CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION
DRUG CONTROL DIVISION

Controlled Substance Practitioner Mobile Inspection Form

The State of Connecticut Drug Control Division is utilizing all-inclusive mobile inspection forms that encompass multiple inspection types and business models. Inspection sections and/or inspection fields may intentionally remain blank when such sections and/or fields do not apply to the inspection type and/or business model for which the mobile inspection forms are being utilized. Please contact the Drug Control Agent who conducted your inspection if you feel an inspection section and/or inspection field was inadvertently left blank.

Controlled Substance Practitioner Compliance Inspection Form

	Prescribing Practitioner Informational Questions	Yes	No	Advised
1	Does the prescribing practitioner utilize electronic medical/health records (EMR/EHR)?			
2	Is the prescribing practitioner involved in any clinical trials?			
	How does the prescribing practitioner maintain records for clinical trial patients?			
3	Does the prescribing practitioner accept the return of patient medications?			
4	Does the prescribing practitioner PRESCRIBE drugs?			
	Non-controlled drugs			
	Controlled drugs			

5	Does the prescribing practitioner ADMINISTER drugs?			
	Non-controlled drugs			
	Controlled drugs			
6	Does the prescribing practitioner DISPENSE drugs?			
	Non-controlled professional samples			
	Controlled professional samples			
	Non-controlled drugs			
	Insulin drugs, glucagon drugs, diabetes devices, and diabetic ketoacidosis devices			
	Controlled drugs			
7	Did the prescribing practitioner indicate to the Department of Consumer Protection that controlled substances are being dispensed from such practitioner's practice or other locations?			
8	Did the prescribing practitioner indicate to the Department of Consumer Protection that controlled substances will be dispensed from such practitioner's practice or other locations?			
9	Which controlled drug schedules does the prescribing practitioner prescribe, administer, and/or dispense?			
	Schedule II			
	Schedule III			
	Schedule IV			
	Schedule V			
	Electronic Medical/Health Records	**Yes**	**No**	**Advised**
1	Did the prescribing practitioner maintain paper medical/health records prior to utilizing electronic medical/health records?			

2	When did the prescribing practitioner transition from paper medical/health records to electronic medical/health records?			
3	Did the prescribing practitioner retain any of the paper medical/health records maintained prior to utilizing electronic medical/health records?			
4	Where does the prescribing practitioner store the paper medical/health records maintained prior to utilizing electronic medical/health records?			
5	Which software system does the prescribing practitioner utilize for electronic medical/health records?			
6	What are the capabilities of the software system utilized by the prescribing practitioner for electronic medical/health records?			
	Management of appointment schedules and tracking			
	Management of care and treatment plans			
	Management of clinical data documentation			
	Management of diagnoses and diagnosis codes			
	Management of laboratory and test results			
	Management of patient histories			
7	Is the software system utilized by the prescribing practitioner for electronic medical/health records approved by Centers for Medicare & Medicaid Services (CMS)?			
8	Does the software system utilized by the prescribing practitioner for electronic medical/health records GUARANTEE the CONFIDENTIALITY of the information contained within such software system?			

9	Is the software system utilized by the prescribing practitioner for electronic medical/health records capable of PROVIDING SAFEGUARDS against erasures and/or unauthorized changes of information contained within such software system?			
10	Is the software system utilized by the prescribing practitioner for electronic medical/health records capable of BEING RECONSTRUCTED in the event of a malfunction or accident resulting in the destruction of information contained within such software system?			
11	Does the prescribing practitioner backup the software system utilized for electronic medical/health records?			
12	How often does the prescribing practitioner backup the software system utilized for electronic medical/health records?			
13	Does the prescribing practitioner securely store the backup of the software system utilized for electronic medical/health records?			
14	Where does the prescribing practitioner store the backup of the software system utilized for electronic medical/health records?			
15	Is the software system utilized by the prescribing practitioner for electronic medical/health records capable of providing a copy of a patient's records upon request?			
16	Is the software system utilized by the prescribing practitioner for electronic medical/health records capable of providing a copy of a patient's medication list upon request?			

17	Does the software system utilized by the prescribing practitioner for electronic medical/health records have a prescription writer?			
18	Does the software system utilized by the prescribing practitioner for electronic medical/health records have a separate prescription writer?			
19	Does the prescription writer electronically transmit non-controlled drug prescriptions to pharmacies?			
20	Does the prescription writer electronically transmit controlled drug prescriptions to pharmacies?			

	Return of Patient Medications	Yes	No	Advised
1	Does the prescribing practitioner have any patient medications accepted for return on such practitioner's premises?			
2	Did the prescribing practitioner surrender the patient medications accepted for return to the Drug Control Division for proper destruction or retention as evidence?			
3	Did the Drug Control Division provide the prescribing practitioner with documentation for the surrender of the patient medications accepted for return by such practitioner?			

	Practitioner Prescribing Prescription Blanks	Yes	No	Advised
1	Does the prescribing practitioner keep prescription blanks on the premises or on such practitioner's person?			

2	Are the prescribing practitioner's prescription blanks securely stored and safeguarded? [Section 21a-322(3)]			
3	Is access to the prescribing practitioner's prescription blanks strictly limited and controlled? [Section 21a-322(3)]			
4	Does the prescribing practitioner keep pre-signed prescription blanks? [Section 21a-322(3)]			
5	Does the prescribing practitioner use pre-signed prescription blanks? [Section 21a-322(3)]			
	Written Controlled Drug Prescriptions	**Yes**	**No**	**Advised**
6	Are written prescriptions for controlled drugs written with ink or indelible pencil, typewriter, or printed on a computer printer? [CFR 1306.05(d)]			
7	Are any prescriptions for controlled drugs printed or rubber-stamped? [Section 21a-249(d)]			
8	Are any prescriptions for controlled drugs duplicate, carbon, or photographic copies? [Section 21a-249(d)]			
9	Are any prescriptions for controlled drugs issued by the prescribing practitioner to an inanimate object or thing? [Section 21a-249(a)]			
10	Are there any pre-signed or pre-written prescriptions for controlled drugs? [CFR 1306.05(a)]			

