4104[b])
- ☐ 27.1.5. Reporting to the board within 14 days of the receipt or development of information as specified in BPC 4104[c][1]-[6].
- ☐ 27.1.6. Operation of the pharmacy during the temporary absence of the pharmacist for breaks and meal periods including authorized duties of personnel, pharmacist's responsibilities for checking all work performed by ancillary staff, and pharmacist's responsibility for maintaining the security of the pharmacy. (CCR 1714.1[f])
- ☐ 27.1.7. Assuring confidentiality of medical information if your pharmacy maintains the required dispensing information for prescriptions, other than controlled substances, in a shared common electronic file. (CCR 1717.1[e])
- ☐ 27.1.8. Helping patients with limited or no English proficiency understand the information on the prescription container label in the patient's language, including the selected means to identify the patient's language and providing interpretive services in the patient's language. (CCR 1707.5)
- ☐ 27.1.9. Inventory reconciliation reporting requirements. (CCR 1715.65)
- ☐ 27.1.10. Pharmacy technician performing monthly checks of the drug supplies stored throughout the health care facility and reporting irregularities within 24 hours to the pharmacist-in-charge and the director or chief executive officer of the health care facility. (BPC 4115[i][3])

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- ☐ 27.1.11. Intern pharmacist, under the direct supervision and control of a pharmacist, may inspect the drugs maintained in the health care facility at least once per month. (BPC 4119.7[c])
- ☐ 27.1.12. Furnishing dangerous drug or dangerous device pursuant to preprinted or electronic standing orders, order sets, and protocol, if the order is dated, timed, and authenticated in the medical record of the patient to whom the dangerous drug or dangerous device is provided. (BPC 4119.7[a])
- ☐ 27.1.13. Storing and maintaining drugs in accordance with national standards regarding storage areas, refrigerator or freezer temperature, and otherwise pursuant to the manufacturer's guidelines. (BPC 4119.7[b], 22 CCR 70263 [c][1], [q][6])
- ☐ 27.1.14. Establishing the supply contents, procedure for use, restocking and sealing of emergency drug supply. (CCR 70263[f][1])
- ☐ 27.1.15. If applicable, dispensing, storage and records of use if bedside medications are allowed. No controlled substances shall be left at bedside. (22 CCR 70263[*l*])
- ☐ 27.1.16. The use of investigational drugs. Basic information concerning the dosage form, route of administration, strength, actions, uses, side effects, adverse effects, interaction and symptoms of toxicity shall be available in the pharmacy and the nursing station. The pharmacist is responsible for the proper labeling, storage and distribution of such drug pursuant to the investigator's written orders. (22 CCR 70263[o]).

CORRECTIVE ACTION OR ACTION PLAN: _____

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28. Compounding

Yes No N/A

☐☐☐ **Prior to allowing any drug product to be compounded in a pharmacy, the pharmacist-in-charge must complete the "Compounding Self-Assessment"as required by CCR 1735.2. (CCR 1735.2)**

29. Automated Drug Delivery Systems

Yes No N/A

☐☐☐ 29.1. The hospital pharmacy operates automated drug delivery systems that are automated unit dose systems (AUDS) for doses administered at the facility and approved services listed on the hospital's license and the ADDS is/are exempt from licensure with the board. <u>The AUDS must comply with all other requirements for an ADDS in Article 25.</u> (BPC 4427.2[i])

☐☐☐ 29.2. The hospital pharmacy operates automated drug delivery systems that are automated patient delivery dispensing systems (APDS) for doses dispensed to patients at the facility and approved services listed on the hospital's license and the ADDS is/are licensed with the board. (BPC 4427.2[a])

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☐☐☐ 29.3. If the pharmacy operates an automated drug delivery system, the pharmacist-in-charge has completed the self-assessment for automated drug delivery systems pursuant to CCR 1715. The pharmacy shall comply with all recording keeping and quality assurance requirements and maintain those records within the licensed pharmacy holding the ADDS license and separate from other pharmacy records. (BPC 4427.7)

CORRECTIVE ACTION OR ACTION PLAN: _____

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30. Prescription Drug Take-Back Services

Yes No N/A

☐☐☐ 30.1. Does the pharmacy participate in a Prescription Drug Take-Back Program and adheres to the federal, state and local requirements governing the collection and destruction of dangerous drugs? (CCR 1776, 1776.1)

If yes, check off below the type of prescription drug take-back program the pharmacy offers and complete the sections that apply to the type of program(s):

- ☐ Mail back envelopes or package service. (CCR 1776.2)
- ☐ Collection receptacles in the pharmacy. (CCR 1776.3)
- ☐ Drug take-back services in the Skilled Nursing Facilities. (CCR 1776.4, HSC 1250[c])

☐☐☐ 30.2. Only prescription drugs that have been dispensed by any pharmacy or practitioner to a consumer are eligible for collection as part of drug take-back services maintained by the pharmacy. (CCR 1776.1[f])

Yes No N/A

☐☐☐ 30.3. Dangerous drugs that have not been dispensed to consumers for use (such as outdated drug stock, drug samples provided to medical practitioners or medical waste) are not collected as part of the pharmacy's drug take-back service. (CCR 1776.1[f])

☐☐☐ 30.4. The pharmacy does not accept or possess prescription drugs from skilled nursing facilities, residential care homes, health care practitioners or any other entity as part of its drug take-back services. (CCR 1776.1[g][2])

☐☐☐ 30.5. Quarantined, recalled or outdated prescription drugs from the pharmacy stock are not disposed as part of the pharmacy's drug take-back services. (CCR 1776.1[g][3])

CORRECTIVE ACTION OR ACTION PLAN: _____

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Pharmacies Offering Mail Back Envelopes or Package Services (CCR 1776.1, 1776.2)

Yes No N/A

☐☐☐ 30.6. The pharmacy provides prescription drug take-back preaddressed mailing envelopes or packages to consumers to return prescription drugs to an authorized destruction location. (CCR 1776.2[a])

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☐☐☐ 30.7. All drug take-back envelopes and packages made available to the public are preaddressed to a location registered with the DEA as a collector. (CCR 1776.2[b])

☐☐☐ 30.8. The preaddressed envelopes and packages are water and spill proof, tamper evident, tear resistant and sealable. The exterior is nondescript and has no markings indicating the envelope or package contains prescription drugs. Postage is prepaid on each envelope or package. (CCR 1776.2[c])

☐☐☐ 30.9. The preaddressed envelope and package contains a unique identification number for each envelope and package, and the instructions for users indicates the process to mail back the drugs. (CCR 1776.2[d])

☐☐☐ 30.10. The pharmacy does not accept any mail back packages or envelopes containing drugs unless the pharmacy is registered as a collector and has an onsite method of destruction that complies with DEA requirements. The consumer is directed to mail the envelopes or packages. (CCR 1776.2[e])

If the answer is no and the pharmacy is registered with DEA as a collector with an onsite method of destruction that complies with DEA requirements, list the following (21 CFR 1317.40):
DEA Collector Registration Number: _____
Expiration Date: _____

☐☐☐ 30.11. Once drugs are deposited into a mail back envelope or package by the consumer, the pharmacy does not remove, count, sort or individually handle any prescription drugs from the consumer. (CCR 1776.1[d], [g])

CORRECTIVE ACTION OR ACTION PLAN: _____

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Pharmacies with Collection Receptacles in the Pharmacy/Hospital (CCR 1776.1, 1776.3)

Yes No N/A

☐☐☐ 30.12. The pharmacy is registered with DEA as a collector for purposes of maintaining a prescription drug take-back collection receptacle. (21 CFR 1317.30, 1317.40, CCR 1776)

☐☐☐ 30.13. The pharmacy notified the board in writing within 30 days of establishing the collection program. (CCR 1776.1[i])

Date the board was notified: _____

☐☐☐ 30.14. When the pharmacy renewed its pharmacy license, the pharmacy identified and disclosed to the board all the locations where its collection receptacles are located. (CCR 1776.1[i][2])

☐☐☐ 30.15. The pharmacy is aware, any tampering with a collection receptacle or theft of deposited drugs and any tampering, damage or theft of the removed liner are reported to the board in writing within 14 days. (CCR 1776.1[i][3][4])

List the dates the board was notified of any tampering or theft from the collection receptacle and/or tampering, damage or theft of the removed liner:

Date reported: _____

☐☐☐ 30.16. The pharmacy is not on probation with the board. (CCR 1776.1[l])

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If answered NO, meaning the pharmacy is on probation, the pharmacy cannot maintain a drug take back collection receptacle and must cease and notify the board in writing within 30 days and notify the DEA within 30 days.

