Board Meeting

May 4, 2016

NOTE: Pursuant to the Open Meetings Law at La. R.S. 42:16, the Board may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, (4) discussions regarding personnel matters, or other purposes itemized at La. R.S. 42:17.
Table of Contents

1 – A. Table of Contents
1 – B. Agenda
1 – C. Meeting Notice & Arrangements
1 – D. Acronyms
2. Invocation & Pledge of Allegiance
3. Quorum Call
4. Call for Additional Agenda Items & Adoption of Agenda
5. Consideration of Minutes from Previous Meetings ~ February 24, 2016
6. Report on Action Items
7. Confirmation of Acts
8. Opportunity for Public Comment
* Statement of Purpose & Mission of Board
9. Committee Reports
   A. Finance – Mr. Pitre
   • Consideration of Interim Report for Fiscal Year 2015-2016
   B. Application Review – Mr. Soileau
   • Consideration of Committee Recommendations re Applications
   C. Reciprocity – Ms. Hall
   D. Violations – Mr. Bond
   • Consideration of Proposed Voluntary Consent Agreements
   E. Impairment – Mr. Rabb
   • Consideration of Committee Recommendations re Applications
   F. Reinstatement – Ms. Melancon
   • Consideration of Committee Recommendations re Applications
   G. Tripartite – Mr. Burch
   H. Regulation Revision – Mr. McKay
   • Consideration of Comments & Testimony from April 19 Public Hearing re Regulatory Project 2015-4 ~ Compounding for Office Use for Veterinarians
   • Consideration of Regulatory Proposal 2015-J ~ Accreditation of Pharmacy Technician Training Programs (Draft #4)
   • Consideration of Regulatory Proposal 2016-B ~ Internship Requirements (Draft #5)
   • Consideration of Regulatory Proposal 2016-D ~ Equivalent Drug Product Interchange (Draft #1)
   I. Executive Committee – Mr. Aron
   • Consideration of Committee Recommendations re Policies & Procedures
   • Consideration of Committee Recommendations re School Approvals
   • Consideration of Committee Recommendations re Legislative Audit
10. Staff Reports
   J. Assistant Executive Director – Mr. Fontenot
   • Quarterly Report from Prescription Monitoring Program (PMP)
   • Consideration of Requests for Waivers from PMP Reporting Rule
   K. General Counsel – Mr. Finalet
   • Consideration of Proposed Voluntary Consent Agreements

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10. Staff Reports (cont.)
   L. Executive Director – Mr. Broussard  553
      • Narrative Report  554
      • Census Reports  558
      • Productivity Reports  561
      • Exceptions Report  563
      • Examination Program Reports
        ➢ MPJE  565
        ➢ NAPLEX  567
      • Interim Legislative Report  569
      • eQHealth Request  ACTION ITEM !!!  590
      • NABP Annual Meeting
        ➢ Candidate Letters  596
        ➢ Proposed Constitutional Amendment  604
        ➢ Proposed Resolutions  605
        ➢ Report of Task Force on Sponsorship of NABP Meetings  609
        ➢ Report of Task Force on Pharmacist Prescriptive Authority  612
        ➢ Report of Task Force on Regulation of Pharmacist Care Srvcs.  620

11. Request for Approval of Proposed Policy re After-Hours Access to Pharmacy
    Ms. Sonya Boss (LSU Veterinary Teaching Hospital Pharmacy)  630

12. CDS License for Third-Party Logistics (3PL) Providers  638

13. Announcements  640

14. Recess
NOTICE IS HEREBY GIVEN that a meeting of the Board has been ordered and called for 9:00 a.m. on Wednesday, May 4, 2016 at the Board office, for the purpose to wit:

AGENDA

NOTE: This agenda is tentative until 24 hours in advance of the meeting, at which time the most recent revision becomes official.

Revised 04-21-2016

1. Call to Order
2. Invocation & Pledge of Allegiance
3. Quorum Call
4. Call for Additional Agenda Items & Adoption of Agenda
5. Consideration of Minutes from Previous Meeting – February 24, 2016
6. Report on Action Items
7. Confirmation of Acts
8. Opportunity for Public Comment
9. Committee Reports
   A. Finance – Mr. Pitre
      • Consideration of Interim Report for Fiscal Year 2015-2016
   B. Application Review – Mr. Soileau
      • Consideration of Committee Recommendations re Applications
   C. Reciprocity – Ms. Hall
   D. Violations – Mr. Bond
      • Consideration of Proposed Voluntary Consent Agreements
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      • Consideration of Committee Recommendations re Applications
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   G. Tripartite – Mr. Burch
   H. Regulation Revision – Mr. McKay
      • Consideration of Comments & Testimony from April 19 Public Hearing re Regulatory Project 2015-4 ~ Compounding for Office Use for Veterinarians
      • Consideration of Regulatory Proposal 2015-J ~ Accreditation of Pharmacy Technician Training Programs (Draft #4)
      • Consideration of Regulatory Proposal 2016-B ~ Internship Requirements (Draft #5)
      • Consideration of Regulatory Proposal 2016-D ~ Equivalent Drug Product Interchange (Draft #1)
   I. Executive – Mr. Aron
      • Consideration of Committee Recommendation re Policies & Procedures
10. Staff Reports
   J. Assistant Executive Director – Mr. Fontenot
      • Consideration of Requests for Waivers from PMP Reporting Requirement
   K. General Counsel – Mr. Finalet
      • Consideration of Proposed Voluntary Consent Agreements
   L. Executive Director – Mr. Broussard

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11. Request for Approval of Proposed Policy re After-Hours Access to Pharmacy – Ms. Sonya Boss (LSU Veterinary Teaching Hospital Pharmacy)
12. CDS License for Third Party Logistics (3PL) Entities
13. Announcements
14. Recess
### Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>AACP</td>
<td>American Association of Colleges of Pharmacy</td>
</tr>
<tr>
<td>AAPS</td>
<td>American Association of Pharmaceutical Scientists</td>
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<tr>
<td>AAPT</td>
<td>American Association of Pharmacy Technicians</td>
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<tr>
<td>ACA</td>
<td>American College of Apothecaries</td>
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<tr>
<td>ACCME</td>
<td>Accreditation Council for Continuing Medical Education</td>
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<tr>
<td>ACCP</td>
<td>American College of Clinical Pharmacy</td>
</tr>
<tr>
<td>ACE</td>
<td>Advisory Committee on Examinations (NABP)</td>
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<tr>
<td>ACPE</td>
<td>Accreditation Council for Pharmacy Education</td>
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<tr>
<td>ADA</td>
<td>American Dental Association</td>
</tr>
<tr>
<td>ADC</td>
<td>automated dispensing cabinet</td>
</tr>
<tr>
<td>ADS</td>
<td>automated dispensing system</td>
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<tr>
<td>AFDO</td>
<td>Association of Food &amp; Drug Officials</td>
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<tr>
<td>AFPE</td>
<td>American Foundation for Pharmaceutical Education</td>
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<tr>
<td>AIHP</td>
<td>American Institute of the History of Pharmacy</td>
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<td>AMA</td>
<td>American Medical Association</td>
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<td>AMCP</td>
<td>Academy of Managed Care Pharmacy</td>
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<td>AMS</td>
<td>automated medication system</td>
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<td>APEC</td>
<td>Australian Pharmacy Examining Council</td>
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<tr>
<td>APhA</td>
<td>American Pharmacists Association</td>
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<td>APPE</td>
<td>advanced pharmacy practice experience</td>
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<td>ASAE</td>
<td>American Society of Association Executives</td>
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<td>ASAP</td>
<td>American Society for Automation in Pharmacy</td>
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<td>American Society for Pharmacy Law</td>
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<td>AVMA</td>
<td>American Veterinary Medical Association</td>
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<tr>
<td>AWARx</td>
<td>NABP consumer protection program</td>
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<td>BNDD</td>
<td>Bureau of Narcotics and Dangerous Drugs</td>
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<td>Board of Pharmacy Specialties</td>
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<td>CAC</td>
<td>Citizen Advocacy Center</td>
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<td>CCAAPP</td>
<td>Canadian Council for Accreditation of Pharmacy Programs</td>
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<td>CGP</td>
<td>Commission for Certification in Geriatric Pharmacy</td>
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<tr>
<td>CDC</td>
<td>Centers for Disease Control and Prevention</td>
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<td>CDER</td>
<td>Center for Drug Evaluation and Research</td>
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<td>collaborative drug therapy management</td>
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<td>controlled dangerous substances</td>
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<td>CFR</td>
<td>Code of Federal Regulations</td>
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<td>CLEAR</td>
<td>Council on Licensure, Enforcement and Regulation</td>
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<td>CMI</td>
<td>consumer medication Information</td>
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<td>Centers for Medicare and Medicaid Services</td>
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<td>CPhA</td>
<td>Canadian Pharmacists Association</td>
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<td>CPPA</td>
<td>Center for Pharmacy Practice Accreditation</td>
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<td>CPSC</td>
<td>Consumer Product Safety Commission</td>
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<td>DEA</td>
<td>Drug Enforcement Administration</td>
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<td>DEQ</td>
<td>La. Department of Environmental Quality</td>
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<td>DHH</td>
<td>La. Department of Health and Hospitals</td>
</tr>
</tbody>
</table>

Revised 2014-0501
DME  durable medical equipment
DMEPOS  durable medical equipment, prosthetics, orthotics, and supplies
DNV  Det Norske Veritas (Norwegian accreditation organization)
DSM  disease state management
EDK  emergency drug kit
ELTP  Electronic Licensure Transfer Program (NABP)
EPA  Federal Environmental Protection Agency
EPCS  Electronic Prescribing of Controlled Substances (DEA)
ETS  Educational Testing Service
EU  European Union
ExCPT  Examination for the Certification of Pharmacy Technicians
FARB  Federation of Associations of Regulatory Boards
FBI  Federal Bureau of Investigation
FD&C  Federal Food, Drug & Cosmetic Act
FDA  Federal Food & Drug Administration
FIP  Federation Internationale Pharmaceutique
FMI  Food Marketing Institute
FPGE  Foreign Pharmacy Graduate Examination Committee (NABP)
FPGE  Foreign Pharmacy Graduate Equivalency Examination (NABP)
FSBPT  Federation of State Boards of Physical Therapy
FSMB  Federation of State Medical Boards
FRC  Foreign Pharmacy Graduate Equivalency Examination Review Committee (NABP)
FTC  Federal Trade Commission
GPhA  Generic Pharmaceutical Association
GPO  US Government Printing Office
gTLD  generic top level domain (Internet addresses)
HCFA  Health Care Financing Administration
HDMA  Healthcare Distribution Management Association
HIPAA  Health Insurance Portability and Accountability Act (of 1996)
HIPDB  Healthcare Integrity and Protection Data Bank
HMO  health maintenance organization
IACP  International Academy of Compounding Pharmacists
ICANN  Internet Corporation for Assigned Numbers and Names
ICPT  Institute for the Certification of Pharmacy Technicians
IDOI  Internet Drug Outlet Identification (NABP)
INEOA  International Narcotic Enforcement Officers Association
IOM  Institute of Medicine
IPPE  introductory pharmacy practice experience
ISMP  Institute for Safe Medication Practices
JCPP  Joint Commission of Pharmacy Practitioners
LAMP  Louisiana Academy of Medical Psychologists
LANP  Louisiana Association of Nurse Practitioners
LAPA  Louisiana Academy of Physician Assistants
LBP  Louisiana Board of Pharmacy
LDA  Louisiana Dental Association
LIPA  Louisiana Independent Pharmacies Association
LPA  Louisiana Pharmacists Association
LPTA  Louisiana Physical Therapy Association
LPTB  Louisiana Physical Therapy Board
LSBD  Louisiana State Board of Dentistry
LSBME  Louisiana State Board of Medical Examiners
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>PCMA</td>
<td>Pharmaceutical Care Management Association</td>
</tr>
<tr>
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</tr>
<tr>
<td>PDMA</td>
<td>Prescription Drug Marketing Act</td>
</tr>
<tr>
<td>PEBC</td>
<td>Pharmacy Examining Board of Canada</td>
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<td>PhRMA</td>
<td>Pharmaceutical Research and Manufacturers of America</td>
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<tr>
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<td>Prescription Monitoring Program</td>
</tr>
<tr>
<td>PMP-i</td>
<td>Prescription Monitoring Program Interconnect (NABP)</td>
</tr>
<tr>
<td>PTCB</td>
<td>Pharmacy Technician Certification Board</td>
</tr>
<tr>
<td>PTCE</td>
<td>Pharmacy Technician Certification Examination</td>
</tr>
<tr>
<td>PTEC</td>
<td>Pharmacy Technician Educators Council</td>
</tr>
<tr>
<td>RFID/EPC</td>
<td>Radio Frequency Identification / Electronic Product Code</td>
</tr>
<tr>
<td>SAMSHA</td>
<td>Federal Substance Abuse &amp; Mental Health Services Administration</td>
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<td>TJC</td>
<td>The Joint Commission</td>
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<td>TOEFL</td>
<td>Test of English as a Foreign Language</td>
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<td>TOEFL iBT</td>
<td>Test of English as a Foreign Language Internet-based Test</td>
</tr>
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<td>TSE</td>
<td>Test of Spoken English</td>
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<td>URAC</td>
<td>Utilization Review Accreditation Commission</td>
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<td>USP</td>
<td>United States Pharmacopeia / United States Pharmacopeial Convention</td>
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<td>USP DI</td>
<td>US Pharmacopeia Dispensing Information</td>
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<td>US Pharmacopeia – National Formulary</td>
</tr>
<tr>
<td>VAWD</td>
<td>Verified-Accredited Wholesale Distributors (NABP)</td>
</tr>
<tr>
<td>Vet-VIPPS</td>
<td>Veterinary-Verified Internet Pharmacy Practice Sites (NABP)</td>
</tr>
<tr>
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<td>Verified Internet Pharmacy Practice Sites (NABP)</td>
</tr>
<tr>
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<td>Verified Pharmacy Practice (NABP)</td>
</tr>
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<td>WHO</td>
<td>World Health Organization</td>
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<tr>
<td>WHPA</td>
<td>World Health Professions Alliance</td>
</tr>
</tbody>
</table>
Minutes

Regular Meeting & Administrative Hearing

Wednesday, February 24, 2016 at 10:00 a.m.
Thursday, February 25, 2016 at 8:30 a.m.

Location:
Louisiana Board of Pharmacy
3388 Brentwood Drive
Baton Rouge, Louisiana 70809-1700
# Table of Contents

**Wednesday, February 24, 2016**

<table>
<thead>
<tr>
<th>Agenda Item No.</th>
<th>Description</th>
<th>Page No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Call to Order</td>
<td>04</td>
</tr>
<tr>
<td>2.</td>
<td>Invocation &amp; Pledge of Allegiance</td>
<td>04</td>
</tr>
<tr>
<td>3.</td>
<td>Quorum Call</td>
<td>04</td>
</tr>
<tr>
<td>4.</td>
<td>Call for Additional Agenda Items &amp; Adoption of Agenda</td>
<td>05</td>
</tr>
<tr>
<td>5.</td>
<td>Consideration of Minutes from Previous Meeting</td>
<td>05</td>
</tr>
<tr>
<td>6.</td>
<td>Report on Action Items</td>
<td>05</td>
</tr>
<tr>
<td>7.</td>
<td>Confirmation of Acts</td>
<td>05</td>
</tr>
<tr>
<td>8.</td>
<td>Opportunity for Public Comment</td>
<td>05</td>
</tr>
<tr>
<td>*</td>
<td>Statement of Purpose</td>
<td>05</td>
</tr>
<tr>
<td>9.</td>
<td>Committee Reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Finance</td>
<td>06</td>
</tr>
<tr>
<td></td>
<td>B. Application Review</td>
<td>07</td>
</tr>
<tr>
<td></td>
<td>C. Reciprocity</td>
<td>07</td>
</tr>
<tr>
<td></td>
<td>D. Violations</td>
<td>07</td>
</tr>
<tr>
<td></td>
<td>E. Impairment</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>F. Reinstatement</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td>G. Tripartite</td>
<td>12</td>
</tr>
<tr>
<td></td>
<td>H. Regulation Revision</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>I. Executive</td>
<td>12</td>
</tr>
<tr>
<td>10.</td>
<td>Staff Reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>J. Assistant Executive Director</td>
<td>17</td>
</tr>
<tr>
<td></td>
<td>K. General Counsel</td>
<td>17</td>
</tr>
<tr>
<td></td>
<td>L. Executive Director</td>
<td>20</td>
</tr>
<tr>
<td>12.</td>
<td>Request for Opinion re Dispensing of Investigational Drugs in Hospital Pharmacy</td>
<td>06</td>
</tr>
<tr>
<td>13.</td>
<td>Announcements</td>
<td>20</td>
</tr>
<tr>
<td>14.</td>
<td>Recess</td>
<td>20</td>
</tr>
</tbody>
</table>
# Table of Contents

*Thursday, February 25, 2016*

<table>
<thead>
<tr>
<th>Agenda Item No.</th>
<th>Description</th>
<th>Page No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Call to Order</td>
<td>21</td>
</tr>
<tr>
<td>B.</td>
<td>Invocation &amp; Pledge of Allegiance</td>
<td>21</td>
</tr>
<tr>
<td>C.</td>
<td>Quorum Call</td>
<td>21</td>
</tr>
<tr>
<td>D.</td>
<td>Call for Additional Agenda Items &amp; Adoption of Agenda</td>
<td>21</td>
</tr>
<tr>
<td>E.</td>
<td>Opportunity for Public Comment</td>
<td>21</td>
</tr>
<tr>
<td>F.</td>
<td>Formal Hearings</td>
<td>22</td>
</tr>
<tr>
<td>G.</td>
<td>Adjourn</td>
<td>27</td>
</tr>
</tbody>
</table>
A regular meeting of the Louisiana Board of Pharmacy was held on Wednesday, February 24, 2016 in the Boardroom of the Board’s office, located at 3388 Brentwood Drive in Baton Rouge, Louisiana. The meeting was held pursuant to public notice, each member received notice, and notice was properly posted.

1. **Call to Order**
Mr. Carl Aron, President, called the meeting to order at 10:05 a.m.

2. **Invocation & Pledge**
Mr. Aron called upon Mr. Brian Bond, and he delivered the invocation. Ms. Jacqueline Hall then led the group in the recitation of the Pledge of Allegiance.

3. **Quorum Call**
Mr. Aron called upon the Secretary, Mr. Bond, to call the roll to establish a quorum.

**Members Present:**
- Mr. Carl W. Aron
- Mr. Brian A. Bond
- Mr. Clovis S. Burch
- Mr. Ryan M. Dartez
- Ms. Jacqueline L. Hall
- Mr. Richard M. Indovina
- Mr. Marty R. McKay
- Ms. Chris B. Melancon
- Ms. Diane G. Milano
- Mr. Ronald E. Moore
- Mr. Blake P. Pitre
- Mr. T. Morris Rabb
- Ms. Pamela G. Reed
- Mr. Don L. Resweber
- Dr. Deborah H. Simonson
- Mr. Richard A. Soileau
- Mr. Rhonny K. Valentine

**Staff Present:**
- Mr. Malcolm J. Broussard, Executive Director
- Mr. Carlos M. Finalet, III, General Counsel
- Mr. M. Joseph Fontenot, Assistant Executive Director

**Guests:**
- Mr. Ben J. Sims – Brookshire Grocery Co.
- Mr. Joey Sturgeon – Silvergate Pharmaceuticals
- Mr. Andrew Capitelli – on behalf of Fountain Park Pharmacy
- Dr. Kirk Ryan, DVM – La. Veterinary Medical Association
- Mr. Matthew Brown – on behalf of Tulane Health System
- Ms. Jennifer Henry, PharmD – Tulane Health System
- Mr. Michael Weber – Roadrunner Pharmacy
Mr. Bond certified all 17 members were present, constituting a quorum for the conduct of official business.

4. **Call for Additional Agenda Items & Adoption of Agenda**
Mr. Aron asked if there were any additional agenda items, but none were offered. With no objection, the Board adopted the posted agenda dated February 19, 2016. Mr. Aron then requested authority from the Board to reorder the agenda as necessary for the purpose of accommodating certain guests. There were no objections to that request.

5. **Consideration of Minutes**
Mr. Aron reminded the members they had received the draft minutes from the Regular Board Meeting on November 18, 2015 which was held in Baton Rouge, Louisiana. With no objections, he waived the reading thereof. With no requests for amendment or any objection to their approval, Mr. Aron declared the minutes were approved as presented. Mr. Bond reminded the members to sign the Minute Book.

6. **Report on Action Items**
Mr. Aron called on Mr. Broussard for the report. Mr. Broussard reviewed the three action items contained in the report which was posted in the meeting binder. There were no questions from the members.

7. **Confirmation of Acts**
Pursuant to Mr. Aron’s declaration that the officers, committees, and executive director had attended to the business of the Board since the last meeting in accordance with policies and procedures previously approved by the Board, Mr. Rabb moved, **Resolved**, that the actions taken and decisions made by the Board officers, Board committees, and Executive Director in the general conduct and transactions of Board business since November 18, 2015 are approved, adopted, and ratified by the entire Board.
The motion was adopted after a unanimous vote in the affirmative.

8. **Opportunity for Public Comment**
Mr. Aron reminded the members and guests the Open Meetings Law requires all public bodies to provide an opportunity for public comment at all meetings and for each agenda item upon which a vote is to be taken. He solicited general comments on non-agenda items from the guests present, but none were offered.

* **Statement of Purpose**
Mr. Aron reminded the members of the purpose and mission of the Board of Pharmacy by reciting the relevant portion of the Louisiana Pharmacy Practice Act. He urged the members to keep their mission in mind as they considered all the matters before them.
At this point, Mr. Aron indicated he would re-order the agenda to accommodate certain guests.

11. Petition for Advisory Opinion and/or Declaratory Statement re Act 409 of 2015 Legislature [La. R.S. 37:1241(A)(23)] – Mr. Andrew Capitelli (Milling Benson Woodward, LLP on behalf of Fountain Park Pharmacy in Harvey, La.)

Mr. Aron recognized Mr. Capitelli in the audience and invited him to the witness table to make his presentation to the members. Mr. Broussard directed the members to the written petition submitted by Mr. Capitelli as well as a copy of the legislative act at issue, both of which were posted in the meeting binder. Following Mr. Capitelli’s presentation, he responded to questions from the members. Mr. Rabb then moved, 

Resolved, that the Board interpret La. R.S. 37:1241(A)(23) such that the marketing services prohibited in the statute refer to activities conducted within Louisiana and do not address activities conducted outside the state.

The motion was adopted after a unanimous vote in the affirmative.

12. Request for Opinion re Dispensing of Investigational Drugs in Hospital Pharmacy – Dr. Jennifer Henry (Tulane Health System)

Mr. Aron recognized Dr. Jennifer Henry, Director of Pharmacy at Tulane Medical Center in New Orleans, who was accompanied by counsel, Mr. Matthew Brown (Sullivan & Stolier). He invited them to the witness table to make their presentation to the members. Mr. Fontenot provided background information on the request that originated from Tulane Health System officials. The hospital pharmacy has been dispensing medications to patients as part of their participation in clinical trials hosted by the medical center. A question arose as to whether all of the study medications dispensed were to hospital patients or whether some of those patients were registered patients of the hospital. Mr. Broussard directed the members to §1523.B of the Board’s rules that describe the limitations imposed on hospital pharmacies dispensing prescription medications to outpatients. Some of the members suggested a revision of that rule specific for investigational drug studies might be appropriate. Dr. Simonson then moved, 

Resolved, to request the Board’s Regulation Revision Committee review the Board’s rules for the dispensing of investigational drugs in hospital pharmacies to determine whether a revision was appropriate.

The motion was adopted after a unanimous vote in the affirmative.

Mr. Aron then returned to the sequence of the posted agenda.

9. Committee Reports
   A. Finance Committee

   Mr. Aron called upon Mr. Pitre for the committee report. Mr. Pitre reviewed the financial report for the second quarter which ended on December 31, 2015. There were no questions from the members, and Mr. Pitre tendered the report for information only.

   Mr. Aron offered additional information about the Pharmacy Education Support Fee. He informed the members of the new initiative to revise the online license renewal program to facilitate the collection of the fee on the
electronic invoice, and further, would require the applicant to opt-out of the payment in order to not pay it on their renewal application.

Finally, Mr. Pitre expressed his appreciation to the other committee members for their ongoing efforts.

B. Application Review Committee

Mr. Aron called upon Mr. Soileau for the committee report. Mr. Soileau reported the committee met on January 19 to consider six referrals from the staff. Following their interviews of the applicants and subsequent deliberations, the committee authorized the issuance of one PTC registration and one PHY permit without restriction, and deferred consideration of one application for a PTC registration pending resolution of legal matters as well as one application for a PHY permit. Mr. Soileau then presented the following files to the Board for their consideration of the committee recommendations.

Tracey Deshawn Green (Applicant for PTC Registration) Mr. Soileau moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board authorized the issuance of the PTC registration as well as any other credential for which she might qualify, then immediately suspended the registration (and any subsequent credential) for eighteen months and stayed the execution of the suspension, then placed the registration (and any subsequent credential) on probation for eighteen months, effective on the date of issuance, subject to certain terms enumerated in the consent agreement.

Samantha Kirby Smith (Applicant for PTC Registration) Mr. Soileau moved to deny the application and refuse to issue the credential. The motion was adopted after a unanimous vote in the affirmative. The Board denied the application and refused to issue the credential.

Finally, Mr. Soileau expressed his appreciation to the other members of the committee for their ongoing efforts.

C. Reciprocity Committee

Mr. Aron called upon Ms. Hall for the committee report. She reported the staff had evaluated 28 applications for pharmacist licensure by reciprocity and that none of them contained information that warranted a committee-level review. In conformance with policies and procedures previously approved by the Board, the staff approved the applications and issued the credentials.

Finally, she closed her report with appreciation to the other committee members for their ongoing efforts.

D. Violations Committee

Mr. Aron called upon Mr. Bond for the committee report. Mr. Bond reported the committee held an informal conference on December 16, 2015
to consider their posted agenda which included 35 cases: 14 pharmacists, 4 pharmacy technicians, 4 pharmacy technician candidates, and 13 pharmacy permits. After interviews and deliberations, the committee took no formal action against seven of the cases. The committee directed the issuance of non-disciplinary Letters of Noncompliance to two of the respondents. One of the respondents elected to enter into a no-practice agreement pending the receipt and review of the results of a medical evaluation, and another respondent voluntarily relinquished their credential. The committee offered proposed voluntary consent agreements to the remaining 24 respondents; of that number, 15 executed their agreements. Of the nine respondents who did not execute their proposed agreements, two requested a re-hearing from the committee, which has been granted and scheduled for their next committee meeting in March 2016. Four of the cases were scheduled for the administrative hearing the following day, and two others were scheduled for the administrative hearing scheduled in May 2016. Finally, one of the respondent has been re-scheduled for another hearing before the committee due to the discovery of an unprocessed change of address and the resultant potential for lack of proper notice. Mr. Bond then presented the following files to the members for their consideration.

Progressive Acute Care Oakdale, LLC d/b/a Oakdale Community Hospital Pharmacy (PHY.006214) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board assessed the permit owner a fine of $10,000 plus administrative and investigative costs.

Hotbar, LLC d/b/a Monroe Clinic Drugs/Aspire Rx (PHY.006121) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board assessed the permit owner a fine of $30,000 plus administrative and investigative costs.

Angela Nicole Hotard (PST.016604) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the license for one year and stayed the execution thereof, then placed the license on probation for one year, effective February 24, 2016, subject to certain terms enumerated in the consent agreement, and further, assessed a fine of $250 plus administrative costs.

C and C Pharmacy, LLC d/b/a C and C Drugs (PHY.005637) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board assessed the permit owner a fine of $1,000 plus administrative and investigative costs.

Kerrell Patrick Sweeney (PST.016042) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a
unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed administrative costs.

Nicole Hery Layman (PST.019132) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed administrative costs.

Don Anthony Serpas (PST.013027) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed administrative costs.

Crestview Pharmacy, Inc. d/b/a Crestview Pharmacy (PHY.006977) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Warning, and further, assessed the permit owner a fine of $15,000 plus administrative and investigative costs.

MasterPharm, LLC d/b/a MasterPharm (PHY.006466) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the permit for 2 years, 6 months, and 19 days and stayed the execution thereof, then placed the permit on probation for 2 years, 6 months, and 19 days, to run concurrently with the probationary period imposed by the Michigan Board of Pharmacy on the pharmacy’s Michigan pharmacy permit, effective February 24, 2016, subject to certain terms enumerated in the consent agreement, and further, assessed the permit owner a fine of $10,000 plus administrative and investigative costs.

Phar-Miles Pharmacy, PLLC d/b/a Phar-Miles Pharmacy (PHY.007167) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Warning, and further, assessed the permit owner a fine of $10,000 plus administrative and investigative costs.

Cornerstone Compounding Pharmacy, Inc. d/b/a Cornerstone Compounding Pharmacy (PHY.006896) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board assessed the permit owner a fine of $5,000 plus administrative and investigative costs.

Louisiana CVS Pharmacy, LLC d/b/a CVS Pharmacy No. 1017 (PHY.006018) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board assessed the permit owner a fine of $10,000 plus administrative costs.
Mychela Brandy Predium (PTC.020011 and CPT.012989) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $250 plus administrative costs.

LMC Medical Supplies, Inc. d/b/a LMC Pharmacy (PHY.006903) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board assessed the permit owner a fine of $15,000 plus administrative and investigative costs.

Johana Berenice Doucet (CPT.011781) Mr. Bond moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $250 plus administrative costs.

Mr. Bond reported the committee will meet on March 9-10 to consider that docket of 21 cases, which includes 5 pharmacists, 6 pharmacy technicians, 4 pharmacy technician candidates, 5 pharmacy permits, and one applicant for a pharmacy permit.

Finally, Mr. Bond concluded his report with appreciation to the other committee members for their ongoing efforts.

E. Impairment Committee

Mr. Aron called upon Mr. Rabb for the committee report. Mr. Rabb reported the committee met the previous day to consider 10 referrals from the staff. Following their interviews of the applicants and subsequent deliberations, the committee authorized the issuance of one pharmacy technician certificate without restriction and deferred consideration of one pharmacist with an alleged violation of probationary terms. Mr. Rabb then presented the following files to the members for their consideration.

Donald Wayne Crawley (PST.010199) Mr. Rabb moved to accept the voluntary surrender of the credential. The motion was adopted after a unanimous vote in the affirmative. The Board accepted the voluntary surrender, resulting in the active suspension of the license for an indefinite period of time, effective November 19, 2015.

Hope Michelle Chabaud (CPT.012038) Mr. Rabb moved to accept the voluntary surrender of the credential. The motion was adopted after a unanimous vote in the affirmative. The Board accepted the voluntary surrender, resulting in the active suspension of the certificate for an indefinite period of time, effective December 15, 2015.

Andrea Katherine Bourque (PST.019587) Mr. Rabb moved to approve the proposed voluntary consent agreement. The motion was adopted after a
unanimous vote in the affirmative. The Board approved the applicant’s request for the reinstatement of the previously suspended license, converted the duration of the suspensive period from an indefinite term to a term of five years and stayed the execution of the suspension, then placed the license on probation for five years, effective February 24, 2016, subject to certain terms enumerated in the consent agreement.

Ashley Elizabeth Reynolds (PST.020382) Mr. Rabb moved to deny the applicant’s request for the reinstatement of the previously suspended license. The motion was adopted after a unanimous vote in the affirmative. The Board denied the request, and further, conditioned the acceptance of any future reinstatement application upon the satisfaction of certain terms identified in the order.

Sonya Darlene Coleman (Applicant for PTC Registration) Mr. Rabb moved to deny the application and refuse to issue the credential. The motion was adopted after a unanimous vote in the affirmative. The Board denied the application and refused to issue the credential.

Aurdie Kent Bellard (PST.014340) Mr. Rabb moved to approve the applicant’s request for the reinstatement of the lapsed license. The motion was adopted after a unanimous vote in the affirmative. The Board authorized the reinstatement of the license, suspended it for ten years and stayed the execution of the suspension, then placed the license on probation for ten years, subject to certain terms enumerated in the consent agreement.

Finally, Mr. Rabb closed his report with appreciation to his fellow committee members for their work the previous day and for the ongoing staff support.

At this point, Mr. Aron declared a brief recess. It was noted the members recessed at 11:35 a.m. and then reconvened at 11:55 a.m.

F. Reinstatement Committee

Mr. Aron called upon Ms. Melancon for the committee report. Ms. Melancon reported the committee had met the previous day to consider five referrals from the staff. Following their interviews of the applicants and subsequent deliberations, the committee authorized the reinstatement of one pharmacy permit without restriction. She then reported the following files to the members for their consideration.

Marco Bisa Moran (PHY.016442) Ms. Melancon moved to deny his application for the reinstatement of the previously suspended license. The motion was adopted after a unanimous vote in the affirmative. The Board denied the request for reinstatement of the license.

Ronald Vincent, Sr. (CPT.002562) Ms. Melancon moved to approve the
proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board approved the applicant’s request for reinstatement of the previously lapsed certificate, contingent upon the satisfaction of certain requirements identified in the consent agreement.

**James Carroll Bruce, II (PST.011857)** Ms. Melancon moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board approved the applicant’s request for reinstatement of the previously suspended license, contingent upon the satisfaction of certain requirements identified in the consent agreement.

**NMB Generics, Inc. d/b/a NMB Generics (PHY.006889)** Ms. Melancon moved to deny the request for reinstatement of the lapsed permit. The motion was adopted after a unanimous vote in the affirmative. The Board denied the request for reinstatement of the lapsed permit.

Ms. Melancon closed the report with appreciation to the other committee members for their work the previous day.

**G. Tripartite Committee**
Mr. Aron called upon Mr. Burch for the committee report. Mr. Burch reported the committee was scheduled to meet on March 30. He identified the two regulatory proposals on the agenda, and indicated that specific stakeholders had been invited to provide their input on those proposed rules.

Mr. Burch closed his report with appreciation for his fellow committee members and their anticipated participation.

At this point, Mr. Aron re-ordered the agenda to delay the report from the Regulation Revision Committee until after lunch, giving audience members notice and opportunity for a reasonable lunch period. He then called for the next item on the agenda.

**I. Executive Committee**
Mr. Aron reported the committee had met the previous day to consider their posted agenda. He reminded the members of a new law from the 2015 Legislature that requires all contracts for professional legal services to be accompanied by resolutions disclosing details concerning contingency fees. Mr. Aron indicated the Board does not enter into any contracts for professional legal services with any contingency fees. Mr. Rabb then moved, **Resolved**, to approve the **Resolution for Professional Legal Services** for Ms. Celia R. Cangelosi for Fiscal Year 2016-2017. The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved, **Resolved**, to approve the **Resolution for Professional Legal Services** for Shows, Cali & Walsh, LLC for Fiscal Year 2016-2017. The motion was adopted after a unanimous vote in the affirmative.

Mr. Aron then informed the members the executive office had reviewed all
of the Board’s contracts and agreements and determined that all of the contractors had fulfilled their contractual obligations and no performance issues had been noted. He indicated that staff had already initiated the contract renewal process by soliciting signed agreements from the vendors, and that Board approval was required to move forward in the renewal process. He directed the members to a summary of the contracts in their meeting binders. Mr. Rabb then moved,

Resolved, that the Board approve the proposed contract for legal services with Ms. Celia R. Cangelosi, at the stipulated rate, in an amount not to exceed $80,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the proposed contract for legal services with Shows, Cali & Walsh, LLC, at the stipulated rate, in an amount not to exceed $40,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the proposed contract for accounting services with Kolder, Champagne, Slaven & Company, at the stipulated rates, in an amount not to exceed $25,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the proposed maintenance agreement with MicroPact, Inc. for the continued operation and support of eLicense, at the stipulated rates, in an amount not to exceed $100,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the proposed information system network support service agreement with Essential Solutions, LLC, at the stipulated rates, in an amount not to exceed $40,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the proposed agreement with Appriss, Inc. to operate the state prescription monitoring program, at the stipulated rate, in an amount not to exceed $100,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the NABP Foundation as the publisher of the Board’s newsletter, at the stipulated rate, in an amount not to exceed $2,000 for Fiscal Year 2016-2017.

The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the National Association of
Boards of Pharmacy (NABP) as the administrator for the pharmacist licensure and remediation examinations (NAPLEX, MPJE, FPGEE, and PARE) for Fiscal Year 2016-2017. The motion was adopted after a unanimous vote in the affirmative. Mr. Rabb then moved,

Resolved, that the Board approve the Pharmacy Technician Certification Board (PTCB) as the administrator for the pharmacy technician certification examination for Fiscal Year 2016-2017. The motion was adopted after a unanimous vote in the affirmative. Mr. Aron instructed the executive director to execute each of the contracts and agreements approved by the Board and to submit them to the appropriate administrative and legislative agencies exercising oversight of Board contracts and agreements.

Mr. Aron informed the members of a recent mandate from the state’s Office of Risk Management (ORM) in the Division of Administration to develop and maintain a Transitional Return to Work program, to facilitate the return to work by workers injured on the job. Staff prepared the proposed policy using the template provided by ORM. Mr. Rabb moved,

Resolved, that the Board approve the proposed new policy, LPM.I.Q ~ Transitional Return to Work. The motion was adopted after a unanimous vote in the affirmative.

Mr. Aron reported the committee also reviewed the administrative operations, taking note of the number of recent new hires engaged by the Board before the recently-imposed statewide hiring freeze. Mr. Aron related his positive experiences with the Board’s new receptionist. He also announced that Mr. Daniel Dennis had been hired as a pharmacist compliance officer. Mr. Fontenot also announced Ms. Vantrinette Williams had been hired for the Credentials Division.

Mr. Aron closed his report with appreciation to the other committee members for their work the previous day.

At this point, Dr. Simonson requested the opportunity to raise a new topic, not for discussion but for a committee referral only. Hearing no objection, Mr. Aron permitted it. Dr. Simonson described a new law from the state of Oregon which prohibits the automatic refilling of prescriptions without the patient’s consent. At her request, Mr. Aron referred that matter to the Board’s Regulation Revision Committee for their review and consideration.

Mr. Soileau questioned Mr. Aron regarding the potential impact of new legislation requiring a reduction of all contracts and agreements on the Board’s operations. Mr. Aron indicated there could be a potential impact, but that it was too soon to know how much of an impact there would be. He indicated the members would be kept abreast of those impacts as soon as they are known.

At this point, Mr. Aron declared a luncheon recess. It was noted the members recessed at 12:25 p.m. and then reconvened at 1:15 p.m. Mr. Aron returned to the committee reports on the agenda and requested the one remaining committee report.
H. Regulation Revision Committee

Mr. Aron called upon Mr. McKay for the committee report. Mr. McKay noted the committee met on January 19, during which the committee members voted to recommend the approval of several legislative and regulatory proposals. In addition, the committee was prepared to respond to the Board’s request for additional language for the veterinary compounding proposal. Mr. McKay directed the members to their meeting binders which contained a copy of all the proposals scheduled for consideration that day.

Mr. McKay began by reminding the members of their directive during the previous Board meeting for the committee to draft additional language for the veterinary compounding rule placing Louisiana pharmacists on notice that no Board rule could provide immunity for any federal enforcement action. He then moved,

Resolved, to approve Regulatory Proposal 2015-D ~ Compounding for Office Use for Veterinarians (Draft #3), and further, to authorize the Executive Director to promulgate the proposed rule amendment upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the promulgation process.

The motion was adopted after a unanimous vote in the affirmative. Mr. Broussard reminded the members he had recently re-published the original emergency rule on this topic pursuant to their instruction and it obviously differed from the proposal just adopted. Mr. McKay then moved,

Resolved, to cancel the previously published emergency rule on this topic, and further, adopt a new declaration of emergency consistent with the regulatory proposal just adopted, and further, to publish the new proposal as a revised emergency rule, and further, to re-publish this revised emergency rule as necessary for the Board to complete the promulgation process.

The motion was adopted after a unanimous vote in the affirmative.

Mr. McKay then reviewed three legislative proposals the committee developed and voted to recommend during their January 19 meeting. He then moved,

Resolved, to approve Legislative Proposal 2016-A ~ CDS Schedule Update (Draft #1), and further, to authorize the filing of same upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the legislative process.

The motion was adopted after a unanimous vote in the affirmative. Mr. McKay then moved,

Resolved, to approve Legislative Proposal 2016-B ~ PMP Record Retention (Draft #1), and further, to authorize the filing of same upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the legislative process.
The motion was adopted after a unanimous vote in the affirmative. Mr. McKay then moved,

Resolved, to approve Legislative Proposal 2016-C ~ Application Fee for Marijuana Pharmacy Permit (Draft #1), and further, to authorize the filing of same upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the legislative process.

The motion was adopted after a unanimous vote in the affirmative.

Mr. McKay then reviewed three new regulatory proposals the committee developed and voted to recommend during their January 19 meeting. He then moved,

Resolved, to approve Regulatory Proposal 2016-C ~ CDS Prescriptions (Draft #1), and further, to authorize the Executive Director to promulgate the proposed rule amendments upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the promulgation process.

The motion was adopted after a unanimous vote in the affirmative. Mr. McKay then moved,

Resolved, to approve Regulatory Proposal 2016-E ~ Pharmacist-in-Charge (PIC) in Nonresident Pharmacies (Draft #1), and further, to authorize the Executive Director to promulgate the proposed rule amendments upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the promulgation process.

The motion was adopted after a unanimous vote in the affirmative. Mr. McKay then moved,

Resolved, to approve Regulatory Proposal 2016-F ~ Medication Synchronization (Draft #2), and further, to authorize the Executive Director to promulgate the proposed rule amendments upon the instruction of the President, and further, to authorize the President to approve acceptable amendments as may become necessary during the promulgation process.

The motion was adopted after a unanimous vote in the affirmative.

Mr. McKay reported two other regulatory proposals were drafted during the January 19 meeting, one for revising the practical experience requirement for pharmacist licensure as well as the accreditation requirement for pharmacy technician training programs. He indicated these two proposals were dually referred to the Tripartite Committee in order to solicit the input from the educators and practitioners composing that particular committee.

Mr. McKay closed his report by identifying the remaining agenda topics and expressing his appreciation to the other committee members for their ongoing efforts, as well as the staff’s assistance.
11. Staff Reports

J. Report of Assistant Executive Director

Mr. Aron called upon Mr. Fontenot for his report. Mr. Fontenot then directed the members to a copy of the quarterly report on the Prescription Monitoring Program (PMP) report in their electronic meeting binder. He reviewed the report and all of the performance metrics.

Mr. Fontenot then directed the members to the requests for exemption from the PMP reporting requirements. Mr. Burch moved, Resolved, to authorize the issuance of PMP reporting waivers to:

- PHY.007237-NR – Complete Care Pharmacy (IL);
- PHY.007257-HOS – Covington-AMG Specialty Hospital (LA);
- PHY.006698-NR – Crescent Healthcare (FL);
- PHY.007131-NR – Cystic Fibrosis Services, Inc. (MD);
- PHY.007261-NR – Enclara Pharmacy (PA);
- PHY.007195-NR – EntrustRx (MS);
- PHY.007190-NR – Fresenius Medical Care North America (AR);
- PHY.007225-NR – McKesson Patient Care Solutions (NJ);
- PHY.007129-NR – MMS Solutions (TN);
- PHY.006924-HOX – New Orleans East Hospital (LA);
- PHY.007191-NR – NPS Pharmacy (TN);
- PHY.007216-HOS – Promise Hospital of Louisiana (LA);
- PHY.004563-HOS – Springhill Med Ctr Pharmacy (LA);
- PHY.004324-HOS – Tulane Health System Pharmacy (LA); and
- PHY.005554-HOS – Tulane-Lakeside Hospital Pharmacy (LA)

once they have executed the standard consent agreement for that purpose.

The motion was adopted after a unanimous vote in the affirmative.

Finally, Mr. Fontenot indicated completion of his report.

K. Report of General Counsel

Mr. Aron called upon Mr. Finalet for the report. Mr. Finalet then presented the following files to the Board for its consideration.

Mitchell Colt McKinney (PST.020101) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Hootan Melamed (PST.020142) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Ranisha Reanna Lanieux (CPT.010320) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $250 plus administrative costs.
Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed the permit owner a fine of $5,000 plus administrative costs.

Jeffrey Dean Sawyer (PST.020587) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Christian Uwabunkonye O’Haeri (PST.019793) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Kelly Jean Zacarelli (PST.019072) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Ryan Keith Hollingsworth (PST.021412) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Lin Leung (PST.019612) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

Madhavi Padigala (PST.020460) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed a fine of $1,000 plus administrative costs.

BriovaRx of Nevada, Inc. d/b/a BriovaRx (PHY.007221) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board issued a Letter of Reprimand, and further, assessed the permit owner a fine of $5,000 plus administrative costs.

Anthony John Grzib, Jr. (PST.018508) Mr. McKay moved to approve the proposed voluntary consent agreement. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the license one
year, eight months, and eight days and stayed the execution of the suspension, then placed the license on probation for one year, eight months, and either days, effective February 24, 2016 and to run concurrently with the probationary period imposed by the New Jersey Board of Pharmacy against his New Jersey pharmacist license, subject to certain terms enumerated in the consent agreement, and further assessed administrative costs.

**Latasha Monique King (CPT.008866)** Mr. McKay moved to accept the voluntary surrender of the credential. The motion was adopted after a unanimous vote in the affirmative. The Board accepted the voluntary surrender, resulting in the active suspension of the certificate for an indefinite period of time, effective November 18, 2015.

**Kacie Dore’ Keith (PST.020248)** Mr. McKay moved to accept the voluntary surrender of the credential. The motion was adopted after a unanimous vote in the affirmative. The Board accepted the voluntary surrender, resulting in the active suspension of the license for an indefinite period of time, effective January 20, 2016.

**Richard Joseph Guillot (CDS.019670-MD)** Mr. McKay moved to suspend the CDS license due to the voluntary surrender of his federal DEA registration. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the CDS license for an indefinite period of time, effective May 20, 2015.

**Ravish Vinay Patwardhan (CDS.030289-MD)** Mr. McKay moved to suspend the CDS license due to the revocation of his medical license. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the CDS license for an indefinite period of time, effective October 26, 2015.

**Broderick Letrey Pinkney (CDS.038308-MD)** Mr. McKay moved to suspend the CDS license due to the suspension of his medical license. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the CDS license for an indefinite period of time, effective November 30, 2015.

**Eric Edward Holt (CDS.012146-MD)** Mr. McKay moved to suspend the CDS license due to the suspension of his medical license. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the CDS license for an indefinite period of time, effective December 7, 2015.

**Randy Joseph Lamartiniere (CDS.019064)** Mr. McKay moved to suspend the CDS license due to the summary suspension (in part) of his medical license. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the CDS license for an indefinite period of time, effective December 29, 2015.
Natalia Beth Hannan (CDS.044639-MD) Mr. McKay moved to suspend the CDS license due to the suspension of her medical license. The motion was adopted after a unanimous vote in the affirmative. The Board suspended the CDS license for an indefinite period of time, effective December 8, 2015.

Finally, Mr. Finalet indicated the completion of his report.

L. Report of Executive Director
Mr. Aron called upon Mr. Broussard for the report. Mr. Broussard directed the members to his report which was posted in the Boardroom Library prior to the meeting; it was also included in the meeting binder. He reviewed the following topics:

- Meeting Activity
- Reports
  - Census Reports – Credentials & Compliance Divisions
  - Production Reports – Credentials Division
  - Exceptions Report
- Examinations
  - MPJE
  - NAPLEX
  - PARE
  - PTCB
- Operations
  - Credentials Division
  - Compliance Division
  - Administrative Division
- State Activities
  - 2016 Regular Session of Louisiana Legislature
- National Activities
  - United States Pharmacopeia (USP)
  - National Association of Boards of Pharmacy (NABP)
  - NABP-AACP District 6
  - MALTAGON
- International Activities
  - International Pharmaceutical Federation (FIP)
  - World Health Professions Alliance (WHPA)

Finally, Mr. Broussard indicated the completion of his report.

13. Announcements
Mr. Aron directed the members to the announcements in their meeting binder.

14. Recess
Having completed the tasks itemized on the posted agenda, with no further business pending before the Board, and without objection, Mr. Aron recessed the meeting at 2:15 p.m.
An Administrative Hearing was convened on Thursday, February 25, 2016 in the Boardroom of the Board’s office, located at 3388 Brentwood Drive in Baton Rouge, Louisiana. The hearing was held pursuant to public notice, each member received notice, each respondent received notice (unless specifically stated otherwise in the official transcript), and notice was properly posted.

A. **Call to Order**
Mr. Aron called the meeting to order at 8:35 a.m.

B. **Invocation & Pledge of Allegiance**
Mr. Aron called upon Mr. Bond for the invocation, and then Mr. McKay led the group in the recitation of the Pledge of Allegiance

C. **Quorum Call**
Mr. Aron called upon Secretary Bond and he called the roll. After doing so, he certified Ms. Reed was absent; however, the remaining 16 members were present, constituting a quorum for the conduct of official business.

D. **Call for Additional Agenda Items & Adoption of Agenda**
Mr. Aron asked if there were any additional agenda items, and none were requested. With no objection, the Board adopted the posted agenda for the meeting. He then requested authority to re-order the agenda as may become necessary, and there was no objection to that request.

E. **Opportunity for Public Comment**
Mr. Aron reminded the members and guests the Open Meetings Law requires all public bodies to provide an opportunity for public comment at all meetings and prior to the vote on each agenda item. He solicited comments from the guests, but none were offered.

**Appearances**
Mr. Aron indicated he would serve as the Hearing Officer, Ms. Celia R. Cangelosi and Mr. Carlos Finalet as the Prosecuting Attorneys, Mr. Mark LaCour as the Official Recorder, and Mr. Malcolm Broussard as the Hearing Clerk. Without objection, Mr. Aron waived the reading of the posted agenda and instead directed the insertion thereof into these minutes. The posted agenda is re-created here.

---

**A G E N D A**

NOTE: This agenda is tentative until 24 hours in advance of the meeting, at which time the most recent revision becomes official.
Revised 02-20-2016

A. **Call to Order**

B. **Invocation & Pledge of Allegiance**

C. **Quorum Call**
D. Call for Additional Agenda Items & Adoption of Agenda

E. Opportunity for Public Comment

F. Formal Hearings

01. CPT.012433 – Sade Shanaee Shuntae Thomas Case No. 14-0343

02. PTC.022688 – Ni’Esha Shantae Domingue Case No. 15-0047

03. PHY.007064 – HealthScripts of America – Southeast Louisiana, LLC d/b/a HealthScripts of America – Southeast Louisiana Case No. 15-0045

04. PHY.006874 – HealthScripts of America – North Shore, LLC d/b/a HealthScripts of America – North Shore Case No. 15-0077

G. Adjourn

F. Formal Hearings

Mr. Aron asked Ms. Cangelosi if she was prepared to begin and she replied in the affirmative. Ms. Cangelosi requested permission to re-order the sequence of the cases; hearing no objection, Mr. Aron granted that request.

HealthScripts of America – Southeast Louisiana, LLC d/b/a HealthScripts of America – Southeast Louisiana (PHY.007064) Ms. Cangelosi appeared for the Board, and noted the absence of the respondent or any counsel for the respondent. After verifying the absence of the respondent, Mr. Aron ruled the hearing would continue as a default proceeding. Ms. Cangelosi presented an opening statement, three witnesses, and six exhibits. Ms. Cangelosi then offered a closing statement, proffered proposed findings of fact, conclusions of law, and a proposed board order, and then tendered the matter to the hearing panel for its consideration. Mr. McKay moved to enter into executive session for deliberating the disciplinary matter and discussing the respondent’s professional competency. The motion was adopted after a unanimous roll call vote in the affirmative.

It was noted the hearing panel entered into executive session at 9:15 a.m. and then returned to open session at 10:00 a.m.

Ms. Hall moved,

Resolved, that the Board’s hearing panel, having heard the testimony, considered the evidence, observed the demeanor of the witnesses and weighed the credibility of each, accept the Findings of Fact as proposed by the Prosecuting Attorney, modify them by amending Item 12 to reflect the absence of the respondent from these proceedings, adopt the amended findings as our own, and then enter them into the hearing record.

The motion was adopted after a unanimous vote in the affirmative. Ms. Hall then
Resolved, that the Board’s hearing panel accept the Conclusions of Law as proposed by the Prosecuting Attorney, adopt them as our own, and then enter them into the hearing record. The motion was adopted after a unanimous vote in the affirmative. Ms. Hall then moved,

Resolved, that the Board’s hearing panel enter the following order at this time:

It is ordered, adjudged, and decreed that Louisiana Pharmacy Permit No. 7064, held by HealthScripts of America – Southeast Louisiana, LLC d/b/a HealthScripts of America – Southeast Louisiana, shall be, and is hereby revoked, effective on the entry of this order; and further, the respondent shall pay the following assessments:

1. A fine of $50,000;
2. The administrative hearing fee of $250; and
3. The investigative and hearing costs, including the costs of the prosecuting attorney and the official recorder; and

It is further ordered, the acceptance of any future application for the reinstatement of this permit, or any application for any other credential issued by the Board, shall be conditioned upon the satisfaction of the following terms:

1. Respondent shall have paid all assessments levied herein; and
2. Respondent shall have no pending legal or disciplinary matters against it in any jurisdiction.

The motion was adopted after a unanimous vote in the affirmative.

HealthScripts of America – North Shore, LLC d/b/a HealthScripts of America – North Shore (PHY.006874) Ms. Cangelosi appeared for the Board and noted the absence of the respondent or counsel. After verifying the absence of the respondent, Mr. Aron ruled the hearing would proceed as scheduled in the form of a default proceeding. Ms. Cangelosi presented an opening statement, three witnesses, and seven exhibits. She then offered a closing statement, proffered proposed findings of fact, conclusions of law, and board order, and then tendered the matter to the hearing panel for its consideration. Mr. Moore moved to enter into executive session for the purpose of deliberating the disciplinary matter and discussing the respondent’s professional competency. The motion was adopted after a unanimous roll call vote in the affirmative.

It was noted the hearing panel entered executive session at 10:50 a.m. and then reconvened in open session at 11:20 a.m.

Mr. Indovina moved,

Resolved, that the Board’s hearing panel, having heard the testimony, considered the evidence, observed the demeanor of the
witnesses and weighed the credibility of each, accept the Findings of Fact as proposed by the Prosecuting Attorney, modify them by amending Item 11 to reflect the absence of the respondent from these proceedings, adopt the amended findings as our own, and then enter them into the hearing record.

The motion was adopted after a unanimous vote in the affirmative. Mr. Indovina then moved,

**Resolved,** that the Board’s hearing panel accept the Conclusions of Law as proposed by the Prosecuting Attorney, modify them by correcting the pharmacy permit number in the opening sentence, adopt the amended conclusions as our own, and then enter them into the hearing record.

The motion was adopted after a unanimous vote in the affirmative. Mr. Indovina then moved,

**Resolved,** that the hearing panel enter the following order at this time:

It is ordered, adjudged, and decreed that Louisiana Pharmacy Permit No. 6874, held by HealthScripts of America – North Shore, LLC d/b/a HealthScripts of America – North Shore, shall be and is hereby revoked, effective on the entry of this order, and further, the respondent shall pay the following assessments:

1. A fine of $75,000;
2. The administrative hearing fee of $250; and
3. The investigative and hearing costs, including the costs of the prosecuting attorney and the official recorder; and

It is further ordered the acceptance of any future application for the reinstatement of this permit, or any application for any other credential issued by the Board, shall be conditioned upon the satisfaction of the following terms:

1. Respondent shall have paid all assessments levied herein; and
2. Respondent shall have no pending legal or disciplinary actions against it in any jurisdiction.

The motion was adopted after a unanimous vote in the affirmative.

It was noted Dr. Simonson departed the hearing prior to the following case.

**Sade Shanae Shuntae Thomas (CPT.012433)** Ms. Cangelosi appeared for the Board and noted the absence of the respondent or counsel. After verifying the absence of the respondent, Mr. Aron ruled the hearing would proceed as scheduled in the form of a default proceeding. Ms. Cangelosi presented an opening statement, one witness, and nine exhibits. She then offered a closing statement, proffered proposed findings of fact, conclusions of law, and board order, and then tendered the matter to the hearing panel for its consideration. Mr. Moore moved to enter into executive session for the purpose of deliberating
the disciplinary matter and discussing the respondent’s professional competency. The motion was adopted after a unanimous roll call vote in the affirmative.

It was noted the hearing panel entered executive session at 11:40 a.m. and then reconvened in open session at 11:50 a.m.

Ms. Cangelosi requested permission to amend her original proposed findings of fact and conclusions of law. Hearing no objection, Mr. Aron permitted her to do so; the amended document was returned to the Hearing Clerk.

Mr. McKay moved, Resolved, that the Board’s hearing panel, having heard the testimony and considered the evidence, accept the Findings of Fact as proposed by the Prosecuting Attorney, adopt them as our own, and then enter them into the hearing record. The motion was adopted after a unanimous vote in the affirmative. Mr. McKay then moved, Resolved, that the Board’s hearing panel accept the Conclusions of Law as proposed by the Prosecuting Attorney, adopt them as our own, and then enter them into the hearing record. The motion was adopted after a unanimous vote in the affirmative. Mr. McKay then moved, Resolved, that the hearing panel enter the following order at this time:

It is ordered, adjudged, and decreed that Louisiana Pharmacy Technician Certificate No. 12433, held by Sade Shanae Shuntae Thomas, shall be and is hereby suspended for an indefinite period of time, effective on the entry of this order, and further, the respondent shall pay the following assessments:

(1) A fine of $1,000;
(2) The administrative hearing fee of $250; and
(3) The investigative and hearing costs, including the costs of the prosecuting attorney, and the official recorder; and

It is further ordered the acceptance of any future application for the reinstatement of this certificate, or any application for any other credential issued by the Board, shall be conditioned upon the satisfaction of the following terms:

(1) Respondent shall have paid all assessments levied herein; and
(2) Respondent shall have no pending legal or disciplinary actions against her in any jurisdiction.

The motion was adopted after a unanimous vote in the affirmative.

It was noted Mr. Indovina departed the hearing room prior to the following case.
Ni’Esha Shantae Domingue (PTC.022688) Mr. Finalet appeared for the Board and noted the absence of the respondent or counsel. After verifying the absence of the respondent, Mr. Aron ruled the hearing would proceed as scheduled in the form of a default proceeding. Mr. Finalet presented an opening statement.

At that point, Mr. Aron departed the hearing room, and Mr. McKay, as the ranking officer present, assumed the chair as temporary hearing officer.

Mr. Finalet continued with the presentation of the case. He called no witnesses, and offered four exhibits. He then offered a closing statement, proffered proposed findings of fact, conclusions of law, and board order, and then tendered the matter to the hearing panel for its consideration. Mr. Soileau moved to enter into executive session for the purpose of deliberating the disciplinary matter and discussing the respondent’s professional competency. The motion was adopted after a unanimous roll call vote in the affirmative.

At that point, Mr. Aron returned to the chair and resumed his duty as hearing officer. It was noted the hearing panel entered executive session at 12:05 p.m. and then reconvened in open session at 12:10 p.m.

Ms. Hall moved,  
Resolved, that the Board’s hearing panel, having heard the testimony and considered the evidence, accept the Findings of Fact as proposed by the Prosecuting Attorney, modify them by amending Item 6 to correct the date of the mailing of the notice for the administrative hearing, adopt the amended findings as our own, and then enter them into the hearing record.

The motion was adopted after a unanimous vote in the affirmative. Ms. Hall then moved,

Resolved, that the Board’s hearing panel accept the Conclusions of Law as proposed by the Prosecuting Attorney, adopt them as our own, and then enter them into the hearing record.

The motion was adopted after a unanimous vote in the affirmative. Ms. Hall then moved,

Resolved, that the hearing panel enter the following order at this time:

It is ordered, adjudged, and decreed that Louisiana Pharmacy Technician Candidate Registration No. 22688, held by Ni’Esha Shantae Domingue, shall be and is hereby revoked, effective on the entry of this order, and further, the respondent shall pay the following assessments:

(1) A fine of $500;
(2) The administrative hearing fee of $250; and
(3) The investigative and hearing costs, including the costs of the prosecuting attorney and the official recorder; and

- 26 –
It is further ordered the acceptance of any future application for the reinstatement of this registration, or any application for any other credential issued by the Board, shall be conditioned upon the satisfaction of the following terms:

(1) Respondent shall have paid all assessments levied herein; and

(2) Respondent shall have no pending legal or disciplinary actions against her in any jurisdiction.

The motion was adopted after a unanimous vote in the affirmative.

Mr. Finalet indicated completion of the formal hearings scheduled for that day. Mr. Aron expressed his appreciation to Mr. LaCour for his services that day.

G. Adjourn

Having completed the tasks itemized on the posted agenda, with no further business pending before the Board, and without objection, Mr. Aron adjourned the meeting at 12:15 p.m.

Respectfully submitted,

__________________________________
Brian A. Bond
Secretary
Report on Action Items
Agenda Item 6: Report on Action Items

During your last Board meeting, you responded to a request for an advisory opinion relative to the new language in the disciplinary section of the Pharmacy Practice Act added by Act 409 of the 2015 Legislature. That language addresses marketing contractors used by pharmacies and the nature of the compensation paid by the pharmacies. Following your decision at the meeting, we relayed that advisory opinion to the requesting pharmacy.

You also received a request from Tulane Health System relative to the dispensing of investigational drugs at a hospital pharmacy. Following your deliberation, you adopted a motion directing the Regulation Revision Committee to address that topic and develop a recommendation for your consideration at a future meeting. The topic was added to the agenda for the April 21 meeting of the committee, and remains one of their assignments.

During the report from the Executive Committee, you approved two resolutions for professional legal services as well as several new proposed contracts and agreements. After the meeting, we executed those contracts and submitted them to the appropriate legislative and administrative agencies which have oversight of the Board’s administrative operations.

During the report from the Regulation Revision Committee:

- You approved a new draft for the pending proposed rule relative to compounding for office use for veterinarians. You then adopted a motion to cancel the previously-issued emergency rule, issue a revised emergency rule mirroring the draft you approved that day, and authorized the re-issuance of the revised emergency rule as necessary to complete the promulgation process. We issued the Revised Emergency Rule on February 27, with the required notices to all the legislative and gubernatorial offices, as well as notice of electronic rulemaking to all of our pharmacy licensees as well as our List of Interested Parties. We then published the required Potpourri Notice of the revised language in the March 2016 edition of the Louisiana Register. During the April 20, 2016 public hearing, we received comments and testimony on the proposed revision; you will consider that testimony and comments later today.

- You approved Legislative Proposal 2016-A ~ CDS Schedule Update. Rep. Bernard LeBas agreed to sponsor that legislation (HB 688) for us. We made some technical amendments on the Senate side, and the House concurred with those Senate amendments yesterday. The bill is headed to the Governor’s office for his signature.

- You approved Legislative Proposal 2016-B ~ PMP Record Retention. Sen. Ronnie Johns agreed to sponsor this legislation (SB 56) for us. That bill has cleared the Senate, and was reported favorably by the House Health & Welfare Committee yesterday. We anticipate approval by the full House perhaps next week, and then it will be routed to the Governor’s office for his signature.

- You approved Legislative Proposal 2016-C ~ Application Fee for Marijuana Pharmacy Permit. Rep. LeBas agreed to sponsor this legislation (HB 446) for us. There was one amendment on the House floor to prohibit members of the Board of Pharmacy from qualifying for this type of permit, and there was a technical amendment in the Senate committee. This bill cleared the Senate floor earlier this week, and is now pending House concurrence with the Senate amendment. The next stop for that bill will be the Governor’s office for his signature.

- You approved three new regulatory proposals:
  - 2016-C ~ CDS Prescriptions;
  - 2016-E ~ Pharmacist-in-Charge in Nonresident Pharmacies; and
  - 2016-F ~ Medication Synchronization.
We prepared the required impact statements and submitted all three proposals for publication in the April 2016 edition of the *Louisiana Register*. As indicated in those notices, we will conduct a public hearing on May 25 to receive comments and testimony on those proposals. Any comments and testimony received will be presented for your review at the subsequent meeting in August.

Respectfully submitted,
Malcolm J Broussard
Executive Director
NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
Finance Committee

Interim Report
Fiscal Year 2015-2016

May 4, 2016

Blake P. Pitre
Chair
Louisiana Board of Pharmacy  
FY 2015-2016  
Statement of Assets, Liabilities, Equity

<table>
<thead>
<tr>
<th>FY 14-15 (A)</th>
<th>FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q4 06/30/2015</td>
<td>Q3 03/31/2016</td>
</tr>
</tbody>
</table>

### ASSETS

#### Current Assets

- **Cash**
  - General Operations
    - Whitney Bank: 160,513 to 160,634
    - Iberia Bank: 928,695 to 693,337
    - Hurricane Relief Fund - Whitney Bank: 83,221 to 83,284

- **Prepaid Expenses**: 3,000 to 0

**Total Current Assets**: 4,143,069 to 4,267,697

#### Fixed Assets

- **Land**: Lot 5-A, Towne Center Business Park: 709,080 to 709,080
- **Land**: Lot 1-A-2, Leonard Place Subdivision: 295,860 to 295,860
- **Office Building - 3388 Brentwood Drive**: 1,057,861 to 1,057,861
- **Office Equipment**: 216,119 to 221,550
- **Furniture**: 154,198 to 156,785
- **Software: Licensure & Website**: 408,560 to 408,560
- **Accumulated Depreciation**
  - Whitney Bank: (762,358) to (811,082)

**Total Fixed Assets**: 2,079,320 to 2,038,614

**TOTAL ASSETS**: 6,222,389 to 6,306,311

### DEFERRED OUTFLOWS OF RESOURCES

**Deferred Outflows of Resources**: 644,896 to 644,896

**TOTAL ASSETS & DEFERRED OUTFLOWS**: 6,867,285 to 6,951,207

### LIABILITIES

#### Current Liabilities

- **Accrued salaries and benefits**: 82,372 to 0
- **Unemployment taxes payable**: 57 to 319
- **State taxes withheld**: 3,365 to 2,952
- **State retirement withheld**: 0 to 0
- **Accounts payable**: 2,225 to 0
- **Interest payable**: 2,469 to 0
- **Compensated absences (ST)**: 64,373 to 64,373
- **Building Loan @ Iberia Bank (ST)**: 474,134 to 0

**Total Current Liabilities**: 628,995 to 67,644
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<tr>
<th>FY 14-15 Q4 06/30/2015 (A)</th>
<th>FY 15-16 Q3 03/31/2016</th>
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**LIABILITIES (cont.)**

> Long Term Liabilities

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<tr>
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<th>FY 14-15</th>
<th>FY 15-16</th>
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<td>Other Post Employment Benefits (OPEB) Payable</td>
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<td>Net Pension Liability</td>
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Total Long Term Liabilities

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**TOTAL LIABILITIES**

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<td>5,896,048</td>
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**DEFERRED INFLOWS OF RESOURCES**

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**EQUITY**

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<td>(2,408,224)</td>
<td>(1,424,342)</td>
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<td>182,952</td>
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Total Equity

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**TOTAL LIABILITIES, DEFERRED INFLOWS, & EQUITY**

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<tr>
<th>FY 14-15</th>
<th>FY 15-16</th>
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<tbody>
<tr>
<td>6,867,285</td>
<td>6,951,207</td>
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## Louisiana Board of Pharmacy
### FY 2015-2016
#### Statement of Revenue, Expenses, and Budget Performance

### Revenue

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<tr>
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<th>FY 14-15</th>
<th>FY 15-16 Q3 03/31/2016</th>
<th>FY 15-16 Budget (A#1)</th>
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<td><strong>Licenses &amp; Permits</strong></td>
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<td>Pharmacist Renewals</td>
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<td>Permits - CDS</td>
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<td><strong>Sale of Goods &amp; Services</strong></td>
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<td>Law Books</td>
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<td>Official Lists of Licensees</td>
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<td>USCPSC Inspection Fee</td>
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<td>Disposal of Assets</td>
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<td><strong>Enforcement Actions</strong></td>
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<td>Hearing Fees</td>
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<td>Fines</td>
<td>631,500</td>
<td>413,044</td>
<td>200,000</td>
</tr>
<tr>
<td>Investigative Costs</td>
<td>30,320</td>
<td>10,457</td>
<td>30,000</td>
</tr>
<tr>
<td><strong>Prescription Monitoring Program</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessments</td>
<td>482,225</td>
<td>302,075</td>
<td>475,000</td>
</tr>
<tr>
<td><strong>Miscellaneous</strong></td>
<td>940</td>
<td>1,455</td>
<td>1,000</td>
</tr>
</tbody>
</table>

**TOTAL REVENUE**

3,586,686  2,519,406  3,073,000
Louisiana Board of Pharmacy  
FY 2015-2016  
Statement of Revenue, Expenses, and Budget Performance  

<table>
<thead>
<tr>
<th>Expenses</th>
<th>FY 14-15</th>
<th>FY 15-16</th>
<th>FY 15-16 Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rentals - Office &amp; Equipment</td>
<td>14,535</td>
<td>8,844</td>
<td>17,000</td>
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<tr>
<td>Equipment Maintenance</td>
<td>2,579</td>
<td>4,066</td>
<td>3,000</td>
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<tr>
<td>Telephone</td>
<td>19,634</td>
<td>12,855</td>
<td>20,000</td>
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<tr>
<td>Printing</td>
<td>22,443</td>
<td>20,108</td>
<td>25,000</td>
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<tr>
<td>Postage</td>
<td>48,112</td>
<td>54,973</td>
<td>52,000</td>
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<tr>
<td>Civil Service Assessment</td>
<td>6,074</td>
<td>6,323</td>
<td>6,400</td>
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<tr>
<td>Office Insurance (ORM)</td>
<td>7,112</td>
<td>8,931</td>
<td>8,400</td>
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<tr>
<td>Dues &amp; Subscriptions</td>
<td>10,613</td>
<td>4,608</td>
<td>20,000</td>
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<tr>
<td>Office Supply Expenses</td>
<td>21,175</td>
<td>12,839</td>
<td>21,000</td>
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<tr>
<td>Financial Service Charges</td>
<td>47,541</td>
<td>38,635</td>
<td>50,000</td>
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<tr>
<td>Depreciation of Fixed Assets</td>
<td>99,091</td>
<td>48,724</td>
<td>64,000</td>
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<tr>
<td>Interest Payments on Building Loan</td>
<td>44,882</td>
<td>11,296</td>
<td>15,000</td>
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<tr>
<td>Office Meeting Expenses</td>
<td>538</td>
<td>756</td>
<td>500</td>
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<td>Utilities</td>
<td>10,614</td>
<td>6,849</td>
<td>11,000</td>
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<tr>
<td>Miscellaneous</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Acquisitions</td>
<td></td>
<td></td>
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<tr>
<td>Personal Services</td>
<td>Salaries</td>
<td>1,477,054</td>
<td>895,866</td>
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<td>Payroll Taxes (FICA + FUTA)</td>
<td>22,117</td>
<td>16,813</td>
<td>28,000</td>
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<td>Retirement Contributions</td>
<td>185,294</td>
<td>322,690</td>
<td>505,000</td>
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<tr>
<td>Health Insurance (SEGBP)</td>
<td>119,813</td>
<td>99,525</td>
<td>135,800</td>
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<tr>
<td>Other Post Employment Benefits (OPEB)</td>
<td>79,132</td>
<td>0</td>
<td>156,000</td>
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<tr>
<td>Board Member Per Diem</td>
<td>29,400</td>
<td>20,625</td>
<td>31,000</td>
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<tr>
<td>Professional Services</td>
<td>Accounting</td>
<td>22,519</td>
<td>21,609</td>
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<tr>
<td>Legal</td>
<td>8,189</td>
<td>6,491</td>
<td>30,000</td>
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<tr>
<td>Information Systems</td>
<td>93,011</td>
<td>101,820</td>
<td>128,000</td>
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<tr>
<td>Property Management</td>
<td>20,350</td>
<td>13,102</td>
<td>42,000</td>
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<td>Temp. Labor</td>
<td>15,507</td>
<td>6,579</td>
<td>20,000</td>
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<td>Prescription Monitoring Program</td>
<td>77,300</td>
<td>50,900</td>
<td>80,000</td>
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<tr>
<td>Staff Expenses</td>
<td>ED - Travel</td>
<td>4,264</td>
<td>9,204</td>
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<tr>
<td>GC - Travel</td>
<td>10,212</td>
<td>7,109</td>
<td>10,000</td>
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<tr>
<td>AED - Travel</td>
<td>1,956</td>
<td>6,025</td>
<td>10,000</td>
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<tr>
<td>CO - Travel</td>
<td>3,774</td>
<td>4,585</td>
<td>5,000</td>
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<tr>
<td>CO - Rental Cars &amp; Fuel</td>
<td>15,886</td>
<td>10,159</td>
<td>17,500</td>
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<tr>
<td>CO - Education</td>
<td>8,514</td>
<td>4,669</td>
<td>10,000</td>
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<tr>
<td>House Staff - Travel</td>
<td>199</td>
<td>75</td>
<td>1,000</td>
</tr>
<tr>
<td>Mileage</td>
<td>15,327</td>
<td>7,523</td>
<td>20,000</td>
</tr>
<tr>
<td>Board Expenses</td>
<td>Meeting Expenses</td>
<td>12,070</td>
<td>10,625</td>
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<tr>
<td>Committee Expenses</td>
<td>5,315</td>
<td>5,247</td>
<td>8,000</td>
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<tr>
<td>Conventions</td>
<td>22,668</td>
<td>12,526</td>
<td>15,000</td>
</tr>
<tr>
<td>Mileage</td>
<td>12,483</td>
<td>8,860</td>
<td>15,000</td>
</tr>
<tr>
<td>President's Expenses</td>
<td>10,192</td>
<td>4,989</td>
<td>10,000</td>
</tr>
<tr>
<td>TOTAL EXPENSES</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Louisiana Board of Pharmacy  
FY 2015-2016  
Summary of Income Fund Balance Changes

### Summary

<table>
<thead>
<tr>
<th>FY 14-15</th>
<th>FY 15-16</th>
<th>FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q4 06/30/2015 (A)</td>
<td>Q3 03/31/2016</td>
<td>Budget (A#1)</td>
</tr>
</tbody>
</table>

### Income Statement

<table>
<thead>
<tr>
<th></th>
<th>FY 14-15</th>
<th>FY 15-16</th>
<th>FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Revenue</td>
<td>3,586,686</td>
<td>2,519,406</td>
<td>3,073,000</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>2,631,151</td>
<td>1,887,423</td>
<td>3,073,000</td>
</tr>
<tr>
<td>Net Ordinary Income</td>
<td>955,535</td>
<td>631,983</td>
<td>0</td>
</tr>
<tr>
<td>Other Income &amp; Expenses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Income</td>
<td>28,347</td>
<td>13,290</td>
<td>0</td>
</tr>
<tr>
<td>Net Income</td>
<td>983,882</td>
<td>645,273</td>
<td>0</td>
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</tbody>
</table>

### Fund Balance

<table>
<thead>
<tr>
<th></th>
<th>FY 14-15</th>
<th>FY 15-16</th>
<th>FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Fund Balance</td>
<td>(620,086)</td>
<td>363,796</td>
<td>363,796</td>
</tr>
<tr>
<td>Total Income</td>
<td>3,615,033</td>
<td>2,532,696</td>
<td>3,073,000</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>2,631,151</td>
<td>1,887,423</td>
<td>3,073,000</td>
</tr>
<tr>
<td>Ending Fund Balance</td>
<td>363,796</td>
<td>1,009,069</td>
<td>363,796</td>
</tr>
<tr>
<td>Reservations of Fund Balance</td>
<td>1,272,000</td>
<td>1,237,000</td>
<td>1,237,000</td>
</tr>
<tr>
<td>Unreserved Fund Balance</td>
<td>(908,204)</td>
<td>(227,931)</td>
<td>(873,204)</td>
</tr>
</tbody>
</table>

### Notes on Reservation of Fund Balance

**FY 14-15**  
Other Post-Employment Benefits Payable 572,000  
Debt Service Payable 450,000  
Continuing Payroll Obligations 150,000  
Homeland Maintenance 100,000  
TOTAL 1,272,000

**FY 15-16**  
Other Post Employment Benefits Payable 572,000  
Debt Service Payable 465,000  
Continuing Payroll Obligations 150,000  
Homeland Maintenance 50,000  
TOTAL 1,237,000
### Statement of Assets, Liabilities & Equity

<table>
<thead>
<tr>
<th></th>
<th>FY 14-15</th>
<th>FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Q4 06/30/2015 (A)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ASSETS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Assets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hancock Bank - Checking Account</td>
<td>83,221</td>
<td>83,284</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS</strong></td>
<td>83,221</td>
<td>83,284</td>
</tr>
<tr>
<td><strong>LIABILITIES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Liabilities</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>EQUITY</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Retained Earnings</td>
<td>83,137</td>
<td>83,221</td>
</tr>
<tr>
<td>Net Income</td>
<td>84</td>
<td>63</td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES &amp; EQUITY</strong></td>
<td>83,221</td>
<td>83,284</td>
</tr>
</tbody>
</table>

**Note:** These funds are held in an account separate and apart from the Board's operating funds. Further, all recordkeeping is kept separate from the Board's general fund records. At the conclusion of the audit exposure period, any funds remaining will be transferred to the Board's operating account.

### Statement of Receipts & Disbursements

<table>
<thead>
<tr>
<th></th>
<th>FY 14-15</th>
<th>FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Q4 06/30/2015 (A)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>RECEIPTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FEMA - Funds for payment of claims</td>
<td>8,920,812</td>
<td>8,920,812</td>
</tr>
<tr>
<td>FEMA - Administrative allowance</td>
<td>81,103</td>
<td>81,103</td>
</tr>
<tr>
<td>Pharmacies - reversal of claims</td>
<td>430,138</td>
<td>430,138</td>
</tr>
<tr>
<td>Interest income</td>
<td>22,146</td>
<td>22,209</td>
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<tr>
<td><strong>TOTAL RECEIPTS</strong></td>
<td>9,454,199</td>
<td>9,454,262</td>
</tr>
<tr>
<td><strong>DISBURSEMENTS</strong></td>
<td></td>
<td></td>
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<tr>
<td>Claims paid to pharmacies</td>
<td>8,920,812</td>
<td>8,920,812</td>
</tr>
<tr>
<td>Reversed claim funds returned</td>
<td>430,138</td>
<td>430,138</td>
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<tr>
<td>Reversed administrative allowance returned</td>
<td>7,338</td>
<td>7,338</td>
</tr>
<tr>
<td>Interest earned on reversed admin. allowance returned</td>
<td>12,690</td>
<td>12,690</td>
</tr>
<tr>
<td><strong>TOTAL DISBURSEMENTS</strong></td>
<td>9,370,978</td>
<td>9,370,978</td>
</tr>
<tr>
<td><strong>FUND BALANCE</strong></td>
<td>83,221</td>
<td>83,284</td>
</tr>
<tr>
<td>Date</td>
<td>Action</td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>11/12/2014</td>
<td>Original Budget - Finance Committee Approval</td>
<td></td>
</tr>
<tr>
<td>11/13/2014</td>
<td>Original Budget - Board Approval</td>
<td></td>
</tr>
<tr>
<td>8/11/2015</td>
<td>Budget Amendment #1 - Finance Committee Approval</td>
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<td>8/12/2015</td>
<td>Budget Amendment #1 - Board Approval</td>
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<tr>
<td></td>
<td>Budget Amendment #2 - Finance Committee Approval</td>
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<td></td>
<td>Budget Amendment #2 - Board Approval</td>
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<tr>
<td>Aug-16</td>
<td>Acceptance of Final Report</td>
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</table>
Portfolio at a Glance

<table>
<thead>
<tr>
<th>Description</th>
<th>This Period</th>
<th>% Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Account Value</td>
<td>$1,234,522.43</td>
<td></td>
</tr>
<tr>
<td>Dividends, Interest and Other Income</td>
<td>0.05</td>
<td></td>
</tr>
<tr>
<td>Net Change in Portfolio</td>
<td>4,154.44</td>
<td></td>
</tr>
<tr>
<td>Ending Account Value</td>
<td>$1,238,676.92</td>
<td></td>
</tr>
<tr>
<td>Estimated Annual Income</td>
<td>$9,818.82</td>
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</table>

Asset Allocation

<table>
<thead>
<tr>
<th>Description</th>
<th>This Period</th>
<th>% Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits</td>
<td>5,879.74</td>
<td>1%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>1,232,787.18</td>
<td>99%</td>
</tr>
<tr>
<td>Account Total</td>
<td>$1,238,676.92</td>
<td>100%</td>
</tr>
</tbody>
</table>

Please review your allocation periodically with your Account Executive.
Client Service Information

Your Account Executive: JOSEPH BARRECA, JR.
IBERIA FINANCIAL SERVICES
2900 RIDGELAKE DRIVE
METAIRIE, LA 70002-4923

Contact Information

Telephone Number: (504) 310-7346

Your Account Information

Tax Lot Default Disposition Method
Default Method for Mutual Funds: AVERAGE COST (USING FIRST IN FIRST OUT)
Default Method for Stocks in a Dividend Reinvestment Plan: FIRST IN FIRST OUT
Default Method for all Other Securities: FIRST IN FIRST OUT
Bond Amortization Elections:
Amortize premium on taxable bonds based on Constant Yield Method: Yes
Accrual market discount method for all other bond types: Constant Yield Method
Include market discount in income annually: No

Copies of Statement Sent
KOLDER, CHAMPAGNE, SLAVEN & CO
At your request copies of this statement have been sent to the above.