11	Do prescription blanks containing a prescription for a Schedule II controlled drug contain more than one prescription? [Section 21a-249(a)]			
	Electronic Controlled Drug Prescriptions	**Yes**	**No**	**Advised**
1	Is the prescribing practitioner capable of electronically transmitting controlled drug prescriptions?			
2	Does the prescribing practitioner electronically transmit ALL controlled drug prescriptions to pharmacies?			
3	Does the prescribing practitioner electronically transmit ANY controlled drug prescriptions to pharmacies?			
4	Does the prescribing practitioner promptly print out in hardcopy or create an electronic record of the electronically transmitted controlled drug prescription? [Section 21a-249(b)]			
	Promptly printed out in hardcopy			
	Created as an electronic record			
5	Does the prescribing practitioner file the promptly printed out hardcopy of the electronically transmitted controlled drug prescription? [Section 21a-249(b)]			
6	Does the prescribing practitioner file the electronic record created of the electronically transmitted controlled drug prescription? [Section 21a-249(b)]			
7	Does the prescribing practitioner keep all records on file for three years at the premises of such practitioner? [Section 21a-249(b)]			

8	Does the prescribing practitioner maintain records in such form as to be readily available for inspection? [Section 21a-249(b)]			
9	Why did the prescribing practitioner fail to electronically transmit all controlled drug prescriptions to pharmacies?			
	Electronic transmission was not available due to a temporary technological or electrical failure [Section 21a-249(c)(1)]			
	The practitioner reasonable determined that it was impractical for the patient to obtain drugs prescribed by an electronically transmitted prescription in a timely manner and that such delay would have adversely impacted the patient's medical condition [Section 21a-249(c)(2)]			
	The prescription was to be dispensed by a pharmacy located outside of Connecticut [Section 21a-249(c)(3)]			
	Use of an electronically transmitted prescription may have negatively impacted patient care [Section 21a-249(c)(4)]			
	The practitioner demonstrated, in a form and manner prescribed by the Commission of Consumer Protection, that such practitioner does not have the technological capacity to issue electronically transmitted prescriptions [Section 21a-249(c)(5)]			
	Other [Section 21a-249(b)]			

10	Did the prescribing practitioner document the reason for such practitioner's failure to electronically transmit controlled drug prescriptions in patient medical records as soon as practicable, but in no instance more than seventy-two hours following the end of the temporary technological or electrical failure that prevented the electronic transmittal of the controlled drug prescriptions? [Section 21a-249(c)(1)]			
11	Did the prescribing practitioner prescribe patients a quantity of controlled drugs that exceeded a five-day supply? [Section 21a-249(c)(2)]			
12	Did the prescribing practitioner document the reason for such practitioner's failure to electronically transmit the prescription in the patient's medical record? [Section 21a-249(c)(3)]			
13	For what reason may have the use of an electronically transmitted prescription negatively impacted patient care?			
	The prescription contained two or more products to be compounded by a pharmacist. [Section 21a-249(c)(4)]			
	The prescription was for direct administration to a patient by parenteral, intravenous, intramuscular, subcutaneous, or intraspinal infusion. [Section 21a-249(c)(4)]			
	The prescription contained long or complicated directions. [Section 21a-249(c)(4)]			
	The prescription required certain elements to be included by the federal Food and Drug Administration. [Section 21a-249(c)(4)]			
	An oral prescription was communicated to a pharmacist by a health care practitioner for a patient in a chronic or convalescent nursing home, licensed pursuant to Chapter 368v. [Section 21a-249(c)(4)]			

13 cont'd	Other [Section 21a-249(c)(4)]			
14	Did the prescribing practitioner properly complete and submit the Department of Consumer Protection's electronic prescribing waiver questionnaire? [Section 21a-249(c)(5)]			
	Self & Family: Self Use	**Yes**	**No**	**Advised**
1	Has the prescribing practitioner prescribed, dispensed, or administered any controlled drug in Schedules II to IV, inclusive, for self use in a non-emergency? [Section 21a-252(k)]			
2	Has the prescribing practitioner prescribed, dispensed, or administered any controlled drug in Schedules II to IV, inclusive, for self use in an emergency? [Section 21a-252(k)]			
3	Was another qualified prescribing practitioner available to prescribe, dispense, or administer any controlled drug in Schedules II to IV, inclusive, to the prescribing practitioner during the emergency? [Section 21a-252(k)]			
4	Did the prescribing practitioner prescribe, dispense, or administer more than a seventy-two-hour supply of any controlled drug in Schedules II to IV, inclusive, for self use during the emergency? [Section 21a-252(k)]			
	Self & Family: Immediate Family Members	**Yes**	**No**	**Advised**
5	Has the prescribing practitioner prescribed, dispensed, or administered any controlled drug in Schedules II to IV, inclusive, to an immediate family member in a non-emergency? [Section 21a-252(j)(1)]			
6	Has the prescribing practitioner prescribed, dispensed, or administered any controlled drug in Schedules II to IV, inclusive, to an immediate family member in an emergency?			

7	Was another qualified prescribing practitioner available to prescribe, dispense, or administer any controlled drug in Schedules II to IV, inclusive, to the prescribing practitioner's immediate family member during the emergency? [Section 21a-252(j)(1)]			
8	Did the prescribing practitioner prescribe, dispense, or administer more than a seventy-two-hour supply of any controlled drug in Schedules II to IV, inclusive, to an immediate family member during the emergency? [Section 21a-252(j)(1)]			
9	Did the prescribing practitioner perform an assessment for the care and treatment of the immediate family member during the emergency for which such practitioner prescribed, dispensed, or administered any controlled drug in Schedule II to IV, inclusive, to such immediate family member? [Section 21a-252(j)(2)]			
10	Did the prescribing practitioner document the assessment of the immediate family member in the normal course of such practitioner's business? [Section 21a-252(j)(2)]			
11	Did the prescribing practitioner medically evaluate the immediate family member's need for any controlled drug in Schedules II to IV, inclusive? [Section 21a-252(j)(2)]			
12	Did the prescribing practitioner document the immediate family member's need for any controlled drug in Schedules II to IV, inclusive, in the normal course of such practitioner's business? [Section 21a-252(j)(2)]			
13	Did the prescribing practitioner document the emergency that gave rise the prescribing, dispensing, or administering of any controlled drug in Schedules II to IV, inclusive, to an immediate family member? [Section 21a-252(j)(2)]			

	Multiple Prescribing Practitioners	Yes	No	Advised
1	Does the prescribing practitioner collaborate with other prescribing practitioners when such practitioners all prescribe medication for a common patient?			
2	Does the prescribing practitioner maintain documentation of the collaboration with other practitioners when such practitioners all prescribe medication for a common patient?			