☐☐☐ 30.17. Once drugs are deposited into a collection receptacle by the consumer, the pharmacy does not remove, count, sort or individually handle any prescription drugs from the consumer. (CCR 1776.1[d], 1776.3[e])

☐☐☐ 30.18. The collection receptacle is substantially constructed with a permanent outer container, removable inner liner, and is locked at all times to prevent access to the inner liner. (CCR 1776.3[a], [d])

☐☐☐ 30.19. The collection receptacle is securely fastened to a permanent structure so it cannot be removed and is installed in an inside location. (CCR 1776.3[b])

☐☐☐ 30.20. The receptacle is visible to the pharmacy and DEA registrant employees, but not located in or near emergency areas, nor behind the pharmacy's counter or is located in an area that is regularly monitored by pharmacy or DEA registrant employees and not in the proximity of any emergency or urgent care areas. When no pharmacy or DEA registrant employees are present, the collection receptacle is locked so that drugs are not deposited into the collection receptacle. (CCR 1776.3[b], [c])

☐☐☐ 30.21. The receptacle includes a small opening that allows deposit of drugs into the inside of the receptacle directly into the inner liner, but does not allow for an individual to reach into the receptacle's contents. When the pharmacy is closed, the collection receptacle is not accessible to the public for deposit of drugs. The pharmacy locks the deposit opening on the collection receptacle. (CCR 1776.3[d])

Yes No N/A

☐☐☐ 30.22. The pharmacy directs consumers to directly deposit the drugs into the collection receptacle. (CCR 1776.3[e])

☐☐☐ 30.23. The inner liner used is made of material that is certified by the manufacturer to meet the ASTM D179 standard test for impact resistance of 165 grams (drop dart test) and the ASTM D1922standards for tear resistance of 480 grams in both parallel and perpendicular planes. (CCR1776.3[f])

- ☐ 30.23.1 The liner is waterproof, tamper evident, tear resistant, and opaque to prevent viewing or removal of any contents once the liner has been removed from the collection receptacle. (CCR 1776.3[f])
- ☐ 30.23.2 The liner is clearly marked to display the maximum contents (for example, in gallons). (CCR 1776.3[g])
- ☐ 30.23.3 The liner bears a permanent, unique identification number established by the pharmacy or pre-entered onto the liner by the liner's manufacturer or distributor. (CCR 1776.3[f][2])
- ☐ 30.23.4 The liner is removable as specified pursuant to CCR 1776.3. (CCR 1776.3[f][2])

☐☐☐ 30.24. The receptacle allows the public to deposit prescription drugs into the receptacle for containment into the inner liner, without permitting access to or removal of prescription drugs already deposited into the collection receptacle and

liner. Once the prescription drugs or any other item is placed in the collection receptacle, the prescription drug or item cannot be removed, counted, sorted, or otherwise individually handled. (CCR 1776.3[d], [e], [g])

☐☐☐ 30.25. If the liner is not already itself rigid or already inside of a rigid container when it is removed from the collection receptacle, the liner is immediately, without interruption, placed in a rigid container for storage, handling and transport. (CCR 1776.3[h])

☐☐☐ 30.26. The liner is removed from a locked collection receptacle only by or under the supervision of two employees of the pharmacy. Upon removal, the liner is immediately, without interruption, sealed and the pharmacy employees record, in a log, their participation in the removal of each liner from the collection receptacle. Liners and their rigid containers are not opened, x-rayed, analyzed, or penetrated at any time by the pharmacy or pharmacy personnel. (CCR 1776.3[i])

☐☐☐ 30.27. Liners and their rigid containers that are filled and removed from the collection receptacle is stored in a secured, locked location in the pharmacy no longer than 14 days. (CCR 1776.3[j])

☐☐☐ 30.28. The pharmacy maintain records for collected unwanted drugs from consumers for three years, including the records for each liner. (CCR 1776.3[k], 1776.6[a])

☐☐☐ 30.29. The pharmacy seals the inner liners and their contents are shipped to a reversed distributor's registered location by common or contract carrier (such as UPS, FEDEX, USPS) or by a licensed reverse distributor pick up at the licensed pharmacy's premise. (CCR 1776.3[l])

Yes No N/A

☐☐☐ 30.30. The collection receptacle has a signage that includes: (1) the name and phone number of the responsible pharmacy, (2) medical sharps and needles (e.g. insulin syringes) shall not to be deposited, and (3) consumers may deposit prescription drugs including Schedule II-V controlled substance. (CCR 1776.1[e], 1776.3[m])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Onsite Pharmacies with Drug Take-Back Services in Skilled Nursing Facilities

Yes No N/A

☐☐☐ 30.31. The pharmacy provides mail back envelopes or packages to skilled nursing facility employees or persons lawfully entitled to dispose of a resident decedent's property of unwanted or unused prescription drugs. (CCR 1776.4[a])

☐☐☐ 30.32. If the pharmacy provides mail back envelopes or packages to skilled nursing facilities, the skilled nursing facility employees keeps a record noting the specific quantity of each prescription drug mailed back, the unique identification number of the mail back package and the preaddressed location to which the mail back envelope is sent. (CCR 1776.4[a])

☐☐☐ 30.33. If the pharmacy is onsite at a skilled nursing facility, has the pharmacy established a collection receptacle in the skilled nursing facility for the collection and ultimate disposal of unwanted prescription drugs? (CCR 1776.4[b])

If no, answer N/A to the remaining questions in this section.
If yes, continue answering the questions in this section.
List the location(s) of the collection receptacle:

_____
_____

☐☐☐ 30.34. The board was notified in writing within 30 days of establishing a collection receptacle. (CCR 1776.4[b][2])

☐☐☐ 30.35. Has there been any tampering of the collection receptacle, theft of the deposited drugs and/or tampering, damage or theft of the removed liner? (CCR 1776.4[b][4], [5])

- If yes, was the board notified in writing within 14 days of any tampering of the collection receptacles and/or liner?