Electronic Delivery
You are currently enrolled to receive the following account communications via electronic delivery:
Statements and Reports
Trade Confirmations
Tax Documents
Notifications
Please log in to your account to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

The above e-mail address is partially masked for your security. Please log into your account to review the full e-mail address.

Activity Summary (All amounts shown are in base currency)

<table>
<thead>
<tr>
<th></th>
<th>Credits This Period</th>
<th>Debits This Period</th>
<th>Net This Period</th>
<th>Credits Year-to-Date</th>
<th>Debits Year-to-Date</th>
<th>Net Year-to-Date</th>
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</thead>
<tbody>
<tr>
<td>Securities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Securities Withdrew</td>
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<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>-676,780.10</td>
<td>-676,780.10</td>
</tr>
<tr>
<td>Total Securities</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>-676,780.10</td>
<td>-676,780.10</td>
</tr>
<tr>
<td>Dividends and Interest</td>
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<td>0.00</td>
<td>0.05</td>
<td>4,247.19</td>
<td>0.00</td>
<td>4,247.19</td>
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<td>Totals</td>
<td>0.05</td>
<td>0.00</td>
<td>0.05</td>
<td>4,247.19</td>
<td>-676,780.10</td>
<td>-672,532.91</td>
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</table>
Securities offered through Essex National Securities, LLC

Transactions in Date Sequence

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity Type</th>
<th>Description</th>
<th>Quantity</th>
<th>Price</th>
<th>Accrued Interest</th>
<th>Amount</th>
<th>Currency</th>
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</thead>
<tbody>
<tr>
<td>03/31/16</td>
<td>MONEY MARKET FUND</td>
<td>INCOME RECEIVED</td>
<td></td>
<td></td>
<td>0.05</td>
<td>0.05</td>
<td>USD</td>
</tr>
<tr>
<td></td>
<td>GENERAL MNY MKT CL B</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Value of Transactions
$0.00
$0.05 USD

The price and quantity displayed may have been rounded.

Portfolio Holdings

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Opening Balance</th>
<th>Closing Balance</th>
<th>Accrued Income</th>
<th>Income This Year</th>
<th>30-Day Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits 1.00% of Portfolio</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash Balance</td>
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<td>4,076.88</td>
<td>0.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Money Market</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GENERAL MNY MKT FUND CL B</td>
<td>5,879.740</td>
<td>1,802.81</td>
<td>5,879.74</td>
<td>0.00</td>
<td>0.07</td>
<td>0.01%</td>
</tr>
<tr>
<td>Total Money Market</td>
<td></td>
<td>$1,802.81</td>
<td>$5,879.74</td>
<td>$0.00</td>
<td>$0.07</td>
<td>$0.07</td>
</tr>
<tr>
<td>Total Cash, Money Funds, and Bank Deposits</td>
<td></td>
<td>$5,879.69</td>
<td>$5,879.74</td>
<td>$0.00</td>
<td>$0.07</td>
<td>$0.07</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Market Price</th>
<th>Market Value</th>
<th>Accrued Interest</th>
<th>Estimated Annual Income</th>
<th>Estimated Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Income 99.00% of Portfolio (In Maturity Date Sequence)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certificates of Deposit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IBERIABANK LAFAYETTE LA CTF DEP ACT/365</td>
<td>10,000.00</td>
<td>100.8530</td>
<td>10,085.30</td>
<td>0.00</td>
<td></td>
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<tr>
<td>0.000% 05/31/16 B/E DTD 05/31/11</td>
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</tr>
<tr>
<td>1ST CPN DTE 11/20/11 CPN PMT SEMI ANNUAL ON MAY 31 AND NOV 31</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Security Identifier: 45083AAV4</td>
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<tr>
<td>BANK OF CHINA NEW YORK CITY BRH</td>
<td>140,000.00</td>
<td>99.9880</td>
<td>139,983.20</td>
<td>452.60</td>
<td>560.00</td>
<td>0.40%</td>
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<tr>
<td>CTF DEP ACT/365 0.400% 06/10/16 B/E DTD 06/10/16</td>
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<tr>
<td>1ST CPN DTE 11/29/11 INTEREST PAYABLE AT MATURITY</td>
<td></td>
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</tr>
<tr>
<td>Security Identifier: 06426THE2</td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>Description</td>
<td>Quantity</td>
<td>Market Price</td>
<td>Market Value</td>
<td>Accrued Interest</td>
<td>Estimated Annual Income</td>
<td>Estimated Yield</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------</td>
<td>----------</td>
<td>--------------</td>
<td>--------------</td>
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</tr>
<tr>
<td><strong>Fixed Income</strong> (continued)</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Certificates of Deposit</strong> (continued)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>CAPITAL ONE BK USA NATL ASSN GLEN ALLEN</td>
<td>170,000.00</td>
<td>100.0000</td>
<td>170,000.00</td>
<td>339.07</td>
<td>1,105.00</td>
<td>0.65%</td>
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<tr>
<td>VA CTF DEP ACT/365 0.650% 12/12/16 B/E DTD 06/10/15 1ST CPN DTE 12/10/15</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>CPN PMT SEMI ANNUAL ON JUN 10 AND DEC 10</td>
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</tr>
<tr>
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</tr>
<tr>
<td>BANK OF THE WEST INSTL CTF DEP</td>
<td>99,000.00</td>
<td>99.5300</td>
<td>87,691.70</td>
<td>0.00</td>
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<tr>
<td>PROGRAM BOOK ENTRY INSTL CTF DEP</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0.000% 12/28/16 B/E DTD 12/28/11 CPN PMT ANNUALLY ON DEC 28</td>
<td></td>
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<tr>
<td>Security Identifier: 06425XCL2</td>
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</tr>
<tr>
<td>JP MORGAN CHASE BK NA COLUMBUS OH CTF DEP</td>
<td>125,000.00</td>
<td>99.2900</td>
<td>122,862.50</td>
<td>0.00</td>
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<tr>
<td>CTF DEP LKD JP MORGAN ETF EFFICIENT</td>
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<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>0.000% 01/31/19 B/E DTD 01/31/14 INTEREST PAYABLE AT MATURITY</td>
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<td></td>
<td></td>
<td></td>
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<td>Security Identifier: 48125TDDG</td>
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<tr>
<td>UNION BK NA SAN FRANCISCO CALIF CTF DEP</td>
<td>74,000.00</td>
<td>100.5100</td>
<td>74,317.40</td>
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<tr>
<td>CTF DEP ACT/365 0.000% 01/31/19 B/E DTD 01/31/14</td>
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<td>Security Identifier: 90521AQG6</td>
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<tr>
<td><strong>Total Certificates of Deposit</strong></td>
<td>608,000.00</td>
<td>605,000.10</td>
<td>$791.67</td>
<td>$1,665.00</td>
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<tr>
<td><strong>U.S. Treasury Securities</strong></td>
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<tr>
<td>UNITED STATES TREAS NTS INFLATION</td>
<td>25,000.00</td>
<td>107.4970</td>
<td>25,193.23</td>
<td>70.88</td>
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<tr>
<td>INDEXED NOTES TIPS 1.250% 07/15/20 B/E DTD 07/15/10</td>
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<tr>
<td>Moody Rating AAA</td>
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<tr>
<td>Security Identifier: 912828NM8</td>
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<tr>
<td>UNITED STATES TREAS NTS</td>
<td>593,000.00</td>
<td>100.9450</td>
<td>596,603.85</td>
<td>686.86</td>
<td>8,153.75</td>
<td>1.36%</td>
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<tr>
<td>1.375% 08/31/20 B/E DTD 08/31/15 1ST CPN DTE 02/29/16 CPN PMT SEMI ANNUAL</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>ON FEB 29 AND AUG 31</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moody Rating AAA</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Security Identifier: 912828L32</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total U.S. Treasury Securities</strong></td>
<td>618,000.00</td>
<td>627,797.08</td>
<td>$757.74</td>
<td>$8,153.75</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Current Face Value</strong></td>
<td>27,157.250</td>
<td>$1,232,787.18</td>
<td>$1,549.41</td>
<td>$9,818.75</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Fixed Income</strong></td>
<td>1,226,060.00</td>
<td>$1,232,787.18</td>
<td>$1,549.41</td>
<td>$9,818.75</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Statement Period: 03/01/2016 - 03/31/2016

Portfolio Holdings (continued)

<table>
<thead>
<tr>
<th>Total Portfolio Holdings</th>
<th>Market Value</th>
<th>Accrued Estimated Interest</th>
<th>Accrued Annual Income</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1,238,676.92</td>
<td>$1,549.41</td>
<td>$9,818.82</td>
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</tr>
</tbody>
</table>

6 The Current Face value represents the outstanding principal balance of the underlying security. The Current Face value is determined by multiplying the current factor times the original face amount of the security. Factors may change over time and are obtained from sources we believe to be reliable.

Portfolio Holdings Disclosures

Pricing
This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

The AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

Estimated Annual Figures
The estimated annual income (FAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/business_continuity.html for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

Reinvestment
The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

Option Disclosure
Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Certificates of Deposit
Please be advised that the secondary market for CDs is generally illiquid; the actual value of CDs may be different from their purchase price; and a significant loss of principal could result if your CDs are sold prior to maturity. In the event that the CDs listed above do not indicate a market valuation, an accurate market value could not be determined. In the event that a price is listed above for your CDs, Pershing has obtained a price from sources deemed to be reliable or has priced your CDs using a matrix formula. Prices are estimates and the actual value you may obtain for your CD may be different if you elect to sell your CD in the secondary market.

Foreign Currency Transactions
Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action.
Portfolio Holdings Disclosures (continued)

Foreign Currency Transactions (continued)
transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vote
Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Money Market Fund Detail

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity Type</th>
<th>Description</th>
<th>Amount</th>
<th>Balance</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Opening Balance</td>
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<tr>
<td>03/01/16</td>
<td>Deposit</td>
<td>MONEY FUND PURCHASE</td>
<td>1,802.81</td>
<td>1,802.81</td>
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<td>03/01/16</td>
<td>Deposit</td>
<td>INCOME REINVEST</td>
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<td>5,879.69</td>
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<td>03/31/16</td>
<td>Closing Balance</td>
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<td>0.00</td>
<td>5,879.74</td>
</tr>
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</table>

Total All Money Market Funds

$5,879.74

Messages

Pershing has been advised by your financial organization that it does not receive compensation for directing order flow.

See the Terms and Conditions section of your brokerage account statement for a description of Pershing's payment for order flow practices.

For additional information regarding order-routing practices and the venues to which your financial organization's orders are routed, you may visit www.orderroutingdisclosure.com.

Upon written request to your financial organization, you may obtain the identity of the venue to which your orders were routed for the six months prior to your request and the time and date of transactions that may have resulted from such orders.

Although a money market mutual fund seeks to preserve the value of your investment at $1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) continuations are not sent for purchases into money market mutual funds processed on the sweep platform.

Privacy Policy

Important Notice: Our Privacy Commitment to You

Why You Are Getting This Notice. You are receiving this Privacy Policy because you are a current customer of Essex National Securities, LLC (ENSI), one of our affiliated insurance agencies or are considering becoming our customer. We are required by law to provide a copy of this notice to you annually. This notice explains how we handle your personal information.
Who We Are. ENSI and its affiliates were selected by your bank or credit union to provide you with access to mutual funds, fixed and variable annuities, other securities or insurance products. ENSI is wholly owned by Infinex Financial Holdings, Inc. This notice applies to: ENSI, Essex National Insurance Agency, Inc., ABS Associates of New York, Emigrant Agency, C&S Securities Corporation and Essex of the Pacific Insurance Agency.

We Protect Your Privacy. We have technical, physical and procedural standards in place to protect your information. Our employees are allowed to access your information when their jobs require it, such as to open your account or answer questions for you.

Information We Collect. We collect non-public personal information directly from you and from additional sources. Information collected may be personal (such as your name and contact information), financial (such as your income and taxes), and health-related, if you are applying for insurance. We use this information to open accounts with product providers, provide customer service to you and conduct routine business functions, such as auditing our records.

Information We Share. We do not share your information with unaffiliated companies for marketing purposes. We do, however, have the right to share personal, financial or health-related information to conduct business and complete transactions you request. We may share information with your agent, broker, bank or credit union to service your contract or account and in order for them to verify compliance with our contractual arrangements and applicable securities, insurance and banking regulations, even after your product or service with us has ended. We may disclose your information to the banks or credit unions with which we are contracted and with which you are associated in order for them to offer you banking products and services. We may disclose information, as legally permitted or required, with authorized government agencies, regulatory auditors, or potential acquirers. We may use data to solicit you to purchase additional products or services offered through ENSI, as allowed by law.

Your Trust Is Important To Us. We are committed to the protection of your information whether you are a current, future or former customer. You have the right to review and correct the information we have about you by making a request in writing to the address below. We generally do not make any information we have collected available to you if a claim or legal proceeding is in progress.

SIPC NOTICE: You may obtain information about SIPC (including the SIPC brochure) by contacting SIPC at (202) 371-8300 or online at http://www.sipc.org. We will maintain all correspondence in our files.

Would you like to receive these notices electronically? Doing the right thing is easy!

To help reduce unnecessary paper waste and energy expended to mail privacy notices, we'd like your help by allowing us to send future notices in an electronic format via e-mail. Not only will you be doing your part to reduce waste, but you'll also be notified via e-mail of any changes in our Privacy Policy immediately.

Privacy Policy
Important Notice: Our Privacy Commitment to You
Important Information and Disclosures

The Role of Pershing

- Pershing carries your account as a clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.

- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.

- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the resolution of disputes, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.

- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial institution's contact information can be found on the first page of this statement.

- Pershing is a member of the Securities Investor Protection Corporation (SIPC). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit www.pershing.com/about/strength-and-stability.

- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.

- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.

- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.

- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.

- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.

- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.

- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; or (iii) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.
TERMS AND CONDITIONS

TRANSACTIONS

- All orders and transactions shall be solely for your account and risk shall be subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange or market and the clearing facility. If any, where the transactions are executed and/or settled, or if applicable, of the financial industry regulatory authority and to all applicable laws and regulations.
- Title to securities sold to you, where Pershing has acted as principal, shall remain with Pershing until the entire purchase price is received or until the settlement date, whichever is later.
- You may receive confirmations for transactions which do not appear on your statement if so, there appear to be any discrepancies between your account statements and your records. Such transactions will be considered by you when computing the value of your account. This is especially true if you have previously established a margin account which have been exercised.

FREE CREDIT BALANCES: Any free credit balance carried for your account represents funds payable upon demand which, although properly accounted for on Pershing’s books of record, are not segregated and may be used in the conduct of its business.

DEBIT BALANCES: Interest charged on debit balances in your account appears on the statement. The rate of interest and period covered are indicated, the rate may change from time to time due to fluctuations in money rates or other reasons. Interest is computed as described in material previously furnished to you. Please contact your financial institution if you desire additional copies.

MARGIN INFORMATION: If you maintain a margin account, this is a combined statement of your general account and a special memorandum account maintained for you under regulation of the board of governors of the Federal Reserve System. The permanent record of the separate account as required by regulation is available for your inspection upon request.

TAX INFORMATION

- After year end, Pershing is required to provide tax information to the Internal Revenue Service and other governmental authorities. At that time Pershing will provide that information on the annual tax information statement to you. Use that statement to prepare your tax filings. The tax statement also includes other useful information to assist in accumulating the data to prepare your tax returns.
- Dividends, interest and other distributions shown on this statement were classified as taxable or non-taxable based on certain information known as of the distribution date. This classification is subject to change and is solely intended for use as general information.
- Pershing does not provide tax, investment or legal advisory services and no one associated with Pershing is authorized to render such advice. Do not rely upon any such advice, if given. Investors are encouraged to consult their tax advisors to determine the appropriate tax treatment of their business.

GENERAL INFORMATION

- Whenever you are indebted to Pershing LLC (“Pershing”) for any amount, all securities held by it for you are subject to the claims of the creditors of Pershing, and Pershing may in its discretion at any time, without tender, demand or notice to you, close or reduce any or all of your accounts by public or private sale or purchase or both of all or any securities carried in such accounts. Any balance remaining due Pershing to be promptly paid by you.
- Whenever you are indebted to Pershing for any amount, all securities carried for your account are or may be, without further notice to you, loaned or pledged by Pershing, either separately or under circumstances which will permit the commingling thereof, with other securities for any amount less than, equal to or greater than your liabilities to Pershing, but not under any amount prohibited by law.
- Pershing may trade for its own account as a market maker, specialist, odd lot dealer, block positioner, arbitrageur or investor, consequently, at the time of any transaction you may make, Pershing may have a position in such securities, which position may be partially or completely hedged.
- If average price transaction is indicated on the front of this statement your financial institution or Pershing may have acted as principal, agent or both. Details available upon request.
- Financial statement of Pershing is available for your personal inspection at Pershing’s offices. A copy of it will be mailed upon your written request or you can view it online at www.pershing.com for business continuity and additional disclosure: www.pershing.com/disclosures
- This statement should be retained for your records.

PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICIES DISCLOSURES [REGULATION NMS—RULE 607(A)-(1)-(2)]

Pershing sends certain equity orders to exchanges, electronic communication networks, or broker-dealers during normal business hours and during extended trading sessions. Certain of these orders provide payments to Pershing or charge access fees to Pershing, depending upon the characteristics of the order and any subsequent execution. The details of these payments and fees are available upon written request. Pershing has been directed to list options order flow to certain option exchanges. In addition, Pershing routes certain equity and option orders to its affiliate, BNY Mellon Capital Markets, LLC, for execution as principal. Compensation is generally in the form of a per option contract cash payment.

BEST EXECUTION: Notwithstanding the previous paragraph regarding payment for order flow, Pershing selects certain market centers to provide execution of over-the-counter and exchange-listed securities transactions which agree to accept orders, transmitted electronically up to a specified size, and to execute them at or better than the national best bid or offer (NBBO) on certain larger orders, or if the designated market centers do not make a market in the subject security, Pershing directly contacts market centers to obtain an execution. The designated market centers to which orders are automatically routed are selected based on the consistent high quality of their executions in one or more market segments and their ability to provide for executions at prices superior to the NBBO. Pershing also regularly reviews reports for quality of execution purposes.

WRAP ACCOUNT CUSTOMERS WHO ELECTED NOT TO RECEIVE IMMEDIATE CONFIRMATION OF TRANSACTIONS

The following terms and conditions are applicable only if your account is an investment advisory account and the transaction confirmations are not sent to you (sent only to your fiduciary) pursuant to your instruction.

WRAP ACCOUNT TRANSACTION

- The following information will be furnished to you upon request to your financial institution ("Introducing Firm") with respect to any transaction for which a confirmation was not sent to you: the market upon which any transaction was executed; the time of day that any transaction was executed; the name of the person from whom any security was purchased or whom such security was sold; the source and amount of other commissions received in connection with any transaction, and a copy of the transaction confirmation.
- Your introducing firm effected each transaction for which a confirmation was not sent to you by your agent.
- In connection with each equity security and certain other securities sold, your introducing firm charges your account for fees and charges generally applicable to American Depository Receipts, American Depositary Shares, other securities, or the applicable security. These fees may affect yield. Complete information will be provided upon request.
- Any transaction involves an asset-backed security, including a municipal collateralized mortgage obligation. Which represents an interest in or is secured by a pool of receivables or other financial assets. Any security is subject to continuous to prepayment, then the actual yield of such security may vary according to the rate at which the underlying receivables or other financial assets are prepaid. Information concerning the factors that affect yield (including at a minimum estimated yield, weighted average life, and the prepayment assumptions of underlying yields) will be furnished to you upon request to your introducing firm.

WRAP ACCOUNT ORDER FLOW: Your introducing firm does not receive any payment for order flow for any transaction for which a confirmation was not sent to you.

WRAP ACCOUNT CALL FEATURES: Call features may exist for securities. Call features for fixed income securities may affect yield. Complete information will be provided upon request.

WRAP ACCOUNT RATING: The ratings that appear in the description of some fixed income securities have been obtained from rating services which Pershing believes to be reliable; however, Pershing cannot guarantee their accuracy. Securities for which a rating is not available are marked "unrated."
Iberia Financial Services, LLC
200 West Congress Street
1st Floor
Lafayette, LA 70501
(800) 823-9666

LA BD OF PHARMACY OPEB RES ACT
3388 BRENTWOOD DRIVE
BATON ROUGE LA 70809 - 1700

Your Account Executive:
JOSEPH BARRECA, JR.
(504) 310-7346

Portfolio at a Glance
Statement Period: 03/01/2016 - 03/31/2016

<table>
<thead>
<tr>
<th>Description</th>
<th>This Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Account Value</td>
<td>$1,101,745.82</td>
</tr>
<tr>
<td>Ending Account Value</td>
<td>$1,106,190.59</td>
</tr>
<tr>
<td>Estimated Annual Income</td>
<td>$3,948.75</td>
</tr>
</tbody>
</table>

Asset Allocation

<table>
<thead>
<tr>
<th>Description</th>
<th>This Period</th>
<th>% Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits</td>
<td>225,434.83</td>
<td>20%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>880,755.76</td>
<td>80%</td>
</tr>
<tr>
<td>Account Total (Pie Chart)</td>
<td>$1,106,190.59</td>
<td>100%</td>
</tr>
</tbody>
</table>

Please review your allocation periodically with your Account Executive.
Client Service Information

Your Account Executive: X57
JOSEPH BARRECA, JR.
IBERIA FINANCIAL SERVICES
2900 RIDGELAKE DRIVE
METAIRIE LA 70002-4923

Contact Information
Phone Number: (504) 310-7346

Your Account Information

Tax Lot Default Disposition Method
Default Method for Mutual Funds: AVERAGE COST (USING FIRST IN FIRST OUT)
Default Method for Stocks in a Dividend Reinvestment Plan: FIRST IN FIRST OUT
Default Method for all Other Securities: FIRST IN FIRST OUT

Bond Amortization Elections:
Amortize premium on taxable bonds based on Constant Yield Method: Yes
Accrual market discount method for all other bond types: Constant Yield Method
Include market discount in income annually: No

Copies of Statement Sent
KODLER, CHAMPAGNE, SLAVEN & CO
At your request copies of this statement have been sent to the above.

Electronic Delivery
You are currently enrolled to receive the following account communications via electronic delivery:
Statements and Reports
Trade Confirmations
Tax Documents
Notifications

E-mail notifications are delivered to the following e-mail address(es):
k##########@pharmacy.Ia.gov
The above e-mail address is partially masked for your security. Please log into your account to review the full e-mail address.

Activity Summary (All amounts shown are in base currency)

<table>
<thead>
<tr>
<th>Description</th>
<th>Credits This Period</th>
<th>Debits This Period</th>
<th>Net This Period</th>
<th>Credits Year-to-Date</th>
<th>Debits Year-to-Date</th>
<th>Net Year-to-Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dividends and Interest</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$1,655.88</td>
<td>$0.00</td>
<td>$1,656.88</td>
</tr>
<tr>
<td>Totals</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$1,655.88</td>
<td>$0.00</td>
<td>$1,656.88</td>
</tr>
</tbody>
</table>

Portfolio Holdings

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Opening Balance</th>
<th>Closing Balance</th>
<th>Accrued Interest</th>
<th>30-Day Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits</td>
<td>20.00%</td>
<td>1,656.88</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash Balance</td>
<td></td>
<td>1,656.88</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Portfolio Holdings (continued)

### Cash, Money Funds, and Bank Deposits (continued)

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Opening Balance</th>
<th>Closing Balance</th>
<th>Accrued Income</th>
<th>30-Day Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Money Market</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FEDERATED CAPITAL RESERVES</td>
<td>225,434,830</td>
<td>223,777.95</td>
<td>225,434.83</td>
<td>0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>Total Money Market</td>
<td></td>
<td>$223,777.95</td>
<td>$225,434.83</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>Total Cash, Money Funds, and Bank Deposits</td>
<td></td>
<td>$225,434.83</td>
<td>$225,434.83</td>
<td>$0.00</td>
<td></td>
</tr>
</tbody>
</table>

### Fixed Income 80.00% of Portfolio (In Maturity Date Sequence)

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Market Price</th>
<th>Market Value</th>
<th>Accrued Interest</th>
<th>Estimated Annual Income</th>
<th>Estimated Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank Baroda New York BRH</td>
<td>127,000,000</td>
<td>100.0130</td>
<td>127,016.51</td>
<td>514.96</td>
<td>635.00</td>
<td>0.49%</td>
</tr>
<tr>
<td>Bank of America</td>
<td>83,000,000</td>
<td>96.3800</td>
<td>79,995.40</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Barclays Bank</td>
<td>160,000,000</td>
<td>95.6800</td>
<td>154,688.00</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bank of the West</td>
<td>155,000,000</td>
<td>97.9780</td>
<td>151,865.90</td>
<td>0.00</td>
<td></td>
<td></td>
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</tbody>
</table>
**Portfolio Holdings (continued)**

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Market Price</th>
<th>Market Value</th>
<th>Accrued Interest</th>
<th>Estimated Annual Income</th>
<th>Estimated Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fixed Income (continued)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Certificates of Deposit (continued)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>JPMORGAN CHASE BK NA COLUMBUS OHIO CTF</td>
<td>125,000,000</td>
<td>99.1300</td>
<td>123,912.50</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEP DTD 07/31/2013 ACT/365 AT-MATURITY</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0.000%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SECURITY ID: 481211541</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Certificates of Deposit:</td>
<td>650,000,000</td>
<td>$637,478.31</td>
<td>$514.96</td>
<td>$635.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>U.S. Treasury Securities</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UNITED STATES TREAS NTS</td>
<td>241,000,000</td>
<td>100.9450</td>
<td>243,277.45</td>
<td>279.15</td>
<td>3,313.75</td>
<td>1.36%</td>
</tr>
<tr>
<td>1.375%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>08/31/20 B/C DTD 08/31/15</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1ST CPN DTE 02/29/16 CPN PMT SEMI ANNUAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ON FEB 29 AND AUG 31</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moody Rating: AAA</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SECURITY ID: 912828L32</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total U.S. Treasury Securities:</td>
<td>241,000,000</td>
<td>$243,277.45</td>
<td>$279.15</td>
<td>$3,313.75</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Fixed Income:</td>
<td>891,000,000</td>
<td>$880,755.76</td>
<td></td>
<td>$794.11</td>
<td>$3,948.15</td>
<td></td>
</tr>
<tr>
<td><strong>Total Portfolio Holdings</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,106,190.59</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Portfolio Holdings Disclosures**

**Pricing**

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

*THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.*

**Estimated Annual Figures**

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/business_continuity.html for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

**Reinvestment**

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

**Option Disclosure**

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning...
Portfolio Holdings Disclosures (continued)

Option Disclosure (continued)

When writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercisin g procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Certificates of Deposit

Please be advised that the secondary market for CDs is generally illiquid; the actual value of CDs may be different from their purchase price; and a significant loss of principal could result if your CDs are sold prior to maturity. In the event that the CDs listed above do not indicate a market valuation, an accurate market value could not be determined. In the event that a price is listed above for your CDs, Pershing has obtained a price from sources deemed to be reliable or has priced your CDs using a matrix formula. Prices are estimates and the actual value you may obtain for your CD may be different if you elect to sell your CD in the secondary market.

Foreign Currency Transactions

Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing’s currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Money Market Fund Detail

Date Activity Type Description Amount Balance

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity Type</th>
<th>Description</th>
<th>Amount</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>03/01/16</td>
<td>Opening Balance</td>
<td></td>
<td>223,777.95</td>
<td>223,777.95</td>
</tr>
<tr>
<td>03/01/16</td>
<td>Deposit</td>
<td>MONEY FUND PURCHASE</td>
<td>1,656.83</td>
<td>225,434.83</td>
</tr>
<tr>
<td>03/31/16</td>
<td>Closing Balance</td>
<td></td>
<td></td>
<td>$225,434.83</td>
</tr>
</tbody>
</table>

Total All Money Market Funds $225,434.83

Messages

Pershing has been advised by your financial organization that it does not receive compensation for directing order flow.

See the Terms and Conditions section of your brokerage account statement for a description of Pershing’s payment for order flow practices.

For additional information regarding order-routing practices and the venues to which your financial organization’s orders are routed, you may visit www.orderroutingdisclosure.com.
Messages (continued)

Upon written request to your financial organization, you may obtain the identity of the venue to which your orders were routed for the six months prior to your request and the time of transactions that may have resulted from such orders.

Although a money market mutual fund seeks to preserve the value of your investment at $1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund’s prospectus or the bank deposit product’s disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) continuations are not sent for purchases into money market mutual funds processed on the sweep platform.

Privacy Policy
Important Notice: Our Privacy Commitment to You

Why You Are Getting This Notice. You are receiving this Privacy Policy because you are a current customer of Essex National Securities, LLC (ENSI), one of our affiliated insurance agencies or are considering becoming our customer. We are required by law to provide a copy of this notice to you annually. This notice explains how we handle your personal information.

Who We Are. ENSI and its affiliates were selected by your bank or credit union to provide you with access to mutual funds, fixed and variable annuities, other securities or insurance products. ENSI is wholly owned by Infinex Financial Holdings, Inc. This notice applies to: ENSI, Essex National Insurance Agency, Inc., ABS Associates of New York, Emigrant Agency, C&S Securities Corporation and Essex of the Pacific Insurance Agency.

We Protect Your Privacy. We have technical, physical and procedural standards in place to protect your information. Our employees are allowed to access your information when their jobs require it, such as to open your account or answer questions for you.

Information We Collect. We collect non-public personal information directly from you and from additional sources. Information collected may be personal (such as your name and contact information), financial (such as your income and taxes), and health-related, if you are applying for insurance. We use this information to open accounts with product providers, provide customer service to you and conduct routine business functions, such as auditing our records.

Information We Share. We do not share your information with unaffiliated companies for marketing purposes. We do, however, have the right to share personal, financial or health-related information to conduct business and complete transactions you request. We may share information with your agent, broker, bank or credit union to service your contract or account and in order for them to verify compliance with our contractual arrangements and applicable securities, insurance and banking regulations, even after your product or service with us has ended. We may disclose your information to the banks or credit unions with which we are contracted and with which you are associated in order for them to offer you banking products and services. We may disclose information, as legally permitted or required, with authorized government agencies, regulatory auditors, or potential acquirers. We may use data to solicit you to purchase additional products or services offered through ENSI, as allowed by law.

Your Trust Is Important To Us. We are committed to the protection of your information whether you are a current, future or former customer. You have the right to review and correct the information we have about you by making a request in writing to the address below. We generally do not make any information we have collected available to you if a claim or legal proceeding is in progress.

SIPC NOTICE: You may obtain information about SIPC (including the SIPC brochure) by contacting SIPC at (202) 371-8300 or online at http://www.sipc.org. We will maintain all correspondence in our files.

Please address any letters to: Essex National Securities, LLC
Attn: Compliance Department
550 Gateway Drive, Suite 210
Napa, CA 94558

Would you like to receive these notices electronically? Doing the right thing is easy!

To help reduce unnecessary paper waste and energy expended to mail privacy notices, we’d like your help by allowing us to send future notices in an electronic format via e-mail. Not only will you be doing your
Important Information and Disclosures

The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
Important Information and Disclosures (continued)

The Role of Pershing (continued)

- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC*). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability.
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; or (iii) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.
TERMS AND CONDITIONS

PERSHING SENDS CERTAIN EQUITY ORDERS TO EXCHANGES. ELECTRONIC COMMUNICATION NETWORKS, OR BROKER- DEALER EXCHANGE(PCN) BUSINESS HAVING EXTENDED TRADING DESIGNS: CERTAIN OF THESE EXCHANGES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITING TO THE PERSHING OFFICES FOR DIRECTIONS ON PAYMENTS FOR DIRECT LISTED OPTIONS ORDER FLOW TO CERTAIN OPTION EXCHANGES. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY AND OPTION ORDERS TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL. COMPENSATION IS GENERALLY IN THE FORM OF A PER OPTION CONTRACT CASH PAYMENT.

BEST EXECUTION: NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO). ON CERTAIN LARGER ORDERS, OR IF THE DESIGNATED MARKET CENTERS DO NOT MAKE A MARKET IN THE SUBJECT SECURITY, PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER BLOCK CARRIER AND/or ITS DESIGNATED MARKET MAKERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS IN ONE OR MORE MARKET REGIMENTS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTION AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

WRAP ACCOUNT CUSTOMERS WHO ELECTED NOT TO RECEIVE IMMEDIATE CONFIRMATION OF TRANSACTIONS THE FOLLOWING TERMS AND CONDITIONS ARE APPLICABLE ONLY IF YOUR ACCOUNT IS AN INVESTMENT ADVISORY ACCOUNT AND THE TRANSACTION CONFIRMATIONS ARE NOT SENT TO YOU (SENT ONLY TO YOUR FIDUCIARY) PURSUANT TO YOUR INSTRUCTIONS.

WRAP ACCOUNT TRANSACTIONS:

THE FOLLOWING INFORMATION WILL BE FURNISHED TO YOU UPON REQUEST TO YOUR FINANCIAL INSTITUTION ("INTRODUCING FIRM") WITH RESPECT TO ANY TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU: THE MARKET UPON WHICH ANY TRANSACTION WAS EXECUTED, THE TIME OF DAY THAT ANY TRANSACTION WAS EXECUTED, THE NAME OF THE PERSON FROM WHOM ANY SECURITY WAS PURCHASED OR TO WHOM SUCH SECURITY WAS SOLD, THE SOURCE AND AMOUNT OF OTHER COMMISSIONS RECEIVED IN CONNECTION WITH ANY TRANSACTION, AND A COPY OF THE TRANSACTION CONFIRMATION.

YOUR INTRODUCING FIRM EFFECTS EACH TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU AS YOUR AGENT.

IN CONNECTION WITH EACH EQUITY SECURITY AND CERTAIN OTHER SECURITIES Sold, YOUR INTRODUCING FIRM CHARGES TO YOU, AND REMITS TO A REGULATORY ORGANIZATION OR NATIONAL SECURITIES EXCHANGE, A TRANS. FEE.* PERSHING CALCULATES THIS FEE BASED ON AMOUNTS PAID BY YOUR INTRODUCING FIRM TO THE APPLICABLE REGULATORY ORGANIZATION OR NATIONAL SECURITIES EXCHANGE. THIS, IN TURN, IS BASED ON THE VALUE OF THE APPLICABLE SECURITIES SOLD. TO DETERMINE THE EXACT AMOUNT OF THIS FEE WITH RESPECT TO ANY TRANSACTION, PLEASE CONTACT YOUR INTRODUCING FIRM.

WRAP ACCOUNT ORDER FLOW: YOUR INTRODUCING FIRM DOES NOT RECEIVE ANY PAYMENT FOR ORDER FLOW FOR ANY TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU.

WRAP ACCOUNT CALL FEATURES: CALL FEATURES MAY EXIST FOR SECURITIES CALL FEATURES FOR FIXED INCOME SECURITIES MAY AFFECT YIELD. COMPLETE INFORMATION WILL BE PROVIDED UPON REQUEST.

WRAP ACCOUNT RATING: THE RATINGS APPEAR IN THE DESCRIPTION OF SOME FIXED INCOME SECURITIES. THESE RATINGS PROVIDE A GENERAL INDICATION OF THE QUALITY OF THE SECURITIES. THEY ARE NOT INTENDED TO BE USED AS A SUBSTITUTE FOR A MORE CONVENTIONAL RATING OF THE SECURITY.

WRAP ACCOUNT ORDER FLOW: YOUR INTRODUCING FIRM DOES NOT RECEIVE ANY PAYMENT FOR ORDER FLOW FOR ANY TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU.

WHENEVER YOU ARE INDIRED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU, INCLUDING ANY IN WHICH YOU HAVE ANY INTEREST, SHALL SECURE ALL YOUR LIABILITIES TO PERSHING AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES HELD BY IT FOR YOU, AND ANY ACCOUNTS RECEIVED IN SUCH CASH; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.

WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES HELD FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES IN WHICH YOUR ACCOUNT IS HELD PROHIBITED BY LAW.

PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR. CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTLY OR COMPLETELY HEDGED.

IF AVERAGE PRICE TRANSACTION IS INDICATED ON THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH: DETAILS AVAILABLE UPON REQUEST.

A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S HEADQUARTERS OR OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT WWW.PERSHING.COM.

FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: WWW.PERSHING.COM/DISCLOSURES

THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICIES DISCLOSURES (REGULATION NMS—RULE 607(A)-(1)-(2))

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL, TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT.
Portfolio at a Glance

<table>
<thead>
<tr>
<th>Description</th>
<th>This Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Account Value</td>
<td>$977,826.79</td>
</tr>
<tr>
<td>Dividends, Interest and Other Income</td>
<td>3,250.00</td>
</tr>
<tr>
<td>Net Change in Portfolio</td>
<td>1,048.09</td>
</tr>
<tr>
<td>Ending Account Value</td>
<td>$982,124.88</td>
</tr>
<tr>
<td>Estimated Annual Income</td>
<td>$5,309.17</td>
</tr>
</tbody>
</table>

Asset Allocation

<table>
<thead>
<tr>
<th>Account Type</th>
<th>This Period</th>
<th>% Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits</td>
<td>3,265.55</td>
<td>1%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>982,124.88</td>
<td>99%</td>
</tr>
<tr>
<td>Account Total</td>
<td>$982,124.88</td>
<td>100%</td>
</tr>
</tbody>
</table>

Please review your allocation periodically with your Account Executive.
Client Service Information

Your Account Executive: JOSEPH BARRECA, JR.
IBERIA FINANCIAL SERVICES
2900 RIDGELAKE DRIVE
METAIRIE, LA 70002-4923

Contact Information
Telephone Number: (504) 310-7346

Your Account Information

Tax Lot Default Disposition Method
Default Method for Mutual Funds: AVERAGE COST (USING FIRST IN FIRST OUT)
Default Method for Stocks in a Dividend Reinvestment Plan: FIRST IN FIRST OUT
Default Method for all Other Securities: FIRST IN FIRST OUT

Amortization Election:
Amortize premium on taxable bonds based on Constant Yield Method: Yes
Accrual market discount method for all other bond types: Constant Yield Method
Include market discount in income annually: No

Electronic Delivery
You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Account Executive for more information.

Activity Summary (All amounts shown are in base currency)

<table>
<thead>
<tr>
<th>Description</th>
<th>Credits This Period</th>
<th>Debits This Period</th>
<th>Net This Period</th>
<th>Credits Year-to-Date</th>
<th>Debits Year-to-Date</th>
<th>Net Year-to-Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Securities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Securities Bought</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>-299,984.87</td>
<td>-299,984.87</td>
</tr>
<tr>
<td>Securities Deposited</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>676,780.10</td>
<td>0.00</td>
<td>676,780.10</td>
</tr>
<tr>
<td>Total Securities</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$676,780.10</td>
<td>-$299,984.87</td>
<td>$376,795.23</td>
</tr>
<tr>
<td>Dividends and Interest</td>
<td>$3,250.00</td>
<td>$0.00</td>
<td>$3,250.00</td>
<td>$3,250.42</td>
<td>$0.00</td>
<td>$3,250.42</td>
</tr>
<tr>
<td>Cash</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deposits</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>300,000.00</td>
<td>0.00</td>
<td>300,000.00</td>
</tr>
<tr>
<td>Total Cash</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$300,000.00</td>
<td>0.00</td>
<td>$300,000.00</td>
</tr>
<tr>
<td>Totals</td>
<td>$3,250.00</td>
<td>$0.00</td>
<td>$3,250.00</td>
<td>$980,030.52</td>
<td>-$299,984.87</td>
<td>$680,045.65</td>
</tr>
</tbody>
</table>
## Transactions in Date Sequence

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity Type</th>
<th>Description</th>
<th>Quantity</th>
<th>Price</th>
<th>Accrued Interest</th>
<th>Amount</th>
<th>Currency</th>
</tr>
</thead>
<tbody>
<tr>
<td>03/31/16</td>
<td>BOND INTEREST RECEIVED</td>
<td>250000 HSBC BK USA N A MC LEAN VA CTF DEP ACT/365 INCOME OPPTY CD INDUSTRY TITANS 0.000% 03/04/20 B/E DTD 03/04/13 RD 03/15 PD 03/30/16</td>
<td>0</td>
<td>0.00</td>
<td>3,250.00</td>
<td>USD</td>
<td>USD</td>
</tr>
</tbody>
</table>

**Total Value of Transactions:**

0.00 $3,250.00 USD

The price and quantity displayed may have been rounded.

## Portfolio Holdings

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Opening Balance</th>
<th>Closing Balance</th>
<th>Accrued Income</th>
<th>Income This Year</th>
<th>30-Day Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash, Money Funds, and Bank Deposits</td>
<td>1.00%</td>
<td>3,250.00</td>
<td>3,250.00</td>
<td>0.00</td>
<td>0.42</td>
<td>0.01%</td>
</tr>
<tr>
<td>Cash Balance</td>
<td>0.00</td>
<td>0.00</td>
<td>3,250.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Money Market</td>
<td>15.55</td>
<td>15.55</td>
<td>15.55</td>
<td>0.00</td>
<td>0.42</td>
<td>0.01%</td>
</tr>
<tr>
<td>GENERAL MNY MKT FUND CL B</td>
<td></td>
<td>15.55</td>
<td>15.55</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Money Market</td>
<td>15.55</td>
<td>$15.55</td>
<td>$15.55</td>
<td>$3.00</td>
<td>$3.04</td>
<td>0.42%</td>
</tr>
<tr>
<td>Total Cash, Money Funds, and Bank Deposits</td>
<td>$15.55</td>
<td>$3,265.55</td>
<td></td>
<td>0.00</td>
<td>0.42</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Market Price</th>
<th>Market Value</th>
<th>Accrued Interest</th>
<th>Estimated Annual Income</th>
<th>Estimated Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Income</td>
<td>99.00%</td>
<td>99.98%</td>
<td>29,996.40</td>
<td>96.99</td>
<td>120.00</td>
<td>0.40%</td>
</tr>
<tr>
<td>Certificates of Deposit</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BANK OF CHINA NEW YORK CITY BRH</td>
<td>30,000.00</td>
<td>99.98%</td>
<td>29,996.40</td>
<td>96.99</td>
<td>120.00</td>
<td>0.40%</td>
</tr>
</tbody>
</table>

Security Identifier: 06426THE2
## Portfolio Holdings (continued)

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Market Price</th>
<th>Market Value</th>
<th>Accrued Interest</th>
<th>Estimated Annual Income</th>
<th>Estimated Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fixed Income (continued)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Certificates of Deposit (continued)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ALLY BK MIDVALE UTAH CTF DEP ACT/365</td>
<td>170,000,000</td>
<td>100.0000</td>
<td>170,000.00</td>
<td>336.04</td>
<td>1,105.00</td>
<td>0.65%</td>
</tr>
<tr>
<td>0.550% 12/12/15 B/E DTD 06/11/15</td>
<td>1ST CPN DTE 12/11/15 CPN PMT SEMI ANNUAL ON JUN 11 AND DEC 11</td>
<td>Security Identifier: O2006LRHB</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DMH HARRIS BK NATL ASSN CHICAGO ILL CTF DEP ACT/365 ANNUAL INCOME OPPITY CD INDUSTRY TITANS</td>
<td>250,000,000</td>
<td>94.7910</td>
<td>236,977.50</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0.000% 01/31/19 B/E DTD 01/30/14</td>
<td>1ST CPN DTE 01/30/15 CPN PMT ANNUALLY ON JAN 30</td>
<td>Security Identifier: 05573NNJ1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HSBC BK USA N A MC LEAN VA CTF DEP ACT/365 INCOME OPPITY CD INDUSTRY TITANS</td>
<td>250,000,000</td>
<td>97.1000</td>
<td>242,750.00</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0.000% 03/04/20 B/E DTD 03/04/13</td>
<td>1ST CPN DTE 03/04/14 CPN PMT ANNUALLY ON MAR 04</td>
<td>Security Identifier: 40434AHV4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Certificates of Deposit:</strong></td>
<td>700,000,000</td>
<td></td>
<td>679,723.90</td>
<td>433.03</td>
<td>1,225.90</td>
<td></td>
</tr>
<tr>
<td><strong>U.S. Treasury Securities</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UNITED STATES TREAS NTS</td>
<td>297,000,000</td>
<td>100.7190</td>
<td>299,135.43</td>
<td>673.15</td>
<td>4,083.75</td>
<td>1.36%</td>
</tr>
<tr>
<td>1.315% 01/31/21 B/E DTD 01/31/16</td>
<td>1ST CPN DTE 01/31/16 CPN PMT SEMI ANNUAL ON JAN 31 AND JUL 31</td>
<td>Moody Rating AAA</td>
<td>Security Identifier: 912828N89</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total U.S. Treasury Securities:</strong></td>
<td>297,000,000</td>
<td></td>
<td>299,135.43</td>
<td>673.15</td>
<td>4,083.75</td>
<td></td>
</tr>
<tr>
<td><strong>Total Fixed Income:</strong></td>
<td>997,000,000</td>
<td></td>
<td>978,859.33</td>
<td>1,106.18</td>
<td>5,308.75</td>
<td></td>
</tr>
<tr>
<td><strong>Total Portfolio Holdings</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Portfolio Holdings Disclosures</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Pricing</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked &quot;N/A&quot; and are omitted from the Total.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Estimated Annual Figures
The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/business_continuity.html for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

Reinvestment
The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

Option Disclosure
Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Certificates of Deposit
Please be advised that the secondary market for CDs is generally illiquid; the actual value of CDs may be different from their purchase price; and a significant loss of principal could result if your CDs are sold prior to maturity. In the event that the CDs listed above do not indicate a market valuation, an accurate market value could not be determined. In the event that a price is listed above for your CDs, Pershing has obtained a price from sources deemed to be reliable or has priced your CDs using a matrix formula. Prices are estimates and the actual value you may obtain for your CD may be different if you elect to sell your CD in the secondary market.

Foreign Currency Transactions
Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vote
Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Messages
Pershing has been advised by your financial organization that it does not receive compensation for directing order flow.

See the Terms and Conditions section of your brokerage account statement for a description of Pershing's payment for order flow practices.

For additional information regarding order-routing practices and the venues to which your financial organization's orders are routed, you may visit www.orderroutingdisclosure.com.
Messages (continued)

Upon written request to your financial organization, you may obtain the identity of the venue to which your orders were routed for the six months prior to your request and the time of transactions that may have resulted from such orders.

Although a money market mutual fund seeks to preserve the value of your investment at $1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform.

Privacy Policy

Important Notice: Our Privacy Commitment to You

Why You Are Getting This Notice. You are receiving this Privacy Policy because you are a current customer of Essex National Securities, LLC (ENSI), one of our affiliated insurance agencies or are considering becoming our customer. We are required by law to provide a copy of this notice to you annually. This notice explains how we handle your personal information.

Who We Are. ENSI and its affiliates were selected by your bank or credit union to provide you with access to mutual funds, fixed and variable annuities, other securities or insurance products. ENSI is wholly owned by Infinex Financial Holdings, Inc. This notice applies to: ENSI, Essex National Insurance Agency, Inc., ABS Associates of New York, Emigrant Agency, C&S Securities Corporation and Essex of the Pacific Insurance Agency.

We Protect Your Privacy. We have technical, physical and procedural standards in place to protect your information. Our employees are allowed to access your information when their jobs require it, such as to open your account or answer questions for you.

Information We Collect. We collect non-public personal information directly from you and from additional sources. Information collected may be personal (such as your name and contact information), financial (such as your income and taxes), and health-related, if you are applying for insurance. We use this information to open accounts with product providers, provide customer service to you and conduct routine business functions, such as auditing our records.

Information We Share. We do not share your information with unaffiliated companies for marketing purposes. We do, however, have the right to share personal, financial or health-related information to conduct business and complete transactions you request. We may share information with your agent, broker, bank or credit union to service your contract or account and in order for them to verify compliance with our contractual arrangements and applicable securities, insurance and banking regulations, even after your product or service with us has ended. We may disclose your information to the banks or credit unions with which we are contracted and with which you are associated in order for them to offer you banking products and services. We may disclose information, as legally permitted or required, with authorized government agencies, regulatory auditors, or potential acquirers. We may use data to solicit you to purchase additional products or services offered through ENSI, as allowed by law.

Your Trust Is Important To Us. We are committed to the protection of your information whether you are a current, future or former customer. You have the right to review and correct the information we have about you by making a request in writing to the address below. We generally do not make any information we have collected available to you if a claim or legal proceeding is in progress.

SIPC NOTICE: You may obtain information about SIPC (including the SIPC brochure) by contacting SIPC at (202) 371-8300 or online at http://www.sipc.org. We will maintain all correspondence in our files.

Please address any letters to:
Essex National Securities, LLC
Attn: Compliance Department
550 Gateway Drive, Suite 210
Napa, CA 94558

Would you like to receive these notices electronically? Doing the right thing is easy!

To help reduce unnecessary paper waste and energy expended to mail privacy notices, we'd like your help by allowing us to send future notices in an electronic format via e-mail. Not only will you be doing your
Important Notice: Our Privacy Commitment to You

Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.

Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as a result of securities transactions in processes.

The Role of Pershing

Pershing brokers your account as a clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible for any acts or omissions of your financial institution or its employees, and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.

Important Information and Disclosures

Securities offered through Stolzemc Essex National Securities, LLC

Account Number: HSE-102619

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Important Information and Disclosures (continued)

The Role of Pershing (continued)

- Your financial institution is responsible for adherence to the securities laws, regulations, and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives, and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain cases, the execution of securities orders; the assessment of the suitability of those transactions, where applicable; and the rendering of investment advice, if any, to you and, in general, for the ongoing relationship that it has with you.

- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial institution's contact information can be found in the first page of this statement.

- For a description of other functions performed by Pershing, please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.

- Pershing is a member of the Securities Investor Protection Corporation (SIPC). Please note that SIPC does not protect against loss due to market fluctuations. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability.

- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.

- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.

- The ability of the parties to obtain documents, witness statements, and other discovery is generally more limited in arbitration than in court proceedings.

- The arbitrators do not have to explain the reasons(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties in the panel at least 20 days prior to the first scheduled hearing date.

- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.

Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; or (iii) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.
TRANSACTIONS

- All orders and transactions shall be solely for your account and risk and shall be subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange, market or clearing facility. If any, where the transactions are executed and/or settled, or if applicable, of the financial industry regulatory authority and to all applicable laws and regulations.

- Title to securities sold to you, where Pershing has acted as principal, shall remain with Pershing until the entire purchase price is received or until the settlement date, whichever is later.

- You may have received confirmations for transactions which do not appear on your statement. If so, confirmations will appear on your next periodic statement. Such transaction(s) will also be considered by you when computing the value of your account. This is especially true if you have recently commenced your account.

FREE CREDIT BALANCES: Any free credit balance carried for your account represents funds payable upon demand which, although properly accounted for on Pershing’s books of record, are not segregated and may be used in the conduct of its business.

DEBIT BALANCES: Interest charged on debit balances in your account appears on the statement. The rate of interest and period covered are indicated. The rate may change from time to time due to fluctuations in money rates or other reasons. Interest is computed as described in material previously furnished to you. Please contact your financial institution if you desire additional copies.

MARGIN INFORMATION: If you maintain a margin account, this is a combined statement of your general account and a special memorandum account maintained for you under regulation T of the board of governors of the federal reserve system. The permanent record of the separate account as required by regulation T is available for your inspection upon request.

TAX INFORMATION

- After year end, Pershing is required to provide tax information to the internal revenue service and other governmental authorities. At that time Pershing will provide that information on the annual tax information statement to you. Use that statement to prepare your tax filings. The tax statement also includes other useful information to assist in accumulating the data to prepare your tax returns.

- Dividends, interest and other distributions shown on this statement were classified as taxable or nontaxable based on certain information known as of the distribution date. This classification is subject to change and is solely intended for use as general information.

- Pershing does not provide tax, investment or legal advisory services and no one associated with Pershing is authorized to render such advice. Do not rely upon any such advice. If given, investors are encouraged to consult their tax advisors to determine the appropriate tax treatment of their business.

GENERAL INFORMATION

- Whenever you are indebted to Pershing LLC (“Pershing”) for any amount, all securities held by it for you may be sold to pay any indebtedness you owe Pershing and Pershing may in its discretion at any time, without tender, demand or notice to you, close or reduce any or all of your accounts by public or private sale or purchase or both of all or any part of any securities carried in such account(s); any balance remaining due Pershing to be promptly paid by you.

- Whenever you are indebted to Pershing for any amount, all securities carried for your account are or may be, without further notice to you, loaned or pledged by Pershing, either separately or under circumstances which will permit the commingling thereof, with other securities in such account(s); any balance remaining due Pershing to be promptly paid by you.

- Pershing may trade for its own account as a market maker, specialist, odd lot dealer, block positioner, arbitrager or investor. Consequently, at the time of any transaction you may make, Pershing may have a position in such securities, which position may be partially or completely hedged.

- If average price transactions are indicated on the front of this statement your financial institution or Pershing may have acted as principal, agent or both: details available upon request.

- A financial statement of Pershing is available for your personal inspection at Pershing’s offices. A copy of it may be requested by you or on your behalf at www.pershing.com.

- For business continuity and additional disclosures: www.pershing.com/disclosures

- This statement should be retained for your records.

PERSHING SENDS CERTAIN EQUITY ORDERS TO EXCHANGES, ELECTRONIC COMMUNICATION NETWORKS, OR BROKER-DEALERS DURING NORMAL BUSINESS HOURS AND DURING EXTENDED TRADING SESSIONS. CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. PERSHING RECEIVES PAYMENTS FOR DIRECTLY LISTED OPTIONS ORDER FLOW TO CERTAIN OPTION EXCHANGES IN ADDITION, PERSHING ROUTES CERTAIN EQUITY AND OPTION ORDERS TO ITS AFFILIATE, BNY MEMLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL. COMPENSATION IS GENERALLY IN THE FORM OF A PER OPTION CONTRACT CASH PAYMENT.

BEST EXECUTION: NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO). ON CERTAIN LARGER ORDERS, OR IF THE DESIGNATED MARKET CENTERS DO NOT MAKE A MARKET IN THE SUBJECT SECURITY, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS IN ONE OR MORE MARKET SEGMENTS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

WRAP ACCOUNT CUSTOMERS WHO ELECTED NOT TO RECEIVE IMMEDIATE CONFIRMATION OF TRANSACTIONS THE FOLLOWING TERMS AND CONDITIONS ARE APPLICABLE ONLY IF YOUR ACCOUNT IS AN INVESTMENT ADVISORY ACCOUNT AND THE TRANSACTION CONFIRMATIONS ARE NOT SENT TO YOU (SENT ONLY TO YOUR FIDUCIARY) PURSUANT TO YOUR INSTRUCTION.

WRAP ACCOUNT TRANSACTIONS

- The following information will be furnished to you upon request to your financial institution ("introducing firm") with respect to any transaction for which a confirmation was not sent to you: the markup on which any transaction was executed, the time of day that any transaction was executed; the name of the person from whom any security was purchased or whom such security was sold; the source and amount of other commissions received in connection with any transaction; and a copy of the transaction confirmation.

- You introducing firm effected each transaction for which a confirmation was not sent to you as your agent.

- In connection with each security and certain other securities sold, your introducing firm charges you, and remits to a regulatory organization or national securities exchange, a “wrap fee” calculated this fee based on amounts paid by your introducing firm to the applicable regulatory organization or national securities exchange. This, in turn, is based on the value of the applicable securities sold. To determine the exact amount of this fee with respect to any transaction, please contact your introducing firm.

- If any transaction involves an asset-backed security, including a municipal collateralized mortgage obligation, mortgage backer, an asset-backed security, a pool of receivables, or other financial assets that are subject continuously to prepayment, then the actual yield of such securities may vary according to the rate at which the underlying receivables or other financial assets are prepaid. Information concerning the factors that affect yield (including at a minimum estimated yield, weight average life, and the prepayment assumptions of underlying yields) will be furnished to you upon request to your introducing firm.

- Wrapping order flow: Your introducing firm does not receive any payment for order flow for any transaction for which a confirmation was not sent to you.

- Wrapping account customers: call features may exist for securities. Call features may be subject to change and is soley intended for use as general information.

- If any of the above terms and conditions are unacceptable to you, please notify Pershing immediately in writing by certified mail to one Pershing Plaza, Jersey City, NJ 07399, Attn: Legal Dept.
NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
Reciprocity Committee
Violations Committee

NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
Impairment Committee

NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
Roster of Approved Addictionists

Roy D. Ary, Jr., M.D.  
BioBehavioral Medicine, Inc.  
4933 Wabash Street  
Metairie, LA 70001  
Telephone (504) 780-2766  
Facsimile (504) 780-9699

Joan E. Brunson, M.D.  
Edgefield Recovery Center  
10631 Hwy. 71 North  
Cheneyville, LA 71325  
Telephone (888) 327-2673

John R. Colaluca, D.O.  
Palmetto Recovery Center  
86 Palmetto Road  
Rayville, LA 71269  
Telephone (318) 728-2970  
Facsimile (318) 728-2272

J. David Hammond, Jr., M.D.  
Palmetto Recovery Center  
86 Palmetto Road  
Rayville, LA 71269  
Telephone (318) 728-2970  
Facsimile (318) 728-2272

Dean A. Hickman, M.D.  
Ochsner Medical Center  
1514 Jefferson Highway, BH-4  
New Orleans, LA 70121  
Telephone (504) 842-3842  
Facsimile (504) 842-4445

Jay L. Piland, Sr., M.D.  
Palmetto Recovery Center  
86 Palmetto Road  
Rayville, LA 71269  
Telephone (318) 728-2970  
Facsimile (318) 728-2272

La. License No. MD.09977R  
Issued: 07-29-1993   Expires: 08-31-2016  
Status: Active and unrestricted  
Certification: ABAM No. 000870  
Issued: 03-12-2009   Expires: 12-31-2019

La. License No. MD.017125  
Issued: 06-16-1983   Expires: 09-30-2016  
Status: Active and unrestricted (D)  
Certification: ABAM No. 000999  
Issued: 03-12-2008   Expires: 12-31-2018

La. License No. DO.021805  
Issued: 07-01-1993   Expires: 09-30-2016  
Status: Active and unrestricted (D)  
Certification: ABAM No. 000886  
Issued: 03-12-2009   Expires: 03-12-2019

La. License No. MD.022970  
Status: Active and unrestricted  
Certification: ABAM No. 2014243  

La. License No. MD.020992  
Issued: 08-06-1990   Expires: 01-31-2017  
Status: Active and unrestricted  
Certification: ABPN No. 1163  
Issued: 04-08-1997   Expires: 12-31-2018

La. License No. MD.022337  
Issued: 08-23-1995   Expires: 03-31-2017  
Status: Active and unrestricted (D)  
Certification: ABAM No. 2010367  
Issued: 12-11-2010   Expires: 12-11-2016

Last update: 05-01-2016
Reinstatement Committee
NOTICE IS HEREBY GIVEN that a meeting of the Reinstatement Committee has been ordered and called for 12:00 p.m. on Tuesday, May 3, 2016 in the Board office, for the purpose to wit:

AGENDA

CALL TO ORDER

QUIRUM CALL

CALL FOR ADDITIONAL AGENDA ITEMS & ADOPTION OF AGENDA

OPPORTUNITY FOR PUBLIC COMMENT

CONSIDERATION OF APPLICATIONS

A. Petitions for Reinstatement (suspended + lapsed > 5 years)

B. Petitions for Modification of Previous Orders

C. Petitions for Return of Inactive Licenses to Active Status

[Note: Appearances are not required for the remaining applicants.]

D. Petitions for Reinstatement (suspended + lapsed > 5 years + chair’s discretion)

E. Applications for Reinstatement of CDS Licenses Lapsed > 5 years

   (1) CDS.031519.MD – Gregory Michael Paul
   (2) CDS.027961.MD – Robert Felberg

F. Applications for Reinstatement of CDS Licenses Previously Suspended Secondary to Action by Another Agency

   (1) CDS.026554.MD – Charles Callan Mary, II

G. Discretionary Approvals by Committee Chair (lapsed > 1 year but < 5 years)

   (1) CDS.018160.MD – Abdulla Farooq
   (2) PST.011690 – Richard Lee Neidhamer
   (3) CDS.042650.MD – Arif Shahzed
   (4) CDS.034156.APN - Demetrice H. Smith
   (5) CDS.022089.MD – Issac Perkins
   (6) CD.038337.DDS – Justin Lecian Wu
   (7) CDS.042881.PA – Paulla Danielle Brouillette
   (8) CDS.041963.MD - Jessica A. Galandak
   (9) CDS.036090.MD – Trenton Andrew Hinds
   (10) CDS.009338.MD – Joseph J. Roniger
   (11) CDS.028668.DIS – Walgreen
H. Staff Approvals by Board Policy (lapsed < 1 year)

1. CPT.007940 – Nicole Janette Garcia
2. CDS.045875.MD – Jerome Milton Volk, III
3. CDS.037195.DDS – Kayla A. McDaniels
4. CDS.038492.PHY – Prevost Memorial Hospital
5. CDS.034816.MD – Wame N. Waggenspack, Jr.
6. CDS.044085.MD – Robert Patrick Owens
7. CDS.028810.MD – Amy Lindsay Hammons
8. CDS.040029.DVM – Allison L. Gordon
9. CPT.010597 – Hannah Ortego
10. PST.016958 – Romina Patel Anazagasty
11. PST.020885 – Brian Patrick Harrison
12. PST.020926 – Steven Arthur Levin
13. CDS.045825.APN – Kimberly Lynette Givens
14. CDS.022289.DDS – Leonard Lewis III
15. CDS.045894.DVM – Caroline A. Young
16. CDS.045554.DVM – Kathryn J. Hamilton
17. CDS.042690.APN – Jacqueline R. Cassidy
18. CDS.035051.MD – Gloria J. Bacon
19. CDS.045790.MD – Jill N. Kitaura
20. PST.020403 - Kristi Ann Kubosh
21. PST.021358 - Gregory Gerard Gaiser
22. CDS.044207.DVM - Elizabeth Josephine Friedman
23. CDS.045962.APRN – Charlotte G. Merrill
24. CDS.043319.DDS - Justin Lecian Wu
25. CDS.043320.DDS - Justin Lecian Wu
26. CDS.043321.DDS - Justin Lecian Wu
27. CDS.045910.DDS - Justin Lecian Wu
28. CDS.045909.DDS - Justin Lecian Wu
29. CDS.043886.DDS - Justin Lecian Wu
30. CDS.028471.MD – Tiberiu Koos
31. CDS.020461.DDS – Annette D. Theriot
32. CDS.043712.MD – Douglas Paul Calvin
33. CDS.044163.APN – Darrell James Price
34. CDS.036242.MP – Joseph John Sesta
35. CDS.024090.MD – Abida Banu Butler
36. CDS.045884.APN – Shannon Nicol Clasen
37. CDS.037460.MP – Donna L. Aucoin
38. CDS.035971.MD – Pooja Bholanath Dhume
39. CDS.028420.DDS – Cheng You
40. CDS.006461.MD – Ronald James French
41. CDS.020916.MD – Catrell V. McCulloch
42. CDS.039971.DIS – Par Pharmaceutical
43. CPT.011323 – Davetta Monique Brisco-Winifield
44. CDS.042723.DDS - Christopher Bradley Dickerson
45. CDS.032067.RES - Charles Nichols
6. Adjourn
NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
Regulation Revision Committee
Louisiana Administrative Code

Title 46 – Professional and Occupational Standards

Part LIII: Pharmacists

Chapter 25. Prescriptions, Drugs, and Devices

... 

Subchapter C. Compounding of Drugs

§2535. General Standards

A. Compounding Practices. Compounded medications may be prepared using prescription medications, over-the-counter medications, chemicals, compounds, or other components.

1. ...


   a. The compounding of sterile preparations pursuant to the receipt of a patient-specific prescription shall comply with the provisions of Section 503-A of the FDCA and USP Chapter 797.

   b. The compounding of non-sterile preparations pursuant to the receipt of a patient-specific prescription shall comply with the provisions of Section 503-A of the FDCA and USP Chapter 795.

   c. The compounding of preparations for veterinary use shall comply with the provisions of Section 530 of Title 21 of the CFR.

   d. The compounding of positron emission tomography (PET) drugs shall comply with the provisions of Section 212 of Title 21 of the CFR.

3. ...

B. Board Notification. ...

C. Training and Education. ...

D. Anticipated Use Preparations. ...

E. Veterinarian Administered Compounds, also referred to as Pharmacy-Generated Drugs

1. Upon receipt of a valid non-patient-specific medical order from a licensed veterinarian, the pharmacy may compound a preparation intended for administration to an animal patient by the veterinarian.

2. These preparations may not be distributed to any other third party by the pharmacy, nor may these preparations be further re-sold or distributed by the veterinarian ordering the preparation from the pharmacy.

3. This authorization is primarily intended to facilitate the preparation of medications needed for emergency use in a veterinary office practice. Given the limited application of this authorization, which allows these products to be prepared using less rigorous standards applicable to compounding as opposed to the more rigorous standards applicable to manufacturing processes, the compounding pharmacy preparing these products shall be limited in the amount of such products they can prepare.
a. No Louisiana-licensed pharmacy may distribute any amount of practitioner-administered compounds in excess of five percent of the total amount of drug products dispensed and/or distributed from their pharmacy.

b. The five percent limitation shall be calculated on a monthly basis and shall reference the number of dosage units.

c. For those Louisiana-licensed pharmacies located outside Louisiana, the total amount distributed and/or dispensed shall reference the pharmacy’s total business within the state of Louisiana.

4. The provisions of this Paragraph E notwithstanding, pharmacists intending to engage in the compounding of veterinary preparations pursuant to non-patient-specific medical orders from veterinarians should be aware that federal law or rule may not permit such activity by a licensed pharmacy, and further, such pharmacists should be aware that the board’s rules cannot legitimize an activity that is not permitted under federal law or rule, and further, such pharmacists should be aware that while this activity is permitted by the board, pharmacists engaging in this activity remain subject to the full force and effect of federal law enforcement.

E. Compounding Commercial Products not Available. …

F. Labeling of Compounded Preparations.

1. For patient-specific compounded preparations, the labeling requirements of R.S. 37:1225, or its successor, as well as §2527 of this Chapter, or its successor shall apply.

2. For veterinarian administered compounds, the label shall contain, at a minimum, the following data elements:
   a. pharmacy’s name, address, and telephone number;
   b. veterinarian’s name;
   c. name of preparation;
   d. strength and concentration;
   e. lot number;
   f. beyond use date;
   g. special storage requirements, if applicable;
   h. identification number assigned by the pharmacy; and
   i. name or initials of pharmacist responsible for final check of the preparation.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1182.

Summary of Testimony & Public Comments re
Regulatory Project 2015-4 ~ Compounding for Office Use for Veterinarians
at
April 19, 2016 Public Hearing

1. Letter from Kirk Ryan, DVM, Immediate Past President, La. Veterinary Medical Assoc.
   Dr. Ryan appeared at the hearing and reinforced his personal support for the proposed
   revision of the original proposed rule, as well as the revised proposed rule.

2. Letter from Trisha Marullo, DVM, President, La. Veterinary Medical Assoc.
   Presented by Dr. Ryan and LVMA Executive Director Bland O’Connor, the letter is
   supportive of the proposed revision of the original proposed rule, as well as the revised
   proposed rule.

3. Letter from Rachael G. Pontikes, with the firm of DuaneMorris, on behalf of “several
   compounding pharmacies licensed in Louisiana that compound animal medications for
   veterinary office use.”
   Letter indicated support for the authority to compound for veterinary office use, but
   requests further amendment of the proposal by (1) removing the 5% limitation, believing it to be
   an arbitrary limitation on veterinarians ordering from the pharmacy of their choice, and (2)
   removing the cautionary language added advising pharmacists of the lack of clear authority for
   compounding for veterinary office use, suggesting that all veterinary compounding is regulated
   at the state level.
April 18, 2016

Malcolm J. Broussard, Executive Director
Louisiana Board of Pharmacy
3388 Brentwood Drive
Baton Rouge, LA 70809-1700

Re: Notice of Intent: Compounding for Office Use for Veterinarians (LAC 46:III.2535)

Dear Board of Pharmacy Members:

As a veterinarian in the state of Louisiana, I am writing in support of the above referenced rule change (published in the March 2016 edition of the Louisiana Register).

Allowing compounded medications to be available for use in the veterinary office will be lifesaving in many situations and will substantially alleviate needless suffering caused by treatment delays which would occur if such products are not legally available.

I have followed the rule change process with interest and appreciate the time, effort and energy put forth by the Board in considering this issue. I have taken note of the additional language (4th Paragraph, Subsection E of §2535) in the updated rule which alerts practitioners to potential differences in federal and state law. Adding this information raises awareness without impeding animal care. I appreciate the Board’s consideration in meeting the needs of animals, pet owners, and veterinarians. Please accept this letter in support of the rule.

Sincerely,

[Signature]

Kirk Ryan, DVM
PO Box 78292
Baton Rouge, LA 70837
April 5, 2016

Louisiana Board of Pharmacy
Baton Rouge, LA

Re: Notice of Intent: Compounding for Office Use for Veterinarians (LAC 46:1,III,2535)

Dear Board Members:

On behalf of Louisiana pet owners and veterinarians, we endorse the above referenced rule change as published in the March 2016 edition of the Louisiana Register.

As our association has noted in previous comment to the Board, compounding is a needed tool and it provides much-needed therapeutic flexibility for veterinarians, especially considering the wide range of species we treat. A typical companion animal veterinary clinic cares for pocket pets (guinea pigs, hamsters, rabbits, small reptiles, etc.), birds, cats, and dogs. Compounded medications are integral to treating these animals as often no approved products are available or because approved product formulations are impossible or impractical to administer to animals.

These medications are often urgently needed because many animals do not show clinical signs of illness until they are life-threateningly ill. Biologically speaking, to display signs of illness/weakness is to become prey for predators. Consequently, animal diseases are often diagnosed in advanced stages after the animal can no longer ‘hide’ its illness. Without access to compounded medications for office use, animals may die or be euthanized because emergency medications are not available or their treatment is inconvenient.

Permitting compounded medications to be available for veterinary office use, as published in the notice of intent, will avoid a daily impact on the health and safety of companion animals. In support of this goal, we have no objection to the additional language (4th Paragraph, Subsection E of §2535) in the updated rule which alerts veterinarians and pharmacists that federal and state laws may vary. We appreciate the Board’s consideration in meeting the needs of animals, pet owners, and veterinarians.

Sincerely,

Trisha Marullo, DVM
President, Louisiana Veterinary Medical Association
April 18, 2016

BY FED EX

Malcolm H. Broussard
Executive Director
Louisiana Board of Pharmacy
3388 Brentwood Drive
Baton Rouge, Louisiana 70809-1700

Re: Regulatory Project 2015-4 - Compounding for Office Use for Veterinarians

Dear Mr. Broussard:

We submit these comments to the amended Emergency Rule (Regulatory Proposal 2015-D, Compounding for Office Use for Veterinarians, Draft #3) ("Amended Emergency Rule") on behalf of several compounding pharmacies licensed in Louisiana that compound animal medications for veterinary office use. As this Board has recognized, veterinarians need compounded medications on hand, in their office, to timely prevent animal suffering, the worsening of animal disease, and death. We appreciate that in May 2015 the Board acknowledged this important animal medical need and adopted the initial Emergency Rule (Emergency Rule adopted May 27, 2015).

We support the renewal of this Amended Emergency Rule, as the Board's renewed recognition of how important it is for veterinarians to have access to compounded medications for office use. We submit the following three comments with suggestions to improve the Amended Emergency Rule.

First, we provide examples demonstrating the importance of allowing pharmacies to provide veterinarians with compounded medication for office use. Some animal conditions require immediate treatment with compounded medications, while others require compounded medications that must be ordered from a specialty veterinary compounding pharmacy. Allowing veterinarians to have compounded medications on hand reduces animal suffering and death.
Second, we recommend that the Board eliminate the 5% limitation on office use compounding as this limitation does not best serve animal health—quantity limitations on pharmacies serve only to keep veterinarians from using the trusted pharmacy of their choice to prepare the compounds they need in their office to properly treat their animal patients.

Third, we recommend the Board eliminate paragraph E(4) of the Amended Emergency Rule, which warns pharmacies that federal law may not permit a pharmacy to compound for veterinary office use, because it is in accurate. There is no federal law that prohibits pharmacies from compounding for veterinary office use. Veterinary compounding is currently exclusively regulated exclusively by the states. A misleading statement only serves to confuse veterinarians and pharmacists.

We discuss these three comments below.

I. Veterinarians Need Compounded Medication In Their Office To Properly Treat Their Animal Patients.

Veterinarians often treat animals in situations where a few hours can make a significant difference in health outcomes. For example, veterinarians need to have compounded apomorphine on hand to administer to dogs who ingest a toxic substance. Forcing a poisoned dog to wait a couple of hours, let alone days, to fill a patient specific prescription for compounded apomorphine would cause unnecessary animal suffering. Metronidazole benzoate is another example of an important life-saving compounded treatment. Veterinarians use it to treat G.I. infections, such as giardia, that cause severe diarrhea and dehydration. Like apomorphine, veterinarians must keep metronidazole benzoate on hand in order to start treatment immediately and to dispense to pet owners, so the medication is provided, uninterrupted, twice-daily for five to seven days.

Further, many compounded medications veterinarians prescribe are not available at a local pharmacy, but must be ordered from pharmacies that specialize in dispensing veterinary compounded medication. It is therefore crucial for the veterinarian to have certain medications on hand in their offices to begin treatment at the moment of diagnosis. Otherwise, it could take several days or up to a week for the animal’s owner to receive the proper medication from a specialty pharmacy, creating unnecessary animal suffering. Many compounding pharmacies that specialize in animal health carry more than 500 active pharmaceutical ingredients and over 30 animal friendly flavors to properly provide for the diverse health care needs of this patient population.

Veterinarians know the patient population they are treating, and thus can predict the types of medications that they will need on hand to properly and adequately treat their animal patients. In order to protect public health, it is imperative that the Board give veterinarians all the available and necessary tools to treat their animal patients by ensuring they have access to all available treatments, including compounded medications for office use.
II. The Board Should Eliminate The 5% Limitation On Pharmacies That Prepare Compounded Medications For Veterinary Office Use.

The Amended Emergency rule limits each pharmacy to dispensing 5% of the total amount of drug products dispensed or distributed in Louisiana calculated on a monthly basis. This limitation will have negative consequences on animal health by preventing veterinarians from ordering medications for office use from their preferred pharmacy if that pharmacy has reached its 5% limit. Veterinarians typically develop relationships over the course of several years with the pharmacy or pharmacist who they prefer to work with for compounding pharmacy services. The Board’s proposed limitation on dispensing more than 5% of total medications for office use thus denies veterinarians the right to access pharmacies of their choice. Veterinarians understandably prefer to obtain compounded medications from the pharmacy with which they are most familiar and in which they have the most confidence to provide compounded medications of the highest quality, whether pursuant to a patient-specific or non-patient-specific medical order. The arbitrary proposed 5% limitation on office use medication in practice will force veterinarians to order medications from pharmacies other than their preferred pharmacy. Furthermore, the comparison to standards for manufacturing processes are inapplicable. The compounded medications to which this rule would apply are not available as commercially available manufactured drug products. Thus, the proposed limitation does not push veterinarians to order commercially manufactured drug products, but instead would force veterinarians to order compounded medication from a pharmacy other than their first-choice.

Specialized compounding pharmacies dispensing compounded medications for veterinary office use provide unique preparations that require a high level of expertise to compound. For example, there are a very limited number of compounding pharmacies that can prepare controlled substance medications. And only certain pharmacies have the ability, equipment, and licensure to perform sterile compounding services. These specialized formulations are not available as commodities from any pharmacy. Often a veterinary practice has a unique need for a specific compounded medication for which they worked with one specific pharmacy to develop the compounded formulation. Such medications are available from that pharmacy alone. If a veterinarian is forced to go to a second pharmacy to get the medication, that second pharmacy will not readily have the medication available, but will have to go through the process of developing their own formulation. Further, the pharmacists and staff at these specialty pharmacies undergo extensive training and attend medical conferences related to the various therapies utilized in the patient populations that they most often serve. As a result, these specialized compounding pharmacies rightfully earn the trust of many veterinarians as well as animal owners and caretakers to address the unique needs of the animals under their care.

The Board’s proposed arbitrary 5% limitation on dispensing compounded medication for office use impedes a veterinarian’s ability to treat their patients by prohibiting those veterinarians from obtaining medications from the pharmacy of their choice simply because that pharmacy may have already reached a 5% limit for the month. Veterinarians should not be forced to make medical decisions based on whether their pharmacy of choice has reached an arbitrary 5% limit.
on office use medications. As such, we recommend the Board eliminate the 5% limitation from its Amended Emergency Rule.

III. The Board Should Eliminate Paragraph E(4) Of The Amended Emergency Rule

Paragraph E(4) of the proposed rule has no force or effect, but may serve to create confusion among pharmacists and veterinarians. Paragraph E(4) states as follows, “... pharmacists intending to engage in the compounding of veterinary preparations pursuant to non-patient-specific medical orders from veterinarians should be aware that federal law or rule may not permit such activity by a licensed pharmacy, and further, such pharmacists should be aware that the board’s rules cannot legitimize an activity that is not permitted under federal law or rule, and further, such pharmacists should be aware that while this activity is permitted by the board, pharmacists engaging in this activity remain subject to the full force and effect of federal law enforcement.” Regulatory Proposal 2015-D, Compounding for Office Use for Veterinarians, Draft #3.

There is no federal statute that regulates veterinary compounding, and therefore, no need for this warning. As the Board recognized when it adopted this Emergency Rule, the Federal Drug Quality and Security Act (“DQSA”) applies only to compounded medication for use in humans, and does not apply to medications compounded for use in animals. Accordingly, any provisions of the DQSA do not apply to compounded medications ordered for office use by veterinarians. The DQSA is the only federal law that regulates compounding, and it is limited to regulating compounding for human use.

The Board’s stated concern is that “there does not appear to be clear federal authority for the compounding of veterinary products for office use by veterinarians.” The more apt statement would be that there is no federal prohibition against compounding medications for office use by veterinarians. The practice of pharmacy has been governed by state law for more than a century, and every action of a pharmacist does not require explicit approval from the federal government.

Proposed paragraph E(4) is of no force or effect, it merely directs pharmacies and pharmacists to be aware of federal law, but as the Board seems to acknowledge, there is no federal law directed to compounding medication for office use by veterinarians. Accordingly, this paragraph will not further the goals of protecting animal health, but will only serve to potentially confuse veterinarians, pharmacists, and the general public. Accordingly, we request that this paragraph be deleted from the rule.

IV. Conclusion

In closing, we appreciate the Board’s consideration of this topic because it is of vital importance to animal health. We appreciate the Board’s efforts to ensure that pets and other animals in Louisiana have timely access to appropriate medical treatments, and that regulatory hurdles don’t impede the provision of veterinary medical care. As such, we respectfully request that the Board adopt a permanent rule that allows compounding pharmacies to provide...
compounded medication to veterinarians for use in animals on receipt of a non-patient specific medical order. We specifically request that the Board adopt a rule without the proposed arbitrary 5% limitation on office use medication, and without Paragraph E(4) concerning the lack of federal law addressing this issue.

Very truly yours,

/s/ Rachael G. Pontikes

Rachael G. Pontikes
Chapter 9. Pharmacy Technicians

§901. Definitions
A. As used in this Chapter, the following terms shall have the meaning ascribed to them in this Section:

ACPE – Accreditation Council for Pharmacy Education.

CPE – continuing pharmaceutical education, as part of a postgraduate educational program to enhance professional competence.

CPE Monitor – a collaborative service from the National Boards of Pharmacy (NABP) and the Accreditation Council for Pharmacy Education (ACPE) that provides an electronic system for pharmacists and pharmacy technicians to record and track their completed CPE activities.

CPE unit – a standard of measurement adopted by the ACPE for the purpose of accreditation of CPE programs. One CPE unit is equivalent to 10 credit hours.

Pharmacist Preceptor – Repealed.

Pharmacy Technician – an individual, certified by the board, who assists in the practice of pharmacy under the direct and immediate supervision of a Louisiana-licensed pharmacist.

Pharmacy Technician Candidate – an individual, registered by the board, training to become a pharmacy technician, who assists in the practice of pharmacy under the direct and immediate supervision of a Louisiana-licensed pharmacist.

Training Program – a pharmacy technician training program that is currently nationally-accredited and has been approved by the board.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1212.

HISTORICAL NOTE: Promulgated by the Department of Health and Hospitals, Board of Pharmacy, LR 30:2485 (November 2004), effective January 1, 2005, amended LR 39:1777 (July 2013), amended LR

§903. Pharmacy Technician Candidates
A. Registration
1. All pharmacy technician candidates shall obtain a registration from the board prior to performing any professional functions in a pharmacy; failure to do may result in disciplinary action by the board.

2. Qualifications
   a. The applicant shall be at least 18 years of age, as evidenced by a valid and legible copy of a birth certificate or other appropriate credential.
   b. The applicant shall be of good moral character and non-impaired.
   c. The applicant shall satisfy one of the following eligibility criteria:
      i. Proof of enrollment in a nationally-accredited and board-approved pharmacy technician training program; or
      ii. Proof of successful completion of the board-approved technician certification examination, and further, proof of successful completion of a high school approved by a state department of education or an equivalent degree of education, as evidenced by a valid and legible copy of a diploma, transcript, or other appropriate credential; or
      iii. Proof of credentialing as a pharmacy technician by another state board of pharmacy as well as evidence of practice as a pharmacy technician for at least one year in that state, and further, proof of successful completion of the board-approved technician certification examination.
d. Exceptions:
   i. A pharmacist or pharmacist intern whose board credential has been denied, suspended, revoked, or restricted for disciplinary reasons by any board of pharmacy shall not be a pharmacy technician candidate or pharmacy technician.
   ii. A pharmacist or pharmacist intern whose board credential is lapsed shall not be a pharmacy technician candidate or pharmacy technician until such lapsed credential is recalled through non-disciplinary board action.