	Practitioner Dispensing, Packaging, and Labeling			
	Dispensing	**Yes**	**No**	**Advised**
1	Did the prescribing practitioner notify the Commissioner of Consumer Protection of being engaged in the dispensing of drugs that are not professional samples? [Section 20-14f]			
	Non-controlled drugs			
	Controlled drugs			
2	Has the prescribing practitioner informed the Commissioner of Consumer Protection biennially, upon the date of renewal of the controlled drug registration, of such practitioner's intent to continue to dispense drugs that are not professional samples to such practitioner's patients? [Section 20-14f]			
3	Does the prescribing practitioner PERSONALLY DISPENSE drugs and professional samples? [Section 20-14e(a)]			
4	Does the prescribing practitioner PERSONALLY DISPENSE drugs? [Section 20-14e(a)]			
5	Does the prescribing practitioner PERSONALLY DISPENSE professional samples? [Section 20-14e(a)]			

6	Does the prescribing practitioner DELEGATE the dispensing of drugs and professional samples? [Section 20-14e(a)]			
7	Does the prescribing practitioner DELEGATE the dispensing of drugs? [Section 20-14e(a)]			
8	Does the prescribing practitioner DELEGATE the dispensing of professional samples? [Section 20-14e(a)]			
9	Do patient medical records include a complete record of any drug or professional sample dispensed by the prescribing practitioner? [Section 20-14e(b)]			
10	Do patient medical records include a complete record of any drug dispensed by the prescribing practitioner? [Section 20-14e(b)]			
11	Do patient medical records include a complete record of any professional sample dispensed by the prescribing practitioner? [Section 20-14e(b)]			
	Packaging	**Yes**	**No**	**Advised**
12	Does the prescribing practitioner package drugs in containers approved by the federal Consumer Product Safety Commission, unless requested otherwise by the patient? [Section 20-14e(c)]			
	Labeling	**Yes**	**No**	**Advised**
13	Does the prescribing practitioner label the container in which drugs are packaged with the FULL NAME OF THE PATIENT? [Section 20-14e(c)(1)]			

14	Does the prescribing practitioner label the container in which drugs are packaged with the PRESCRIBING PRACTITIONER'S FULL NAME? [Section 20-14e(c)(2)]			
15	Does the prescribing practitioner label the container in which drugs are packaged with the PRESCRIBING PRACTITIONER'S ADDRESS? [Section 20-14e(c)(2)]			
16	Does the prescribing practitioner label the container in which drugs are packaged with the DATE OF DISPENSING? [Section 20-14e(c)(3)]			
17	Does the prescribing practitioner label the container in which drugs are packaged with the INSTRUCTIONS FOR USE? [Section 20-14e(c)(4)]			
18	Does the prescribing practitioner label the container in which drugs are packaged with ANY CAUTIONARY STATEMENTS AS MAY BE REQUIRED BY LAW? [Section 20-14e(c)(5)]			
19	Does the label on the PROFESSIONAL SAMPLE UNIT bear an identifying lot or control number that permits tracking of the distribution of each professional sample unit? [CFR 203.38(a)]			
20	Does the label on the OUTSIDE CONTAINER of the packaging of the professional sample unit bear an identifying lot or control number that permits tracking of the distribution of each professional sample unit? [CFR 203.38(a)]			
21	Does each professional sample unit bear a label that clearly denotes its status as a professional sample? [CFR 203.38(c)]			

Connecticut Prescription Monitoring and Reporting System (CPMRS)				
Registration		Yes	No	Advised
1	Is the prescribing practitioner registered with the electronic prescription drug monitoring program? [Section 21a-317]			
2	Has the prescribing practitioner designated any authorized agents to review the electronic prescription drug monitoring program on such practitioner's behalf?			
3	Have any individuals reviewed the electronic prescription drug monitoring program on the prescribing practitioner's behalf WITHOUT BEING DESIGNATED as an authorized agent of such practitioner? [Section 21a-254(j)(10)(A)]			
4	Does the prescribing practitioner ensure that access to the electronic prescription drug monitoring program and patient controlled drug prescription information by such practitioner's authorized agents is LIMITED TO THE PURPOSES DESCRIBED IN SECTION 21a-254? [Section 21a-254(j)(10)(A)]			
5	Does the prescribing practitioner ensure that access to the electronic prescription drug monitoring program and patient controlled drug prescription information by such practitioner's authorized agents OCCURS IN A MANNER THAT PROTECTS THE CONFIDENTIALITY OF INFORMATION that is accessed through the electronic prescription drug monitoring program? [Section 21a-254(j)(10)(A)]			
6	Does the prescribing practitioner or such practitioner's authorized agent review a patient's records in the electronic prescription drug monitoring program PRIOR TO PRESCRIBING GREATER THAN A SEVENTY-TWO-HOUR SUPPLY of any controlled drug to any patient? [Section 21a-254(j)(9)]			