☐☐☐ 30.36. When the pharmacy license was renewed, the pharmacy provide the list a current list of collection receptacles. (CCR 1776.4[b][6])

☐☐☐ 30.37. The skilled nursing facility places a patient's unneeded prescription drugs into a collection receptacle within three business days after the permanent discontinuance of use of a medication by a prescriber, as a result of the resident's transfer to another facility or as a result of death. Records of such deposit is made in the patient's records, with the name and signature of the employee discarding the drugs. (CCR 1776.4[d])

Yes No N/A

☐☐☐ 30.38. The collection receptacle is located in a secured area regularly monitored by the skilled nursing facility employees, securely fastened to a permanent structure so it cannot be removed, has a small opening that allows deposit of drugs into the inside of the collection receptacle and directly into the inner liner, but does not allow for an individual to reach into the receptacle's contents, securely locked and substantially constructed with a permanent outer container and a removable inner liner. (CCR 1776.4[e][f][g])

☐☐☐ 30.39. The liner is certified by the manufacturer to meet the American Society for Testing Materials(ASTM) D1709 standard test for impact resistance of 165 grams (drop dart test) and the ASTM D1922standards for tear resistance of 480 grams in both parallel and perpendicular planes, is waterproof, tamper evident, tear resistant, and opaque to prevent viewing and discourage removal of any contents once the liner is removed from the collection receptacle, marked to display the maximum contents, and bear a permanent, unique identification number. (CCR 1776.4[h])

☐☐☐ 30.40. The receptacle allows the deposit of prescription drugs into the receptacle for containment into the inner liner, without permitting access to or removal of prescription drugs already deposited into the collection receptacle and liner. Once a prescription drug or item is placed in the collection receptacle, the prescription

drug or item cannot be removed, sorted, counted, or otherwise individually handled. (CCR 1776.4[g][1])

☐☐☐ 30.41. If the liner is not already itself rigid or already inside a rigid container when it is removed from the collection receptacle, the liner is immediately placed in a rigid container for storage, handling and transport. (CCR 1776.4[g][2])

☐☐☐ 30.42. The rigid container is either disposable, reusable, or recyclable. The rigid container is leak resistant, has sealable tight fitting covers and kept clean and in good repair. (CCR 1776.4[g][2])

☐☐☐ 30.43. The collection receptacle contains signage with (1) the name and phone number of the pharmacy, (2) medical sharps and needles (e.g. insulin syringes) can not be deposited, and (3) consumers may deposit prescription drugs including Schedule II-V controlled substances. (CCR 1776.4[i])

☐☐☐ 30.44. Once deposited, the prescription drugs are not counted, sorted, or otherwise individually handled. (CCR 1776.4[j])

☐☐☐ 30.45. The installation, removal, transfer, and storage of inner liners is performed only by (1) one employee of the authorized collector pharmacy and one supervisory level employee of the long term care facility (e.g. charge nurse or supervisor) designated by the authorized collector or (2) by or under the supervision of two employees of the authorized collector pharmacy. (CCR 1776.4[k])

☐☐☐ 30.46. Sealed inner liners placed in a container are stored at the skilled nursing facility up to three business days in a securely locked, substantially constructed cabinet or a securely locked room with controlled access until transfer to a reverse distributor for destruction. (CCR 1776.4[l])

Yes No N/A

☐☐☐ 30.47. Liners housed in a rigid container are delivered to a reverse distributor for destruction by a common or contract carrier or by a reverse distributor picked up at the skilled nursing facility. (CCR 1776.4[m])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

Record Keeping Requirements for Board Licensees Providing Drug Take Back Services

Yes No N/A

☐☐☐ 30.48. Records required for drug take back services are maintained for three years. (CCR 1776.6)

☐☐☐ 30.49. The pharmacy makes and keeps the following records for each liner: (CCR 1776.6[a])

- ☐ 30.49.1. The date each unused liner is acquired, its unique identification number and size (e.g. 5 gallon, 10 gallon). If the liner does not already contain a unique identification number, the pharmacy assigns the unique identification number. (CCR 1776.6[a][1])

- 30.49.2. The date each liner is installed in a collection receptacle, the address of the location where each liner is installed, the unique identification number and size (e.g., 5 gallon, 10 gallon), the registration number of the collector pharmacy, and the names and signatures of the two employees that witnessed each installation. (CCR 1776.6[a][2])
- 30.49.3. The date each inner liner is removed and sealed, the address of the location from which each inner liner is removed, the unique identification number and size (e.g. 5 gallon, 10 gallon) of each inner liner removed, the registration number of the collector pharmacy, and the names and signatures of the two employees that witnessed the removal and sealing. (CCR 1776.6[a][3])
- 30.49.4. The date each sealed inner liner is transferred to storage, the unique identification number and size (e.g., 5 gallon, 10 gallon) of each inner liner stored, and the names and signatures of the two employees that transferred each sealed inner liner to storage. (CCR 1776.6[a][4])
- 30.49.5. The date each sealed inner liner is transferred for destruction, the address and registration number of the reverse distributor or distributor to whom each sealer inner liner was transferred, the unique identification number and size (e.g., 5 gallon, 10 gallon) of each liner transferred, and the names and signatures of the two employees who transferred each sealed inner liner to the reverse distributor or distributor, or the common carrier who delivered it, the company used, and any related paperwork (invoice, bill of lading). (CCR 1776.6[a][5])

CORRECTIVE ACTION OR ACTION PLAN: _____

_____

PHARMACIST-IN-CHARGE CERTIFICATION:

I, (please print) _____, RPH # _____ hereby certify that I have completed the self-assessment of this pharmacy of which I am the pharmacist-in-charge. Any deficiency identified herein will be corrected by _____ (date). I understand that all responses are subject to verification by the Board of Pharmacy. I further state under penalty of perjury of the laws of the State of California that the information that I have provided in this self-assessment form is true and correct.

Signature _____ _____ Date
(Pharmacist-in-Charge)

ACKNOWLEDGEMENT BY HOSPITAL ADMINISTRATOR:

I, (please print) _____, hereby certify under penalty of perjury of the laws of the State of California that I have read and reviewed this completed self-assessment. I understand that failure to correct any deficiency identified in this self-assessment

in the timeframe identified in the Pharmacist-in-Charge Certification above could result in the revocation of the pharmacy's license issued by the California State Board of Pharmacy.

Signature _____ _____ Date
(Hospital Administrator)

_____
PIC
Initials

The following **Legal References** are used in the self-assessment form. Many of these references can be viewed on the Board of Pharmacy Web site at www.pharmacy.ca.gov (see *Laws and Regulations*), at the California State Law Library, or at other libraries or Internet web sites.

- Business and Professions Code (BPC), Division 2, Chapter 1 – General Provisions
- BPC, Division 2, Chapter 9 – Pharmacy
- California Code of Regulation (CCR), Title 16, Division 17 – California State Board of Pharmacy
- CCR, Title 22, Division 5, Chapter 1 – General Acute Care Hospitals
- Civil Code, Division 1, Part 2.6, Chapter 2 – Disclosure of Medical Information by Providers
- Code of Federal Regulations (CFR), Title 16, Chapter II, Subchapter E, Part 1700 – Poison Prevention Packaging
- CFR, Title 21, Chapter I, Subchapter C, Part 201, Subpart B – Labeling Requirements for Prescription Drugs and/or Insulin
- CFR, Title 21, Chapter I, Subchapter C, Part 208 – Medication Guides for Prescription Drug Products
- CFR, Title 21, Chapter I, Subchapter C, Part 290 – Controlled Drugs
- CFR, Title 21, Chapter I, Subchapter D, Part 310, Subpart E – Requirements for Specific New Drugs and Devices
- CFR, Title 21, Chapter II - Drug Enforcement Administration, Department of Justice
- Health and Safety Code (HSC), Division 10 – Uniform Controlled Substances Act
- HSC, Division 104, Part 5 (Sherman Food, Drug, and Cosmetics Law), Chapter 2 – Administration
- HSC, Division 116 – Surplus Medication Collection and Distribution
- United States Code (USC), Title 15, Chapter 39A – Special Packaging of Household Substances for Protection of Children
- USC, Title 21, Chapter 9, Subchapter V, Part H – Pharmaceutical Distribution Supply Chain (Drug Supply Chain Security Act)

California State Board of Pharmacy
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Sacramento, CA 95833
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www.pharmacy.ca.gov

Business, Consumer Services and Housing Agency
Department of Consumer Affairs
Gavin Newsom, Governor

WHOLESALER/THIRD-PARTY LOGISTICS PROVIDER SELF-ASSESSMENT

All legal references used throughout this self-assessment form are explained on page 21.