3. Issuance and Maintenance
   a. Upon receipt of a properly completed application, appropriate fee, and any other documentation required by the board, the board may issue a Pharmacy Technician Candidate Registration to the applicant.
   b. The board reserves the right to refuse to issue, recall, or discipline a registration for cause.
   c. The registration shall expire 24 months after the date of issuance, and it shall not be renewable.
   d. A pharmacy technician candidate shall notify the board, in writing, no later than 10 days following a change of mailing address. The written notice shall include the candidate’s name, registration number, and old and new addresses.
   e. A pharmacy technician candidate shall notify the board, in writing, no later than 10 days following a change in location(s) of employment. The written notice shall include the candidate’s name, registration number, and name, address, and permit numbers for old and new employers.

B. Training Programs
   1. All training programs approved by the board shall maintain their national accreditation.
   2. The training program shall notify the board when a pharmacy technician candidate is no longer satisfactorily progressing in the program. Evidence of a program’s failure to comply with this rule shall constitute sufficient basis for the withdrawal of the board’s approval for the program.
   3. The training program shall provide an appropriate credential to the pharmacy technician candidate who has successfully completed the program, provided, however, that such credential shall not be formatted in such a manner to lead anyone to believe that credential resembles a document providing legal authority to practice as a pharmacy technician.

C. Practical Experience
   1. The candidate shall possess a registration prior to performing any permitted professional function or earning any practical experience in a pharmacy.
   2. The candidate shall wear appropriate attire and be properly identified as to name and candidate status while on duty in the prescription department.
   3. A candidate shall not work in a permitted site that is on probation with the board, or with a pharmacist who is on probation with the board.
   4. The candidate’s registration shall evidence his authority to earn practical experience in a pharmacy, under the supervision of a pharmacist, in satisfaction of the requirements for pharmacy technician certification.
      a. In the event the registration was issued to an applicant enrolled in a nationally-accredited and board-approved training program, the candidate shall earn the amount of experience prescribed by the curriculum of that program; or
      b. In the event the registration was issued to an applicant by any other method, the candidate shall earn at least 600 hours of practical experience in a pharmacy in Louisiana, provided however, that a candidate may receive board credit for a maximum of 50 hours per week.
   5. Hours of practical experience earned by a candidate shall expire two years after the expiration date of the registration.

D. Examination
   1. A board-approved technician examination shall consist of integrated pharmacy subject matter and any other disciplines the board may deem appropriate in order to permit the candidate to demonstrate his competency. The candidate shall achieve a passing score, as determined by the board.
2. Re-examination
   a. Following the first or second unsuccessful attempt of an examination, the candidate may be permitted to retake that examination.
   b. Following the third unsuccessful attempt of an examination, the candidate shall wait one year after the date of the last examination to retake that examination. If the candidate fails to wait the prescribed one year period, the board may delay any future certification until that one year period has elapsed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1212.


§905. Pharmacy Technician Certificate

A. Qualifications
   1. An applicant for a pharmacy technician certificate shall be at least 18 years of age, as evidenced by a valid and legible copy of a birth certificate or other appropriate credential.
   2. An applicant shall be of good moral character and non-impaired.
   3. An applicant shall demonstrate one of the following educational competencies:
      a. In the event the applicant obtained their technician candidate registration on the basis of their enrollment in a nationally-accredited and board-approved pharmacy technician training program, the applicant shall demonstrate successful completion of that training program, or in the alternative, another nationally-accredited and board-approved pharmacy technician training program;
      b. In the event the applicant obtained their technician candidate registration by any other method, the applicant shall demonstrate the acquisition of at least 600 hours of practical experience under the supervision of a pharmacist, using a form supplied by the board.
   4. An applicant shall demonstrate successful completion of a board-approved technician examination, as evidenced by a valid and legible copy of the appropriate credential.

B. Issuance and Maintenance
   1. Upon receipt of a properly completed application, copies of valid and legible credentials, the appropriate fee, and any other documentation required by the board, and following verification that all requirements have been satisfied, the board may issue a pharmacy technician certificate to the applicant for the current renewal period.
   2. The board reserves the right to refuse to issue, recall, or discipline a certificate for cause.
   3. The annual renewal shall expire and become null and void on June 30 of each year.
      a. The board shall make available, no later than May 1 of each year, an application for renewal to all pharmacy technicians to the address of record.
      b. The completed application, along with the appropriate fee, shall be submitted to the board by June 30 of each year.
      c. A pharmacy technician shall not assist in the practice of pharmacy in Louisiana with an expired renewal.
      d. An application for an expired pharmacy technician renewal, along with the appropriate fee, shall be submitted to the board’s Reinstatement Committee for consideration.
   4. A pharmacy technician shall notify the board, in writing, no later than 10 days following a change of mailing address. The written notice shall include the technician’s name, certificate number, and old and new addresses.
   5. A pharmacy technician shall notify the board, in writing, no later than 10 days following a change in location(s) of employment. The written notice shall include the technician’s name, certificate number, and name, address, and permit numbers for old and new employers.
6. Upon written request of any certified pharmacy technician in active military service of the United States or any of its allies, the board may waive the requirement for the annual renewal of the certificate, including fees.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1212.


§907. Scope of Practice
A. Pharmacy technician candidates and pharmacy technicians may assist the pharmacist by performing those duties and functions assigned by the pharmacist while under his direct and immediate supervision.

1. The ratio of candidates to pharmacists on duty shall not exceed one to one at any given time.

2. The ratio of technicians to pharmacists on duty shall not exceed two to one at any given time. However, the ratio of technicians to pharmacists on duty may be increased to three to one if no technician candidates are on duty at the same time.

B. Pharmacy technician candidates shall not:

1. receive verbal initial prescription orders;

2. give or receive verbal transfers of prescription orders;

3. interpret prescription orders (however, a technician candidate may translate prescription orders);

4. compound high-risk sterile preparations, as defined by the United States Pharmacopeia (USP), or its successor.

5. counsel patients.

C. Pharmacy technicians shall not:

1. release a verbal prescription order for processing until it is reduced to written form and initialed by the receiving technician and supervising pharmacist;

2. interpret prescription orders (however, a technician may translate prescription orders);

3. counsel patients.

§909. Continuing Education
A. A minimum of one technician-specific ACPE or board-approved CPE unit, or 10 credit hours, shall be required each year as a prerequisite for annual renewal of a pharmacy technician certificate. Such CPE units shall be credited in the 12-month period prior to the expiration date of the certificate.

B. Certified pharmacy technicians shall maintain copies of their individual records of personal CPE activities with CPE Monitor and shall authorize the board’s access to their file by recording their Louisiana pharmacy technician certificate number within that file, and shall present a copy of their CPE Monitor transcript when requested by the board.

C. If judged appropriate by the board, some or all of the required number of hours may be mandated on specific subjects. When so deemed, the board shall notify all certified pharmacy technicians prior to the beginning of the renewal year in which the CPE is required.

D. Complete compliance with CPE rules is a prerequisite for renewal of a pharmacy technician certificate.

1. Non-compliance with the CPE requirements shall be considered a violation of R.S. 37:1241(A)(2) and shall constitute a basis for the board to refuse annual renewal.

2. The failure to maintain an individual record of personal CPE activities, or falsifying CPE documents, shall be considered a violation of R.S. 37:1241(A)(22).

3. The inability to comply with CPE requirements shall be substantiated by a written explanation, supported with extraordinary circumstances, and submitted to the board for consideration.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1212.
§703. Registration

A. All pharmacy interns shall meet the following requirements for registration:

1. All pharmacy interns shall register with the board. The failure to register may result in disciplinary action by the board.
   a. The applicant shall submit to the board office a properly completed application no later than the end of the first semester of the first academic year at a board-approved college of pharmacy.
   b. The board may issue an Intern Registration to the applicant, upon receipt of a properly completed application, appropriate fee, and any other documentation required by the board office.
   c. The Intern Registration shall expire one year after the certification of graduation from a board-approved college of pharmacy.
      (1) Intern registrations issued to foreign pharmacy graduates shall expire two years after the date of issue.
   d. The board shall reserve the right to recall or refuse to issue any Intern Registration for cause.

2. A pharmacy intern shall wear appropriate attire and be properly identified with his name and intern status while on duty at the preceptor site.

3. A pharmacy intern shall notify the board in writing within ten days of a change of address. This notice shall include the pharmacy intern’s name, registration number, and old and new addresses.

4. A pharmacy intern shall notify the board in writing within ten days of a change in location(s) of employment. This notice shall include the pharmacy intern’s name and registration number, the name and address of old and new employment, and the permit numbers of those pharmacies involved.

5. The pharmacy intern shall be non-impaired.
   a. The pharmacy intern is subject to confidential random drug screen testing and/or evaluations.
   b. A positive drug screen may be self evident as proof of improper drug use. For the purposes of this chapter, a missed screen, a screen submitted beyond the mandated period, and/or any screen submitted indicating the sample provided is diluted, substituted, or in any way adulterated is considered to be a positive drug screen.
§705. Professional Experience

A. All applicants for licensure by examination shall earn professional experience in the practice of pharmacy concurrent with attending or after graduation from a board-approved college of pharmacy.

B. The practical experience shall be predominantly related to the provision of pharmacy primary care and the dispensing of drugs and medical supplies, the compounding of prescriptions, and the keeping of records and making of reports as required under federal and state law.

1. The practical experience earned shall have been under the supervision of a pharmacist, or in the alternative, a licensed practitioner.

2. A pharmacy intern shall not practice in a permitted pharmacy site that is on probation with the board. A pharmacy intern shall not practice under the supervision of a pharmacist or other licensed practitioner whose license is on probation with their primary professional licensing agency.

C. Professional Experience Hours. To qualify for pharmacist licensure, an intern shall supply evidence of the acquisition of at least 1,740 hours of professional experience, of which at least 1,500 hours of which shall be practical experience as described in Subsection B above.

1. The board shall award 1,740 hours credit to an intern for his successful completion of a professional experience curriculum at a board-approved college of pharmacy. The dean of the board-approved college of pharmacy shall certify the completion of this requirement in the manner prescribed by the board office.

2. In the event an applicant for pharmacist licensure by examination is unable to document the acquisition of 1,740 hours of professional experience through the successful completion of a professional experience curriculum at a board-approved college of pharmacy by means of an attestation from the dean of that college, then the applicant shall demonstrate the acquisition of at least 1,740 hours of pre-licensure practical experience in a licensed pharmacy, subject to the following limitations:
   a. The pharmacy permit shall not have been on probation or otherwise restricted during the time the hours were earned.
   b. The license of the pharmacist supervising the intern and signing the affidavit shall have been issued no less than two years before supervising the intern, and further, shall not have been on probation or otherwise restricted during the time the hours were earned.

3. Practical experience hours that are submitted to the board for credit consideration (other than those attested to by the dean of the college of pharmacy for the successful completion of a professional experience curriculum at a board-approved college of pharmacy) shall be listed on an affidavit form supplied by the board office, and signed by the supervising pharmacist and pharmacy intern.
   a. A pharmacy intern may receive credit for a maximum of 50 hours per week.
   b. A separate affidavit shall be required from each permitted pharmacy site.
   c. No credit shall be awarded for hours earned within the professional experience curriculum of a board-approved college of pharmacy, nor for hours earned outside the professional experience curriculum but at the same time and location as hours earned for that professional experience curriculum.

4. Certification of Hours To and From Another Jurisdiction.
   a. Interns enrolled in a board-approved college of pharmacy in Louisiana who earn hours of professional experience in another jurisdiction, as well as interns enrolled in a board-approved college of pharmacy in another jurisdiction who earn hours of professional experience in another jurisdiction, may transfer those hours to Louisiana under the following conditions:
      i. The hours of practical experience shall be listed on an affidavit form supplied by the Louisiana Board of Pharmacy, signed by the supervising pharmacist and the intern, and submitted to the Louisiana Board of Pharmacy for consideration of credit; and
ii. The board of pharmacy in the jurisdiction where the hours were earned shall certify those hours to the Louisiana Board of Pharmacy. iii. The Louisiana Board of Pharmacy may grant credit for all hours that comply with the Louisiana Board of Pharmacy’s requirements as delineated in this section.

b. Upon written request by the pharmacy intern, the Louisiana Board of Pharmacy may certify professional experience hours earned in Louisiana to a board of pharmacy in another jurisdiction.

5. Credited hours of experience shall expire two years after the expiration date of the Intern Registration and shall no longer be valid for licensure purposes.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1211.

§2511. Prescriptions

A. Definitions. As used in this Chapter, the following terms shall have the meaning ascribed to them in this Section:
   - Electronic Prescription – a prescription transmitted in electronic form.
   - Practice Affiliation – a practice relationship, collaboration, or practice under the supervision of a physician licensed to practice medicine.
   - Prescription or Prescription Drug Order – an order from a practitioner authorized by law to prescribe for a drug or device that is patient specific and is communicated by any means to a pharmacist in a permitted pharmacy, and is to be preserved on file as required by law or regulation.

B. Requirements. A prescription shall contain the following data elements:
   1. Prescriber’s name, licensure designation, address, telephone number, and if for a controlled substance, the Drug Enforcement Administration (DEA) registration number;
   2. Patient’s name, and if for a controlled substance, address;
   3. Date prescription issued by the prescriber;
   4. Name of drug or device, and if applicable, strength, and quantity to be dispensed;
   5. Directions for use;
   6. Signature of prescriber; and
   7. Refill instructions, if any. In the absence of refill instructions on the original prescription, the prescription shall not be refilled.

C. Written Prescriptions. A written prescription shall conform to the following format:
   1. The prescription form shall be of a size not less than 4 inches by 5 inches, and shall bear a single printed signature line.
   2. The prescription form shall clearly indicate the authorized prescriber’s name, licensure designation, address, telephone number, and, if for a controlled substance, the Drug Enforcement Administration (DEA) registration number. In the event that multiple practitioners are identified on the prescription form, the authorizing prescriber’s specific identity shall be clear and unambiguous. This identification may be indicated by any means, including but not limited to, a marked check box next to, or circling, the authorizing prescriber’s printed name.
   3. No prescription form shall contain more than four prescription drug orders. Each prescription drug order on the form shall provide the following:
      a. check box labeled “Dispense as Written”, or “DAW”, or both; and
      b. the number of refills, if any.
   4. The prescription shall be written with ink or indelible pencil, typewriter, or printed on a computer printer and shall be manually signed by the practitioner on the date issued and in the same manner as he would sign a check or legal document (e.g., J. H. Smith or John H. Smith). Examples of invalid signatures include rubber stamps, signatures of anyone other than the prescriber, and computer generated signatures.
   5. Facsimile Prescription
The receiving facsimile machine of a prescription transmitted by facsimile shall be located within the pharmacy department.

The prescription transmitted by facsimile shall be on a non-fading legible medium.

All requirements applicable to written prescriptions in this Subsection shall apply to facsimile prescriptions, except Subparagraph C.7.c.

The provisions of this Section notwithstanding, a prescription for a medication not listed as a controlled substance which is received in a pharmacy by facsimile and which bears an electronic signature of the prescriber shall be construed as a validly-formatted prescription; however, this temporary allowance shall expire at midnight on December 31, 2016.

Forms used by pharmacists to record telephoned or transferred prescriptions are exempt from the format requirements listed above.

Equivalent Drug Product Interchange.

The pharmacist shall not select an equivalent drug product when the prescriber handwrites a mark in the check box labeled “Dispense as Written”, or “DAW”, or both, and personally handwrites his signature on a printed single signature line. Otherwise, the pharmacist may select an equivalent drug product, provided the patient has been informed of, and has consented to, the proposed cost saving interchange.

In the event an authorized prescriber has indicated that an equivalent drug product interchange is prohibited by handwriting a mark in the check box labeled “Dispense as Written”, or “DAW”, or both, then a non-licensed, non-certified, or non-registered agent of the pharmacy shall not inquire as to a patient’s desire for an equivalent drug product interchange.

For prescriptions reimbursable by Medicaid or Medicare, the authorized prescriber may only prohibit equivalent drug product interchange by handwriting the words “brand necessary” or “brand medically necessary” on the face of the prescription order or on a sheet attached to the prescription order.

Oral Prescriptions.

Upon the receipt of an oral prescription from an authorized prescriber, the pharmacist or pharmacy intern or pharmacy technician shall reduce the order to a written form prior to dispensing the medication. As an alternative to recording such prescriptions on paper forms, a pharmacist may enter the prescription information directly into the pharmacy’s dispensing information system. In the event a pharmacy intern or pharmacy technician transcribes such a prescription, the supervising pharmacist shall initial or countersign the prescription form prior to processing the prescription.

The pharmacist shall not select an equivalent drug product when the authorized prescriber or his agent has verbally indicated a specific brand name drug or product is ordered.

The pharmacist may select an equivalent drug product if the authorized prescriber or his agent has given his approval to the equivalent drug product interchange. The patient shall be informed of, and consent to, the proposed cost saving interchange.

Electronic Prescriptions.

The prescription shall clearly indicate the authorized prescriber’s name, licensure designation, address, telephone number, and if for a controlled substance, the DEA registration number.

The pharmacist shall not select an equivalent drug product when the prescriber indicates “Dispense as Written,” “DAW,” or “Brand Medically Necessary,” and transmits his electronic signature. Otherwise, the pharmacist may select an equivalent drug product, provided the patient has been informed of, and consents to, the proposed cost saving interchange.

Exclusion. The provisions of this Section shall not apply to medical orders written for patients in facilities licensed by the Department of Health and Hospitals or its successor.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1182.

§2517. Prescription Dispensing

A. Prescription dispensing means the issuance, by a licensed pharmacist, of one or more doses of medication in a suitable container, properly labeled for subsequent administration, and shall consist of the following procedures or practices:

1. receiving and interpretation of the prescription order;
2. assembling the drug products and an appropriate container;
3. preparing the prescription by compounding, mixing, counting, or pouring;
4. affixing the proper label to the final container;
5. patient counseling as required; and
6. transfer of possession.

B. Equivalent Drug Product Interchange

1. The pharmacist shall not select an equivalent drug product when the prescriber prohibits such interchange by any one of the following methods:
   a. On a prescription generated in written form, the prescriber shall handwrite a mark in a check box labeled “Dispense as Written”, or the abbreviation “DAW”, or both, and shall manually sign the prescription form.
      i. For prescriptions reimbursable by the state Medicaid program, the prescriber shall handwrite the words “Brand Necessary” or “Brand Medically Necessary” on the prescription form or on a sheet of paper attached to the prescription form.
   b. On a prescription generated in oral or verbal form, the prescriber (or the prescriber’s agent) shall indicate a specific brand name drug or product is ordered by the practitioner, and the pharmacist shall note such information on the file copy of the prescription.
   c. On a prescription generated in electronic form, the prescriber shall indicate “Dispense as Written”, “DAW”, or “Brand Medically Necessary.”

2. Where the prescriber has indicated that an equivalent drug product interchange is prohibited, then a non-licensed, non-certified, or non-registered agent of the pharmacy shall not inquire as to a patient’s desire for an equivalent drug product interchange.

3. In the event the prescriber has not prohibited equivalent drug product interchange in the manner described above, the pharmacist may select an equivalent drug product for dispensing, provided the patient has been informed of, and has consented to, the proposed cost saving interchange.

4. When the pharmacist selects a biological product rated as interchangeable for the product ordered by the prescriber, the dispensing pharmacist (or his designee) shall communicate to the prescriber – by any means, but no later than five business days following the dispensing date – the specific product dispensed to the patient, including the name of the product and the manufacturer. However, no such communication to the prescriber is required when:
   a. The prescriber prohibited interchange in the manner described above;
   b. There is no product rated as interchangeable or therapeutically equivalent; or
   c. The product dispensed is a refill not changed from the product dispensed on the prior filling of the prescription.

B. C. Unless otherwise allowed by law, drugs dispensed on prescription to a patient shall not be accepted for return, exchange, or re-dispensing by any pharmacist or pharmacy after such drugs have been removed from the pharmacy premises where they were dispensed.

AUTHORITY NOTE: Promulgated in accordance with R.S. 37:1182.
HISTORICAL NOTE: Promulgated by the Department of Health and Hospitals, Board of Pharmacy, LR 14:708 (October 1988), effective January 1, 1989, amended LR 29:2104 (October 2003), effective January 1, 2004,
Executive Committee

NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
NOTICE IS HEREBY GIVEN that a meeting of the Executive Committee has been ordered and called for 3:00 p.m. on Tuesday, May 3, 2016 at the Board office, for the purpose to wit:

AGENDA
NOTE: This agenda is tentative until 24 hours in advance of the meeting, at which time the most recent revision becomes official.
Revised 05-01-2016

1. Call to Order
2. Quorum Call
3. Call for Additional Agenda Items & Adoption of Agenda
4. Opportunity for Public Comment
5. Annual Review of Policies & Procedures
   A. Loss Prevention Manual
      i. Proposed Revision of LPM.I.G.1 – Quarterly Inspection Form
   B. Policy & Procedure Manual
6. Annual Review of Schools
   A. Roster of Approved Pharmacy Schools
   B. Roster of Approved Pharmacy Technician Training Programs
7. Annual Legislative Audit
8. Review of Administrative Operations
9. Adjourn

NOTE: Pursuant to the Open Meetings Law at La. R.S. 42:16, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, (4) discussions regarding personnel matters, or other purposes itemized at La. R.S. 42:17.
Louisiana Board of Pharmacy  
Quarterly Safety Inspection Checklist

Quarter: _____________  Date: _____________

If an item is checked as “NOT OK” go to the last page and complete the “Comments” section.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>OK</th>
<th>NOT OK</th>
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<tbody>
<tr>
<td>1. Is there litter or spilled liquid on the floor?</td>
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<td>2. Are floor surfaces chipped, does carpeting show worn spots or holes?</td>
<td></td>
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<td>3. Are warning signs posted near repair work or redecorating?</td>
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<tr>
<td>4. Are aisles free of boxes, wastebaskets, chairs and other obstacles that impede traffic?</td>
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<tr>
<td>5. Are cords placed where they might trip a passerby?</td>
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<td>6. Do cords looked frayed? Are they draped over hot pipes, bent around hooks or stepped on?</td>
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<tr>
<td>7. Are flimsy extension cords in use? (All extension cords should be 3-pronged)</td>
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<tr>
<td>8. Is all electrical equipment connected with three pronged plugs?</td>
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<tr>
<td>9. Are electrical outlet boxes or bonnets exposed so that they pose a tripping hazard?</td>
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<tr>
<td>10. Do employees stand on chairs, desks, boxes, or other improvised ladders?</td>
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<tr>
<td>11. Do employees lean back in chairs, with feet up on desk?</td>
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<td>12. Do employees run in office?</td>
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<td>13. Are stairs well lighted?</td>
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<td>14. Are handrails, tread and risers in good condition?</td>
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<tr>
<td>15. Are stairs free of litter or spills?</td>
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<tr>
<td>16. Are desk or file drawers left open?</td>
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<td>17. Is more than one file drawer opened at the same time?</td>
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<td>18. Are files top-heavy with empty drawers at the bottom and full drawers on top?</td>
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<tr>
<td>19. Are boxes, papers, and books stored on top of files, storage cabinets, and windowsills?</td>
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Updated 06/08/2015
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<td>20.</td>
<td>Is machinery turned off when not in use?</td>
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<td>21.</td>
<td>Do employees wear dangling jewelry or floppy clothing around machinery?</td>
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<td>22.</td>
<td>Are employees using spike files or pencil holders with pencil points up?</td>
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<td>23.</td>
<td>Is the paper cutter placed in a safe location?</td>
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<td>24.</td>
<td>Are sharps or razor blades mixed in with paper clips?</td>
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<td>25.</td>
<td>Are fire exits clearly marked and lighted?</td>
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<td>26.</td>
<td>Have emergency lights been tested?</td>
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<td>27.</td>
<td>Have fire extinguishers been inspected recently? (Is the needle in the green?)</td>
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<td>28.</td>
<td>Are ABC extinguishers readily available?</td>
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<tr>
<td>29.</td>
<td>Do all employees know the location of exits and extinguishers?</td>
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<tr>
<td>30.</td>
<td>Are adequate first aid supplies available?</td>
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<td>31.</td>
<td>Are all accidents/incidents recorded and reported?</td>
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<tr>
<td>32.</td>
<td>Do employees practice good housekeeping and maintain a safe environment in their respective work areas?</td>
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<tr>
<td>33.</td>
<td>Are exterior stairs free of algae and other obstacles?</td>
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</table>

**COMMENTS:** Please specify item number, location of deficiency and the corrective action being taken. If it cannot be corrected immediately, you must record the deficiency on the hazard log so that follow-up can occur.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Area Inspected by:

______________________________  ____________________
Signature of Inspector Date

Updated 06/08/2015
Loss Prevention Manual

May 4, 2016
The policies and procedures contained in this manual have been approved by the Board on the date indicated on each document. The entire manual is subject to periodic review by the Board, and their continuing approvals are noted below.

May 5, 2010
May 4, 2011
May 2, 2012
May 29, 2013
May 7, 2014
May 27, 2015
May 4, 2016
<table>
<thead>
<tr>
<th>Division</th>
<th>Name</th>
<th>Page No.</th>
<th>Approved</th>
<th>Revised</th>
<th>Revised</th>
<th>Revised</th>
<th>Revised</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B Assignment of Safety Responsibility</td>
<td>7</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>C Safety Rules</td>
<td>9</td>
<td>5/5/2010</td>
<td>5/2/2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>D Safety Meeting Procedures</td>
<td>11</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>E Employee Safety Training</td>
<td>12</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>F Safety Committee</td>
<td>13</td>
<td>5/2/2012</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>G Inspection Procedures</td>
<td>14</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2 Hazard Control Log</td>
<td>17</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>H Incident &amp; Accident Investigations</td>
<td>18</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 ORM DA-2000 Form</td>
<td>20</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2 ORM Employer Injury Report Form</td>
<td>22</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>3 ORM DA-3000 Form</td>
<td>24</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>I Job Safety Analysis</td>
<td>26</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>1 Job Safety Analysis Worksheet</td>
<td>27</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>J Recordkeeping Requirements</td>
<td>28</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>L First Aid</td>
<td>33</td>
<td>5/5/2010</td>
<td>5/27/2015</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>M Emergency Preparedness</td>
<td>35</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 Bomb Threat Checklist</td>
<td>40</td>
<td>5/29/2013</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>N Hazardous Materials</td>
<td>41</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>O Employee Non-Compliance</td>
<td>42</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>P Workers' Compensation Post-Accident Drug Testing</td>
<td>43</td>
<td>11/18/2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Q Transitional Duty Return to Work Plan</td>
<td>45</td>
<td>2/24/2016</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 Physician Information Form</td>
<td>50</td>
<td>2/24/2016</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2 Audit Form</td>
<td>51</td>
<td>2/24/2016</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>D Supervisor's Responsibility</td>
<td>57</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>G Fleet Management</td>
<td>61</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>H Safety Audits and Recordkeeping</td>
<td>62</td>
<td>5/29/2013</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Table of Contents

<table>
<thead>
<tr>
<th>Division</th>
<th>Name</th>
<th>Page No.</th>
<th>Approved</th>
<th>Revised</th>
<th>Revised</th>
<th>Revised</th>
<th>Revised</th>
</tr>
</thead>
<tbody>
<tr>
<td>III. Bonds, Crime &amp; Property</td>
<td>A Procedures for Managing Assets</td>
<td>64</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>B Employee Training</td>
<td>68</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>C Regular Audits</td>
<td>69</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>D Audit Findings</td>
<td>70</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>E Loss or Damage to Assets</td>
<td>71</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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<td></td>
<td>1 Incident Report Form</td>
<td>72</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>F Employee Responsibilities &amp; Accountability</td>
<td>74</td>
<td>5/5/2010</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>G Office Security</td>
<td>75</td>
<td>5/5/2010</td>
<td></td>
<td></td>
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<td></td>
<td>H Key Control</td>
<td>76</td>
<td>5/2/2012</td>
<td>5/27/2015</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IV. Equipment Management</td>
<td>A Equipment Management</td>
<td>80</td>
<td>5/2/2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>V. Rescinded, Deleted &amp; Obsolete Policies</td>
<td>I - C Safety Rules</td>
<td>83</td>
<td>5/5/2010</td>
<td>5/2/2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>II - A Authorized Drivers</td>
<td>91</td>
<td>5/5/2010</td>
<td>5/27/2015</td>
<td></td>
<td></td>
<td></td>
</tr>
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<td>II - F Accident Reporting</td>
<td>95</td>
<td>5/5/2010</td>
<td>5/29/2013</td>
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<td></td>
<td></td>
</tr>
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<td>III - H Key Control</td>
<td>97</td>
<td>5/2/2012</td>
<td>5/27/2015</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
General Safety

A. Management Policy
B. Assignment of Safety Responsibility
C. Safety Rules
D. Safety Meeting Procedures
E. Employee Safety Training
F. Safety Committee
G. Inspection Procedures
H. Incident & Accident Investigation
I. Job Safety Analysis
J. Recordkeeping Requirements
K. Blood Borne Pathogens
L. First Aid
M. Emergency Preparedness
N. Hazardous Materials
O. Employee Non-Compliance
P. Workers’ Compensation Post-Accident Drug Testing
Q. Transitional Duty Return to Work Plan
It is the policy of the Appointing Authority to assure that all employees and guests who use our facilities have an environment which is accident-free and as safe as possible.

The administration of safety is not only a function of management, but of the entire staff. Each individual employee is responsible for helping reach the goal of reducing personal injury and loss of property to the lowest possible degree. Each employee is responsible for supporting safety programs, following safety rules, immediately reporting potentially unsafe conditions or work practices, and for taking effective temporary actions to minimize the risk to themselves, others or property.

Employees are to report the following items to the Office Manager immediately:

- Any accident, injury, or near miss, no matter how slight;
- Damaged or defective pieces of equipment;
- Any electrical equipment, fixtures, or outlets needing repair;
- Any lights that will not burn or any fluorescent lights that are flickering;
- Broken or missing tiles, damaged floors, or walls; and
- Water or spills on floors.

Remember that safety is up to each and every employee. Try to become familiar with hazards in the work area and do not take any unnecessary risks. If an employee is injured on the job, the Office Manager should be notified immediately. An accident report and other forms must then be completed.
The ultimate responsibility for preventing accidents and controlling hazards rests with management. Safety should be managed like any other administrative function. Management should direct the safety effort by setting achievable goals and by planning, organizing, and controlling activities to achieve those goals. The keys to effective safety performance are management procedures that assign responsibility. The following is a list of responsibilities assigned to the indicated employees:

**Executive Director**
1. Has full responsibility for safety.
2. Authorizes necessary expenditures to provide safe work conditions.
3. Approves safety policies as formulated by the loss prevention coordinator.
4. Participates in the safety program by conducting safety tours, approving safety contracts, reviewing and responding to safety reports, ensuring safety awareness among key management personnel, evaluating safety program, and reviewing safety audit reports.

**Loss Prevention Coordinator**
The coordinator is responsible for the development and implementation of the safety program. Duties include:
1. Planning and directing a regular program of safety inspections and accident investigations.
2. Checking for compliance with applicable safety laws and codes.
3. Primary responsibility for coordinating the safety operations at the office.
4. Keeping and analyzing accident records.
5. Conducting safety meetings.
6. Conducting activities to stimulate and maintain interest in safety among employees.
7. Conducting educational activities.
8. Supervising and appraising accident investigations.

**Supervisors**
1. Inspects work area for compliance with safe work practices and safety rules.
2. Trains employees to work safely.
3. Corrects unsafe conditions and unsafe acts.
4. Obtains prompt first aid for the injured.
5. Reports and investigates accidents and works with loss prevention coordinator to determine cause and correct any problems.
6. Discusses safety with individual employees.
Title: Assignment of Safety Responsibility  
Policy No. I.B

Approved: 05-03-2010  
Revised:

employees

1. Works in accordance with accepted safety practices.
2. Reports unsafe conditions and practices.
3. Observes safety rules and regulations.
5. Asks for assistance or further explanation when needed.
1. Smoke only in approved areas.
2. Horseplay and fighting will not be tolerated in the work place.
3. Before beginning work, notify your supervisor of any permanent or temporary impairment that may reduce your ability to perform in a safe manner.
4. Use personal protective equipment to protect yourself from potential hazards that cannot be eliminated.
5. Operate equipment only if you are trained and authorized.
6. Inspect the workstation for potential hazards and ensure that the equipment is in safe operating condition before using it.
7. Immediately report any recognized potentially unsafe condition or act to your supervisor.
8. If there is any doubt about the safe work method to be used, consult the supervisor before beginning work.
9. Immediately report accidents, near misses, and property damage to a supervisor regardless of the severity.
10. Maintain an orderly environment and work procedure. Store all tools and equipment in a designated place. Put scrap and waste material in a designated refuse container.
11. Report any smoke, fire, or unusual odors to your supervisor.
12. Use proper lifting techniques. For objects exceeding 50 pounds in weight, the immediate supervisor shall determine specific methods for safe lifting.
13. Never attempt to catch a falling object.
14. If your work creates a potential slip or trip hazard, correct the hazard immediately or use safety tape to tag the area before leaving it unattended.
15. Adhere to office rules regarding first aid, evacuation routes, and fire department notification.
16. Adhere to office rules and procedures specific to office operations.
17. Assist and cooperate with all safety investigations and inspections and assist in implementing safety procedures as requested.
18. Employees authorized to drive on state business should fasten restraint belts before starting any motor vehicle, obey all driver safety instructions, and comply with all traffic signs, signals, markers, and persons designated to direct traffic while on duty.
19. The exterior employee entrance shall remain locked and closed at all times.
20. The interior doors leading from the lobby to non-public areas shall remain closed and secure at all times.
Title: Safety Rules

Approved: 05-02-2012

Revisions

05-02-2012 Added items 19 and 20.
Meeting Preparation

1. Identify topics for safety meetings by conducting frequent inspections of the workspaces and note any unsafe activities or behaviors that should be remedied.
2. Select an activity or topic that can benefit all employees in attendance. Safety meetings can help identify and eliminate hazards before accidents occur.
3. The Safety Meeting Report shall list the topics to be discussed.
4. Identify the methods to be used during the meeting, e.g., classroom, demonstrations, reading materials, etc.

Conduct the Meeting

1. Meetings may be conducted in a classroom-like setting with lecture, video, and/or demonstrations.
2. Information may be distributed via e-mail, handouts, or correspondence, and employees shall be required to indicate they 'have received and read' the materials.
3. Record the total number of employees participating vs the total number of employees and calculate a percentage of employees who participated.

Document Attendance

1. Ensure an original signature is obtained from each employee in attendance at each meeting and that the documentation reflects the date on which the information was actually received.
2. For those employees to whom the safety meeting information is provided electronically, maintain a record of receipt by each employee, e.g., e-mail return receipt.

Meeting Record Maintenance

1. Safety meeting report forms should be sent to the loss prevention coordinator.
2. Sign-in sheets should be maintained for a minimum of three years, and training records should be maintained for as long as possible.
1. Safety training shall be provided to all employees who must perform new tasks or operate new equipment or whose safety performance is not satisfactory. The safety related training, whether conducted by a supervisor on the job or by a training specialist, shall include instruction in correct work procedures, use of safety equipment, and availability of assistance. Additionally, safety related training shall cover a review of the basics pertaining to a specific topic and the Board’s specific policy.

2. All safety related training, whether formal or on-the-job training, shall be documented.

3. The executive director shall ensure that trained persons are conducting safety meetings, inspecting the work area, investigating accidents, analyzing jobs for safety, and demonstrating leadership skills in safety.

4. The loss prevention coordinator shall have documented proof of attendance at least once every three years in the La. Division of Administration, Office of Risk Management LOSs Prevention Program course.

5. The Board shall conduct documented training on the following topics:
   - Drug-Free Workplace
   - Sexual Harassment

   Training on these topics shall be completed within one year of hire plus once every five years thereafter, and may count toward the quarterly safety meeting requirement.
1. Since the Board staff consists of 18 employees, only 14 of whom work in the Board office and then under minimal risk, the appointment of a safety committee to meet on a routine basis would be counterproductive to Board operations.

2. Safety risks will be evaluated and acted upon as they are discovered.
1. The loss prevention coordinator is responsible for conducting quarterly inspections and for identifying and correcting conditions or practices that are potential safety or fire hazards.

2. The coordinator shall complete the inspection form during each inspection. The completed checklist shall be forwarded to the executive director for review. The checklist shall be retained for at least three years, and further, shall be made available to the Office of Risk Management Loss Prevention Unit upon request.

3. All employees are responsible for reporting any potentially hazardous condition or practice they discover. The employee shall record the unsafe condition on the Hazard Control Log which shall be kept in the Office Manager’s office. The loss prevention coordinator is responsible for checking the Hazard Control Log and is authorized to take immediate temporary control of the area to prevent exposure to the hazard until corrective action is taken. If a supervisor or administrative officer cannot correct the hazard, they shall immediately report it to the executive director.

4. If a hazard exists for more than 30 days, the supervisor shall send a copy of the Hazard Control Log to the executive director and to the Office of Risk Management Loss Prevention Unit.

5. The Hazard Control Log shall be retained in the originating work area for at least three years.

6. Deficiencies identified by the State Fire Marshal’s office shall be reported immediately to the executive director.
Louisiana Board of Pharmacy  
Quarterly Safety Inspection Checklist

Quarter: _____________  Date: _____________

If an item is checked as “NOT OK” go to the last page and complete the “Comments” section.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>OK</th>
<th>NOT OK</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is there litter or spilled liquid on the floor?</td>
<td></td>
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<tr>
<td>2. Are floor surfaces chipped, does carpeting show worn spots or holes?</td>
<td></td>
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<tr>
<td>3. Are warning signs posted near repair work or redecorating?</td>
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<tr>
<td>4. Are aisles free of boxes, wastebaskets, chairs and other obstacles that impede traffic?</td>
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<tr>
<td>5. Are cords placed where they might trip a passerby?</td>
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<tr>
<td>6. Do cords looked frayed? Are they draped over hot pipes, bent around hooks or stepped on?</td>
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<tr>
<td>7. Are flimsy extension cords in use? (All extension cords should be 3-pronged)</td>
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<tr>
<td>8. Is all electrical equipment connected with three pronged plugs?</td>
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<tr>
<td>9. Are electrical outlet boxes or bonnets exposed so that they pose a tripping hazard?</td>
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<tr>
<td>10. Do employees stand on chairs, desks, boxes, or other improvised ladders?</td>
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<tr>
<td>11. Do employees lean back in chairs, with feet up on desk?</td>
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<td>12. Do employees run in office?</td>
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<td></td>
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<td>13. Are stairs well lighted?</td>
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<tr>
<td>14. Are handrails, tread and risers in good condition?</td>
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<td></td>
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<tr>
<td>15. Are stairs free of litter or spills?</td>
<td></td>
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<tr>
<td>16. Are desk or file drawers left open?</td>
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<tr>
<td>17. Is more than one file drawer opened at the same time?</td>
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<tr>
<td>18. Are files top-heavy with empty drawers at the bottom and full drawers on top?</td>
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<tr>
<td>19. Are boxes, papers, and books stored on top of files, storage cabinets, and windowsills?</td>
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Updated 06/08/2015
<table>
<thead>
<tr>
<th></th>
<th>Question</th>
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<tbody>
<tr>
<td>20</td>
<td>Is machinery turned off when not in use?</td>
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<tr>
<td>21</td>
<td>Do employees wear dangling jewelry or floppy clothing around machinery?</td>
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<td>22</td>
<td>Are employees using spike files or pencil holders with pencil points up?</td>
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<td>23</td>
<td>Is the paper cutter placed in a safe location?</td>
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<td>24</td>
<td>Are sharps or razor blades mixed in with paper clips?</td>
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<td>25</td>
<td>Are fire exits clearly marked and lighted?</td>
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<td>26</td>
<td>Have emergency lights been tested?</td>
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<td>27</td>
<td>Have fire extinguishers been inspected recently? (Is the needle in the green?)</td>
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<tr>
<td>28</td>
<td>Are ABC extinguishers readily available?</td>
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<tr>
<td>29</td>
<td>Do all employees know the location of exits and extinguishers?</td>
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<tr>
<td>30</td>
<td>Are adequate first aid supplies available?</td>
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<tr>
<td>31</td>
<td>Are all accidents/incidents recorded and reported?</td>
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<tr>
<td>32</td>
<td>Do employees practice good housekeeping and maintain a safe environment in their respective work areas?</td>
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<tr>
<td>33</td>
<td>Are exterior stairs free of algae and other obstacles?</td>
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</tbody>
</table>

**COMMENTS**: Please specify item number, location of deficiency and the corrective action being taken. If it cannot be corrected immediately, you must record the deficiency on the hazard log so that follow-up can occur.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Area Inspected by:

_________________________  ____________________________
Signature of Inspector      Date

Updated 06/08/2015
An accident is defined as “an unplanned event that caused personal injury or property damage.” An incident is defined as “an unplanned event that could have caused personal injury or property damage. Incidents and accidents may occur in spite of an emphasis on safety and regular inspections. Such events do not just happen – they are caused. All such events should be investigated by responsible personnel to determine the cause and any contributing factors in order to prevent a recurrence.

**Employee-Related Incidents**

For every employee-related incident or accident, a copy of the DA2000 investigation form shall be completed. The form shall include information about the individual injured, a description of the incident/accident (bodily injury vs property damage), a statement of what caused or might have caused the incident/accident, and any corrective action that has been taken or that should be taken to prevent recurrence.

The supervisor of the work unit involved is primarily responsible for conducting the incident/accident investigation and completing all related forms. The loss prevention coordinator may be involved depending upon the nature and severity of the incident or accident. All information fields (including the root cause analysis section on the DA2000) on the forms shall be completed and reviewed for accuracy. Notations such as N/A [not applicable] are not acceptable.

In the event of a fatality or near fatality, the Office of Risk Management (ORM) Loss Prevention Unit shall be contacted immediately.

The loss prevention coordinator shall retain all incident and accident related DA2000 forms for review by the ORM Loss Prevention Unit, and further, report online all DA1973/LDOL-OWC-1007 [E1 – First Report of Injury] forms to the appropriate ORM Claims Unit within the required reporting time frame established by the Claims Unit.

**Workers’ Compensation Injuries**

When an accident involves an injury that results in employee medical expenses or workers’ compensation related loss, the loss prevention coordinator shall also complete the Employer’s Report of Injury/ILLness [LDOL-WC-1007] in a timely manner. This form is also known as the DA1973 (E1) and is available online at [http://doa.louisiana.gov/orm/formsCR.htm](http://doa.louisiana.gov/orm/formsCR.htm).
After acquiring necessary medical aid for the injured worker, the supervisor or loss prevention coordinator should follow these steps in investigating the accident:

1. If possible, ask the person or persons involved to describe what happened. Do not assign blame or fault; just get the facts.
2. Survey the accident scene for information. If a camera is available, document the scene with photographs as necessary. Assemble and secure any objects that may have contributed to the accident.
3. Determine if there were any witnesses to the accident and get their written description of the accident.
4. Take whatever steps are necessary to prevent recurrences until the condition can be permanently corrected.
5. Complete the Incident/Accident Reporting Form [DA2000].

Visitor / Client-Related Incidents [DA3000]

For every non-employee-related incident/accident, an investigation form shall be completed. ORM Form DA3000 shall include information on the individual injured, a description of the incident/accident (bodily injury vs property damage), a statement of what caused or might have caused the incident/accident, and any corrective action that has been taken or that should be taken to prevent recurrence.

The supervisor of the work unit involved is primarily responsible for conducting the incident/accident investigation and completing all related forms. The loss prevention coordinator may be involved depending upon the nature and severity of the incident or accident. All information fields (including the root cause analysis section on the DA2000) on the forms shall be completed and reviewed for accuracy. Notations such as N/A [not applicable] are not acceptable.

In the event of a fatality or near fatality, the ORM Loss Prevention Unit shall be contacted immediately.

The loss prevention coordinator shall retain all incident and accident related DA3000 forms for review by the ORM Loss Prevention Unit, and further, report online all DA1973/LDOL-OWC-1007 [E1 – First Report of Injury] forms to the appropriate ORM Claims Unit within the required reporting time frame established by the Claims Unit.
OFFICE OF RISK MANAGEMENT
UNIT OF RISK ANALYSIS AND LOSS PREVENTION
STATE EMPLOYEE INCIDENT/ACCIDENT INVESTIGATION FORM
Worker’s Compensation Claims—To Be Filled Out By Injured Worker’s Employer

(PLEASE TYPE OR PRINT)

1. AGENCY ________________________________________________________________

2. ACCIDENT DATE ___________________ 3. REPORTING DATE ___________________

4. EMPLOYEE NAME (LAST, FIRST) __________________________________________

5. JOB TITLE _____________________________________________________________

6. IMMEDIATE SUPERVISOR ________________________________________________

7. DESCRIBE IN DETAIL HOW INCIDENT/ACCIDENT OCCURRED (USE ADDITIONAL SHEET IF NECESSARY) _____________________________________________

8. PARISH WHERE OCCURRED ______________________________________________

9. PARISH OF DOMICILE ____________________________________________________

10. WAS MEDICAL TREATMENT REQUIRED _______ Y ________ N

11. EXACT LOCATION WHERE EVENT OCCURRED ______________________________

12. NAME (S) OF WITNESSES _______________________________________________

13. NAME OF PERSON COMPLETING THIS SECTION OF REPORT __________________

14. SIGNATURE ____________________________________ 15. DATE ________________

KEEP COMPLETED FORMS ON FILE AT THE LOCATION WHERE INCIDENT/ACCIDENT OCCURRED
MANAGEMENT SECTION

16. NAME OF PERSON COMPLETING THIS SECTION OF REPORT

17. POSITION/TITLE

18. IS THE PERSON COMPLETING REPORT TRAINED IN ACCIDENT INVESTIGATION Y N

19. WAS EQUIPMENT INVOLVED Y N (If no, skip to question 20)

   A. TYPE OF EQUIPMENT

   B. IS THERE A JSA FOR EQUIPMENT Y N

   C. DATE LAST JSO PERFORMED

20. HAVE SIMILAR ACCIDENT/INCIDENTS OCCURRED Y N

21. DID INCIDENT INVOLVE SAME INDIVIDUAL Y N

22. SAME LOCATION Y N

23. WAS THE SCENE VISITED DURING THE INVESTIGATION Y N

   A. DATE & TIME

   B. ARE PICTURES AVAILABLE Y N

   C. IF NO, REASON FOR NOT VISITING

ROOT CAUSE ANALYSIS

UNSAFE ACT (PRIMARY):
- Failure to comply with policies/procedures
- Failure to use appropriate equipment/technique
- Inattentiveness
- Inadequate/lack of JSA/standards
- Incomplete or no policies/procedures
- Inadequate training on policies/procedures
- Inadequate adherence of policies/procedures
- Other (specify)

Detailed explanation of checked box

WHY WAS ACT COMMITTED:

UNSAFE CONDITION (PRIMARY):
- Inappropriate equip/tool
- Inadequate maintenance
- Inadequate training
- Wet surface
- Worn/broken/defective building components
- Broken equipment
- Inadequate guard
- Electrical hazard
- Fire Hazard
- Other (specify)

Detailed explanation of checked box

WHY DID CONDITION EXIST:

CONTRIBUTORY FACTORS (IF ANY):

IMMEDIATE ACTION TAKEN TO PREVENT RECURRENCE:

LONG RANGE ACTION TO BE TAKEN:

WHAT ADDITIONAL ASSISTANCE IS NEEDED TO PREVENT RECURRENCE:

KEEP COMPLETED FORMS ON FILE AT THE LOCATION WHERE INCIDENT/ACCIDENT OCCURRED
This report is completed by the Employer for each injury/illness identified by them or their employee as occupational. A copy is to be provided to the employee and the insurer immediately. Forms for cases resulting in more than 7 days of disability or death are to be sent to the OWCA by the 10th day after the Incident or as requested by the OWCA.

**PURPOSE OF REPORT:**

- More than 7 days of disability
- Injury resulted in death
- Amputation or disfigurement
- Possible dispute
- Lump Sum Compromise/Settlement
- Medical Only

### EMPLOYER REPORT OF INJURY / ILLNESS

**LDOL-WC-1007**

<table>
<thead>
<tr>
<th>Employee Social Security Number</th>
<th>Employer UI Account Number</th>
<th>Employer Federal ID Number</th>
<th>Location Code</th>
</tr>
</thead>
</table>

1. **Date of Report**

   - **MM/DD/YY**

2. **Date / time of injury:**

   - **Time**
     - AM
     - PM

3. **Normal Starting Time Day of Accident:**

   - **AM**
   - **PM**

4. **If Back to Work Give Date MM/DD/YY**

5. **At same Wage?**

   - Yes
   - No

6. **If Fatal injury, Give Date of Death:**

   - **MM/DD/YY**

7. **Date Employer Knew of injury:**

   - **MM/DD/YY**

8. **Date Disability began:**

   - **MM/DD/YY**

9. **Last Full Day Paid Date Received**

   - **MM/DD/YY**

10. **Employee Name:**

    - First
    - Middle
    - Last

11. **Employee Phone #**

    - ( )
    - -

12. **S.I.C.**

13. **Address and Zip Code**

14. **Parish of Injury**

    - State-Parish

15. **Date of Hire**

16. **Age at illness/injury**

17. **Occupation**

18. **Dept./Division Employed:**

    - Occupation

19. **Place of Injury-Employer’s Premises?**

    - Yes
    - No

20. **If No, indicate Location-Street, City, Parish and State**

21. **What work activity was the employee doing when the incident occurred?**

    - (Give weight, size and shape of material or equipment involved. Tell what he was doing with them. Indicate if correct procedures were followed.)

22. **What caused the incident to happen?**

    - (Describe fully the events which resulted in injury or disease. Tell what happened and how it happened. Name any objects or substances involved and tell how they were involved. Give full details on all factors which led to or contributed to this injury or illness.)

23. **Part of body injured and Nature of Injury or Illness (ex. left leg: multiple fractures)**

24. **If Occ. Disease - Give Date Diagnosed**

25. **Physician and Address**

    - street
    - city
    - state
    - zip

26. **If Hospitalized, give name & address of facility**

27. **Employer’s Name**

28. **Person Completing This Report – Please print**

29. **Employer’s Address**

    - street
    - city
    - state
    - zip

30. **Employer’s Telephone Number**

    - ( )
    - .

31. **Employer’s Mailing Address – If Different From Above**

    - street
    - city
    - state
    - zip

32. **Nature of Business – Type of Mfg., Trade, Construction, Service, etc.**

33. **Wage Information**

    - Employee was paid
      - Daily
      - Weekly
      - Monthly
      - Other

    - The average weekly wage was $ per week.

34. **Verification of Employer Knowledge of this Report.**

    - Name: 
    - Title: 
    - Date: 
EMPLOYER CERTIFICATE OF COMPLIANCE

You must submit this Certification to your workers' compensation insurer. Failure to submit this Certification as required may result in your being penalized by a fine of $500, payable to your insurer.

You must secure workers' compensation for your employees through insurance or by becoming an authorized self-insured. If you fail to provide security for workers' compensation, you must pay an additional 50% in weekly benefits to your injured workers.

If you willfully fail to provide security for workers' compensation, then you are subject to a fine of up to $10,000, imprisonment with or without hard labor for not more than 1 year, or both. If you have been previously fined and again fail to provide security for workers' compensation, you are subject to additional penalties, including a court order to cease and desist from continuing further business operations.

You must not collect, demand, request, or accept any amount from any employee to pay or reimburse for the workers' compensation insurance premium. If you violate this provision, you may be punished with a fine of not more than $500, or imprisoned with or without hard labor for not more than one year, or both.

It is unlawful for you to willfully make, or to assist or counsel someone else to make, a false statement or representation in order to obtain or to defeat workers' compensation benefits. If you violate this provision, you may be fined up to $10,000, imprisoned with or without hard labor for up to 10 years, or both depending on the amount of benefits unlawfully obtained or defeated. In addition to these criminal penalties, you may be assessed a civil penalty of up to $5,000.

EMPLOYER CERTIFICATION

I certify that I can read the English language, that I have read this entire document and understand its contents, and that I understand I am held responsible for this information. I certify my compliance with the Louisiana Workers’ Compensation Act.

Preparer Name (PRINT) 
Signature 
Date

Company Name 
Company Address 
( ) - 
Phone Number 
Insurance Policy Number 

Employee Name 
Employee Social Security Number 
- -
1. AGENCY NAME and LOCATION CODE _____________________________________________

2. DATE and TIME of ACCIDENT ________________________________________________

3. VISITOR/CLIENT NAME _____________________________________________________

4. VISITOR/CLIENT ADDRESS ___________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________

5. CLAIMANT’S TELEPHONE # ________________________________________________

6. CLAIMANT DETAIL DESCRIPTION OF HOW ACCIDENT OCCURRED

____________________________________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________

7. DID THE EMPLOYEE ASK THE CLAIMANT IF HE/SHE WAS INJURED? ___Y ___N

8. DID THE CLAIMANT VERBALLY EXPRESS AN INJURY TO ANY PART OF HIS/HER BODY? ___Y ___N

9. IF THE CLAIMANT EXPRESSED AN INJURY, WHAT PART OF HIS/HER BODY DID THEY STATE WAS INJURED? PLEASE BE SPECIFIC (I.E. RIGHT FOREARM, LEFT WRIST, LOWER RIGHT ABDOMEN) __________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________

10. IF THE CLAIMANT EXPRESSED INJURY, WAS MEDICAL CARE OFFERED? ___Y ___N

11. DID THE CLAIMANT ACCEPT OR DECLINE MEDICAL CARE? ___ACCEPT ___DECLINE

12. WERE THERE WITNESS (ES) ___Y ___N

13. WITNESS’S NAME, ADDRESS, and TELEPHONE # (use additional sheet if needed)

____________________________________________________________________________________________________________
____________________________________________________________________________________________________________
____________________________________________________________________________________________________________

14. WITNESS STATEMENTS ATTACHED ___Y ___N
15. DETAIL DESCRIPTION OF ACCIDENT LOCATION ______________________________________________________________
________________________________________________________________________________________________________

IS THIS LOCATION IN A ☐ STATE-OWNED OR ☐ LEASED BUILDING


___________________________________________________________________________________________________________
___________________________________________________________________________________________________________

17. CHECK THE APPROPRIATE ENVIRONMENTAL CONDITION THAT IS APPLICABLE TO THE ACCIDENT: ☐ RAINING ☐ SUNNY ☐ CLOUDY ☐ FOGGY ☐ COLD ☐ HOT ☐ LIGHTING ☐ WIND
☐ OTHER WEATHER CONDITION ________________________________________________ ☐ WEATHER NOT A FACTOR

18. CHECK THE APPROPRIATE BOX (S) THAT PERTAINS TO THE ACCIDENT: ☐ LIQUID ON FLOOR—TYPE OF LIQUID ______________________________
☐ STAIRS ☐ PARKING LOT ☐ GARAGE ☐ SIDEWALK ☐ ELEVATORS ☐ GRATING
☐ SPONSORED ACTIVITY ☐ DORMITORY ☐ WAITING ROOM ☐ WALKWAYS ☐ RAILINGS ☐ FURNITURE
☐ FLOORING—DESCRIBE THE TYPE OF FLOOR AND TYPE OF WAX ______________________________
☐ EQUIPMENT (SPECIFY TYPE) ________________________________________________
☐ OTHER CONDITION ________________________________________________

19. IF THE ACCIDENT INVOLVED ITEMS THAT CAN BE RETAINED (i.e. furniture, muffler, exam table), THE CLAIMS UNIT REQUIRES THAT THE ITEM BE TAGGED WITH THE DATE OF ACCIDENT AND NAME OF CLAIMANT. IF THE ITEM IS BROKEN OR DAMAGED, IT MUST BE PLACED IN A SECURED AREA AFTER BEING TAGGED. THE TAG CANNOT BE REMOVED OR THE BROKE/DAMAGE ITEM CANNOT BE SURPLUS/DISCARDED UNTIL NOTIFIED BY THE CLAIMS UNIT. IF APPLICABLE, WAS THIS DONE Y____ N____

20. WAS THE CLAIMANT AUTHORIZED TO BE IN THIS AREA ___Y ___N

21. DID ANY EMPLOYEE OBSERVE ANYTHING BEFORE/AFTER THAT IS RELEVANT TO THE ACCIDENT ___Y ___N IF YES, WAS A STATEMENT OBTAINED AND ATTACHED ___Y ___N

22. DID THE SUPERVISOR OR AGENCY SAFETY OFFICER RECEIVE A REPORT OF ANY OBSERVED CONDITIONS? ___Y ___N

23. WERE PICTURES TAKEN AND ARE THEY ATTACHED TO REPORT? Y_____ N_____ 

24. NAME AND POSITION OF EMPLOYEE FILLING OUT THIS REPORT

__________________________________________________
__________________________________________________
__________________________________________________

PLEASE DATE

KEEP COMPLETED FORMS ON FILE AT THE LOCATION WHERE INCIDENT/ACCIDENT OCCURRED
When to Perform a Job Safety Analysis

A job safety analysis shall be performed on all jobs that have resulted in an incident/accident trend, death, or a change in a job procedure/equipment.

Based on the nature of tasks conducted at the Board office, the risk of incidents, accidents or death is minimal. The Board maintains basic office equipment, none of which requires specialized skills or in-depth training to operate.
<table>
<thead>
<tr>
<th>SEQUENCE OF BASIC JOB STEPS</th>
<th>POTENTIAL ACCIDENTS OR HAZARDS</th>
<th>RECOMMENDED-SAFE-JOB-PROCEDURES</th>
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The following safety records shall be maintained for at least three years. Copies of forms describing the specific procedures are available on the ORM website.

**Safety Meeting Report**

Completed quarterly by, and maintained by, the loss prevention coordinator.

**Training Documentation**

Sign in sheets shall be completed for all training sessions and maintained by the loss prevention coordinator.

**Inspection Checklist**

Inspection forms shall be completed quarterly by the loss prevention coordinator. The completed form shall be made available to the executive director and the ORM Loss Prevention Unit upon request.

**Hazard Control Log**

Shall be posted in a conspicuous location and made available as needed to identify potential hazards in each work area. The original form stays in the area it covers or until the hazard has been corrected, and all completed forms will be kept on file until the next Loss Prevention audit. Copies are maintained by the loss prevention coordinator, and the ORM Loss Prevention Unit if not corrected in 30 days.

**Incident/Accident Reporting Form**

Complete for each incident/accident that occurs whether or not it requires medical expense or lost time. A copy should be given to the loss prevention coordinator.
The purpose of this policy is to reduce or eliminate occupational exposure to blood and other potentially infectious materials to our employees. All bodily fluids will be considered infectious regardless of the perceived status of the source individual. However, the risk of exposure to blood borne pathogens by Board staff is minimal.

Blood Borne Diseases

- HIV: Human Immunodeficiency Virus causes AIDS
- Hepatitis B and C
- Syphilis
- Malaria

Hepatitis B (HBV) and C (HCV):
- Inflammation of the liver – most common blood borne disease
- Symptoms vary
- Can be infectious or non-infectious
- Hepatitis infects hundreds of thousands of people in the USA annually
- An infected person may carry the virus for years before symptoms appear
- No cure or vaccine at present
- Means of Transmission – must enter body through contact or injected (examples: sexual contact, sharing needles, cutting yourself with a sharp object, body fluids, infected blood or body fluid on skin with open cuts, sores, getting blood or body fluid in eyes, mouth)
- HBV has a preventive vaccine available
- HCV does not have a preventive vaccine available

Preventative Measures

- Use universal precautions – treat all blood and body fluids as potentially infectious.
- Unbroken skin provides some protection from blood borne pathogens
- Wear personal protective equipment (PPE) (examples: latex gloves, safety glasses, goggles, face shields, aprons, boots) whenever blood or body fluids are present or expected
- Utilize engineering techniques (examples: tongs, recognized work practices, specialized equipment) whenever possible
Decontamination Procedures
1. Call a professional for proper decontamination and disposal.
2. Obtain Blood Borne Pathogen (BBP) clean-up kits and either require employees to follow the manufacturer’s instructions that are provided with the kits or train employees on their use and disposal.

The following are general guidelines for decontamination:
• After an accident, the contaminated area must be cleaned with the proper recommended decontamination solution.
• Cleaning equipment must be properly decontaminated.
• Wear required PPE.
• Restrict access to the area.
• Use disposable supplies whenever possible and dispose of properly.

Disposal
The disposal of all regulated waste shall be in accordance with applicable federal, state, and local regulations. All waste with the possibility of contamination of BBP shall be placed in containers that are closeable, constructed to contain all contents and prevent leakage of fluids during handling, storage, transportation or shipping. The waste must be labeled or color-coded prior to removal to prevent spillage or protrusion of contents during handling, storage, transportation or shipping.

Medical Provisions
Preventive Vaccine
If the HBV vaccine is offered to an employee and the employee accepts it, it will be provided to the employee free of charge. Training by a knowledgeable person will be provided to the employee.

If an employee declines the offer of the HBV vaccine, then the employee is required to sign a declination statement. If at anytime the employee changes his/her decision and decides to accept the offer of the HBV vaccine then the series will be provided free of charge and training by a knowledgeable person will be provided to the employee.

Post-exposure Procedures
• Wash hands with antibacterial soap after contact.
• Flush eyes and face with fresh water for several minutes after contact.
• Follow Board’s notification/reporting procedures for an exposure.
• Follow Board’s written procedures for seeking medical counseling.
Title: Blood Borne Pathogens

Approved: 05-05-2010

Other Exposure Hazards

- Cleaning surfaces contaminated with blood, vomit, feces.
- Always wear gloves and protective apron or clothing.
- Be alert for sharp objects, broken glassware, used syringes in trash.
- Do not pick up broken glass – use brush or broom & dustpan.
- Dispose of glass, sharp objects safely.
- Laundry – bloody or contaminated linens or sharp objects.

Training

The level of training shall be contingent upon the level of exposure to BBP:

**High Risk:** Health Care Facilities/professionals, and other high risk occupations

Workers with occupational exposure shall receive training when they are hired and at least once per year afterwards. The training must be given during working hours and at no cost to the employee and training records shall be maintained for five years.

**Low Risk:** General Office/Classroom personnel

All employees shall participate in a training program within 90 days of employment. If there are no BBP events, the training shall be required every five years thereafter. If the Board or employee experiences a BBP event, the employee shall be required to retrain within the following 60 days.

Common Sense Rules

- Wash hands and remove protective clothing before eating, drinking, smoking, handling contact lenses, applying lip balm or cosmetics.
- Keep hands away from eyes, nose, mouth while cleaning.
- Frequent hand washing is best defense against spreading infection.

Summary

- Protect yourself on and off the job; know the facts.
- Practice good personal hygiene.
- Follow work rules, use gloves and protective clothing.
- Wash your hands often, after work or exposure.
- Keep areas clean – report problems immediately to supervisors.
Revision History

05-27-2015  Changed the timeframe of the educational training, from within the first year of employment for low-risk employees to within the first 90 days of employment.
Requirements for First Aid:

- **Employees**
  
  All employees shall report any injury to the office manager as soon as possible, at least before the end of the shift during which the accident occurred.
  
  The employee shall be required to complete an Accident/Incident Report (DA2000). A description of the accident and names of witnesses (if any) are included on the form.
  
  If a physician is needed, the employee may be given an Employer’s First Report of Injury Form for treatment to be given to the treating physician.
  
  The employee will provide the agency with the treating physician’s diagnosis of the injury and the length of time he or she is expected to be unable to work.

- **Visitors**
  
  When an employee becomes aware of a visitor needing first aid, the employee shall report that fact to the office manager as quickly as possible.
  
  The office manager shall provide the visitor with a completed Accident/Incident Report (DA3000) as soon as possible,
  
  The visitor shall be encouraged to seek medical treatment with their own provider, as appropriate.

First Aid Training

Only someone who has completed a certified first aid or emergency response course or someone who has advanced medical training may administer first aid. Refresher training is required according to certification requirements.

First Aid Kit and Inventory Form

A first aid supply kit shall be maintained and inventoried periodically. An inventory list may be included in each first aid kit. Expiration dates on kit contents must be checked as well.

Emergency Eye Wash

In such situations where this is needed, typical protocol calls for a minimum of 15 minutes constant flushing time. This normally cannot be achieved via the use of small, portable, disposable containers of fluid found in many first aid kits. A fixed flushing station that uses an unlimited supply of uncontaminated fluid (e.g., potable water) is preferable.
Title: First Aid

Revision History

05-27-2015  Added information about visitors to the first section.
The purpose of the Emergency Preparedness Policy is to ensure that a plan for the safe evacuation of all persons in the affected area and the rapid control of hazards during life threatening situations. This program includes procedures for:

1. Preventing and controlling emergency situations,
2. Warning employees of actual or impending disasters and preparing them for possible evacuation or shelter in place, and
3. Establishing safe evacuation routes.

**Emergency Evacuation Drills**
1. Evacuation drills are to be conducted under the supervision of an administrative officer or his designee at least once a year.
2. Drills are necessary to train and prepare building occupants for safe evacuation should an internal emergency occur.
3. All fire alarms should be treated as “real” and proper evacuation conducted.

**Evacuation Procedures**
1. Refer to the building floor plan for exit doorways leading outside the building.
2. Exit doorways must be kept clear and unobstructed at all times.
3. Exit in a single-file line keeping to the right side of hallways.
4. Do not congregate in the halls.

**Supervision During the Evacuation**
1. The Administrative department will supervise the evacuation of the building and ensure there are no persons missing or unaccounted for.
2. Re-entry into the building after a fire shall only be upon authorization by the most senior staff member present.

**All Personnel**
1. All building occupants will exit the building upon announcement.
2. Close doors in the vicinity of a fire threat.
3. Assist all injured or disabled persons from the building.
4. Report to the designated assembly area. If designated assembly area is contaminated with smoke, report to one of the other designated assembly areas. Remain with and listen to instructions from the senior administrative staff member on duty.
5. Assembly area is located in the parking lot on the southeast corner of the building.
Guidelines for Fire Threats:
1. Try to remain calm and do not enter an area that may be dangerous. Recruit assistance from persons in vicinity, if possible, to alert administration and co-workers.
2. Remove victims in the immediate area of the fire; assure complete evacuation using assistance from others if necessary.
3. Use fire extinguishers to aid in evacuation and to confine the area of the fire.
4. Close doors behind you as rooms are cleared of all occupants.
5. Call 911 to report name, address, and location of fire in the building.
7. Monitor situation until all clear is given by a senior administrative officer – Do not re-enter the building until instructed to do so.

Fire Extinguisher Procedures:
1. Pull the pin.
2. Aim the nozzle at the base of the fire.
3. Squeeze the handle to discharge the extinguishing agent.
4. Sweep from side to side until fire is extinguished.

The loss prevention coordinator shall be responsible for inspecting and maintaining all portable extinguishers. Extinguishers shall be inspected and certified by an outside contractor once a year.

Guidelines for Natural Disasters:
Events such as hurricanes, floods, or tornadoes:
1. Only enter disaster areas if it is essential.
2. Do not bring lanterns, torches, or lighted cigarettes into building that have been flooded or damaged because of the possibility of leaking gas lines or flammable materials.
3. Do not touch fallen or damaged electric wires.
4. Immediately leave the area upon discovering a leaking gas line.

Hurricanes and Tropical Storms
1. Generate two copies of electronic data and remove both copies from the property.
2. All pending items shall be removed from desktops and placed in securable locations.
3. All file cabinet doors shall be closed and locked.
4. All electrical devices should be powered down and unplugged. Computers and battery backups should be stored off of floors in the event of flooding.
5. Movable equipment should be relocated away from windows.
6. Unmovable equipment should be covered to protect from rain in the event of broken windows or roof failure.
7. All blinds shall be closed.
8. All interior doors shall be closed.
9. Movable items outside the building should be secured or moved indoors.
10. Deadbolts to all exterior entrances should be engaged in the event of a loss of power.

**Floods**
1. All electrical devices should be powered down and unplugged. Computers and battery backups should be moved off of floors and onto a desk or table top.
2. Vital records should be moved to higher surfaces where possible.

**Tornadoes**
1. When a tornado warning is issued, take shelter immediately. The warning indicates that a tornado has been sighted in the area.
2. Protect yourself from falling objects and flying debris.
3. The best protection is an underground shelter or ditch or a steel-framed or reinforced concrete building.
4. If no shelter is available, go to the basement or inner hallway of the lowest floor of the building.

**Guidelines for Bomb Threats:**
Every threat should be taken seriously.
1. Remain calm and avoid creating a panic; most threats are bogus.
2. If a bomb threat is received by mail, message, or telephone, record in writing the time and type of threat, location of bomb, expected time of detonation, whether the voice is male or female, and any other important information.
3. If the threat is received by phone, keep the person on the phone as long as possible to determine any unusual voice characteristics, such as raspiness, hoarseness, or stuttering. Try to notice any background noises.
4. Ask why the bomb was placed there and whom the caller wishes to hurt.
5. Do not hang up the phone when the call ends. Police may be able to reverse trace the call. Hang up only if you must call for help.
6. Call 911 immediately (during the call if possible).
7. Notify your supervisor and follow his guidance.
8. Do not touch or move any suspicious package. It is important that each employee visually scans his work area before leaving to look for unusual packages or something out of the ordinary. Local law enforcement has no way of knowing what belongs in a work area and what does not. It is necessary that employees identify suspicious objects or packages for the bomb squad.
9. Do not use a cell phone in or near the building or during the evacuation as this could trigger the bomb.
10. Only take personal items with you if an evacuation is ordered.
11. Do not return to your work area until you receive the all-clear signal by the authorized person.

**Guidelines for Threatening Individuals:**
1. Do not become confrontational.
2. Observe the person closely, taking note of clothing, method of travel, any weapons displayed or implied.
3. Take note of whether the threats are verbal or physical.
4. Disengage the individual and call 911 immediately.
5. Notify your supervisor and fellow workers.
6. Remain as calm and collected as possible, avoiding panic.

**Guidelines for Civil Disturbances:**
Civil disturbances are generally riots and demonstrations, marches, and groups that have become riotous or a threatening individual.

1. Restrict both employee and visitor movement in your area.
2. Prepare for evacuation or relocation.
3. Secure your area (lock doors, safes, files, vital records, etc.).
4. Notify your local law enforcement immediately and then your supervisor and/or administrative officer.

**Guidelines for Proximity Threats:**
Proximity threats are events that occur near the office and can cause damage to life and property, and may require the need for evacuation. Examples include:

- **Railroad, interstate, and water vessel disasters**
  1. Obtain emergency response procedures from the local municipality.
  2. Once notified, determine if voluntary or mandatory evacuation is required.
  3. Use applicable emergency response procedures as per the local municipality
Local chemical or nuclear plant disasters
By law, all plant facilities must report what is produced and include all of the following emergency procedures:
1. Contact local/municipal government.
2. Once notified, determine if voluntary or mandatory evacuation is required.
3. Vertical, upwind, or downwind evacuation determined by type of incident.
4. Shut down heating, ventilation, and air conditioning (HVAC) system if sheltering in place and the situation allows.

Terrorist threats include:
1. Biological weapons
2. Bomb scares or explosions
3. Chemical attacks
4. Cyber attacks
5. Nuclear weapons
6. Suspicious mail
## Bomb Threat Checklist

**Answer / circle all applicable**

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<tr>
<th>Call demographics</th>
<th>Number at which call was received:</th>
<th>Date:</th>
<th>Time:</th>
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<tr>
<td>Sex of Caller:</td>
<td></td>
<td>Age:</td>
<td>Length of call:</td>
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**Exact wording of threat:**

<table>
<thead>
<tr>
<th>Questions to ask</th>
<th>When is the bomb going to explode?</th>
<th>Where is it right now?</th>
<th>What does it look like?</th>
<th>What kind of bomb is it?</th>
<th>What will cause it to explode?</th>
<th>Did you place the bomb?</th>
<th>What is your address?</th>
<th>What is your name?</th>
<th>If voice is familiar, who did it sound like?</th>
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<tr>
<th>Caller’s Voice</th>
<th>Calm</th>
<th>Slow</th>
<th>Soft</th>
<th>Nasal</th>
<th>Ragged</th>
<th>Laughter</th>
<th>Disguised</th>
<th>Cracked voice</th>
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<td></td>
<td>Angry</td>
<td>Rapid</td>
<td>Loud</td>
<td>Stutter</td>
<td>Raspy</td>
<td>Slurred</td>
<td>Clearing throat</td>
<td>Distinct accent</td>
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<td></td>
<td>Excited</td>
<td>Familiar</td>
<td>Normal</td>
<td>Lisp</td>
<td>Deep</td>
<td>Crying</td>
<td>Deep breathing</td>
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<th>Background Sounds</th>
<th>Street noises</th>
<th>Factory machinery</th>
<th>Motor</th>
<th>Local call</th>
<th>Long distance</th>
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<tr>
<td></td>
<td>Animal noises</td>
<td>Office machinery</td>
<td>Voices</td>
<td>Clear</td>
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<td>House noises</td>
<td>Phone booth</td>
<td>Music</td>
<td>PA system</td>
<td>Other:__________</td>
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<th>Threat Language</th>
<th>Well spoken</th>
<th>Irrational</th>
<th>Incoherent</th>
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<td></td>
<td>Foul</td>
<td>Taped</td>
<td>Message read by threat maker</td>
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The Board currently does not handle, store or use hazardous materials.
Employees found to be non-compliant with the policies in this Loss Prevention Manual should be reported to the loss prevention coordinator.

Depending on the severity of the infraction, formal disciplinary action may be taken, up to and including reimbursement of costs for damages incurred, suspension or loss of privileges, or termination of employment.

Infractions will be documented in the offending employee’s personnel file.
I. AUTHORITY:

Executive Order No. BJ 08-69 provides for the promulgation by executive agencies of written policies mandating drug testing of employees, appointees, prospective employees and prospective appointees in accordance with La. R.S. 49:1001, et seq.

La. R.S. 39:1535(B)(12) provides that the Office of Risk Management ("ORM") may promulgate rules and regulations to establish procedures governing risks and injuries sustained where a participating or covered entity of the State may be liable for damages.

La. R.S. 23: 1081 and Louisiana Administrative Code Title 40, Part I, Chapter 15 allows an employer to test an employee for drugs and alcohol when the employee receives a personal injury from an accident arising out of and in the course of his employment.

II. APPLICABILITY:

In addition to any drug testing policy adopted by an executive agency pursuant to Executive Order No. BJ 08-69, this policy shall also apply to all persons having an employment relationship with an executive agency, whether classified, unclassified, student employees, interns, full-time, part-time, or temporary (hereinafter employee(s))", when the employee's agency is provided workers' compensation coverage through ORM.

III. DRUG TESTING:

All employees who are entitled to assert a claim pursuant to the workers' compensation laws of Louisiana shall be subject to, and shall cooperate in, post-accident drug testing. With or without prior notification, any employee in an accident that occurs during the course and scope of employment shall be required to submit to drug and/or alcohol testing as soon as practicable under La. R.S. 23: 1081, whether or not a compensable injury is immediately claimed by the employee, where an accident occurs under any circumstance, regardless of fault, which necessitates, or should reasonably necessitate, medical attention to the employee as determined by the employee, the employee's supervisor(s), or the department head, regardless of whether the employee actually desires, agrees to, seeks, or receives medical attention.
IV. DRUG AND ALCOHOL TESTING PROCEDURES:

Testing shall be performed as provided for in the Louisiana Administrative Code Title 40, Part I, Chapter 15, or its successor.

Testing shall be performed at the most practical hospital, medical facility, or laboratory. ORM, or the agency, reserves the right to require employees to submit to additional testing, if warranted.

A representative of the agency shall transport the employee being tested to and from the testing site. Under no circumstance should any employee who is believed to be impaired or under the influence of any drug or alcohol be permitted to operate a motor vehicle.

V. VIOLATIONS:

Employees found to test positive or failing to promptly submit to testing under this policy may be subject to dismissal or denial of their Workers' Compensation benefits pursuant to La. R.S. 23:1081.

Employees and supervisors may also be subject to discipline, up to and including dismissal, in accordance with their agency's drug-free policy for failing to cooperate with, or to apply, the post-accident drug testing requirements outlined in this policy.

VI. QUESTIONS:

Questions regarding this policy should be directed to the Office of Risk Management.
I. The statutory authority for the development of the plan is La. R.S. 39:1547.

II. The administrative oversight of this plan is provided through the Office of Risk Management (ORM) within the state’s Division of Administration.

III. A transitional return to work is employment which allows injured workers to return to work at the agency where they were injured for up to one year, within the physical restrictions determined by their physician, until they are capable of returning to full duty.

IV. This transitional return to work plan applies only to those employees who are eligible to receive workers’ compensation benefits under Title 23 through the ORM’s self-insurance plan.

V. The Board’s Transitional Return to Work (TRW) Team shall include the following persons:
   A. Manager, Administrative Division (who shall serve as the TRW coordinator);
   B. Manager, Compliance Division;
   C. Manager, Credentials Division;
   D. Assistant Executive Director;
   E. Claim Adjuster for the Third Party Administrator (TPA) for ORM;
   F. TRW Coordinator for ORM TPA; and
   G. Vocational Counselor for ORM TPA as needed.

VI. The TRW Team shall be responsible for the following activities:
   A. Complete transitional return to work plan;
   B. Review of job modifications;
   C. Job tasking;
   D. Task identification;
   E. Compliance with State’s requirement for transitional return to work plan;
   F. Oversight of plans;
   G. Facilitate success of plans; and
   H. Report transitional return to work plan results.

VII. The TRW Coordinator is the primary contact for employees and outside agencies on matters related to disability management and return to work planning. This includes, but is not limited to:
   A. Responsible for the overall coordination and day-to-day administration of the disability management plan;
   B. Develop, facilitate, and monitor TRW plan;
   C. Develop and facilitate accommodations;
   D. Work with the employee and the employer to facilitate TRW plans; and
E. Monitor TRW plan and provide progress reports to appropriate individuals.

VIII. The TRW team shall meet when an employee is injured and/or there is a change in the injured employee’s medical status. Team meetings shall not be required if there are no active lost time claims.

IX. General Requirements
A. A successful TRW plan shall be based on medical prognosis and recovery.
B. Transitional work shall be available until an employee is able to resume full duty employment based on the following Civil Service guidelines:
   1. Agencies that choose to return employees to work following a Workers Compensation claim are allowed to return the employee to his own job in light duty status for six (6) months provided the agency maintains in the employee’s file a copy of the Physician’s Modified Work Information Sheet. A copy of this form is appended to this Board policy statement.
   2. Requests for additional time beyond the initial six months may be made by the Board’s Appointing Authority to the Director of State Civil Service.
   3. Appointing authorities also have the option of using a Detail to Special Duty in which to return the employee to work.
C. Medical issues that can delay return to work shall be referred to ORM’s third party administrator’s (TPA) return to work coordinator.
D. The TRW plan shall be reviewed with all existing employees annually.
E. A review of the TRW plan shall be included in the new hire orientation.
F. Once an injury/illness is reported by an employee, the Board will:
   1. Report work related injuries or illnesses immediately, or no later than 48 hours, using the TPA’s online claims management system.
   2. Provide the employee with a Physician’s Modified Work Information Sheet to give to the treating physician.
   3. Allow the injured employee to seek treatment with a physician of choice chosen from Occupational Medical Clinics in his geographical area. Employees still retain the right to seek medical treatment from a physician of choice for the work-related accident.

X. Pre-Accident Job Tasking & Accommodation Types
A. Job tasking is the process of detailing each specific job task performed in a position to ensure injured workers are returned to a safe work environment.
   1. Job tasking should begin before the accident occurs or once an injury has occurred that leads to lost time.
   2. Compile a master list of transitional tasks for each position.
   3. Complete job tasking for each position or injury that results in lost time.
   4. Consult with first-line supervisors to ensure employees will be worked outside of restrictions placed by the treating physician.
5. Maintain a file of job tasks for each position for which a lost-time claim has occurred.
6. There is no need for repetition of job tasking with each new occurrence.

B. Accommodation Types

1. Modification of job tasks, equipment or schedules in accordance with Civil Service provisions as outlined in the HR Managers’ Handbook that is maintained on the Civil Service website, or until the injured worker can return to full duty, whichever comes first.
2. Accommodations may include, but are not limited to:
   a. Modified Work – includes modification to the job tasks, functions, hours of work, frequency of breaks, worksite, or any combination of these.
   b. Alternate Work – different from the employee’s pre-injury job or illness offered to a worker who is temporarily or permanently unable to perform their pre-injury work.
   c. Transitional Work – a group of tasks or specific jobs that can be performed until the worker is capable of returning to full-pre-injury duties.

XI. The Return to Work Process

A transitional return to work plan should be completed with the supervisor of the injured employee and a representative from the TRW team to include:

1. Specific job tasks identified,
2. Hours to be worked,
3. Duty assignment,
4. Physical restrictions, with
5. Evidence of the plan's review and approval by each member of the team.

A. Eligibility for Return to Work

When reviewing an individual worker’s eligibility for return to work options, the following criteria should be followed:

1. Assess the job task of the worker’s pre-injury position.
2. Identify transitional tasks that can be performed with the employee’s current physical restrictions.
3. Review other services or tasks that can be performed which would improve the overall function of the agency.
4. Review tasks that can be performed that would return an employee to gainful employment.
5. ORM’s TPA will be available to identify transitional return to work tasks if needed.

B. Before the Return to Work

1. The agency will hold a return to work meeting with the employee to review the plan before the employee returns to work.
2. Once the meeting has taken place, an offer of transitional duty
C. The Return to Work Offer
   The offer of transitional return to work employment shall include the following:
   1. Offer must be made in writing.
   2. Offer must be sent by certified mail return receipt or electronic mail.
   3. A specific return to work date and time.
   4. Duty assignment.
   5. Who to report to.
   6. The employing agency shall provide transitional employment for up to one
      year utilizing Civil Services’ Special Detail provisions as outlined in the HR
      Managers’ Handbook that is maintained on the Civil Service website, or
      until the injured worker can medically return to full duty, whichever comes
      first.