7	Does the prescribing practitioner or such practitioner's authorized agent review a patient's records in the electronic prescription drug monitoring program NOT LESS THAN ONCE EVERY NINETY DAYS when such practitioner prescribes a controlled drug other than a Schedule V non-narcotic controlled drug for the CONTINUOUS OR PROLONGED TREATMENT of any patient? [Section 21a-254(j)(9)]			
8	Does the prescribing practitioner prescribe Schedule V non-narcotic controlled drugs for the CONTINUOUS OR PROLONGED TREATMENT of any patient?			
9	Does the prescribing practitioner or such practitioner's authorized agent review a patient's records in the electronic prescription drug monitoring program NOT LESS THAN ANNUALLY when such practitioner prescribes Schedule V NON-NARCOTIC controlled drugs for the CONTINUOUS OR PROLONGED TREATMENT of any patient? [Section 21a-254(j)(9)]			
	Dispensing: All Prescribing Practitioners	**Yes**	**No**	**Advised**
10	Did the prescribing practitioner acknowledge such practitioner's responsibility to report by electronic means to the Commissioner of Consumer Protection all required information for all controlled drug prescriptions dispensed by such practitioner?			
	Dispensing: Veterinarians	**Yes**	**No**	**Advised**
11	Is the prescribing practitioner a veterinarian?			
12	Does the veterinarian report AT LEAST WEEKLY to the Commissioner of Consumer Protection by electronic means or in a format approved by the Commissioner of Consumer Protection all required information for all controlled drug prescriptions dispensed by such veterinarian? [Section 21a-254(j)(4)(C)]			

	Dispensing: Prescribing Practitioners Who Are Not Veterinarians	Yes	No	Advised
13	Does the prescribing practitioner report by electronic means to the Commissioner of Consumer Protection all required information for all controlled drug prescriptions dispensed by such practitioner IMMEDIATELY UPON, BUT IN NO EVENT LATER THAN THE NEXT BUSINESS DAY AFTER, dispensing such prescriptions? [Section 21a-254(j)(4)(a)]			
14	Does the prescribing practitioner report AT LEAST DAILY to the Commissioner of Consumer Protection by electronic means or in a format approved by the Commissioner of Consumer Protection all required information for all insulin drugs, glucagon drugs, diabetes devices, and diabetic ketoacidosis devices dispensed by such practitioner? [Section 21a-254(j)(16)]			

Drug Stock Procurement				
	Wholesaler(s)	Yes	No	Advised
1	Who is the prescribing practitioner's primary wholesaler?			
2 & 3	Does the prescribing practitioner have a secondary wholesaler?			
	Who is the prescribing practitioner's secondary wholesaler?			
4 & 5	Does the prescribing practitioner have a tertiary wholesaler?			
	Who is the prescribing practitioner's tertiary wholesaler?			

	Schedule II Controlled Drug Stock	Yes	No	Advised
	PLEASE SELECT THE MANNER IN WHICH THE PRESCRIBING PRACTITIONER PROCURES SCHEDULE II CONTROLLED DRUG STOCK			
	DEA 222 Forms [CFR Part 1305 Subpart B-DEA Form 222]			
	Controlled Substance Ordering System (CSOS) [CFR Part 1305 Subpart C-Electronic Orders and CFR Part 1311 Subpart B-Obtaining and Using Digital Certificates for Electronic Orders]			
	A combination of DEA 222 Forms and CSOS			

	Professional Samples	Yes	No	Advised
	PLEASE SELECT THE MANNER IN WHICH THE PRESCRIBING PRACTITIONER PROCURES PROFESSIONAL SAMPLES			
	By mail or common carrier			
	By means other than mail or common carrier (i.e. direct delivery by a representative or detailer)			

Professional Samples

	Policies and Procedures	Yes	No	Advised
1	Does the prescribing practitioner have detailed policies and procedures for accepting professional samples?			
2	Does the prescribing practitioner have detailed policies and procedures for the storage, handling, removal, and distribution of professional samples?			
3	Does the prescribing practitioner have detailed policies and procedures for accessing professional samples?			
4	Does the prescribing practitioner have detailed policies and procedures for organizing professional samples?			
5	Does the prescribing practitioner have detailed policies and procedures for the dispensing of professional samples?			

	Records of Request	Yes	No	Advised
	Does the prescribing practitioner execute and submit a written request to the manufacturer or authorized distributor of record before delivery of professional samples? [CFR 203.30(a)(1)]			
6	Does the prescribing practitioner provide a written request signed by such practitioner to the manufacturer or authorized distributor of record before delivery of professional samples? [CFR 203.31(a)(1)]			
7	Does the prescribing practitioner provide a separate written request to the manufacturer or authorized distributor of record FOR EACH professional sample or group of professional samples requested? [CFR 203.35]			
8	Does the prescribing practitioner's written request for professional samples contain the NAME OF THE PRACTITIONER making such request? [CFR 203.30(b)(1)(i)]			
	Does the prescribing practitioner's written request for professional samples contain the NAME OF THE PRACTITIONER making such request? [CFR 203.31(b)(1)(i)]			
9	Does the prescribing practitioner's written request for professional samples contain the ADDRESS OF THE PRACTITIONER making such request? [CFR 203.30(b)(1)(i)]			
	Does the prescribing practitioner's written request for professional samples contain the ADDRESS OF THE PRACTITIONER making such request? [CFR 203.31(b)(1)(i)]			

10	Does the prescribing practitioner's written request for professional samples contain the PROFESSIONAL TITLE OF THE PRACTITIONER making such request? [CFR 203.30(b)(1)(i)]			
	Does the prescribing practitioner's written request for professional samples contain the PROFESSIONAL TITLE OF THE PRACTITIONER making such request? [CFR 203.31(b)(1)(i)]			
11	Does the prescribing practitioner's written request for professional samples contain the SIGNATURE OF THE PRACTITIONER making such request? [CFR 203.30(b)(1)(i)]			
	Does the prescribing practitioner's written request for professional samples contain the SIGNATURE OF THE PRACTITIONER making such request? [CFR 203.31(b)(1)(i)]			
12	Does the prescribing practitioner's written request for professional samples contain the PRACTITIONER'S STATE LICENSE or authorization NUMBER? [CFR 203.30(b)(1)(ii)]			
	Does the prescribing practitioner's written request for professional samples contain the PRACTITIONER'S STATE LICENSE or authorization NUMBER? [CFR 203.31(b)(1)(ii)]			
13	Does the prescribing practitioner's written request for professional samples contain the PRACTITIONER'S DEA NUMBER? [CFR 203.30(b)(1)(ii)]			
	Does the prescribing practitioner's written request for professional samples contain the PRACTITIONER'S DEA NUMBER? [CFR 203.31(b)(1)(ii)]			