All references to "drugs" throughout this self-assessment form refer to dangerous drugs and dangerous devices as defined in Business & Professions Code (BPC) section 4022. (http://www.pharmacy.ca.gov/laws_regs/lawbook.pdf).

For purposes of completing this assessment, the following abbreviations refer to specified licensing categories:

- WLS = Wholesaler
- 3PL = Third-Party Logistics Provider
- DRIC = Designated Representative-in-Charge
- RM = Responsible Manager
- DR = Designated Representative, Designated Representative-3PL, and Designated Representative Reverse Distributor

Licensed Premises Name: _____

Address: _____

Phone: _____

Licensed Premises Email address: _____

Ownership: Please mark one

○ sole owner ○ partnership ○ corporation ○ LLC

○ non- licensed owner ○ Other (please specify) _____

License #_____ Expiration Date_____

Other License #_____ Expiration Date_____
(Use additional sheets if needed.)

DEA Registration #_____ Expiration Date_____

VAWD Accreditation # _____ Expiration Date_____

Date of most recent DEA Inventory _____

Hours: Weekdays _____Sat_____ Sun_____ 24 Hours ○

DRIC / RM _____

DR License # / RPH License #_____ Expiration Date_____

Website Address (optional): _____

Other Licensed Staff (DR, pharmacist (RPH)):

1. _____ DR#/RPH#_____ Exp. Date _____

2. _____ DR#/RPH#_____ Exp. Date _____

3. _____ DR#/RPH#_____ Exp. Date _____

4. _____ DR#/RPH#_____ Exp. Date _____

5. _____ DR#/RPH#_____ Exp. Date _____

6. _____ DR#/RPH#_____ Exp. Date _____

7. _____ DR#/RPH#_____ Exp. Date _____

8. _____ DR#/RPH#_____ Exp. Date _____

9. _____ DR#/RPH#_____ Exp. Date _____

10._____ DR#/RPH#_____ Exp. Date _____

Please mark the appropriate box for each question. If "NO," enter an explanation on the "CORRECTIVE ACTION OR ACTION PLAN" lines at the end of the section. If more space is needed, add additional sheets.

1. Ownership/Location

Yes No N/A

☐ ☐ ☐ 1.1. Review the current WLS/3PL license for this business. Are the listed owners correct and is the listed address correct? If not, please indicate discrepancy. If either is incorrect, notify the board in writing immediately. (BPC 4160[a], [c], [f]) **Attach a copy of the notification letter to the board to this document.**

☐ ☐ ☐ 1.2. Have you established and do you maintain a list of officers, directors, managers and other persons in charge of drug distribution, handling and storage? The list must contain a summary of the duties and qualifications for each job listed. (CCR 1780[f][3], BPC 4082) **Please attach a copy of the list to this document.** (This list should be dated.)

Note: Upon request, the owner must provide the board with the names of the owners, managers and employees and a brief statement of the capacity in which they are employed. (BPC 4082)

☐ ☐ ☐ 1.3. Has there been a transfer of the management or control over the WLS/3PL to a person or entity who did not have management or control over the license at the time the original license was issued? Written notification to the board is required of within 30 days of the transfer (CCR 1709[b]) **Please attach a copy of the notification letter to the board to this document.**

☐ ☐ ☐ 1.4. Is there any beneficial interest of the WLS/3PL held in a trust? (CCR 1709[d]) **Please attach a copy of the trust document and any related amendments to this document.**

CORRECTIVE ACTION OR ACTION PLAN _____

_____

2. Facility

2.1. Premises, fixtures and equipment:

Yes No N/A

☐ ☐ ☐ 2.1.1. Are clean and orderly
☐ ☐ ☐ 2.1.2. Are well ventilated
☐ ☐ ☐ 2.1.3. Are free from rodents and insects
☐ ☐ ☐ 2.1.4. Are adequately lit
☐ ☐ ☐ 2.1.5. Have plumbing in good repair

Yes No N/A

☐ ☐ ☐ 2.1.6. Have temperature & humidity monitoring to assure compliance with USP Standards. (The standards for various drugs may differ, see the standards set forth in the latest edition of the USP) (CCR 1780[b])

☐ ☐ ☐ 2.2. Is there a quarantine area for outdated, damaged, deteriorated, adulterated or misbranded drugs, drugs with the outer or secondary seal broken, partially used containers, or any drug returned under conditions that cast doubt on the drugs' safety, identity, strength, quality or purity? (CCR 1780[e])

☐ ☐ ☐ 2.3. Are dangerous drugs and dangerous devices stored in a secured and locked area? (BPC 4167, CCR 1780[a])

☐ ☐ ☐ 2.4. Is access to areas where dangerous drugs or dangerous devices are stored limited to authorized personnel? (BPC 4116, 4167, CCR 1780[c])

List personnel with keys to the area(s) where dangerous drugs or dangerous devices are stored (list by name or job title):

_____

_____

_____

☐ ☐ ☐ 2.5. Does this business operate only when a DR or pharmacist is on the premises? (CCR 1781)

2.6. The licensed premises is equipped with the following specific security features:

☐ ☐ ☐ 2.6.1. There is an alarm to detect after-hours entry. (CCR 1780[c][1]).

☐ ☐ ☐ 2.6.2. The outside perimeter of the building is well lit (CCR 1780[c][3]).

☐ ☐ ☐ 2.6.3. The security system provides protection against theft and diversion including tampering with computers and or electronic records. (CCR 1780[c][2]).

Explain how your security system complies with these requirements.

_____

_____

☐ ☐ ☐ 2.7. Is this business a "reverse distributor", that is, does the business act as an agent for pharmacies, drug wholesalers, third-party logistics provider, manufacturers, or others, by receiving, inventorying, and managing the disposition of outdated or nonsaleable dangerous drugs or dangerous devices? (BPC 4040.5)

CORRECTIVE ACTION OR ACTION PLAN _____

_____

Yes No N/A

☐ ☐ ☐ 2.8. The facility has obtained approval from the board if acting as a reverse distributor which acquires dangerous drugs or dangerous devices from an unlicensed source that was previously licensed with the board for the sole purpose of destruction of the dangerous drugs or dangerous devices. (BPC 4163[~~(~~c]~~)~~)

Date of approval from the board: _____

☐ ☐ ☐ 2.9. The facility is subscribed to the board's email notifications. (BPC 4013)

Date Last Notification Received: _____

Email address registered with the board: _____

CORRECTIVE ACTION OR ACTION PLAN _____

_____

☐ ☐ ☐ 2.10. The facility receives the board's email notifications through the owner's electronic notice system. (BPC 4013[c])

Date Last Notification Received: _____

Email address registered with the board: _____

CORRECTIVE ACTION OR ACTION PLAN _____

_____

Note: There are specific requirements for wholesaling, storage, distribution, and disposal of controlled substances – these additional requirements are in Section 11 of this document.