D. Employee Responsibility
   1. Return the Physician’s Modified Work Information Sheet to the immediate
      supervisor within 24 hours of receipt of the signed form from the treating
      physician.
   2. Accept the transitional return to work offer.
   3. Report to work as requested in the return to work offer letter.
   4. Work within the restrictions provided by the physician.
   5. Comply with medical treatment and keep all scheduled medical
      appointments.
   6. Advise the immediate supervisor and ORM’s TPA and RTW coordinator if
      the transitional work is physically too difficult.

E. After the Employee has Returned to Work
   The agency shall not require the employee to perform tasks that have been
   prohibited by the treating physician when the employee returns to work on a
   transitional return to work plan.
   1. Evaluate the plan every 30 days to assess the employee’s ability to return
      to full duty.
   2. ORM’s TPA will be responsible for communications with medical personnel.

XII. Termination of Employment
   The Board’s TRW Coordinator shall notify the ORM’s TPA if a person is at risk of
   termination due to exhaustion of sick leave.

XIII. Measure of Effectiveness
   A. The Board’s TRW Coordinator should:
      1. Maintain documentation of failed transitional return to work employment;
      2. Maintain documentation of efforts made to identify transitional return to
work tasks;
3. Maintain documentation of barriers in identifying transitional return to work, including evidence that transitional return to work tasks could not be identified, if applicable; and
4. Notify the TRW Coordinator for ORM’s TPA when an injured worker is removed from work or the accommodations are no longer available.

B. The *Transitional Return to Work Audit Form (DA WC4000)* shall be used to measure the effectiveness of the Board’s transitional duty employment program. A copy of the form is appended to this policy and is also available on the ORM’s website.
PHYSICIAN'S MODIFIED WORK INFORMATION SHEET

Employee Name: ___________________________ Injury/Illness date: ___________________________

Doctor Name: ___________________________ Phone Number: ___________________________

RETURN TO WORK FULL DUTY WITH NO RESTRICTIONS? YES NO DATE

To All Employees:
Please return this completed report directly to your supervisor within 24 hours of your injury or illness, and prior to the start of your next scheduled work shift.

Attending Physician:
The State of Louisiana, Office of Risk Management is committed to a modified/alternate duty work program to accommodate the timely return to productive, beneficial work that facilitates recovery. In order for the return to work to be successful, it is important that the accommodation fits the appropriate restriction(s) and limitation(s) that the employee should be observing. To assist us in identifying suitable duties, please indicate your patients work capabilities and any other comments you may have. The State of Louisiana has the ability to provide duties that accommodate almost all restrictions.

The following details the employee’s current capabilities: (please checkmark as appropriate)

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Squatting YES NO

Bend/Twist at Waist

Reaching

Work above Shoulder

List any other restrictions: ________________________________________________________________

__________________________

Restrictions effective until (date) ______________________________________________________

Follow-Up Appointment date(s): _________________________________________________________

Signature of Attending Physician: ______________________________________________________

Date: __________________________________________
TRANSITIONAL RETURN TO WORK AUDIT FORM – DA WC4000

Month of Report___________________________ Location code__________________________
Agency____________________________________ Contact Person___________________________

REPORT THE FOLLOWING ACTIVITY:

1. Number of lost time workers’ compensation claims during the past month: __________
2. Number of employees returned to work on transitional duty: __________
3. Number of employees returned to work full duty: __________
4. Number of employees on workers’ compensation at month’s end: __________
5. Number of employees who are separated from the agency and still receiving workers’ compensation: __________

- A job task list is on file for each workers’ compensation claim this month: ___yes ___ no
- The RTW committee has met and reviewed all W/C___yes ___ no

1. Employee _______________________ days missed __________ day pay rate __________
2. Employee _______________________ days missed __________ day pay rate __________
3. Employee _______________________ days missed __________ day pay rate __________
4. Employee _______________________ days missed __________ day pay rate __________
5. Employee _______________________ days missed __________ day pay rate __________
6. Employee _______________________ days missed __________ day pay rate __________
7. Employee _______________________ days missed __________ day pay rate __________
8. Employee _______________________ days missed __________ day pay rate __________
9. Employee _______________________ days missed __________ day pay rate __________
10. Employee _______________________ days missed __________ day pay rate __________
11. Employee _______________________ days missed __________ day pay rate __________
12. Employee _______________________ days missed __________ day pay rate __________

TOTAL __________  TOTAL __________
Driver Safety

A. Authorized Drivers
B. Initial Authorization Process
C. Annual Re-Authorization Process
D. Supervisor's Responsibility
E. Employee's Responsibility
F. Accident Reporting
G. Fleet Management
H. Safety Audits and Recordkeeping
Authorized drivers shall include employees who hold the following positions with the Board:
1. Executive Director / Chief Executive Officer (Appointing Authority)
2. General Counsel
3. Office Manager
4. PMP Manager / Chief Operating Officer
5. PMP Assistant
6. Administrative Coordinator – Administrative Division
7. Compliance Officer

Employees holding a position not listed herein shall not be authorized to drive on state business.

Employees classified as “high-risk” shall not be authorized to drive vehicles on state business from the date of discovery for a minimum of twelve months. High-risk drivers are those individuals:
1. Having three or more convictions, guilty pleas, and/or nolo contendere pleas for moving violations within the previous twelve month period; or
2. Having a single conviction, guilty plea, or nolo contendere plea for operating a vehicle while intoxicated, hit and run driving, vehicular negligent injury, reckless operation of a vehicle, or similar violation within the previous twelve month period.

When used in the context of these policies and procedures, a ‘state vehicle’ shall include the following:
• A vehicle owned by the board or another state agency; or
• A vehicle rented or leased by the board or another state agency.
Title: Authorized Drivers

Revision History

05-27-2015       Added definition of ‘state vehicle’.
1. Employee shall complete and sign the Authorization and Driving History Form (DA-2054) and return the completed form to the Office Manager.
2. Employee shall provide proof that he has a valid driver’s license.
3. Employee shall provide proof of automobile insurance.
4. Employee shall complete an ORM-recognized defensive driving course within 30 days of hire and once every three years.
5. The Office Manager shall obtain official driving records (ODRs) annually and ensure that employees met all program requirements to be authorized to drive.
6. The Appointing Authority or designee shall review the Official Driving Record to ensure the employee does not meet the high-risk driver definition.
1. Employee shall complete and sign the Authorization and Driving History Form (DA-2054) attesting that they currently carry at least the required minimum vehicle insurance annually on or before January 1st in order to be authorized for the new calendar year.

2. The Office Manager shall obtain official driving records (ODRs) annually and ensure that employees meet all program requirements to be authorized to drive on state business.

3. The Appointing Authority or designee shall review the Official Driving Record to ensure the employee does not meet the high-risk driver definition.

4. Employees who meet requirements will be authorized to drive on state business until the end of the calendar year.

5. Receipt of evidence that places a driver in the high-risk category shall cause the employee's driving privileges to be revoked immediately. An employee whose job responsibilities require driving shall be dismissed.
1. The supervisor shall provide time for each authorized employee to complete an approved Defensive Driving Course.
2. The supervisor shall allow only authorized employees to drive on state business.
3. The supervisor shall ensure that all accidents or incidents are properly reported and said records are maintained.
1. Employees may only operate those vehicles for which they are licensed and insured.
2. The employee shall be required to demonstrate proof of insurance on an annual basis.
3. The employee shall immediately report any revocation of their driver’s license or any moving violations received to his supervisor, but no later than their next scheduled workday. Said reporting applies whether on state or personal/private business and whether in a state or personal/private vehicle.
4. The employee shall complete a refresher course at least once every three years.
5. Drivers who have convictions on their motor vehicle records shall be required to retake a recognized driving course within ninety days of notification of a conviction.
6. Employees shall not use a Wireless Telecommunications Device while driving in a state-owned, leased, or private vehicle that is being driven on state business. This includes writing, sending, or reading a text based communication and engaging in a call. Use of a Wireless Telecommunications Device is permissible for passengers in such vehicles. The following situations shall constitute exceptions to this policy:
   A. Report a traffic crash, medical emergency, or serious road hazard.
   B. Report a situation in which the person believes his personal safety is in jeopardy.
   C. Report or avert the perpetration or potential perpetration of a criminal act against the driver or another person.
   D. Engage in a call or write, send or read a text-based communication while the motor vehicle is lawfully parked.
A vehicular accident is defined as any incident in which the vehicle comes in contact with another vehicle, person, object, or animal that results in death, personal injury, or property damage, regardless of who was injured, what was damaged or to what extent, where it occurred or who was responsible.

1. All accidents shall be reported to the employee’s immediate supervisor and Office Manager by the driver of the state vehicle (or other vehicle driven on state business) on the day of the accident. If the driver is not able to complete the Louisiana State Driver’s Accident Report Form (DA 2041), then the driver’s supervisor will complete the report to the best of his ability for the employee. The supervisor may enter identifying information and attach the police report. The DA 2041 shall be completed within 48 hours after any vehicle accident while on state business and forwarded to the ORM Claims Unit. The DA 2041 form can be downloaded from: [http://www.doa.la.gov/orm/formsCR.htm](http://www.doa.la.gov/orm/formsCR.htm). The Office Manager shall retain proof of the submission of the DA 2041 form to the ORM Claims Unit within the 48-hour time limit.

   *(Note: When an accident occurs in an employee’s personal vehicle or a rental vehicle while he/she is on state business, complete the DA 2041 and note whether or not the vehicle is rented or personal. In addition, in ALL cases the employee’s liability insurer is the primary insurer of the accident. ORM’s coverage is excess over any other collectible insurance).*

A copy of the Uniform Motor Vehicle Traffic Accident Report (police report) shall accompany the DA 2041 or should be sent to the ORM Claims Unit as soon as it is received by the agency. Do NOT delay submission of the DA 2041 waiting on the police report.

2. Failure of an authorized driver to report any vehicular accident may be cause for suspension of Driver Authorization. Accidents by employees in their personal vehicle after hours need not be reported unless the employee was ticketed.

3. The supervisor of the authorized driver involved in an accident shall review the accident report within two working days of the accident for completeness of information. Incomplete reports shall be returned for completion or corrected information. The supervisor may assist the individual in completing the report. All accidents require completion of the Vehicle Accident Report (DA 2041).

4. The supervisor may consider what corrective action(s) may be necessary for accidents.

5. The executive director or designee shall review the Accident Report Form, the Uniform Motor Vehicle Traffic Accident Report (police report – if one was completed), and the Authorization and Driving History Form (DA 2054).
Title: Accident Reporting

Approved: 05-05-2010

Revision History

05-29-2013  Added the exclusion of accidents by employees in their personal vehicles after office hours unless they were ticketed to Section 2.

05-27-2015  Added requirement for Office Manager to retain proof of timely submission of report in Section 1.
The Board does not maintain a fleet of state-owned vehicles.
1. Driver Safety Program records shall be maintained at the Board office for review until at least the next audit or compliance review.

2. The following specific records shall be retained for the period of time indicated here:
   A. Official Driving Records (ODR) and High-Risk Driver documentation, e.g., re-training records, letters) – maintain for one year.
   B. Driver training (initial, refresher) documentation – maintain for 3 years.
   C. DA 2054 forms – maintain indefinitely or until form information is updated.

3. The Board office shall maintain a list of employees who have been authorized to drive or in the alternative, a list of employees not authorized to drive.
Bonds, Crime & Property

A. Procedures for Managing Assets
B. Employee Training
C. Regular Audits
D. Audit Findings
E. Loss or Damage to Assets
F. Employee Responsibilities & Accountability
G. Office Security
H. Key Control
Negotiable Items

General
- Negotiable items shall include cash, personal checks, business checks, cashier’s checks, certified checks, money orders, travelers’ checks and postage.
- Negotiable items accepted as payment for fees shall remain with the application or form until the application is processed and the fee has been entered into the database by an Administrative Coordinator 3.
- Negotiable items which cannot be processed by the close of business shall be secured out of sight in a locked cabinet.

Cash
- No petty cash fund shall be made available to Board staff.
- Payments made for fees with cash shall be for the exact amount of the fee as stated in the Pharmacy Practice Act as change cannot be made available.
- Cash payments in excess of the required fee shall be rejected immediately.
- A sequentially numbered receipt identifying the date the cash was received, licensee name, amount, and type of fee shall be issued and signed by the employee accepting the cash. The receipt number of the receipt given should be clearly written on the application.
- The amount of cash received by the employee shall be clearly identified on the application or form received with the cash.

Checks
- Checks (including personal checks, business checks, cashier checks, certified checks, money orders, and travelers’ checks) shall remain attached to the application until entered into the appropriate database by an Administrative Coordinator 3.
- The applicant or licensee name and / or credential type and number shall be written on the face of the instrument in ink.
- Once it has been determined that a fee can be accepted, the instrument shall be endorsed on the reverse side for deposit into the Board’s account.

Receipts
- A money receipt shall be issued for all cash payments and any other type of payment upon request at the time payment is received.
- Receipts shall not be issued more than ten (10) working days after the payment is made.
Procedures for Managing Assets

Policy No. III.A

Title: Procedures for Managing Assets

Approved: 05-05-2010

Postage

- Postage shall be used for Board-related business only.
- It is the employee’s responsibility to ensure that the appropriate amount of postage is applied to the envelope.
- If an error has been made resulting in excess postage, the original envelope containing the original metered stamp, or the original metered tape, shall be given immediately to the Administrative Assistant for the Administrative Department or Office Manager.
- Envelopes and tapes bearing excess postage shall be submitted to the United States Postmaster for credit.
- Postage refunds from the Postmaster shall be given to the Office Manager immediately for deposit.

Postage by Phone

- The Office Manager shall issue a check for postage for deposit into the Board’s Postage By Phone account.
- Available account funds shall be downloaded to the Board’s postage meter by the Administrative Assistant for the Administrative Department.
- Downloads in excess of $5,000 shall be authorized by the Office Manager or Executive Director.
- Once the Postage By Phone account balance drops below $5,000 another deposit shall be processed by the Office Manager.

Employee Equipment

- Certain employees, depending on the nature of their duties, may be issued credit cards, portable electronic equipment and other Board property for which the employee shall sign a receipt and be held personally responsible (e.g., cell phones, laptops, printers, etc).
- Employees are responsible for safeguarding such equipment and reporting any relocated, lost, stolen or damaged property to the Office Manager or the Appointing Authority within twenty-four hours.
- Employees shall never sell, loan, transfer, assign, entrust or donate any inventory and non-inventory property to any person or entity, or use property for personal or illegal purposes.
- Upon termination of service, an audit of property shall be conducted prior to out-processing with the Office Manager or the Appointing Authority.
Title: Procedures for Managing Assets

Approved: 05-05-2010

- Employee shall be solely responsible for said property if misplaced and/or lost, due to the negligence, recklessness, or intentional act of the employee. Further, the employee shall replace the equipment and/or reimburse the Board for the entire cost of the property, as authorized by La. R.S. 34:305(E).
- In certain circumstances, if the property lost is not the fault of the employee, proper documentation (e.g., police reports, etc) shall be copied and sent to the Office Manager within thirty (30) business days from the time of the incident. The Appointing Authority has the discretion to waive any costs associated with said property.

Telecommunications

- All long distance calls placed on Board telephone equipment and lines shall be recorded on a telephone log and made available for review upon request.
- All telephone logs are to be retained in accordance with the Board’s records retention policy.
- State employees are to make no personal long distance calls on Board telephone equipment or telephone lines, unless the employee reimburses the state for the cost of the personal long distance call at rate of ten (10) cents per minute.

Securing Negotiable Items & Data Back-ups

Negotiable Items

- Negotiable items ready for deposit shall be submitted to the Office Manager daily.
- Negotiable items shall be secured in a locked cabinet until a bank deposit is made.
- Deposits shall be made at least once per week or more frequently during higher volume processing.

Safety Deposit Box

- A safety deposit shall be maintained for the purpose of securing back-up tapes of the Board’s data off-site.
- Safety deposit box keys shall be granted to the Executive Director and the Office Manager.
- Safety deposit box keys shall be relinquished to the Board office upon termination of employment.
Purchasing

Purchases
- Minor purchases shall be planned and approved in advance by the Office Manager.
- Major purchases should be sent directly to the Office Manager, who then forwards the requisition to the Appointing Authority for final approval.
- No one has the authority to obligate the Louisiana Board of Pharmacy to any expenditure for any reason without prior authorization by the Appointing Authority.
- All purchases shall comply with appropriate directives.
- Purchases of movable property valued at $250 or higher shall be tagged and entered into the Asset Management System within 30 days of receipt of the purchased item.
  - A copy of the payment shall be attached to the invoice and filed with asset management records for a period of three (3) years.
  - A copy of invoices for property valued at $1000 or higher shall also be submitted to the Board’s Certified Public Accountant by the end of the month in which the item was purchased.

Invoices
- The Office Manager shall not process the payment of invoices and/or receipts without the approval of the Appointing Authority and the appropriate backup information as proof that the goods were received and/or that the repairs were made, as required by the Legislative Auditor.
- All invoices, receipts, shipping notices, packing slips, and tickets for merchandise must be submitted to the Office Manager no later than twenty-four (24) hours after receipt.

Printing
- All documents printed by the Board will follow the printing guidelines set forth in La. R.S. 43:31.1. This statute requires all agencies seeking to print or have printed any public document perform a “needs assessment”, which shall be approved by the Appointing Authority prior to expending any funds to have the publication printed.
Title: Employee Training  
Policy No. III.B

Approved: 05-05-2010

Formal Training

- When warranted, formal training may be offered to employees on subjects that pertain to his / her job duties.

- Requests for additional training shall be made in writing to the employee’s supervisor and approved by the Appointing Authority.

On the Job Training

- When necessary, on the job training shall be conducted by the employee’s supervisor, Office Manager, authorized personnel, or vendor.

Documentation of Training

- All employee training shall be documented and retained in the employee’s personnel file.
Internal Review & Analysis of Procedures

- Any procedures identified by the annual legislative audit as insufficient shall be reported immediately to the agency head.

- Corrective action will be taken on a case-by-case basis depending on the nature of the discovery.

Inventory

- Inventory of moveable property shall be taken annually during the first fifteen days of August.

- Notice of Intent to conduct inventory shall be submitted to the Louisiana Property Assistance Agency (LPAA) at least 30 days prior to the start of inventory – in the first fifteen (15) days of July.

- Certification of inventory shall be submitted to LPAA and the Legislative Auditor’s Office by August 28th.
Evaluation of Findings

- Internal audit findings should be promptly evaluated and reported to the Office Manager with recommendations for correction.

Corrective Action Plan

- Audit findings shall be reported to the Executive Director immediately after discovery.
- Corrective action will be taken on a case-by-case basis depending on the discovery.
- If corrective action cannot be taken due to inadequate resources, written justification will be required.
1. The loss of or damage to Board assets shall be reported immediately to the Office Manager using the Board’s Incident Report Form (see following).

2. If the damage resulted in an injury to an employee, Form DA-2000 and any other forms necessary for Workers’ Compensation must also be completed.

3. If the loss or damage occurs due to the negligence, recklessness, or intentional act of the employee, the employee shall replace the equipment or reimburse the Board for the entire cost of replacing the property, as authorized by La. R.S. 34:305(E).

4. In certain circumstances, if the property lost is not due to any fault of the employee, proper documentation (e.g., police reports, etc) shall be copied and sent to the Office Manager within thirty (30) business days from the time of the incident. The Appointing Authority has the discretion to waive any costs associated with replacing said property.
Loss or damage to Board assets must be reported to the Office Manager to establish responsibility for insurance coverage with the Division of Administration. It is the responsibility of the supervisor to complete the Incident Report Form in the following manner:

A. As soon as the supervisor is notified of a lost or damaged asset the Incident Report Form should be completed and signed by the employee and their supervisor. If damage resulted in injury to an employee, an Employee Accident / Incident Report form and Medical Authorization Form should also be completed by the employee. Please see Office Manager for all forms.

B. If the employee goes to a physician, the employee should obtain the Authorization for Initial/ Emergency Medical Treatment Form from the Office Manager before going to the physician, hospital, etc. Once the employee has returned from the physician, the Original Employee Accident/ Incident Report form, the Medical Authorization, discharge instructions, etc. are turned into the Office Manager.

C. If the employee does not see a physician, the Employee Accident/ Incident Report and the ORM Loss Prevention form are turned into the Office Manager as soon as possible.

D. All charges for physicians, hospitals, prescriptions, etc. must be carried in the employee’s name. Claims for reimbursement or payment of any charges may be forwarded to the Office Manager for transmittal to the Division of Administration, Office of Risk Management.

DATE/GENERAL INFORMATION

☐ Loss of Asset ☐ Damage to Asset

Date of Report __________________________ Date and Time loss discovered___________________________

Name of Person Loss Reported to ___________________ Time Reported _____________________________

Normal Starting Time Day of Accident _____________ If employee back to work give date ______________

Date Employer Knew of Injury ______________________ Date lost time began __________________________

EMPLOYEE INFORMATION

Employee Name ____________________________________________ Department __________________________

Supervisor’s Name (please print) ___________________________________________________________
Exact Location of Asset______________________________________________________________

How was? (Be specific - if using tools or equipment or handling material-name them and tell what you were doing with them)
_____________________________________________________________________________________________
_____________________________________________________________________________________________
_____________________________________________________________________________________________
_____________________________________________________________________________________________

How did Injury Occur? (Describe fully the events which resulted in injury or disease. Tell what happened and how it happened. Name any objects or substance involved and tell how they were involved. Give full details on all factors which led or contributed to injury or disease.)
_____________________________________________________________________________________________
_____________________________________________________________________________________________
_____________________________________________________________________________________________
_____________________________________________________________________________________________

Name and work phone numbers of all witnesses: _____________________________________________________
_____________________________________________________________________________________________
_____________________________________________________________________________________________

Did Injury or Disease Occur Because of: Mechanical defect: ☐ Yes ☐ No- Unsafe Act: ☐ Yes ☐ No

If yes, explain ____________________________________________________________________________
_____________________________________________________________________________________________

Nature and Location on Injury or Disease (Describe Fully, include Parts of Body Affected) ________________________________
_____________________________________________________________________________________________

Did employee see physician, hospital, etc.? ☐ Yes or ☐ No

Attending Physician and Address (If hospital involved, please indicate) ________________________________
_____________________________________________________________________________________________

Date Employee’s Signature Date Supervisor’s Signature

Rev. 07/05
Executive Director

- Responsible for the implementation of an internal fiscal control program that includes operating guidelines and the specific duties of all employees involved in the program.
- Responsible for reviewing the fiscal control program regularly for efficiency and effectiveness.
- Recommendations contained in Legislative Audits should be implemented promptly.

Supervisors

- Supervisors must ensure that employees are properly trained in the program’s policies, procedures and guidelines so that all safeguards are followed at all times.
- Supervisors should review the program’s internal controls to ensure protection of the State’s assets and property from losses.
- No safeguard of the internal control plan is to be eliminated or bypassed.

Employees

- Employees are expected to follow the program fiscal controls and to report any deviations.
- Deviations include but are not limited to:
  - Deliberate recording of a transaction with inadequate documentation, inadequate information, and/or approval
  - Deliberate omission of information in a financial/statistical report
  - Failure to safeguard an asset (e.g., equipment: left in an insecure environment [such as a laptop with no lock], left on a desk, or in an unlocked room)
  - Unauthorized use (e.g., personal use of a computer and/or use of unauthorized/unlicensed programs on a computer)
  - Failure to safeguard fiscal/personal information (e.g., computer left unattended with ‘desktop’ open)
  - Failure to secure files with confidential information (should use encryption and/or password protection)
- The employee should report the deviation in accordance with Board policies and procedures.
Each employee shall be responsible for helping ensure the security of office assets.

**Building Access**

- All visitors shall sign-in at the reception desk and shall remain in the waiting area or Board room.

- Only authorized contractors and building maintenance staff shall have access to employee areas of the office.

- Only authorized computer contractors shall have access to Board servers and computers.

- If an office area will be unattended for an extended period of time, the employee shall ensure that their workstation is secure and exterior doors are locked and closed.

- At the conclusion of the work day, each employee shall ensure that exterior doors are locked and closed.
Building Access Card and Key Control

Policy Statement
To achieve, maintain and restore maximum physical security for the employees, property and offices of the Board and to establish a recorded chain of accountability for all keys issued and duplicated.

Purpose
The Board has established a process to achieve maximum physical security with minimum logistics through the control of access cards and keys and the manner of issuance, monitoring and maintenance.

The Appointing Authority shall establish the hours of operation for the Board office (8:00 am – 4:30 pm on Monday through Thursday, and 8:00 am – 4:00 pm on Friday), and further, shall determine who may have access to the office building both within those hours as well as after routine office hours. The Appointing Authority shall issue access cards encoded with the appropriate level of access as well as keys to those employees authorized to have them.

The Appointing Authority shall establish different security zones within the office building, and further, shall determine who may have access to each of those security zones. The access cards issued shall be encoded with the security zone(s) appropriate for that employee.

Applicability
This policy applies to any individual who is granted access to any area of the Board and to all keys and devices that control such access.

Responsibility
- No persons shall knowingly possess a key or access card programmed to areas where that person is not an authorized entrant.

- Duplication of keys or cards is authorized only by the Appointing Authority or Office Manager.

- Keys or cards are not to be transferred or loaned from one employee to another without the knowledge and authorization of the Office Manager and the Appointing Authority.

- Employees are responsible for all keys and access cards assigned to them.
Key Control Policy No. III.H

Approved: 05-02-2012  Revised: 05-27-2015

Procedure

• Keys and access cards are issued to employees by the Office Manager.

• Employees shall sign for receipt of all keys and access cards issued to him or her and shall certify their understanding that keys / cards are to be returned upon termination of employment.

• The Appointing Authority and/or Office Manager are responsible for the collection of any and all keys and access cards issued to an employee upon the employee’s termination from or transfer within the department. The collection of keys and access cards shall be acknowledged on the “Exit Interview/Separation” Form.

• It is the Supervisor’s responsibility to immediately report to the Manager any terminating/transferring employee who departs without returning keys and access cards.

• Lost or stolen keys and access cards must be reported immediately to the Office Manager.

• The installation, changing or removal of locks, card readers, or any other access control devices shall only be performed with the knowledge and approval of the executive director.

• The Board regards any violation of this policy as a serious threat to security. This includes security compromises caused by the failure to retrieve keys and access cards upon the termination of an employee, as well as any keys or access cards that may have been lost or stolen. Failure in maintaining possession and control of keys will result in the re-keying of all locks to which the keys operate. This cost shall be borne by the Board. At the discretion of the executive director, this financial cost may be passed on to individual employees who repeat such actions.

• The Office Manager shall maintain a list of all employees with keys issued and access card information.
Revision History

05-27-2015 Added second and third paragraphs under Purpose.
Equipment Management

A. Equipment Management
The primary goal of an equipment management program is to ultimately decrease repairs to equipment by increasing the efficiency in managing the scheduled equipment maintenance.

An effective program will reduce loss of equipment, decrease operational down time and extend the life of the Board’s mechanical and electrical and other equipment. All systems shall be monitored so that temperature, humidity, plumbing, lighting, air quality, emergency, and safety equipment are maintained at an acceptable level.

**Responsibilities**

- The Office Manager shall be responsible for scheduling repairs and routine preventative maintenance.

- To maximize energy efficiency, only senior staff may adjust thermostat temperatures.

**Inventory**

- The Board shall develop a specific inventory of all mechanical equipment including the name of the equipment, location, model number, and serial number.

- Currently, the only equipment maintained by the Board is HVAC equipment. No other equipment or electrical devices, such as elevators or boilers, exist on-site which require maintenance.

**HVAC Preventative Maintenance Schedule**

Quarterly
- Change air filters
- Visually inspect

Semi-annually
- Change belts

Annually
Documentation

The Board staff shall document its preventive maintenance and/or repairs. Documentation shall be created and maintained with software tools Microsoft Word or Excel®. Handwritten notations deemed unreadable by the Loss Prevention Officer will require clarification.

The following shall be included in documentation, if applicable:

1. What work was performed on the equipment
2. Who performed the work
3. What replacement parts were used and their cost
4. Clear, concise documentation of the work performed by the contractor
5. Date work was performed/completed

Audits and Record Keeping

Records shall be maintained for the life of the equipment including, but not limited to: preventive maintenance schedules, testing results, repair documents, replacement documents and all completed service documents.
Section V – Rescinded, Deleted & Obsolete Policies

I – C    Safety Rules
I – G – 1  Quarterly Inspection Form
I – K    Bloodborne Pathogens
I – L    First Aid
II – A   Authorized Drivers
II – B   Initial Authorization Process
II – C   Annual Re-Authorization Process
II – E   Employee’s Responsibility
II – F   Accident Reporting
III – H   Key Control
1. Smoke only in approved areas.
2. Horseplay and fighting will not be tolerated in the work place.
3. Before beginning work, notify your supervisor of any permanent or temporary impairment that may reduce your ability to perform in a safe manner.
4. Use personal protective equipment to protect yourself from potential hazards that cannot be eliminated.
5. Operate equipment only if you are trained and authorized.
6. Inspect the workstation for potential hazards and ensure that the equipment is in safe operating condition before using it.
7. Immediately report any recognized potentially unsafe condition or act to your supervisor.
8. If there is any doubt about the safe work method to be used, consult the supervisor before beginning work.
9. Immediately report accidents, near misses, and property damage to a supervisor regardless of the severity.
10. Maintain an orderly environment and work procedure. Store all tools and equipment in a designated place. Put scrap and waste material in a designated refuse container.
11. Report any smoke, fire, or unusual odors to your supervisor.
12. Use proper lifting techniques. For objects exceeding 50 pounds in weight, the immediate supervisor shall determine specific methods for safe lifting.
13. Never attempt to catch a falling object.
14. If your work creates a potential slip or trip hazard, correct the hazard immediately or use safety tape to tag the area before leaving it unattended.
15. Adhere to office rules regarding first aid, evacuation routes, and fire department notification.
16. Adhere to office rules and procedures specific to office operations.
17. Assist and cooperate with all safety investigations and inspections and assist in implementing safety procedures as requested.
18. Employees authorized to drive on state business should fasten restraint belts before starting any motor vehicle, obey all driver safety instructions, and comply with all traffic signs, signals, markers, and persons designated to direct traffic while on duty.
1. The loss prevention coordinator is responsible for conducting quarterly inspections and for identifying and correcting conditions or practices that are potential safety or fire hazards.

2. The coordinator shall complete the inspection form during each inspection. The completed checklist shall be forwarded to the executive director for review. The checklist shall be retained for at least three years, and further, shall be made available to the Office of Risk Management Loss Prevention Unit upon request.

3. All employees are responsible for reporting any potentially hazardous condition or practice they discover. The employee shall record the unsafe condition on the Hazard Control Log which shall be kept in the Office Manager’s office. The loss prevention coordinator is responsible for checking the Hazard Control Log and is authorized to take immediate temporary control of the area to prevent exposure to the hazard until corrective action is taken. If a supervisor or administrative officer cannot correct the hazard, they shall immediately report it to the executive director.

4. If a hazard exists for more than 30 days, the supervisor shall send a copy of the Hazard Control Log to the executive director and to the Office of Risk Management Loss Prevention Unit.

5. The Hazard Control Log shall be retained in the originating work area for at least three years.

6. Deficiencies identified by the State Fire Marshal’s office shall be reported immediately to the executive director.
Louisiana Board of Pharmacy
Quarterly Safety Inspection Checklist
Quarter: _______________  Date: _______________

If an item is checked as “NOT OK” go to the last page and complete the “Comments” section.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>OK</th>
<th>NOT OK</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is there litter or spilled liquid on the floor?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Are floor surfaces chipped, does carpeting show worn spots or holes?</td>
<td></td>
<td></td>
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<tr>
<td>3. Are warning signs posted near repair work or redecorating?</td>
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<tr>
<td>4. Are aisles free of boxes, wastebaskets, chairs and other obstacles that impede traffic?</td>
<td></td>
<td></td>
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<tr>
<td>5. Are cords placed where they might trip a passerby?</td>
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<td></td>
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<tr>
<td>6. Do cords looked frayed? Are they draped over hot pipes, bent around hooks or stepped on?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Are flimsy extension cords in use? (All extension cords should be 3-pronged)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Is all electrical equipment connected with three pronged plugs?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Are electrical outlet boxes or bonnets exposed so that they pose a tripping hazard?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Do employees stand on chairs, desks, boxes, or other improvised ladders?</td>
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<td></td>
</tr>
<tr>
<td>11. Do employees lean back in chairs, with feet up on desk?</td>
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<td></td>
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<tr>
<td>12. Do employees run in office?</td>
<td></td>
<td></td>
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<tr>
<td>13. Are stairs well lighted?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. Are handrails, tread and risers in good condition?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. Are stairs free of litter or spills?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Are desk or file drawers left open?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Is more than one file drawer opened at the same time?</td>
<td></td>
<td></td>
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<tr>
<td>18. Are files top-heavy with empty drawers at the bottom and full drawers on top?</td>
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<tr>
<td></td>
<td>Question</td>
<td></td>
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<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>19</td>
<td>Are boxes, papers, and books stored on top of files, storage cabinets, and windowsills?</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Is machinery turned off when not in use?</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Do employees wear dangling jewelry or floppy clothing around machinery?</td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Are employees using spike files or pencil holders with pencil points up?</td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Is the paper cutter placed in a safe location?</td>
<td></td>
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<tr>
<td>24</td>
<td>Are sharps or razor blades mixed in with paper clips?</td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Are fire exits clearly marked and lighted?</td>
<td></td>
</tr>
<tr>
<td>26</td>
<td>Have emergency lights been tested?</td>
<td></td>
</tr>
<tr>
<td>27</td>
<td>Have fire extinguishers been inspected recently? (Is the needle in the green?)</td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>Are ABC extinguishers readily available?</td>
<td></td>
</tr>
<tr>
<td>29</td>
<td>Do all employees know the location of exits and extinguishers?</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Are adequate first aid supplies available?</td>
<td></td>
</tr>
<tr>
<td>31</td>
<td>Are all accidents/incidents recorded and reported?</td>
<td></td>
</tr>
<tr>
<td>32</td>
<td>Do employees practice good housekeeping and maintain a safe environment in their respective work areas?</td>
<td></td>
</tr>
</tbody>
</table>

**COMMENTS**: Please specify item number, location of deficiency and the corrective action being taken. If it cannot be corrected immediately, you must record the deficiency on the hazard log so that follow-up can occur.

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

______________________________  __________________
Signature of Inspector       Date
The purpose of this policy is to reduce or eliminate occupational exposure to blood and other potentially infectious materials to our employees. All bodily fluids will be considered infectious regardless of the perceived status of the source individual. However, the risk of exposure to blood borne pathogens by Board staff is minimal.

**Blood Borne Diseases**
- HIV: Human Immunodeficiency Virus causes AIDS
- Hepatitis B and C
- Syphilis
- Malaria

**Hepatitis B (HBV) and C (HCV):**
- Inflammation of the liver – most common blood borne disease
- Symptoms vary
- Can be infectious or non-infectious
- Hepatitis infects hundreds of thousands of people in the USA annually
- An infected person may carry the virus for years before symptoms appear
- No cure or vaccine at present
- Means of Transmission – must enter body through contact or injected (examples: sexual contact, sharing needles, cutting yourself with a sharp object, body fluids, Infected blood or body fluid on skin with open cuts, sores, getting blood or body fluid in eyes, mouth )
- HBV has a preventive vaccine available
- HCV does not have a preventive vaccine available

**Preventative Measures**
- Use universal precautions – treat all blood and body fluids as potentially infectious.
- Unbroken skin provides some protection from blood borne pathogens
- Wear personal protective equipment (PPE) (examples: latex gloves, safety glasses, goggles, face shields, aprons, boots) whenever blood or body fluids are present or expected
- Utilize engineering techniques (examples: tongs, recognized work practices, specialized equipment) whenever possible
Decontamination Procedures
1. Call a professional for proper decontamination and disposal.
2. Obtain Blood Borne Pathogen (BBP) clean-up kits and either require employees to follow the manufacturer’s instructions that are provided with the kits or train employees on their use and disposal.

The following are general guidelines for decontamination:
• After an accident, the contaminated area must be cleaned with the proper recommended decontamination solution.
• Cleaning equipment must be properly decontaminated.
• Wear required PPE.
• Restrict access to the area.
• Use disposable supplies whenever possible and dispose of properly.

Disposal
The disposal of all regulated waste shall be in accordance with applicable federal, state, and local regulations. All waste with the possibility of contamination of BBP shall be placed in containers that are closeable, constructed to contain all contents and prevent leakage of fluids during handling, storage, transportation or shipping. The waste must be labeled or color-coded prior to removal to prevent spillage or protrusion of contents during handling, storage, transportation or shipping.

Medical Provisions
Preventive Vaccine
If the HBV vaccine is offered to an employee and the employee accepts it, it will be provided to the employee free of charge. Training by a knowledgeable person will be provided to the employee.

If an employee declines the offer of the HBV vaccine, then the employee is required to sign a declination statement. If at anytime the employee changes his/her decision and decides to accept the offer of the HBV vaccine then the series will be provided free of charge and training by a knowledgeable person will be provided to the employee.

Post-exposure Procedures
• Wash hands with antibacterial soap after contact.
• Flush eyes and face with fresh water for several minutes after contact.
• Follow Board’s notification/reporting procedures for an exposure.
• Follow Board’s written procedures for seeking medical counseling.
Other Exposure Hazards

- Cleaning surfaces contaminated with blood, vomit, feces.
- Always wear gloves and protective apron or clothing.
- Be alert for sharp objects, broken glassware, used syringes in trash.
- Do not pick up broken glass – use brush or broom & dustpan.
- Dispose of glass, sharp objects safely.
- Laundry – bloody or contaminated linens or sharp objects.

Training

The level of training shall be contingent upon the level of exposure to BBP:

High Risk: Health Care Facilities/professionals, and other high risk occupations

Workers with occupational exposure shall receive training when they are hired and at least once per year afterwards. The training must be given during working hours and at no cost to the employee and training records shall be maintained for five years.

Low Risk: General Office/Classroom personnel

All employees shall participate in a training program within 12 months of employment. If there are no BBP events, the training shall be required every five years thereafter. If the Board or employee experiences a BBP event, the employee shall be required to retrain within the following 60 days.

Common Sense Rules

- Wash hands and remove protective clothing before eating, drinking, smoking, handling contact lenses, applying lip balm or cosmetics.
- Keep hands away from eyes, nose, mouth while cleaning.
- Frequent hand washing is best defense against spreading infection.

Summary

- Protect yourself on and off the job; know the facts.
- Practice good personal hygiene.
- Follow work rules, use gloves and protective clothing.
- Wash your hands often, after work or exposure.
- Keep areas clean – report problems immediately to supervisors.
Requirements for First Aid:

All employees shall report any injury to the office manager as soon as possible, at least before the end of the shift during which the accident occurred.

The employee shall be required to complete an Accident/Incident Report (DA2000). A description of the accident and names of witnesses (if any) are included on the form.

If a physician is needed, the employee may be given an Employer’s First Report of Injury Form for treatment to be given to the treating physician.

The employee will provide the agency with the treating physician’s diagnosis of the injury and the length of time he or she is expected to be unable to work.

First Aid Training

Only someone who has completed a certified first aid or emergency response course or someone who has advanced medical training may administer first aid. Refresher training is required according to certification requirements.

First Aid Kit and Inventory Form

A first aid supply kit shall be maintained and inventoried periodically. An inventory list may be included in each first aid kit. Expiration dates on kit contents must be checked as well.

Emergency Eye Wash

In such situations where this is needed, typical protocol calls for a minimum of 15 minutes constant flushing time. This normally cannot be achieved via the use of small, portable, disposable containers of fluid found in many first aid kits. A fixed flushing station that uses an unlimited supply of uncontaminated fluid (e.g., potable water) is preferable.
Authorized drivers shall include employees who hold the following positions with the Board:

1. Executive Director / Chief Executive Officer (Appointing Authority)
2. General Counsel
3. Office Manager
4. PMP Manager / Chief Operating Officer
5. PMP Assistant
6. Administrative Coordinator – Administrative Division
7. Compliance Officer

Employees holding a position not listed herein shall not be authorized to drive on state business.

Employees classified as “high-risk” shall not be authorized to drive vehicles on state business from the date of discovery for a minimum of twelve months. High-risk drivers are those individuals:

1. Having three or more convictions, guilty pleas, and/or nolo contendere pleas for moving violations within the previous twelve month period; or
2. Having a single conviction, guilty plea, or nolo contendere plea for operating a vehicle while intoxicated, hit and run driving, vehicular negligent injury, reckless operation of a vehicle, or similar violation within the previous twelve month period.
1. Employee shall complete and sign the Authorization and Driving History Form (DA-2054) and return the completed form to the Office Manager.
2. Employee shall provide proof that he has a valid driver's license.
3. Employee shall provide proof of automobile insurance.
4. Employee shall complete an ORM-recognized defensive driving course within 30 days of hire and once every three years.
5. The Office Manager shall obtain official driving records (ODRs) annually and ensure that employees met all program requirements to be authorized to drive.
6. The Appointing Authority shall review the Official Driving Record to ensure the employee does not meet the high-risk driver definition.
1. Employee shall complete and sign the Authorization and Driving History Form (DA-2054) annually on or before January 1st in order to be authorized for the new calendar year.

2. The Office Manager shall obtain official driving records (ODRs) annually and ensure that employees meet all program requirements to be authorized to drive on state business.

3. The Appointing Authority shall review the Official Driving Record to ensure the employee does not meet the high-risk driver definition.

4. Employees who meet requirements will be authorized to drive on state business until the end of the calendar year.

5. Receipt of evidence that places a driver in the high-risk category shall cause the employee’s driving privileges to be revoked immediately. An employee whose job responsibilities require driving shall be dismissed.
1. Employees may only operate those vehicles for which they are licensed and insured.
2. The employee shall be required to demonstrate proof of insurance on an annual basis.
3. The employee shall immediately report any revocation of their driver’s license or any moving violations received to his supervisor, but no later than their next scheduled workday. Said reporting applies whether on state or personal/private business and whether in a state or personal/private vehicle.
4. The employee shall complete a refresher course at least once every three years.
5. Drivers who have convictions on their motor vehicle records shall be required to retake a recognized driving course within ninety days of notification of a conviction.
A vehicular accident is defined as any incident in which the vehicle comes in contact with another vehicle, person, object, or animal that results in death, personal injury, or property damage, regardless of who was injured, what was damaged or to what extent, where it occurred or who was responsible.

1. All accidents shall be reported to the employee’s immediate supervisor and Office Manager by the driver of the state vehicle (or other vehicle driven on state business) on the day of the accident. If the driver is not able to complete the Louisiana State Driver’s Accident Report Form (DA 2041), then the driver’s supervisor will complete the report to the best of his ability for the employee. The supervisor may enter identifying information and attach the police report. The DA 2041 shall be completed within 48 hours after any vehicle accident while on state business and forwarded to the ORM Claims Unit. The DA 2041 form can be downloaded from: http://www.doa.la.gov/orm/formsCR.htm

(Note: When an accident occurs in an employee’s personal vehicle while he/she is on state business then strike through “state vehicle” and write “personal vehicle” on the accident reporting form. In addition, in ALL cases the employee’s liability insurer is the primary insurer of the accident. ORM’s coverage is excess over any other collectible insurance).

A copy of the Uniform Motor Vehicle Traffic Accident Report (police report) shall accompany the DA 2041 or should be sent to the ORM Claims Unit as soon as it is received by the agency. Do NOT delay submission of the DA 2041 waiting on the police report.

2. Failure of an authorized driver to report any vehicular accident may be cause for suspension of Driver Authorization.

3. The supervisor of the authorized driver involved in an accident shall review the accident report within two working days of the accident for completeness of information. Incomplete reports shall be returned for completion or corrected information. The supervisor may assist the individual in completing the report. All accidents require completion of the Vehicle Accident Report (DA 2041).

4. The supervisor may consider what corrective action(s) may be necessary for accidents.

5. The executive director shall review the Accident Report Form, the Uniform Motor Vehicle Traffic Accident Report (police report – if one was completed), and the Authorization and Driving History Form (DA 2054).
A vehicular accident is defined as any incident in which the vehicle comes in contact with another vehicle, person, object, or animal that results in death, personal injury, or property damage, regardless of who was injured, what was damaged or to what extent, where it occurred or who was responsible.

1. All accidents shall be reported to the employee’s immediate supervisor and Office Manager by the driver of the state vehicle (or other vehicle driven on state business) on the day of the accident. If the driver is not able to complete the Louisiana State Driver’s Accident Report Form (DA 2041), then the driver’s supervisor will complete the report to the best of his ability for the employee. The supervisor may enter identifying information and attach the police report. The DA 2041 shall be completed within 48 hours after any vehicle accident while on state business and forwarded to the ORM Claims Unit. The DA 2041 form can be downloaded from: [http://www.doa.la.gov/orm/formsCR.htm](http://www.doa.la.gov/orm/formsCR.htm).

(Note: When an accident occurs in an employee’s personal vehicle or a rental vehicle while he/she is on state business, complete the DA 2041 and note whether or not the vehicle is rented or personal. In addition, in ALL cases the employee’s liability insurer is the primary insurer of the accident. ORM’s coverage is excess over any other collectible insurance).

A copy of the Uniform Motor Vehicle Traffic Accident Report (police report) shall accompany the DA 2041 or should be sent to the ORM Claims Unit as soon as it is received by the agency. Do NOT delay submission of the DA 2041 waiting on the police report.

2. Failure of an authorized driver to report any vehicular accident may be cause for suspension of Driver Authorization. Accidents by employees in their personal vehicle after hours need not be reported unless the employee was ticketed.

3. The supervisor of the authorized driver involved in an accident shall review the accident report within two working days of the accident for completeness of information. Incomplete reports shall be returned for completion or corrected information. The supervisor may assist the individual in completing the report. All accidents require completion of the Vehicle Accident Report (DA 2041).

4. The supervisor may consider what corrective action(s) may be necessary for accidents.

5. The executive director or designee shall review the Accident Report Form, the Uniform Motor Vehicle Traffic Accident Report (police report – if one was completed), and the Authorization and Driving History Form (DA 2054).
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This policy applies to any individual who is granted access to any area of the Board and to all keys and devices that control such access.

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- No persons shall knowingly possess a key or access card programmed to areas where that person is not an authorized entrant.

- Duplication of keys or cards is authorized only by the Appointing Authority or Office Manager.

- Keys or cards are not to be transferred or loaned from one employee to another without the knowledge and authorization of the Office Manager and the Appointing Authority.

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• It is the Supervisor’s responsibility to immediately report to the Manager any terminating/transferring employee who departs without returning keys and access cards.

• Lost or stolen keys and access cards must be reported immediately to the Office Manager.

• The installation, changing or removal of locks, card readers, or any other access control devices shall only be performed with the knowledge and approval of the executive director.

• The Board regards any violation of this policy as a serious threat to security. This includes security compromises caused by the failure to retrieve keys and access cards upon the termination of an employee, as well as any keys or access cards that may have been lost or stolen. Failure in maintaining possession and control of keys will result in the re-keying of all locks to which the keys operate. This cost shall be borne by the Board. At the discretion of the executive director, this financial cost may be passed on to individual employees who repeat such actions.

• The Office Manager shall maintain a list of all employees with keys issued and access card information.
Policy & Procedure Manual

May 4, 2016
The statements, opinions, and policies contained in this manual have been approved by the Board on the date indicated on each document. The entire manual is subject to periodic review by the Board, and their continuing approvals are noted on the schedule below.

May 11, 2005
May 17, 2006
May 9, 2007
May 7, 2008
May 6, 2009
May 5, 2010
May 4, 2011
May 2, 2012
May 29, 2013
May 7, 2014
May 27, 2015
May 4, 2016
<table>
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<tr>
<th>Division</th>
<th>Name</th>
<th>Page No.</th>
<th>Approved</th>
<th>Revised</th>
<th>Revised</th>
<th>Revised</th>
<th>Revised</th>
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</tr>
</thead>
<tbody>
<tr>
<td>I. Board</td>
<td>A. General Statements &amp; Opinions</td>
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Section I – Board

A. General Statements & Opinions

01. Authority to Implement Policies & Procedures
02. Declaratory Statements & Advisory Opinions
03. Electronic Transmission of Prescriptions
04. Pharmacist-in-Charge in Multiple Pharmacies
05. Recycling of Drugs in Institutional Pharmacies
06. Centralized Prescription Processing by Out-of-State Hospital Pharmacies [rescinded]
07. Resurrection of Expired Non-Renewable Credentials
08. Prescription Labeling Requirements During Emergency Mass Prophylaxis Procedures
09. Moderately Complex Laboratory Tests
10. Pharmacy Recordkeeping Requirements and Integrated Electronic Medical Record Systems
11. Dispensing Medications Pursuant to Standing Order During Public Health Emergencies
12. Pharmacist-in-Charge Requirements
13. Reporting of Immunizations
14. Storage of Regulated Materials & Records in Un-Regulated Areas External to Prescription Department
15. Storage of Regulated Materials & Records in Regulated Environment External to Prescription Department
16. Cognitive Services from Consultant Pharmacists Affiliated with Permitted Pharmacy
17. Temporary Central Distribution for Louisiana AIDS Drug Assistance Program (ADAP)
18. Return of Dispensed Prescriptions & Re-Use in Clinic Pharmacy
19. Medication Therapy Management in Pharmacy Practice
20. Recording Patient Address on Controlled Substance Prescriptions
21. Pharmacies & Independent Marketing Contractors
Section I – Board (cont.)

B. Committee Operations

01. Examination / Technician Committee [deleted]
02. Executive Committee
03. Finance Committee
04. Reciprocity Committee
05. Reinstatement Committee
06. Violations Committee
1. The statutory authority is found at LRS 37:1179.F.6.

2. The regulatory authority is found at LAC 46:LIII.103.F.

3. The Executive Director serves as the Board’s appointing authority, and is responsible for the construction of proposed policies and procedures, as well as submission of same to the Board for its review and approval. Once approved, the Executive Director shall be responsible for the implementation and enforcement of the Board’s policies and procedures.

4. The Executive Director shall distribute a copy of all policies and procedures to all employees, obtaining verification of receipt. Updates to these policies shall be similarly distributed.

5. An exception or exemption to the requirement of any policy may be granted by the Executive Director, with the concurrence of the President.
1. The statutory authority for these procedures is RS 49:962.

2. The regulatory authority for these procedures is LAC 46:LIII.359.

3. Petitioner shall be allotted a minimum of thirty (30) minutes to present his arguments in support of a written Petition for Declaratory Statement or Petition for Advisory Opinion validly entered into the record. The Chair may exercise his discretion in extending this period.

4. General Counsel for the Louisiana Board of Pharmacy shall be allotted a minimum of thirty (30) minutes to respond to the Petition for Declaratory Statement or Petition for Advisory Opinion. The Chair may exercise his discretion in extending this period. At any time during General Counsel’s presentation, additional comments, arguments and/or points of information may be presented by other Board representatives or staff with the Chair’s approval.

5. Petitioner shall have no more than fifteen (15) minutes for rebuttal. The Chair may exercise his discretion in extending this period.

6. During the course of all arguments, the Chair may solicit comments from Board members, Board staff and audience members at his discretion.

7. At the conclusion of all arguments, comments and points of information, the Chair may solicit comments from Board members, Board staff and audience members at his discretion.

8. All remarks by a member of the Board, Board staff or audience member shall be addressed through the Chair.

9. Upon conclusion of all arguments, comments and points of information, the Chair may either direct the Board to rule on the matter at that time or, based on the complexity of the issues involved, may direct the Board members to take the Petition under advisement and direct a ruling at the next regularly scheduled meeting of the full Board.

10. If the matter is taken under advisement, the Chair shall direct the petitioner to submit any written response to General Counsel’s written arguments on the matter. The Chair shall allow a minimum of fifteen (15) days for the response to be submitted. The Chair may exercise his discretion in extending this period for good cause.
11. In accordance with Robert’s Rules of Order, at the outset of the formal hearing, the Chair shall direct Board members, staff and audience members that decorum shall be maintained throughout the presentation and debate on the matter. After a preliminary verbal warning by the Chair to any individual disturbing the assembly, upon a second recognized instance by the Chair of this individual disrupting decorum, the individual may be escorted from the meeting room and prohibited reentry at the Chair’s discretion.

12. The Board will not render declaratory statements or advisory opinions:
   a. On questions of fact or on matters where the relevant facts are in dispute; or
   b. On questions scheduled for determination by a court, or where the prospect of litigation appears imminent.
Title: Declaratory Statements & Advisory Opinions

Approved: 05-05-2004

Revision History

11-13-2014 Added Item 12.
1. The statutory authority for the electronic transmission of prescription information is found in the statutory definition of ‘prescription’, specifically at LRS 37:1164(44).

2. The regulatory requirements for the confidentiality of prescription information is found specifically at LAC 46:LIII.1129.

3. The Board hereby interprets §1129 such that a prescribing practitioner is not prohibited from using a routing company to transmit a prescription to a pharmacy specified by the patient.

4. For the purposes of this policy, “routing company” means any business that:
   a. Receives a prescription or any other confidential information from a practitioner and
   b. Transmits the prescription or confidential information
      i. Directly to the pharmacy specified by the patient, or
      ii. Through the company that provides computer software for the management of the business operations of the pharmacy specified by the patient.

5. A routing company:
   a. May, for the purpose of verifying an audit conducted by the routing company, store any prescription or other confidential information it receives or transmits in a form that is secure and in a manner that ensures the confidentiality of the information.
   b. May not add a provision to, delete a provision from, or otherwise modify a prescription or any other confidential information that it receives or transmits pursuant to §1129.
Title: Pharmacist-in-Charge in Multiple Pharmacies  
Policy No. I.A.4 

1. The statutory requirement for a pharmacist-in-charge in a pharmacy permit is found at LRS 37:1222.A.

2. The regulatory requirement for a pharmacist-in-charge in a pharmacy permit is found at LAC 46:LIII.1105.

3. Section 1105.J of that rule limits a pharmacist to holding the pharmacist-in-charge position at one pharmacy permit at any given time, unless otherwise approved by the Board.

4. The Board has reviewed several applications since the January 1, 2004 effective date of the rule; they have granted most and denied some. In an effort to be more responsive to situations that prompt requests from pharmacists for the privilege, the Board hereby authorizes the Executive Director to receive, review, and approve such requests – with the concurrence of the President, based on the following parameters:
   a. geographical distance between pharmacies;
   b. permit classification of pharmacies;
   c. daily workload parameters, e.g., number of prescriptions; and
   d. prior disciplinary history of permits or pharmacists.

5. The Executive Director shall report all approvals to the Board at the next meeting.
1. The Board entertained a request from an institutional facility with a permitted pharmacy on-site.

2. The pharmacist-in-charge explained his operations were similar to that of a hospital pharmacy, and requested permission to recycle those drugs he packaged and distributed to his patients, in accordance with good professional standards.

3. The Board, by unanimous vote, adopted the following motion:

   **Resolved**, that the Board interpret La. R.S. 37:1226.2 in such a manner as to permit the Southwest Louisiana War Veterans Home Pharmacy to re-use returned prescription medications that it packaged and distributed for its patients, in accordance with good professional practice standards.
1. The Board issues two types of renewable credentials to natural persons: licenses to pharmacists and certificates to pharmacy technicians.

2. The Board issues two types of non-renewable credentials to natural persons: registrations to pharmacy interns and pharmacy technician candidates.

3. The Board’s rules provide for the renewal process for the renewable credentials; however, there is no process for the renewal of non-renewable credentials.

4. Persons with non-renewable credentials may petition the Board for an opportunity to continue with the activity authorized under their original registration.

5. The Board finds it appropriate to make those opportunities available, and determines that when appropriate, the staff may issue a Special Work Permit to the petitioner. The term and restrictions of the Special Work Permit shall be identified on the credential.

6. The Board hereby authorizes the Executive Director to receive, review, and approve such petitions for a Special Work Permit, but only with the concurrence of the President.

7. The Executive Director shall report all such approvals to the Board at the next meeting.
1. The Board entertained a request from the Office of Public Health in the La. Dept. of Health & Hospitals for an opinion as to the regulatory compliance of their policies and procedures relative to prescription labeling requirements during emergency mass prophylaxis procedures.

2. The Board, by unanimous vote, adopted the following motion:

Resolved, that the Board approve the proposed plan for emergency mass prophylaxis procedures developed by the Pharmacy at the Office of Public Health in the Dept. of Health and Hospitals (DHH-OPH), and further:

- These policies shall only be employed during a declared State of Emergency when there is an imminent threat to public health and the rapid dispensing of medications is essential to save lives;
- That the label provided by the Centers for Disease Control (CDC) on medication bottles from the Strategic National Stockpile fulfills the following label requirements: prescription number, drug name, drug strength, quantity dispensed, and directions for use;
- That the prescription number from the CDC medication bottle be placed on the patient information sheet provided by DHH-OPH;
- That the prescriber’s name appear on the prescription label, and further:
  - That the prescribing physician may be the Louisiana State Health Officer and that the name, address, and telephone number of the prescribing physician may be printed on the patient information sheet provided by DHH-OPH. This fulfills and replaces the labeling requirement that the physician’s name appear on the prescription label;
  - That the Louisiana Office of Public Health (La. OPH) may be the dispenser of all prescriptions and be listed as such on the patient information sheet provided by DHH-OPH. The address and telephone number for the La. OPH will be pre-printed on the patient information sheet. This fulfills and replaces the labeling requirement that the pharmacist’s name appear on the prescription label;
  - That the name of the individual for whom the medication was dispensed be written on the patient information sheet. The patient name is not required to be written on the medication bottle; and
  - That the patient information sheet provides adequate information to fulfill the requirement for auxiliary cautionary statements.
1. The Board entertained a request from a hospital for an opinion as to whether or not it was within the scope of practice for a pharmacist to perform moderately complex laboratory testing procedures, as defined by the Clinical Laboratory Improvement Amendments of 1988 (CLIA).

2. The Board, by unanimous vote, adopted the following motion:

   Resolved, that following the Board’s review of the Louisiana Pharmacy Practice Act and its associated education and licensure requirements, as well as relevant portions of the Clinical Laboratory Improvement Amendments of 1988 and its associated regulations, we find the performance of moderately complex laboratory testing procedures to be properly within the scope of practice for Louisiana-licensed pharmacists, provided however, that the pharmacist shall maintain evidence of all education and training relevant to that practice activity.
Title: Pharmacy Recordkeeping Requirements and Integrated Electronic Medical Record Systems

Policy No. I.A.10

Approved: 02-03-2010

1. The Board entertained a request from two hospital pharmacies and a vendor of electronic medical record systems as to the regulatory compliance of their integrated electronic medical record system relative to pharmacy recordkeeping requirements.

2. Under the historical paradigm of segregated information systems in pharmacies, the recordkeeping rules require that all prescription records be contained within the system and further, the system must be physically limited to the prescription department and further, the authority to access to or manipulation of patient identifiable prescription records requires a credential from this Board. The primary basis for the restriction to personnel licensed by this Board is the level of knowledge required to interpret such existing records as well as enter new prescription orders or other data, and the belief that public safety is best served by such a restriction.

3. The emergence of integrated systems interfacing with prescription department systems (modules) requires the Board to consider an appropriate public policy that fosters use of electronic medical records that maintains or improves the safety of the medication use process. Given that palpable efficiencies may be achieved by the entry of medication orders outside the pharmacy’s module prior to final review and approval by a pharmacist, the Board still believes that public safety is best served by restricting such medication order entry to licensed health care practitioners. Such orders entered external to the pharmacy module should be communicated and placed within the pharmacy module in such a manner to distinguish them from medication orders already entered and approved by pharmacists.

4. The Board has interpreted its rules on pharmacy recordkeeping systems by approving the following two statements:

   a. Where an integrated information system is in use, and such system incorporates a pharmacy module operated by a pharmacy licensed by the Board, then the entry of a medication order outside the pharmacy module intended for review and approval by the pharmacist is permitted as long as that medication order is entered by a licensed health care practitioner, and further, such orders entered outside the pharmacy module are communicated to the pharmacy module and then isolated within the pharmacy module and kept separate until the pharmacist has approved the medication order.
b. With respect to the documentation of retrieval of medications from medication storage areas, the Board acknowledges that pharmacies in hospital or other organized health care settings hold medications for both dispensing as well as administration. Pharmacies are required to account for the acquisition and disposition of all drugs they hold, therefore, documentation of medications retrieved for administration must be available to the pharmacy. Further, sound professional practice would dictate the availability of a complete record of medications for pharmacist review. Therefore, it would be appropriate for a health care practitioner removing a medication from a medication storage area to document the medication retrieved and administered. Such records are to be construed as a record of medication administered as opposed to a record of medication dispensed, and such records should be identifiable as such in the pharmacy recordkeeping system.
1. The Board entertained a request from the Office of Public Health (OPH) in the Dept. of Health and Hospitals (DHH), seeking recognition of standing orders as valid prescriptions during public health emergencies.

2. The OPH representative reminded the members of their May 2009 review and approval of a plan for the packaging and labeling of certain medications intended for mass dispensing during emergency declarations [Board Policy I.A.8]. He reminded the members that current plans called for the use of Point-of-Dispensing Sites (PODS) to be established and located in strategic sites in affected areas. DHH would be responsible for the operation of the PODS, wherein the medications would be dispensed without charge to anyone requesting it. The State Health Officer had authored a standing order to be used for the dispensing of medications at the PODS.

3. DHH had acknowledged that some citizens may choose to contact their own healthcare practitioner to obtain a prescription and then visit their local pharmacy to purchase the prophylactic medication. To prevent the necessity for large numbers of prescribers being contacted and then communicating such prescriptions to the pharmacies, the State Health Officer had suggested the propriety of using the same standing order to authorize community pharmacies to dispense the prophylactic medications.

4. The members took note of contemporary pharmacy practice standards wherein standing orders were commonly used in hospitals and other organized healthcare system venues, but not in community pharmacy settings. Pursuant to their further review and discussion, the members adopted the following resolution after a unanimous vote in the affirmative:

   Resolved, that the Board make the following determinations:
   - During a State of Emergency declared by the Governor of the State of Louisiana, the public health is best served by the efficient communication of medical orders and prescriptions for medications needed by the citizens; and further,
   - In the event of such an emergency caused by the release of anthrax, the Standing Order for Dispensing of Prophylactic Antibiotics for Anthrax issued by the State Health Officer shall constitute a valid medical order and prescription sufficient to authorize a pharmacist in a pharmacy to dispense the medications cited therein.
Title: Pharmacist-in-Charge (PIC) Requirements

Policy No. I.A.12

Approved: 08-17-2011

1. The regulatory authority for the PIC privilege is found at LAC 46:LIII.1105.

2. When a pharmacist wishes to obtain a PIC privilege, staff shall direct the pharmacist to complete the Pharmacist-in-Charge (PIC) Affidavit, and then return the original signed and notarized affidavit to the board office.

3. Upon receipt of a properly completed affidavit, staff shall review the pharmacist’s record to ensure the presence of an active license, and further, active pharmacy practice for a minimum of two years under the jurisdiction of any board of pharmacy in the United States.

4. When the pharmacist’s eligibility has been verified, staff will issue the PIC privilege in the pharmacist’s electronic record.

5. The decision of a pharmacist to accept – or surrender – the PIC appointment at a pharmacy shall be recorded on the board’s form issued for that purpose. The original copy of that form should be maintained at the pharmacy permit; a copy should be sent to the board office by fax, email, or regular mail. Copies of that form shall be placed in the public file of the pharmacy and pharmacist.

6. In the event a PIC shall take leave from the pharmacy for a period of 12 consecutive weeks or more, the pharmacist shall surrender the PIC appointment for that pharmacy, and the permit shall name another PIC within 10 days.
1. The Board entertained a request from a pharmacist credentialed to administer medications for an opinion relative to the reporting of immunizations.
   - The petitioner took note of the provisions of LAC 46:LIII.521.F that appear to require the pharmacist to notify the patient’s practitioner within 24 hours after the administration of a vaccine. Further, he took note that rule was promulgated by the Board in July 2008.
   - The petitioner also took note of La. R.S. 37:1218, which was passed by the 2010 Legislature, taking effect on August 15, 2010. In particular, he noted the statute requires the reporting of influenza immunizations administered without medical orders to the state immunization registry but does not contain any requirement to notify the practitioner.
   - The petitioner requested guidance as to whether the pharmacist was required to notify practitioners of influenza immunizations administered without medical orders. Staff noted the statute did not contain any language exempting influenza immunizations from the requirement found in the rule. Since the rule does not exempt any particular immunizations, staff opined the pharmacist was obligated to report all immunizations to the practitioner within 24 hours, as specified in the rule.
   - The petitioner disagreed with the staff opinion and requested a formal opinion from the Board.

2. The Board reviewed the rule and statute in question, and following substantial discussion considered the following motion:

   **Resolved**, that the Board interpret La. R.S. 37:1218 and LAC 46:LIII.521.F to require all immunizing pharmacists to report all vaccine administrations to the patient’s physician, without respect to the existence of a prescription or medical order for such immunizations.

3. Pursuant to a roll call vote, the motion was adopted.

   **Yes:** Bond, Burch, Dartez, Hall, McKay, Reed, Resweber, Simonson, Soileau.

   **No:** Anderson, Indovina, Melancon, Moore, Pitre, Rabb.

4. Pursuant to a request for reconsideration, the Board reviewed this policy as well as the underlying statute and rule at its February 1, 2012 meeting, and following substantial discussion considered the following motion:

   **Resolved**, that the Board interpret LAC 46:LIII.521.F to require all immunizing pharmacists to report all vaccine immunizations administered pursuant to a prescription or medical order to the prescribing practitioner.

5. Pursuant to a roll call vote, the motion was adopted.

   **Yes:** Adams, Bond, Burch, Dartez, Hall, McKay, Melancon, Moore, Rabb, Reed, Resweber, Simonson, Soileau.

   **No:** Pitre.
Title: Reporting of Immunizations

Approved: 02-01-2012

Revision History

02-01-2012 Added Articles 4 and 5.
Louisiana Board of Pharmacy               Policies & Procedures

Title: Storage of Regulated Materials & Records in Un-Regulated Areas External to Prescription Department in Pharmacies

Policy No. I.A.14

Approved: 05-02-2012      Revised:

In response to multiple requests over an extended period of time from several different types of pharmacies, all requesting permission to store prescription records and other types of pharmacy records, as well as prescription drugs and devices, in areas located separate and apart from the permitted prescription department of the pharmacy, the Board offered the following opinion.

- With respect to prescription records and other types of pharmacy records, they may be stored outside a permitted prescription department, without notice to the Board, provided the pharmacy is able to comply with the Board’s rule requiring the production of records no later than 72 hours following a request from the Board.
- With respect to prescription drugs and devices, the storage of such regulated materials shall be limited to the permitted prescription department identified on the permit authorizing the acquisition of such drugs.
Louisiana Board of Pharmacy               Policies & Procedures

Title:  Storage of Regulated Materials in Regulated Environment External to Prescription Department in Pharmacies

Policy No. I.A.15

Approved:  08-22-2012      Revised:

Petitioner requested permission to store prescription drugs in a storage location external to the permitted prescription department. In particular, the petitioner was a hospital pharmacy with access to a warehouse facility in a building located on the same campus as the hospital pharmacy. Moreover, the warehouse facility would be credentialed as a ‘drug warehouse’ by the Food & Drug Unit of the Office of Public Health in the La. Dept. of Health and Hospitals. The nature of the oversight by that state agency consists of periodic inspections for compliance with the state’s Sanitation Code.

Following a brief discussion, the Board adopted the following motion after a unanimous vote in the affirmative.

Resolved, that the Board allow a permitted pharmacy to store prescription drug products under its control in a drug storage area separate and apart from the permitted prescription department, but only under the following provisions:

• The drug storage area shall be subject to the authority of a currently active Drug Warehouse permit issued by the Food & Drug Unit of the Office of Public Health in the Dept. of Health & Hospitals.

• The pharmacist-in-charge of the permitted prescription department shall advise the Board of the existence of the drug storage area and shall allow the Board’s agent to inspect that area.

• The pharmacist-in-charge of the permitted prescription department shall be responsible for the establishment of appropriate security measures for the drug storage area and limit access to personnel holding a credential from the Board of Pharmacy.

• A pharmacy shall not store controlled substances or drugs of concern in the drug storage area.

• A pharmacy shall not engage in packaging activities within a drug storage area.
Petitioner was a non-resident pharmacy located in a state where the pharmacy laws and rules permit a pharmacist affiliated with a permitted pharmacy to practice from an office or home environment separate and apart from the permitted pharmacy’s prescription department.

Petitioner took note of the Board’s recently promulgated rule relative to the provision of cognitive services (LAC 46:LIII.525). In particular, the rule requires a pharmacist providing cognitive services to Louisiana residents from outside a permitted pharmacy to first obtain a Louisiana pharmacist license. By comparison, the requirements for a non-resident pharmacy require only the pharmacist-in-charge of the permit to possess a Louisiana pharmacist license.

Petitioner described his pharmacy’s operations as a non-resident pharmacy that employs consultant pharmacists affiliated with the non-resident pharmacy where such consultant pharmacists provide cognitive services to patients from a variety of locations outside the permitted prescription department, in compliance with the pharmacy rules of those states where the non-resident pharmacy is located. Petitioner requested guidance from the Board as to whether such consultant pharmacists affiliated with the non-resident pharmacy that provide cognitive services to Louisiana residents must have a Louisiana pharmacist license.

Following a brief discussion, the Board adopted the following motion after a unanimous vote in the affirmative.

**Resolved**, that the Board interpret LAC 46:LIII.525.B such that any pharmacist located outside the physical space of a permitted prescription department who performs cognitive services for a Louisiana resident shall possess an active Louisiana pharmacist license prior to performing such services.
The Office of Public Health (OPH) Pharmacy in New Orleans approached the Board requesting guidance on its plan to assist the Louisiana AIDS Drug Assistance Program (ADAP) for a temporary period of time to transition medication delivery services to ADAP clients.

For the recent past, ADAP has contracted with the LSU system outpatient pharmacies to dispense 340-B program drugs to its clients. The ADAP leadership has been negotiating with a Pharmacy Benefit Manager (PBM) to improve prescription services; however, it will be several months before the new PBM contract can be implemented. With the recent news relative to the privatization of some of the LSU facilities and their pharmacies, those previous arrangements for 340-B clients were no longer possible.

For a temporary and limited period of time, namely until the PBM contract is implemented, ADAP has established a central distribution plan using the OPH Pharmacy in New Orleans as the sole dispensing pharmacy. All prescriptions for ADAP clients will be sent to the OPH Pharmacy in New Orleans and the medications will be shipped to the patient’s agent – preferably the same outpatient pharmacy previously known as LSU, or perhaps another pharmacy, or to the prescribing provider’s clinic.

Some of the pharmacists in the LSU system have questioned whether they would be considered ‘dispensing’ a prescription if they talked with the patient about medications they were delivering to them. LSU and OPH representatives asked the Board for guidance concerning their temporary plan as well as an opinion as to whether pharmacists delivering medications dispensed by the OPH Pharmacy would be ‘dispensing’ those prescriptions and assuming any liability for that activity.

Pursuant to a motion from Dr. Simonson that was adopted after a unanimous vote in the affirmative, the Board rendered the following opinion:

For the Louisiana AIDS Drug Assistance Program, the temporary central distribution plan using the Office of Public Health (OPH) Pharmacy shall be construed as in compliance with the Board’s rules, provided the OPH Pharmacy establish and maintain a recordkeeping system documenting the delivery of the medications to the ADAP clients, and further, the Board encourage the ADAP and OPH leadership to prioritize the delivery destinations to pharmacies, whether in the LSU system or not, or to any other destination where a pharmacist is able to counsel the patient about those medications or perform other professional drug utilization review services. Moreover, LSU or other pharmacists participating in this temporary distribution model shall not be construed as ‘dispensing’ prescriptions which they are delivering to patients.
Representatives from the David Raines Community Health Center Pharmacy in Caddo Parish, Louisiana approached the Board for approval of some of their medication distribution procedures.

The representatives described their federally qualified health care center system in Caddo Parish, consisting of three clinics with pharmacies located within two of the clinics, and further, operating their own transportation system using their own employees. In addition to dispensing prescriptions to the patients at their own clinics, the pharmacies will also dispense prescriptions for patients at a satellite clinic within which there is no pharmacy. The pharmacies deliver these prescription medications to the satellite clinic where they are held for patient pick-up. On the occasion where the medications are not picked up by the patient, they are returned to the dispensing pharmacy for re-use, subject to the professional judgment of the dispensing pharmacist. A recent inspection by the Board’s compliance officer suggested the impropriety of the re-use and suggested their acquisition of Board approval for that procedure.

The pharmacist-in-charge presented a copy of the pharmacy’s written policy and procedures for their delivery of prescriptions to the satellite clinic and responded to questions from the members. The executive director reviewed the firm’s original inquiry to the Board approximately ten years before and his approval of their proposed policy at that time, based on a similar approval from a similar federally qualified health care center by a previous executive director.

Pursuant to a motion from Mr. Rabb that was adopted after a unanimous vote in the affirmative, the Board rendered the following opinion:

The Board approved the David Raines Community Health Center Pharmacy Policy No. 11-09 ~ Patient Prescription Delivery to Satellite Sites (August 30, 2013).
Pursuant to a petition considered during its May 2014 meeting, the Board considered the principles and several applications of medication therapy management in the practice of pharmacy relative to the scope of practice of pharmacy in Louisiana. Following substantial discussion during their deliberations on August 6, 2014, Mr. McKay moved to approve the declaratory statement as amended. The motion was adopted after a unanimous vote in the affirmative. The full text of the declaratory statement approved by the Board follows:

In response to multiple requests for opinions as to whether a variety of medication management activities are within the scope of practice of pharmacy, the Board now issues a Declaratory Statement relative to medication therapy management.

The Louisiana Legislature has established a definition of the ‘practice of pharmacy’ in the Louisiana Pharmacy Practice Act: it means and includes the compounding, filling, dispensing, exchanging, giving, offering for sale, or selling drugs, medicines, or poisons, pursuant to prescriptions or orders of physicians, dentists, veterinarians, or other licensed practitioners, or any other act, service operation or transaction incidental to or forming a part of any of the foregoing acts, requiring, involving or employing the science or art of any branch of the pharmacy profession, study, or training. [La. R.S. 37:1164(41)]

A review of the definition above reveals intentionally broad language to provide the latitude necessary for the Board to interpret its law and regulations to include contemporary practice standards which benefit the public’s health, safety and welfare.

As the education and practice of pharmacy has evolved, the pharmacy profession sought consensus on a description of a collection of professional services that may or may not include the dispensing of a drug or device. The term ultimately selected was Medication Therapy Management (MTM). In July 2004, the Joint Commission of Pharmacy Practitioners issued Medication Therapy Management – Core Elements of an MTM Service Model. The commission issued its second version of that document in March 2008. Appendix A of that document contains a description and definition of MTM:

Medication Therapy Management is a distinct service or group of services that optimize therapeutic outcomes for individual patients. Medication Therapy Management services are independent of, but can occur in conjunction with, the provision of a medication product.

Medication Therapy Management encompasses a broad range of professional activities and responsibilities within the licensed pharmacist’s scope of practice. These services include but are not limited to the following, according to the individual needs of the patient:

a. Performing or obtaining necessary assessments of the patient’s health status
b. Formulating a medication treatment plan
c. Selecting, initiating, modifying, or administering medication therapy
d. Monitoring and evaluating the patient’s response to therapy, including safety and effectiveness
e. Performing a comprehensive medication review to identify, resolve, and prevent medication-related problems, including adverse drug events
f. Documenting the care delivered and communicating essential information to the patient’s other primary care providers

It is important to note this service model is applicable in all sectors of pharmacy practice, and further, that such cognitive and non-dispensing services requires only a pharmacist license. No pharmacy permit is required. Evidence of this can be found in §525 of the Board’s rules relative to cognitive services. Pharmacist office-based practices already exist in this state and elsewhere in the U.S. Of course, pharmacies may also offer these services in conjunction with medication dispensing services.

“Cognitive Services” – those acts and operations related to a patient’s drug therapy that are judgmental in nature, based on knowledge, and derived from empirical factual information. Such services may include, but are not necessarily limited to, the following:

a. Drug regimen review, drug use evaluation and drug information;

b. Provision of advice and counsel on drug, the selection and use thereof (…) regarding the appropriateness, use, storage, handling, administration and disposal of drugs (…);

c. Participation in the development of policies and procedures for drug therapy (…) including storage, handling, administration and disposing of drugs and devices;

d. Assuring the compliance with all applicable laws, rules, and regulations;

e. Provision of educational and drug information sources (…); and

f. Accepting responsibility for the implementation and performance of review of quality-related or sentinel events.

[LAC 46:LIII.525.A]

It is also important to note that MTM services may be performed by a pharmacist without the necessity of a collaborative drug therapy management (CDTM) agreement with a physician; however, such an agreement may include MTM services and may actually facilitate or even improve the provision of such services.

“Collaborative Drug Therapy Management” – that practice in which a pharmacist voluntarily agrees with a physician to manage the disease specific drug therapy of one or more patients of such physician, within a predetermined range of medication selected by the physician and set forth in a patient specific written order set. Drug therapy management shall be limited to:

a. Monitoring and modifying a disease specific drug therapy;

b. Collecting and reviewing patient history;

c. Obtaining and reviewing vital signs, including pulse, temperature, blood pressure, and respiration;
The performance of some MTM services may bring a pharmacist close to the line of demarcation that exists between the scopes of practice of medicine and pharmacy; indeed, those inquiries have prompted the issuance of this declaratory statement. In an effort to provide guidance to pharmacists and help them maintain compliance with the laws governing the practice of pharmacy, the following clarifications are offered.

A. The pharmacist may interview a patient or his caregiver to collect a broad range of relevant information, including:
   - A current medication list and medication use history for prescription and nonprescription medications, herbal products, and other dietary supplements;
   - Relevant health data that may include medical history, health and wellness information, biometric test results, and physical assessment findings; and
   - Patient lifestyle habits, preferences and beliefs, health and functional goals, and socioeconomic factors that affect access to medications and other aspects of care.

B. With respect to the solicitation or ordering of laboratory testing, a pharmacist may offer general health screenings for blood glucose, cholesterol, or other assessments which bear a CLIA (Clinical Laboratory Improvement Amendments of 1988) designation of either waived or moderately complex. However, a pharmacist may not order an assessment bearing a CLIA designation of highly complex.
   - An exception to the restriction on the solicitation of highly complex laboratory testing could exist within a properly constructed CDTM agreement wherein a physician delegates his authority to the pharmacist to order highly complex laboratory assessments.
   - Another exception to the restriction on the solicitation of highly complex laboratory testing could exist in a practice setting of a hospital or other organized health care setting wherein the medical staff has approved policies and procedures authorizing pharmacists to order such tests.

C. With respect to the analysis or evaluation of results of laboratory testing, a pharmacist may perform such analysis and evaluation for the purpose of monitoring previously prescribed medication therapy; however, a pharmacist may not formally interpret such testing to establish a diagnosis.

D. A pharmacist may develop a medication treatment plan and submit such plan to the patient’s physician or other primary healthcare practitioner.
Title: Recording Patient Address on Prescriptions for Controlled Substances
Policy No. I.A.20

Approved: 08-12-2015

1. The requirement for the recording of the patient’s address on a written prescription for a controlled substance is found at LAC 46:LIII.2745.C.2.a.

2. The authority for a pharmacist to add or change certain data elements on prescriptions for medications listed in Schedule II is found at LAC 46:LIII.2747.B.4.b.

3. In response to a request received via email from a representative from Fred’s Pharmacies, Inc., relative to the use of a ‘back-tag’ adhesive label affixed to the back of the written prescription form in lieu of recording the patient’s address on the prescription form, the Board adopted the following opinion following a unanimous vote in the affirmative of the members present and voting:

   The Board interprets its rules, specifically §2745.C.2 and §2747.B.4.b, such that the prescriber has the primary responsibility for ensuring the accurate preparation of a prescription for a controlled substance, including recording the patient’s address. In the event a patient presents a written prescription form for a controlled substance to a pharmacist for dispensing, and it is apparent that the patient’s address is not recorded on the form, then the pharmacist has a corresponding responsibility to ensure the prescription form has been prepared correctly. §27.B.4.b describes the data elements the pharmacist may add to a Schedule II written prescription form, including the patient’s address, following a consultation with the prescriber and the appropriate documentation thereof. It is permissible for a pharmacist to attach transaction labels to prescription forms; however, those attachments are not the forms. Written prescription forms for controlled substances which do not contain the patient’s address when presented to the pharmacy shall be completed by the pharmacist or his designee in compliance with the provisions of §2747.B.4.b. The attachment of ‘back-tags’ in lieu thereof is not compliant with the Board’s rules.
1. Act 409 of the 2015 Legislature amended the Pharmacy Practice Act, more specifically at R.S. 37:1241(A) by adding two sections therein, to wit:

   (23) Has used an independent contractor to provide marketing services for the pharmacy to any practitioner, authorized prescriber, or prospective customer in Louisiana in exchange for compensation unless the compensation paid is an amount set in advance, consistent with fair market value, and not calculated based on the volume or value of actual prescriptions filled by the pharmacy.

   (24) Has dispensed or distributed any drug or device to any patient pursuant to a prescription written by a practitioner or a member of the practitioner’s group practice if the practitioner or an immediate family member of the practitioner has a direct or indirect financial relationship with the dispensing or distributing pharmacy, unless the financial relationship meets all of the requirements of R.S. 37:1745. Nothing in this Paragraph shall prohibit a practitioner or an immediate family member of a practitioner from having an ownership interest in a pharmacy.