14	Does the prescribing practitioner's written request for professional samples contain the PROPRIETARY OR ESTABLISHED NAME of the professional sample requested? [CFR 203.30(b)(1)(iii)]			
	Does the prescribing practitioner's written request for professional samples contain the PROPRIETARY OR ESTABLISHED NAME of the professional sample requested? [CFR 203.31(b)(1)(iii)]			
15	Does the prescribing practitioner's written request for professional samples contain the STRENGTH of the professional sample requested? [CFR 203.30(b)(1)(iii)]			
	Does the prescribing practitioner's written request for professional samples contain the STRENGTH of the professional sample requested? [CFR 203.31(b)(1)(iii)]			
16	Does the prescribing practitioner's written request for professional samples contain the QUANTITY of the professional sample requested? [CFR 203.30(b)(1)(iv)]			
	Does the prescribing practitioner's written request for professional samples contain the QUANTITY of the professional sample requested? [CFR 203.31(b)(1)(iv)]			
17	Does the prescribing practitioner's written request for professional samples contain the NAME OF THE MANUFACTURER OR AUTHORIZED DISTRIBUTOR OF RECORD, if the professional sample is requested from an authorized distributor of record? [CFR 203.30(b)(1)(v)]			
	Does the prescribing practitioner's written request for professional samples contain the NAME OF THE MANUFACTURER OR AUTHORIZED DISTRIBUTOR OF RECORD, if the professional sample is requested from an authorized distributor of record? [CFR 203.31(b)(1)(v)]			

18	Does the prescribing practitioner's written request for professional samples contain the DATE OF THE REQUEST? [CFR 203.30(b)(1)(vi)]			
	Does the prescribing practitioner's written request for professional samples contain the DATE OF THE REQUEST? [CFR 203.31(b)(1)(vi)]			
	Records of Receipt	**Yes**	**No**	**Advised**
19	Does the prescribing practitioner execute a written receipt when professional samples are delivered? [CFR 203.30(a)(3)]			
	Does the prescribing practitioner sign a receipt when the professional samples are delivered? [CFR 203.31(a)(3)]			
20	Does the prescribing practitioner return the receipt to the manufacturer or authorized distributor of record from which the professional samples are received? [CFR 203.30(a)(4)]			
	Does the prescribing practitioner return the receipt to the manufacturer or authorized distributor of record from which the professional samples are received? [CFR 203.31(a)(4)]			
21	Is the receipt on a form designated by the manufacturer or authorized distributor? [CFR 203.30(c)]			
	Is the receipt on a form designated by the manufacturer or authorized distributor? [CFR 203.31(c)]			

22	Does the written receipt contain the NAME OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.30(c)(1)]			
	Does the receipt contain the NAME OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.31(c)(1)]			
23	Does the written receipt contain the ADDRESS OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.30(c)(1)]			
	Does the receipt contain the ADDRESS OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.31(c)(1)]			
24	Does the written receipt contain the PROFESSIONAL TITLE OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.30(c)(1)]			
	Does the receipt contain the PROFESSIONAL TITLE OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.31(c)(1)]			
25	Does the written receipt contain the SIGNATURE OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.30(c)(1)]			
	Does the receipt contain the SIGNATURE OF THE PRESCRIBING PRACTITIONER or the prescribing practitioner's designee who acknowledges delivery of the professional samples? [CFR 203.31(c)(1)]			

26	Does the written receipt contain the PROPRIETARY OR ESTABLISHED NAME of the professional samples delivered? [CFR 203.30(c)(1)]			
	Does the receipt contain the PROPRIETARY OR ESTABLISHED NAME of the professional samples delivered? [CFR 203.31(c)(1)]			
27	Does the written receipt contain the STRENGTH of the professional samples delivered? [CFR 203.30(c)(1)]			
	Does the receipt contain the STRENGTH of the professional samples delivered? [CFR 203.31(c)(1)]			
28	Does the written receipt contain the QUANTITY of the professional samples delivered? [CFR 203.30(c)(1)]			
	Does the receipt contain the QUANTITY of the professional samples delivered? [CFR 203.31(c)(1)]			
29	Does the written receipt contain the DATE OF DELIVERY of the professional samples delivered? [CFR 203.30(c)(1)]			
	Does the receipt contain the DATE OF DELIVERY of the professional samples delivered? [CFR 203.31(c)(1)]			
	Drug Stock Storage			
	Adulterated Drug Stock	**Yes**	**No**	**Advised**
1	Is any of the prescribing practitioner's drug stock, including professional samples, ADULTERATED (i.e. recalled, deteriorated, and/or expired)? [Section 21a-105]			

1 cont'd	Is any of the prescribing practitioner's drug stock ADULTERATED (i.e. recalled, deteriorated, and/or expired)? [Section 21a-105]			
	Are any of the prescribing practitioner's professional samples ADULTERATED (i.e. recalled, deteriorated, and/or expired)? [Section 21a-105]			
2	Is the ADULTERATED (i.e. recalled, deteriorated, and/or expired) drug stock, including professional samples, held in a location where the ADULTERATED drug stock, including professional samples, cannot be accidentally used? [Section 21a-105]			
	Is the ADULTERATED (i.e. recalled, deteriorated, and/or expired) drug stock held in a location where the ADULTERATED drug stock cannot be accidentally used? [Section 21a-105]			
	Are the ADULTERATED (i.e. recalled, deteriorated, and/or expired) professional samples held in a location where the ADULTERATED professional samples cannot be accidentally used? [Section 21a-105]			
	Misbranded Drug Stock	**Yes**	**No**	**Advised**
3	Is any of the prescribing practitioner's drug stock, including professional samples, MISBRANDED (i.e. labeling issues)? [Section 21a-106]			
	Is any of the prescribing practitioner's drug stock MISBRANDED (i.e. labeling issues)? [Section 21a-106]			
	Are any of the prescribing practitioner's professional samples MISBRANDED (i.e. labeling issues)? [Section 21a-106]			