3. Designated Representative-in-Charge/ Responsible Manager / Designated Representative-Reverse Distributor / Owner Responsibilities

Yes No N/A

☐ ☐ ☐ 3.1. The owner and the DRIC/RM are both equally responsible for maintenance of the records and inventory of the facility. (BPC 4081[b])

☐ ☐ ☐ 3.2. Is the DRIC/RM at least 18 years of age and responsible for the compliance with all state and federal laws for the distribution of drugs? The DRIC may be a pharmacist. (BPC 4160[d], 4053.1[b], 4053.2)

☐ ☐ ☐ 3.3. The owner must notify the board within 30 days of termination of the DRIC/RM. (BPC 4305.5[a])

☐ ☐ ☐ 3.4. The owner must identify and notify the board of a proposed new DRIC/RM within 30 days of the termination of the former DRIC/RM. (BPC 4160[f], 4160[g], 4331[c]) The appropriate form for this notification is available on the board's website.

☐ ☐ ☐ 3.5. The DRIC/RM who ends their employment at a licensed premises, must notify the board within 30 days. (BPC 4305.5[c], 4101[b][c]). This notification is in addition to that required of the owner.

☐ ☐ ☐ 3.6. The DRIC/RM has provided an electronic mail address to the board and shall maintain a current electronic mail address, if any, with the board and must notify the board within 30 days of any change of electronic mail address, giving both the old and new electronic mail address. (CCR 1704[b])

CORRECTIVE ACTION OR ACTION PLAN _____

_____

4. Ordering Drugs by this Business for Future Sale/Transfer or Trade

Yes No N/A

☐ ☐ ☐ 4.1. Are drugs ordered only from a business licensed by this board or from a licensed manufacturer? (BPC 4163[b], 4169)

☐ ☐ ☐ 4.2. If drugs are returned to your premises by a business that originally purchased the drugs from you, do you document the return with an acquisition record for your business and a disposition record for the business returning the drugs? (BPC 4081, 4332)

☐ ☐ ☐ ~~4~~.3. For license verification, the licensed premises may use the licensing information displayed on the board's Internet web site. (BPC 4106)

CORRECTIVE ACTION OR ACTION PLAN _____

_____

Note: There are specific requirements for wholesaling, storage, distribution, and disposal of controlled substances – these additional requirements are in Section 11 of this document.

5. Receipt of Drugs by this Business

Yes No N/A

☐ ☐ ☐ 5.1. When drugs are received by your business, are they delivered to the licensed premises, and received by and signed for only by a DR or a pharmacist? (BPC 4059.5[a])

☐ ☐ ☐ 5.2. When drugs are received by your business, are the outside containers visibly inspected to identify the drugs and prevent acceptance of contaminated drugs by detecting container damage? (CCR 1780[d][1])

CORRECTIVE ACTION OR ACTION PLAN _____

_____

Note: There are specific requirements for wholesaling controlled substances – these additional requirements are in Section 11 of this document.

6. Drug Stock

Yes No N/A

☐ ☐ ☐ 6.1. Is all drug stock open for inspection during regular business hours? (BPC 4080)

☐ ☐ ☐ 6.2. Are all drugs you order maintained in a secure manner at your licensed premises? You cannot order, obtain or purchase drugs that you are not able to store on your licensed premises. (BPC 4167)

☐ ☐ ☐ 6.3. Do all drugs you sell conform to the standards and tests for quality and strength provided in the latest edition of United States Pharmacopoeia or Sherman Food Drug and Cosmetic Act? (BPC 4342[a])

☐ ☐ ☐ 6.4. Do all drug containers you store on your premises have a manufacturer's expiration date? Any drug without an expiration date is considered expired and may not be distributed. (CCR 1718.1)

☐ ☐ ☐ 6.5. Are outdated, damaged, deteriorated or misbranded drugs held in a quarantine area physically separated from other drugs until returned to the supplier or sent for destruction? (CCR 1780[e][1])

☐ ☐ ☐ 6.6. Are drugs with the outer or secondary seal broken, or partially used or returned drugs held in a quarantine area and physically separated from other drugs until returned to the supplier or sent for destruction? (CCR 1780[e][2])

☐ ☐ ☐ 6.7. When the conditions under which drugs were returned to your premises cast doubt on the drugs' safety, identity, strength, quality or purity, are the drugs quarantined and either returned to your supplier or destroyed? If testing or investigation proves the drugs meet USP standards, the drugs may be returned to normal stock. (CCR 1780[e][3])

CORRECTIVE ACTION OR ACTION PLAN _____

_____

Note: There are specific requirements for wholesaling controlled substances – these additional requirements are in Section 11 of this document.

7. Sale or Transfer of Drugs by this Business

Yes No N/A

☐ ☐ ☐ 7.1. Are drugs sold only to businesses or persons licensed by this board, licensed by a prescriber board, licensed as a manufacturer, or to a licensed health care entity authorized to receive drugs?

7.2. Describe how you verify a business or person is appropriately licensed. (BPC 4059.5[a], [b],[d],[g], BPC 4169)

_____

_____

7.3. List any businesses or individuals that order drugs from you that are not licensed according to the list above:

_____

_____

Yes No N/A

☐ ☐ ☐ 7.4. Are drugs only furnished by your business to an authorized person? (BPC 4163[a]) Note: An authorized person can be a business or natural person.

7.5. Does your business only receive drugs from a pharmacy if:

☐ ☐ ☐ 7.5.1. the pharmacy originally purchased the drugs from you?

☐ ☐ ☐ 7.5.2. your business is a "reverse distributor"?

☐ ☐ ☐ 7.5.3. the drugs are needed to alleviate a shortage? (and only a quantity sufficient to alleviate a specific shortage). (BPC 4126.5[a])

Yes No N/A

☐ ☐ ☐ 7.6 Are all drugs that are purchased from another business or that are sold, traded or transferred by your business:

☐ ☐ ☐ 7.6.1. transacted with a business licensed with this board as a WLS/3PL or pharmacy?

☐ ☐ ☐ 7.6.2. free of adulteration as defined by the CA Health & Safety Code section 111250?

☐ ☐ ☐ 7.6.3. free of misbranding as defined by CA Health & Safety Code section 111335?

☐ ☐ ☐ 7.6.4. **confirmed** to not be beyond their use date (expired drugs)? (BPC 4169)

7.7. List any incidents where adulterated, misbranded or expired drugs were purchased, sold, traded or transferred by this business in the past 2 years.

_____

_____

7.8. If your business sells, transfers, or delivers dangerous drugs or devices outside of California, either to another state within the United States or a foreign country, do you:

Yes No N/A

☐ ☐ ☐ 7.8.1. comply with all CA pharmacy laws related to the distribution of drugs?

☐ ☐ ☐ 7.8.2. comply with the pharmacy law of the receiving state within the United States?

☐ ☐ ☐ 7.8.3. comply with the statues and regulations of the Federal Food and Drug Administration and the Drug Enforcement Administration relating to the wholesale distribution of drugs?

☐ ☐ ☐ 7.8.4. comply with all laws of the receiving foreign country related to the wholesale distribution of drugs?

☐ ☐ ☐ 7.8.5. comply with all applicable federal regulations regarding the exportation of dangerous drugs?