2. Through its counsel, Fountain Park Pharmacy in Harvey, La. petitioned the Board for an advisory opinion on whether the activity described in (23) was applicable to all of the Louisiana-licensed pharmacy’s marketing activities, or in the alternative, to only those activities occurring within the state of Louisiana.

3. Following a presentation from the pharmacy’s counsel and subsequent deliberation, the Board adopted the following motion after a unanimous vote in the affirmative of the members present and voting.

   **Resolved, that the Board interpret La. R.S. 37:1241(A)(23) such that the marketing activities prohibited in the statute refer to activities conducted within Louisiana and do not address activities conducted outside the state.**
Title: Expense Report Guidelines

1. The statutory authority for this policy is RS 39:231.

2. The executive authority for this policy is Policy & Procedure Memorandum No. 49 (PPM-49).

3. Members of the Louisiana Board of Pharmacy traveling in the best interest of the State of Louisiana on Board business will be reimbursed per diem, transportation, lodging, meals, and services that meet reasonable and necessary standards. Such reimbursement for travel expenses shall be made on the basis of actual expenditures incurred up to the allowable limits as specified below. In these Expense Report Guidelines, “Board business” is defined as the duties of regulating the practice of pharmacy.

4. Travel
   a. Automobile – Personal automobile transportation is reimbursed on the basis of PPM-49. Parking is a legitimate and separate expense. When two or more Board members travel in the same vehicle, only one charge will be allowed for the expense of the vehicle.
   b. Airlines – When air transportation is required, the Board must utilize the services of the state-contracted coach airfares. When using the contract airfares, there are no restrictions or penalties. The contract airfares are to be used only for official Board business and cannot be used for companions or a spouse. A Board member may arrange his/her own travel provided the rate is less than the state rate.
   c. Other – The Board will reimburse travelers for taxis, subways, airport buses, or shuttles used to travel to and from airports or to access other destinations in the performance of Board business. In addition, gratuities paid to baggage handlers, taxi drivers, etc. will also be reimbursed. Such expenses should not exceed what is usual and customary, and should be paid by the Board member at the time of service and noted on the expense report. All expenses must be accompanied by receipts, with the exception of baggage handlers.

5. Per Diem
   The members of the Board shall receive a per diem of $75.00 per day while attending regular or called Board meetings or attending to official business of the Board, the provisions of RS 39:231 notwithstanding as defined in LAC 46:LIII.103.D. Travel days will be reimbursed transportation and actual expenditures based on the expense report guidelines.
6. Accommodations
The members of the Board must personally pay all expenses incurred during his/her stay at the hotel while attending official business of the Board. All accommodations must be pre-approved by the Board. The Board will reimburse the cost of the hotel room based on the meeting rate of a single occupancy rate and ancillary expenses according to the guidelines set forth below.
   a. The Board will reimburse costs when they are properly entered on an expense report and accompanied by an appropriate receipt, which must be attached to the report form.
   b. No telephone calls will be reimbursed.

7. Meals
   a. Based on budgetary constraints the Board has determined that the maximum allowable limits for meal reimbursement including gratuities shall be as follows:
      Breakfast - $15
      Lunch - $20
      Dinner - $40
   b. The Board should be charged the actual, reasonable, and necessary cost for meals, not the limit for each meal. If the Board or Board-approved travel provides group meal functions, i.e., breakfasts, luncheons, and/or dinners, there shall be no reimbursement for meals purchased independently at an alternate venue.
   c. All meal expenses must be documented by detailed receipts.
   d. Regular or called Board meetings may be subject to a reduced meal allowance according to the circumstances of the meeting and the length of the agenda, e.g., a one-hour committee meeting will not require a full day meal allowance.
   e. The Executive Committee reserves the right to adjust meal allowance rates.

8. Travel Advances
   No travel advances will be authorized by the Board. The only exception will pertain to airline travel.

9. Travel Committee
   The Travel Committee, comprised of the President, First Vice President, and Chair of the Finance Committee, shall function to review and recommend appropriate conventions, seminars, workshops, etc. The Finance Committee will review the Travel Committee’s recommendations and submit all reports for full Board approval.
Louisiana Board of Pharmacy

Title: Expense Report Guidelines

Approved: 08-20-2003

Policies & Procedures

10. Board-Approved Conventions
   a. The following annual events are Board-approved:
      National Association of Boards of Pharmacy (NABP) Annual Meeting
      NABP Executive Officers Conference
      NABP District VI Conference
      MALTAGO(N) Conference
   b. A budget allowance of not more than $2,000 per member per fiscal year has
      been approved by the Board. The allowance is non-transferable among
      Board members and cannot be carried over into the next fiscal year.

11. Travel Budget
   The Executive Director shall prepare a fiscally sound travel budget for approval
   by the Finance Committee, the Executive Committee, and the entire Board, on
   an annual basis.

12. Submitting Expense Forms
   Completed and signed expense reports shall be submitted on original
   forms, directed to the Board office, within 10 days of the function for which
   reimbursement is sought, and no later than one month after the event.

13. Exceptions
   Any exception to the policies contained herein must be approved in writing by the
   Executive Committee.
Revision History

04-22-1998  Original policy approved.

09-13-1998  Added the following:

4.b – A Board member may arrange his/her own travel provided the rate is less than the state rate.

10. – Board-Approved Conventions
   a. The following events are Board-approved:
      National Association of Boards of Pharmacy (NABP)
      Annual Meeting
      NABP Executive Officers Conference
      NABP District VI Conference
      MALTAGO(N) Conference
   b. A budget allowance of not more than $2,000 per member per fiscal year has been approved by the Board. The allowance is non-transferable among Board members and cannot be carried over into the next fiscal year.

02-20-2000  Amended Article 12.
   Completed and signed expense reports shall be submitted on original forms, directed to the Board office, within 10 days of the function for which reimbursement is sought, and no later than one month after the event.

08-20-2003  Amended Article 5
   The members of the Board shall receive a per diem of $75.00 per day while attending regular or called Board meetings or attending to official business of the Board, the provisions of RS 39:231 notwithstanding as defined in LAC 46:LIII.111, 113, and 115.103.D. Travel days will be reimbursed transportation and actual expenditures based on the expense report guidelines. Per diem will not be allowable for convention or symposium Board business.

Amended Article 7.d.
   Regular or called Board meetings as defined in LAC 46:LIII.111, 113, and 115 may be subject to a reduced meal allowance according to the circumstances of the meeting and the length of the agenda, e.g., a one-hour committee meeting will not require a full day meal allowance.
1. The statutory authority for the investment of state funds is RS 49:327.

2. The regulatory authority for permissible investments is LAC 71:I.501 et seq.

3. It shall be the policy of the Board to manage its assets by placing appropriate emphasis on the goals of safety of principal first, liquidity second, and yield third.

4. The Executive Director, or other agent designated by the Board, shall issue guidelines or instructions regarding how the funds deposited shall be invested.

5. The following securities and investments are authorized by the Board and shall be reviewed by the Board annually, semiannually, or quarterly.

   A. Direct United States Treasury obligation with a maximum maturity of five years, the principal and interest of which are guaranteed by the United States government.

   B. Bonds, notes, or debentures of indebtedness with a maximum maturity of five years issued by or guaranteed by federal agencies backed by the full faith and credit of the United States, which obligations include, but are not limited to:
      2. Farmers Home Administration
      3. Federal Housing Administration Debentures
      4. General Services Administration
      5. Government National Mortgage Association – guaranteed mortgage-backed bonds and guaranteed pass-through obligations
      6. U. S. Maritime Administration – guaranteed Title XI financing
      7. U. S. Department of Housing and Urban Development

   C. Bonds. Debentures or noted of indebtedness with a maximum maturity of five years issued by or guaranteed by United States government instrumentalities, which are federally sponsored, and such obligations include, but are not limited to:
      1. Federal Home Loan Bank System
      2. Federal Home Loan Mortgage Corporation
      3. Federal National Mortgage Association
      4. Student Loan Marketing Association
      5. Resolution Funding Corporation

   D. Time certificates of deposit of any bank domiciled in Louisiana up to the amount insured by the FDIC, unless the uninsured portion is collateralized by the pledge of securities in the manner provided in RS 39:1221.

   E. Mutual or trust fund institutions which are registered with the Securities and Exchange Commission under the Securities Act of 1933 and the Investment Act of 1940, and which have underlying investments consisting solely of, and limited to, securities of the United States government, or its agencies.
1. The statutory authority for the Reciprocity Committee is RS 37:1203.

2. The regulatory authority for the Reciprocity Committee is LAC 46:LIII.109.

3. The licensing manager shall review all applications for pharmacist licensure by reciprocity as well as any other information acquired from other sources about the applicant. When the application and all supporting materials are complete and demonstrate compliance with the licensure requirements, the licensing manager shall issue the license.

4. In the event the application or other information includes evidence of prior disciplinary history or other legal issues, the licensing manager shall refer the file to an administrative officer. Following the administrative officer's review of the file, the administrative officer may approve issuance of the license, or in the alternative, may refer the application to the full committee for its consideration.

5. In the event the committee has pending applications on its docket, the full committee shall interview the applicant and develop a recommendation to the Board relative to the fitness for licensure of the applicant.

   a. In the event the application is complete except for the report from the criminal background check, that shall not automatically delay the consideration of the application by the committee; provided, however, the issuance of the license shall require receipt and favorable review of that report.

6. During the Board meeting following any interview examination, the Reciprocity Committee shall submit to the Board for ratification the results of all reciprocity interview examinations.
Title: Reciprocity Committee

Approved: 11-09-2010

Revision History

08-15-2001 Original policy approved.
05-05-2004 Updated the regulatory citation in Article 2.
02-17-2005 Inserted Article 3.
11-09-2010 Inserted Sub-Article 5.a
02-12-2014 Amended Articles 3, 4, 5, and 6 to longer require interviews for all reciprocity applicants; however, applications bearing information deserving more scrutiny shall be referred to the full committee.
1. The statutory authority for the Reinstatement Committee is RS 37:1249.

2. The regulatory authority for the Reinstatement Committee is LAC 46:LIII.109.

3. Current regulations indicate the expiration date of licenses issued by the Board.
   a. The pharmacist license expires December 31 of each year.
      (LAC 46:LIII.505.A.4)
   b. The pharmacy technician certificate expires June 30 of each year.
      (LAC 46:LIII.807.D)
   c. The controlled dangerous substance (CDS) license expires one year after the date of issue. (LAC 46:LIII.2707.A.6)

4. Applications for licensure renewal placed in possession of authorized mail carriers, or received in the Board office, after the expiration date shall be referred to the Reinstatement Committee for its consideration.
   a. For credentials lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   b. For credentials lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.
   c. For credentials (other than CDS licenses) lapsed five years or more, the committee chair in consultation with the President shall have the discretion to notice the applicant to appear before the committee.
   d. For CDS credentials lapsed five years or more, the Executive Director shall consult with the committee chair, and further, shall notify the applicant’s primary licensing agency and the U. S. Drug Enforcement Administration of the applicant’s lapse and reinstatement.

5. The applicant shall submit the following items to the Board office no later than 30 days prior to any Administrative Hearing:
   a. properly completed application for renewal;
   b. copies of continuing pharmacy (cpe) education certificates submitted in support of CPE requirements;
   c. report of criminal background check, provided, however, that the non-receipt of said report shall not serve to automatically delay the consideration of the application by the committee;
   d. administrative hearing fee of $250, (RS 37:1184.a.ix);
   e. reinstatement fee of $200, (RS 37:1184.b.iii);
   f. any unpaid fees imposed by prior Board orders; and
g. any other fees incurred through non-renewal. The fee for credentials lapsed in excess of one year shall include the renewal fee and the delinquent fee in effect for each intervening year.

6. The committee will determine the conditions under which it will recommend to the Board the approval or denial of the application for renewal. The committee’s recommendation may include the successful completion of the Multistate Pharmacy Jurisprudence Examination (MPJE), additional supervised practical experience, additional continuing pharmacy education, or any other measures the committee may deem necessary.

7. All correspondence and/or communications relative to applicants shall be coordinated through the Board office.
Revision History

02-10-2000  Original policy approved.

04-26-2000  Added the following:
        4a.  For licenses lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
        4b.  For licenses lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.

05-05-2004  Updated regulatory citations in Articles 2, 3.2, and 3.b
            Technical corrections in Articles 3.b, 4.a, and 4.b ('credentials' for 'licenses').
            Added Article 4.c.
            Deleted Article 5.f.ii, due to deletion of enabling regulation.

02-21-2008  Added Article 5.c.

08-05-2009  Added Article 3.c.
            Amended Article 4.c to insert 'other than CDS licenses' after credentials
            Added Article 4.d

02-12-2014  Amended Article 4.c to no longer require mandatory committee appearances for all licensees lapsed five years or longer. Instead, staff will refer these applicants to the committee chair and president, who shall have the discretion whether to require a committee appearance or some other alternative requirement.
Title: Violations Committee – RS 46:2625 (MATF)  Policy No. I.B.6.a

1. The statutory authority for the Violations Committee is RS 37:1182.

2. The regulatory authority for the Violations Committee is LAC 46:LIII.109.E.

3. All committee procedures shall be in accordance with the Louisiana Administrative Procedure Act (RS 49:950 et seq).

4. In addition to federal and state pharmacy laws and regulations, the Committee is also charged with receiving and reviewing complaints of violations of RS 46:2625.

5. With respect to complaints received by the Board from the Louisiana Department of Health and Hospitals (DHH) alleging violations of RS 46:2625 by holders of permits issued by the Board, the following procedures shall be followed.

   a. When the Board has received the complaint from DHH, the Board shall, in 30 days, inform the registrant that the failure of the registrant to achieve compliance within 15 days shall subject the registrant to the sanction specified by law, i.e., suspension of the permit.

   b. When the registrant has achieved compliance, DHH will notify the Board in a timely manner.

   c. If the registrant has not achieved compliance in the time frame specified above, the Board shall notice the registrant to appear before the next meeting of the committee.
Title: Violations Committee – RS 46:2625 (MATF)  
Policy No. I.B.6.a

Approved: 05-05-2004  
Revised:

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Revision History

05-05-2004  Updated the regulatory citation in Article 2.
1. The regulatory authority for the Board to publish final adverse actions is found at LAC 46:LIII.355.

2. The Board shall publish all final adverse actions (name, license or permit number, charge, and sanction) in the official newsletter, except for reprimands, warnings, and all cases related to impairment.
Title: Violations Committee – Publication of Final Adverse Actions

Approved: 05-05-2004

Revision History

05-05-2004 Updated the regulatory citation in Article 1.
Title: Violations Committee – CE Audits/Cases

1. The statutory authority for continuing education (CE) is RS 37:1210.

2. The regulatory authority for CE is LAC 46:LIII.507 and 909.

3. The Board staff will measure compliance with CE requirements by auditing CE records. In particular, they are authorized to conduct desk audits following renewal periods for pharmacists and technicians. In addition, the compliance officers may review CE records in pharmacies during their inspections.

4. In an effort to provide guidance to staff as they address situations where they discover noncompliance with relevant CE regulations, the following courses of action shall be followed:

   A. **Board Office Desk Audits**

      1. **First Offense** – issue Letter of Noncompliance, and place licensee in pool for mandatory audit. If results of next mandatory audit are acceptable, return licensee to random pool.

      2. **Second Offense** – offer Voluntary Consent Agreement with the following terms:

          a. Letter of Reprimand – to be published in newsletter.

          b. Assessments:

             i. Administrative Hearing Fee – $250.

             ii. Investigative costs – to be determined.

          c. Fine:

             i. $250 for deficits from 0-5 hours.

             ii. $50 for each additional hour over 5 hours.

          d. Corrective Action – provide 15 hours of ACPE-accredited CE within 30 days of execution of agreement.

          e. Mandatory Audit – if results of next mandatory audit are acceptable, release licensee to random pool.

      3. **Third Offense** – automatic referral to Violations Committee.

   B. **Compliance Officer Field Audits**

      If the licensee does not respond to the compliance officer’s field directive within the specified time frame, the Board staff will issue a Letter of Noncompliance and place the licensee in the pool for mandatory audit. If results of next mandatory audit are acceptable, return licensee to random pool. If results are not acceptable, follow procedures for second offense.
Section II – Personnel

A. General Statements
B. Employee Conduct & Ethics
C. Employment Records & Performance
D. Employee Leave
E. Regulations
F. State Property
G. Information Technology
H. Discrimination, Harassment & Grievances
I. Safety
1. The Louisiana Board of Pharmacy operates under a continuous and affirmative concept of equal employment opportunity for all persons, regardless of race, color, religion, age, gender, sexual orientation, political affiliation, national origin or ancestry, marital status, physical or mental impairment, veteran status, or other non-merit factors.

2. All persons are recruited, selected, placed, compensated, and otherwise treated during employment without regard to non-job-related factors.

3. All employees in the Louisiana Board of Pharmacy are responsible for complying with this policy and for supporting its implementation according to their level of responsibility and authority.

4. All employees with any responsibility for personnel actions such as recruiting, screening, appointing, training, or supervising will be evaluated on the basis of their equal employment opportunity efforts.

5. An employee who wishes to file a complaint alleging discrimination shall adhere to the policy entitled Procedure for Complaints for Discrimination or Harassment.
1. The statutory authority for the inspection of drugs is found at LRS 37:1182.A.14.

2. The statutory authority for the inspection of pharmacies is found at LRS 37:1182.A.15.

3. The regulatory authority to conduct investigations of complaints is found at LAC 46:LIII.323.A.

4. The Board interprets the above statutes and rule such that compliance officers are authorized and permitted to take, obtain, record, collect, and maintain photographic and other visual images during their inspection and investigation activities.
1. The statutory authority for the Board to engage employees is RS 37:1182.B.6.

2. The regulatory authority for Board employees is LAC 46:LIII.107.F.

3. The authority of the Louisiana Department of State Civil Service relative to state employees is derived from Article X of the Louisiana State Constitution.

4. The Civil Service Rules of Pay are found in Chapter 6 – Pay Plan.

5. Civil Service Rule 6.5.b.1 authorizes an appointing authority to institute Special Entrance Rates (SER) for current employees, provided that the Civil Service Commission has approved the rate during a regularly scheduled meeting.

6. The Board reviewed the current salary structure for its administrative and professional personnel. They also reviewed responses to recent job announcements as well as the current job market and general economic conditions. They determined the appointing authority should have flexibility in the maximum hire rate for certain of its classified employees.

   a. For the following positions in the Administrative Services (AS) classification, the appointing authority may use a SER in the first quartile of the pay grid for the position.
      i. Administrative Coordinator 1 (AS 605)
      ii. Administrative Coordinator 3 (AS 609)
      iii. Licensing Analyst 2 (AS 611)
      iv. Administrative Assistant (AS 609)

   b. For the following positions in the Medical Services (MS) classification, the appointing authority may use a SER in the third quartile of the pay grid for the position.
      i. Pharmacist Compliance Officer (MS 525)
      ii. Pharmacist Chief Compliance Officer (MS 527)
      iii. Pharmacist Chief Operations Officer (MS 528)

   c. The following factors, when present, may justify consideration of a SER for a new hire:
      i. A qualified applicant with exceptional qualifications; or
      ii. Prevailing salaries for comparable positions in the private sector;

   d. In the event the appointing authority intends to offer a special entrance rate to a new hire, he shall first obtain approval from the Board’s President.

7. Civil Service Rule 6.16.2.b authorizes an appointing authority to grant an employee a pay increase of up to 10% of the employee’s base pay to reduce compress, realign pay between comparable employees, or alleviate supervisor/subordinate pay inversions caused by job and pay plan changes.
Title: Special Entrance Rates for Salaries
Policy No. II.A.6

Approved: 11-06-2013

Revised: 11-18-2015

a. Current employees with annual salaries below the level of a new employee’s entrance rate shall be raised to the new employee’s rate, provided the increase is no greater than 10% of the current employee’s salary.

b. This policy shall apply to all full-time classified employees with permanent status. The employee must have a current overall Performance Evaluation System (PES) rating of “Exception,” “Successful” or equivalent to be eligible for an Optional Pay Adjustment.

c. Employees who are at range maximum are not eligible to receive a base increase.

d. This policy shall become effective upon Civil Service Commission approval.
Adherence to established administrative channels is a necessary practice to operate a resourceful and effective organization. To this end, it is appropriate for an employee to first discuss office issues with their immediate supervisor. Employees should follow the Louisiana Board of Pharmacy’s chain of command, unless specific circumstances dictate otherwise.
All employees of the Louisiana Board of Pharmacy are paid by and work for the citizens of Louisiana and are expected to perform their duties and conduct themselves in a highly professional manner at all times. Employees must recognize the practice of competence, honesty, and professionalism, which are necessary if we are to enjoy the confidence of the public and those public bodies and officials we serve.

Limited resources will always require performing our duties in a highly efficient and competent manner. Sound judgment must be employed at all times and in all circumstances. Employees are expected to conduct themselves, on and off duty, in a manner as not to impugn the character and integrity of the individual or the department.

Employees shall take advantage of every opportunity to increase their knowledge and improve their skills relative to the position held and the tasks to which they are assigned.

As an employee, you are to hold the highest degree of professional conduct and integrity promulgated by the Louisiana Board of Pharmacy.

All employees shall adhere to the ethical standards established by the Louisiana Code of Governmental Ethics.
Employees are free and encouraged to exercise their individual rights as citizens, to cast their vote for whomever they please, and their opinions are private.

As per Civil Service Rule 14.1:

“no employee in the classified service shall participate or engage in political activity, or:

Be a candidate for nomination or election of public office, except to seek election as the classified state employee serving on the State Civil Service Commission.

Be a member of any national, state, or local committee of a political party or faction.

Take active part in the management of the affairs of a political party, faction, candidate, or any political campaign, except to exercise his right as a citizen to express his opinion privately, to serve as a commissioner or official watcher at the polls, and to cast his vote as he desires.

Take active part in an effort to recall from office an elected public official, or seek, solicit or attempt to coerce any person including any employee in the classified service and any member of the Commission into participating in any such effort or signing a recall petition except that nothing contained herein shall prevent an employee in the classified service or member of the Commission from signing a recall petition.”

For further information on this topic, the employee should consult Civil Service Rule 14.1(e).
Title: Legislative Activity
Policy No. II.B.4

Approved: 05-11-2005

All departmental legislative activity, such as responding to legislative requests and drafting legislation, shall be coordinated with the Appointing Authority.

Employees engaging in personal legislative activity, in advance of the activity, shall advise the Appointing Authority of such activity. The employee shall take annual leave, compensatory leave, or leave without pay, and shall advise the legislative body that such activity is personal and not reflective of the position that employee holds at the Louisiana Board of Pharmacy.
As integral employees of the Louisiana Board of Pharmacy, you are expected to accept certain responsibilities, adhere to acceptable business principles in matters of personal conduct, and exhibit a high degree of personal integrity at all times. This not only involves sincere respect for the rights and feelings of others, but also demands, both in business and personal life, that employees refrain from any behavior that might be harmful to him/her, co-workers, or the Louisiana Board of Pharmacy. Employees of the Louisiana Board of Pharmacy are expected to comply with accepted standards of personal conduct.

Whether on duty or off, an employee’s conduct reflects on the Louisiana Board of Pharmacy. An employee is consequently encouraged to observe the highest standard of professionalism at all times. Types of behavior and conduct that the Louisiana Board of Pharmacy considers inappropriate include, but are not limited to, the following:

1. Excessive absenteeism or tardiness;
2. Leaving the work premises during working hours without permission;
3. Failing to report absence as required by individual departmental policy (e.g., not calling in by specified time);
4. Failing to return from leave of absence as scheduled;
5. Improper use of sick leave;
6. Failure to follow established work procedures;
7. Insubordination and/or refusal to follow instructions of a supervisor;
8. Smoking in an unauthorized area;
9. Failure or inability to produce quality and/or quantity of work desired;
10. Restricting one’s own production or interfering with the work or production of another employee. Visiting or interfering with others while at work;
11. Loafing, roaming, loitering, or leaving workstation without proper notification;
12. Sleeping on the job;
13. Conducting excessive personal business during office hours;
14. Fighting or committing an assault;
15. Using obscene, abusive, or threatening language or gestures;
16. Gambling on the premises;
17. Using or being under the influence of intoxicants or narcotics on premises or while on duty for the Louisiana Board of Pharmacy;
18. The illegal use, or possession, distribution, manufacture, or sale of controlled substances by employees at the work site, or while the employee is on official state business, on duty or on call for duty;
19. Disorderly, offensive, or immoral conduct;
20. Concealing, removing, falsifying, or destroying employment or other official Board records;
21. Stealing or committing any criminal offenses on premises;
22. Violating safety and/or security regulations;
23. Unauthorized use of office supplies, materials, equipment, tools, or machinery;
24. Horseplay or use of machinery, equipment, or tools in a hazardous manner;
25. Damage to or improper use of property either willfully or through gross negligence;
26. Possessing unauthorized firearms, weapons, explosives, etc. on premises;
27. Failing to make immediate report of an occupational injury/illness – injuries or accidents occurring while on duty shall be reported by the close of that business day;
28. Unauthorized possession of State property;
29. Disclosure of confidential information to unauthorized persons, i.e., failing to maintain the confidentiality of Board or employee information;
30. Soliciting or accepting gifts or gratuities as prohibited by the State of Louisiana Code of Governmental Ethics. State employees are prohibited by the State Code of Ethics from soliciting or accepting anything of economic value as a gift or gratuity from any person if the employee knows or reasonably should know that the person:
   • Has or is seeking to obtain contractual or other business or financial relationships with the Louisiana Board of Pharmacy, or
   • Is seeking, for compensation, to influence the passage or defeat of Legislation by the Louisiana Board of Pharmacy;
31. Failure to account for State funds or property by the responsible employee;
32. Violation of institutional regulations and policies;
33. Engaging in political campaigns or using the job for political purposes will result in immediate dismissal. An employee may serve as a commissioner or an official poll watcher at the polls in any election;
34. Employees are required by federal law to notify the Appointing Authority within five (5) working days of conviction under any criminal statute where such conviction occurred in the workplace, while on official business, during work hours, and/or when on call for duty; and
35. Supervisors who fail to report delinquency or misconduct, or fail to take proper action in such cases because of friendship or other personal reasons, or because they do not agree with the disposition made of certain cases, are not only evading their responsibility but also acting contrary to the best interests of the Louisiana Board of Pharmacy and will be subject to disciplinary action.

When work performance, work habits, overall behavior, conduct or demeanor become unsatisfactory in the judgment of the Louisiana Board of Pharmacy, based on violations of either any of the above or of any other Louisiana Board of Pharmacy policies, rules, or regulations, the employee shall be subject to disciplinary action, up to and including termination of employment.
Given that the Louisiana Board of Pharmacy is a state agency, all documents are generally considered public records unless exempt under La. R.S. 44:1 et seq. However, it is the policy of the Louisiana Board of Pharmacy to ensure that the operations, activities, and business affairs of the office and our customers are kept confidential to the greatest possible extent, including any and all investigative files, medical records, patient information, social security numbers, and dates of birth.

If during the course of employment, employees acquire confidential information about the Louisiana Board of Pharmacy, its employees, or customers, such information is to be handled in strict confidence and not to be discussed with others. Employees are also responsible for the internal security of such information.

Employees found to be violating this policy are subject to disciplinary action, up to and including termination, and may be subject to civil and/or criminal penalties for violations.
Employees of the Louisiana Board of Pharmacy are expected to be well groomed and dress in a professional manner. Remember to conduct yourself at all times in a way that best represents you and the office.

The Board has defined proper attire as follows for its staff:

Women: Slacks, skirts, or dresses are appropriate. Shorts, leggings, mini-skirts, halter-tops and tennis shoes or sneakers are not appropriate.

Men: Suits, sport coats, ties, polo, button front dress shirts and pants may be worn to maintain a professional appearance. Tennis shoes or sneakers are not appropriate. Facial hair such as beards and sideburns must be neat, clean, and well trimmed.

Students: Casual attire is appropriate. Jeans are appropriate; however, faded, worn down jean are not acceptable. Inappropriately printed T-shirts, flip flops, muscle-shirts, tank tops, shorts, leggings, sweatpants, mini-skirts, and halter-tops are not appropriate. If there is a Board or Board committee meeting, dark denim, khakis, or other casual pants of the same quality should be worn. Facial hair such as beards and sideburns must be neat, clean, and well-trimmed.

Fridays: Casual attire may be worn. Jeans, khakis, or other casual pants of the same quality may be worn; however, faded, worn down pants are not acceptable. Inappropriately printed T-shirts, flip flops, muscle shirts, tank tops, shorts, leggings, sweatpants, mini-skirts, and halter-tops are not appropriate.

If an employee has business outside the office, please adhere to the above dress code.

Exceptions to the above policy may be approved in advance by your supervisor, upon a showing of good cause.

A supervisor is authorized to send an employee home if the attire does not meet these professional standards. Always remember the Louisiana Board of Pharmacy is a professional organization and these provisions should be interpreted with that in mind.
Title: Dress Code

Approved: 05-11-2005

Policy No. II.B.7

Revised: 08-14-2013

Revision History

08-14-2013 Added sneakers as an example of inappropriate attire. Removed the suggestion for hosiery.
Professional Customer Care

The first contact that many people have with the Louisiana Board of Pharmacy is by telephone. All employees should contribute to the reputation of our office by providing professional quality customer care.

You should always strive to offer whatever assistance is necessary in directing callers, not only to the proper person in the office, but to other agencies, if appropriate. For many callers, the telephone conversation is the only impression they will have of the Louisiana Board of Pharmacy.

Whenever answering an incoming call, use a pleasant, professional, and courteous business-like tone of voice. The proper way to greet a caller is:

“Good morning/afternoon, Louisiana Board of Pharmacy, this is “name”, how may I direct your call?”

All employees should be knowledgeable about the operation of the phone system and should keep a copy of all employees’ telephone numbers within easy access.

Personal Calls

Employees shall keep the phone lines open for business calls; however, incoming and outgoing personal phone calls are allowed. Please use your discretion when making or receiving these calls. If the Appointing Authority and/or supervisor suspects abuse of this privilege, that employee may be subject to loss of all privileges.

Voicemail

Employees are provided access to the State Octel Voice Messaging System. All employees are to check their voicemail messages at least once in the morning and once in the afternoon. Employees will need to access their voicemail messages using a 4 digit code that is at the employees discretion; however, all 4 digit codes shall be sent to the Office Manager and shall be placed in the employees personnel record.

Monitoring

Per the Federal Employee Privacy Laws and Regulations, Electronic Communications Privacy Act, the Louisiana Board of Pharmacy is permitted to monitor an employee’s business telephone conversation, as well as voicemail messages, including those that are stored in the internal telephone system, provided the Louisiana Board of Pharmacy has notified the employee and the employee has given his/her prior signed consent.
The Louisiana Board of Pharmacy is not permitted to monitor or record an employee's personal telephone conversation, nor listen to a personal voicemail message, including those that are stored in the internal telephone system, regardless of whether the Louisiana Board of Pharmacy suspects that the employee is violating the company's policy regarding telephone use.
Any employee who illegally uses, possesses or distributes drug, whether on or off duty, is not suitable for employment by the Louisiana Board of Pharmacy and is subject to immediate termination from employment.

Employees are required by federal law to notify the employing state agency head or designee within five (5) working days of conviction under any criminal drug statute. Any employee who is convicted of violating any criminal drug statute may be subject to discipline and/or a directive to participate in a rehabilitation program.

Employees are the State of Louisiana’s most valuable resource and their health and safety is a serious concern. The State of Louisiana will not tolerate any substance abuse or use which imperils the health and well being of its employees or threatens its services to the public.

The use of illegal drugs and abuse of alcohol or other controlled substances, on or off duty, is inconsistent with law abiding behavior expected of all citizens. Employees who use illegal drugs or abuse alcohol or other controlled substances on or off duty, tend to be less productive, less reliable, and prone to greater absenteeism resulting in the potential for increased cost, delay, and risk in providing services. Ultimately, they threaten the State’s ability to serve the public.

Furthermore, employees have the right to work in a drug and alcohol free environment and to work with persons free from the effects of drug or alcohol abuse. Employees who abuse drugs or alcohol are a danger to themselves and to other employees. In addition, substance abuse inflicts a terrible toll on the State’s productive resources and the health and well being of Louisiana workers and their families.

The State of Louisiana is committed to maintaining a safe and healthy workforce free from the influence of substance abuse. In addition, the State of Louisiana shall comply with the requirements of the Federal Drug-Free Workplace Act of 1988.
All classified employees are appointed in accordance with State Civil Service regulations. Each position has been analyzed to determine the proper classification or job title. Based on this classification, the Department of State Civil Service sets the minimum qualification requirements and the pay range to which the position is assigned. Some positions may have special requirements, e.g., a valid driver's license or the ability of type 40 words per minute.

The General Counsel is responsible for representing the Louisiana Board of Pharmacy in matters related to the Department of State Civil Service. All official correspondence and contact with the Department of State Civil Service shall be handled by the Office Manager. This policy is not intended to deprive any employee from the right to contact the Department of State Civil Service concerning any problem affecting them individually, provided the employee does not indicate that he/she is representing the Louisiana Board of Pharmacy.

A classified employee's salary is based on the pay grade assigned to the Civil Service classification to which he/she is assigned. Each position is allocated based on job duties. Pay grades are assigned to each classified position and include a minimum and maximum salary. The Louisiana Legislature appropriates funds for special raises, which the Governor must sign into effect.

There are six pay grades in the Civil Service system. They include the following:

- AS – Administrative Services
- MS – Medical Services
- PS – Protective Services
- SS – Social Services
- TS – Scientific & Technical Services
- WS – Technicians & Skilled Trades

The minimum and maximum salary of each pay grade are set by the Department of State Civil Service.
No individual will be deprived of, or granted, an employment opportunity, promotion, or transfer opportunity due to their race, color, religion, sex, sexual orientation, national origin, political affiliation, or disability.

**New Employees**

New employees will familiarize themselves with the Policy & Procedure Manual. Questions regarding an office policy or procedure should be directed to the Office Manager or Appointing Authority.

Consent to a background check is a condition of employment within the Louisiana Board of Pharmacy.

Each new employee shall be processed through the Office Manager and complete personnel data records, payroll withholding forms, group insurance selection and retirement system forms and any other forms deemed necessary.

All full-time employees must obtain an identification card issued by the Office Manager. The ID card, which contains a photograph of the employee, remains the property of the Louisiana Board of Pharmacy.

**Termination (Voluntary or Involuntary)**

Employees desiring to voluntarily terminate their employment are urged to notify the Louisiana Board of Pharmacy at least two weeks in advance of their intended termination. Such notice should preferably be given in writing to the immediate supervisor and the Office Manager. The notice should be addressed to the Appointing Authority and then forwarded to the Office Manager for processing. Proper notice allows the Office Manager time to prepare your final payroll documents and to calculate any accumulated leave to which you may be entitled. Employees who are terminated for any reason, voluntary or involuntary, shall be paid wages due on or before the next regularly scheduled payday, or within fifteen (15) days of termination, whichever occurs first.

Employees who are planning to retire should notify the Office Manager a minimum of three months in advance. This will allow ample time to file the application for retirement and other supporting documentation. Employees eligible for Social Security should contact their local Social Security Administration office at least three months in advance of their expected retirement date to allow for processing of the related Social Security documents.
All temporary appointments (restricted, intermittent, job appointments, probational, and provisional appointments) are on an “at will” basis and may be terminated at any time with no reason given.

Permanent employees may also be non-disciplinarily terminated in accordance with Civil Service Rule 12.6 when

- They exhaust sick leave and are still not able to report to work;
- When they fail to maintain a required license; or
- When they have seven or more unscheduled absences during any consecutive 26 week period. For more information, see the Unscheduled Absence provisions of Civil Service Rule 12.6.

Permanent classified employees may be terminated for cause or by an approved lay off in accordance with Civil Service Rules. Although it is hoped the relationships with employees are long-term and mutually rewarding, the Louisiana Board of Pharmacy reserves the right to terminate employee relationships in accordance with applicable Civil Service Rules. For example, if an employee who is required to drive as part of the essential duties of the position has his/her license revoked or suspended, the employee may be subject to non-disciplinary removal because the employee is no longer able to carry out the duties of the position.

Exit interviews are held with the Appointing Authority. This is usually done on the last official day of work. The purpose of this interview is to review eligibility for continuation of benefits and conversion to ensure that all necessary forms are completed, to collect all Louisiana Board of Pharmacy property including, but not limited to, all office equipment, office keys, building access cards, identification card, board-owned cell phone, badge, and the Policy & Procedure Manual, and to provide the employee with an opportunity to discuss their job-related experiences. The terminated employee shall complete the exit interview before receiving a final paycheck.
Title: Employment

Policy No. II.C.2

Approved: 05-11-2005

Revised: 08-14-2013

Revision History

08-14-2013  Updated the unscheduled absence rule to conform to the revision in the Civil Service rules.
Full-time employees are entitled to receive certain benefits and earn annual and sick leave on a continual basis in accordance with policies set forth by the State of Louisiana.

**Health Insurance**

New employees must enroll in a group benefit plan within the first 30 days of employment. If this deadline is missed the employee may still enroll as a late applicant, but they must provide proof of insurability, which is subject to approval by the insurance plan selected. Also, a pre-existing condition clause may be imposed on the applicant for a period of one year from the date of coverage. The portability law may be applicable in some cases for late applicants who had other health insurance coverage within 60 days prior to the effective date of coverage with the Louisiana Board of Pharmacy health plan. If an employee declines to enroll in health insurance a waiver of coverage must be filled out within the first 30 days of employment.

IMPORTANT: A new enrollment form must be completed for each new dependent within 30 days after acquiring the new dependent (birth, adoption, marriage, etc.). Failure to comply with this rule will subject your dependent to the pre-existing condition clause even if adding the new dependent does not result in a change in classification of coverage of the premium.

NOTIFICATION OF CHANGE ERROR: It is the employee’s responsibility to notify the program of any change or error in classification of coverage or any other error affecting his contribution amount. Any failure later determined will be corrected on the first of the following month. All refunds shall be limited to six months from the date notice is received by the Office of Group Benefits.

Employees may change their health care provider every year during open enrollment only, which is held every year beginning October 1st. Dates are subject to change. All changes executed in the month of October will become effective January 1 of the current year, through December 31 of the following year.

Because health care providers change on a yearly basis, please see the Office Manager for the most current up-to-date health care providers in your area.

**Retirement**

Classified employees or unclassified employees who were members of LASERS prior to July 1, 1991 are eligible for membership in LASERS. Full-time employees are automatically enrolled in the Louisiana State Employees’ Retirement System (LASERS). Certain employees are not eligible for membership in LASERS: part-time (20 hours or
less per week) and temporary employees (restricted job appointments). Persons who are age 60 or older at the time of employment have the option to join LASERS, if they meet all other eligibility requirements. If employment is terminated prior to retirement, the employee can request a refund of retirement contributions. The employee must be out of state service at least 30 days to obtain a refund. Since retirement contributions are tax deferred, taxes and related penalties will apply to cash refunds.

For more information about Louisiana State Employees Retirement System (LASERS), please visit their home page at [http://www.lasers.state.la.us](http://www.lasers.state.la.us).

**La Capitol Federal Credit Union**

La Capitol Federal Credit Union offers a wide array of financial products to all state employees. Because this is a not-for profit, they are able to offer products at low costs. For membership or service information, check out their website at [http://www.lacapfcu.org](http://www.lacapfcu.org), email securemail@lacapfcu.org, or visit any office.

**START Savings Program**

The Office Manager can setup payroll deductions for the Louisiana Tuition Trust Authority’s START Saving Program. The program is a college savings plan for children and qualifies as a Qualified Tuition Program under Section 529 of the Federal Internal Revenue Code.

For enrollment and information, interested employees should contact the START Saving Program at 1-800-256-5625 or access the START portal by logging on to the LOSFA website at: [http://www.osfa.state.la.us](http://www.osfa.state.la.us).

**Worker’s Compensation**

Employees are covered by workers compensation, which provides for payment of medical expenses and partial salary payments in the event of an approved work-related injury or illness. The amount of the benefits payable and the duration of payment depend on the nature of the injury or illness and the employee’s salary. In general, usual and customary medical expenses incurred in connection with an injury or illness are paid and partial salary payments are provided beginning after the seven-day waiting period.

For more information concerning employee benefits, please contact the Office Manager.
Revision History

08-14-2013  Updated dates of the plan year as stipulated by the State Employees Group Benefit Plan (SEGBP).
At the Louisiana Board of Pharmacy “Official Personnel Files” for all employees are kept in a secure area in the office of the Office Manager.

The use of personnel files is generally restricted to formal institutional meetings, normal administrative requirements, or cases otherwise required by law. Employees shall be notified prior to the release of information to an outside individual or agency unless the employee has previously signed an authorization to release the information in question.

Documents contained in the personnel files are separated into public files and confidential files. The public file is accessible by the public under applicable public records law; the confidential file is not accessible by the public. Should a request be made to inspect or copy any document in the public files, the employee has the right to request that his/her address and phone number not be disclosed. Furthermore, an employee’s Social Security Number and date of birth are not subject to the Public Records Act (La. R.S. 44:1-427).

The public file shall include the following documents, if applicable:

- SF-10 application form; resume
- Employee name, job title, pay
- Record of attendance
- Annual leave slips
- Sick leave slips and absence records, except certain types of sick leave and the reasons therefore may be private depending on the particular case
- Reports of internal investigations
- Appointment affidavits
- Letters of recommendation
- Records related to appointments
- Records related to changes in status or position (promotion, reassignment, etc.)
- Copy of the current position description
- Drug-Free Workplace acknowledgement statements
- Copies of Employee Notification Forms (Personnel Action Forms)
- Records of completed training courses
- Certifications and licenses
- Letters of commendation
- Acknowledgement forms regarding Board policies
- Letters supporting formal disciplinary actions
- Pre-discipline notices only if disciplinary action resulted
- Birth certificate
- Death certificate
- Driver’s license (except SSN is confidential)
Confidential files shall include the following documents, if applicable:

- Employee Social Security Number; SS Form SSA-1945 (effective 12-2004)
- Employee address and phone number when confidentiality requested
- High school and college transcripts; Civil Service grades
- Tax withholding information
- Bank information
- Scores and notes of interview panel members
- Performance appraisal forms and overall ratings
- Medical records
- Paycheck deductions
- Insurance documents such as claim forms, application forms, requests for payment of insurance benefits
- Beneficiary information for insurance, retirement, etc.
- Health and life insurance enrollment forms, including beneficiary designation forms
- Internal grievance documents
- E-2 Pre-Existing Condition forms
- Retirement membership forms
- Employment verification forms
- Pre-discipline notices if no disciplinary action resulted
- Documents concerning garnishments, child support, and tax levies
- Biographical data sheets that contain information such as address, phone number, date of birth, race, sex, and marital status
- Letters of counseling and letters of reprimand for the employee

If applicable, a worker’s compensation file is maintained in the Human Resources Office for each employee who files an accident/incident report under the worker’s compensation program.

If applicable, a FMLA file is maintained in the Human Resources Office for each employee who files for FMLA benefits.

In addition, your supervisor can maintain a confidential supervisory file as well. This file should contain the supervisor’s notes about an employee’s performance, supervisor’s copies of leave slips, medical releases, letters of reprimand or counseling, and investigative documents. The supervisor’s productivity file is not accessible by anyone but the supervisor. The employee does not have the right to review its contents.
An employee may examine his/her “Official Personnel File” during normal working hours in the presence of the Office Manager. The employee may obtain copies of any materials in his/her file(s) for the standard cost of copying as outlined in the Louisiana Administrative Code. Unless noted otherwise by the employee on the personal data sheet, an employee’s home address and phone number will be considered public record.

Care should be taken to ensure that personnel files exclude inappropriate or extraneous material.

To ensure that your employment records are up-to-date at all times, please notify the Office Manager of any changes in your name, telephone number, home address, marital status, number of dependents, beneficiary designation, additional education or training completed, and emergency contact person as soon as possible.
The office of the Louisiana Board of Pharmacy is open from 8:00 am to 4:30 pm Monday through Thursday and from 8:00 am to 4:00 pm on Friday.

1. Lunch

   A. Each employee who works an eight hour day shall be granted a thirty minute lunch break each day.
   B. An employee is not allowed to work during their lunch break unless absolutely necessary. If absolutely necessary, the employee must have prior approval from the Appointing Authority before doing so. If prior approval was not given, the employee is on his/her own time during this period and he/she will not be paid overtime.
   C. In order to provide sufficient time for the entire office staff to have a lunch break, the supervisors shall ensure that no lunch break shall begin prior to 10:30 am or extend past 2:30 pm. However, supervisors may authorize variations in this range when such variations are in the best interest of office operations.

2. Breaks

   A. Each employee who works a four hour day shall be granted one fifteen minute paid work break or rest period.
   B. Each employee who works an eight hour day shall be granted two fifteen minute paid work breaks or rest periods.
   C. Each employee who works an eight hour day may combine the thirty minute lunch break along with the two fifteen minute breaks for a total of a one hour lunch break. However, no employee should ever leave a customer waiting by going to lunch and/or on a break.

3. Outside Normal Office Hours

   If circumstances require an employee to vary their work schedule from the normal office hours, a written request shall be sent to the Appointing Authority for approval.
Revision History

08-14-2013 Established a range of time for lunch breaks in Item 2 as well as the right of a single work break for the employee working four hours per day.
To ensure that accurate records are kept of the hours employees actually work (including overtime hours worked where applicable) and of the accrued leave time taken, and to ensure that employees are paid in a timely manner, employees based in the office shall use the time clock system, and employees based at home are required to complete a Daily Attendance and Leave Record Form. At the end of the pay period, the time should be reported as it was worked with any leave taken reported to their immediate supervisor within ten (10) business days following the end of each pay period.

Daily Attendance and Leave Record Forms shall then be submitted by the immediate supervisor to the Office Manager for processing within three (3) business days. No employee is permitted to date, complete and/or sign a Daily Attendance and Leave Record Form for another employee.

Falsification of payroll records is a breach of Louisiana Board of Pharmacy policy, a violation of state law, and shall constitute an adequate basis for disciplinary action, including termination for payroll fraud.

**Absenteeism**

The Louisiana Board of Pharmacy expects all employees to assume diligent responsibility for their attendance and promptness. Should an employee be unable to report to work because of an illness, the immediate supervisor or Appointing Authority shall be notified within thirty minutes of expected time of duty, unless it is an extreme circumstance. Failure to properly notify the immediate supervisor or Appointing Authority may result in an unexcused absence.

If an employee is absent for more than three consecutive days, a statement from a health care professional is required before being permitted to return to work. The Louisiana Board of Pharmacy reserves the right to require an employee to be examined by a health care professional designated by the Louisiana Board of Pharmacy at its discretion, especially where abuse is suspected, e.g., or example, when an employee’s leave record indicates a pattern of absences and/or frequent absences before or after holidays or weekends.

For the office to operate efficiently, each employee shall be at their place of assignment at the scheduled time. When an employee is away from the office on business, their immediate supervisor should be aware of the employee’s whereabouts at all times. Absenteeism that is unexcused or excessive in the judgment of the Louisiana Board of Pharmacy shall constitute an adequate basis for disciplinary action, up to and including dismissal.
Tardiness

Employees are expected to be punctual. It is understood that common problems do occur; however, an employee who is excessively tardy for an extended period of time may result in leave without pay during the actual period(s) of time he/she was late and could further lead to disciplinary action or discharge. Tardiness that is unexcused or excessive in the judgment of the Appointing Authority shall constitute an adequate basis for disciplinary action, up to and including dismissal. Excessive tardiness on the part of any employee may be considered when recommending salary increases or promotions.
Title: Attendance
Approved: 05-11-2005

Revision History

08-14-2013  Added requirement for office-based employees to use time clock system, and home-based employees to continue to use paper time sheets.
With respect to those Board employees serving in the classified state civil service system, they shall receive an annual performance appraisal in compliance with the relevant rules of the Dept. of State Civil Service. Any performance adjustments granted shall comply with the relevant rules of the Dept. of State Civil Service.

With respect to those Board employees serving in unclassified positions, the Appointing Authority shall determine whether and when to conduct an annual performance appraisal. Any performance adjustments granted shall be at the sole discretion of the Appointing Authority or the Board.
Revision History

08-14-2013  Due to significant changes in the Civil Service rules, this entire section was stricken and replaced with two paragraphs, one relative to classified employees and the other related to unclassified employees.
Regular Pay Procedures

Employees are paid on a bi-weekly basis by mail or hand delivery. The Louisiana Board of Pharmacy is a self-funded state agency and is not in conjunction with the State Uniform Payroll System (ISIS); therefore, direct deposit is unavailable.

For new employees, it is important to remember that due to a one-week lag, they not receive their first check until they have worked three weeks. At that time, they will receive a check for the first pay period they worked. If a scheduled payday falls on a holiday, employees are usually paid on the day preceding the holiday.

All required deductions such as federal and state taxes, retirement or social security contributions, and Medicare taxes will be automatically deducted from the employee's paycheck. Employees must sign payroll deduction forms to have voluntary deductions made from their checks. Voluntary deductions include: health insurance, life insurance, credit unions, deferred compensation, etc.

Employees should review their paychecks for errors. If a mistake is found, it should be immediately reported to the Office Manager. If the employee still has the check, the Office Manager may be able to void and reissue another check. If the check has been cashed, the employee may have to wait until the next pay period for the next check to be adjusted accordingly.

In the event a paycheck is lost or stolen, notify the Office Manager immediately; they will attempt to put a stop payment on the check. If the Office Manager is able to stop payment, a new check will be issued. However, the Louisiana Board of Pharmacy does not take responsibility for lost or stolen paychecks. If the Louisiana Board of Pharmacy is unable to stop payment, the employee will be responsible for the loss.

Overtime Pay Procedures

- **Authority to Require Performance of Overtime**

  Civil Service Rule 21.1 states that an employee in the classified service may be required by his/her supervisor to work overtime as needed.

- **Determination of Exempt/Non-Exempt Status of Positions**

  The Louisiana Board of Pharmacy will determine the exempt or non-exempt status of all positions in accordance with the Fair Labor Standards Act (FSLA).
Authority for Compensation

All non-exempt employees shall be compensated in accordance with FLSA for overtime conditions that are covered by the FLSA, and shall be compensated in accordance with Civil Service Rules for state overtime. All exempt employees shall be compensated in accordance with Civil Service Rules for state overtime.

Methods of Compensation

Overtime compensation may be granted in the form of cash payment or compensatory leave earned; cash shall be paid when required under the FLSA or by Civil Service Rules. Employees employed on an intermittent schedule shall not earn compensatory leave, but shall be paid cash.

Basis for the Calculation of Hourly Rate of Pay for Overtime

The hourly rate of pay for state overtime earned at the hour-for-hour rate shall be calculated using the employee’s base pay. The hourly rate of pay for state overtime earned at the time and one-half rate may be calculated in accordance with the FLSA or in accordance with subsection (a) of this rule. The hourly rate of pay for all FLSA overtime shall be calculated in accordance with the FLSA.

Compensatory Leave – Crediting and Usage

The employee with the approval of the supervisor/budget unit head may use compensatory leave earned. An employee who has been credited with compensatory leave may be required to take all or part of such leave at any time. The minimum charge for compensatory leave shall be one quarter hour.

Definition of State Overtime

When an employee is not eligible for overtime under the provisions of the FLSA, state overtime shall be granted as follows:

1. For purposes of calculating hours worked for State Overtime, a day off from work due to paid leave taken or a holiday observed is considered to be a day worked.
2. State Overtime is work performed by an employee at the direction of the appointing authority or his designee:
   - In excess of the employee’s regularly scheduled workday;
   - In excess of the employee’s regularly scheduled work period;
   - On a holiday, including designated holidays; or
1. All FLSA overtime shall be compensated at the time and one-half rate.
2. State Overtime shall be compensated at the straight (hour-for-hour) rate, unless an exception has been granted by the Civil Service Commission, or unless the time and one-half rate is allowed under subsection (c) and (d) of this rule.
3. State Overtime performed during official closures due to emergency situations may be compensated at the time and one-half rate.
4. State Overtime performed on a holiday may be compensated at the time and one-half rate.

Exempt employees shall be compensated with one of the following options:
1. No overtime compensation.
2. Compensation at the straight (hour-for-hour) rate.
3. Overtime performed during official closures due to emergency situations may be compensated at the time and one-half rate.
4. Compensation at the time and one-half rate may be granted to exempt employees upon Civil Service Commission approval.

1. Employees who accrue compensatory leave at the time and one-half rate shall accumulate no more of such compensatory leave than allowed under the FLSA. The cap is 240 hours for regular employees and 480 hours for law enforcement.
2. Once the maximum balance of compensatory leave earned at the time and one-half rate is reached, any additional overtime worked in excess of the employee’s established FLSA work period must be paid to the non-exempt employee in cash at the time and one-half rate.
Caps, Required Payment, and Cancellation of Overtime Earned at the Hour-for-Hour Rate

1. Compensatory leave earned hour-for-hour may be accrued in excess of 360 hours, but not more than 360 hours shall be carried forward from one calendar year to the next, unless an exception is granted by the Civil Service Commission to maintain essential services necessary to preserve the life, health, or welfare of the public.

2. For non-exempt employees whose hour-for-hour compensatory leave balance exceeds the cap required or granted by exception, payment shall be made within 90 days after January 1 of each year for the excess compensatory leave.

3. For exempt employees whose hour-for-hour compensatory leave balance exceeds the cap required or granted by exception, payment may be made within 90 days after January 1 of each year for the excess compensatory leave. Any excess leave not paid shall be cancelled.

Payment or Cancellation of Compensatory Leave Upon Separation or Transfer to Another State Agency

1. Time and One-Half Compensatory Leave
   Upon separation or transfer from a department, all compensatory leave earned at the time and one-half rate and credited to an employee shall be paid in accordance with the FLSA.

2. Hour-for-Hour Compensatory Leave
   All unused compensatory leave earned hour-for-hour by exempt employees may be paid upon separation or transfer from the Board at the final regular rate of pay received by the employee.

   All unused compensatory leave earned hour-for-hour by exempt employees, if not paid to the employee upon separation or transfer, shall be cancelled upon separation or transfer. Such leave shall not be re-credited to the employee upon reemployment by the Louisiana Board of Pharmacy or any other agency.

   Upon separation or transfer, unused compensatory leave earned hour-for-hour by non-exempt employees shall be paid in accordance with the following schedule, at the final regular rate received by the employee.

   All additional unused leave may be paid or cancelled and shall not be re-credited to him upon reemployment by the Louisiana Board of Pharmacy or any other state agency.

   450 hours must be paid after January 1, 2004.
   All hours must be paid after January 1, 2005.
The Civil Service Commission may grant exceptions to the overtime rules.

Employees shall keep an accurate log of his/her K-time on their Daily Attendance and Leave Record form for that pay period, as well as completing the “Compensatory Leave Earned Request” form, if applicable.
Holidays shall be observed as provided in La. R.S. 1:55, and by any proclamation issued by the Governor. The Appointing Authority will also grant paid holidays declared as such in the Governor's proclamation when a holiday falls on a Saturday or Sunday.

To be eligible to receive holiday pay, an employee must be in pay status a minimum of 4 hours the day before or the day following the holiday. In other words, hours worked must touch the holiday. Approved paid leave is considered a day worked for holiday pay eligibility.

Employees shall be eligible for compensation on holidays observed except:
- When the employee's regular work schedule averages less than twenty (20) hours per week;
- When the employee is a temporary, intermittent, restricted, or seasonal employee; or
- When the employee is on leave without pay immediately preceding and following the holiday period.

The Louisiana Board of Pharmacy grants full-time employees the following paid holidays:
- New Year's Day
- Martin Luther King, Jr. Day
- Mardi Gras Day
- Good Friday
- Independence Day
- Labor Day
- Veterans Day
- Thanksgiving Day
- Christmas Day
- Inauguration Day (once every four years; city of Baton Rouge)
- General Election Day (in even numbered years)

With Governor's Proclamation only:
- President's Day
- Memorial Day
- Acadian Day (day after Thanksgiving)
- Any and all other proclaimed holidays
Revision History

08-14-2013  Re-classified Memorial Day as a holiday requiring a proclamation from the Office of the Governor.
1. In the event the appointing authority certifies the board does not have sufficient funds to continue current operations without the implementation of a layoff or layoff avoidance measures, the appointing authority shall submit a written plan for a layoff or one or more layoff avoidance measures to the Director of the Dept. of State Civil Service for approval at least two weeks prior to the implementation of the plan.

2. The Director may (a) approve the plan, (b) disapprove the plan, or (c) refer the plan directly to the Civil Service Commission for consideration at its next regularly-scheduled meeting.

3. The appointing authority shall, as soon as it is determined that a layoff or layoff avoidance measure is necessary, make a reasonable attempt to notify all employees who could be affected.

4. Once a layoff avoidance plan is approved by the Director or Commission, it shall be made generally available to the employees who are affected.

5. The appointing authority is authorized by the board to seek approval of any, including one or more, of the following layoff avoidance measures, but only in compliance with Chapter 17 of the Commission’s rules:
   a. Reduction or Elimination of Performance Adjustments
   b. Reduction in Work Hours
   c. Furlough Without Pay
   d. Retirement Incentive

6. In the event layoffs are required, such actions shall be accomplished in compliance with Chapter 17 of the Commission’s rules.
Annual Leave
Leave with pay granted an employee for the purpose of rehabilitation, restoration, and maintenance of work efficiency, or the transaction of personal affairs.

Compensatory Leave
Time credited for hours worked outside the regularly assigned work schedule. Compensatory time is also referred to as “k-time.”

Exempt Employee
Employees are not required to be paid overtime, in accordance with applicable federal wage and hour laws, for work performed beyond forty (40) hours in a workweek in accordance with the Fair Labor Standards Act (FLSA).

Full-Time Employee
For each full-time employee, an administrative workweek shall not be less than forty (40) hours per week. Any exceptions must be approved by the Appointing Authority.

Leave of Absence without Pay (LWOP)
Leave or time off from work granted by the Appointing Authority for which period the employee receives no pay. An employee who is on leave without pay, and has no accumulated annual and sick leave, is responsible for the timely payment of the employee portion of their group benefits premium as well as other payroll deductions.

Non-Exempt Employee
Employees are required to be paid overtime at the rate of time and one-half their regular rate of pay for all hours physically worked over forty (40) hours in a workweek in accordance with the Fair Labor Standards Act (FLSA).

Overtime Hour
An hour worked by an employee at the sole discretion of the Appointing Authority:
- On a day which is observed as a holiday in the office and area of employment and falls on a day within the workweek, or is observed as a designated holiday in lieu of a regular holiday observed in the office;
- In excess of the regular duty hours in a regularly scheduled workday;
- In excess of the regular duty hours in a regularly scheduled workweek;
- In excess of the forty (40) hours worked during any regularly recurring and continuous seven day calendar work period where excessive hours are systematically scheduled. Any holiday observed during this work period is counted as a day worked;
Title: Leave Establishment & Records

Approved: 05-11-2005

- In excess of the hours worked in a regularly established, continuous, and regularly recurring work period where average forty (40) hours per week, regardless of the manner in which scheduled, and where excessive hours are systematically scheduled. Any holiday observed during the work period is counted as a day worked; or
- A day on which the office is closed pursuant to La. R.S. 1:55(B)(5), by the discretion of the Appointing Authority because of an emergency.

**Part-time Employee**

For all part-time employees, an administrative workweek shall consist of less than thirty (30) hours per week. Any exceptions must be approved by the Appointing Authority.

**Restricted**

A person temporarily appointed for work not to exceed a cumulative total of six (6) months in a calendar year.

**Seasonal Employee**

A person employed on a non-continuous basis for a recognized peak workload period.

**Sick Leave**

Leave with pay granted an employee who is unable to perform their usual duties and responsibilities due to illness, injury, or other disability or when the employee requires medical, dental, or optical consultation, treatment, or due to pregnancy.

**State Service**

For leave earning purposes, shall include service in a state-supported school, agency, or university, public parish school system, public student employment, service as a member of a public board or commission, and service with the legislature or state court system. All such service shall have been performed for a Louisiana public entity.

**Temporary Employee**

A person continuously employed for a period not to exceed three (3) consecutive calendar months.
Annual Leave
Leave with pay granted an employee for the purpose of rehabilitation, restoration, and maintenance of work efficiency, or the transaction of personal affairs.

Sick Leave
Leave with pay granted an employee who is unable to perform their usual duties and responsibilities due to illness, injury, or other disability or when the employee requires medical, dental, or optical consultation, treatment, or due to pregnancy.

Earning of Annual and Sick Leave
Annual and sick leave shall be earned by each full-time and each part-time classified employee who has a regular tour of duty, except that no employee shall earn annual or sick leave while serving on an intermittent appointment or on a restricted appointment.

The earning of such leave shall be based on the equivalent years of full-time state service and shall be creditable at the end of each regular pay period in accordance with the following general schedule:

<table>
<thead>
<tr>
<th>Length of Service</th>
<th>Amount Earned per Hour Worked</th>
<th>Hrs/Pay Period Based on 80 Hours</th>
<th>Days/Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 3 years</td>
<td>0.0461</td>
<td>3.6880</td>
<td>12</td>
</tr>
<tr>
<td>3 but less than 5</td>
<td>0.0576</td>
<td>4.6080</td>
<td>15</td>
</tr>
<tr>
<td>5 but less than 10</td>
<td>0.0692</td>
<td>5.5360</td>
<td>18</td>
</tr>
<tr>
<td>10 but less than 15</td>
<td>0.0807</td>
<td>6.4560</td>
<td>21</td>
</tr>
<tr>
<td>15 or more</td>
<td>0.0923</td>
<td>7.3840</td>
<td>24</td>
</tr>
</tbody>
</table>

No classified employee shall be credited with annual or sick leave:
- For any overtime hour;
- For any hour of leave without pay;
- While he/she is on leave with or without pay, until such time as he/she returns to active working duty, except where inability to return to duty is caused by illness or incapacity;
- For any hour in on-call status outside regular duty hours;
- For any hour of travel or other activity outside regular duty hours; and/or
- For any hour of a holiday or other non-work day which occurs while he/she is on leave without pay.
Carrying Leave Forward

Accrued unused annual and sick leave earned by an employee shall be carried forward to succeeding calendar years.

Use of Annual Leave

Annual leave must be applied for by the employee and may be used only when approved by the Appointing Authority or his/her supervisor. Leave is requested on an approved “Application for Leave” form maintained in the Office Manager’s office. Annual leave must be approved in advance, except in cases of an emergency, which is subject to the approval of the supervisor. Employees may be required to use annual leave during Louisiana Board of Pharmacy unforeseen office closures and will be determined on a case-by-case basis.

Annual leave shall not be charged for non-work days. The minimum charge to annual leave records shall not be less than one quarter hour. Annual leave may only be taken in quarter hour increments.

There is no such thing as abuse of annual leave since it can’t be taken without the Appointing Authority and/or supervisor’s approval in advance. Annual leave will not be approved if work requirements necessitate the employee’s presence at work. Subject to FMLA, employees do not have a right to use annual leave whenever they want to.

Enforced Annual Leave

An Appointing Authority may require an employee to take annual leave whenever in his/her administrative judgment such action would be in the best interest of the Louisiana Board of Pharmacy.

No employee shall be required to reduce his/her accrued annual leave to less than 240 hours except:

- Prior to being granted leave without pay, but subject to the right granted the employee by the military leave provisions of these rules; or
- Where it is determined that the need to be absent from work is because of a condition covered by FMLA.

Payment for Annual Leave upon Separation

Each employee upon separation shall be paid the value of his/her accrued annual leave in a lump sum disregarding any final fraction of an hour; provided, that the privileges of this rule shall not extend to any employee who is dismissed for theft of agency funds or
property. The payment for such leave shall be computed by multiplying his/her hourly rate by the number of hours of accrued annual leave.

- No terminal payment for annual leave earned under these rules shall exceed the value of 300 hours, computed on the basis of the employee’s hourly rate of pay at the time of separation.
- No payment for annual leave under this rule shall operate to continue the payee as a classified employee beyond the last date of active duty. Payment for annual leave earned under administrative rules or regulations in effect prior to July 1, 1953 may be made on separation in accord with such rules or regulations.
- When an employee who has been paid under this Rule for accumulated annual leave is reemployed in a classified position, he/she shall pay the state agency which reemploys him/her the value of such annual leave at the rate paid him/her less the value of the working hours between the last day worked and the date of reemployment and shall be given credit for the number of hours of annual leave for which he/she has made reimbursement.

Use of Sick Leave

Sick leave may be used by an employee, who has sufficient leave to his/her credit, for a necessary absence from duty because of:

- Illness or injury which prevents performance of usual duties, and/or
- Medical, dental, or optical consultation or treatment.

Sick leave shall not be charged for non-work days. The minimum charge to sick leave records shall not be less than one quarter hour. Sick leave may only be taken in quarter hour increments.

Sick leave should be applied for in advance for routine medical visits, eye and dental exams. An employee may be required to furnish an excuse signed by a health care professional when applying for sick leave approval, at the discretion of the Appointing Authority and/or supervisor.

In all cases, an excuse is required when an employee has been on sick leave for 24 or more consecutive hours, or for any sick leave taken the day before or after a paid holiday. The 24 hours can cross pay weeks and pay periods. An original excuse must be submitted with each time sheet for each respective pay period involved. To return to work following an illness, injury, or surgery for which an employee has been under a medical provider’s care, a release from the health care professional must be submitted. It will be up to the Appointing Authority and/or supervisor to determine if light duty is available. If it is not, then the employee will be required to have a release to full duty.
An employee who has exhausted all sick leave may be separated from his/her employment. A separation under these conditions is not considered a disciplinary action and is done because of a need to have the duties of the position performed. An employee must have used 12 weeks of leave under FMLA to be terminated under this provision. See Civil Service Rule 12.6.

Absence from duty caused by maternity is considered to be a temporary disability similar to any other medical disability. Employees may use accumulated sick leave for this purpose. If the employee’s sick leave balance is insufficient to cover the entire period of absence, the employee must seek approval from the Appointing Authority or his/her supervisor to use annual leave, or to use leave without pay. Sick leave may be used only for that period of time during which the employee is unable to perform her duties because of pregnancy. Additional time off must be covered by other types of leave when the employee is discharged by her health care professional, usually six weeks following delivery. Maternity leave will be designated under FMLA. La. R.S. 23:342 allows up to four (4) months leave for pregnancy/childbirth leave.

Before being granted leave for maternity purposes, the employee is required to furnish a statement from her health care professional to the effect that she can no longer perform the duties required and the expected date of delivery. Before an employee can return to work following leave for pregnancy, the health care professional must certify in writing that the employee is able to return to regular duties. To prepare for possible replacement of an employee who is requesting maternity leave, the employee’s written request for leave should be submitted a minimum of two months in advance of the proposed beginning of leave. No later than one month prior to the termination of the approved leave period, the employee should notify the Office Manager in writing of her plans to resume duty on the established date.

The procedure to follow, when an employee is absent and other important guidelines are set forth in the discussion of absenteeism and tardiness in this handbook. Employees are to become familiar with these guidelines as well as any and all other departmental policies.

**Continuation of Annual and Sick Leave**

Employees cannot be paid for unused sick leave upon termination. If the employee is reemployed in state service within ten years from a non-disqualifying separation, the employee will be credited with all sick leave and any annual leave for which he/she was not paid. If the employee transfers to another state agency within the state, their leave balances are transferred to the gaining state agency.
Title: Annual & Sick Leave

Approved: 12-06-2006

Revision History

12-06-2006  Inserted requirement for written excuse for any sick leave taken immediately before or after a paid holiday [Use of Sick Leave – page 3].

05-07-2014  Changed minimum increment of leave from 30 min. to 15 min.
Civil, Emergency & Special Leave

An employee shall be given time off without loss of pay, annual leave, or sick leave when:

1. Performing jury duty;

2. Appearing as a summoned witness before a court, grand jury or other public body or commission, and when the employee is not the plaintiff or defendant;

3. Performing emergency civilian duty in relation to national defense;

4. Voting in a primary, general or special election which falls on the employee’s scheduled work day, providing that not more than two hours of leave shall be allowed an employee to vote in the parish of employment, and not more than one day of leave shall be allowed an employee to vote in another parish;

5. Participating in a State Civil Service examination on a regular work day, or taking a required examination pertinent to the employee’s state employment before a state licensing board. A maximum of five (5) hours will be allowed for each exam. If two (2) exams are scheduled in one day, a maximum of eight (8) hours will be allowed. The certification shall be attached to the leave slip when submitted with employee's Attendance and Leave Record;

6. The Appointing Authority determines an Act of God prevents the performance of the duties of the employee, e.g., flooding, ice, hurricane, tornado, etc.;

7. The Appointing Authority determines that because of local conditions or celebrations, it is impractical for the employee to work in the locality;

8. The employee is ordered to report for pre-induction physical examination incident to possible entry into the military forces of the United States;

9. The employee is a member of the National Guard and is ordered to active duty incident to local emergency, Act of God, civil or criminal insurrection, civil or criminal disobedience, or similar occurrences of an extraordinary and emergency nature that threatens or affects the peace or prosperity of the people;

10. The employee is a current member of the Civil Air Patrol and incident to such membership is ordered to perform duty with troops or participate in field exercises or training, except that such leave shall not exceed fifteen (15) working
days in any one calendar year and shall not be used for unit meetings or training conducted during such meetings; or

11. The employee is granted American Red Cross leave for a period not to exceed fifteen (15) work days in any calendar year to participate in the American Red Cross relief services in Louisiana for disasters designated as Level III or above in the American Red Cross Regulations and Procedures. An employee must be certified as a Trained Disaster Volunteer. This type of leave shall be approved by the Appointing Authority.

Compensatory Leave

Compensatory Leave is leave hours credited and used by classified employees on job appointments, probational appointments, and permanent appointments for work and duties performed in excess of the normal 40-hour workweek or for working on a holiday.

Employees are required to keep an accurate log of his/her k-time on their Daily Attendance and Leave Record form for that pay period.

An employee may be required to use his/her earned compensatory leave at any time.

Compensatory leave shall not be credited to any employee in the classified service while serving on an intermittent basis.

In the event that an employee transfers without a break in service from the Louisiana Board of Pharmacy to another position within the state service, compensatory leave may be credited to the employee at the discretion of the new Appointing Authority.

For more information on compensatory leave, see Policy No. II.C.8.

Crisis Leave Pool

It shall be the policy of the Louisiana Board of Pharmacy to implement and administer a pool of shared annual leave which may be used by employees who cannot work due to a crisis situation and who have insufficient appropriate paid leave to cover the absence needed for the crisis situation. This policy shall be administered in accordance with Civil Service Rule 11.34 – Crisis Leave Pool. The Crisis Leave Pool shall consist of annual leave hours voluntarily donated, transferred and used by eligible employees on an hourly value rather than a dollar value.
**Purpose**
The Crisis Leave Program is established as a means of providing paid leave to eligible classified employees who have experienced a catastrophic illness or injury to themselves or eligible family member. The intent of the program is to assist employees who, through no fault of their own, have insufficient paid leave to cover the “crisis leave” period. The Appointing Authority reserves the right to define a “crisis leave” situation on a case-by-case basis.

**Applicability**
This policy applies to all classified employees with permanent status and unclassified employees of the Louisiana Board of Pharmacy.

**Definitions**
- **Eligible employee** – a classified or unclassified employee of the Louisiana Board of Pharmacy who has attained permanent status and is eligible to earn annual leave may donate or use crisis leave.
- **Eligible family member** – is defined as:
  - A spouse, child or parent in the same household who is related to the employee by kinship, adoption or marriage or a foster child so certified by the Louisiana Office of Children’s Services, or
  - A spouse, child or parent not living in the same household but is totally dependent upon the employee for personal care or services on a continuing basis.
- **Catastrophic Injury or Illness** – a severe condition or combination of conditions that:
  - Affects the physical or mental health of the employee or the employee’s eligible family member; and
  - Requires the services of a licensed medical service provider for a prolonged period of time; and
  - Prevents the employee from performing his/her duties and forces the employee to have exhausted appropriate leave and places them in a Leave Without Pay (LWOP) status. This may have been caused by a previous catastrophic illness or injury to qualifying employee or a qualifying catastrophe that has caused the employee to be unable to perform his/her duties for a period of more than ten (10) consecutive work days. Normal pregnancy, common illness and injury and elective surgery are not considered catastrophic unless complications arise.

- **Crisis Leave Manager** – Office Manager
Responsibilities

- Appointing Authority – The Appointing Authority will be responsible for assuring that leave donors have the required balance of 120 hours of annual leave remaining after the leave donation, leave recipients have insufficient appropriate paid leave, a critical situation exists, and requests are made according to this policy.
- Office Manager – The Office Manager will be responsible for the administration of the Crisis Leave Pool that includes maintaining pool leave balances.

Solicitation of Annual Leave Hours

If the Crisis Leave Pool has an insufficient balance of leave, the Office Manager will solicit for donation to the pool. This will be accomplished by distributing an email asking for volunteers to donate. An employee shall not intimidate, threaten, or coerce any other employee with respect to donating, receiving, or using annual leave from the Crisis Leave Pool.

Eligibility Requirements

An employee may apply to receive crisis leave if the following requirements are met:

- The employee has attained permanent status and the employee or employee’s eligible family member suffers from a catastrophic illness or injury; and
- The employee has exhausted all paid leave as applicable under Civil Service rules for leave usage; and
- The employee has a satisfactory attendance record with no history of leave abuse, and is not absent from work due to disciplinary reasons; and
- The illness or injury is not occupationally related (therefore making that employee eligible for workers’ compensation) or the illness or injury was not attained in the commission of an assault or felony; and
- The employee has provided the appropriate documentation to the Leave Pool Manager.

An employee is not required to contribute to the Crisis Leave Pool to be eligible to receive crisis leave.

The amount of crisis leave granted for each catastrophic illness or injury is determined by the Appointing Authority. The amount of leave granted will generally reflect the recommendations of the documentation of the crisis, subject to the following terms:

- A maximum of 240 hours may be granted to an employee per calendar year.
- Crisis leave may not be granted to an individual to extend paid leave status beyond a total time in leave status of 12 weeks.
• The value of the annual leave granted as crisis leave may not exceed 75% of the employee's pay received in a regular workweek and the employee will not accrue leave while using crisis leave.
• The total amount of leave granted will not exceed the balance of ours in the leave pool at the time of the employee's request.

**Donation Procedures**
Contributions to the Crisis Leave Pool are strictly voluntary and are confidential. No employee shall be coerced or pressured to donate leave. An employee donating to the pool may not designate a particular employee to receive the donated time. Once annual leave is donated, the employee may not request to have it returned to his/her personal leave balance. Donation are accumulated in the pool and awarded on a first-come, first-served basis to eligible employees. Donations are limited to the following terms:

• An employee may donate a minimum of 8 hours of annual leave and a maximum of 80 hours at any time, above which donations are made in whole hour increments.
• The donor must have a balance of at least 120 hours of annual leave remaining after the contribution.
• Donations are limited to 240 hours of annual leave per employee per calendar year.

The employee must complete a Donation to Crisis Leave form and designate the leave as a "Donation to the Crisis Leave Pool." This form should be turned in to the Office Manager. The Office Manager will sign and date the form on the date received and forward it to the Appointing Authority for final approval. All donation forms will be kept in a file in the Human Resource Office.

**Request Procedures**
An employee may request leave from the Crisis Leave Pool by completing a Crisis Leave Request form and submitting it to the crisis leave manager. The recipient must attach medical certification to the Crisis Leave Request form if the request is for an illness or injury of the employee or family member, along with the recipient’s Application for Leave form (SF-6). The medical certification by a certified physician or other medical expert must state the patient's condition, prognosis and anticipated duration of the condition.

All requests for crisis leave must be treated as confidential. All requests and documentation must be submitted in envelopes marked 'confidential.' Requests proceed directly to the leave pool manager for approval or disapproval. Each request will be stamped time-and-day upon receipt by the leave pool manager, and handled on
a first-come, first-served basis. When possible, a request is to be submitted at least 7 days before the crisis leave is needed. The Appointing Authority is allowed 5 working days from the date a request is received (with the required documentation) to approve all or part of the request, to deny the request, and communicate such approval or denial to the employee. The employee will receive written notification of approval or denial. The decision of the Appointing Authority is final and not subject to appeal.

Insufficient Balance of Leave in the Pool

If the employee becomes eligible for the crisis leave, but the pool of leave is exhausted, the Office Manager will communicate to the employees that a request is pending approval and donations are being sought. Once donations are received, leave may be used to meet the requirements of the eligible employee. If the employee does not need all of the leave which has been donated, the leave shall remain in the pool and will be available to other employees. Any approved crisis leave used is documented in accordance with the same procedures as regular paid leave taken by the employee.

Status Changes

Crisis leave is used to cover only the circumstances for which it was requested. If changes occur in the nature or severity of the illness or any other factor upon which the approval was based, the employee must provide documentation describing the change to the leave pool manager. Extensions on crisis leave may be requested subject to the limits outlined above; extensions of crisis leave are not automatic and must be approved on a first-come, first-served basis.

Hours granted from the Crisis Leave Pool may be used only for reasons stipulated in the approved request. The use of leave from the Crisis Leave Pool that is not in accordance with procedures and requirements outlined in this policy may constitute payroll fraud and will be dealt with accordingly.

Employees who are able to return to work before using all of their granted crisis leave must return the unused leave to the Crisis Leave Pool immediately.

Compensation

Employees on crisis leave will continue to receive benefits as appropriate. Employees on crisis leave will not accrue any paid leave.

Condition for Disqualifications

An employee may be deemed ineligible for crisis leave based on, but not limited to a request for extended Family Medical Leave and/or Workman’s Compensation.
Violations of the Policy
False statements or misrepresentations made in connection with an employee’s application to be a leave recipient will be cause of disciplinary action, up to and including removal from state service.

Educational

Educational Leave Without Pay – leave without pay for educational purposes, which may be granted to an employee for a period equivalent to the period of attendance at the educational institution. Employees granted educational leave without pay may also be granted a stipend if there are sufficient funds available for that purpose.

Educational Leave With Pay – may be granted to an employee for a maximum of thirty calendar days in one calendar year if the course of instruction to be taken is pertinent to the work of the employee in his/her department. An employee on a regular appointment may be granted leave for a maximum of ninety calendar days in one calendar year if the Louisiana Board of Pharmacy requires him/her to take special training.

Family Medical Leave Act

As per the Family and Medical Leave Act (FMLA) of 1993, the Louisiana Board of Pharmacy will grant a leave of absence to regular full-time and regular part-time employees (who meet the requirements described below) for the care of a child after birth or adoption or placement with the employee for foster care, for the care of a covered family member (spouse, child, or parent) with a serious health condition, or in the event of an employee’s own serious condition.

A covered employee is entitled to twelve weeks of leave in a “year.” The State of Louisiana has designated that all agencies use a “first usage” year. This 12-month period begins with an employee’s first usage of FMLA leave.

At the employer’s option, certain kinds of earned paid leave may be substituted for unpaid leave. It is the responsibility of the employee to maintain insurance premiums when the employee is out on leave. See FMLA of 1993, 29 U.S.C. 2611 et seq.

Employees must meet the following eligibility requirements:
- One must have been employed for 12 months by the state and for at least 1250 hours during the 12 months preceding the start of FMLA leave. The employee must have actually worked 1250 hours. Leave time is excluded.
- The 12-month period required for employment need not be continuous. If an employee has worked any part of each of 52 weeks, the 12-month employment
requirement is considered met. These 52 weeks must have been within a reasonable time period.

**Guidelines**

The following guidelines will apply:

- Pursuant to federal regulations, the Louisiana Board of Pharmacy can place an employee on FMLA leave (paid or unpaid) even if the employee has not requested leave under FMLA. However, the employer should always require the employee to use paid leave first. This is to simplify problems with paying medical insurance premiums.

- The employee may utilize paid leave during FMLA leave and, after exhaustion of sick leave, may use annual leave when the employee cannot work because of illness or injury.

- While an employee's appointment may be terminated for exhaustion of sick leave, if that employee has not used all of the 12 weeks of FMLA leave, the Louisiana Board of Pharmacy will not consider termination of the employee's employment until the 12 weeks of FMLA leave have been exhausted.

- The Louisiana Board of Pharmacy may designate absences of FMLA leave where the reason for the absence is covered by FMLA and the employee may demand to use appropriate paid leave during FMLA leave. In either case, the Louisiana Board of Pharmacy must advise the employee in writing with notice of the employee's rights and obligations when such designation is made.

- The employee must give 30 days notice of the need for FMLA leave, or, if not practicable, as much notice as is practicable.

- The leave is an entitlement for only 12 weeks.

- Sick leave can still be used only for the employee's illness but may not be used for taking care of a family member.

- All medical records submitted to the employer for verification of leave must be treated as confidential.

- The 'key employee' provision of the federal act does not apply.

**Funeral**

Probationary and permanent employees may be granted time off for attending the funeral or burial rites of a parent, step-parent, child, step-child, brother, step-brother, sister, step-sister, spouse, mother-in-law, father-in-law, grandparent, or grandchild; provided such time off shall not exceed two consecutive days on any one occasion. The day of the wake and the day of the funeral are the two days for which special leave is given to the employee. Part-time employees may be given time off on a pro-rated basis.
For example, if the two days fall during the week on days the employee is scheduled to work, the employee would be eligible for two days of funeral leave. If additional leave is required by the employee, the employee may request to use sick, compensatory, or annual leave depending on the situation. For payroll purposes, the name of the deceased person, relationship to the employee, the date(s) of the wake or funeral and the funeral home handling the services should be listed on the leave slip.