4	Is the MISBRANDED (i.e. labeling issues) drug stock, including professional samples, held in a location where the MISBRANDED drug stock, including professional samples, cannot be accidentally used? [Section 21a-106]			
	Is the MISBRANDED (i.e. labeling issues) drug stock held in a location where the MISBRANDED drug stock cannot be accidentally used? [Section 21a-106]			
	Are the MISBRANDED (i.e. labeling issues) professional samples held in a location where the MISBRANDED professional samples cannot be accidentally used? [Section 21a-106]			
	Storage	**Yes**	**No**	**Advised**
5	Are the prescribing practitioner's drugs, including professional samples, stored, kept, or held under conditions contrary to the cautionary label statements on the package or contrary to the recommendations as stated within the official compendium? [Section 21a-105(a)(5)]			
	Are the prescribing practitioner's drugs stored, kept, or held under conditions contrary to the cautionary label statements on the package or contrary to the recommendations as stated within the official compendium? [Section 21a-105(a)(5)]			
	Are the prescribing practitioner's professional samples stored, kept, or held under conditions contrary to the cautionary label statements on the package or contrary to the recommendations as stated within the official compendium? [Section 21a-105(a)(5)]			

	Are all storage areas in which the prescribing practitioner's drugs, including professional samples, are stored properly maintained to insure the integrity of the drugs, including professional samples, stored within? [Section 21a-105]			
	Are all storage areas in which the prescribing practitioner's drugs are stored properly maintained to insure the integrity of the drugs stored within? [Section 21a-105]			
6				
	Are all storage areas in which the prescribing practitioner's professional samples are stored properly maintained to insure the integrity of the professional samples stored within? [Section 21a-105]			
	Do any of the prescribing practitioner's drugs, including professional samples, require storage in a refrigerator?			
	Do any of the prescribing practitioner's drugs require storage in a refrigerator?			
7				
	Do any of the prescribing practitioner's professional samples require storage in a refrigerator?			
	Does the prescribing practitioner monitor refrigerator temperatures?			
8				
	Does the prescribing practitioner maintain a log of refrigerator temperatures?			
9				

10	Do any of the prescribing practitioner's drugs, including professional samples, require storage in a freezer?			
	Do any of the prescribing practitioner's drugs require storage in a freezer?			
	Do any of the prescribing practitioner's professional samples require storage in a freezer?			
11	Does the prescribing practitioner monitor freezer temperatures?			
12	Does the prescribing practitioner maintain a log of freezer temperatures?			
	Controlled Drug Storage			
	Schedule II and/or Schedule III Controlled Drug Stock	**Yes**	**No**	**Advised**
1	Does the prescribing practitioner's Schedule II and Schedule III controlled drug stock total No. 15 controlled drug units or less?			
2	Is the prescribing practitioner a veterinarian?			
3	Does the veterinarian's Schedule II or Schedule III controlled drug stock consist of the barbiturate-type used solely for animal anesthesia or animal euthenasia?			
4	Does the veterinarian's Schedule II or Schedule III controlled drug stock consisting of the barbiturate-type used solely for animal anesthesia or animal euthenasia total No. 40 controlled drug units or less?			

5	Does the prescribing practitioner store Schedule II and/or Schedule III controlled drug stock in a locked, substantially constructed steel or wood cabinet? [Section 21a-262-6(a)]			
6	Is the locked, substantially constructed steel or wood cabinet for the storage of Schedule II and/or Schedule III controlled drug stock in a securely safeguarded location? [Section 21a-262-6(a)]			
7	Does the prescribing practitioner store Schedule II and/or Schedule III controlled drug stock in an approved safe? [Section 21a-262-6(a)]			
8	Does the prescribing practitioner store Schedule II and/or Schedule III controlled drug stock in a securely safeguarded location? [Section 21a-262-6(a)]			
	Schedule IV and/or Schedule V Controlled Drug Stock	**Yes**	**No**	**Advised**
9	Does the prescribing practitioner store Schedule IV and/or Schedule V controlled drug stock in a locked, substantially constructed steel or wood cabinet? [Section 21a-262-6(b)]			
10	Does the prescribing practitioner store Schedule II and/or Schedule III controlled drug stock in an approved safe? [Section 21a-262-6(a)]			
11	Does the prescribing practitioner store Schedule IV and/or Schedule V controlled drug stock in a securely safeguarded location? [Section 21a-262-6(b)]			
	Schedules II, III, IV,and V Controlled Drug Stock	**Yes**	**No**	**Advised**
12	Is the prescribing practitioner's controlled drug stock left unsecured or unattended in an examining room, treatment room, automobile, or in any other location assessible to nonauthorized persons? [Section 21a-262-6(c)]			

	Controlled Drug Safe	Yes	No	Advised
1	Does the prescribing practitioner's safe for the storage of controlled drug stock have a minimum of a "B" burglary rate? [Section 21a-262-1(f)(1)]			
2	Is the prescribing practitioner's safe for the storage of controlled drug stock equipped with a re-locking device? [Section 21a-262-1(f)(2)]			
3	Does the prescribing practitioner's safe for the storage of controlled drug stock weigh at least 750 pounds or is such safe rendered immobile by being securely anchored to a permanent structure of the building? [Section 21a-262-1(f)(3)]			
4	Does the prescribing practitioner's safe for the storage of controlled drug stock have adequate interior space to store all controlled drugs required to be kept within the safe? [Section 21a-262-1(f)(4)]			
5	Does the prescribing practitioner's safe for the storage of controlled drug stock have any unused anchor holes?			
6	Did the prescribing practitioner secure the unused anchor holes with carriage bolts, concrete anchoring adhesive, cement epoxy, or an equivalent?			