7.9. Describe how you determine a business in a foreign country is authorized to receive dangerous drugs or dangerous devices. (BPC 4059.5[e])

_____

_____

Yes No N/A

☐ ☐ ☐ 7.10. For products included in the Drug Supply Chain Security Act, transaction histories, transaction information, and transaction statements are provided to authorized trading partners when the products are sold, traded, or transferred. (21 USC 360eee-1[c])

☐ ☐ ☐ 7.11. If preferentially priced drugs are sold by your business, that sale complies with CA Pharmacy Law. (BPC 4380)

Yes No N/A

☐ ☐ ☐ 7.12. Does your business' advertisements for dangerous drugs or devices contain false, fraudulent, misleading or deceptive claims? (BPC 4341, BPC 651, CCR 1766)

☐ ☐ ☐ 7.13. Do you offer or receive any rebates, refunds, commissions or preferences, discounts or other considerations for referring patients or customers? If your business has any of these arrangements, please list with whom. (BPC 650)

_____

_____

☐ ☐ ☐ 7.14. Does your business sell dangerous drugs or devices to the master or first officer of an ocean vessel, after your business has received a written prescription? If so, describe how you comply with the ordering, delivery and record keeping requirements for drugs including controlled substances, and the requirement to notify the board of these sales. (BPC 4066, CFR 1301.25)

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CORRECTIVE ACTION OR ACTION PLAN _____

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Note: There are specific requirements for wholesaling controlled substances – these additional requirements are in Section 11 of this document.

8. Donations of Medication to Voluntary Drug Repository and Distribution Programs (HSC 150200, 150203, 150204)

Yes No N/A

☐☐☐ 8.1. The wholesaler donates medications to a county-approved drug repository and distribution program, provided the following requirements are met: (HSC 150203, 150204)

☐☐☐ 8.2. No controlled substances shall be donated. (HSC 150204[c][1])

☐☐☐ 8.3. Drugs that are donated are unused, unexpired and meet the following requirements: (HSC 150204[c])

- ☐ 8.3.1. Have not been adulterated, misbranded, or stored under conditions contrary to standards set by the USP or the product manufacturer. (HSC 150204[c][2])
- ☐ 8.3.2. Have never been in the possession of a patient or individual member of the public. (HSC 150204[c][3])
- ☐ 8.3.3. Are in unopened, tamper-evident packaging or modified unit dose containers with lot numbers and expiration dates affixed. (HSC 105204[d])

☐ 8.3.4. For donated medications that require refrigeration, are medications that are stored, packaged and transported at appropriate temperatures and in accordance with USP standards and pharmacy law. (HSC 150204[m])

9. Outgoing Shipments of Drugs

Yes No N/A

☐ ☐ ☐ 9.1. Before you ship drugs to a purchaser, do you inspect the shipment to assure the drugs were not damaged while stored by your business? (CCR 1780[d][2])

☐ ☐ ☐ 9.2. Does your business use a common carrier (a shipping or delivery company — UPS, US Mail, FedEx, DHL) for delivery of drug orders to your customers? (BPC 4166[a])

9.3. List the common carriers (shipping or delivery companies) you use.

_____

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CORRECTIVE ACTION OR ACTION PLAN _____

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Note: There are specific requirements for wholesaling controlled substances – these additional requirements are in Section 11 of this document.

10. Delivery of Drugs

Yes No N/A

☐ ☐ ☐ 10.1. Are all drugs ordered by a pharmacy or another wholesaler are delivered to the address of the buyer's licensed premises and signed for and received by a pharmacist or designated representative where allowed? (BPC 4059.5[a])

☐ ☐ ☐ 10.2. Are all drugs ordered by a manufacturer or prescriber delivered to the manufacturer~~'~~s or prescriber's licensed business address and signed for by a person duly authorized by the manufacturer or prescriber? (BPC 4059.5[d])

☐ ☐ ☐ 10.3. All drugs delivered to a hospital are delivered either to the pharmacy premises or to a central receiving area within the hospital. (BPC 4059.5[c])

☐ ☐ ☐ 10.4. If drugs are delivered to a pharmacy when the pharmacy is closed and a pharmacist is not on duty, documents are left with the delivery in the secure storage facility, indicating the name and amount of each dangerous drug delivered. (BPC 4059.5[f])

CORRECTIVE ACTION OR ACTION PLAN _____

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11. **Controlled Substances**

Yes No N/A

☐ ☐ ☐ 11.1. Are there effective controls to prevent theft or diversion of controlled substances? (CFR 1301.71)

☐ ☐ ☐ 11.2. Are DEA requirements for storage of Schedule II controlled substances being met? (specific requirements are listed in CFR 1301.72[a])

☐ ☐ ☐ 11.3. Are DEA requirements for storage of Schedule III, IV and V controlled substances being met? (Specific requirements are listed in CFR 1301.72[b])

☐ ☐ ☐ 11.4. Is a DEA inventory completed by your business every two years for all schedules (II - V) of controlled substances? (CFR 1304.11[a],[c],[e])

☐ ☐ ☐ 11.5. Is the biennial record of the DEA inventory required for Schedule II – V controlled substances conducted every 2 years, retained for 3 years? (CFR 1304.11, CCR 1718, 1780(f)[2])

☐ ☐ ☐ 11.6. Does the biennial inventory record document that the inventory was taken at the "close of business" or "opening of business." (CFR 1304.11)

☐ ☐ ☐ 11.7. Has the person within your business who signed the original DEA registration, or the last DEA registration renewal, created a power of attorney for each person allowed to order Schedule II controlled substances for this business? (CFR 1305.05)

11.7.1. List the individuals at this location authorized by power of attorney to order controlled substances.

_____

_____

Yes No N/A

☐ ☐ ☐ 11.8. Does your business follow employee-screening procedures required by DEA to assure the security of controlled substances? (CFR 1301.90)

☐ ☐ ☐ 11.9. If any employee of this business possesses, sells, uses or diverts controlled substances, in addition to the criminal liability you must evaluate the circumstances of the illegal activity and determine what action you should take against the employee. (CFR 1301.92)

☐ ☐ ☐ 11.10. Are all controlled substances purchased, sold or transferred by your business, done so for legitimate medical purposes? (HSC 11153.5[a],[b],[c])

Yes No N/A

☐ ☐ ☐ 11.11. If your business distributes controlled substances through an agent (i.e. detail person), do you have adequate security measures in place to prevent theft or diversion of those controlled substances. (CFR 1301.74[f])

☐ ☐ ☐ 11.12. If a person attempts to purchase controlled substances from your business and the person is unknown to you, you make a good faith effort to determine the person (individual or business) is appropriately licensed to purchase controlled substances. (CFR 1301.74 [a])

11.13. Explain how your business determines an unknown business or individual is appropriately licensed to purchase controlled substances

_____

_____

Yes No N/A

☐ ☐ ☐ 11.14. If your business uses a common carrier to deliver controlled substances, your business determines the common carrier has adequate security to prevent the theft or diversion of controlled substances. (CFR 1301.74[f])

☐ ☐ ☐ 11.15. If your business uses a common carrier to deliver controlled substances, are the shipping containers free of any outward indication that there are controlled substances within, to guard against storage or in-transit theft? (CFR 1301.74[e])

☐ ☐ ☐ 11.16. Are all Schedule II controlled substances ordered from your business using a fully completed DEA 222 order form? (CFR 1305.03, 1305.06)

☐ ☐ ☐ 11.17. When your business fills orders for Schedule II controlled substances, is the date filled and the number of containers filled recorded on copies 1 and 2 of DEA 222 from? Is copy 1 retained and copy 2 sent to DEA at the close of the month the controlled substance order was filled? (CFR 1305.13 [b])

☐ ☐ ☐ 11.18. If a Schedule II controlled substance order cannot be filled, does your business return copy 1 and 2 of the DEA 222 order form to the buyer with a letter indicating why the order could not be filled? (CFR 1305.15)