Under exceptional circumstances, additional day(s) may be granted by the Appointing Authority.

**Jury Duty**

An employee shall be given time off without loss of pay, annual or sick leave when performing jury duty until dismissed by the court. To qualify for jury duty, a copy of the subpoena issued to the employee shall be submitted to his/her immediate supervisor as soon as it is received. The employee shall turn in verification of jury duty on his/her Attendance Leave Record for the pay period jury duty was held. If the employee is dismissed from jury duty during work hours, he/she shall report back to work, unless it is sufficiently near the close of business.

**Leave of Absence Without Pay (LWOP)**

A leave of absence without pay is time off from work without pay granted by the Appointing Authority or imposed by an Appointing Authority for an unapproved absence.

The Appointing Authority may extend leave of absence without pay to an employee, provided that such leave shall not prolong the period of the employee’s appointment. The appointment of an employee who has not completed his probationary period and who fails to return to duty in pay status on or before the first working day following the expiration date of any period of leave without pay extended him shall terminate as of he close of business on such expiration date.

Leave without pay may be requested by an employee listing the reasons needed, the duration of the leave, and obligations of the employee during the period requested. Employees on leave without pay for more than ten (10) working days in any month are responsible for the employer portion of any match on health and life insurance premiums unless they are on FMLA leave. Leaves of absence without pay may be granted for maternity leave or to care for an ill family member under FMLA.

During a period of leave without pay, benefits associated with pay status are affected unless on FMLA leave. Annual and sick leave do not accrue during a period of leave without pay. Membership in the LASERS retirement system is suspended.
Contributions may not be withdrawn from the state retirement system without the action being considered as a termination or resignation from employment.

If an employee who has been granted leave fails to respond to duty on the first working day following the expiration of leave, he/she shall be considered as having deserted his/her position and shall be removed from the position.

An Appointing Authority on its own initiative or at the request of the employee may curtail a period of leave of absence without pay extended to an employee, provided such curtailment is for the best interest of the state service and reasonable and proper notice thereof is furnished to the employee. Curtailment must not conflict with the provisions of Civil Service Rule 11.26(b). This policy for leave without pay will be in effect for periods in excess of four weeks of leave without pay. After 30 days of leave without pay, the Department of Civil Service is updated to reflect the dates of LWOP. The employee’s adjusted service date is corrected to reflect actual state service when the employee returns to duty.

In addition to any disciplinary action which may be imposed against an employee for an unapproved absence, such employee may be placed on leave without pay by the Appointing Authority for the period of unapproved absence.

**Military Leave**

*Military Leave with Pay*

Military leave with pay is leave granted to members of a reserve component of the armed forces of the United States who are called to duty for military purposes, and to members of National Guard Units who are called to active duty as a result of a non-local or non-state emergency. This may be designated on military orders as “ADT”, “FTTD”, “AT”, or “IADT”. Federal law, state law, and Civil Service rules impact the rights of employees called to active duty. Federal law is supreme and our state statutes track the federal law. Civil Service rules complement the rights granted by these federal and state laws. Federal and state law applies to all employees. The Civil Service rules apply only to classified employees.

Military leave with pay is granted as follows:

- Provided they give advance notice, employees serving on job appointments, provisional, probationary, or permanent status, shall be entitled to military leave with pay.
- No advance notice is required when such notice is either precluded by military necessity, or otherwise impossible or unreasonable.
- Maximum military leave with pay for military purposes is 15 working days per calendar year.
• Employees serving on job appointment, provisional, probationary or permanent status, who give advance notice of military obligations and apply for annual or compensatory leave for military purposes, shall be granted such leave.
• No advance notice is required when such notice is either precluded by military necessity, or otherwise impossible or unreasonable.

**Military Leave Without Pay**
Employees serving on job appointment, provisional, probationary, or permanent status, who have (a) exhausted annual leave and compensatory time or (b) choose not to use their paid leave for military purposes, shall be placed on leave without pay. This period of leave without pay for military purposes shall not exceed six years. After six years, he/she shall be separated from the classified service. This rule does not extend the term of temporary appointments which were made for less than six years; if the original term of the appointment was less than six years, the agency may end the appointment as originally scheduled and the employee may be separated. While the employee is on paid leave, the employee shall continue to accrue sick leave and annual leave. Employees do not continue to accrue leave after being placed on leave without pay. However, their period of leave (with or without pay) does count as state service for purposes of calculating leave accrual rate and adjusted state service date for layoff and layoff avoidance purposes. Contact Human Resources for more information on this topic.

An employee who is serving in a position that earns annual and sick leave and who is a member of a reserve component of the armed forces of the United States or the National Guard, shall be granted a leave of absence from the position, without loss of pay or deduction of annual or sick leave, when ordered to military duty for a period not to exceed fifteen (15) working days in any one calendar year, except that it shall be limited to fifteen working days for each tour of active duty. In addition, the Appointing Authority may grant annual leave, compensatory leave, leave without pay or any combination thereof, as required by state and federal law.

When an employee is ordered on duty, no advance notice is required when such notice is either precluded by military necessity, or otherwise impossible or unreasonable; however, if possible, the employee shall give prompt and immediate notice to the Appointing Authority.

An employee who is serving in a position that earns annual and sick leave and who is inducted into or ordered to military duty to fulfill a reserve obligation or ordered to active duty in connection with reserve activities for an indefinite period or for a period of time for annual field training, is eligible for leave without pay as provided by state and/or federal law.
Voting Leave

An employee may be granted time off without loss of pay, annual leave or sick leave when voting in a primary, general, or special election which falls on his regularly scheduled work day, provided not more than two hours of leave shall be allowed to vote in the parish where he is employed and not more than one day to vote in another parish.

Worker’s Compensation

If an employee is injured or becomes ill on the job, a report must immediately be filed with the employee’s immediate supervisor and with the Office Manager. This ensures that the Louisiana Board of Pharmacy can assist in obtaining appropriate medical treatment. Failure to follow this procedure may result in the appropriate Worker’s Compensation report not being filed in accordance with the law, which may consequently jeopardize the employee’s right to benefits in connection with the injury or illness. Questions regarding Worker’s Compensation should be directed to the Office Manager.

The Office Manager must be notified immediately following any accidents/incidents. In all cases that are true emergencies (life or limb threatening) the most important issue to remember is to get the employee immediate medical care by calling 911.

The accident report must then be completed as soon as possible. All other accidents/incidents are to be reported immediately to the supervisor and then to the Office Manager for the appropriate forms to be completed. The Office Manager must be kept informed of all aspects of medical care to properly notify the Division of Administration – Office of Risk Management and the Office of Worker’s Compensation, when applicable as outlined by the Louisiana Worker’s Compensation Law.

The Louisiana Board of Pharmacy can be fined if found to be in violation of reporting requirements. Fines for violating reporting requirements will be charged to the department at fault. The accident/incident forms are required whether or not the employee requires medical treatment. Accident/incident forms and Office of Risk Management/Loss Prevention forms are required whether or not the employee requires medical treatment.

In the event that the employee does require medical care, the employee is entitled to select a physician of choice for treatment. The treating physician may refer the injured employee to another doctor specializing in another area of medicine and in some cases to physical therapy. The employee cannot travel outside the State of Louisiana to receive medical treatment unless it is approved by the Office of Risk Management. The Louisiana Board of Pharmacy or the Office of Risk Management may choose other
physicians and arrange examinations, which the employee would be required to attend for a second opinion.

Employees are entitled to all necessary and reasonable medical expenses associated with the injury as provided by Louisiana Workers’ Compensation Law. The employee becomes eligible for Temporary Total Benefits after the doctor certifies the employee as being unable to work and the employee has been out for 7 days following the injury. Workers’ Compensation is computed at 66.23% of average weekly earnings or a maximum not to exceed $429 per week. Wages lost during the first 7 days after the injury are not replaced unless the employee is off the job for more than 42 days. Typically what happens is the employee uses his/her accrued sick leave and stays in full pay status with the Louisiana Board of Pharmacy. The check for the employee’s Temporary Total Benefits is sent to the Office Manager and at that time the employee is asked to sign the check over to the Louisiana Board of Pharmacy. The check will be receipted by the Licensing Division for deposit. The check stub and the original receipt are given to the employee. The amount of leave that the check will buy back is determined by dividing the employee’s hourly rate of pay at the time of the accident into the amount of the check. The amount of the check then converts to leave time and that amount of leave time is added back to the employee’s existing leave balances. If the employee does not have a sufficient amount of leave to use, then the employee may receive the worker’s compensation check. Note: the employee cannot receive the Worker’s Compensation check and a full payroll check.
Title: Purchases

Approved: 08-06-2008

1. The Board delegates to the Appointing Authority the responsibility for the proper management of the office and its assets.

2. With respect to single purchases of less than $1,000, the Appointing Authority delegates to the Office Manager the responsibility for adherence to all appropriate laws and rules governing such procedures. Single purchases of more than $1,000 require prior approval of the Appointing Authority. The Office Manager shall collect and maintain all required documentation for each purchase together with the record of disbursement.

3. The Board authorizes the Appointing Authority to make application for, receive, and manage the utilization of one or more LaCarte cards. The Appointing Authority names the Office Manager as the Agency Purchasing Card Program Administrator.

   a. LaCarte is a Visa card issued by the Bank of America for the State of Louisiana. A card is issued to a specific employee of the Board, and the card will be embossed with the State of Louisiana, Board of Pharmacy, employee name, employee account number, and state tax-exempt number.

   b. The use of the card is restricted to purchases for official state use only, for individual purchases up to $1,000. It shall not be used for personal use, to access cash, for alcohol, or for fuel, travel or entertainment purposes. It shall not be used for contracted services or for 1099-reportable vendors.

   c. A cardholder is limited to a maximum of $1,000 for a single purchase, and a maximum of $2,500 in transactions per cycle. Expenditures resulting in a cumulative annual amount in excess of the budgeted amount for that category requires prior approval of the Appointing Authority.

   d. The Appointing Authority shall determine the appropriate merchant codes for card utilization, and the Office Manager shall monitor adherence to those parameters.

   e. The Office Manager shall maintain the card accounts, ensure prompt reconciliation of periodic statements, perform post audits of purchases to monitor compliance with appropriate policies, and prepare all required reports.

   f. The Office Manager shall record the issuance of a card in the cardholder’s personnel record, and shall cancel and collect the card when it is no longer needed or upon the termination of the employee.

   g. When the Office Manager determines that the card has been used inappropriately, the Appointing Authority shall be notified to initiate the appropriate disciplinary process.
Revision History

08-06-2008  Completely re-written to comply with requirements from Office of State Purchasing in the Division of Administration.
The Office Manager shall not process the payment of invoices and/or receipts without the approval of the Appointing Authority and the appropriate backup information as proof that the goods were received and/or that the repairs were made, as required by the Legislative Auditor.

Therefore, all invoices, receipts, shipping notices, packing slips, and tickets for merchandise must be submitted to the Office Manager no later than 24 hours after receipt.

Delayed receipts often cause late payments of bills and/or expense checks.
All documents printed by the Louisiana Board of Pharmacy will follow the printing guidelines set forth in La. R.S. 43:31.1. This statute requires all agencies seeking to print or have printed any public document perform a 'needs assessment', which shall be approved by the Appointing Authority prior to expending any funds to have the publication printed.
Employees who are required to travel on official business shall follow policies set forth by the State Travel Office and by the Appointing Authority.

In advance of any travel to a conference, convention, or an out-of-town destination, prior approval shall be given by the Appointing Authority.

For in-state and out-of-state travel, a Travel Expense Account form shall be completed within 30 days of travel, along with receipts, and forwarded to the Appointing Authority for approval, who then forwards the form on to the Office Manager for reimbursement. All expense checks are then completed and mailed within 10 business days.
1. This policy covers the Travel card program (T-card) and establishes minimum standards possession and use. Travel Card is a tool used to assist in the management of purchasing, payment, and accounting. Travel Card is a Visa card issued by Bank of America for the State of Louisiana. This card will enable employees to purchase items with the convenience of a credit card, while providing management with a means of maintaining control over those purchases. The use of this card will improve efficiency and effectiveness by reducing costs associated with processing purchases and payments and will allow for the receipt of goods on a timely basis.

2. The Louisiana Board of Pharmacy allows a maximum Single Purchase Limit (SPL) of up to $5,000. Multiple purchases may be made with the T-Card for contract purchases, each day, up to but not exceeding $5,000 per contract. The board has safeguards in place to ensure that purchases from contract vendors are for each contract’s specific approved contract items.

3. Purchases should never be artificially divided to avoid the Travel Card policy limits or placed on different cards within the Section/Unit.

4. Current Purchasing Policies, Rules and Regulations, Louisiana Statutes, Executive Orders and/or State Travel Card Policy, as well as the Board’s Travel Policy must always be followed during the use of the Travel Card. Copies of State of Louisiana Travel Card Purchasing Card Policy, Rules and Regulations, LA Statutes and Executive Orders may be viewed/obtained from the State Purchasing Website at www.doa.louisiana.gov/ops/traveloffice.htm.

5. All program participants, i.e. program administrators, cardholder, CBA, administrators and cardholder approvers are required to complete an online certification class, annually, receiving a passing grade of at least 90 in order to receive a new t-card, a renewal t-card, remain as CBA administrator or remain as a cardholder approver. These certifications will be developed and updated, as necessary, by the Office of State Purchasing and Travel and the agency will be notified as soon as they are approved. All program participants will be given ample time to obtain this certification once notified. Note: The certification class for the CBA administrator would be the same as a cardholder’s certification.

A cardholder’s approver must be a supervisor of the cardholder which would be at least one level higher than the cardholder. The approver must be the most logical supervisor which would be most familiar with the business case and appropriate business needs for the cardholder’s transactions.

To allow for proper and complete program audits, all program participants, including public post secondary, will be mandated to implement WORKS Workflow, which is an
online system through Bank of America. The system captures transactions; Workflow requires both cardholders and cardholder approver’s electronic signatures, along with the ability to maintain receipts and backup supporting documentation in one central location through the scanning feature which is also being mandated, therefore, assisting with audits and reviews. The system allows for an additional level of approvals, beyond the cardholder and approver. Another function of Workflow allows accounting information to be coded by the cardholder for each transaction. The accounting function is mandated for ISIS/LaGov interfaced agencies which would ultimately be interfaced to the ISIS and LaGov systems. For all other agencies/post secondary/board/commissions, which are not ISIS/LaGov, interfaced agencies, although it is still mandated for the agency to utilize Workflow including scanning capabilities, the agency will not be required to interface with any accounting system.

Agency program participation requires annual review of the agency’s program conducted by the agency’s internal audit section.

All receipt and supporting documentation must be scanned and tied to the applicable transaction and not as one image for all transactions.

6. The Department Head will be responsible for designating Agency T-Card/CBA Program Administrators and for notifying the Office of State Purchasing and Travel of any changes.

DEclared EMERGENCY USE

In the event the Governor declares a state of emergency, the T-Card may be changed to allow higher limits and opening of certain MCC codes for essential employees who are cardholders that would be active during an emergency situation and not for ALL cardholders. An emergency profile must be created in WORKS which shall not exceed the following limits, without prior approval from Office of State Purchasing and Travel: SPL (single purchase limit) $25,000, Travel and Rest MCC Groups may be removed if determined to be necessary for group accommodations however, the Cash MCC Group must remain attached to the profile at all times, as the use of cash is never allowed, even during emergency situations.

Higher limits do NOT eliminate the need to follow emergency procurement rules, policies, procedures and/or executive orders.
DEFINITIONS

1. Approver - individual within the agency who is responsible for verifying that all charges against the cardholder’s account are authorized and supported by adequate documentation. This may or may not be the cardholder’s direct supervisor.

2. CBA (Controlled Billed Account) – a credit account issued in an agency’s name (no plastic cards issued). These accounts are direct liabilities of the State and are paid by each agency. CBA Accounts are controlled through an authorized approver(s) to provide means to purchase any allowed transactions/services allowed in the current State Liability Travel Card and CBA Policy. Please realize that although other travel related charges are now allowed on the CBA account, the traveler needs to ensure that the actual “plastic” is not necessary, as there is no plastic issued for a CBA Account.

3. Cardholder - employee whose name appears on the card and who is accountable for all charges made with the card.

4. Cardholder Agreement Form - an agreement signed by the cardholder, prior to being issued a Travel Card, which verifies that the cardholder has read and understands the policies and procedures of the Louisiana Board of Pharmacy, and agrees to comply with them.

5. Cardholder Enrollment Form - a form containing pertinent information on a cardholder necessary for statement and information mailing purposes, contact information, daily/monthly spending limits and budgetary controls. The form must be submitted by the cardholder to the Program Administrator for completion and approval.

6. Credit Card - a Visa card issued by Bank of America for State of Louisiana for the purpose of making authorized purchases on behalf of the Louisiana Board of Pharmacy.

7. Cycle – the period of time between billings. For example the State of LA T-Card closing period ends at midnight the 8th of each month.

8. Cycle Limit – maximum spending (dollar) limit a T-Card/CBA is authorized to charge in a cycle. These limits should reflect the individual’s purchasing patterns. These are preventative controls and, as such, should be used judiciously.

9. Denied Item - a purchase that has been determined by the Supervisor/Reviewer as a non work related purchase and not acceptable for payment. This item must be returned for a credit memo or must if not returnable, employee must reimburse the Department. Continued purchases of this type will result in disciplinary action.

10. Disputed Item – any transaction that was double charged; charged an inaccurate amount, or charged without corresponding good or services by the individual cardholder.

11. Electronic Fund Transfer (EFT) – an electronic exchange or transfer of money from one amount to another, either within the same financial institution or across multiple institutions.

12. Electronic Signature – an electronic sound, symbol or process attached to or logically associated with a record or executed or adopted by a person with the intent to sign the record.

13. Fraud – any transaction, intentionally made that was not authorized by the cardholder or not for Official State Business.

14. Incidental Expense – if travel expenses have been approved, these are expenses incurred while traveling on official state business which are not allowed on the state liability purchasing card. Incidentally includes but are not limited to, meals; fees and tips to porters, baggage carriers, bellhops, hotel maids; transportation between places of lodging/airport such as taxi; phone calls and any other expense not allowed in the State Liability Travel Card and CBA Policy.
DEFINITIONS (continued)

15. INTELLILINK – Visa’s web-based auditing tool which is used to assist with monitoring and managing the agency’s card program usage to ensure that card use conforms to all policies and procedures.

16. ISIS – State of Louisiana’s integrated system used for accounting, financing, purchasing, and contracting functions.

17. LaGov – State of Louisiana’s newest integrated system used for accounting, financing, logistics, human resources, travel and data warehouse storage and reporting.

18. MCC Code (Merchant Category Code) – a standard code the credit card industry used to categorize merchants based on the type of goods or services provided by the merchant. A merchant is assigned an MCC by the acquiring bank.

19. Merchant Category Code Group (MCCG) – a defined group of merchant category codes. MCCGs are used to control whether or not cardholders can make purchases from particular types of merchants.

20. Merchant – a business or other organization that may provide goods or services to a customer.

21. Billing Statement of Account - a listing of all transactions charged to the cardholder’s account through the end of the monthly billing cycle. This statement is sent by the bank, directly to the cardholder, on a monthly basis for reconciliation purposes. This is not a bill. The cardholder must reconcile this statement upon receipt and forward it to the Approver to accompany transaction documentation at the time of review and approval.

22. Monthly Spending Limit - a dollar limit assigned to the cardholder for the total of all charges made during the monthly billing cycle.

23. PPM 49 (Policy Procedure Memorandum 49) – the state’s general travel regulations. These regulations apply to all state departments, boards and commissions created by the legislature or executive order and operating from funds appropriated, dedicated, or self sustaining; federal funds, or funds generated from any other source. [http://doa.louisiana.gov/osp/travel/travelpolicy/2013-2014travelguide.pdf](http://doa.louisiana.gov/osp/travel/travelpolicy/2013-2014travelguide.pdf)

24. Program Administrator - liaison between the cardholder, Agency Travel Card Administrator, State Program Administrator and Bank of America. Provides support and assistance to all agencies, processes new card applications and changes to cardholder information, provides training and maintains policies and procedures. Maintains user login id and passwords for all agency users. Maintains hierarchal structure for all agency roles.

25. Single Purchase Limit (SPL) – the maximum spending (dollar) limit a T-Card is authorized to charge in a single transaction. The SPL limit may be up to $5,000; however, this limit should reflect the individual’s purchasing patterns. These are preventative controls and, as such, should be used judiciously. Purchases shall not be split with the intent of and for the purpose of evading the T-Card single purchase limit set for cardholders.

26. T-Card – a credit card account issued in an employee’s name. This account is a direct liability of the State and is paid by each agency.

27. Billing Cycle Purchase Log - Printed from WORKS to document the online reconciliation process for purchases/services charged during the billing cycle. The Billing Cycle Purchase Log is printed and filed with the billing statement and the transaction documentation obtained from the merchant.

28. Transaction – a single purchase. A credit also constitutes a transaction.
DEFINITIONS (continued)

29. Transaction Documentation – all documents pertaining to a transaction, both paper and electronic. The documentation is also used for reconciliation at the end of the billing cycle and is to be retained with the monthly reconciliation documentation for review and audit purposes. Examples of transaction documentation include, but are not limited to: itemized purchase receipts/invoices (with complete item descriptions, not generic such as “general merchandise”), receiving documents, credits, disputes, and written approvals. If travel has been approved, documentation should also contain airline exceptions, justifications, approvals, travel authorization, travel expense, etc.

30. WORKS – Bank of America’s web-based system used for program maintenance, card/CBA issuing/suspension/cancellation and reporting.

31. WORKS Workflow – Bank of America’s online system that includes user profiles and transaction workflow. For ISIS and LaGov interfaced agencies, transactions are coded and interfaced to the ISIS/LaGov systems for payment monthly.
**Cardholder Enrollment**

1. A Cardholder Enrollment Form must be completed and signed by the Executive Director for each prospective cardholder. The Executive Director is responsible for assigning cardholder’s spending limits per transaction and per monthly cycle which limits the number of transactions allowed for the cardholder. The form should be sent to:

   Executive Director  
   Louisiana Board of Pharmacy  
   3388 Brentwood  
   Baton Rouge, LA 70809  
   mbroussard@pharmacy.la.gov

2. When the Program Administrator receives the new card from the bank, the cardholder will be contacted for training. The prospective cardholder must attend a training session before receiving and using the credit card.

3. Credit cards are not transferable. Use by anyone other than the cardholder is prohibited. The only person authorized to use the card is the person whose name appears on the face of the card. A transaction can only be signed by the cardholder. A receipt may be signed by someone other than the cardholder if it is being used as a delivery receipt for a phone order. In this case the receipt should be signed “Received By” followed by the employee’s name accepting the delivery.

4. The Program Administrator must be notified immediately of a cardholder’s termination. The cardholder is responsible for return of the credit card to the Program Administrator upon termination of employment. Cardholders who transfer to a new position in the same agency and require the use of the card as part of their new duties must complete a Cardholder Enrollment Form and submit the form to the Program Administrator indicating “Change” on the form.

5. If the card is lost, stolen, or damaged, the cardholder must immediately notify Bank of America at 1-888-449-2273 and the Program Administrator at (225) 925-6498 after reporting the incident to the bank. If the card is located after reported lost or stolen, it must be destroyed.

6. Whenever any information contained on the Cardholder Enrollment Form changes, the changes must be submitted to the Program Administrator on the form with “Change” checked on the form.

7. The cardholder shall submit through their chain of command a Cardholder Enrollment Form indicating “Change” if use of the card has changed and lower or higher limits are necessary.
Supervisor/Approver Responsibilities

1. Obtain annual approver certification through the State’s online certification training program in which a passing grade of at least 90 must be obtained.

2. Obtain agency program training and sign an Approver Agreement Form, annually, with originals given to agency program administrator along with approver receiving a copy.

3. Obtain, review and understand the state and agency policies and all applicable rules, regulations, policies, procedures, guidelines, statutes, executive orders and PPM49, if applicable.

4. Keep well informed of program updates as sent from agency program administrators or anyone associated with the State Liability T-Card Program.

5. Ensure that a log is completed by each cardholder, that the log corresponds with the monthly billing statement and that the log and statement are signed by both approver and the cardholder.

6. Always submit approvals with all necessary documentation including complete line item descriptions where generic description is on receipts such as “general merchandise” (both paper and electronic) in a timely manner.

7. Ensure that supporting documentation, including the signed log or approved electronic log and signed statement, by both approver and the cardholder, along with any findings and justifications are sent to the agency’s fiscal office for review, where the documentation will be maintained in one central location, in accordance with the state’s requirements and the agency’s policy.

8. Immediately report any fraud or misuse, whether actual, suspected or personal charges to the agency program administrator, as well as, agency head and other personnel/agencies as required. An approver will participate in any disciplinary actions which may be deemed appropriate, if necessary.

9. Notify an agency program administrator, immediately, upon separation, change in department/section or during extended leave for any cardholders in which you are the approver.

10. Complete an exit review, with the cardholder, of the cardholder’s transactions, supporting documentation and receipts, as well as, obtaining necessary signatures prior to departure.

11. Ensure that the T-Card is obtained from the employee upon separation or change in department/section and return card to agency program administrator. Ensure that agency program administrator makes necessary changes to cancel the card and to remove approver as the employee’s approver and/or employee from the list of cardholders for which approver is responsible.

12. Ensure that either approver or the cardholder notifies the agency program administrator if card is lost, stolen or has fraudulent charges. Ensure the cardholder immediately notifies the bank as well.

13. Review, at a minimum annually, all cardholders which approver is designated as an approver along with profile limits to ensure appropriate utilization of the card and program intent. This will ensure that all cardholders limits, MCC Codes, etc., are working properly for the cardholder. If limits or codes are not allowing the cardholder to perform his duties, then approver should contact the agency program administrator to make necessary adjustments.

14. Ensure that cardholder is never a final approver of his own monthly transactions.

15. Ensure each transaction, to the best of approver’s knowledge:
• Has an appropriate business purpose, fits the cardholder’s business needs, and is audited including a review of all supporting documentation.
• Is in compliance with all current purchasing rules and regulations, statutes, executive orders, policies and PPM49, if applicable.
• Is in compliance with the board’s policy and the State Liability Travel Card and CBA Policy, if applicable.
• Does not include state tax, as this program is state tax exempt.
• Includes all required and complete documentation, including a detailed receipt, supporting the transaction and all documentation is scanned into Workflow and tied to the appropriate transactions.
• Is not a duplication of personal request and/or reimbursements, if for travel related expenses.
• Has been verified to ensure that each transaction has a receipt and the receipt’s date, supporting documentation and documentation dates, along with the log dates, correspond with known business needs or trip allowances and dates, if applicable and travel has been approved, along with program cycle dates (which begin the 8th of one month and ends the 9th of the following month).
• Has been coded properly for payments as outlined in the agency policy and procedures and as required in Workflow for ISIS and LaGov interfaced agencies.

16. Secure all assigned WORKS application User IDs and passwords. Never share User ID and passwords and/or leave the work area while logged into the system or leave log-in information lying in an unsecure area.
17. Ensure Ebay, Paypal, Amazon, etc are tied to business accounts and are legitimate state business related purchases.
18. Understand that failure to properly fulfill responsibilities as a T-Card approver could result, at a minimum, in the following:
   • Written counseling which would be placed in employee file for a minimum of 12 months.
   • Consultation with agency program administrators, and possibly head of agency and internal audit section.
   • Disciplinary actions, up to and including termination of employment.
   • Legal actions, as allowed by the fullest extent of the law.

Audit Reports

State Purchasing has created a list of reports created for agencies to use for monthly audit requirements of this program through WORKS and Intellilink. Some reports are required to be generated and reviewed at least once a month, while others have been created and designed as added value to assist in policy compliance. Although all of the reports are not required monthly, agencies are strongly encouraged to determine which of the reports are of the most value to them and should consider rotating them, at a minimum every other month.

When running these reports, it is the agency’s responsibility to not only review the data gathered, but to make certain that transactions are for a business purpose and have a legitimate business need for the cardholder. In the event that a transaction is being investigated, the cardholder must explain and justify the transaction being questioned. Based on the cardholder’s explanation, the agency should address the situation accordingly.
Supervisor/Approver Responsibilities (continued)

All documentation/findings/replies, resulting from the monthly audit of T-card transactions, are to be centrally located and readily available for any internal or external audits that may occur. Most reports are available through VISA Intellilink. Intellilink’s data is available for a 27 rotating month period. If an agency requires documentation retention for more than 27 months, it is the responsibility of the agency to obtain and archive the transaction data accordingly.

Monthly certification that the above procedures have been conducted must be submitted to the Office of State Travel. The certification will indicate that agency personnel administering the T-card program have generated the required reports, all requirements listed in the policy have been completed, and necessary findings have been investigated, documented and handled appropriately.

In addition, reports shall be used as a tool to assist the agency program administrator / agency with determining which cardholders may need a refresher training course, re-certification of the state’s online training, counseling, cancellation of card, due to inaccuracies, etc., as well as, to determine possible changes to cardholder’s limits, profiles, and MCC groups.

When WORKS Workflow implementation has been completed, a Billing Cycle Purchase Log report will be available for print. It is an un-editable, PDF, formatted report. The WORKS Workflow system data is generated at the time of report request with the most current signoff information with the date and time stamp of the approval captured in the audit tracking along with all documentation which has been scanned to support T-Card transactions and tied to the appropriate transaction. Always ensure that the correct cycle period/dates are entered when printing the log report. Cycle dates for the program begin on the 8th of one month and ends on the 9th of the following month.

Once an agency has implemented WORKS Workflow, there are additional reports that can be created to give cardholder approvers, accountants, agency program administrators, auditors, and management information to monitor the compliance of their cardholders and staff. Data is available electronically within WORKS Workflow for up to 3 years. If an agency requires documentation retention for more than 3 years, it is the responsibility of the agency to obtain and archive the transaction data annually.
Cardholder Responsibilities

1. Use T-Card for official state business only. No personal use. T-Card is limited to the person whose name is embossed on the card. The T-Card shall not be used to pay for another or loaned to another person to pay for official or non-official business expenses.

2. Attend required agency training and sign a State Corporate Liability Cardholder Agreement Form, annually, acknowledging cardholder’s responsibilities prior to receiving the card.

3. Obtain annual cardholder certification through the State’s online certification training program receiving a passing grade of at least 90 to possess or continue to possess a State of Louisiana T-Card.

4. Never include the full T-Card account number in emails, fax, reports, memos, etc. If an account number is necessary, only the use of the last four or eight digits of the account number is allowed.

5. Secure assigned WORKS application User IDs. Never share User ID and password and/or leave work area while logged into the system or leave log-in information lying in an unsecure area.

6. Recognize that the T-Card is the property of the State of Louisiana and the cardholder is responsible for the physical security and control of the T-Card and its appropriate use. The Cardholder is also responsible for maintaining the security of card data such as the account number, the expiration date, and the card verification value (CVV), the 3-digit security code located on the back of the card.

7. Never send a copy of the T-Card if requested by a merchant. If this is required for payment, then the cardholder must use another form of payment other than the State Liability T-Card.

8. Never use an individual T-Card for personal, non-business expenses for any reason.

9. Never pay taxes on purchases with this card, since it is a state liability. See Section 6.

10. Never, under any circumstances, use the T-Card to access or attempt to access cash.

11. Never accept cash in lieu of a credit to the T-Card account.

12. Never use T-Card for gift cards/gift certificates, without prior approval from the Office of State Purchasing and Travel, as they are considered cash and taxable.

13. Never use T-Cards to avoid procurement or payment procedures.

14. Never use the T-Card for the purchase of alcohol, food, travel expense transactions or entertainment services. The only exceptions are vehicle rentals.

15. Never use T-Card for fuel or vehicle maintenance if agency is part of the Fuel Card and Maintenance Program.

16. Submit all required transaction documentation (both paper and un-editable electronic format), special approvals, etc., timely. Remember, every transaction must have a receipt with a full description, not a generic description such as “general merchandise” or item should be fully documented/described elsewhere (both paper and un-editable electronic format). Failure to do so should result in cancellation of T-Card. All paper supporting documentation, including the signed log or approved electronic log and signed memo statement, along with any findings and justifications is to be scanned into Workflow and tied to each applicable transaction. All mentioned above, will be sent to the supervisor/approver for required audit and signatures, and forwarded to the agency’s fiscal office for review and file maintenance.
Cardholder Responsibilities (continued)

17. **NEVER MAKE A PAYMENT DIRECTLY TO THE BANK** in the event that an unauthorized charge is placed on the individual’s state corporate liability T-Card. Making a payment directly to the bank will cause the monthly statement billing file to be out of balance, and the agency will have to determine the cause. Ultimately, it will be determined that a personal payment was made. In order to avoid this situation, report any unauthorized charges to the agency’s program administrator immediately, along with decision on how the funds will be reimbursed back to the agency.

18. Notify the agency’s program administrator if fraudulent charges are noticed, as the card may need to be cancelled and another card issued.

19. Notify the agency’s program administrator if use of a card has changed and lower or higher limits are necessary.

20. Responsible for requesting additional training if the use of the online Works system proves to be difficult to master

21. Agrees to reimbursement of unauthorized charges by personal check or payroll deduction.

22. Makes purchases for which the cardholder has been authorized to spend and does not exceed their single transaction limit.

23. Card declines due to exceeding monthly or single transaction limit may result in cancellation of the card. (See Card Misuse section).

24. Online accounts such as Ebay, Paypal, Amazon, etc must have a standalone business account or registration and must not be combined with an individual’s personal account.

25. Cardholder’s business email address must match the cardholder’s name.
Making a Purchase

Merchants Category Codes (MCC) have been developed and built into the card. These codes authorize the types of goods and/or services for which individual cards may be used (i.e. office supplies). A list of Merchants Category Codes is furnished to cardholders. Included in the list are prohibited and restricted codes. Cardholders are prohibited from attempting to purchase from the prohibited or restricted merchants unless the Department has obtained prior approval from the Office of State Purchasing and Travel.

LBP – Louisiana Board of Pharmacy purchasing procedures will remain the same. Procedures for making card purchases:

1. Obtain necessary approvals to purchase through proper chain of command.
2. When making purchases in person, the cardholder must sign the charge receipt and retain the customer copy or proper documentation of the purchase. Cardholder should be certain that the total amount of the purchase (including shipping, handling, postage, freight, etc.) does not exceed the card’s single transaction dollar limit.
3. State sales tax should not be charged on card purchases.
4. When making a purchase other than in person (e.g. via telephone, computer, mail order, etc.), the cardholder should give the vendor the account number and tax exempt number (both of which are embossed on the card) and direct the vendor to include the following on the shipping label or packing slip.
   - Cardholder name and telephone number
   - Department name
   - Complete delivery address
   - VISA purchase
5. For items such as subscriptions and registrations, where the vendor does not normally generate a receipt or packing slip, a copy of the ordering document may be used. Acceptable documentation must include a line description and line item pricing for the purchase or the item will not be reimbursed.
6. The cardholder must maintain a file of transactions including document purchase type (telephone, computer, mail order, etc.) to facilitate monthly reconciliation. The cardholder will be solely responsible for reconciling his statement with the database.
7. In the event the Central Warehouse receives a shipment on behalf of the cardholder, Central Warehouse personnel will notify the cardholder of receipt. The cardholder will be responsible for retaining all documentation (shipping labels, packing slips, etc.) related to the purchase.
8. The cardholder will maintain a permanent file of all supporting documentation for card purchases, in accordance with state laws. The documentation is subject to review by LBP, the Legislative Auditor and other duly authorized auditors. The file must be maintained for a period of 3 years. If the purchase is for a grant funded project, the cardholder is responsible for ensuring the documentation is maintained for the appropriate required retention schedule.
Making a Purchase (continued)

Merchandise Returns & Exchanges

1. The cardholder is responsible for contacting the merchant when merchandise purchased with the card is not acceptable (incorrect, damaged, defective, etc.) and arranging for the return for credit or exchange.

2. If the merchandise is to be exchanged, the cardholder is responsible for returning the merchandise to the merchant and obtaining a replacement as soon as possible. Documentation of the resolution of the exchange is to be retained with the support documentation of that purchase.

3. If the merchandise is returned in person, the cardholder is responsible for obtaining a credit receipt from the merchant and retaining the receipt with the support documentation. If the merchandise is shipped back to the supplier, prepare the package according to supplier instructions and retain shipping documents until supplier issues a credit or exchanges merchandise. Supplier must issue credit to the card. Receiving cash or checks to resolve a credit is prohibited.

State Corporate Business Account (CBA) Requirements/Guidelines

1. All CBA transactions must be in accordance with PPM49 guidelines, State Liability Travel Card and CBA Policy, Purchasing Policies, Rules and Regulations, Board policy, Louisiana Statutes and/or Executive Orders.

2. The purpose of a CBA is to provide a tool for agencies to purchase airfare, conference registrations and assist with payment of high dollar travel expenses only, as per current State Liability Travel Card and CBA Policy. Please realize that although other travel related charges are now allowed on the CBA account, the traveler should be aware that there is no plastic issued for a CBA to ensure that this will not impair his travel plans.

3. The account(s) are issued in the name of the agency and the agency program administrator is the primary point of contact for administering the accounts. The agency may designate an administrator/authorizer per account. Each administrator has the same duties, obligations and responsibilities as a cardholder. The contract travel agency must be notified of authorizers for each CBA account.

4. CBA account(s) shall have an overall card cycle limit determined by the agency. These limits should reflect the agency’s travel patterns. Therefore, these limits must be judiciously established by the agency and adhered to accordingly. The agency Program Administrator may establish a new or additional CBA account through Bank of America’s on-line system, WORKS.

5. The CBA accounts are the direct liability of the State. Each agency is responsible for ensuring all accounts are paid timely and in full each month with ONE electronic funds transfer (EFT) to Bank of America.

6. CBA accounts do not allow issuance of a plastic card. These are referred to as ghost accounts. If it is determined that personal or other unauthorized charges are occurring on the CBA account, appropriate steps, up to and including dismissal, shall be taken to resolve the misuse/abuse of the account.
7. The full CBA account number shall never be included in emails, fax, reports, memos, etc. If an account number is necessary, only the use of the last four or eight digits of the account number is allowed.

8. All persons with approval for use of travel on their T-Card shall follow the Statewide Travel card policy and procedures and PPM49.

**Reconciliation**

Agency procedures and controls are in place for prompt payment, reconciliation and cost distribution of charges and credits. Post audits of cardholder transactions will be performed to monitor the number and dollar amount of purchases made; vendor used, and detailed transaction information to properly allocate the cost.

1. The paper billing statements from Bank of America will be mailed directly to each cardholder at the business address. The cardholder must reconcile purchases made during the billing cycle by matching the billing statement to the online transaction log in WORKS, along with the cardholder’s supporting documentation (receipts). The documentation (receipts) will be reviewed and certified by the cardholder as received OR reported as a disputed item if the receipt does not match the transaction online information. The cardholder shall allocate the expense to the appropriate budget categories and sign off electronically in WORKS on each transaction by the 8th of the month. This information will be queued for supervisory review and approval.
   - If a charge or credit does not appear on the statement within 60 days after the original charge or credit was made, the cardholder must notify the Program Administrator.
   - Incorrect charges are disputed online in the WORKS system.

2. The Approver must review the information in WORKS, along with the documentation submitted by the cardholder. Approver must verify that acceptable documentation exists (including line item description, price and coding) to support each purchase and/or credit, verify that purchases are for official state business, and that purchases comply with appropriate rules and regulations. The Approver shall approve the log by signing off in WORKS to certify his review and approval. A cardholder shall not, and cannot, approve his own monthly purchasing log in WORKS. The WORKS transaction log must be reviewed and approved (signed off) by the Approver for the previous billing cycle by the 11th of the month.

Once approved and returned to the cardholder, the cardholder shall print a copy of the Billing Cycle Purchase Log to file with the billing statement and transaction documentation. This log will document the electronic approvals and coding in addition to the electronic approvals tracked within WORKS online system.

Note: If the Approver determines that personal or unauthorized charges are made on the card, the transaction is “flagged” in WORKS, which returns it to the cardholder, with a comment, for resolution. If repeated issues occur, appropriate steps shall be taken to resolve the misuse/abuse of the card. When an unapproved item was purchased and it is discovered during review, the item should be returned for a credit memo. If the item is nonrefundable, the employee must reimburse the Department for this purchase.
Reconciliation (continued)

3. If a cardholder’s transactions are not signed off timely, the card balance will not be fully refreshed to the full monthly credit limit until all transactions are completed (signed-off) for all previous cycles.

4. All supporting documentation, including the signed log or approved electronic log and signed memo statement, by both cardholder and approver, along with any findings and justifications, must then be forwarded to the agency’s fiscal office for review and maintenance of the file. Once all approvals and audits by cardholder approvers have been obtained and forwarded to the agency’s fiscal office, the agency’s fiscal office must review receipts in the program journal vouchers to correct any necessary coding changes.
Card Misuse

1. **Fraud Purchase** – any use of the T-card/CBA which is determined to be an intentional attempt to defraud the state for personal gain or for the personal gain of others.

An employee suspected of having misused the T-Card/CBA with the intent to defraud the state will be subjected to an investigation. Should the investigation result in findings which show that the actions of the employee have caused impairment to state service, and should those findings be sufficient to support such action, the employee will be subject to disciplinary action. The nature of the disciplinary action will be at the discretion of the Entity’s Appointing Authority and will be based on the investigation findings and the record of the employee. Any such investigation and ensuing action shall be reported to the Legislative Auditor, the Office of Inspector General and the Director of the Office of State Purchasing and Travel.

2. **Non-Approved Purchase** – a purchase made by a State cardholder for whom payment by the state is unapproved. A non-approved purchase differs from a fraud purchase in that it is a non-intentional misuse of the T-card/CBA with no intent to deceive that agency for personal gain or for the personal gain of others.

A non-approved purchase is generally the result of a miscommunication between a supervisor and the cardholder. A non-approved purchase could occur when the cardholder mistakenly uses the T-card/CBA rather than a personal card.

When a non-approved purchase occurs, the cardholder should be counseled to use more care in handling of the T-card/CBA. The counseling should be in writing and maintained in the employee’s file for no longer than one year unless another incident occurs. The employee shall pay for the item purchased inappropriately. Should another incident of a non-approved purchase occur within a twelve (12) month period, the appointing authority should consider revocation of the T-card/CBA.

3. **Same Vendor/Same Day (Split Purchasing)** – A split purchase occurs when a cardholder purchases like commodities within a limited time frame, while exceeding the single purchase limit set for cardholder. Purchases shall not be artificially divided to avoid the single purchase limit (SPL) or procurement procedures.

4. **Merchant Forced Transaction** – Commercial cards are accepted by a variety of merchants that process transactions only if approved by the issuing bank thereby abiding by the card controls in place. Merchant transactions are processed using one of the 2 steps as follows:
   1. Merchants process transactions against card controls (MCC, limits, expiration date, etc.) and, if approved, receive an authorization number.
   2. Merchants submit the transactions for payment from the bank.
   3. In rare instances, merchants will circumvent the authorization process and only perform step 2. This means that the merchant didn’t process the transaction against the card controls and therefore did not receive an authorization number.
   4. If this happens, the merchant has forfeited all dispute rights and the transaction can be disputed and unless the merchant can provide a valid authorization number, the dispute will be resolved in the cardholders favor.
Card Misuse (continued)

5. Card and WORKS User ID/Password Security

Each cardholder, CBA administrator, agency program administrator, auditor, cardholder approver, etc is responsible for the security of their card, User ID(s) and password(s), and therefore should:

- Never display their card account number, WORKS and WORKS Workflow User ID numbers and passwords around their work area
- Never share User IDs and passwords and/or leave work area while logged into the system or leave log-in information lying in an unsecure area
- Never give his or her card account number, User IDs or passwords to someone else
- Never email the full account numbers or User IDs numbers or passwords under any circumstances

Consequences of Card Misuse

- Suspension/cancellation of card
- Written counseling which would be placed in employee file for a minimum of 12 months
- Consultation with agency program administrators, and possibly head of agency and internal audit section
- Disciplinary actions, up to and including termination of employment.
- Legal actions, as allowed by the fullest extent of the law.

Sales Tax

1. LA state sales tax should not be charged on card purchases.

2. In the event state sales tax is charged and a credit is warranted, it will be the cardholder’s responsibility to have the vendor (not Bank of America) issue a credit to the cardholder’s account.

3. It is State Policy not to pay LA sales tax; however, the Agencies may exempt cardholders from obtaining a credit from the vendor for the state sales tax charges of $25.00 or less. If a cardholder continually allows taxes of $25.00 or less to be charged to the card, corrective measures must be taken. It is the Agency’s responsibility to monitor these sales tax transactions to ensure corrective action is taken against repeat offenders.

4. See current State Liability Travel card and CBA Policy for travel exemptions
1. Ensure that documentation is adequate and sufficient to adhere to current purchasing policies, rules, regulations, statutes, executive orders, State Travel Card and CBA Policy, for recording of expenditures in the State/Agency accounting system and the State Liability Travel card and CBA Policy and PPM49, if applicable. The agency must ensure that all supporting documentation along with receipts are scanned and attached to each corresponding transaction. Agencies should ensure that immediate supervisors/approvers are verifying and ensuring that these controls are being met and that transactions are appropriate, accurate, have a business case and business need for the purchase, all receipt dates and other supporting documentation dates are applicable with known need or business travel, if applicable, and approved. Documentation of approval must be accomplished electronically online by signing off on the transaction. Approval by the approver certifies that the documentation is acceptable for each transaction, that it was for official state business, that it is in compliance with appropriate rules and regulations, etc., as mentioned above and that it has been reviewed and is approved.

2. Documentation is required for all purchases and credits. For items purchased over the counter, the cardholder should obtain the customer copy of the receipt. When ordering by telephone, fax, or computer, the cardholder must obtain a packing list or similar document. For items such as registrations, where the vendor does not normally generate a receipt or packing slip, a copy of the ordering document may be used. Acceptable documentation must include a line description, with full description not a generic “general merchandise” description, and line item pricing for the purchase. Electronic receipts are allowed if they are un-editable and are maintained in compliance with the agency retention policy.

3. For internet purchases, the print out of the order confirmation showing the details, or the printout of the order details, or the shipping document if it shows what was purchased, the quantity and the price paid suffice for the itemized receipts.

4. The agency cardholder approvers will forward all supporting documentation along with invoices, receipts and signed paper or approved electronic log, by both cardholder and approver, and signed statement, by both cardholder and approver, and any findings and justifications to the agency’s fiscal office for review and for maintenance of the files in accordance with record retention laws. This file must be centrally located in the agency’s fiscal office and will be subject to review by the Office of State Purchasing and Travel, the Louisiana Legislative Auditors Office and any other duly authorized auditor.

5. All system entries and scanned supporting documentation, when utilizing Workflow and electronic approvals are maintained electronically within the WORKS Workflow online system for up to 3 years. If an agency requires documentation retention for more than 3 years, it is the responsibility of the agency to obtain and archive the transaction data annually. If the purchase is for a grant funded project, the cardholder is responsible for ensuring the documentation is maintained for the appropriate, required retention schedule.
Dispute Resolution

The cardholder’s first recourse is to contact the merchant to try and resolve problems regarding disputed items, charges or quality.

1. If the merchant agrees the error has been made, he will credit the cardholder’s account. The credit will appear on the next monthly billing statement. The cardholder should check the next statement for the credit.

2. If the problem with the vendor is not resolved, notice of the dispute must be communicated to bank within 60 days from the billing close date (5th of each month) to:
   Bank of America-Commercial Card Service Operation
   P.O. Box 53142
   Phoenix, AZ 85072-3142
   Phone (800) 352-4027 Fax (888) 678-6046
   A copy of the dispute form should be faxed to the Program Administrator at (225) 925-6498.

3. The transaction will be paid; therefore, it is important for the cardholder to mark the online WORKS transaction as “DISPUTED.” The cardholder should retain a copy of the disputed documentation and verify receipt of the credit on future statements.

4. All disputes will be resolved by Bank of America within 180 days.

Fraudulent Charge

In the event of a fraudulent charge, the cardholder shall complete the following steps:

- Contact the Bank of America’s Security Division at (877) 451-4602. Sign and return the affidavit provided by Bank of America. Notify the Travel Card Program Administrator (225) 925-6498 of the fraudulent charge. Submit a copy of the fraudulent charge affidavit to the Travel Card Program Administrator. Indicate the fraudulent charge in the comment section of the transaction during online reconciliation in WORKS.
State law requires accountability for state property, which is inventoried annually. All moveable property is tagged with an official state tag label and shall not be removed by any employee under any circumstance. Employees are responsible for maintaining a current inventory of moveable property and equipment assigned to them and furnishing a copy of said property list to the Office Manager upon request.

Certain employees, depending on the nature of their duties, may be issued credit cards, portable electronic equipment and other board property for which the employee shall sign a receipt and be held personally responsible, e.g., cell phones, laptops, printers, etc. Employees are responsible for safeguarding such equipment and reporting any relocated, lost, stolen, or damaged property to the Office Manager or the Appointing Authority within 24 hours.

Never sell, loan, transfer, assign, entrust, or donate any inventory and non-inventory property to any person or entity, or use property for personal or illegal purposes.

Upon termination of service, an audit of property shall be conducted prior to out-processing with the Office Manager or the Appointing Authority.

**Lost or Stolen Property**

Employee shall be solely responsible for said property if misplaced and/or lost, due to the negligence, recklessness, or intentional act of the employee. The employee shall replace the equipment and/or reimburse the Louisiana Board of Pharmacy for the entire cost of the said property, as provided by La. R.S. 34:305.E.

In certain circumstances, if the property lost is not the fault of the employee, proper documentation (e.g., police reports, etc.) shall be copied and sent to the Office Manager within 30 business days from the time of the incident. The Appointing Authority has the discretion to waive any costs associated with said property.

For more details or further information, please refer to state guidelines, Title 34 – Government Contracts, Procurement, and Property Control, at the following website: [http://www.state.la.us/osr/lac/34v01/34v01.pdf](http://www.state.la.us/osr/lac/34v01/34v01.pdf).
Title: Telecommunications

Approved: 05-11-2005

Any request for state telephones or state telephone service should be handled through the Appointing Authority for approval and then sent to the Office Manager for processing.

State employees are to make no personal long distance calls on department telephone lines, unless the employee reimburses the state for the cost of the personal long distance call at rate of ten cents per minute.
Per the Federal Employee Privacy Laws and Regulations, Workplace Searches and Seizures, grants the Louisiana Board of Pharmacy the right to conduct workplace searches, provided it is within the guidelines of the law.

To safeguard the property of employees and to help prevent the possession, use, and sale of illegal drugs on State premises, and in keeping with the Louisiana Board of Pharmacy’s drug policy, the Louisiana Board of Pharmacy reserves the right to question employees and all other persons entering and leaving the premises.

Employees of the Louisiana Board of Pharmacy should have little expectation of personal privacy in the workplace. File cabinets, desks, and workspaces provided to employees are the property of the Louisiana Board of Pharmacy. If the Louisiana Board of Pharmacy has a legitimate reason to conduct a search of these areas, the Louisiana Board of Pharmacy has the right to do so, as long as the personal rights of an individual are not violated. Personal property, such as purses, briefcases, restrooms, and automobiles will not be searched, unless the Appointing Authority has substantial evidence that an employee has been involved in misconduct or criminal activity. If a search is conducted of an employee’s personal belongings, the search will be limited to business-related items only. Searches should only be conducted for legitimate work-related reasons or when the Louisiana Board of Pharmacy has reasons to suspect misconduct or policy violations.

Depending on the certain circumstances of a search, the Louisiana Board of Pharmacy will obtain an employee’s consent before conducting a search of an individual’s workplace, and will be applied reasonably, consistently, and as discreetly as possible.

Employees working on, entering, or leaving the premises who refuse to cooperate in an inspection, as well as employees who after the inspection are believed to be in possession of stolen property or illegal drugs, shall be sent immediately to the Appointing Authority and shall be subject to disciplinary action. This may include termination if upon investigation the employee is found to be in violation of the Louisiana Board of Pharmacy’s rules and regulations. Any employee who may be in possession of stolen state property or illegal drugs is subject to criminal prosecution in accordance with the provisions of Louisiana law as outlined in Title 14 – Criminal Code and Miscellaneous Offenses, as well as Title 40 – Public Health and Safety.
The Louisiana Board of Pharmacy computer network provides access to information stored on the employee’s personal computers, laptop computers, network servers, and the Internet.

This policy outlines the responsibilities of all Louisiana Board of Pharmacy employees. Anyone using or accessing office computer equipment is responsible for reading, understanding, and following these guidelines. Individuals who violate this policy risk disciplinary actions. It is important that employees treat electronic mail (email) and other electronic communications as permanent public records.

The guidelines in this policy refer to the use of Louisiana Board of Pharmacy network or hardware resources. This includes use of any office computers or access to any resources stored on the office server. All users of Louisiana Board of Pharmacy computers are covered by this policy. Other users include, but not limited to, employees, board members, contractors, and volunteers.

Employees are responsible for computer equipment assigned to them. Only authorized personnel may install hardware and software on the user’s computer. For further information on installing hardware and software, please see the Office Manager.

**Guidelines**

Employees are expressly prohibited from engaging in the following activities at any time while using the Louisiana Board of Pharmacy equipment or facilities or when using a Louisiana Board of Pharmacy Internet Provider (IP) address:

- Accessing, sending, soliciting, displaying, printing, or otherwise disseminating material that is reasonably likely to harass, threaten, or embarrass others, or that is sexually explicit, fraudulent, or is otherwise inappropriate in a professional environment.
- Transmitting statements, language, images, or other material that are reasonably likely to be perceived as offensive or disparaging of others based on race, national origin, sex, sexual orientation, age, disability, or religious or political beliefs.
- Copying, disseminating, or printing copyrighted material, including articles, images, games, or other software.
- Engaging in activities that would in any way bring discredit to the Louisiana Board of Pharmacy.
- Gaining or attempting to gain unauthorized access to any computers, computer networks, databases, data, or electronically stored information.
Reporting Computer Problems

Employees are to directly contact the Office Manager with any and all computer problems. The Office Manager will then contact the appropriate personnel to diagnose the problem further and determine if service is needed.

The Office Manager shall be notified immediately if a computer virus is suspected.
The Internet provides a source of information in which almost every employee at the Louisiana Board of Pharmacy can benefit from.

The Louisiana Board of Pharmacy authorizes users to access the Internet when direct work-related benefits can be gained. The Louisiana Board of Pharmacy encourages authorized Internet users to develop strong Internet user skills and knowledge. It is expected these individuals will use the Internet to improve their job knowledge, to access legal, technical, and other information on topics that have direct relevance to the Louisiana Board of Pharmacy.

Internet access is primarily intended as a tool to help the office serve its customers.

Personal use of the Internet is acceptable as long as this use is not demeaning to the Louisiana Board of Pharmacy; however, excessive personal use of the Internet or email resources may lead to loss of the privilege or other disciplinary actions.

If you suspect anyone of Internet misusage, you shall report this potential problem immediately to the Office Manager, who will then inform the Appointing Authority.

**Monitoring**

Per the Federal Employee Privacy Laws and Regulations and the Electronic Communications Privacy Act, the Louisiana Board of Pharmacy is permitted to monitor employees’ Internet activities, provided the Louisiana Board of Pharmacy has notified the employee and the employee has given his/her prior signed consent.
Employees of the Louisiana Board of Pharmacy operating a computer have the capability to exchange email messages with each other. In addition, all email users have access to Internet email as well.

When composing email messages, please keep the following in mind:

**Do:**
- Be polite.
- Include a subject line for each email message.
- Keep each line of a message to fewer than 70 characters. Longer lines can cause problems with some email systems.
- Keep in mind that email messages are public records. Words should be chosen carefully when composing email messages.
- Keep in mind when forwarding any email messages to others. Electronic emails can easily be construed in the wrong manner.

**Do not:**
- Type in all capital letters. This is an email form of SHOUTING.
- Use a ‘smiley’ face or other marking to signify humor. Sarcasm can be misunderstood easily in electronic communication.
- Gain or attempt to gain unauthorized access to another person’s calendar or email.
- Open messages from people you do not know or any email messages not intended for you.
- Forward ‘chain emails.’

If you suspect anyone of email misusage, you shall report this potential problem immediately to the Office Manager, who will then inform the Appointing Authority.

**Monitoring**

Per the Federal Employee Privacy Laws and Regulations and the Electronic Communications Act, the Louisiana Board of Pharmacy is permitted to monitor employees’ email activities, provided the Louisiana Board of Pharmacy has notified the employee and the employee has given his/her prior signed consent.
Employees provided with the use of Westlaw or other legal research software should be limited to strictly work-related activities. Employees are responsible for understanding which areas of Westlaw are included in the department’s contract and which areas will result in charges to the office.

Entering areas that result in charges to the Louisiana Board of Pharmacy is forbidden. If an employee is charged for unrelated work activity, he/she’s paycheck shall be deducted for the charges incurred.
Remedial action may take many forms, depending upon the specific circumstances at issue. The following illustrative list includes possible disciplinary actions that may be used, either alone or in combination, depending on the severity of the action being taken:

- Apology;
- Oral reprimand;
- Written warning;
- Suspension; or
- Discharge.

Any remedial action and/or oral and written reprimands, with the approval of the Appointing Authority, shall state at a minimum what occurrence violated the Louisiana Board of Pharmacy’s policy and that a recurrence may result in more serious discipline, up to and including termination. All documentation shall be sent directly to the Office Manager and shall be entered into the employee’s personnel file.
All employees at the Louisiana Board of Pharmacy should be computer proficient. With prior approval of the Appointing Authority, it is the responsibility of each employee to take advantage of any computer training classes deemed necessary at the cost of the Louisiana Board of Pharmacy.
Title: Discrimination
Approved: 05-11-2005

It is the policy of the Appointing Authority to make decisions regarding employment, including hiring, promotion, discharge, pay, fringe benefits, job training, classification, referral, and other aspects of employment without regard to race, color, religion, sex, national origin, military service, handicap, age, or disabilities, as defined in the Americans with Disabilities Act.

It is the policy of the Appointing Authority to ensure equality of opportunity in all aspects of employment and to employ and advance qualified individuals with handicaps, qualified veterans, and special disabled veterans who, with reasonable accommodations, can perform the essential functions of a job.

Employees who present a complaint of discrimination, participate in an investigation of discrimination, or oppose an unlawful employment practice shall not be retaliated against as regards hiring, promotion, discharge, pay, fringe benefits, job training, classification, referral and other aspects of employment.
1. It is the policy of the Louisiana Board of Pharmacy to provide a workplace free of sexual harassment in any form. Sexual harassment of any kind violates the Civil Rights Act (of 1964 and 1991). Violations will not be tolerated and may result in disciplinary action and possible termination of employment.

2. Sexual harassment is any demand or sexual inference connected with one’s job. Examples include verbal or non-verbal sexual innuendoes, suggestive comments, threats, insults, jokes about specific traits, sexual propositions, suggestive or insulting noises, obscene gestures, physical body contact, or coercing of any sexual activity.

3. Sexual harassment also includes any unwelcome sexual advances or requests for sexual favors as a term or condition of any individual's employment, or when this conduct is used as a basis for employment decisions. Furthermore, when such conduct has the purpose or effect of unreasonably interfering with an individual's work performance creating an intimidating, hostile, and an offensive working environment.

4. Employees shall report any acts that affect or interfere with their employment to their supervisor for sexual harassment complaints. If the person the employee is reporting is the supervisor for sexual harassment complaints, then the employee shall contact the supervisor’s superior to file the harassment charge.

5. All such complaints will be both thoroughly and quickly investigated in a confidential and non-biased manner regardless of whether it involves a co-worker or supervisor.

6. The Louisiana Board of Pharmacy protects the rights of those individuals who bring and investigate sexual harassment complaints and also protects those individuals against any acts of retaliation if they pursue the complaints of sexual harassment.

7. As required by SCR 107 of the 2012 Legislature, all employees shall complete one hour of training per year on how to recognize sexual harassment, report it to appropriate authorities, and investigate complaints.
Title: Sexual Harassment
Policy No. II.H.2

Approved: 05-11-2005
Revised: 05-27-2015

Revision History

Any employee of the Louisiana Board of Pharmacy who believes he/she has been a victim of discrimination and/or sexual harassment, whether by a supervisor, employee, peer, superior, board member, subordinate or any other person, should bring this matter to the immediate attention of any of the following: the immediate supervisor, the Office Manager, and/or the Appointing Authority. The involved supervisor and Appointing Authority shall review all discrimination or harassment investigations. They are expected to follow-up on suspicions and rumors of discrimination or harassment. They are to ensure that retaliation is not committed following an employee complaint. Anyone receiving the complaint shall notify the Appointing Authority. If satisfaction is not adequate at initial levels, any affected individual should feel free to bring the matter to the President of the Board of Pharmacy.

Action shall be taken to impartially examine and promptly resolve any complaint. Decisions regarding complaints are to be based upon objective criteria, ignoring any personal biases. Complaints that cannot be resolved by informal means, through help of the officials and services listed above, may be resolved by taking further action. Upon request to any of the above officials, a special committee or procedure may be established by the President to consider a complaint and possible resolution. Any such committee shall consist of no less than three (3) members and no more than five (5) and may include staff members, in an arrangement suitable to deal with the complaint.

Confidentiality of all parties will be respected to the greatest extent possible and employees, students, and others will not be subjected to retaliation of any kind for reporting incidents of sexual harassment. The Louisiana Board of Pharmacy prohibits any form of retaliation against any employee for filing a bona fide complaint under this policy or for assisting in a complaint investigation. However, if after investigating any complaint of harassment or unlawful discrimination, the Louisiana Board of Pharmacy determines that the employee has provided false information regarding the complaint, disciplinary action shall be taken against the individual who filed the false complaint or gave the false information.

Each employee of the Louisiana Board of Pharmacy is responsible for creating an atmosphere free of discrimination and harassment, sexual or otherwise. Further, employees are responsible for respecting the rights of their co-workers.
Employee grievances should be discussed promptly with the employee’s immediate supervisor.

The Louisiana Board of Pharmacy wants all employees to be content in the workplace. Sometimes dissatisfaction arises in relationships between you and other employees or between you and your supervisor. If this occurs, you should feel free to discuss the complaint with your immediate supervisor or, if the employee is your immediate supervisor, you shall discuss the matter with the Office Manager.

If, however, you are not satisfied, with the decision you receive or if the employee’s grievance is not resolved with the immediate supervisor or the Office Manager, you may make an appointment with the Appointing Authority who will then listen to and resolve the grievance in whatever manner is deemed appropriate. A resolution by the Appointing Authority shall be made within five (5) working days.
It is the policy of the Appointing Authority to assure that all employees and the general public who utilize our facilities have an environment which is accident-free and as safe as possible.

The administration of safety is not only a function of management, but of the entire staff. Each individual employee is responsible for helping reach the goal of reducing personal injury and loss of property to the lowest possible degree. Each employee is responsible for supporting safety programs, following safety rules, immediately reporting potentially unsafe conditions or work practices, and for taking effective temporary actions to minimize the risk to themselves, others, or property.

Employees are to report the following items to the Office Manager immediately:

- Any accident, injury, or near miss, no matter how slight;
- Damaged or defective pieces of equipment;
- Any electrical equipment, fixtures, or outlets needing repair;
- Any lights that will not burn or any fluorescent lights that are flickering;
- Broken or missing tiles, damaged floors, or walls; and
- Water or spills on floors.

Remember, safety is up to the employee. Try to become familiar with hazards in the work area and do not take any unnecessary chances. If an employee is injured on the job, the Office Manager should be notified immediately. An accident report must then be completed and the proper forms completed.
Employees are the Louisiana Board of Pharmacy’s most valuable resource and their safety and security is essential to carrying out their responsibilities. Every employee has a reasonable expectation to perform his/her assigned duties in an atmosphere free of threats and assaults.

The Appointing Authority is committed to a workplace free of violence.

Emergency preparedness is critical to protect employees, citizens, clients, and property against possible risks. All employees will report emergencies to the Office Manager, and the proper emergency response teams will be notified using the local “911” service. If the situation calls for a life or death, then the employee shall immediately notify the local “911” service themselves, then report the information to the Office Manager.

If a bomb threat is received by mail, message or telephone, record the information in writing the time and type of threat down, location of bomb, expected time of detonation, whether it is a male or female voice, sounds in the background if any, and any other valuable information. If the threat is received by telephone, keep the person on the telephone as long as possible to determine any unusual voice characteristics, such as rasping, hoarseness, or stuttering. An employee shall immediately report a bomb threat to the Office Manager, along with all documentation, who will contact the local “911” service.
1. To maintain a safe and comfortable working environment and to ensure compliance with applicable laws, the entire board office building is designated a non-smoking facility. Employees smoking inside any part of the building may be subject to disciplinary action. This includes stairways, hallways, and restrooms.

2. As required by Act 546 of the 2014 Legislature, smoking is prohibited within 25 feet of public access to the Board’s office building.
Title: Smoking  
Policy No. II.I.3

Approved: 05-02-2012  
Revised: 05-27-2015

Revision History

05-27-2015  Amended Item 2 to comply with 2014 legislation.
Title: Ebola Virus Disease  
Policy No. II.I.4

Approved: 11-13-2014

1. The statutory authority for the Board to engage employees is found at La. R.S. 37:1182.B.6.

2. The regulatory authority for Board employees is found at LAC 46:LIII.107.F.

3. The authority of the Louisiana Department of State Civil Service relative to state employees is derived from Article X of the Louisiana State Constitution.

4. The specific authority for this policy is found in Governor Bobby Jindal’s Executive Order BJ 14-13 – Travel to Areas Impacted by Ebola Virus Disease.

5. This policy shall apply to all employees of the Board, both classified and unclassified, and both full-time and part-time.

6. Due to the World Health Organization declaring the Ebola Virus Disease outbreak as an international public health emergency, it is the Board’s policy that its employees shall comply with the following procedures when an employee travels outside the United States of America to a country designated by the Centers for Disease Control & Prevention (CDC) as having a threat of contracting the Ebola Virus Disease.

7. Procedures
   a. When an employee is aware he intends to travel out of the United States of America, the employee shall review the CDC’s website, http://wwwnc.cdc.gov/travel/notices, to determine if the country the employee intends to visit is on the list of countries identified as having a threat of contracting the Ebola Virus Disease.
   b. If the country to which the employee intends to visit is identified by the CDC as having a threat of contracting the Ebola Virus Disease, the employee shall notify his Supervisor at least five (5) business days prior to initiating travel to that country; however, if the travel is to occur within the five (5) business days, the employee shall notify his Supervisor as soon as possible.
   c. The Supervisor shall notify the Human Resources Manager as soon as he is made aware of the international travel of the employee.
   d. If the employee is traveling to a country identified by the CDC as having a threat of contracting the Ebola Virus Disease, the Human Resources Manager shall notify (1) the Executive Director of the Board, (2) the Director and/or the Deputy Director of State Civil Service, and (3) the Department of Health and Hospital’s Infectious Disease Epidemiology Section (EPI) within forty-eight (48) hours of receiving the information if prior to travel and/or...
within twenty-four (24) hours of receiving the information if subsequent to travel.

e. If the employee is traveling outside the United States of America, the employee shall notify his Supervisor if the employee falls ill during the international travel or within twenty-one (21) days of return. The employee shall remain off from work until a doctor of medicine has determined the employee can return to work.

f. If the employee intends to travel to a country identified by the CDC as having a threat of contracting the Ebola Virus, the employee shall provide his Supervisor with the following information:

i. Name of the person making the report. This shall include the reporter’s phone number, email address, and the date/time of the report.

ii. Name of the employee who is or has traveled outside the United States to a country identified by the CDC as having a threat of contracting the Ebola Virus Disease.

iii. The complete dates of international travel, the traveler’s phone number, email address, and the countries visited with dates of entry and departure if known.

iv. This report shall be submitted to the Department of Health and Hospitals, Infectious Disease Epidemiology Section by the Human Resources Manager within twenty-four (24) hours of receipt.

v. The Human Resources Manager shall file the report by email to EPI at IDEPI@la.gov.

g. If the employee travels to a country identified by the CDC as having a threat of contracting the Ebola Virus, the employee shall agree to the following:

i. The employee shall agree not to use any commercial transportation for twenty-one (21) days after departing the affected country.

ii. The employee shall agree not to visit any place where the general public congregates (including, but not limited to, restaurants, grocery stores, gymnasiums, theaters, or places of worship) for twenty-one (21) days after departing the affected country.

iii. The employee shall agree not to return to work for twenty-one (21) days after departing the affected country. The employee shall use sick leave or if the employee has no sick leave, annual leave for the days the employee will be absent from work during the twenty-one (21) days after departing the affected country. If the employee has exhausted sick leave and annual leave, the employee shall be placed on leave without pay (LWOP).
iv. The employee shall agree, if requested by the Department of Health and Hospitals, to medical monitoring by public health officials for twenty-one (21) days after departing the affected country.
Section III – Operations

A. Record Retention Schedule

B. Document Depository Program

C. Collaborative Drug Therapy Management Registry

D. Gold Inactive Pharmacist License
1. R.S. 37:1182.A.18 requires the Board to ‘make, keep, and preserve all books, registers, and records.’

2. The Board delegates the responsibility for compliance with this law to the Executive Director in R.S. 37:1179.F.5: ‘Make, keep, and preserve all books, registers, and records, and be in charge of same, and deliver them to his successor in office.’

3. The Secretary of the State of Louisiana, in coordination with the State Archivist, has the authority to approve all record retention schedules and other records management activities. Pursuant to ultimate approval by the Secretary of the State of Louisiana, the Board will utilize this time schedule to manage its records.

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Type</th>
<th>In Office</th>
<th>Destroy After</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Personnel Records</td>
<td>Permanent</td>
<td>Never</td>
</tr>
<tr>
<td></td>
<td>Employment application and resume</td>
<td></td>
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<tr>
<td></td>
<td>Federal and state tax withholding</td>
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<td></td>
<td>Salary information</td>
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<td></td>
<td>Civil service documents</td>
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<td></td>
<td>Office of Group Benefit documents</td>
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<td></td>
<td>LASERS documents</td>
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<tr>
<td></td>
<td>Miscellaneous/General personnel documents</td>
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<tr>
<td></td>
<td>U.S. Dept. of Justice – I-9 form</td>
<td></td>
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</tr>
<tr>
<td>2</td>
<td>Time &amp; Attendance</td>
<td>6 CY</td>
<td>6 CY</td>
</tr>
<tr>
<td>3</td>
<td>Leave Registers</td>
<td>Permanent</td>
<td>Never</td>
</tr>
<tr>
<td>4</td>
<td>Board Member Appts</td>
<td>Permanent</td>
<td>Never</td>
</tr>
<tr>
<td>5</td>
<td>Non-Hiree Resumes</td>
<td>2 CY</td>
<td>2 CY</td>
</tr>
<tr>
<td>6</td>
<td>Accounting Records, Invoices, Payroll, etc.</td>
<td>7 CY</td>
<td>7 CY</td>
</tr>
<tr>
<td></td>
<td>Bank statements and cancelled checks</td>
<td></td>
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<tr>
<td></td>
<td>Payroll reports</td>
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<td></td>
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<td></td>
<td>Federal withholding reports</td>
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<td></td>
<td>IRS quarterly reports</td>
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<td></td>
<td>Dept. of Regulatory Services employee reports</td>
<td></td>
<td></td>
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<td></td>
<td>Vouchers and paid invoices</td>
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<tr>
<td></td>
<td>Deposit receipts and log</td>
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<td></td>
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<tr>
<td></td>
<td>Cash receipt report from licensing database</td>
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<tr>
<td></td>
<td>Bank reconciliation documents</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Bookkeeping edit lists</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Journal entries</td>
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<td></td>
</tr>
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</table>

CY = Calendar Year / Act = Active
### Louisiana Board of Pharmacy

**Title:** Record Retention Schedule  
**Policy No.:** III.A  
**Approved:** 05-17-2006  
**Revised:**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Type</th>
<th>In Office</th>
<th>Destroy After</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Comprehensive Annual Financial Reports &amp; Audits</td>
<td>Permanent</td>
<td>Never – Transfer 3 copies to Archives</td>
</tr>
<tr>
<td>8</td>
<td>Professional Service Contracts Act + 10 CY</td>
<td>Act + 10 CY</td>
<td>10 years after active term of contract</td>
</tr>
<tr>
<td>9</td>
<td>Inventory/Property Records Act + 10 CY</td>
<td>Act + 10 CY</td>
<td>10 years after property surplused</td>
</tr>
<tr>
<td>10</td>
<td>Board Meeting Minutes Permanent</td>
<td>Permanent</td>
<td>Never – Transfer 3 copies to Archives</td>
</tr>
<tr>
<td>11</td>
<td>Board Meeting Minute Tapes 1 CY</td>
<td>1 CY</td>
<td>1 CY</td>
</tr>
<tr>
<td>12</td>
<td>Board Meeting Packets 10 CY</td>
<td>10 CY</td>
<td>Never – Transfer to Archives</td>
</tr>
<tr>
<td>13**</td>
<td>Pharmacist Licensure Files Act + 1 CY</td>
<td>Act + 1 CY</td>
<td>1 year after death of licensee</td>
</tr>
<tr>
<td>14**</td>
<td>Technician Licensure Files Act + 1 CY</td>
<td>Act + 1 CY</td>
<td>1 year after death of licensee</td>
</tr>
<tr>
<td>15**</td>
<td>Pharmacy Licensure Files Act + 1 CY</td>
<td>Act + 1 CY</td>
<td>1 year after closure of permit</td>
</tr>
</tbody>
</table>

**Summary List**
- Official applications
- Copy of birth certificate
- Verification of licensure from other jurisdictions
- Notes regarding mailing information
- NABP examination eligibility lists
- Reciprocity interview guidelines
- Licensure checklists
- Copies of checks or other fees
- Requests for licensure verification from NABP and other jurisdictions
- Check stub for fee to obtain records
- NABP notification of disciplinary action on reciprocity candidates
- LOSFA notifications
- Email to board members regarding reciprocity candidates
- Certified mail and return receipt cards
- Communication log/records
- Licensure examination results
- Written requests for duplicate credentials
- Certificate order form
- Change forms (address, PIC, etc)
- Facsimile confirmation sheets
- Copies of NSF checks and collection letters
- Examination Scantron® forms
- Envelopes mailed to office
- Correspondence for continuing education (certified envelopes, return requests)
- Copies of death certificates
- Copies of newspaper clippings
- Certification of graduation from educational institutions
- Hours of practical experience earned by interns in academic rotation programs

*CY = Calendar Year  /  Act = Active*
### Louisiana Board of Pharmacy  
**Policies & Procedures**  

**Title:** Record Retention Schedule
**Policy No.** III.A

**Approved:** 05-17-2006  
**Revised:**

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Type</th>
<th>In Office</th>
<th>Destroy After</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hours of practical experience for interns certified to/from other jurisdictions</td>
<td>Act + 1 CY</td>
<td>1 year after case closed</td>
<td></td>
</tr>
<tr>
<td>Preceptor affidavits</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Requests for hours of practical experience to be certified to other jurisdictions</td>
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</tr>
<tr>
<td>Results of NABP examinations to interns</td>
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<tr>
<td>Monthly reports to Dept of Health &amp; Hospitals re new and closed permits</td>
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<tr>
<td>DEA licensure verifications</td>
<td></td>
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<tr>
<td>Lists of interns from colleges and schools of pharmacy</td>
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<td></td>
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<tr>
<td>Other miscellaneous correspondence</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investigative/Litigation Files</td>
<td>Act + 1 CY</td>
<td>1 year after case closed</td>
<td></td>
</tr>
<tr>
<td>Investigative reports with exhibits</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Investigation materials</td>
<td></td>
<td></td>
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<tr>
<td>Drug accountability audits</td>
<td></td>
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<tr>
<td>Impairment records</td>
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<tr>
<td>Drug screen results</td>
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<tr>
<td>Criminal records</td>
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<tr>
<td>Criminal history record checks</td>
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<tr>
<td>Voluntary written statements</td>
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<tr>
<td>Voluntary surrender documents</td>
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<tr>
<td>Donor consent forms</td>
<td></td>
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<tr>
<td>Subpoenas and Subpoenas Duces Tecum</td>
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<tr>
<td>Medical Assistance Trust Fund delinquencies</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Revised Statutes &amp; Administrative Rules</td>
<td>Permanent</td>
<td>Never</td>
<td></td>
</tr>
<tr>
<td>Consumer Complaints</td>
<td>Act + 3 CY</td>
<td>3 years after complaint resolved</td>
<td></td>
</tr>
<tr>
<td>Adjudications, Consent Agreements, Board Orders</td>
<td>Permanent</td>
<td>Never</td>
<td></td>
</tr>
<tr>
<td>Legal Opinions</td>
<td>Permanent</td>
<td>Never</td>
<td></td>
</tr>
<tr>
<td>Records Retention &amp; Disposal Schedules</td>
<td>Permanent</td>
<td>Never</td>
<td></td>
</tr>
<tr>
<td>Correspondence &amp; Memoranda</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General (incl emails)</td>
<td>3 CY</td>
<td>3 years</td>
<td></td>
</tr>
<tr>
<td>Office supply order forms</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>List of Interested Parties</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Xerox monthly reading reports</td>
<td></td>
<td></td>
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<tr>
<td>U. S. Dept of Labor Statistical Reports</td>
<td></td>
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</tr>
<tr>
<td>Telephone message report pads</td>
<td></td>
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<td></td>
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<tr>
<td>Incoming and Outgoing email correspondence</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Board meeting sign-in sheets</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Correspondence sent or received</td>
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</tbody>
</table>

**CY = Calendar Year**  
**Act = Active**
### Record Retention Schedule

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Record Type</th>
<th>In Office</th>
<th>Destroy After</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>Transitory</td>
<td>1 CY</td>
<td>1 year</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Non-office related (computer updates, office closures, etc)</td>
</tr>
<tr>
<td>C</td>
<td>Policy Making/Related</td>
<td>Permanent</td>
<td>Never</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>All policy making or policy related correspondence</td>
</tr>
<tr>
<td>23</td>
<td>Continuing Education Audits</td>
<td>1 CY</td>
<td>1 year</td>
</tr>
</tbody>
</table>

**CY** = Calendar Year  /  **Act** = Active
Revision History

05-17-2006  At the request of the Secretary of State, changed Item No. 2, from 5.5 FY to 6 CY.

CY = Calendar Year   /   Act = Active
1. The statutory authority for this program is RS 25:121-124.

2. The regulatory authority for this program is LAC 25:VII.4301 – 4317.

3. The staff shall compile and maintain a roster and inventory of agency publications.

4. The staff shall cooperate with the Louisiana State Library’s Document Depository Program by transmitting the required number of copies of all public documents on a periodic basis to the state library, at:

   Dr. Karen J Cook
   Recorder of Documents
   State Library of Louisiana
   701 N. 4th Street
   Baton Rouge, LA  70802-5232
   Telephone 225.342.4929
   Facsimile 225.219.4725 4804
   Email KCook@slol.lib.la.us

   a. For all documents printed commercially, 20 copies shall be reserved for and transmitted to the Document Depository Program.
   b. For all documents posted electronically, a PDF copy of the file shall be transmitted to the Document Depository Program.
Revision History

08-14-2013  Added Item 3, updated the contact information in Item 4, and added sub-items (a) and (b). Deleted the remainder of the original policy.
1. The statutory authority for this credential is RS 37:1164(37).

2. The regulatory authority for this credential is LAC 46:LIII.523.

3. Pharmacists seeking approval to collaborate with physicians in collaborative drug therapy management (CDTM) activities shall first acquire a registration from the Board of Pharmacy.
   a. The pharmacist shall complete the Application for Collaborative Drug Therapy Management (CDTM) Registration, or such other form as may be provided by the Board for this purpose.
   b. The pharmacist shall submit the completed form to the Board office. The Executive Director, or his designee, shall review the application to determine the applicant’s compliance with the eligibility criteria identified in the rule.
      • Where the determination is made the applicant is compliant with all eligibility criteria, the Executive Director or his designee shall enroll the pharmacist on the CDTM Registry and then notify the pharmacist of his registration number.
      • Where the staff is unable to determine the applicant’s compliance with all eligibility criteria, the Executive Director shall refer the application to the Application Review Committee, or such other committee as may be determined by the President of the Board. The committee may require the appearance of the applicant to make its determination as to the applicant’s compliance with the eligibility criteria.
   c. The CDTM registration shall be renewed annually at the same time the pharmacist license is renewed.

4. A pharmacist in possession of a CDTM Registration who wishes to engage in a collaborative practice agreement may then file a Notice of Intent to Collaborate with the CDTM Advisory Council of the Louisiana State Board of Medical Examiners. The form for that purpose is available from that board. The application must be supplemented with a copy of the collaborative practice agreement, the contents of which must include those items identified by rule. The application is reviewed by the CDTM Advisory Council, which will then make a recommendation to the Board of Medical Examiners for its ultimate approval. Once approval is obtained from that board, the collaborating pharmacist and physician may initiate their activities as outlined in their collaborative practice agreement. Each separate agreement requires a separate Notice of Intent to Collaborate.
Title: Gold Inactive Pharmacist License
Policy No. III.D

Approved: 02-16-2011

1. The statutory authority for the Board to issue and renew licenses and other designations deemed necessary to engage in the practice of pharmacy is found at La. R.S. 37:1182.A.8.

2. The statutory authority for the Board to issue gold certificates to those pharmacists licensed to practice for 50 years or more and to waive the annual renewal fee is found at La. R.S. 37:1209.

3. The regulatory authority for the Board to allow a pharmacist to place his license on inactive status, with the provision that such license is not valid for practice, is found at LAC 46:LIII.505.A.3.b.