	Controlled Drug Security	Yes	No	Advised
1	Does the prescribing practitioner maintain all stocks of controlled drugs in all schedules in a secure area or location accessible only to specifically authorized personnel? [Section 21a-262-2(b)]			
2	Does the prescribing practitioner store all controlled drugs in such a manner as to prevent theft or diversion of these preparations? [Section 21a-262-2(b)]			

3	Does the prescribing practitioner maintain all equipment used for storage of controlled drugs such as approved vault(s), approved safe(s), caged areas, cabinets, enclosures, etc. securely locked except for the actual time required to remove or replace needed items? [Section 21a-262-2(c)]			
4	Does the prescribing practitioner keep locks in good working order with keys removed therefrom? [Section 21a-262-2(c)]			
5	Does the prescribing practitioner ensure that keys to locks are not left in a location accessible to other than specifically authorized personnel? [Section 21a-262-2(c)]			
6	Does the prescribing practitioner maintain any stock of controlled drugs in excess of the quantity actually required for normal, efficient operation? [Section 21a-262-2(g)]			
	DEA 222 Order Forms	**Yes**	**No**	**Advised**
1	Who is documented as the DEA registrant on the prescribing practitioner's DEA registration certificate?			
2	Did the DEA registrant grant power of attorney to sign DEA 222 order forms? [CFR 1305.05(a)]			
3	Is each power of attorney granted by the DEA registrant available for inspection? [CFR 1305.05(a)]			
4	Did any individual sign DEA 222 order forms who was not granted power of attorney by the DEA registrant to sign such forms? [CFR 1305.05(a)]			
5	Does the prescribing practitioner maintain unexecuted DEA 222 order forms in an organized manner?			

6	Does the prescribing practitioner keep unexecuted DEA 222 order forms securely in a limited access area?			
7	Does the prescribing practitioner have any "pre-signed" unexecuted DEA 222 order forms?			
8	Are the prescribing practitioner's executed DEA 222 order forms readily available for inspection? [Section 21a-261(a)]			
9	Does the prescribing practitioner maintain executed DEA 222 order forms separately apart from other drug records? [Section 21a-254(f)]			
10	Does the prescribing practitioner maintain executed DEA 222 order forms in an organized manner?			
11	Are the prescribing practitioner's DEA 222 order forms properly executed? [CFR 1305.12]			
12	Are the prescribing practitioner's DEA 222 order forms properly filled? [CFR 1305.13]			
13	Does the prescribing practitioner maintain executed DEA 222 order forms for a period of three years from the date of the transaction recorded? [Section 21a-254(f)]			

	Electronic Orders (CSOS)	Yes	No	Advised
1	Who is documented as the DEA registrant on the prescribing practitioner's DEA registration certificate?			

	Did the DEA registrant grant power of attorney to sign CSOS orders? [CFR 1311.45]			
2				
	Does the DEA registrant maintain a record that lists each person granted power of attorney to sign CSOS orders? [CFR 1311.45(b)]			
3				
	Did any individual sign CSOS orders to whom the DEA registrant did not grant power of attorney to sign such orders? [CFR 1311.45]			
4				
	Does the prescribing practitioner properly secure CSOS private key(s)? [CFR 1311.30]			
5				
	Do the prescribing practitioner's CSOS certificate holders maintain a copy of the subscriber agreement that the Certification Authority provides for the life of the certificate? [CFR 1311.60(c)]			
6				
	Does the prescribing practitioner maintain CSOS records on a central server? [CFR 1305.27(c)]			
7				
	Are the prescribing practitioner's CSOS records readily retrievable at the registered location when maintained on a central server? [CFR 1305.27(c)]			
8				
	Are the prescribing practitioner's electronically-maintained CSOS records readily retrievable from all other records? [CFR 1311.60(a)]			
9				
	Are the prescribing practitioner's electronically-maintained CSOS records easily readable or easily rendered into a format that a person can read? [CFR 1311.60(b)]			
10				

11	Does the prescribing practitioner retain for each CSOS order filled the original signed order and all linked records for that order for three years from the date of the transaction recorded? [Section 21a-254(f)]			
12	Does the prescribing practitioner retain all copies of each unaccepted or defective CSOS order and each linked statement for three years from the date of the transaction recorded? [Section 21a-254(f)]			
13	Does the prescribing practitioner retain an electronic copy of all voided CSOS orders for three years from the date of the transaction recorded? [Section 21a-254(f)]			
	Where does the prescribing practitioner store CSOS orders for a period of three years from the date of the transaction recorded?			
	Cloud			
	Electronic File			
	Flash Drive			
	Other			
	Paper File			
14	Does the prescribing practitioner complete and verify CSOS orders in CSOS upon receipt from the supplier?			
	Controlled Drug Receipt Records	**Yes**	**No**	**Advised**
1	Does the prescribing practitioner maintain receipt records of controlled drugs that bear the DATE on which controlled drugs were RECEIVED? [Section 21a-254(f)]			
2	Does the prescribing practitioner maintain receipt records of controlled drugs that bear the NAME OF PERSON FROM WHOM controlled drugs were RECEIVED? [Section 21a-254(f)]			

3	Does the prescribing practitioner maintain receipt records of controlled drugs that bear the ADDRESS of the person FROM WHOM controlled drugs were RECEIVED? [Section 21a-254(f)]			
4	Does the prescribing practitioner maintain receipt records of controlled drugs that bear the KIND of controlled drugs RECEIVED? [Section 21a-254(f)]			
5	Does the prescribing practitioner maintain receipt records of controlled drugs that bear the QUANTITY of controlled drugs RECEIVED? [Section 21a-254(f)]			
6	Does the prescribing practitioner keep receipt records of controlled drugs on the controlled substance practitioner's premises? [Section 21a-254(h)]			
7	Does the prescribing practitioner maintain receipt records of controlled drugs current and separate from other business records in such form as to be readily available for inspection at reasonable times? [Section 21a-254(h) and Section 21a-261]			
8	Does the prescribing practitioner maintain receipt records of controlled drugs separately apart from other drug records? [Section 21a-254(f)]			
9	Are the prescribing practitioner's receipt records of controlled drugs void of the use of a foreign language, codes, or symbols to designate controlled drugs or persons in the keeping of such records? [Section 21a-254(h)]			
10	Does the prescribing practitioner keep records of all controlled drugs received by them separately apart from other drug records for a period of three years from the date of the transaction recorded? [Section 21a-254(e)]			