☐ ☐ ☐ 11.19. When your business partially fills Schedule II controlled substances, is the balance provided within 60 days of the date of the order form? After the final partial filling, is copy 1 retained in your files and copy 2 of the completed DEA 222 order form sent to DEA by the close of that month? (CFR 1305.13[b])

Yes No N/A

☐ ☐ ☐ 11.20. For all Schedule II controlled substances received by your business, is copy 3 of the DEA 222 order form completed by writing in for each item received, the date received, and the number of containers received? (CFR 1305.13[e])

☐ ☐ ☐ 11.21. Does your business use the online CSOS secure transmission system offered by the Drug Enforcement Administration in place of a paper DEA 222 Form for Schedule II controlled substances? (CFR 1305.21, 1305.22)

☐ ☐ ☐ 11.22. Does your business follow the procedure outlined by DEA to obtain Schedule II controlled substances when the original DEA 222 order form is lost or stolen? (CFR 1305.16(a))

☐ ☐ ☐ 11.23. Are all records of purchase and sale for all schedules of controlled substances for your business kept on your licensed business premises for 3 years from the making? (BPC 4081, CCR 1718, CFR 1304.03, 1305.17[c], 1305.17[a], [b], and HSC 11252, 11253)

☐ ☐ ☐ 11.24. Are records of Schedule II controlled substances stored separate from all others? (CFR 1304.04 [f][1])

☐ ☐ ☐ 11.25. Are records for Schedule III-V controlled substances stored so that they are easily retrievable? (CFR 1304.04 [f][2])

☐ ☐ ☐ 11.26. Before your business distributes carfentanil etorphine HCL and or diprenorphine, do you contact the DEA to determine the person (individual or business) is authorized to receive these drugs? (CFR 1301.74[g])

☐ ☐ ☐ 11.27. Do you separate records for the sale of carfentanil etorphine hydrochloride and or diprenorphine from all other records? (CFR 1305.17[d])

☐ ☐ ☐ 11.28. Does the owner of your business notify the DEA, on a DEA 106 form, of any theft or significant loss of controlled substances upon discovery of the theft? (CFR 1301.74[c])

☐ ☐ ☐ 11.29. Does the owner of your business notify the board of any loss of controlled substances within 30 days of discovering the loss? (CCR 1715.6)

☐ ☐ ☐ 11.30. Do you report suspicious orders to the Suspicious Orders Report System (SORS)? Suspicious Orders may include, but is not limited to: an order of a controlled substance of unusual size; an order of a controlled substance deviating substantially from a normal pattern, and; orders of controlled substances of unusual frequency. (21 USC 832[a][3], 21 USC 802[57], 21 CFR 1301.74[b])

CORRECTIVE ACTION OR ACTION PLAN _____

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12. Policies and Procedures

12.1. Does this business maintain and adhere to policies and procedures for the following: (CCR 1780[f])

Yes No N/A

☐ ☐ ☐ 12.1.1. Receipt of drugs

☐ ☐ ☐ 12.1.2. Security of drugs

☐ ☐ ☐ 12.1.3. Storage of drugs (including maintaining records to document proper storage)

☐ ☐ ☐ 12.1.4. Inventory of drug (including correcting inaccuracies in inventories)

☐ ☐ ☐ 12.1.5. Distributing drugs

☐ ☐ ☐ 12.1.6. Identifying, recording and reporting theft or losses

☐ ☐ ☐ 12.1.7. Correcting errors and inaccuracies in inventories

Physically quarantining and separating:

☐ ☐ ☐ 12.1.8. returned, damaged, outdated, deteriorated, misbranded or adulterated drugs

☐ ☐ ☐ 12.1.9. drugs that have been partially used

☐ ☐ ☐ 12.1.10. drugs where the outer or secondary seals on the container have been broken

☐ ☐ ☐ 12.1.11. drugs returned to your business, when there is doubt about the safety, identity, strength, quality, or purity of the drug

Yes No N/A

☐ ☐ ☐ 12.1.12. drugs where the conditions of return cast doubt on safety, identity, strength, quality or purity (CCR 1780[e],[f])

CORRECTIVE ACTION OR ACTION PLAN _____

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13. Training

Yes No N/A

☐ ☐ ☐ 13.1 Are training and experience provided to all employees to assure all personnel comply with all licensing requirements? (CCR 1780[f][4])

List the types of training you have provided to staff in the last calendar year and the dates of that training.

_____

_____

CORRECTIVE ACTION OR ACTION PLAN _____

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14. Dialysis Drugs

Yes No N/A

☐ ☐ ☐ 14.1. Does your business provide dialysis drugs directly to patients, pursuant to a prescription? (BPC 4054, 4059[c]) If so, please complete the next 4 questions, if not proceed to Section 15.

☐ ☐ ☐ 14.2. Do home dialysis patients complete a training program provided by a dialysis center licensed by Department of Health Services? Prescriber must provide proof of completion of this training to your business. (BPC 4059[d])

☐ ☐ ☐ 14.3. Do you have written or oral orders for authorized dialysis drugs for each dialysis patient being serviced. Are such orders received by either a designated representative or a pharmacist? Note: refill orders cannot be authorized for more than 6 months from the date of the original order. (CCR 1787[a],[b],[c])

☐ ☐ ☐ 14.4. Does your business provide an "expanded invoice" for dialysis drugs dispensed directly to the patient including name of drug, manufacturer, quantities, lot number, date of shipment, and name of the designated representative or pharmacist responsible for distribution? A copy of the invoice must be sent to the prescriber, the patient and a copy retained by this business. Upon receipt of drugs, the patient or patient agent must sign for the receipt for the drugs with any irregularities noted on the receipt. (CCR 1790)

Yes No N/A

☐ ☐ ☐ 14.5. Is each case or full shelf package of the dialysis drugs dispensed labeled with the patient's name and the shipment? Note that additional information as required is provided with each shipment. (CCR 1791)

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15. Record Keeping Requirements

Yes No N/A

☐ ☐ ☐ 15.1. Does your business' sales record for drugs include date of sale, your business name and address, the business name and address of the buyer, and the names and quantities of the drugs sold? (BPC 4059[b])

☐ ☐ ☐ 15.2. Does your business maintain transaction histories, transaction information, and transaction statements for products included in the Drug Supply Chain Security Act? (21 USC 360eee-1[c])

☐ ☐ ☐ 15.3. Are purchase and sales records for all transactions retained on your licensed premises for 3 years from the date of making? (BPC 4081~~[a]~~, 4105[c], 4332)

☐ ☐ ☐ 15.4. Are all purchase and sales records retained in a readily retrievable form? (BPC 4105[a])

☐ ☐ ☐ 15.5. Is a current accurate inventory maintained for all dangerous drugs? (BPC 4081, 4332, CCR 1718)

☐ ☐ ☐ 15.6. If you temporarily remove purchase or sales records from your business, does your business retain on your licensed premises at all times, a photocopy of each record temporarily removed? (BPC 4105[b])

☐ ☐ ☐ 15.7. Are required records stored off-site only if a board issued written waiver has been granted?