4. The Board makes the following findings as the basis for the policy:
   a. A gold certificate in active status is valid for practice; therefore, its renewal requires compliance with the continuing education requirements.
   b. Faced with the prospect of allowing their professional license to lapse and lose contact with the Board, several pharmacists who no longer wish to practice or comply with continuing education requirements have requested a mechanism to retain a gold certificate that would not be valid for practice.
   c. There is no provision for a credential to be placed in retired status, and it is likely that either legislative or rulemaking activity would be required to develop such a capacity.
   d. The credential at issue is an amalgamation of the gold certificate already authorized by statute and the inactive status already authorized by rule.

5. The holder of a pharmacist gold certificate, while still in active status, may submit a written request to the Board office for the placement of his gold certificate on inactive status.

6. The office shall ascertain the pharmacist’s understanding of the procedures necessary to return a license on inactive status to active status.

7. When appropriate, the staff shall place the active gold certificate on inactive status.

8. A pharmacist gold certificate on inactive status shall not be valid for practice.
9. The renewal of a gold certificate on inactive status shall require the completion of an application form furnished by the Board office. No renewal fee shall be due, and no continuing education shall be required.

10. A request from a pharmacist holding a gold certificate on inactive status to return the license to active status shall be referred to the Board’s Reinstatement Committee for its consideration.
Section IV – Rescinded, Deleted & Obsolete Policies

I.A.2  Declaratory Statements & Advisory Opinions
I.A.6  Centralized Prescription Processing by Out-of-State Hospital Pharmacies
I.A.13  Reporting of Immunizations
I.B.1.a  Pharmacist Licensure Re-examination
I.B.4.a  Reciprocity Committee
I.B.5.a  Reinstatement Committee
II.A.1  Employee Drug Testing
II.A.3  Inspectors Drug Disposal
II.A.5  Salary Administration – Flexible Maximum Hire Rates
II.A.6  Flexible Special Entrance Rates for Salaries
II.B.7  Dress Code
II.C.2  Employment
II.C.3  Employment Benefits
II.C.5  Office Hours
II.C.6  Attendance
II.C.7  Performance Planning & Review
II.C.9  Holidays
II.D.2  Annual & Sick Leave
II.E.1  Purchases
II.E.5  Travel Card & CBA
II.H.2  Sexual Harassment

II.I.3  Smoking

III.B  Document Depository Program
1. The statutory authority for these procedures is RS 49:962.

2. The regulatory authority for these procedures is LAC 46:LIII.359.

3. Petitioner shall be allotted a minimum of thirty (30) minutes to present his arguments in support of a written Petition for Declaratory Statement or Petition for Advisory Opinion validly entered into the record. The Chair may exercise his discretion in extending this period.

4. General Counsel for the Louisiana Board of Pharmacy shall be allotted a minimum of thirty (30) minutes to respond to the Petition for Declaratory Statement or Petition for Advisory Opinion. The Chair may exercise his discretion in extending this period. At any time during General Counsel’s presentation, additional comments, arguments and/or points of information may be presented by other Board representatives or staff with the Chair’s approval.

5. Petitioner shall have no more than fifteen (15) minutes for rebuttal. The Chair may exercise his discretion in extending this period.

6. During the course of all arguments, the Chair may solicit comments from Board members, Board staff and audience members at his discretion.

7. At the conclusion of all arguments, the Chair may solicit comments from Board members, Board staff and audience members at his discretion.

8. All remarks by a member of the Board, Board staff or audience member shall be addressed through the Chair.

9. Upon conclusion of all arguments, comments and points of information, the Chair may either direct the Board to rule on the matter at that time or, based on the complexity of the issues involved, may direct the Board members to take the Petition under advisement and direct a ruling at the next regularly scheduled meeting of the full Board.

10. If the matter is taken under advisement, the Chair shall direct the petitioner to submit any written response to General Counsel’s written arguments on the matter. The Chair shall allow a minimum of fifteen (15) days for the response to be submitted. The Chair may exercise his discretion in extending this period for good cause.
11. In accordance with Robert’s Rules of Order, at the outset of the formal hearing, the Chair shall direct Board members, staff and audience members that decorum shall be maintained throughout the presentation and debate on the matter. After a preliminary verbal warning by the Chair to any individual disturbing the assembly, upon a second recognized instance by the Chair of this individual disrupting decorum, the individual may be escorted from the meeting room and prohibited reentry at the Chair’s discretion.
1. The Board entertained a request from an out-of-state hospital pharmacy requesting guidance as to whether it could render services to a Louisiana-licensed hospital pharmacy.

2. The Board, by unanimous vote, adopted the following motion:

   Resolved, that the Board interprets its statutes and rules in such a manner that a properly permitted out-of-state pharmacy may provide centralized prescription processing services, pursuant to the specifications of LAC 46:LIII.1117, to a Louisiana-licensed hospital pharmacy.
1. The Board entertained a request from a pharmacist credentialed to administer medications for an opinion relative to the reporting of immunizations.
   - The petitioner took note of the provisions of LAC 46:LIII.521.F that appear to require the pharmacist to notify the patient’s practitioner within 24 hours after the administration of a vaccine. Further, he took note that rule was promulgated by the Board in July 2008.
   - The petitioner also took note of La. R.S. 37:1218, which was passed by the 2010 Legislature, taking effect on August 15, 2010. In particular, he noted the statute requires the reporting of influenza immunizations administered without medical orders to the state immunization registry but does not contain any requirement to notify the practitioner.
   - The petitioner requested guidance as to whether the pharmacist was required to notify practitioners of influenza immunizations administered without medical orders. Staff noted the statute did not contain any language exempting influenza immunizations from the requirement found in the rule. Since the rule does not exempt any particular immunizations, staff opined the pharmacist was obligated to report all immunizations to the practitioner within 24 hours, as specified in the rule.
   - The petitioner disagreed with the staff opinion and requested a formal opinion from the Board.

2. The Board reviewed the rule and statute in question, and following substantial discussion considered the following motion:

   **Resolved,** that the Board interpret La. R.S. 37:1218 and LAC 46:LIII.521.F to require all immunizing pharmacists to report all vaccine administrations to the patient’s physician, without respect to the existence of a prescription or medical order for such immunizations.

3. Pursuant to a roll call vote, the motion was adopted.

   Yes: Bond, Burch, Dartez, Hall, McKay, Reed, Resweber, Simonson, Soileau.

   No: Anderson, Indovina, Melancon, Moore, Pitre, Rabb.
1. The statutory authority for this policy is RS 37:1202.B.5.

2. Following the first or second unsuccessful attempt of an examination for licensure, an applicant shall be permitted to attempt that examination for licensure.

3. Following the third unsuccessful attempt of an examination for licensure, an applicant shall not be permitted to attempt that examination for licensure until one year from the last date of that examination.
1. The statutory authority for the Reciprocity Committee is RS 37:1203.

2. The regulatory authority for the Reciprocity Committee is LAC 46:LIII.509.

3. After all other requirements for reciprocity have been completed, the applicant shall apply for an opportunity for the interview examination.

4. Board members shall receive advance notification of reciprocity applicants prior to the interview examination.

5. The date for the reciprocity interview will be determined by Board staff in consultation with both the reciprocity candidate and the interviewer(s).

6. If the candidate requests an interview date prior to the next regular meeting of the Reciprocity Committee, the staff (in consultation with the committee chair) shall use the following order of precedence in facilitating the arrangements:

a. If a member of the Reciprocity Committee is scheduled to be in the Board office for official business, that member shall conduct the interview.

b. If a member of the Reciprocity Committee is not available, but another Board member is scheduled to be in the Board office for official business, that member shall conduct the interview.

c. If no Board member is available, the Executive Director shall conduct the interview.

d. If no interviewer is available through the options stated herein, the Reciprocity Committee Chair shall appoint a member of the Reciprocity Committee or another Board member to conduct the interview.

7. During the Board meeting following any interview examination, the Reciprocity Committee shall submit to the Board for ratification the results of all reciprocity interview examinations.
1. The statutory authority for the Reciprocity Committee is RS 37:1203.

2. The regulatory authority for the Reciprocity Committee is LAC 46:LIII.109.

3. After all other requirements for reciprocity have been completed, the applicant shall apply for an opportunity for the interview examination.

4. Board members shall receive advance notification of reciprocity applicants prior to the interview examination.

5. The date for the reciprocity interview will be determined by Board staff in consultation with both the reciprocity candidate and the interviewer(s).

6. If the candidate requests an interview date prior to the next regular meeting of the Reciprocity Committee, the staff (in consultation with the committee chair) shall use the following order of precedence in facilitating the arrangements:
   a. If a member of the Reciprocity Committee is scheduled to be in the Board office for official business, that member shall conduct the interview.
   b. If a member of the Reciprocity Committee is not available, but another Board member is scheduled to be in the Board office for official business, that member shall conduct the interview.
   c. If no Board member is available, the Executive Director shall conduct the interview.
   d. If no interviewer is available through the options stated herein, the Reciprocity Committee Chair shall appoint a member of the Reciprocity Committee or another Board member to conduct the interview.

7. During the Board meeting following any interview examination, the Reciprocity Committee shall submit to the Board for ratification the results of all reciprocity interview examinations.
Revision History

08-15-2001  Original policy approved

05-05-2004  Updated the regulatory citation in Article 2.
1. The statutory authority for the Reciprocity Committee is RS 37:1203.

2. The regulatory authority for the Reciprocity Committee is LAC 46:LIII.109.

3. In order to comply with the statutory qualifications for licensure by reciprocity, found specifically at LRS 37:1203.A, licensing division staff shall review all reciprocity applications for adherence to the following criteria:
   a. If there is evidence (by copy of order) that any license has ever been revoked, suspended, or probated for any reason other than infractions of continuing education regulations – regardless of whether that revocation, suspension, or probation was subsequently stayed, reversed, or expunged – the applicant shall be ruled ineligible for reciprocity.
   b. Staff shall offer the ineligible applicant the opportunity to withdraw the application and obtain a full refund of any fees received and deposited by the office.

4. After all other requirements for reciprocity have been completed, the applicant shall apply for an opportunity for the interview examination.

5. Board members shall receive advance notification of reciprocity applicants prior to the interview examination.

6. The date for the reciprocity interview will be determined by Board staff in consultation with both the reciprocity candidate and the interviewer(s).

7. If the candidate requests an interview date prior to the next regular meeting of the Reciprocity Committee, the staff (in consultation with the committee chair) shall use the following order of precedence in facilitating the arrangements:
   a. If a member of the Reciprocity Committee is scheduled to be in the Board office for official business, that member shall conduct the interview.
   b. If a member of the Reciprocity Committee is not available, but another Board member is scheduled to be in the Board office for official business, that member shall conduct the interview.
   c. If no Board member is available, the Executive Director shall conduct the interview.
d. If no interviewer is available through the options stated herein, the Reciprocity Committee Chair shall appoint a member of the Reciprocity Committee or another Board member to conduct the interview.

8. During the Board meeting following any interview examination, the Reciprocity Committee shall submit to the Board for ratification the results of all reciprocity interview examinations.
Title: Reciprocity Committee

Approved: 02-17-2005

Revision History

08-15-2001 Original policy approved.
05-05-2004 Updated the regulatory citation in Article 2.
02-17-2005 Inserted Article 3.

Policy No. I.B.4.a

Revised: 11-14-2007
1. The statutory authority for the Reciprocity Committee is RS 37:1203.

2. The regulatory authority for the Reciprocity Committee is LAC 46:LIII.109.

3. After all other requirements for reciprocity have been completed, the applicant shall apply for an opportunity for the interview examination.

4. Board members shall receive advance notification of reciprocity applicants prior to the interview examination.

5. The date for the reciprocity interview will be determined by Board staff in consultation with both the reciprocity candidate and the interviewer(s).

6. If the candidate requests an interview date prior to the next regular meeting of the Reciprocity Committee, the staff (in consultation with the committee chair) shall use the following order of precedence in facilitating the arrangements:

   a. If a member of the Reciprocity Committee is scheduled to be in the Board office for official business, that member shall conduct the interview.

   b. If a member of the Reciprocity Committee is not available, but another Board member is scheduled to be in the Board office for official business, that member shall conduct the interview.

   c. If no Board member is available, the Executive Director shall conduct the interview.

   d. If no interviewer is available through the options stated herein, the Reciprocity Committee Chair shall appoint a member of the Reciprocity Committee or another Board member to conduct the interview.

7. During the Board meeting following any interview examination, the Reciprocity Committee shall submit to the Board for ratification the results of all reciprocity interview examinations.
Title: Reciprocity Committee

Approved: 11-14-2007

Revision History

08-15-2001  Original policy approved.
05-05-2004  Updated the regulatory citation in Article 2.
02-17-2005  Inserted Article 3.
1. The statutory authority for the Reciprocity Committee is RS 37:1203.

2. The regulatory authority for the Reciprocity Committee is LAC 46:LIII.109.

3. After all other requirements for reciprocity have been completed, the applicant shall apply for an opportunity for the interview examination.

4. Board members shall receive advance notification of reciprocity applicants prior to the interview examination.

5. The date for the reciprocity interview will be determined by Board staff in consultation with both the reciprocity candidate and the interviewer(s).
   
a. In the event the application is complete except for the report from the criminal background check, that shall not automatically delay the consideration of the application by the committee; provided, however, the issuance of the license shall require receipt and favorable review of that report.

6. If the candidate requests an interview date prior to the next regular meeting of the Reciprocity Committee, the staff (in consultation with the committee chair) shall use the following order of precedence in facilitating the arrangements:
   
a. If a member of the Reciprocity Committee is scheduled to be in the Board office for official business, that member shall conduct the interview.

b. If a member of the Reciprocity Committee is not available, but another Board member is scheduled to be in the Board office for official business, that member shall conduct the interview.

c. If no Board member is available, the Executive Director shall conduct the interview.

d. If no interviewer is available through the options stated herein, the Reciprocity Committee Chair shall appoint a member of the Reciprocity Committee or another Board member to conduct the interview.

7. During the Board meeting following any interview examination, the Reciprocity Committee shall submit to the Board for ratification the results of all reciprocity interview examinations.
Revision History

08-15-2001  Original policy approved.
05-05-2004  Updated the regulatory citation in Article 2.
02-17-2005  Inserted Article 3.
11-09-2010  Inserted Sub-Article 5.a
1. The statutory authority for the Reinstatement Committee is RS 37:1249.

2. The regulatory authority for the Reinstatement Committee is LAC 46:LIII.393.

3. Current regulations indicate the expiration date of licenses issued by the Board.
   a. The pharmacist license expires December 31 of each year. (LAC 46:LIII.507.B.6)
   b. The pharmacy technician license expires June 30 of each year. (LAC 46:LIII.815.B)

4. Applications for licensure renewal placed in possession of authorized mail carriers, or received in the Board office, after the expiration date shall be referred to the Reinstatement Committee for its consideration.
   a. For licenses lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   b. For licenses lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.

5. The applicant shall submit the following items to the Board office no later than 30 days prior to any Administrative Hearing:
   a. properly completed application for renewal,
   b. copies of continuing pharmacy (cpe) education certificates submitted in support of CPE requirements,
   c. administrative hearing fee of $250, (RS 37:1184.a.ix),
   d. reinstatement fee of $200, (RS 37:1184.b.iii),
   e. any unpaid fees imposed by prior Board orders, and
   f. any other fees incurred through non-renewal.
      i. the fee for licenses expired in excess of one year shall include the renewal fee and the delinquent fee in effect for each intervening year.
      ii. the fee for licenses retired for less than five years shall include the renewal fee, but not the late fee, in effect for each intervening year. (LAC 46:LIII.507.5)

6. The committee will determine the conditions under which it will recommend to the Board the approval or denial of the application for renewal. The committee’s recommendation may include the successful completion of the Multistate Pharmacy Jurisprudence Examination (MPJE), additional supervised practical experience, additional continuing pharmacy education, or any other measures the committee
may deem necessary.

7. All correspondence and/or communications relative to applicants shall be coordinated through the Board office.
Revision History

02-10-2000  Original policy approved.

04-26-2000  Added Articles 4.a and 4.b.
1. The statutory authority for the Reinstatement Committee is RS 37:1249.

2. The regulatory authority for the Reinstatement Committee is LAC 46:LIII.109.

3. Current regulations indicate the expiration date of licenses issued by the Board.
   a. The pharmacist license expires December 31 of each year. (LAC 46:LIII.505.A.4)
   b. The pharmacy technician certificate expires June 30 of each year. (LAC 46:LIII.807.D)

4. Applications for licensure renewal placed in possession of authorized mail carriers, or received in the Board office, after the expiration date shall be referred to the Reinstatement Committee for its consideration.
   a. For credentials lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   b. For credentials lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.
   c. For credentials lapsed five years or more, the Executive Director shall notice the applicant to appear before the committee.

5. The applicant shall submit the following items to the Board office no later than 30 days prior to any Administrative Hearing:
   a. properly completed application for renewal,
   b. copies of continuing pharmacy (cpe) education certificates submitted in support of CPE requirements,
   c. administrative hearing fee of $250, (RS 37:1184.a.ix),
   d. reinstatement fee of $200, (RS 37:1184.b.iii),
   e. any unpaid fees imposed by prior Board orders, and
   f. any other fees incurred through non-renewal. The fee for credentials lapsed in excess of one year shall include the renewal fee and the delinquent fee in effect for each intervening year.

6. The committee will determine the conditions under which it will recommend to the Board the approval or denial of the application for renewal. The committee’s recommendation may include the successful completion of the Multistate Pharmacy Jurisprudence Examination (MPJE), additional supervised practical experience, additional continuing pharmacy education, or any other measures the committee may deem necessary.
7. All correspondence and/or communications relative to applicants shall be coordinated through the Board office.
Revision History

02-10-2000  Original policy approved.

04-26-2000  Added the following:
   4a. For licenses lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   4b. For licenses lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.

05-05-2004  Updated regulatory citations in Articles 2, 3.a, and 3.b.
   Technical corrections in Articles 3.b, 4.a, and 4.b (‘credentials’ for ‘licenses’).
   Added Article 4.c.
   Deleted Article 5.f.ii, due to deletion of enabling regulation.
1. The statutory authority for the Reinstatement Committee is RS 37:1249.

2. The regulatory authority for the Reinstatement Committee is LAC 46:LIII.109.

3. Current regulations indicate the expiration date of licenses issued by the Board.
   a. The pharmacist license expires December 31 of each year. (LAC 46:LIII.505.A.4)
   b. The pharmacy technician certificate expires June 30 of each year. (LAC 46:LIII.807.D)

4. Applications for licensure renewal placed in possession of authorized mail carriers, or received in the Board office, after the expiration date shall be referred to the Reinstatement Committee for its consideration.
   a. For credentials lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   b. For credentials lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.
   c. For credentials lapsed five years or more, the Executive Director shall notice the applicant to appear before the committee.

5. The applicant shall submit the following items to the Board office no later than 30 days prior to any Administrative Hearing:
   a. properly completed application for renewal;
   b. copies of continuing pharmacy (cpe) education certificates submitted in support of CPE requirements;
   c. report of criminal background check, provided, however, that the non-receipt of said report shall not serve to automatically delay the consideration of the application by the committee;
   d. administrative hearing fee of $250, (RS 37:1184.a.ix);
   e. reinstatement fee of $200, (RS 37:1184.b.iii);
   f. any unpaid fees imposed by prior Board orders; and
   g. any other fees incurred through non-renewal. The fee for credentials lapsed in excess of one year shall include the renewal fee and the delinquent fee in effect for each intervening year.

6. The committee will determine the conditions under which it will recommend to the Board the approval or denial of the application for renewal. The committee’s recommendation may include the successful completion of the Multistate Pharmacy
Jurisprudence Examination (MPJE), additional supervised practical experience, additional continuing pharmacy education, or any other measures the committee may deem necessary.

7. All correspondence and/or communications relative to applicants shall be coordinated through the Board office.
Revision History

02-10-2000  Original policy approved.

04-26-2000  Added the following.
   4a. For licenses lapsed less than one year, the Executive Director
       may exercise administrative discretion in the approval of the
       reinstatement application.
   4b. For licenses lapsed more than one year, the Executive
       Director shall consult with the committee chair to determine
       the necessity for the personal appearance of a reinstatement
       applicant.

05-05-2004  Updated regulatory citations in Articles 2, 3.a, and 3.b
   Technical corrections in Articles 3.b, 4.a, and 4.b ('credentials' for
   'licenses').
   Added Article 4.c.
   Deleted Article 5.f.ii, due to deletion of enabling regulation.

02-21-2008  Added Article 5.c.
1. The statutory authority for the Reinstatement Committee is RS 37:1249.

2. The regulatory authority for the Reinstatement Committee is LAC 46:LIII.109.

3. Current regulations indicate the expiration date of licenses issued by the Board.
   a. The pharmacist license expires December 31 of each year. (LAC 46:LIII.505.A.4)
   b. The pharmacy technician certificate expires June 30 of each year. (LAC 46:LIII.807.D)
   c. The controlled dangerous substance (CDS) license expires one year after the date of issue. (LAC 46:LIII.2707.A.6)

4. Applications for licensure renewal placed in possession of authorized mail carriers, or received in the Board office, after the expiration date shall be referred to the Reinstatement Committee for its consideration.
   a. For credentials lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   b. For credentials lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.
   c. For credentials (other than CDS licenses) lapsed five years or more, the Executive Director shall notice the applicant to appear before the committee.
   d. For CDS credentials lapsed five years or more, the Executive Director shall consult with the committee chair, and further, shall notify the applicant’s primary licensing agency and the U. S. Drug Enforcement Administration of the applicant’s lapse and reinstatement.

5. The applicant shall submit the following items to the Board office no later than 30 days prior to any Administrative Hearing:
   a. properly completed application for renewal;
   b. copies of continuing pharmacy (cpe) education certificates submitted in support of CPE requirements;
   c. report of criminal background check, provided, however, that the non-receipt of said report shall not serve to automatically delay the consideration of the application by the committee;
   d. administrative hearing fee of $250, (RS 37:1184.a.ix);
   e. reinstatement fee of $200, (RS 37:1184.b.iii);
   f. any unpaid fees imposed by prior Board orders; and
g. any other fees incurred through non-renewal. The fee for credentials lapsed in excess of one year shall include the renewal fee and the delinquent fee in effect for each intervening year.

6. The committee will determine the conditions under which it will recommend to the Board the approval or denial of the application for renewal. The committee’s recommendation may include the successful completion of the Multistate Pharmacy Jurisprudence Examination (MPJE), additional supervised practical experience, additional continuing pharmacy education, or any other measures the committee may deem necessary.

7. All correspondence and/or communications relative to applicants shall be coordinated through the Board office.
Reinstatement Committee
Policy No. I.B.5.a

Revision History

02-10-2000 Original policy approved.

04-26-2000 Added the following:
   4a. For licenses lapsed less than one year, the Executive Director may exercise administrative discretion in the approval of the reinstatement application.
   4b. For licenses lapsed more than one year, the Executive Director shall consult with the committee chair to determine the necessity for the personal appearance of a reinstatement applicant.

05-05-2004 Updated regulatory citations in Articles 2, 3.2, and 3.b
Technical corrections in Articles 3.b, 4.a, and 4.b (‘credentials’ for ‘licenses’).
   Added Article 4.c.
   Deleted Article 5.f.ii, due to deletion of enabling regulation.

02-21-2008 Added Article 5.c.

08-05-2009 Added Article 3.c.
   Amended Article 4.c to insert ‘other than CDS licenses’ after credentials
   Added Article 4.d
1. The statutory authority for this policy is RS 49:1015.

2. The executive authority for this policy is Executive Order 98-38, entitled State Employee Drug Testing, dated 08-10-1998.

3. As an agency subject to the oversight of the Dept. of Health and Hospitals, we are subject to DHH Policy 8134-98, entitled DHH Employee Drug Testing, which became effective 10-30-1998.

4. To implement the above policies, the Board has contracted with Professional Recovery Network, Inc. (PRN).

5. The attachment lists the collection sites available to Board members and employees.

6. Board members and employees shall obtain a drug screen within 24 hours of notification.

   a. Call the site prior to your arrival to ensure that your request can be handled properly and to confirm the collection fee.
   b. Inform the collection site personnel that you are a pharmacist with the PRN program. If you do not wish to use your name, you may identify yourself by your professional license number.
   c. The cost of the drug screen is $26.00, and is payable to PRN via money order, which will be collected at the site.
   d. The collection fee varies by site, and is payable at the time of collection in the manner stipulated by the site.
   e. If you encounter any problems at the collection site, please call the PRN office at 1-888-505-7554. They will resolve the problem, if possible.
   f. PRN will send the results to the Board office.
In order to protect the public and the environment, as well as to prevent drug diversion, Board pharmacist inspectors may dispose of unwanted or expired drugs in the following manner:

1. Small quantities may be disposed of on-site in a manner that ensures the drugs are no longer usable or recoverable.
   a. The quantity to be disposed shall be reasonable, as determined by the inspector using sound professional judgment.
   b. The permit holder or an authorized agent of the permit holder shall witness the destruction.
   c. See 21 CFR 1307.21.b(3) concerning disposition of controlled substances.

2. The disposal of large quantities of unwanted or expired drugs must be accomplished through the use of a registered reverse distributor authorized to handle legend and/or controlled substances.

3. Records of drugs destroyed or transferred to a reverse distributor shall be maintained at the site, with copies forwarded to the proper agency, if required.
Title: Salary Administration – Flexible Maximum Hire Rates Policy No. II.A.5

Approved: 05-16-2001 Revised: 02-15-2006

1. The statutory authority for the Board to engage employees is RS 37:1182.B.6.

2. The regulatory authority for Board employees is LAC 46:LIII.107.F.

3. The authority of the Louisiana Department of State Civil Service relative to state employees is derived from Article X of the Louisiana State Constitution.

4. The Civil Service Rules of Pay are found in Chapter 6 – Pay Plan.

5. Civil Service Rule 6.5.b.1 authorizes an appointing authority to institute Flexible Maximum Hire Rates for current employees, provided that the Civil Service Commission has approved the rate during a regularly scheduled meeting.

6. During its February 2, 2000 meeting, the Commission approved a Flexible Maximum Hire Rate Plan for all professional level pharmacy positions (MS-64 through MS-75).

7. Upon the finding of market conditions adversely impacting the recruitment and retention of employee pharmacists, the Board, during its regular April 26, 2000 meeting, voted to authorize the Executive Director to institute a Flexible Maximum Hire Rate of $4291 (monthly gross salary), provided, however, that the salary of current incumbents with more than five years of service would be adjusted to the maximum salary of the MS-65 level.
1. The statutory authority for the Board to engage employees is RS 37:1182.B.6.

2. The regulatory authority for Board employees is LAC 46:LIII.107.F.

3. The authority of the Louisiana Department of State Civil Service relative to state employees is derived from Article X of the Louisiana State Constitution.

4. The Civil Service Rules of Pay are found in Chapter 6 – Pay Plan.

5. Civil Service Rule 6.5.b.1 authorizes an appointing authority to institute Flexible Maximum Hire Rates for current employees, provided that the Civil Service Commission has approved the rate during a regularly scheduled meeting.

6. During its February 2, 2000 meeting, the Commission approved a Flexible Maximum Hire Rate Plan for all professional level pharmacy positions (MS-64 through MS-75).

7. Upon the finding of market conditions adversely impacting the recruitment and retention of employee pharmacists, the Board, during its regular April 26, 2000 meeting, voted to authorize the Executive Director to institute a Flexible Maximum Hire Rate of $4291 (monthly gross salary), provided, however, that the salary of current incumbents with more than five years of service would be adjusted to the maximum salary of the MS-65 level.

8. During its February 15, 2006 meeting, the Board reviewed the current salary structure for its compliance officers, noting concerns with recent trends within state service. In an effort to prevent or reduce turnover, the Board approved a recommendation from the Finance Committee to adjust the starting salaries for the Compliance Officer (MS-525) positions, as well as the Chief Compliance Officer (MS 527) position. The adjustments shall become effective March 20, 2006.
   a. Compliance Officer (MS 525)
      The current midpoint of the MS 525 range [$81,910 per year] shall be the maximum hire rate. Current employees with annual salaries below that level shall be raised to the new rate.
   b. Chief Compliance Officer (MS 527)
      The maximum hire rate for the position shall be adjusted to $87,397 per year. Current employees with annual salaries below that level shall be raised to the new rate.
Title: Salary Administration – Flexible Maximum Hire Rates  
Policy No. II.A.5

Approved: 02-15-2006  

Revision History

02-15-2006  Added Article 8.
1. The statutory authority for the Board to engage employees is RS 37:1182.B.6.

2. The regulatory authority for Board employees is LAC 46:LIII.107.F.

3. The authority of the Louisiana Department of State Civil Service relative to state employees is derived from Article X of the Louisiana State Constitution.

4. The Civil Service Rules of Pay are found in Chapter 6 – Pay Plan.

5. Civil Service Rule 6.5.b.1 authorizes an appointing authority to institute Flexible Special Entrance Rates (FSER) for current employees, provided that the Civil Service Commission has approved the rate during a regularly scheduled meeting.

6. The Board reviewed the current salary structure for its administrative and professional personnel. They also reviewed responses to recent job announcements as well as the current job market and general economic conditions. They determined the appointing authority should have flexibility in the maximum hire rate for certain of its classified employees.
   a. For the following positions in the Administrative Services (AS) classification, the appointing authority may use a FSER in the first quartile of the pay grid for the position.
      i. Administrative Coordinator 1 (AS 605)
      ii. Administrative Coordinator 3 (AS 609)
      iii. Licensing Analyst 2 (AS 611)
   b. For the following positions in the Medical Services (MS) classification, the appointing authority may use a FSER in the third quartile of the pay grid for the position.
      i. Pharmacist Compliance Officer (MS 525)
      ii. Pharmacist Chief Compliance Officer (MS 527)
      iii. Pharmacist Chief Operations Officer (MS 528)
   c. The following factors, when present, may justify consideration of a FSER for a new hire:
      i. A qualified applicant with exceptional qualifications; or
      ii. Prevailing salaries for comparable positions in the private sector;
   d. In the event the appointing authority intends to offer a flexible special entrance rate to a new hire, he shall first obtain approval from the Board’s President.
Employees of the Louisiana Board of Pharmacy are expected to be well groomed and dress in a professional manner. Remember to conduct yourself at all times in a way that best represents you and the office.

During Board or Board committee meetings, employees of the Louisiana Board of Pharmacy making public appearances, and/or appointments both inside and outside of the office shall wear proper attire as follows:

**Women:** Slacks, skirts, or dresses are appropriate. Shorts, leggings, mini-skirts, halter-tops and tennis shoes are not appropriate. Hosiery should be worn with any dress or skirt worn above knee-length.

**Men:** Suits, sport coats, ties, polo, button front dress shirts and pants may be worn to maintain a professional appearance. Facial hair such as beards and sideburns must be neat, clean, and well trimmed.

**Students:** Casual attire is appropriate. Jeans are appropriate; however, faded, worn down jean are not acceptable. Inappropriately printed T-shirts, flip flops, muscle-shirts, tank tops, shorts, leggings, sweatpants, mini-skirts, and halter-tops are not appropriate. If there is a Board or Board committee meeting, dark denim, khakis, or other casual pants of the same quality should be worn. Facial hair such as beards and sideburns must be neat, clean, and well-trimmed.

**Fridays:** Casual attire may be worn. Jeans, khakis, or other casual pants of the same quality may be worn; however, faded, worn down pants are not acceptable. Inappropriately printed T-shirts, flip flops, muscle shirts, tank tops, shorts, leggings, sweatpants, mini-skirts, and halter-tops are not appropriate.

If an employee has business outside the office, please adhere to the above dress code.

Exceptions to the above policy may be approved in advance by your supervisor, upon a showing of good cause.

A supervisor is authorized to send an employee home if the attire does not meet these professional standards. Always remember the Louisiana Board of Pharmacy is a professional organization and these provisions should be interpreted with that in mind.
No individual will be deprived of, or granted, an employment opportunity, promotion, or transfer opportunity due to their race, color, religion, sex, sexual orientation, national origin, political affiliation, or disability.

**New Employees**

New employees will familiarize themselves with the Policy & Procedure Manual. Questions regarding an office policy or procedure should be directed to the Office Manager or Appointing Authority.

Consent to a background check is a condition of employment within the Louisiana Board of Pharmacy.

Each new employee shall be processed through the Office Manager and complete personnel data records, payroll withholding forms, group insurance selection and retirement system forms and any other forms deemed necessary.

All full-time employees must obtain an identification card issued by the Office Manager. The ID card, which contains a photograph of the employee, remains the property of the Louisiana Board of Pharmacy.

**Termination (Voluntary or Involuntary)**

Employees desiring to voluntarily terminate their employment are urged to notify the Louisiana Board of Pharmacy at least two weeks in advance of their intended termination. Such notice should preferably be given in writing to the immediate supervisor and the Office Manager. The notice should be addressed to the Appointing Authority and then forwarded to the Office Manager for processing. Proper notice allows the Office Manager time to prepare your final payroll documents and to calculate any accumulated leave to which you may be entitled. Employees who are terminated for any reason, voluntary or involuntary, shall be paid wages due on or before the next regularly scheduled payday, or within fifteen (15) days of termination, whichever occurs first.

Employees who are planning to retire should notify the Office Manager a minimum of three months in advance. This will allow ample time to file the application for retirement and other supporting documentation. Employees eligible for Social Security should contact their local Social Security Administration office at least three months in advance of their expected retirement date to allow for processing of the related Social Security documents.
All temporary appointments (restricted, intermittent, job appointments, probational, and provisional appointments) are on an “at will” basis and may be terminated at any time with no reason given.

Permanent employees may also be non-disciplinarily terminated in accordance with Civil Service Rule 12.6 when

- They exhaust sick leave and are still not able to report to work;
- When they fail to maintain a required license; or
- When they have ten or more unscheduled absences in a six-month period. For more information, see the Unscheduled Absence provisions of Civil Service Rule 12.6.

Permanent classified employees may be terminated for cause or by an approved lay off in accordance with Civil Service Rules. Although it is hoped the relationships with employees are long-term and mutually rewarding, the Louisiana Board of Pharmacy reserves the right to terminate employee relationships in accordance with applicable Civil Service Rules. For example, if an employee who is required to drive as part of the essential duties of the position has his/her license revoked or suspended, the employee may be subject to non-disciplinary removal because the employee is no longer able to carry out the duties of the position.

Exit interviews are held with the Appointing Authority. This is usually done on the last official day of work. The purpose of this interview is to review eligibility for continuation of benefits and conversion to ensure that all necessary forms are completed, to collect all Louisiana Board of Pharmacy property including, but not limited to, all office equipment, office keys, building access cards, identification card, board-owned cell phone, badge, and the Policy & Procedure Manual, and to provide the employee with an opportunity to discuss their job-related experiences. The terminated employee shall complete the exit interview before receiving a final paycheck.
Title: Employment Benefits

Policy No. II.C.3

Approved: 05-11-2005
Revised: 08-14-2013

Full-time employees are entitled to receive certain benefits and earn annual and sick leave on a continual basis in accordance with policies set forth by the State of Louisiana.

Health Insurance

New employees must enroll in a group benefit plan within the first 30 days of employment. If this deadline is missed the employee may still enroll as a late applicant, but they must provide proof of insurability, which is subject to approval by the insurance plan selected. Also, a pre-existing condition clause may be imposed on the applicant for a period of one year from the date of coverage. The portability law may be applicable in some cases for late applicants who had other health insurance coverage within 60 days prior to the effective date of coverage with the Louisiana Board of Pharmacy health plan. If an employee declines to enroll in health insurance a waiver of coverage must be filled out within the first 30 days of employment.

IMPORTANT: A new enrollment form must be completed for each new dependent within 30 days after acquiring the new dependent (birth, adoption, marriage, etc.). Failure to comply with this rule will subject your dependent to the pre-existing condition clause even if adding the new dependent does not result in a change in classification of coverage of the premium.

NOTIFICATION OF CHANGE ERROR: It is the employee’s responsibility to notify the program of any change or error in classification of coverage or any other error affecting his contribution amount. Any failure later determined will be corrected on the first of the following month. All refunds shall be limited to six months from the date notice is received by the Office of Group Benefits.

Employees may change their health care provider every year during open enrollment only, which is held every year beginning April 1st. Dates subject to change. All changes executed in the month of April will become effective July 1 of the current year, through June 30 of the following year.

Because health care providers change on a yearly basis, please see the Office Manager for the most current up-to-date health care providers in your area.

Retirement

Classified employees or unclassified employees who were members of LASERS prior to July 1, 1991 are eligible for membership in LASERS. Full-time employees are automatically enrolled in the Louisiana State Employees’ Retirement System (LASERS). Certain employees are not eligible for membership in LASERS: part-time (20 hours or
less per week) and temporary employees (restricted job appointments). Persons who are age 60 or older at the time of employment have the option to join LASERS, if they meet all other eligibility requirements. If employment is terminated prior to retirement, the employee can request a refund of retirement contributions. The employee must be out of state service at least 30 days to obtain a refund. Since retirement contributions are tax deferred, taxes and related penalties will apply to cash refunds.

For more information about Louisiana State Employees Retirement System (LASERS), please visit their home page at http://www.lasers.state.la.us.

La Capitol Federal Credit Union

La Capitol Federal Credit Union offers a wide array of financial products to all state employees. Because this is a not-for profit, they are able to offer products at low costs. For membership or service information, check out their website at http://www.lacapfcu.org, email securemail@lacapfcu.org, or visit any office.

START Savings Program

The Office Manager can setup payroll deductions for the Louisiana Tuition Trust Authority’s START Saving Program. The program is a college savings plan for children and qualifies as a Qualified Tuition Program under Section 529 of the Federal Internal Revenue Code.

For enrollment and information, interested employees should contact the START Saving Program at 1-800-256-5625 or access the START portal by logging on to the LOSFA website at: http://www.osfa.state.la.us.

Worker’s Compensation

Employees are covered by workers compensation, which provides for payment of medical expenses and partial salary payments in the event of an approved work-related injury or illness. The amount of the benefits payable and the duration of payment depend on the nature of the injury or illness and the employee’s salary. In general, usual and customary medical expenses incurred in connection with an injury or illness are paid and partial salary payments are provided beginning after the seven-day waiting period.

For more information concerning employee benefits, please contact the Office Manager.
The Louisiana Board of Pharmacy is open from 8:00 am to 4:30 pm Monday through Thursday and from 8:00 am to 4:00 pm on Friday.

Lunch

Each employee who works an eight hour day shall be granted a thirty minute lunch break each day. An employee is not allowed to work during his/her lunch unless absolutely necessary. If absolutely necessary, the employee must have prior approval from the Appointing Authority before doing so. If prior approval was not given, the employee is on his/her own time during this period and he/she will not be paid overtime.

Breaks

Each employee who works an eight hour day shall be granted two fifteen minute paid work breaks or rest periods.

If desirable, employees may combine the thirty minute lunch break along with the two fifteen minute breaks for a total of a one hour lunch break. However, employees should never leave a customer waiting by going to lunch and/or on a break.

Outside Normal Office Hours

If circumstances require an employee to vary his/her work schedule from the normal office hours, a written request shall be sent to the Appointing Authority for approval.
To ensure that accurate records are kept of the hours employees actually work (including overtime hours worked where applicable) and of the accrued leave time taken, and to ensure that employees are paid in a timely manner, employees are required to complete a Daily Attendance and Leave Record Form. At the end of the pay period, the time should be reported as it was worked with any leave taken reported to their immediate supervisor within ten (10) business days following the end of each pay period.

Daily Attendance and Leave Record Forms shall then be submitted by the immediate supervisor to the Office Manager for processing within three (3) business days. No employee is permitted to date, complete and/or sign a Daily Attendance and Leave Record Form for another employee.

Falsification of payroll records is a breach of Louisiana Board of Pharmacy policy, a violation of state law, and is grounds for disciplinary action, including termination for payroll fraud.

**Absenteeism**

The Louisiana Board of Pharmacy expects all employees to assume diligent responsibility for their attendance and promptness. Should an employee be unable to report to work because of an illness, the immediate supervisor or Appointing Authority shall be notified within thirty minutes of expected time of duty, unless it is an extreme circumstance. Failure to properly notify the immediate supervisor or Appointing Authority may result in an unexcused absence.

If an employee is absent for more than three consecutive days, a statement from a health care professional is required before being permitted to return to work. The Louisiana Board of Pharmacy reserves the right to require an employee to be examined by a health care professional designated by the Louisiana Board of Pharmacy at its discretion, especially where abuse is suspected, e.g., or example, when an employee’s leave record indicates a pattern of absences and/or frequent absences before or after holidays or weekends.

For the office to operate efficiently, each employee shall be at their place of assignment at the scheduled time. When an employee is away from the office on business, their immediate supervisor should be aware of the employee’s whereabouts at all times. Absenteeism that is unexcused or excessive in the judgment of the Louisiana Board of Pharmacy is grounds for disciplinary action, up to and including dismissal.
Tardiness

Employees are expected to be punctual. It is understood that common problems do occur; however, an employee who is excessively tardy for an extended period of time may result in leave without pay during the actual period(s) of time he/she was late and could further lead to disciplinary action or discharge. Tardiness that is unexcused or excessive in the judgment of the Appointing Authority is grounds for disciplinary action, up to and including dismissal. Excessive tardiness on the part of any employee may be considered when recommending salary increases or promotions.
All Civil Service classified employees will receive an annual performance appraisal, which is an evaluation of the individual's work performance. Only at the discretion of the Appointing Authority shall Civil Service unclassified employees have an annual performance appraisal.

New employees hired on probational appointments serve up to a twenty-four month probation period. If their job performance is satisfactory during this time, the supervisor can recommend that they be made permanent as early as six months into the probationary period. However, employees hired under Civil Service Rule 6.5(g) – Flexible Hire Rate Policy are required to serve a minimum of a twelve month probationary period.

A probational employee may be terminated at any time during the probationary period. Performance and task standards have been established for each position. The supervisor will have a planning session with the employee within 30 days of his/her date of hire so that there will be a clear understanding as to what is considered standard performance of the tasks assigned. At the end of the sixth month of work, the supervisor will be required to formally evaluate the new employee to determine whether to continue probation or to recommend permanent Civil Service status and/or a merit increase. If the probationary employee is recommended for permanent status and funds are available, the Appointing Authority may grant the employee a 4% merit increase.

Per Civil Service Rule 10.6(c), the employee’s rating session shall take place within 60 calendar days before or on the employee’s anniversary date. Failure to follow proper performance planning and review procedures should be reflected on the supervisor’s performance review.

Per Civil Service Rule 10.10(b), any employee whose official overall rating or re-rating is “Needs Improvement” or “Poor” shall not receive a merit increase, promotion or permanent status. An employee whose official overall rating or re-rating is “Needs Improvement” or “Poor” shall not be detailed to a higher level position except as approved in advance by the Director of Civil Service.

When considering employees for permanent status, merit raises, promotions or reallocations, supervisors are to review and document their consideration of performance planning and review ratings. To ensure that employees perform their respective jobs to the best of their abilities, it is important that they be recognized for good performance and that they receive appropriate suggestions for improvement when necessary. Consistent with this goal, their performance will be evaluated by their supervisor on an ongoing basis. All written performance reviews will be based on overall performance in relation to job responsibilities and will also take into account
conduct, demeanor, and record of attendance and tardiness along with other related factors. In addition to the regular performance evaluations described above, special written performance evaluations may be conducted by a supervisor at any time to advise the employee of the existence of performance problems. After a supervisor reviews an employee’s performance rating with the employee, the employee will have the opportunity to attach comments regarding the evaluation of the appraisal form.

**Procedure for Completing Performance Planning & Review**

- **Probationary Performances**

Approximately sixty (60) days in advance of the completion of the employee’s probationary period, the Office Manager will forward a Performance Appraisal form, with “probationary” checked off, to the Appointing Authority. If the Appointing Authority is not the employee’s rating supervisor, the Appointing Authority will then forward it to the appropriate rating supervisor.

If the employee has successfully completed the probationary period, the rating supervisor should fill out the form and discuss each area of the form with the employee. The rating supervisor and employee must sign the form. After completion, the rating supervisor should forward the form to the Appointing Authority for signature. The Appointing Authority is responsible for returning the original form to the Office Manager and providing a duplicate copy to the employee. If the employee receives a rating of “outstanding”, “very good”, or “satisfactory”, he/she may be eligible for a merit increase per Civil Service Rule 6.14(a). Any employee who receives a rating of “poor” or “needs improvement” shall not be eligible for any increase under the provisions of Civil Service Rule 6.14(i).

If the employee has unsuccessfully completed the probationary period and problems exist with the employee’s work performance, the rating supervisor should fill out the form and discuss each area of the form with the employee. The employee must be informed which area of performance needs to be improved. The employee will then be re-evaluated on his/her anniversary date. During this period, the probation is extended for a period to be determined by the Appointing Authority. Both the rating supervisor and the employee must sign the form. The rating supervisor should forward the form to the Appointing Authority for signature. The Appointing Authority is responsible for returning the original to the Office Manager and providing a duplicate to the employee.
• **Annual Performance Appraisal**

Approximately sixty (60) days in advance of the established anniversary date, the Office Manager will forward a Performance Appraisal Form with “Annual Appraisal” checked off, to the Appointing Authority. If the Appointing Authority is not the employee’s rating supervisor, the Appointing Authority will then forward it to the appropriate rating supervisor. After completion, the rating supervisor should fill out the form and discuss each area of the form with the employee. Both the rating supervisor and the employee must sign the form. The rating supervisor should forward the form to the Appointing Authority for signature. The Appointing Authority is responsible for returning the original to the Office Manager and providing a duplicate to the employee. If the employee receives a rating of “outstanding”, “very good”, or “satisfactory”, he/she may be eligible for a merit increase per Civil Service Rule 6.14(a). However, an employee who has a current official overall performance planning and review rating of “poor” or “needs improvement” shall not be eligible for any increase under the provisions of Civil Service Rule 6.14(i).

**Merit/Salary Increases**

• **Merit Increases (Classified Employees Only)**

When a new employee has been continuously employed, without a break in service of one or more working days for a period of six months, he becomes eligible for and may be granted a merit increase provided that the Appointing Authority has determined his/her performance merits such an award per Civil Service Rule 6.14(a).

At the end of each subsequent twelve (12) month period of such continuous employment, he/she may be granted an additional merit increase if the Appointing Authority has determined that his/her performance merits such an award. This date of eligibility shall then be known as his/her anniversary date and shall not change through such continuous employment within the classified service per Civil Service Rule 6.14(b).

The amount of merit increases is four (4) percent of the employee’s individual pay rate per Civil Service Rule 6.14(c). Merit increases are only given to employees at the sole discretion of the Appointing Authority. No supervisor has the right to give merit increases.

• **Salary Increases (Unclassified Employees Only)**

A salary increase may be given at any point in time and does not have a minimum or maximum percentage. The salary increase is solely at the discretion of the Appointing Authority and/or the Louisiana Board of Pharmacy.
Holidays shall be observed as provided in La. R.S. 1:55, and by any proclamation issued by the Governor. The Appointing Authority will also grant paid holidays declared as such in the Governor’s proclamation when a holiday falls on a Saturday or Sunday.

To be eligible to receive holiday pay, an employee must be in pay status a minimum of 4 hours the day before or the day following the holiday. In other words, hours worked must touch the holiday. Approved paid leave is considered a day worked for holiday pay eligibility.

Employees shall be eligible for compensation on holidays observed except:
- When the employee’s regular work schedule averages less than twenty (20) hours per week;
- When the employee is a temporary, intermittent, restricted, or seasonal employee; or
- When the employee is on leave without pay immediately preceding and following the holiday period.

The Louisiana Board of Pharmacy grants full-time employees the following paid holidays:
- New Year’s Day
- Martin Luther King, Jr. Day
- Mardi Gras Day
- Good Friday
- Memorial Day
- Independence Day
- Labor Day
- Veterans Day
- Thanksgiving Day
- Christmas Day
- Inauguration Day (once every four years; city of Baton Rouge)
- General Election Day (in even numbered years)

With Governor’s Proclamation only:
- President’s Day
- Acadian Day (day after Thanksgiving)
- Any and all other proclaimed holidays
Title: Annual & Sick Leave

Annual Leave
Leave with pay granted an employee for the purpose of rehabilitation, restoration, and maintenance of work efficiency, or the transaction of personal affairs.

Sick Leave
Leave with pay granted an employee who is unable to perform their usual duties and responsibilities due to illness, injury, or other disability or when the employee requires medical, dental, or optical consultation, treatment, or due to pregnancy.

Earning of Annual and Sick Leave

Annual and sick leave shall be earned by each full-time and each part-time classified employee who has a regular tour of duty, except that no employee shall earn annual or sick leave while serving on an intermittent appointment or on a restricted appointment.

The earning of such leave shall be based on the equivalent years of full-time state service and shall be creditable at the end of each regular pay period in accordance with the following general schedule:

<table>
<thead>
<tr>
<th>Length of Service</th>
<th>Amount Earned per Hour Worked</th>
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<tr>
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<td>0.0461</td>
<td>3.6880</td>
<td>12</td>
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<td>3 but less than 5</td>
<td>0.0576</td>
<td>4.6080</td>
<td>15</td>
</tr>
<tr>
<td>5 but less than 10</td>
<td>0.0692</td>
<td>5.5360</td>
<td>18</td>
</tr>
<tr>
<td>10 but less than 15</td>
<td>0.0807</td>
<td>6.4560</td>
<td>21</td>
</tr>
<tr>
<td>15 or more</td>
<td>0.0923</td>
<td>7.3840</td>
<td>24</td>
</tr>
</tbody>
</table>

No classified employee shall be credited with annual or sick leave:
- For any overtime hour;
- For any hour of leave without pay;
- While he/she is on leave with or without pay, until such time as he/she returns to active working duty, except where inability to return to duty is caused by illness or incapacity;
- For any hour in on-call status outside regular duty hours;
- For any hour of travel or other activity outside regular duty hours; and/or
- For any hour of a holiday or other non-work day which occurs while he/she is on leave without pay.
Carrying Leave Forward

Accrued unused annual and sick leave earned by an employee shall be carried forward to succeeding calendar years.

Use of Annual Leave

Annual leave must be applied for by the employee and may be used only when approved by the Appointing Authority or his/her supervisor. Leave is requested on an approved “Application for Leave” form maintained in the Office Manager’s office. Annual leave must be approved in advance, except in cases of an emergency, which is subject to the approval of the supervisor. Employees may be required to use annual leave during Louisiana Board of Pharmacy unforeseen office closures and will be determined on a case-by-case basis.

Annual leave shall not be charged for non-work days. The minimum charge to annual leave records shall not be less than one half hour. Annual leave may only be taken in half-hour increments.

There is no such thing as abuse of annual leave since it can’t be taken without the Appointing Authority and/or supervisor’s approval in advance. Annual leave will not be approved if work requirements necessitate the employee’s presence at work. Subject to FMLA, employees do not have a right to use annual leave whenever they want to.

Enforced Annual Leave

An Appointing Authority may require an employee to take annual leave whenever in his/her administrative judgment such action would be in the best interest of the Louisiana Board of Pharmacy.

No employee shall be required to reduce his/her accrued annual leave to less than 240 hours except:

- Prior to being granted leave without pay, but subject to the right granted the employee by the military leave provisions of these rules; or
- Where it is determined that the need to be absent from work is because of a condition covered by FMLA.

Payment for Annual Leave upon Separation

Each employee upon separation shall be paid the value of his/her accrued annual leave in a lump sum disregarding any final fraction of an hour; provided, that the privileges of this rule shall not extend to any employee who is dismissed for theft of agency funds or
property. The payment for such leave shall be computed by multiplying his/her hourly rate by the number of hours of accrued annual leave.

- No terminal payment for annual leave earned under these rules shall exceed the value of 300 hours, computed on the basis of the employee’s hourly rate of pay at the time of separation.
- No payment for annual leave under this rule shall operate to continue the payee as a classified employee beyond the last date of active duty. Payment for annual leave earned under administrative rules or regulations in effect prior to July 1, 1953 may be made on separation in accord with such rules or regulations.
- When an employee who has been paid under this Rule for accumulated annual leave is reemployed in a classified position, he/she shall pay the state agency which reemploys him/her the value of such annual leave at the rate paid him/her less the value of the working hours between the last day worked and the date of reemployment and shall be given credit for the number of hours of annual leave for which he/she has made reimbursement.

### Use of Sick Leave

Sick leave may be used by an employee, who has sufficient leave to his/her credit, for a necessary absence from duty because of:

- Illness or injury which prevents performance of usual duties, and/or
- Medical, dental, or optical consultation or treatment.

Sick leave shall not be charged for non-work days. The minimum charge to sick leave records shall not be less than one half hour. Sick leave may only be taken in half-hour increments.

Sick leave should be applied for in advance for routine medical visits, eye and dental exams. An employee may be required to furnish an excuse signed by a health care professional when applying for sick leave approval, at the discretion of the Appointing Authority and/or supervisor.

The 24 hours can cross pay weeks and pay periods. An original excuse must be submitted with each time sheet for each respective pay period involved. To return to work following an illness, injury, or surgery for which an employee has been under a medical provider’s care, a release from the health care professional must be submitted. It will be up to the Appointing Authority and/or supervisor to determine if light duty is available. If it is not, then the employee will be required to have a release to full duty.
An employee who has exhausted all sick leave may be separated from his/her employment. A separation under these conditions is not considered a disciplinary action and is done because of a need to have the duties of the position performed. An employee must have used 12 weeks of leave under FMLA to be terminated under this provision. See Civil Service Rule 12.6.

Absence from duty caused by maternity is considered to be a temporary disability similar to any other medical disability. Employees may use accumulated sick leave for this purpose. If the employee’s sick leave balance is insufficient to cover the entire period of absence, the employee must seek approval from the Appointing Authority or his/her supervisor to use annual leave, or to use leave without pay. Sick leave may be used only for that period of time during which the employee is unable to perform her duties because of pregnancy. Additional time off must be covered by other types of leave when the employee is discharged by her health care professional, usually six weeks following delivery. Maternity leave will be designated under FMLA. La. R.S. 23:342 allows up to four (4) months leave for pregnancy/childbirth leave.

Before being granted leave for maternity purposes, the employee is required to furnish a statement from her health care professional to the effect that she can no longer perform the duties required and the expected date of delivery. Before an employee can return to work following leave for pregnancy, the health care professional must certify in writing that the employee is able to return to regular duties. To prepare for possible replacement of an employee who is requesting maternity leave, the employee’s written request for leave should be submitted a minimum of two months in advance of the proposed beginning of leave. No later than one month prior to the termination of the approved leave period, the employee should notify the Office Manager in writing of her plans to resume duty on the established date.

The procedure to follow, when an employee is absent and other important guidelines are set forth in the discussion of absenteeism and tardiness in this handbook. Employees are to become familiar with these guidelines as well as any and all other departmental policies.

**Continuation of Annual and Sick Leave**

Employees cannot be paid for unused sick leave upon termination. If the employee is reemployed in state service within ten years from a non-disqualifying separation, the employee will be credited with all sick leave and any annual leave for which he/she was not paid. If the employee transfers to another state agency within the state, their leave balances are transferred to the gaining state agency.
Annual Leave
Leave with pay granted an employee for the purpose of rehabilitation, restoration, and maintenance of work efficiency, or the transaction of personal affairs.

Sick Leave
Leave with pay granted an employee who is unable to perform their usual duties and responsibilities due to illness, injury, or other disability or when the employee requires medical, dental, or optical consultation, treatment, or due to pregnancy.

Earning of Annual and Sick Leave

Annual and sick leave shall be earned by each full-time and each part-time classified employee who has a regular tour of duty, except that no employee shall earn annual or sick leave while serving on an intermittent appointment or on a restricted appointment.

The earning of such leave shall be based on the equivalent years of full-time state service and shall be creditable at the end of each regular pay period in accordance with the following general schedule:

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No classified employee shall be credited with annual or sick leave:
- For any overtime hour;
- For any hour of leave without pay;
- While he/she is on leave with or without pay, until such time as he/she returns to active working duty, except where inability to return to duty is caused by illness or incapacity;
- For any hour in on-call status outside regular duty hours;
- For any hour of travel or other activity outside regular duty hours; and/or
- For any hour of a holiday or other non-work day which occurs while he/she is on leave without pay.
Carrying Leave Forward

Accrued unused annual and sick leave earned by an employee shall be carried forward to succeeding calendar years.

Use of Annual Leave

Annual leave must be applied for by the employee and may be used only when approved by the Appointing Authority or his/her supervisor. Leave is requested on an approved “Application for Leave” form maintained in the Office Manager’s office. Annual leave must be approved in advance, except in cases of an emergency, which is subject to the approval of the supervisor. Employees may be required to use annual leave during Louisiana Board of Pharmacy unforeseen office closures and will be determined on a case-by-case basis.

Annual leave shall not be charged for non-work days. The minimum charge to annual leave records shall not be less than one half hour. Annual leave may only be taken in half-hour increments.

There is no such thing as abuse of annual leave since it can’t be taken without the Appointing Authority and/or supervisor’s approval in advance. Annual leave will not be approved if work requirements necessitate the employee’s presence at work. Subject to FMLA, employees do not have a right to use annual leave whenever they want to.

Enforced Annual Leave

An Appointing Authority may require an employee to take annual leave whenever in his/her administrative judgment such action would be in the best interest of the Louisiana Board of Pharmacy.

No employee shall be required to reduce his/her accrued annual leave to less than 240 hours except:

- Prior to being granted leave without pay, but subject to the right granted the employee by the military leave provisions of these rules; or
- Where it is determined that the need to be absent from work is because of a condition covered by FMLA.

Payment for Annual Leave upon Separation

Each employee upon separation shall be paid the value of his/her accrued annual leave in a lump sum disregarding any final fraction of an hour; provided, that the privileges of this rule shall not extend to any employee who is dismissed for theft of agency funds or
property. The payment for such leave shall be computed by multiplying his/her hourly rate by the number of hours of accrued annual leave.

- No terminal payment for annual leave earned under these rules shall exceed the value of 300 hours, computed on the basis of the employee’s hourly rate of pay at the time of separation.
- No payment for annual leave under this rule shall operate to continue the payee as a classified employee beyond the last date of active duty. Payment for annual leave earned under administrative rules or regulations in effect prior to July 1, 1953 may be made on separation in accord with such rules or regulations.
- When an employee who has been paid under this Rule for accumulated annual leave is reemployed in a classified position, he/she shall pay the state agency which reemploys him/her the value of such annual leave at the rate paid him/her less the value of the working hours between the last day worked and the date of reemployment and shall be given credit for the number of hours of annual leave for which he/she has made reimbursement.

Use of Sick Leave

Sick leave may be used by an employee, who has sufficient leave to his/her credit, for a necessary absence from duty because of:

- Illness or injury which prevents performance of usual duties, and/or
- Medical, dental, or optical consultation or treatment.

Sick leave shall not be charged for non-work days. The minimum charge to sick leave records shall not be less than one half hour. Sick leave may only be taken in half-hour increments.

Sick leave should be applied for in advance for routine medical visits, eye and dental exams. An employee may be required to furnish an excuse signed by a health care professional when applying for sick leave approval, at the discretion of the Appointing Authority and/or supervisor.

In all cases, an excuse is required when an employee has been on sick leave for 24 or more consecutive hours, or for any sick leave taken immediately before or after a paid holiday. The 24 hours can cross pay weeks and pay periods. An original excuse must be submitted with each time sheet for each respective pay period involved. To return to work following an illness, injury, or surgery for which an employee has been under a medical provider’s care, a release from the health care professional must be submitted. It will be up to the Appointing Authority and/or supervisor to determine if light duty is available. If it is not, then the employee will be required to have a release to full duty.
An employee who has exhausted all sick leave may be separated from his/her employment. A separation under these conditions is not considered a disciplinary action and is done because of a need to have the duties of the position performed. An employee must have used 12 weeks of leave under FMLA to be terminated under this provision. See Civil Service Rule 12.6.

Absence from duty caused by maternity is considered to be a temporary disability similar to any other medical disability. Employees may use accumulated sick leave for this purpose. If the employee’s sick leave balance is insufficient to cover the entire period of absence, the employee must seek approval from the Appointing Authority or his/her supervisor to use annual leave, or to use leave without pay. Sick leave may be used only for that period of time during which the employee is unable to perform her duties because of pregnancy. Additional time off must be covered by other types of leave when the employee is discharged by her health care professional, usually six weeks following delivery. Maternity leave will be designated under FMLA. La. R.S. 23:342 allows up to four (4) months leave for pregnancy/childbirth leave.

Before being granted leave for maternity purposes, the employee is required to furnish a statement from her health care professional to the effect that she can no longer perform the duties required and the expected date of delivery. Before an employee can return to work following leave for pregnancy, the health care professional must certify in writing that the employee is able to return to regular duties. To prepare for possible replacement of an employee who is requesting maternity leave, the employee’s written request for leave should be submitted a minimum of two months in advance of the proposed beginning of leave. No later than one month prior to the termination of the approved leave period, the employee should notify the Office Manager in writing of her plans to resume duty on the established date.

The procedure to follow, when an employee is absent and other important guidelines are set forth in the discussion of absenteeism and tardiness in this handbook. Employees are to become familiar with these guidelines as well as any and all other departmental policies.

Continuation of Annual and Sick Leave

Employees cannot be paid for unused sick leave upon termination. If the employee is reemployed in state service within ten years from a non-disqualifying separation, the employee will be credited with all sick leave and any annual leave for which he/she was not paid. If the employee transfers to another state agency within the state, their leave balances are transferred to the gaining state agency.
Louisiana Board of Pharmacy               Policies & Procedures

Title:  Annual & Sick Leave      Policy No. II.D.2

Approved:  12-06-2006      Revised:

Revision History

12-06-2006 Inserted requirement for written excuse for any sick leave taken immediately before or after a paid holiday [Use of Sick Leave – page 3].
All minor purchases shall be planned and approved in advance by the Office Manager. Major purchases should be sent directly to the Office Manager, who then forwards the requisition to the Appointing Authority for final approval.

No one has the authority to obligate the Louisiana Board of Pharmacy to any expenditure for any reason without the required prior authorization. All purchases shall comply with appropriate directives.
1. Program
   A. Policy Statement
   B. Conditions of Participation

2. Definitions

3. Administrative Responsibilities
   A. Office of State Purchasing & Travel Responsibilities
   B. Board Responsibilities
   C. Supervisor Responsibilities
   D. Audit Reports

4. Policy Requirements
   A. Travel Card Account Requirements & Guidelines
   B. Individual Cardholder Requirements
   C. Allowable Travel Card Transactions
   D. State Corporate Business Account Requirements & Guidelines

5. Card Misuse
   A. Fraudulent Purchases
   B. Non-Approved Purchases
   C. Merchant Forced Transactions
   D. Card Security

6. Sales Tax

7. Documentation
   A. Complete Documentation
   B. Individual Travel Cards
   C. Corporate Business Accounts

8. Payment Procedures for Travel Card & CBA Accounts
   A. Payment Procedures
   B. ISIS Interface Agencies
   C. Non-ISIS Interface Agencies

9. Reconciliation and Cost Distribution

10. Waivers
    A. Exceptions
Title: Travel Card & CBA Policy

Policy No. II.E.5

Approved: 05-02-2012

1. Program
   A. Policy Statement
      The State of Louisiana State Liability Travel Card and CBA Program policy covers and establishes minimum standards for possession and use. The State Liability Travel Card / CBA is a tool used to assist employees and members in paying for specific, higher cost travel expenses, incurred during travel for official state business. The Travel Card / CBA is a VISA account issued by Bank of America for the State of Louisiana. These accounts will enable employees and members to purchase travel related accommodations and services with the convenience of a credit card to offset allowable expenses in accordance with Policy & Procedure Memorandum No. 49, a copy of which can be accessed at http://www.doa.louisiana.gov/osp/travel/travelpolicy/2011-12travelguide.pdf.

      Use of the State Liability Travel Card / CBA is provided for official state business only.

      It will be the responsibility of the Board to set single purchase limits for individual cardholders. The Board may allow a SPL (single purchase limit) up to $5,000 without prior approval from the Office of State Purchasing and Travel (OSP&T). The OSP&T must approve in writing any authority for a SPL or one time override to be above $5,000.

      This policy and procedure, along with the use of the Travel Card and CBA, does not negate any current requirement and/or allowances in PPM-49, including the travel authorization / expense forms which must be completed for all non-routine travel, conferences and out-of-state travel, as well as the Purchasing Policies, Rules & Regulations, Louisiana Statutes, or Executive Orders.

   B. Conditions of Participation
      The Board members and employees, as a condition of participation in the State Liability Travel Card / CBA Program, shall abide by the terms of this policy unless a “Request for Exception” form is submitted and approved by the OSP&T.

      No member or employee may qualify for a State Liability Travel Card if their State of Louisiana Corporate Travel Individual Liability account has been revoked due to charge-offs and/or non-payment or if their account has a balance due at the inception of the program. All accounts must be paid in full prior to consideration for a State Liability Travel Card.

      All Travel Card cardholders must sign the State Liability Travel Card Program Cardholder Agreement Form acknowledging and outlining the cardholder’s responsibility under the program [See Section 4.B]

      The Board’s failure to comply with all conditions of participation may result in its removal from the Travel Card / CBA Program.

2. Definitions
   Airfares, State Contracted – airfares, bid by the OSP&T, which are totally refundable but higher in cost due to the last seat availability requirement of the airline. These fares are usually only used for last minute notice of travel. State contracted airfares must be purchased with the State Liability Travel Card or the Board’s CBA account.
Title: Travel Card & CBA Policy
Policy No. II.E.5
Approved: 05-02-2012

Controlled Billed Account (CBA) – a credit account issued in the Board’s name (no plastic cards issued). These accounts are direct liabilities of the State and are paid by the Board. CBA accounts are controlled through an authorized approver(s) to provide means to purchase any allowed transactions or services allowed by this policy. [See Section 4.C] Although other travel-related charges are now allowed on the CBA account, the traveler needs to ensure that the actual ‘plastic’ is not necessary, as there is no plastic issued for a CBA account.

Cycle – the period of time between billings. For example, the State of Louisiana Travel Card closing period ends at midnight on the 8th day of each month. Synonymous with ‘billing cycle.’

Cycle Limit – maximum spending (dollar) limit a Travel Card / CBA is authorized to charge in a cycle. These limits should reflect the individuals’ travel patterns. They are preventative controls and as such should be used judiciously.

Incidental Expense – expenses incurred while traveling on official state business which are not allowed on the state liability travel card. Incidentals include but are not limited to meals, fees and tips to porters, baggage carriers, bellhops, or hotel maids, transportation between places of lodging and airport, such as taxi, telephone calls and any other expense not allowed in Section 4.C.

Merchant Category Code (MCC) – a standard code the credit card industry uses to categorize merchants based on the type of goods or services provided by the merchant. A merchant is assigned an MCC by the acquiring bank.

Policy & Procedure Memorandum No. 49 (PPM-49) – the state’s general travel regulations. These regulations apply to all Board employees as well as those expenses incurred by members not covered in the exception statute found at La. R.S.37:1178.B. or Board Policy I.B.2a.

Single Purchase Limit (SPL) – the maximum spending (dollar) limit a Travel Card is authorized to charge in a single transaction. The SPL may be set by the Board up to $5,000; however, this limit should reflect the individual’s travel patterns. These are preventative controls and should be used judiciously. Purchases shall not be split with the intent of and for the purpose of evading the Travel Card SPL set for the cardholder.

Travel Card – a credit account issued in an employee’s name. This account is a direct liability of the State and is paid by the Board. Travel Card accounts are a tool used to assist the employee in paying for specific, higher cost travel expenses incurred during travel for the Board on official state business only.

Travel Card Log – used in reconciliation process for purchases or services charged during the billing cycle. The log is used by matching the paper memo statement received from the bank to the log and the documentation obtained from the vendor.

Transaction Documentation – all documents pertaining to a transaction. The documentation is also used for reconciliation at the end of the billing cycle and is to be retained with the monthly reconciliation documentation for review and audit purposes. Examples of transaction documentation include but are not limited to itemized purchase receipts and invoices, receiving documents, credits, disputes, written approvals, airline exception justifications and approvals, and travel authorizations and expense forms.
3. Administrative Responsibilities

A. Office of State Purchasing & Travel Responsibilities

The Office of State Purchasing & Travel is responsible for the statewide contract administration of the State Liability Travel Card / CBA Program. The State Program Administrator will serve as a central point of contact to address all issues and changes necessary to the overall program and coordinate such changes with the contractor, Bank of America.

OSP&T will issue and maintain the State Liability Travel Card / CBA Policy. If the state’s policy or the program limits are changed statewide, a revised Travel Card / CBA Policy will be issued by OSP&T.

OSP&T will approve the Board’s participation in the program and identify the allowable Merchant Category Codes (MCC) and their limits, if applicable. MCC allowances will be in accordance with Section 4.C. OSP&T may grant an exception to the Board on a case-by-case basis in response to a written request by the Board in the form prescribed by OSP&T and forwarded to their office.

B. Board Responsibilities

The Executive Director will be responsible for designating the Board’s Travel Card / CBA Program Administrator and for notifying the State Program Administrator at OSP&T of any changes in the director or administrator positions at the Board.

The Board is responsible for developing a policy documenting all internal procedures and ensuring they are in accordance with the guidelines of the State Liability Travel Card / CBA Policy and updated when necessary with changes or additions which may occur in the Board’s internal procedures or the State’s policy.

The Board’s Program Administrator will be responsible for keeping abreast of program updates as they are sent as email updates and are posted on the OSP&T website at http://www.doa.louisiana.gov/osp/travel/traveloffice.htm along with dissemination of this information to the Executive Director, all cardholders and other Board staff and members as deemed appropriate.

The Board is responsible for performing post audits of cardholder transactions to monitor appropriate use while verifying that purchases are made in accordance with PPM-49 and all other purchasing rules and regulations. The bank will provide reporting capabilities to the Board at no cost to the Board.

The Board is responsible for establishing proper controls and developing internal policies and procedures, as well as:

1. Conducting necessary training to ensure the cardholder is aware of all duties and responsibilities associated with possession or use of a State Liability Travel Card. The program administrator shall maintain the original employee signed copy of the State Liability Travel Card Program Cardholder Agreement Form, for all participants of the Travel Card Program. A copy of the signed agreement along with the state and agency policy shall be provided to the participating employee.
2. Determining appropriate cardholders and setting individual cardholder limits for single transactions, and daily and/or cycle transaction limits. The Board shall issue no more than one card to any authorized cardholder.

3. Determining allowable merchant codes based on individual needs and the State’s allowances.

4. Educating cardholders on use of the cards and sales tax requirements. See Section 6.

5. Maintaining budgetary controls.

6. Developing a travel card log used to assist in the reconciliation process.

7. Monitoring for inactive cardholder accounts and adjusting SPL and/or monthly cycle limits accordingly, based on possible change in needs and/or cancellation of the card when not utilized in a twelve month period.

8. Establishing procedures as part of the exit interview process to collect and cancel cards upon termination of the employee cardholder.

9. Educating cardholders on the process of reporting a card lost, stolen, and/or any fraudulent activity.

10. Requesting cards and performing any maintenance necessary for Board cardholders, monitoring the issuance of cards, and ensuring prompt reconciliation of periodic statements.

11. Establishing procedures for reducing Travel Card cardholders to $1 limits during an extended absence, to protect the cardholder and the Board.

12. Establishing and enforcing personnel policies to discipline employees in the event of abuse or failure to comply with established guidelines as well as procedures for recoupment of unauthorized charges and/or overage of allowances as defined in PPM-49. If abuse, whether accidental or for travel incidentals, occurs more than twice, the Board shall cancel the card.

13. Establishing internal procedures for both state and city tax reimbursements to applicable hotel, city, parish, and/or State to handle hotel charges which are not allowed but were charged resulting in an unauthorized tax exemption for charges such as room services, movies, double occupancy for additional non-state employees, etc. as well as other charges which are in excess of official business days (such as personal days added at the beginning or end of a trip or conference.)

14. Maintaining a list of all Board cardholder’s names.

15. Establishing Corporate Business Accounts for the Board and determining proper authorizers. The contract travel agency and Bank of America must be notified of proper authorizers for the Board’s CBA.
16. Assigning codes specific to the Board’s accounting system to track purchases as deemed necessary.

17. Ensuring that reconciliation is completed and payments made timely.

C. Supervisor Responsibilities
1. Always submit approvals with all necessary documentation in a timely manner and in accordance with the Board’s policy.

2. Ensure each transaction:
   - Has an appropriate business purpose;
   - Is in compliance with PPM-49 and/or the Board’s travel policy;
   - Is in compliance with the Board’s Travel Card / CBA Program policy;
   - Has all required documentation supporting the transaction; and
   - Is not a duplication of personal request and/or reimbursements.

D. Audit Reports
The following reports shall be produced at least once per month:
- Card Decline Report – shows all transactions which were declined during a specified time period, including the reason for the decline. Examples of card declines include failure to activate card, MCC group excluded, type of vendor not allowed, not enough money available, etc.
- Card Status Report – shows the status of each card by listing the cardholders name, profile, and single transaction limit. This report can verify that each cardholder has been assigned the correct profile and that all limits are correct.

All reports are to be used as a tool to assist the program administrator with determining which cardholders may need a refresher training course, counseling, cancellation of card, as well as to determine possible changes to cardholders’ limits, profiles, and MCC groups.

4. Policy Requirements
   A. Travel Card Account Requirements & Guidelines
      1. Travel advances should not be given to an employee who does not qualify for a Travel Card in the event their previous Individual Liability Travel Card account was revoked due to charge-offs and/or non-payment or if that account has an outstanding balance. A list of currently ineligible employees may be obtained from the OSP&T or from Bank of America.

      2. All Travel Card transactions must have a receipt and must be in accordance with all PPM-49 guidelines, Board travel policies, or purchasing regulations, including the travel authorization / expense forms which must be completed for all non-routine travel, conferences, and out-of-state travel.

      3. In accordance with airline contracts and PPM-49, it is mandatory that all state contracted airfare be purchased with a Travel Card or the Board’s CBA account.

      4. Cardholders must be approved by the Executive Director and distributed only to frequent travelers, not as an automatic process upon hiring.
5. Cardholders must attend a training class and sign a State Liability Cardholder Agreement form acknowledging the cardholder’s responsibilities prior to receiving the card.

6. All Travel Cards are issued with state liability, under which the state is liable for the payment of the purchases. The program is based on the strength of the State’s financial resources, not the personal finances of the cardholder.

7. Due to the liability assumption by the state, Travel Cards are to be issued in the name of State of Louisiana employees only.

8. Travel Cards will be issued with dual limits. The overall card cycle limit is determined by the Board, and the SPL is also determined by the Board. Exceptions to the SPL may be requested from OSP&T with a travel exemption request form.

9. The State Liability Travel Card is a VISA card and will be identified with the State of Louisiana seal and marked Commercial Travel Card / Louisiana Travel Card. The cards will be embossed with the Employee’s name, Board’s name, account number, and tax exemption number.

10. Expiring Travel Cards will automatically be replaced or renewed prior to the Travel Card’s expiration date by the issuing bank. All replacement or renewed cards will be sent to the Board’s Program Administrator.

B. Individual Cardholder Requirements & Guidelines

1. Use for official state travel only. No personal use.

2. Attend training class and sign a State Liability Cardholder Agreement form, acknowledging cardholder’s responsibilities prior to receiving the card.

3. Never put the full Travel Card account number in emails, fax, reports, memo, etc. If designation of an account is necessary, only use the final four or eight digits of the account number.

4. Recognize the Travel Card is the property of the State of Louisiana and the cardholder is responsible for the physical security and control of the Travel Card and its appropriate use. The Cardholder is also responsible for maintaining the security of card data, such as the account number, the expiration date, and the card verification code (CVC), the 3-digit security code located on the back of the card.

5. The cardholder shall never send a copy of the Travel Card if requested by a merchant. If this is required for payment, then the cardholder must use another form of payment other than the Travel Card.

6. Present a personal credit card when checking into a hotel to cover any incidental expenses, which are not allowed if using the Travel Card to pay for hotel room charges. If incidentals are incurred during a business trip, traveler must be
reimbursed through the Board’s travel reimbursement policy and procedures, including use of the BA-12 travel expense report form.

7. Never use an individual Travel Card for personal, non-business expenses for any reason. Use of the Travel Card is limited to the person whose name is embossed on the card. The Travel Card shall not be used to pay for another or loaned to another person to pay for official or non-official travel expenses.

8. Taxes should never be paid on hotel, Enterprise in-state vehicle rentals, or Park-N-Fly parking charges with the Travel Card. See Section 6.

9. Never, under any circumstances, use the Travel Card to access cash.

10. Never accept cash in lieu of a credit to the Travel Card account.

11. Never use the Travel Card for incidental expenses.

12. Never use the Travel Card for gift cards or gift certificates.

13. Never use the Travel Card for the purchase of alcohol, food or entertainment services without prior approval from OSP&T.

14. Never use the Travel Card for fuel and maintenance of vehicles.

15. Never use the Travel Card to avoid procurement or payment procedures.

16. The cardholder shall submit their BA-12 travel expense report form and all required documentation, special approvals, etc. timely and in accordance with the Board’s travel policy. Every transaction must have a receipt; failure to do may result in a cancellation of the Travel Card.

17. Never make a payment directly to the bank in the event an unauthorized charge is placed on the cardholder’s Travel Card. If the payment is made directly to the bank, it will cause the monthly billing statement file to be out of balance and the Board will need to determine the cause. Ultimately, it will be determined that a personal payment was made, therefore, report any unauthorized charges to the Board’s Program Administrator immediately.

18. Notify the Board’s Program Administrator if fraudulent charges are noticed, as the card may need to be cancelled and another card issued.

19. Notify the Board’s Program Administrator if use of the card has changed and either lower or higher limits are necessary.

20. Immediately report a lost or stolen card to Bank of America at 1-888-449-2273.

C. Allowable Card Transactions

1. Airfare and travel agency fees must be paid for with the Board’s CBA account.
2. Registration for Conferences and workshops; however, the Travel Card may not be used for membership dues.

3. Hotel / Lodging.

4. Rental car.

5. Parking – only in connection with hotel stay and combined on invoice. Park-N-Fly charges are permitted.

6. Internet Services – only in connection with hotel stay and combined on invoice.

7. Airline baggage fees – only when combined with normal airfare cost at time of reservation. If baggage charge is invoiced or billed separately or at time of check-in, these fees are not allowed on the Travel Card without approval from OSP&T; however, they may be reimbursable on the traveler’s expense report form.

8. Gasoline for Rental Car – not to be used since the Board is part of the Fuel Card Program.

9. Shuttle Service – only when pre-paid prior to trip. Not for individual ground transportation during a business trip such as taxi, bus, etc. without prior approval from OSP&T.

D. State Corporate Business Account Requirements & Guidelines

1. All CBA transactions must be in accordance with PPM-49 guidelines, Board travel policies, and purchasing regulations.

2. The purpose of a CBA is to provide a tool for the Board to purchase contract and non-contract airfare and assist with payment of travel expenses only. See Section 4.C.

3. In accordance with airline contracts and PPM-49, it is mandatory that all airfare be purchased with the Board’s CBA.

4. The State promotes the use of the CBA account for airfares and registration; however, the Board’s Executive Director will determine who is eligible to use the Board’s CBA.

5. The account is issued in the name of the Board and the Board’s Program Administrator is the primary point of contact for the account. The Board may designate multiple authorizers for the account; the contract travel agency and Bank of America must be notified of the authorizers.

6. CBA accounts shall have an overall card cycle limit as determined by the Board. This limit should reflect the Board’s travel patterns; they are preventative controls and should be used judiciously.
Title: Travel Card & CBA Policy
Policy No.: II.E.5

7. The CBA accounts are also the direct liability of the state. The Board will be responsible for ensuring all payments are made timely to the bank.

8. No plastic card is used; these are referred to as ‘ghost accounts.’ If it is determined that personal or other unauthorized charges are occurring on the CBA account, appropriate measures, up to and including dismissal, shall be taken to resolve the misuse or abuse of the account.

9. The full CBA account number shall never be put in emails, fax, reports, memos, etc. If designation of an account is necessary, only use the final four or eight digits of the account.

10. All CBA accounts must be paid in full monthly and musts be made by electronic payment.

5. Card Misuse

A. Fraudulent Purchases – any use of the Travel Card / CBA which is determined to be an intentional attempt to defraud the state for personal gain or for the personal gain of others.

An employee suspected of having misused the Travel Card / CBA with the intent to defraud the state will be subjected to an investigation. Should the investigation result in findings which show that the actions of the employee have caused an impairment to the state service, and should those findings be sufficient to support such action, the employee will be subject to disciplinary action. The nature of the disciplinary action will be the prerogative of the Board’s Executive Director and will be based on the investigation findings and the record of the employee. Any such investigation and ensuing action shall be reported to the Legislative Auditor and the Director of the OSP&T.

B. Non-Approved Purchases – a purchase made by a cardholder for which payment by the state is unapproved. A non-approved purchase differs from a fraudulent purchase in that it is a non-intentional misuse of the Travel Card / CBA with no intent to deceive the Board for personal gain or for the personal gain of others.

A non-approved purchase is generally the result of a miscommunication between a supervisor and the cardholder. A non-approved purchase could occur when the cardholder mistakenly uses the Travel Card rather than a personal card.

When a non-approved purchase occurs, the cardholder should be counseled to use more care in handling of the Travel Card / CBA. The counseling should be in writing and maintained in the employee’s file for no longer than one year unless another incident occurs. The employee shall pay for the item or service purchased inappropriately. Should another incident of a non-approved purchase occur within a 12-month period, the Board’s Executive Director may consider revocation of the Travel Card / CBA.

C. Merchant Forced Transactions

Commercial cards are accepted by a variety of merchants that process transactions only if approved by the issuing bank, thereby abiding by the card controls in place. Merchants processing transactions generally perform two steps:
1. Merchant authorizes transactions against card controls (MCC, limits, expiration date, etc.) and, if approved, receives an authorization number.
2. Merchant submits the transactions for payment from the bank.