	Controlled Drug Disposition Records	Yes	No	Advised
1	Does the prescribing practitioner maintain disposition records of controlled drugs that bear the DATE on which controlled drugs were DISPOSED? [Section 21a-254(f)]			
2	Does the prescribing practitioner maintain disposition records of controlled drugs that bear the KIND of controlled drugs DISPOSED? [Section 21a-254(f)]			
3	Does the prescriber practitioner maintain disposition records of controlled drugs that bear the QUANTITY of controlled drugs DISPOSED? [Section 21a-254(f)]			
4	Does the prescribing practitioner maintain disposition records of controlled drugs that bear the NAME OF THE PERSON to whom or for whose use controlled drugs WERE USED? [Section 21a-254(f)]			
5	Does the prescribing practitioner keep disposition records of controlled drugs on the controlled substance practitioner's premises? [Section 21a-254(h)]			
6	Does the prescribing practitioner maintain disposition records of controlled drugs current and separate from other business records in such form as to be readily available for inspection at reasonable times? [Section 21a-254(h) and Section 21a-261]			
7	Does the prescribing practitioner maintain disposition records of controlled drugs separately apart from other drug records? [Section 21a-254(f)]			
8	Are the prescribing practitioner's disposition records of controlled drugs void of the use of a foreign language, codes, or symbols to designate controlled drugs or persons in the keeping of such records? [Section 21a-254(h)]			

9	Does the prescribing practitioner's keep records of all controlled drugs disposed of by them separately apart from other drug records for a period of three years from the date of the transaction recorded? [Section 21a-254(e)]			
	Controlled Drug Inventory Records	**Yes**	**No**	**Advised**
1	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the DATE on which the initial or annual inventory was CONDUCTED? [CFR 1304.11(a)]			
2	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the TIME OF DAY the initial or annual inventory was COMPLETED (opening of business or close of business)? [CFR 1304.11(a)]			
3	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the NAME of each controlled drug inventoried? [CFR 1304.11(e)(6)]			
4	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the FINISHED FORM of each controlled drug (e.g. 10-milligram tablet or 10-milligram concentration per fluid ounce or milliliter) inventoried? [CFR 1304.11(e)(6)]			
5	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the NUMBER OF UNITS OR VOLUME of each finished form of each inventoried controlled drug in each commercial container (e.g. 100-tablet bottle or 3-milliliter vial)? [CFR 1304.11(e)(6)]			
6	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the NUMBER OF commercial CONTAINERS of each finished form (e.g. four 100-tablet bottles or six 3-milliliter vials) of each inventoried controlled drug? [CFR 1304.11(e)(6)]			

7	Does the prescribing practitioner maintain inventory records of controlled drugs that bear the COMPLETE LISTING of all controlled drugs ON HAND? [CFR 1304.11(a) and Section 21a-254(h)]			
8	Did the prescribing practitioner prepare an inventory of all controlled drugs on hand on the date such practitioner first engaged in the manufacture, distribution, or dispensing of controlled drugs? [CFR 1304.11(b)]			
9	Does the prescribing practitioner prepare annually within four days of the first day of May of the calendar year a complete and accurate record of all controlled drugs on hand on the date the inventory is taken? [Section 21a-254(h)]			
10	Does the prescribing practitioner maintain the initial and annually prepared complete and accurate records of all controlled drugs on hand in written, typewritten, or printed form at such practitioner's registered location? [CFR 1304.11(a) and Section 21a-254(h)]			
11	Does the prescribing practitioner maintain the initial and annually prepared complete and accurate records of all controlled drugs on hand current and separate from other business records in such form as to be readily available for inspection at reasonable times? [Section 21a-254(h) and Section 21a-261]			
12	Are the prescribing practitioner's initial and annually prepared complete and accurate records of all controlled drugs on hand void of "cross-outs" and "white-outs"?			
13	Are the prescribing practitioner's initial and annually prepared complete and accurate records of all controlled drugs on hand void of the use of a foreign language, codes, or symbols to designate controlled drugs or persons in the keeping of such records? [Section 21a-254(h)]			

14	Does the prescribing practitioner keep the initial and annually prepared complete and accurate records of all controlled drugs on hand on file for three years? [Section 21a-254(h)]			

	Additional Comments	Yes	No	
1	Does the inspecting agent have any additional comments with respect to this prescribing practitioner inspection?			

CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION
DRUG CONTROL DIVISION

Controlled Substance Practitioner Mobile Inspection Form

The State of Connecticut Drug Control Division is utilizing all-inclusive mobile inspection forms that encompass multiple inspection types and business models. Inspection sections and/or inspection fields may intentionally remain blank when such sections and/or fields do not apply to the inspection type and/or business model for which the mobile inspection forms are being utilized. Please contact the Drug Control Agent who conducted your inspection if you feel an inspection section and/or inspection field was inadvertently left blank.

Controlled Substance Practitioner Closing Inspection Form

	Prescribing Practitioner Closing	Yes	No	Advised
1	Was the prescribing practitioner advised to return unexecuted DEA 222 forms to Drug Enforcement Administration, 716 Brook Street, Suite 110, Rocky Hill, CT 06067? [CFR 1305.18]			
2	Did the prescribing practitioner possess controlled drug stock at the time of closing?			
3	How did the prescribing practitioner dispose of the controlled drug stock possessed at the time of closing?			
	By transfer to a person or firm registered under the Federal Controlled Substances Act and authorized to possess such controlled drug stock providing all state and federal required procedures are complied with [Section 21a-262-3(a)(1)]			
	By destruction with the Drug Control Division in such a manner as to render the controlled drug stock nonrecoverable [Section 21a-262-3(a)(3)(a)]			
	By surrender without compensation for the controlled drug stock to the Drug Control Division [Section 21a-262-3(a)(5)]			
4	Did the Drug Control Division provide the prescribing practitioner with documentation for the controlled drug stock destroyed with or surrendered to the Drug Control Division? [Section 21a-254(f)]			

	Additional Comments	Yes	No
1	Does the inspecting agent have any additional comments with respect to this prescribing practitioner inspection?		