15.8. If your business has a written waiver, write the date the waiver was approved and the off-site address where the records are stored below. (CCR 1707[a])

Date _____ Address_____

☐ ☐ ☐ 15.9. Is an off-site written waiver in place and is the storage area secure from unauthorized access? (CCR 1707[b][1])

Yes No N/A

☐ ☐ ☐ 15.10. If an off-site written waiver is in place, are the records stored off-site retrievable within 2 business days? (CCR 1707[b][2])

☐ ☐ ☐ 15.11. Can the records that are retained electronically be produced immediately in hard copy form by any designated representative, if the designated representative-in-charge is not present? (BPC 4105[d][2])

☐ ☐ ☐ 15.12. Are records of training provided to employees to assure compliance with licensing requirements, retained for 3 years? (CCR 1780[f][4])

☐ ☐ ☐ 15.13. Has this licensed premises, or the designated representative-in-charge/responsible manager, been cited, fined or disciplined by this board or any other state or federal agency within the last 3 years? If so, list each incident with a brief explanation (BPC 4162[a][5]):

_____

_____

☐ ☐ ☐ 15.14. Has the licensed premises received any orders of correction from this board? A copy of the order and the corrective action plan must be on the licensed premises for 3 years. (BPC 4083)

☐ ☐ ☐ 15.15. Has this licensed premises received a letter of admonishment from this board? A copy must be retained on the premises for 3 years from the date of issue. (BPC 4315[f])

☐ ☐ ☐ 15.16. If this licensed premises dispenses dialysis drugs directly to patients, are the prescription records retained for 3 years, including refill authorizations and expanded invoices for dialysis patients? (CCR 1787[c], 1790)

CORRECTIVE ACTION OR ACTION PLAN _____

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Note: There are specific requirements for wholesaling controlled substances – these additional requirements are in Section 11 of this document.

16. Reporting Requirements to the Board

Yes No N/A

☐ ☐ ☐ 16.1. A designated representative-in-charge/responsible manager who terminates employment at this business, must notify the board within 30 days of the termination (BPC 4101[b], 4305.5[c].

☐ ☐ ☐ 16.2. The owner must report to the board within 30 days the termination of the designated representative-in-charge or responsible manager. (BPC 4305.5[a])

☐ ☐ ☐ 16.3. The owner must report to the board within 30 days of discovery, any loss of controlled substances, including amounts and strengths of the missing drugs. (CCR 1715.6)

☐ ☐ ☐ 16.4. The owner must notify the DEA, on a DEA form 106, any theft or significant loss of controlled substances upon discovery. (CFR 1301.74[c])

Yes No N/A

☐ ☐ ☐ 16.5. Do your employees know about their obligation to report any known diversion or loss of controlled substances to a responsible person within your business? (CFR 1301.91)

☐ ☐ ☐ 16.6. The owner must notify the board within 30 days of any change in the beneficial ownership of this business. (BPC 4201[j], CCR 1709[b])

- ☐ 16.6.1. identify any transfer, in a single transaction or in a serious of transaction, of 10 percent or more of the beneficial interest in a business entity licensed by the board to a person or entity who did not hold a beneficial interest at the time of the original license was issued
- ☐ 16.6.2. identify any transfer of the management or control over a business entity licensed by the board to a person or entity who did not have management or control over the license at the time the original license was issued
- ☐ 16.6.3. identify any new ownership and their application to the board of licensure in advance of the proposed transaction taking place

Yes No N/A

☐ ☐ ☐ 16.7. When called upon by the board, your business can report all sales of dangerous drugs or controlled substances subject to abuse. (BPC 4164[a])

☐ ☐ ☐ 16.8. The wholesaler maintains a tracking system for individual sales of dangerous drugs at preferential or contract prices to pharmacies that primarily or solely dispense prescription drugs to patients of long-term care facilities. Your system must:

- ☐ 16.8.1. identify pharmacies that primarily or solely dispense prescription drugs to patients of long-term care facilities
- ☐ 16.8.2. identify purchases of any dangerous drugs at preferential or contract prices
- ☐ 16.8.3. identify current purchases that exceed prior purchases by 20 percent over the previous 12 calendar months. (BPC 4164[b])

☐ ☐ ☐ 16.9. I understand that this license is not transferable to a new owner. A change of ownership must be reported to this board, as soon as the parties have agreed to the sale. Before the ownership actually changes, an additional application for a temporary permit must be submitted to the board if the new owner wants to conduct business while the board is processing the change of ownership application and until the new permanent permit is issued. A company cannot transfer the ownership of the business via a contract with another individual or business, without the board's approval (BPC 4201[g])

☐ ☐ ☐ 16.10. The owner of this business must immediately notify the board in writing if any assignment is made for the benefit of creditors, if the business enters into any credit compromise arrangement, files a petition in bankruptcy, has a receiver

appointed, or enters into liquidation or any other arrangement that might result in the sale or transfer of drugs. (CCR 1705)

☐ ☐ ☐ 16.11. If this business requires a temporary closure, the owner must notify the board of any temporary closure of a facility as soon as any closure exceeds three consecutive calendar days. (CCR 1708.1)

☐ ☐ ☐ 16.12. If this business is discontinued, the owner must notify the board in writing before the actual discontinuation of business. (CCR 1708.2). If the business holds a DEA registration, the owner must notify the DEA promptly of the discontinuation of business and all unused DEA 222 order forms must be returned to the DEA. (CFR 1301.52[a], 1305.14)

☐ ☐ ☐ 16.13. Upon discovery, the business notifies the board in writing of any suspicious orders of controlled substances placed by a California-licensed pharmacy or wholesaler as required by BPC 4169.1.

CORRECTIVE ACTION OR ACTION PLAN _____

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17. Additional Licenses/Permits Required

17.1. List all licenses and permits required to conduct this business, including local business licenses, licenses held in other states, permits or licenses required by foreign countries or other entities (BPC 4059.5[e], 4107, CFR 1305.11[a]) Use additional sheets if necessary.

_____

_____

DESIGNATED REPRESENTATIVE-IN-CHARGE / RESPONSIBLE MANAGER CERTIFICATION:

I, (please print) _____, hereby certify that I have completed the self-assessment of this licensed premises of which I am the designated representative-in-charge (DRIC) / responsible manager (RM). Any deficiency identified herein will be corrected by _____(Date). I understand that all responses are subject to verification by the Board of Pharmacy. I further state under penalty of perjury that the information contained in this self-assessment form is true and correct.

Signature _____ Date _____
Designated Representative-in-Charge (DRIC) / Responsible Manager (RM)

ACKNOWLEDGEMENT BY OWNER, PARTNER OR CORPORATE OFFICER:

I, (please print) _____, hereby certify under penalty of perjury of the laws of the State of California that I have read and reviewed this completed self-assessment. I understand that failure to correct any deficiency identified in this self-assessment could result in the revocation of the premises license issued by the California State Board of Pharmacy.

Signature _____ Date _____

Legal References

The following Legal References are used in the self-assessment form. Many of these references can be viewed on the Board of Pharmacy Web site at www.pharmacy.ca.gov, at the California State Law Library, or at other libraries or Internet websites:

Business and Professions Code (BPC), Division 2, Chapter 1 – General Provisions

BPC, Division 2, Chapter 9 – Pharmacy

California Code of Regulations (CCR), Title 16, Division 17 – California State Board of Pharmacy

Code of Federal Regulations (CFR), Title 21, Chapter 2 – Drug Enforcement Administration, Department of Justice

Health and Safety Code (HSC), Division 10 – Uniform Controlled Substances Act

HSC, Division 104, Part 5 (Sherman Food, Drug, and Cosmetics Law, Chapter 6 – Drugs and Devices

HSC, Division 116 – Surplus Medication Collection and Distribution

USC, Title 21, Chapter 9, Subchapter V, Part H – Pharmaceutical Distribution Supply Chain (Drug Supply Chain Security Act)