In rare instances, merchants will circumvent the authorization process and only perform the second step, in which case, the merchant did not receive an authorization number. If this does happen, the merchant has forfeited all dispute rights and the transaction can be disputed and unless the merchant can provide a valid authorization number, the dispute will be resolved in the cardholder’s favor.

D. Card Security
Each cardholder is responsible for the security of their card, and therefore should:
• Never display their card account number around their work area;
• Never give his card account number to someone; and
• Never email the full account number under any circumstances.

6. Sales Tax
A. Charges are a direct liability of the State, therefore, Louisiana sales tax should not be charged on hotel, Enterprise in-state vehicle rentals, and Park-N-Fly charges.

B. Cardholders should make every effort at the time of hotel, Enterprise in-state vehicle rental and Park-N-Fly parking charges to avoid being charged Louisiana State sales tax.

C. In the event state sales tax is charged and a credit is warranted, it will be the cardholder’s responsibility to have the vendor (not Bank of America) issue a credit to the cardholder’s account.

D. It is State policy not to pay Louisiana State sales tax; however, the Board may exempt cardholders from obtaining a credit from the vendor for state sales tax charges of $25 or less. If a cardholder continually allows taxes of $25 or less to be charged to the card, corrective measures must be taken. It is the Board’s responsibility to monitor these sales tax transactions to ensure corrective action is taken against repeat offenders.

7. Documentation
A. Complete Documentation
1. Ensure that documentation is adequate and sufficient to adhere to PPM-49, Board travel policies, and purchasing regulations. The Board should ensure that designated reviewers are verifying receipts and certifying that the documentation is acceptable for each transaction, that it was for official state business, that it is in compliance with the appropriate rules and regulations, and that it has been reviewed and is approved.

2. Documentation is required for all purchases and credits. For items such as registrations, where the vendor does not normally generate a receipt or packing slip, a copy of the ordering document may be used. Acceptable documentation must include a line description and line item pricing for the purchase.
Title: Travel Card & CBA Policy
Policy No. II.E.5

Approved: 05-02-2012

3. The Board will maintain a file of all supporting documentation in accordance with
record retention laws. This file will be subject to periodic review by the Office of
the Legislative Auditor and any other duly authorized auditor.

B. Individual Travel Cards
It will be each cardholder’s responsibility to submit their travel expense report forms and
all required documentation, special approvals, etc. timely and in accordance with the
Board’s travel policy to help ensure it is paid timely by the Board.

C. Corporate Business Accounts
Authorizers for the CBA accounts will maintain records and approvals sufficient to
reconcile the CBA statement to ensure it is paid timely. Each Program Administrator is
responsible for ensuring that documentation is adequate and sufficient to adhere to PPM-
49, state purchasing guidelines, and accounting guidelines for recording of expenditures.

8. Payment Procedures for Travel Card & CBA Accounts
A. Payment Procedures
The Board will ensure that necessary procedures and controls are in place for prompt
payment, reconciliation, and cost distribution of charges and credits.

1. Bank of America will send paper statements or an electronic file containing all
cardholder transactions. These files may be used for reporting and
reconciliation.

2. The paper statements or electronic files will be sent after the close of the billing
cycle. Payment must be made electronically to Bank of America within 25 days
of the statement billing date.

B. Non-ISIS Interface Agencies
The Board can use the Statement Billing File to interface to its accounting system or use
paper statements to produce one electronic funds transfer to Bank of America.

9. Reconciliation and Cost Distribution
A. Documentation must be obtained indicating the date of purchase, the vendor name,
description of the item, amount, receipt date, and accounting distribution information such
as reporting category, travel authorizations and expense report forms, any special
justifications or approvals, etc. This may be accomplished by maintaining a Travel Card
log or recording information directly on the receipt from the vendor.

B. Cardholders will receive paper memo statements monthly from Bank of America within 5
business days of the close of the billing cycle. If the cardholder statement is not received
timely, the cardholder must notify the Board’s Program Administrator immediately so that
a statement can be obtained for reconciliation purposes.

C. The cardholder must reconcile purchases charged during the billing cycle by matching
the bank memo statement to his Travel Card log and the documentation obtained from
the vendors. The documentation will be reviewed and certified by the cardholder as received or reported as a disputed item. The cardholder will then forward the statement and supporting documentation to the Board’s Executive Director or his designee.

D. The Board’s Executive Director or his designee must review the information and documentation submitted by the cardholder. See Section 3.C. The reviewer must verify that acceptable documentation exists to support each purchase, verify that purchases are for official state business, and purchases comply with PPM-49 and Board policies. The reviewer must sign the expense report form certifying his review and approval. The cardholder may not approve his own monthly Travel Card log.

E. If it is determined that personal or other unauthorized charges are occurring on the card, appropriate measures, up to and including dismissal, shall be taken to resolve the misuse or abuse of the card. See Section 5; Card Misuse.

F. All of the documentation shall be forwarded to the Board’s Office Manager for accounting and payment functions.

G. It shall be the Board’s responsibility to obtain through WORKS (program administered by OSP&T) or contact the bank if the paper statement is not received timely. The Board’s Program Administrator should complete the reconciliation and distribution processes each month and prior to receiving the next billing cycle.

10. Waivers
A. Exemptions
   The Director of OSP&T or his designee may waive in writing any provisions of these policies when the best interests of the State will be served.

11. Internal Procedures
A. The Board’s Appointing Authority is the Executive Director. He shall determine the eligibility for access to and use of Travel Cards and the Board’s CBA.

B. The Board’s Office Manager shall serve as the Program Administrator.

C. The Board’s Executive Director and Office Manager are the only persons authorized to allow charges to be placed on the Board’s CBA account.

D. The Board shall apply for only one Travel Card, in the name of the Executive Director.

E. When the cardholder is no longer employed with the Board, he shall return the card to the Board office for cancellation.
The Board’s Executive Director and Program Administrator, by signing this policy on this 27th day of December in 2011, acknowledge and accept their responsibilities in the administration of this program as outlined herein.

Malcolm J. Broussard
Executive Director

Kelley L. Villeneuve
Office Manager
It is the policy of the Louisiana Board of Pharmacy to provide a workplace free of sexual harassment in any form. Sexual harassment of any kind violates the Civil Rights Act (of 1964 and 1991). Violations will not be tolerated and may result in disciplinary action and possible termination of employment.

Sexual harassment is any demand or sexual inference connected with one’s job. Examples include verbal or non-verbal sexual innuendoes, suggestive comments, threats, insults, jokes about specific traits, sexual propositions, suggestive or insulting noises, obscene gestures, physical body contact, or coercing of any sexual activity.

Sexual harassment also includes any unwelcome sexual advances or requests for sexual favors as a term or condition of any individual’s employment, or when this conduct is used as a basis for employment decisions. Furthermore, when such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance creating an intimidating, hostile, and an offensive working environment.

Employees shall report any acts that affect or interfere with their employment to their supervisor for sexual harassment complaints. If the person the employee is reporting is the supervisor for sexual harassment complaints, then the employee shall contact the supervisor’s superior to file the harassment charge.

All such complaints will be both thoroughly and quickly investigated in a confidential and non-biased manner regardless of whether it involves a co-worker or supervisor.

The Louisiana Board of Pharmacy protects the rights of those individuals who bring and investigate sexual harassment complaints and also protects those individuals against any acts of retaliation if they pursue the complaints of sexual harassment.
To maintain a safe and comfortable working environment and to ensure compliance with applicable laws, the board office and the building in which it is located is a non-smoking facility. Employees smoking inside any part of the building may be subject to disciplinary action. This includes stairways, elevators, hallways, and restrooms.

Smoking is allowed outside the back entrance of the building only.
Title: Smoking
Policy No. II.I.3

Approved: 05-02-2012  Revised: 05-27-2015

To maintain a safe and comfortable working environment and to ensure compliance with applicable laws, the entire board office building is designated a non-smoking facility. Employees smoking inside any part of the building may be subject to disciplinary action. This includes stairways, hallways, and restrooms.

Smoking is allowed outside the side entrance of the building only.
1. The statutory authority for this program is RS 25:121-124.

2. The regulatory authority for this program is LAC 25:VII.4301 – 4317.

3. The staff shall cooperate with the Louisiana State Library’s Document Depository Program by transmitting the required number of copies of all public documents on a periodic basis to the state library, at:

   Ms. Ferol Foos  
   Recorder of Documents  
   State Library of Louisiana  
   701 N. 4th Street  
   Baton Rouge, LA  70802-5232  
   Telephone 225.342.4929  
   Facsimile 225.219.4725  
   Email ffoos@pelican.state.lib.la.us

4. Twenty (20) copies of the following publications, and their subsequent updates, shall be transmitted to the library on a quarterly basis:

   Laws & Regulations  
   Newsletters  
   Bulletins  
   Annual Reports  
   Special Reports  
   Minutes of Board Meetings  
   Website Documents

5. The staff shall maintain a record of the quarterly transmittals to the library.
Roster of Colleges and Schools of Pharmacy
Status of Accreditation by ACPE

Accreditation Status

**Precandidate**
A new program that has no students enrolled but that meets the eligibility criteria for accreditation may be granted Precandidate accreditation status. The granting of Precandidate status indicates that a college or school's planning for the Doctor of Pharmacy program has taken into account ACPE standards and guidelines and suggests reasonable assurances of moving to the next step, that of Candidate status. Granting of Precandidate status brings no rights or privileges of accreditation. Full public disclosure by the college or school of pharmacy of the terms and conditions of this accreditation status is required.

**Candidate**
Once students have enrolled in a new program, but the program has not had a graduating class, the program may be granted Candidate status. The granting of Candidate status denotes a developmental program that is expected to mature in accord with stated plans and within a defined time period. Reasonable assurances are expected to be provided that the program may become accredited as programmatic experiences are gained, generally, by the time the first class has graduated. Graduates of a class designated as having Candidate status have the same rights and privileges as graduates of an accredited program.

**Accredited**
The professional degree program of a college or school of pharmacy is granted accreditation if it has been demonstrated to the satisfaction of ACPE that the program complies with accreditation standards, including the appropriateness of the program's mission and goals, the adequacy of resources and organization to meet the mission and goals, outcomes which indicate that the mission and goals are being met, and the reasonable assurance of the continued compliance with standards.

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Current as of 05-01-2016
### Roster of Colleges and Schools of Pharmacy

**Status of Accreditation by ACPE**

Current as of 05-01-2016

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<td>020</td>
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<td>029</td>
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Current as of 05-01-2016
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<tr>
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<td>Oxford</td>
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<tr>
<td>134</td>
<td>University of North Texas - College of Pharmacy</td>
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<td>053</td>
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<td></td>
<td>(formerly St. Joseph College)</td>
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<tr>
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<tr>
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<td>University of Southern California - School of Pharmacy</td>
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<td>CA</td>
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<tr>
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<td>University of Tennessee - College of Pharmacy</td>
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<td>067</td>
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<tr>
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<td>UT</td>
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<td>VA</td>
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<td>Pullman</td>
<td>WA</td>
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Current as of 05-01-2016
### Roster of Colleges and Schools of Pharmacy
#### Status of Accreditation by ACPE

<table>
<thead>
<tr>
<th>NABP #</th>
<th>Name</th>
<th>City</th>
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<th>Status</th>
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</thead>
<tbody>
<tr>
<td>072</td>
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<td>Morgantown</td>
<td>WV</td>
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<td>Springfield</td>
<td>MA</td>
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<td>Western University of Health Sciences - College of Pharmacy</td>
<td>Pomona</td>
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<td>Wilkes-Barre</td>
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<td>Wingate University - School of Pharmacy</td>
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<tr>
<td>024</td>
<td>Xavier University of Louisiana - College of Pharmacy</td>
<td>New Orleans</td>
<td>LA</td>
<td>Accredited</td>
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### Counts

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<tr>
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Current as of 05-01-2016
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<td>RI-01</td>
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<td>LA-22</td>
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<td>LA-20</td>
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</table>

Counts
11 Accredited
13 Candidate
24 Total

Current as of 11-01-2015
Transmitted via Email only:  
mbroussard@pharmacy.la.gov

Mr. Malcolm J. Broussard, Executive Director  
Louisiana Board of Pharmacy  
3388 Brentwood Drive  
Baton Rouge, Louisiana 70809-1700

Dear Mr. Broussard:

The Louisiana Legislative Auditor anticipates serving you in the audit of your 2016 financial statements. This letter will confirm our understanding of the arrangements regarding the financial and compliance audit we are to perform of the Louisiana Board of Pharmacy (Board), a component unit of the State of Louisiana, as of and for the year ended June 30, 2016.

Our audit will encompass the Statement of Net Position, Statement of Revenues, Expenses, and Changes in Net Position, and Statement of Cash Flows, including the related notes to the financial statements, which collectively comprise the Board’s basic financial statements as of and for the year ended June 30, 2016, for the purpose of expressing an opinion as to whether they are presented, in all material respects in conformity with accounting principles generally accepted in the United States of America.

Accounting principles generally accepted in the United States of America provide for certain Required Supplementary Information (RSI), including Management’s Discussion and Analysis (MD&A), Schedule of the Board’s Proportionate Share of the Net Pension Liability, Schedule of Board Contributions, and Schedule of Funding Progress for the Other Postemployment Benefits Plan, to supplement the Board’s basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. As part of our engagement, we will apply certain limited procedures to the Board’s RSI in accordance with auditing standards generally accepted in the United States of America. These limited procedures will consist of inquiries of management regarding the methods of preparing the information and comparing the information for consistency with management’s responses to our inquiries, the basic financial statements, and other knowledge we obtain during our audit of the basic financial statements. We will not express an opinion or provide any assurance on the information because the limited procedures will not provide us with sufficient evidence to express an opinion or provide any assurance.
Supplementary Information (SI) accompanying the financial statements that is not required to be presented by accounting principles generally accepted in the United States of America, including the Schedule of Per Diem Paid to Board Members, will be subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. Unless we encounter problems with the presentation of the SI, we will provide an opinion on it in relation to the financial statements as a whole.

Our audit will be conducted in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, and will include tests of the accounting records of the Board and other procedures we consider necessary to enable us to express our opinion.

**Audit Procedures - General**

An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements; therefore, our audit will involve judgment about the number of transactions to be examined and the areas to be tested. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We will plan and perform the audit to obtain reasonable rather than absolute assurance about whether the financial statements are free of material misstatement whether from errors, fraudulent financial reporting, misappropriation of assets, or violations of laws or regulations that are attributable to the Board or to acts by management or employees acting on behalf of the Board. Because the determination of abuse is subjective, *Government Auditing Standards* do not expect auditors to provide reasonable assurance of detecting abuse.

Because of the inherent limitations of an audit, together with the inherent limitations of internal control, and because we will not perform a detailed examination of all transactions, an unavoidable risk exists that some material misstatements may exist and not be detected, even though the audit is properly planned and performed in accordance with auditing standards generally accepted in the United States of America and *Government Auditing Standards*. In addition, an audit is not designed to detect immaterial misstatements or violations of laws or regulations that do not have a direct and material effect on the financial statements. However, we will inform you of any material errors and any fraudulent financial reporting or misappropriation of assets that comes to our attention. We will also inform you of any violations of laws or regulations that come to our attention, unless clearly inconsequential. Our responsibility, as auditors, is limited to the period covered by our audit and does not extend to later periods for which we are not engaged as auditors.
Our procedures will include tests of documentary evidence supporting the transactions recorded in the accounts, and may include direct confirmation of transaction by correspondence with selected individuals, creditors, financial institutions, and other organizations. We will request written representations from your attorneys as part of the engagement. During the audit, we will also require certain written representations from you about the financial statements, and related matters. At the conclusion of the audit, we will require that you update these representations.

Audit Procedures – Internal Control

Our audit will include obtaining an understanding of the entity and its environment, including internal control, sufficient to assess the risks of material misstatement of the financial statements, and to design the nature, timing, and extent of further audit procedures. Tests of controls may be performed to test the effectiveness of certain controls that we consider relevant to preventing and detecting errors and fraud that are material to the financial statements and to preventing and detecting misstatements resulting from illegal acts and other noncompliance matters that have a direct and material effect on the basic financial statements.

Our tests, if performed, will be less in scope than would be necessary to render an opinion on internal control, and, accordingly, no opinion will be expressed in our report on internal control issued pursuant to Government Auditing Standards.

An audit is not designed to provide assurance on internal control or to identify significant deficiencies or material weaknesses. However, during the audit, we will communicate to management and those charged with governance internal control related matters that are required to be communicated under American Institute of Certified Public Accountants’ professional standards and Government Auditing Standards.

Audit Procedures - Compliance

It is acknowledged that management of the Board is responsible for identifying and ensuring that the Board complies with applicable laws, regulations, contracts, agreements, and grants. As part of obtaining reasonable assurance about whether the financial statements are free of material misstatement, we will perform tests of the Board’s compliance with certain provisions of applicable laws, regulations, contracts, agreements, and grants. However, the objective of our audit will not be to provide an opinion on overall compliance with such provisions, and we will not express such an opinion in our report on compliance issued pursuant to Government Auditing Standards.

Auditor’s Reports

Our reports will consist of:

1. A report on the financial statements as of and for the year ended June 30, 2016, with the expression of an opinion as to whether the financial statements are fairly presented, in all material respects, in conformity with accounting principles generally accepted in the United States of America. If our opinion is other than
unmodified, we will fully discuss the reasons with you in advance. If for any reason we are unable to complete the audit or are unable to form or have not formed an opinion, we may decline to express an opinion or to issue a report as a result of this engagement. We will also report on the fairness of the SI when considered in relation to the financial statements as a whole.

2. A report (that does not include an opinion) on internal control related to the financial statements and on compliance with the provisions of laws, regulations, contracts, and grants, noncompliance with which could have a material effect on the financial statements as required by Government Auditing Standards. The report will include a paragraph that states that the purpose of the report is solely to describe the scope of testing of internal control over financial reporting and compliance, and the result of that testing, and not to provide an opinion on the effectiveness of internal control over financial reporting or on compliance, and that the report is an integral part of an audit performed in accordance with Government Auditing Standards in considering internal control over financial reporting and compliance. The paragraph will also state that the report is not suitable for any other purpose.

If during our audit we become aware that the Board is subject to an audit requirement that is not encompassed in the terms of this engagement, we will communicate to management and those charged with governance that an audit in accordance with auditing standards generally accepted in the United States of America and the standards for financial audits contained in Government Auditing Standards may not satisfy the relevant legal, regulatory, or contractual requirements.

During our audit, it is possible that we may observe opportunities for economies of operation or other matters that should be brought to your attention. Our comments and recommendations concerning such matters, if any, will be conveyed to you as appropriate.

Management’s Responsibilities

As part of the audit, we will assist with the preparation of your financial statements and related notes. You will be required to acknowledge in the written representation letter our assistance with preparation of the financial statements and that you have reviewed and approved the financial statements and related notes prior to their issuance and have accepted responsibility for them. You agree to assume all management responsibilities for any nonaudit services we provide; oversee the services by designating an individual, preferably from senior management, who possess suitable skill, knowledge, or experience; evaluate the adequacy and results of the services; and accept responsibility for them.

Management is responsible for establishing and maintaining effective internal control relevant to the preparation and fair presentation of financial statements, including evaluating and monitoring ongoing activities, to help ensure that appropriate goals and objectives are met; for the selection and application of accounting principles; for safeguarding of assets; and for the fair presentation in the financial statements of the financial position and changes in financial position
of the Board in conformity with accounting principles generally accepted in the United States of America.

Management is also responsible for making all financial records and related information available to us and for ensuring that financial and other information provided to us is reliable and complete, and for ensuring that transactions are properly recorded. You are also responsible for providing us with (1) access to all information of which you are aware that is relevant to the preparation and fair presentation of the financial statements, (2) additional information that we may request for the purpose of the audit, and (3) unrestricted access to persons within the Board from whom we determine it necessary to obtain audit evidence.

Management’s responsibilities include adjusting the financial statements to correct material misstatements and for confirming to us in the representation letter that the effects of any uncorrected misstatements aggregated by us for the year ended June 30, 2016, are immaterial, both individually and in the aggregate, to the financial statements taken as a whole.

Management is responsible for the design, implementation, and maintenance of programs and controls relevant to the preparation and fair presentation of the financial statements to prevent and detect fraud, and for informing us about all known or suspected fraud affecting the Board involving management, employees who have significant roles in internal control, and others where the fraud or illegal acts could have a material effect on the financial statements. Your responsibilities include informing us of your knowledge of any allegations of fraud or suspected fraud affecting the Board received in communications from employees, former employees, grantors, regulators, or others. In addition, you are responsible for identifying and ensuring that the Board complies with applicable laws, regulations, contracts, agreements, and grants and for taking timely and appropriate steps to remedy any fraud, illegal acts, violations of contracts or grant agreements, or abuse that we may report.

Management is responsible for the preparation of the SI in conformity with the basis of accounting prescribed by law. You agree to include our report on the SI in any document that contains and indicates that we have reported on the SI. You also agree to include the audited financial statements with any presentation of the SI that includes our report thereon. Your responsibilities include acknowledging to us in the written representation letter that (a) you are responsible for presentation of the SI in accordance with the basis of accounting prescribed by law; (b) you believe the SI, including its form and content, is fairly presented in accordance with this criteria; (c) the methods of measurement or presentation have not changed from those used in the prior period, or if they have changed, the reasons for such changes; and (d) you have disclosed to us any significant assumptions or interpretations underlying the measurement or presentation of the SI.

Management is responsible for establishing and maintaining a process for tracking the status of audit findings and recommendations. Management is also responsible for identifying for us any other audits, engagements, or studies related to the objectives of our audit. This responsibility includes relaying to us corrective actions taken to address significant findings and recommendations resulting from those other audits, engagements, or studies. You are also responsible for providing management’s views on our current findings, conclusions, and
recommendations, as well as your planned corrective actions, and the timing and format related thereto.

Other Matters

Our fee for this engagement, which is charged in accordance with Louisiana Revised Statute 24:517.3.A, will be at our standard hourly rates in effect at the time services are performed. Our fee for this engagement, which we estimate, will not exceed $4,840. This fee is based on the assumption that you will provide necessary documentation to support financial statement amounts, anticipated cooperation from your personnel, and the assumption that unexpected circumstances will not be encountered during the engagement. If significant additional time is necessary, we will discuss it with you and arrive at a new fee estimate before we incur the additional costs. Any amendments to the not-to-exceed amount of the fees will be in writing and signed by both the Louisiana Legislative Auditor and the Board.

It is understood that any additional accounting, bookkeeping, or management advisory services required to be performed or the inclusion of any additional funds, etc., are not a part of the fee contemplated by this agreement and that such services, if deemed necessary for the efficient and timely completion of the engagement, would be billed at our standard hourly rates. You would, of course, be provided an estimate of the cost of these additional services. The provisions of Government Auditing Standards limit our ability to provide non-audit services during the duration of this engagement and for the period covered by this engagement.

We anticipate that the audit work will commence no later than August 1, 2016, and that the report will be issued no later than September 1, 2016.

We will assign Ms. Katie Demoruelle, CPA, of our staff (Louisiana Legislative Auditor, Post Office Box 94397, Baton Rouge, LA 70804-9397, (225) 336-5974) as the in-charge auditor and she will exercise overall control and management for this engagement. Furthermore, Ms. Cheryl Rials, CPA, (225) 336-6089 will serve as Audit Manager for the engagement. It is our understanding that you will assist as the Board’s chief representative during the audit.

At the completion of the audit, we will send the Board a copy of our report. We will send a copy of our report to each board member, to the Executive Director, to the Office of Statewide Reporting and Accounting Policy, and to Louisiana officials as required by laws and regulations. Under Louisiana Revised Statute 24:513, the report is also made available for public inspection.

With regard to the electronic dissemination of audited financial statements published electronically on your website, you understand that electronic sites are a means to distribute information and, therefore, we are not required to read the information contained in these sites or to consider the consistency of other information in the electronic site with the original documents.
It is understood that our working papers are confidential information. However, we will make those working papers available to any successor auditor, federal or state grantor agencies, recognized external quality control review organizations, or cognizant agencies. We will retain the working papers for six years.

It is further understood that the information in this engagement agreement is intended solely for the use of the Louisiana Board of Pharmacy’s board of directors and management. It is not intended to be, and should not be, used by anyone other than these specified parties.

We appreciate the opportunity to assist you and believe this letter accurately summarizes the significant terms of our engagement. If these comments and arrangements meet with your approval, please sign below, scan and return via email.

We look forward to a pleasant association and the opportunity to provide the services included in this engagement.

Respectfully submitted,

Ernest F. Summerville, Jr., CPA
Assistant Legislative Auditor and
Director of Financial Audit Services

enguagement APPROVED:

Board Chairperson ________________________

Date ________________________________

Executive Director _______________________

Date ________________________________

EFS:BH:cmb
CF248
xc: Cheryl Rials
    Accounting Section
    Audit File
May 4, 2016

Legislative Auditor
1600 North Third Street
P. O. Box 94397
Baton Rouge, LA 70804-9397

In connection with your audit of Louisiana Board of Pharmacy’s financial statements as of June 30, 2016 and for the year then ended conducted for the purpose of expressing an opinion as to the fair presentation of our financial statements in accordance with accounting principles generally accepted in the United States, to review our system of internal control over financial reporting, and to review our compliance with applicable laws and regulations, we confirm, to the best of our knowledge and belief, the following representations. These representations are based on the information available to us as of May 4, 2016.

PART I. GENERAL

1. We have fulfilled our responsibilities, as set out in the terms of the audit engagement or entrance document, for the preparation and fair presentation of our financial statements in conformity with accounting principles generally accepted in the United States of America. The annual financial statements present fairly, in all material respects, our financial position as of June 30, 2016 and changes in financial position, (including cash flows, if applicable) for the year then ended in accordance with accounting principles generally accepted in the United States of America. We acknowledge that we have engaged you to advise us in fulfilling our responsibility, but that engagement does not reduce our responsibility in relation to our financial statements.

   Yes X  No □

2. We acknowledge our responsibility for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

   Yes X  No □

3. We acknowledge our responsibility for the design, implementation, and maintenance of internal controls to prevent and detect fraud.

   Yes X  No □
4. Significant assumptions used by us in making accounting estimates, including those measured at fair value, are reasonable.
   Yes X  No ☐

5. We have disclosed to you the identity of the entity’s related parties and all the related party relationships and transactions of which we are aware.
   Yes ☐ No ☐  There are none X

6. The substance of all related party relationships and transactions involving sales, purchases, receivables, payables, guarantees, transfers, equipment usage, amounts receivable or payable to related parties, etc., has been considered, and appropriate adjustments or disclosures are made in the financial statements.
   Yes ☐ No ☐  There are none X

7. Events that have occurred subsequent to the balance sheet date and through the date of this letter have been evaluated and classified as recognized or nonrecognized.
   Yes X  No ☐  There are none ☐

8. We acknowledge our responsibility to advise you of events occurring after the date of this representation.
   Yes X  No ☐

9. The effects of all known actual or possible litigation and claims have been accounted for and have been disclosed to you in accordance with accounting principles generally accepted in the United States of America and whose effects should be considered when preparing the financial statements.
   Yes ☐ No ☐  NA X

10. It is correct that there are no unasserted claims or assessments that our lawyer has advised us are probable of assertion and must be recorded and/or disclosed in accordance with GASB Codification C50, Claims and Judgments.
    Yes X  No ☐

11. It is correct that there are no other liabilities or gain or loss contingencies that are required to be accrued or disclosed by GASB Codification C50, Claims and Judgments.
    Yes X  No ☐

12. It is correct that all accounting estimates that could be material to the financial statements, including the key factors and significant assumptions underlying those estimates and measurements are included in the financial statements, are complete and accurate, and have been prepared in accordance with GASB Codification C50, Claims and Judgments.
    Yes X  No ☐  NA ☐
13. It is correct that we are not aware of any pending or threatened litigation and claims whose
effects should be considered when preparing the financial statements, and we have not
consulted legal counsel concerning litigation or claims.

Yes X  No ☐  NA ☐

14. It is correct that all funds and activities under our control and oversight are properly
classified in the financial statements in accordance with GASB 54.

Yes X  No ☐

15. It is correct that all transactions have been properly recorded in the accounting records and
are reflected in the financial statements, and there are no undisclosed assets, liabilities, or
other unrecorded transactions.

Yes X  No ☐

16. It is correct that we have disclosed to you the results of our assessment of the risk that the
financial statements may be materially misstated as a result of fraud.

Yes X  No ☐

17. It is correct that there have been no communications from regulatory agencies concerning
noncompliance with, or deficiencies in, financial reporting practices, or noncompliance with
statutory provisions, that could have an effect on the financial statements.

Yes X  No ☐

18. We have complied with all aspects of state and federal laws and regulations, contractual
agreements, debt agreements, tax propositions, and grant restrictions that would have a
material effect on the financial statements or on the individual agreement, grant award, etc.,
in the event of noncompliance.

Yes X  No ☐

19. It is correct that there are no violations or possible violations of laws and regulations
(including those pertaining to adopting, approving, and amending budgets), provisions of
contracts and grant agreements, and any related debt covenants whose effects should be
considered for disclosure in the financial statements or as a basis for recording a loss
contingency or for reporting on noncompliance.

Yes X  No ☐

20. It is correct that we have identified and disclosed to you all instances that have occurred or
are likely to have occurred, of fraud and noncompliance with provisions of laws and
regulations that have a material effect on the financial statements or other financial data
significant to the audit objectives, and any other instances that warrant the attention of those
charged with governance.

Yes X  No ☐
21. It is correct that we have identified and disclosed to you all instances that have occurred or are likely to have occurred, of noncompliance with provisions of contracts and grant agreements that have a material effect on the determination of financial statement amounts or other financial data significant to the audit objectives.

   Yes X No □

22. It is correct that we have identified and disclosed to you all instances that have occurred or are likely to have occurred, of abuse that could be quantitatively or qualitatively material to the financial statements or other financial data significant to the audit objectives.

   Yes X No □ NA □

23. We have disclosed to the auditor all fraud, noncompliance with laws and regulations, or uncorrected misstatements that have occurred at service organizations and have been reported to us by the service organization(s) or of which we are aware and that affect our financial statements (AU-C §402.19).

   Yes □ No □ NA X

24. The accounting principles, and the practices and methods followed in applying them, are as disclosed in the financial statements.

   Yes X No □

25. During the fiscal year under audit, there have been no changes of our accounting principles and practices.

   Yes X No □

26. We have made available to you all, if and to the extent requested by you, of the following data relevant to the preparation and fair presentation of the financial statements - (exceptions should be listed)

   a) Financial records and related data.

   b) Minutes of the meetings of directors, board members, commission members, etc., and the committees thereof, or summaries of actions of recent meetings for which minutes have not yet been prepared.

   c) Accurate names and addresses of board members, officials, or other interested parties, to include any audit committee or other committee exercising significant oversight of the finance function, who should receive the audit report.

   d) Financial records, agreements, guidelines, and related data pertaining to federal and state grant awards. (No grants – not applicable)

   e) Additional information that you have requested from us for the purpose of the audit.

   f) Unrestricted access to persons within the entity from whom you determined it necessary to obtain audit evidence.
27. It is correct that we have not knowingly withheld from you any financial records or related data that in our judgment would be relevant to your audit.

Yes X No ☐

28. We are responsible for adopting sound accounting policies, establishing and maintaining effective internal control over financial reporting, sufficient to record, process, summarize, and report financial data consistent with the assertions embodied in the financial statements; to safeguard public assets; and to comply with applicable laws and regulations.

Yes X No ☐

29. We have disclosed to the auditor any known matters within our internal controls, to include those components relating to compliance with laws and regulations that we consider to be significant deficiencies and/or material weaknesses in relation to our financial statements.

Yes X No ☐

30. It is correct that we have no knowledge of any fraud or suspected fraud affecting the entity involving:

a) Management,

b) Employees who have significant roles in internal control, or

c) Others when the fraud could have a material effect on the financial statements or, where applicable, state and/or federal grants, contracts, and awards.

Yes X No ☐

31. It is correct that we have no knowledge of any allegations of fraud or suspected fraud affecting the entity received in communications from employees, former employees, regulators, or others.

Yes X No ☐

32. We have taken timely and appropriate steps to remedy fraud, illegal acts, violations of or noncompliance with provisions of laws, regulations, contracts, and grant agreements, or abuse that you have reported to us.

Yes ☐ No ☐ NA X

33. We have a process to track the status of audit findings and recommendations.

Yes X No ☐

34. It is correct that we are not aware of any employees who were employed by this entity during the above time period who have committed “dishonest acts” as defined in the Office of Risk Management (ORM) Insurance Information Notice No. 2002-2 (exceptions should be listed).
35. It is correct that we are not aware of any current employees of this entity who have committed “dishonest acts,” as defined by ORM Insurance Notice No. 2002-2, who are in a position to cause a loss to this entity (exceptions should be listed).

Yes X No ☐

36. It is correct that the ORM has not refused to cover a loss by this entity because it was caused by an employee who had previously committed a “dishonest act” (exceptions should be listed).

Yes X No ☐

37. We have identified to you any previous financial audits, attestation engagements, performance audits, or other studies related to the objectives of the audit being undertaken and the corrective actions taken to address significant findings and whether related recommendations have been implemented.

Yes ☐ No ☐ There are none X

38. It is correct that we have not adopted any plans, nor do we have present intentions, that could materially affect the carrying value or classification of assets, liabilities, or net position in the financial statements.

Yes X No ☐

39. It is correct that there are no guarantees, whether written or oral, under which the entity is contingently liable.

Yes X No ☐

40. We acknowledge our responsibility for compliance with laws, regulations, and provisions of contracts and grant agreements applicable to our entity.

Yes X No ☐

41. We have identified and disclosed to you all laws, regulations, and provisions of contracts and grant agreements that have a direct and material effect on the determination of financial statement amounts or other financial data significant to the audit objectives, including provisions for reporting specific activities in separate funds and legal matters that could have a material impact on our operations.

Yes X No ☐

42. Where applicable, all financial reports and claims for reimbursements, required under state grant awards, have been based on accurate financial data taken from our financial records and such reports and claims have been filed in a timely manner.

Yes ☐ No ☐ NA X
43. It is correct that there are no reservations or designations of net position that were not properly authorized and approved.  
   Yes X  No ☐

44. We have satisfactory title to all owned assets, and there are no liens or encumbrances on such assets nor has any asset been pledged as collateral.  
   Yes X  No ☐

45. The financial statements include all component units as well as joint ventures with an equity interest, and properly disclose all joint ventures and other related organizations, if any.  
   Yes ☐  No ☐  There are none X

46. All funds that meet the quantitative criteria of GASB 34 and GASB 37 for presentation as major are identified and presented as such, and all other funds that are presented as major are particularly important to the financial statement users.  
   Yes X  No ☐  NA ☐

47. Components of net position (invested in capital assets, net of related debt; restricted; and unrestricted), and components of fund balance (nonspendable and restricted, committed, assigned, and unassigned) are properly classified and, if applicable, approved.  
   Yes X  No ☐  NA ☐

48. Provisions for uncollected receivables have been properly identified and recorded.  
   Yes ☐  No ☐  NA X

49. Expenses have been appropriately classified in or allocated to functions and programs in the statement or activities and/or schedules of the annual fiscal report, and allocations have been made on a reasonable basis (if applicable).  
   Yes X  No ☐

50. Revenues are appropriately classified in the statement of activities within program revenues, general revenues, contributions to term or permanent endowments, or contributions to permanent fund principal.  
   Yes X  No ☐

51. Interfund, internal, and intra-entity activity and balances have been appropriately classified and reported.  
   Yes X  No ☐  NA ☐

52. Special and extraordinary items are appropriately classified and reported.  
   Yes X  No ☐  NA ☐
53. Investments, derivative transactions, and land and other real estate held by endowments are properly valued.
   Yes X No □

54. Risk disclosures associated with deposit and investment securities and derivative transactions are presented in accordance with GASB requirements.
   Yes X No □

55. Capital assets held under capital leases are properly classified and disclosed.
   Yes X No □

56. Capital assets, including infrastructure assets, are properly classified, reported, and, if applicable, depreciated (modified approach not used).
   Yes X No □ NA □

57. If the modified approach is used to account for eligible infrastructure assets, the entity meets the GASB established requirements for doing so.
   Yes □ No □ NA X

58. The entity’s policy regarding whether to first apply restricted or unrestricted resources when an expense is incurred for purposes for which both restricted and unrestricted net position are available is appropriately disclosed, and net position is properly recognized under the policy.
   Yes □ No □ NA X

59. It is correct that we are following either our established accounting policy regarding which resources (i.e., restricted, committed, assigned, or unassigned) are considered to be spent first for expenditures for which more than one resource classification is available, or we are following GASB 54, paragraph 18 to determine the fund balance classifications for financial reporting purposes.
   Yes X No □

60. We acknowledge that for required supplementary information (RSI):
   a) We are responsible for RSI.
   Yes X No □
   b) RSI is measured and presented in accordance with prescribed guidelines.
   Yes X No □
   c) The methods of measurement or presentation of the RSI have not changed from those used in the prior period. If the methods of measurement have changed, we provided the reasons for the changes.
   Yes □ No □
   d) We have communicated all significant assumptions or interpretations underlying the measurement and presentation of RSI.
   Yes X No □ NA □
61. We acknowledge that for supplementary information (SI):
   a) We are responsible for the presentation of the SI in accordance with applicable criteria.
   b) We believe the SI, including its form and content, is fairly presented in accordance with the applicable criteria.
   c) The methods of measurement or presentation of the SI have not changed from those used in the prior period. If the methods of measurement have changed, we provided the reasons for the changes.
   d) We have communicated all significant assumptions or interpretations underlying the measurement and presentation of SI.
   e) We will make the audited financial statements readily available to the intended users of the SI no later than the date of issuance by us of the SI and the auditor’s report, thereon, when the SI is not presented with the audited financial statements.

   Yes X  No ☐  NA ☐

62. We acknowledge as part of the audit, you prepared the draft financial statements, related notes, and/or other schedules. We have designated a competent management-level individual to oversee your services and have made all management decisions and performed all management functions. We have reviewed, approved, and accepted responsibility for those financial statements and related notes and/or schedules.

   Yes X  No ☐  NA ☐

63. We acknowledge our responsibilities as it relates to nonaudit services performed by you, including a statement that we assume all management responsibilities; that we oversee the services by having designated an individual within senior management who possesses suitable skill, knowledge, or experience; that we have evaluated the adequacy and results of the services performed; and that we accept responsibility for the results of the services.

   Yes X  No ☐  NA ☐

64. We agree with the findings of specialists in evaluating the [describe the assertion] and have adequately considered the qualifications of the specialists in determining the amounts and disclosures used in the financial statements and underlying accounting records. We did not give or cause any instructions to be given to specialists with respect to the values or amounts derived in an attempt to bias their work, and we are not otherwise aware of any matters that have had an impact on the independence or objectivity of the specialists.

   Yes ☐  No ☐  NA X

65. We have evaluated our ability to continue as a going concern and have made appropriate disclosures in the financial statements as necessary under GASB requirements.

   Yes X  No ☐
Legal Compliance

PART II. PUBLIC BID LAW

66. We have complied with the provisions of the public bid law, R.S. 38:2212, and the regulations of the Division of Administration - Office of State Purchasing.  
   Yes X  No □

PART III. CODE OF ETHICS LAW FOR PUBLIC OFFICIALS AND PUBLIC EMPLOYEES

67. It is correct that no employees or officials have accepted anything of value, whether in the form of a service, loan, or promise, from anyone which would constitute a violation of R.S. 42:1101-1170.  
   Yes X  No □

68. It is correct that no member of the immediate family of any member of the governing authority, or the chief executive of the governmental entity, has been employed by the governmental entity after April 1, 1980, under circumstances which would constitute a violation of R.S. 42:1119.  
   Yes X  No □

PART IV. LAWS AFFECTING BUDGETING

69. We have complied with the state budget requirements of R.S. 39:21-87.5 and the provisions of the annual appropriation act.  
   Yes X  No □  NA □

PART V. ACCOUNTING, AUDITING, AND FINANCIAL/OTHER REPORTING LAWS

70. We have maintained our accounting records in such a manner as to provide evidence of legal compliance and the preparation of annual financial statements to comply with R.S. 24:514.  
   Yes X  No □

71. All non-exempt governmental records are available as a public record and have been retained for at least three years, as required by R.S. Title 44, Chapter 1.  
   Yes X  No □

72. We have submitted a document retention schedule to State Archives in accordance with R.S. 44:411(A)(1).  
   Yes X  No □

73. We have filed our annual financial statements in accordance with R.S. 24:514.  
   Yes X  No □  NA □
74. We have had our financial statements audited in accordance with R.S. 24:513.

   Yes X  No ☐  NA ☐

75. We have complied with the distribution requirements for entity reports submitted to the Louisiana Legislature as established in R.S. 24:772.

   Yes X  No ☐  NA ☐

76. We have reported (in writing) any known misappropriations to the Legislative Auditor and the appropriate parish district attorney as required by R.S. 24:523.

   Yes ☐  No ☐  There are none X

PART VI. ASSET MANAGEMENT LAWS

77. We have maintained records of our fixed assets and movable property, as required by R.S. 24:515 and R.S. 39:321-332.

   Yes X  No ☐  NA ☐

PART VII. FISCAL ENTITY AND CASH MANAGEMENT LAWS

78. We have complied with the fiscal entity and cash management requirements of R.S. 49:301-330.

   Yes X  No ☐

PART VIII. DEBT RESTRICTION LAWS

79. It is correct that we have not incurred any indebtedness (including installment purchase agreements) without the approval of the State Bond Commission, as provided by Article VII, Section 8 of the 1974 Louisiana Constitution; Article VI, Section 33 of the 1974 Louisiana Constitution; R.S. 39:1402-1405; and A.G. Opinion 95-508.

   Yes X  No ☐  NA ☐

PART IX. REVENUE AND EXPENDITURE RESTRICTION LAWS

80. We have complied with the regulations of the Louisiana Department of State Civil Service in the employment, payment, and management of our personnel.

   Yes X  No ☐  NA ☐

81. We have complied with the policy and procedure memoranda (PPMs) and other regulations issued by the Division of Administration.

   Yes X  No ☐  NA ☐

82. We have restricted the collections and expenditures of revenues to those amounts authorized by Louisiana statutes, tax propositions, and the annual appropriation act.

   Yes X  No ☐  NA ☐
83. It is correct that we have not advanced wages or salaries to employees or paid bonuses, in violation of Article VII, Section 14 of the 1974 Louisiana Constitution; R.S. 14:138; and A.G. Opinion 79-729.

Yes X No ☐ NA ☐

84. It is correct that no property or things of value have been loaned, pledged, or granted to anyone in violation of Article VII, Section 14 of the 1974 Louisiana Constitution.

Yes X No ☐ NA ☐

The previous responses have been made to the best of our belief and knowledge.

Signature ________________________________ Date 4 May 2016

Title Carl W. Aron, President

Signature ________________________________ Date 4 May 2016

Title Malcolm J. Broussard, Executive Director
Update to the Financial and Compliance Questionnaire Representations

A. We have reviewed the representations contained in this document, and to the best of our knowledge those representations continue to be accurate.

B. We have reviewed the financial statements, to include any adjustments proposed by you our auditor, and find that we are in agreement with them, and we take full responsibility for them.

C. We believe the effects of the uncorrected financial statement misstatements summarized in the attached schedule are immaterial, both individually and in the aggregate, to the financial statements as a whole for each opinion unit.

   No uncorrected misstatements ☐

D. We have provided our views of reported findings, conclusions, and recommendations, as well as our planned corrective actions, for the report.

   No findings communicated to management ☐

E. Furthermore, we acknowledge the additional representations made in the addendum to this statement.

   No addendum of representations obtained ☐

Signature __________________________________________ Date ___________________________

Title Carl W. Aron, President __________________________

Signature __________________________________________ Date ___________________________

Title Malcolm J. Broussard, Executive Director _________
Report of Assistant Executive Director
Prescription Monitoring Program

Board Meeting
May 4, 2016

Joe Fontenot, R.Ph. Assistant Executive Director
Lindsey Schultz, Administrative Assistant
Number of Eligible Transactions Reported to the PMP

Total Reported as of March 31, 2016: 96,583,016

<table>
<thead>
<tr>
<th>Year</th>
<th>RXs</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>12,989,950</td>
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<tr>
<td>2013</td>
<td>13,032,083</td>
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<td>2014</td>
<td>13,020,364</td>
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<td>2015</td>
<td>12,403,123</td>
</tr>
<tr>
<td>2016</td>
<td>3,086,216</td>
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</table>
Prescribers, Pharmacists, & Delegates
Applications Approved for Access - 2016

Total approved for access in 2016 = 431
Prescribers, Pharmacists, & Delegates
Applications Approved for Access

Total approved for access = 11,511

- Prescribers
- Prescriber Delegates
- Pharmacists
- Pharmacist Delegates

Year 2012: Prescribers 574, Pharmacists 494, Prescriber Delegates 0, Pharmacist Delegates 0
Year 2013: Prescribers 640, Pharmacists 509, Prescriber Delegates 0, Pharmacist Delegates 0
Year 2014: Prescribers 1,093, Pharmacists 473, Prescriber Delegates 466, Pharmacist Delegates 143
Year 2015: Prescribers 958, Pharmacists 418, Prescriber Delegates 236, Pharmacist Delegates 181
Year 2016: Prescribers 149, Pharmacists 149, Prescriber Delegates 57, Pharmacist Delegates 44
Prescriber, Pharmacist, & Delegate Searches – 2016

Overall search total = 705,589
Prescriber, Pharmacist, & Delegate Searches
(01/01/2009 through 03/31/2016)
Overall search total = 8,180,460

- 2012: 650,514
- 2013: 842,139
- 2014: 942,733
- 2015: 1,015,496
- 2016: 1,178,446

Prescribers
Pharmacists
Prescriber-Delegates
Pharmacist-Delegates
Prescriber Self-Lookup
Profile Views by Boards & Regulatory Agencies Total = 10,346
(01/01/2009 through 03/31/2016)
Law Enforcement Access and Requests

Number of Law Enforcement Requests Processed = 7,214
(01/01/2009 through 03/31/2016)

<table>
<thead>
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<tbody>
<tr>
<td>Total</td>
<td>845</td>
<td>1,150</td>
<td>1,224</td>
<td>1,011</td>
<td>185</td>
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</table>
Requests for Full Exemption from PMP Reporting  
May 4, 2016

In accordance with LA.R.S:40.4.X-A.1006.C. The board may issue an exemption from the reporting requirement to a dispenser whose practice activities are inconsistent with the intent of the program. The board may rescind any previously issued exemption without the need for an informal or formal hearing.

<table>
<thead>
<tr>
<th>Permit</th>
<th>Permit Type</th>
<th>Name</th>
<th>Scope of Practice</th>
<th>DEA</th>
<th>City</th>
<th>State</th>
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Staff Recommendation
Approve the proposed waivers conditioned upon execution of the standard Consent Agreement:

EXEMPTION TO PRESCRIPTION MONITORING PROGRAM REPORTING REQUIREMENTS
CONSENT AGREEMENT

WHEREAS, in order to facilitate the pharmacy's request for an exemption to the reporting requirements to the Louisiana Board of Pharmacy's Prescription Monitoring Program (PMP) as required by law, the Pharmacy indicated below agrees to the following terms:

(1) The Pharmacy shall not be authorized to dispense any controlled dangerous substances (CDS) or drugs of concern, with the exception of a hospital pharmacy permit's inpatient dispensing, as identified by the Louisiana Board of Pharmacy (Board) by regulation.
(2) Upon the first instance of receipt of evidence by the Board indicating the Pharmacy dispensed CDS or drugs of concern, the Pharmacy agrees to the following sanction: *The Pharmacy agrees to pay a fine of $5,000.00 and reimburse the Board $250.00 in administrative hearing costs, with total payment due the Board of $5,250.00, due by certified check or money order within 30 days of notice of this prohibited activity.*

(3) Upon the second instance of receipt of evidence indicating the Pharmacy dispensed CDS or drugs of concern, the Pharmacy agrees to pay the above sanction, the termination of this exemption and the resumption of its reporting to the PMP.

(4) The Pharmacy shall post a copy of this agreement adjacent or attached to its pharmacy permit.

By signing this Consent Agreement, Respondent agrees that the Board has jurisdiction in this matter and waives all rights to informal conference, to Notice of Hearing, to a formal Administrative Hearing, and to judicial review of this Consent Agreement.
NOTE: Pursuant to the Open Meetings Law, at LRS 42:6.1, the committee may, upon 2/3 affirmative vote of those members present and voting, enter into executive session for the limited purposes of (1) discussion of the character, professional competence, or physical or mental health of a licensee, (2) investigative proceedings regarding allegations of misconduct, (3) strategy sessions or negotiations with respect to litigation, or (4) discussions regarding personnel matters.
Report of Executive Director
Meeting Activity

In addition to Board and committee meetings, I have also participated in or attended the following meetings since the last Board meeting.

Mar. 15-16 MPJE Item Development Conference – Mount Prospect, IL

Reports (all in the Boardroom Library)

A. Census Reports
   1. Compliance Division – Practitioner Recovery Program & Discipline
   2. Credentials Division – CDS & Pharmacy Programs

B. Credentials Division Production Reports
   1. Licensure Activity Report [new credentials in previous quarter]
   2. Application Activity Report [pending applications count]

C. Exceptions Report
   1. PIC in Multiple Locations
   2. Resurrected Credentials / Special Work Permits

Examinations

A. MPJE – the results for the first trimester of 2016 are not yet available.
   Mr. Fontenot and I participated in the annual item writing workshop in March. We generated several new questions and also disabled some existing questions due to recent changes in pharmacy laws and rules.
   The MPJE test is undergoing some program changes; we posted a memo from NABP describing those changes.

B. NAPLEX – the results for the first trimester of 2016 are not yet available.
   The NAPLEX test is undergoing some program changes; we posted a memo from NABP describing those changes.

C. PARE – our last administration of this test was in July 2014.

D. PTCB – the results for the first semester of 2016 are not yet available.
4. **Operations**

A. **Credentials Division**

We opened the 60-day renewal cycle for pharmacy technicians, EDK permits, and AMS registrations on May 1.

- **CPT Certificates.** We prepared and mailed renewal reminder notices to 6,910 certified pharmacy technicians.
- **EDK Permits.** We prepared and mailed renewal applications for 483 EDK permit holders.
- **AMS Registration.** We prepared and mailed renewal applications for 478 AMS registration holders.

All three of these credentials expire automatically on June 30. The new reinstatement fee policy will become effective on July 1. All of these credentials can be renewed for their regular renewal fee until June 30. Renewals postmarked on or after July 1 will incur the 50% late fee in addition to the renewal fee. Renewals postmarked more than 30 days after the expiration date will incur the renewal fee plus the 50% late fee plus the $200 reinstatement fee.

B. **Compliance Division**

Our 5 pharmacist compliance officers are responsible for inspecting all the pharmacies and other facilities holding controlled substances (CDS). The census reports available for this meeting reflect 1,477 pharmacies within the state, as well as approximately 600 various types of facilities for CDS visits, including hospitals, rural health clinics, animal control shelters, researchers, etc.

In addition to their routine site visits, the compliance officers are also responsible for investigating complaints filed with the Board. We began the fiscal year with 214 cases pending from the prior fiscal year. We have entered 346 new cases and closed 340, leaving 220 cases currently open. Of the 340 cases closed this fiscal year, 48% were disposed of through staff activities and the balance through committee and Board action.

Following the recent flooding in north Louisiana in early March, our compliance officers visited the affected areas and determined that four pharmacies had some degree of flooding: Target Pharmacy in Monroe, and three Fred’s Pharmacies in Franklinton, Homer, and West Monroe. The officers provided guidance to the pharmacists, responding with information on how to dispose of damaged pharmaceuticals as well as how to determine whether products should be declared adulterated.

5. **State Activities**

A. **2016 Louisiana Legislature**

The Regular Session convened on March 14 and shall adjourn no later than June 6, 2016. Just over 2,000 bills and resolutions have been filed; of that number, 106 items are on our watch list. We have been distributing interim legislative reports every weekend so far. A copy of the most recent report was posted in the Boardroom Library.

B. **eQHealth, Partner, Quality Improvement Network**

This Quality Improvement Organization (QIO) in Louisiana is seeking federal grant funding for a project to reduce prescription opioid and heroin related overdose, death, and dependence. As part of their project, they propose to work with stakeholders on a number of fronts, including continuing education for healthcare professionals as well as patients and caregivers. They also plan to encourage the use of state prescription monitoring programs.

In support of this project, eQHealth seeks a letter of support from the Board of Pharmacy, primarily as the operator of the state PMP, but also as the pharmacy regulatory authority for the state. They seek only the letter of support, and it does not commit the Board to any expenditure of funds.
6. **National Activities**

A. **National Association of Boards of Pharmacy (NABP)**

   For your planning purposes, the 2016 meeting will be held May 14-17 in San Diego, CA. This conference is one of the three meetings for which your travel expenses are eligible for reimbursement, subject to the limitations itemized in the Board’s travel policy as well as the state’s travel policy in PPM-49.

   We distributed the conference registration materials to you; you can accomplish that process online using your personal credit card; please save your receipt to submit with your expense report. We also distributed the link for the hotel reservations; if you still need it, here it is: [https://aws.passkey.com/g/50868662](https://aws.passkey.com/g/50868662) or by calling their national number at 1-800-HILTONS to receive the conference rate of $254 + tax per night. Current state travel procedures allow you to book conference lodging directly with the hotel.

   If you are traveling to the conference, please remember that all air travel must be booked through the state-contracted travel agent, Short’s Travel Service, either online at [www.shortstravel.com/la](http://www.shortstravel.com/la) or by calling 1-888-846-6810. Please use your personal credit card to pay for the ticket. For reimbursement purposes, we will need a copy of their invoice showing your payment as well as a copy of the boarding passes to indicate you actually used that ticket. **Tickets booked elsewhere are not eligible for reimbursement.**

   During the business sessions, NABP will conduct elections for the following open positions on the NABP Executive Committee: President-Elect, Treasurer, District 1 Representative, District 2 Representative, and District 5 Representative. We have received letters from the district candidates (one each from Districts 1 and 2, and two from District 5) requesting your support of their candidacy; for your convenience, we have posted those items again in the Boardroom Library.

   Other items of business will include consideration of a proposed amendment to the NABP Constitution as well as several proposed resolutions. As provided by the NABP Constitution, proposed amendments to the Constitution require consideration at two successive annual meetings. The proposal will be presented at the 2016 meeting, and then voted on during the 2017 meeting in Orlando, FL. All of the resolutions from the 2015 district meetings will be considered, as will a separate resolution from the Indiana Board of Pharmacy; copies of these proposals were posted in the Boardroom Library.

   Finally, we have posted the reports from all three special task forces established in response to the resolutions from last year’s annual meeting. The Executive Committee has already accepted these reports, so there will be no further consideration by the voting delegates. However, those reports will be used to inform and direct further activities by the association, so if you have any concerns, you should be prepared to raise them.

B. **NABP-AACP District 6 Annual Meeting**

   For your planning purposes, the 2016 meeting will be held Sep. 11-14 in Portland, OR. This conference is one of the three meetings for which your travel expenses are eligible for reimbursement, subject to the limitations itemized in the Board’s travel policy as well as the state’s travel policy in PPM-49.

   We recently distributed the link for the hotel reservation. As soon as we receive information about the conference registration, we will pass that along as well. **Tickets booked elsewhere are not eligible for reimbursement.**

C. **MALTAGON**

   For your planning purposes, the 2016 meeting will be held Oct. 9-12 in Austin, TX. This conference is one of the three meetings for which your travel expenses are eligible for reimbursement, subject to the limitations itemized in the Board’s travel policy as well as the state’s travel policy in PPM-49.

   So far, we have not received any information about the conference other than the usual save-the-date announcement. When we get that information, we will pass it along.
7. **International Activities**

A. **International Pharmaceutical Federation (FIP)**
   
   Buenos Aires, Argentina will host the 76th World Congress of Pharmacy & Pharmaceutical Sciences on Aug. 28 to Sep. 1. The theme for this year’s conference is “Rising to the Challenge – Reducing the Global Burden of Disease.”

B. **World Health Professional Alliance (WHPA)**
   
   The alliance will host its 5th International Conference on the Regulation of Health Professions in Geneva, CH on May 21-22, 2016, immediately preceding the World Health Organization’s (WHO) World Health Assembly. Presentations will explore health professions and trade agreements in terms of protecting the public vs facilitating commerce, balancing regulation of individual health professions and health services, as well as discussing the implications for health regulation from the *WHO Global Strategy on Human Resources for Health: Workforce 2030*.

Respectfully submitted,
Malcolm J Broussard
Executive Director
Compliance Division Census Report

May 4, 2016

**Practitioner Recovery Program**
- Probation Completion Report

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<td>PST.016255</td>
<td>Jennifer Elizabeth Koruna</td>
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- Active Probation
  - 48 Pharmacist
  - 1 Pharmacy intern
  - 1 Technician

- Active Suspension
  - 42 Pharmacist
  - 2 Pharmacy intern
  - 16 Technician
  - 4 Technician candidate

**Disciplinary Restrictions**
- Probation Completion Report

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- Active Probation
  - 21 Pharmacist
  - 8 Technician
  - 7 Technician candidate
  - 10 Pharmacy permit
  - 3 CDS-PHY license
  - 1 DME permit

- Active Suspension
  - 41 Pharmacist
  - 1 Pharmacy intern
  - 64 Technician
  - 15 Technician candidate
  - 13 Pharmacy permit
  - 66 CDS license for practitioners
Louisiana Board of Pharmacy
Credentials Division
Pharmacy Program
PST.VI

LA
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Total

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06/30/08
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06/30/09
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06/30/12
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06/30/13
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06/30/14
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23

06/30/15
13
15
28

04/26/16
17
16
33

PST-GVI

LA
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Total

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17

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PST-M

LA
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PST-G

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186
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PST

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PHY

CH
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INX
IR
IRX
NR
NRN
NRP
NU
PEN
PEX
SAT
RC
PHY

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64
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EDK

EDK
EDK-X
EDK

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421
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474
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473
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DME

LA
NR
DME

223

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209
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336
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CDTM
MAR
SWP
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78


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Subtotal 241 217 231 256 320 125 119

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Agenda Item 10-L: Report of Executive Director

Section 2.C – Exceptions Report

1. PIC at Multiple Pharmacies

Board Policy I.A.4 permits the Executive Director to approve requests from pharmacists wishing to serve as the Pharmacist-in-Charge (PIC) of more than one pharmacy at the same time. The policy requires the concurrence of the President, as well as notice to the Board at its next meeting. As authorized by the President, the Executive Director has delegated this authority to the General Counsel and the Assistant Executive Director.

- On February 18, 2016, Mr. Aron and Mr. Fontenot concurred to grant a request from Pete Cangialosi (PST.020448) for temporary dual PIC privileges at Safeway Pharmacy #4702 (PHY.007125-NR) in Long Beach, CA and Albertsons-Safeway Pharmacy #4705 (Application Pending) in Santa Fe Springs, CA for a limited period of time with the authority set to expire 60 days from the date of issuance of the pending application.
- On March 8, 2016, Mr. Aron and Mr. Fontenot concurred to grant a request from Ira Schulman (PST.018886) for temporary dual PIC privileges at LMC Pharmacy (PHY.006903-NR) in Boca Raton, FL and Med-Care Diabetic & Medical Supplies (PHY.006344-NR) also in Boca Raton, FL for a limited period of time with the authority set to expire on May 8, 2016.

2. Special Work Permits for military-trained applicants and their spouses

LAC Title 46: LIII §904 authorizes the Board to provide preferential licensing procedures for military-trained applicants and their spouses. As authorized by the President, the Executive Director has delegated this authority to the General Counsel and the Assistant Executive Director.

- (None since last report.)

3. Special Work Permits

Board Policy I.A.7 permits the Executive Director to issue Special Work Permits to document the resurrection of expired non-renewable credentials and for other purposes as authorized by the Board. The policy requires the concurrence of the President, as well as notice to the Board at its next meeting. As authorized by the President, the Executive Director has delegated this authority to the General Counsel and the Assistant Executive Director.

- On February 22, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Lacie Renee Richard. She had previously obtained PTC.020243 which expired on January 22, 2015. Should she pass the PTCB examination no later than August 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.
- On February 22, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Courtney Larice Brown. She had previously obtained PTC.016706 which expired on February 24, 2012. Should she pass the PTCB examination no later than August 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.
- On March 7, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Anastasia Renae’ Sharp. She had previously obtained PTC.019486 which expired on June 6, 2014. Should she pass the PTCB examination no later than September 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.
experience.

- On March 7, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Leneatha. She had previously obtained PTC.009858 which expired on March 30, 2005. She is PTCB-certified and a credential technician in Mississippi. She was issued a Special Work Permit for one year to earn 600 hours of practical experience.

- On March 29, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Ashley Christian LaFrance. She had previously obtained PTC.017462 which expired on October 5, 2012. Should she pass the PTCB examination no later than September 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On March 30, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Keisha Marie Centrell Smith. She had previously obtained PTC.016782 which expired on March 7, 2012. Should she pass the PTCB examination no later than September 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On March 30, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Tawann R. Jackson. She had previously obtained PTC.004421 which expired on September 14, 2000. Should she pass the PTCB examination no later than September 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On April 7, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Alyssa Hope Governor. She had previously obtained PTC.018602 which expired on September 19, 2013. Should she pass the PTCB examination no later than October 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On April 8, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Zackary Marren Hobgood. He had previously obtained PTC.021071 which expired on August 25, 2015. Should he pass the PTCB examination no later than October 1, 2016 he is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On April 11, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Jenika Nichelle Williams. She had previously obtained PTC.014188 which expired on January 14, 2010. Should she pass the PTCB examination no later than October 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On April 11, 2016, Mr. Aron and Mr. Broussard concurred to extend the expiration date of PNT.046539 for Jimmy Giang. He graduated from Xavier College of Pharmacy in May 2015, has taken and passed the MPJE, but has failed NAPLEX twice. He is scheduled to take the NAPLEX for the 3rd time but his intern registration will expire before he can take the test. We extended the expiration date from 05-08-2016 to 09-30-2016.

- On April 14, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Jenny Marie Landry. She had previously obtained PTC.012891 which expired on November 23, 2008. She is PTCB-certified and was issued a special work permit to earn 600 hours of practical experience before April 14, 2017.

- On April 18, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Sierra Alethia Rubin. She had previously obtained PTC.021388 which expired on November 6, 2015. Should she pass the PTCB examination no later than October 1, 2016 she is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.

- On April 29, 2016, Mr. Aron and Mr. Finalet concurred to grant a request from Kyle Steven Chandler. He had previously obtained PTC.016085 which expired on August 22, 2011. Should He pass the PTCB examination no later than October 1, 2016 he is authorized to receive a Special Work Permit for one year to earn 600 hours of practical experience.
TO: EXECUTIVE OFFICERS – STATEBoARDS OF PHARMACY
FROM: Carmen A. Catizone, Executive Director/Secretary
DATE: January 7, 2015
RE: Implementation of MPJE Program Updates

The National Association of Boards of Pharmacy® (NABP®) would like to notify the boards of pharmacy regarding the implementation of the updates to the Multistate Pharmacy Jurisprudence Examination® (MPJE®). Beginning April 15, 2016, the MPJE will be assembled under the new competency statements, and the number of examination items, the maximum time allowed for the examination, and the registration fee will increase. The timeline for implementing these changes is outlined below along with details on how the information will be communicated to candidates taking the MPJE in 2016.

Registration Deadlines

Registration for the current MPJE will remain open through April 3, 2016. Candidates must complete their registration with NABP for the current MPJE by April 3, 2016. These candidates must obtain eligibility from the board, receive an authorization to test (ATT), schedule with Pearson VUE, and sit for the exam on or before April 10, 2016.

If a candidate registers for the MPJE by April 3, but does not take the exam on or before April 10, 2016, their registration will be canceled and their fee of $210 will be refunded. The candidate will then need to register for the updated exam on or after April 12, 2016. The board will need to grant eligibility to test for candidates completing a new registration. Candidates who schedule resits but do not take the exam by April 10, 2016, will receive a refund of the $90 resit fee, and they must then register for the updated MPJE and pay the $250 registration fee. No refunds will be issued for change of jurisdiction.
New Graduates

Candidates who will not meet graduation requirements in time to complete the registration, eligibility, and scheduling steps outlined above are advised by NABP to wait to register until registration opens for the updated MPJE.

Registration for the updated MPJE opens April 12, 2016. The fee will be $250. The updated MPJE will be administered beginning April 15, 2016. The number of examination items will increase from 90 (75 scored and 15 pre-test) to 120 (100 scored and 20 pre-test) and the maximum testing time will increase from two hours to two and a half hours.

A new passing standard for the MPJE will be implemented on April 15, 2016; however, the scaled score required to pass will remain at 75. It is typical to see variations in the pass rates after a new standard is in place.

Detailed information on the above changes is included in the 2016 NAPLEX/MPJE Candidate Registration Bulletin which will be available tomorrow on the NABP website.

Communication to Candidates

In addition to the information provided in the Bulletin, candidates will be informed of the upcoming MPJE changes through additional communications. Messaging in the online registration system now informs students about the upcoming changes and registration deadlines for the current MPJE. The messaging directs them to the Bulletin for details.

This week, deans of schools and colleges of pharmacy will be sent via email a PDF flyer that they may distribute and post to alert students of the upcoming MPJE changes. Deans will be encouraged to tell students graduating after April 3, 2016, to wait to register for the updated MPJE.

In addition, beginning in January, candidates who have open MPJE registrations will be notified of the deadlines via email. Prior to refunds being issued to candidates not completing the exam by April 10, a reminder message regarding the refund process and the need to grant eligibility for new MPJE registrations will be sent to the boards.

Additional details about the changes to the MPJE were included in the memo sent October 8, 2015, and will also be included in the February 2016 NABP Newsletter.

If there are any questions regarding the MPJE updates or the implementation process, please contact Maria Incrocci, competency assessment senior manager, at mincrocci@nabp.net or 847/391-4406.

cc: NABP Executive Committee
The National Association of Boards of Pharmacy® (NABP®) would like to notify the boards of pharmacy regarding changes to the North American Pharmacist Licensure Examination® (NAPLEX®). The NAPLEX program will transition to a new administration model in November 2016 and the upcoming changes are detailed below. These changes are the result of the Association’s extensive development and ongoing evaluation process.

The following is a summary of the NAPLEX program changes that will go into effect on November 1, 2016.

- The number of examination items will increase from 185 to 250. Of the 250 delivered questions, 200 are operational and will be used to calculate a score for the NAPLEX. The remaining 50 will be non-scored or pretest items.

- The testing time for the examination will increase from four hours and fifteen minutes to six hours. The appointment time with the vendor, Pearson VUE, will be six and a half hours to allow for time to read and agree to the confidentiality/non-disclosure agreement, and to take the tutorial and post-exam survey.

- The registration fee will increase from $505 to $575 to account for the additional seat time.

- The examination assembly format will change from a computer adaptive exam (test assembled as candidate is taking the exam) to a linear form exam (pre-assembled exam form).

As part of an ongoing development process, the NAPLEX is continuously reviewed and evaluated to ensure the examination tests the necessary knowledge, skills, and abilities expected of an entry-level pharmacist. Below is an overview of the evaluation process that began in 2014 and resulted in new competency statements, a new passing standard, and the upcoming changes in the administration model.
In 2014, NABP conducted the national NABP Pharmacy Practice Analysis Survey, with over 4,700 respondents (pharmacy regulators, practitioners, and academicians) participating.

Subject matter experts analyzed results of the survey, which were also reviewed by the NAPLEX Review Committee, the Advisory Committee on Examinations, and the NABP Executive Committee, and resulted in new competency statements for the NAPLEX. These changes were described in a memo sent on November 6, 2014, and the NAPLEX competency statements were implemented in November 2015 and are available in the Programs section of the NABP website at www.nabp.net. Also, as of November 2015, more clinical-based/patient-centered test items were included.

A standard setting study was conducted in March 2015, and the new passing standard was implemented in November 2015. The panel that participated in the standard setting study was composed of members of the NABP Executive Committee, members of the NABP Advisory Committee on Examinations (ACE), the NAPLEX Review Committee, and pharmacist practitioners/academicians recruited from respondents to the 2014 survey. A detailed overview of the standard setting process is available in the June-July 2015 NABP Newsletter.

Further analysis of the practice analysis survey, NAPLEX content and test specifications, test design and assembly, and administrative processes, resulted in the recommendation to increase the depth and breadth of the content tested on the NAPLEX.

NABP will provide additional information on the transition to the new administration model in the coming months, and will also be alerting candidates of the changes via the NABP website, the NAPLEX/MPJE Candidate Registration Bulletin, and communications to the schools and colleges of pharmacy.

If there are any questions regarding the updates to the NAPLEX program, please contact Maria Incrocci, competency assessment senior manager, at mincrocci@nabp.net or 847/391-4406.

cc: NABP Executive Committee
NABP Advisory Committee on Examinations
Interim Legislative Report

2016-0429 @ 1800

Regular Session of the 2016 Louisiana Legislature
Convened 2016-0314 @ 1200 – Adjourns 2016-0606 @ 1800

Last Items Reviewed

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House of Representatives

Bills

HB 71  Cox  Appropriations
Provides for the extension of a Medicaid fiscal intermediary services contract.
02-08-2016  Prefiled and referred to committee.

Changes the allowable period of extension for a Medicaid fiscal intermediary services contract, which currently is for a 120 month term, with 12 month extensions permitted. Extensions would be for 90 days, up to a maximum of one year.

HB 73  Richard  Administration of Criminal Justice
Amends second degree cruelty to a juvenile to include prenatal exposure to controlled dangerous substances.
02-08-2016  Prefiled and referred to committee.
04-27-2016  On agenda – voluntarily deferred.

Self-explanatory; no change to existing penalty, which is imprisonment at hard labor for no more than 40 years.

HB 74  Richard  Appropriations
Provides for a 15% reduction of all state professional, personal, and consulting service contracts.
02-08-2016  Prefiled and referred to committee.
03-21-2016  Amended; further consideration deferred.
04-25-2016  Amended, then reported favorably (15-5).
04-26-2016  Engrossed; passed to third reading and floor vote.
05-03-2016  Scheduled for floor debate.

This measure could have an adverse impact on the contracts we have to operate our programs and services. We will monitor its progress. Amended in Appropriations Committee to lower the reduction from 15% to 10%.
HB 81   Broadwater   House & Governmental Affairs
Requires public bodies to provide certain information concerning the custodian of records publicly
available.

02-10-2016  Prefiled and referred to committee.
04-07-2016  Reported favorably.
04-11-2016  Engrossed; passed to third reading and floor vote.
04-18-2016  Passed House (93-0); sent to Senate.
04-19-2016  Referred to Senate Governmental Affairs Cmte.

This appears to be duplicative from a previous year. In any event, we have a link to this
information on the home page of our website.

HB 106   Morris    Health & Welfare
Requires legislative approval of certain changes in Medicaid eligibility standards.

02-15-2016  Prefiled and referred to committee.
04-07-2016  On agenda – voluntarily deferred.

Amends powers and duties of DHH Secretary such that an expansion of Medicaid cannot occur
solely on that person’s decision; would require legislative approval as well.

HB 162   Edmonds   House & Governmental Affairs
Prohibits communication among a quorum of the members of a public body unless such communication is
contemporaneously visible or audible to the public unless the public body is in an executive session
authorized by law.

02-24-2016  Prefiled and referred to committee.
04-07-2016  On agenda – voluntarily deferred.

Self-explanatory.

HB 170   Talbot    Health & Welfare
Requires DHH to institute Medicaid cost containment measures to the extent allowed by federal
regulations.

02-26-2016  Prefiled and referred to committee.

Requires DHH to institute certain measures such as cost sharing and limitation of services to the
extent permitted by federal regulations.

HB 173   Havard    Health & Welfare
Requires cost sharing for certain Medicaid covered services and dedicates revenues derived thereof.

02-26-2016  Prefiled and referred to committee.
04-07-2016  On agenda – voluntarily deferred.

Requires DHH to institute cost sharing for non-institutional care as well as non-emergent car
rendered in hospital emergency rooms, to the limits authorized by federal rules.

HB 174   Hoffmann   Health & Welfare
Provides for the method of collection of the pharmacy education support fee collected by the Louisiana
Board of Pharmacy.

02-26-2016  Prefiled and referred to committee.
04-13-2016  On agenda – voluntarily deferred.

Requires the Board to collect the pharmacy education support fee at the same time and in the
same manner as the renewal fees collected by the Board.

HB 202   Morris    House & Governmental Affairs
[Constitutional Amendment] Authorizes the legislature to provide by law for the qualifications and
compensation, including reductions in pay, of classified civil servants whose compensation exceeds a
certain amount.
03-01-2016 Prefiled and referred to committee.
04-20-2016 On agenda – voluntarily deferred.

Since the Board employs pharmacists as compliance officers, they are classified civil servants, and their annual compensation exceeds the threshold in the original bill, we will monitor this item.

HB 222 James Commerce
Regulates the manufacture, sale, and lease of telephones with respect to smartphone encryption technology.
03-01-2016 Prefiled and referred to committee.
03-14-2016 Withdrawn from the files of the House.

Since the Board supplies pharmacist compliance officers with telephones, we will monitor this item.

HB 232 Stokes Civil Law & Procedure
Adds limitation of liability provisions to the Right to Try Act.
03-01-2016 Prefiled and referred to committee.
03-24-2016 Discharged from committee; Re-committed to Health & Welfare Committee.
04-06-2016 Reported favorably.
04-07-2016 Engrossed; passed to third reading and floor vote.
04-13-2016 Passed House (96-0); sent to Senate.
04-18-2016 Referred to Senate Health & Welfare Committee.

Amends the Right to Try Act to ensure that no cause of action is created by the law for the manufacturer of the drug taken, nor any person involved in the care of the patient.

HB 258 M. Johnson Health & Welfare
Provides relative to grounds and procedures for the denial or revocation of Medicaid provider enrollment and eligibility for health facility licensure.
03-01-2016 Prefiled and referred to committee.
04-20-2016 On agenda – voluntarily deferred.
05-03-2016 On agenda – 0900 in HCR-5.

Amends the Medical Assistance Program Integrity Law to provide additional actions for which an application for health facility licensure or provider enrollment can be denied, including violations of (or entry into settlement agreements for) False Claims Act or other laws relating to fraudulent acts.

HB 263 Mack Health & Welfare
Prohibits persons with two or more felony convictions from receiving public benefits.
03-01-2016 Prefiled and referred to committee.
04-13-2016 On agenda – voluntarily deferred.

Bill defines state public benefit to include professional licenses, prohibits professional licensing boards from issuing licenses to persons with two or more felony convictions, and further, requires professional licensing boards to file an annual report to the legislature detailing their compliance with this law.

HB 267 G. Miller Administration of Criminal Justice
Decreases criminal penalties for certain offenses involving drug paraphernalia.
03-01-2016 Prefiled and referred to committee.
03-30-2016 Reported favorably.
03-31-2016 Engrossed; passed to third reading and floor vote.
04-06-2016 Passed House (87-8); sent to and received in Senate.
04-07-2016 Referred to Senate Judiciary-C Cmte.
04-26-2016 Reported favorably.
04-27-2016 Referred to Legislative Bureau.
Amends the controlled substances law to mirror the penalties for simple possession of marijuana.

HB 305    Norton    Health & Welfare
Requires that La. Medicaid eligibility standards conform to those established by the Affordable Care Act.  
03-02-2016 Prefiled and referred to committee.

Requires an expansion of La. Medicaid to conform to the federal law.

HB 308    Bacala    House & Governmental Affairs
Prohibits the granting increases in pay for state officials and employees during certain period of time and provides for personal liability for the aggregate amount of such increases for a period of three years.  
03-02-2016 Prefiled and referred to committee.  
04-20-2016 Amended, then reported favorably (9-0).  
04-21-2016 Engrossed; passed to third reading and floor vote.  
04-26-2016 Called; returned to the calendar; subject to call.

In the event the state is in a deficit situation between the state gubernatorial primary election and the installation of the governor, no state agency or board shall grant any increase in pay. In the event such pay is increased in violation of the law, the official granting the pay increase and board members shall be personally liable for the amount of the pay that was increased for up to three years.

HB 309    Bacala    Health & Welfare
Provides for cost containment, cost sharing, and long term services and supports in the Medicaid managed care program.
03-02-2016 Prefiled and referred to committee.  
04-07-2016 On agenda – voluntarily deferred.

Requires each Medicaid managed care provider to appoint a Pharmacy & Therapeutics Committee, and further, requires the P&T Committee to develop a list of preferred drugs and to prohibit prior approval of all brand name drugs for which a generic alternative exists as well as all drugs for which a non-prescription version exists.

HB 360    Morris    Appropriations
Reduces the salary of certain public employees and officials whose compensation exceeds a certain amount by ten percent.  
03-02-2016 Prefiled and referred to committee.

Bill provides that if the Joint Legislative Committee on the Budget notifies the Governor of a deficit in a fiscal year, then the salary of every employee and official whose compensation is $100,000 or more per year be reduced by 10%. Original bill provides an exclusion for licensed health care professionals and full-time professors with full load at institution of higher learning.

HB 435    Hodges    Health & Welfare
Directs DHH to institute cost sharing for certain Medicaid-covered services.  
03-03-2016 Prefiled and referred to committee.

Requires DHH to institute cost sharing for non-institutional care as well as non-emergent care rendered in hospital emergency rooms.

HB 441    Jackson    Health & Welfare
Provides relative to conditions for physician participation with Medicaid managed care organizations.  
03-03-2016 Prefiled and referred to committee.  
03-23-2016 On agenda – voluntarily deferred.  
03-30-2016 On agenda – voluntarily deferred.  
04-06-2016 Amended, then reported favorably (9-5-1).  
07-07-2016 Engrossed; passed to third reading and floor vote.  
04-13-2016 Passed House (60-31); sent to Senate.
04-14-2016  Received in Senate.
04-18-2016  Referred to Senate Health & Welfare Committee.

Prohibits Medicaid managed care organizations from imposing conditions for physician participation that are more stringent than those imposed by Medicaid.

<table>
<thead>
<tr>
<th>HB 446</th>
<th>LeBas</th>
<th>Health &amp; Welfare</th>
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<tbody>
<tr>
<td>Requires an application fee for a new marijuana pharmacy permit.</td>
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<tr>
<td>03-03-2016 Prefiled and referred to committee.</td>
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<tr>
<td>03-23-2016 Reported favorably.</td>
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<tr>
<td>03-24-2016 Engrossed; passed to third reading and floor vote.</td>
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<tr>
<td>03-30-2016 Amended, then passed House (73-21); sent to Senate.</td>
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<tr>
<td>03-31-2016 Received in Senate; placed on calendar for referral.</td>
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<tr>
<td>04-04-2016 Referred to Senate Health &amp; Welfare Cmte.</td>
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<tr>
<td>04-20-2016 Amended, then reported favorably.</td>
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<tr>
<td>04-21-2016 Referred to Legislative Bureau.</td>
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<tr>
<td>04-25-2016 Reported without amendment by Legislative Bureau</td>
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<tr>
<td><strong>04-26-2016 Called; returned to the calendar; notice given.</strong></td>
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<tr>
<td><strong>05-02-2016 Scheduled for floor debate.</strong></td>
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Sponsored by the Board of Pharmacy; establishes an application fee for the marijuana pharmacy permits of $5,000. All other fees, including pharmacy permits, remain the same.

<table>
<thead>
<tr>
<th>HB 454</th>
<th>Richard</th>
<th>Appropriations</th>
</tr>
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<tbody>
<tr>
<td>Provides for reporting, review, and approval by the Joint Legislative Committee on the Budget of certain professional, personal, and consulting contracts.</td>
<td></td>
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<tr>
<td>03-03-2016 Prefiled and referred to committee.</td>
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<tr>
<td>03-21-2016 Considered; further consideration deferred.</td>
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<tr>
<td><strong>04-25-2016 Reported favorably (22-0).</strong></td>
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<tr>
<td><strong>04-26-2016 Engrossed; passed to third reading and floor vote.</strong></td>
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<tr>
<td><strong>05-03-2016 Scheduled for floor debate.</strong></td>
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</table>

Changes the current threshold for such reporting from contracts totaling $40,000 or more funded by general appropriations to those totaling $25,000 or more regardless of funding source.

<table>
<thead>
<tr>
<th>HB 461</th>
<th>Amedee</th>
<th>Health &amp; Welfare</th>
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<tbody>
<tr>
<td>Requires copayments for Medicaid covered physician visits and nonemergency services delivered in hospital emergency rooms.</td>
<td></td>
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<tr>
<td>03-03-2016 Prefiled and referred to committee.</td>
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<tr>
<td>Requires DHH to require copayments for non-institutional care and non-emergent care rendered in hospital emergency rooms.</td>
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</table>

<table>
<thead>
<tr>
<th>HB 474</th>
<th>Hoffmann</th>
<th>Health &amp; Welfare</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides for Medicaid expansion through a demonstration waiver program.</td>
<td></td>
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<tr>
<td>03-03-2016 Prefiled and referred to committee.</td>
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<tr>
<td>04-06-2016 On agenda – voluntarily deferred.</td>
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</table>

Amends the Medical Assistance Program law to provide for an expansion thereof.

<table>
<thead>
<tr>
<th>HB 480</th>
<th>Jackson</th>
<th>Health &amp; Welfare</th>
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</thead>
<tbody>
<tr>
<td>Provides relative to the practice of telemedicine in licensed healthcare facilities.</td>
<td></td>
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<tr>
<td>03-03-2016 Prefiled and referred to committee.</td>
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<tr>
<td>03-30-2016 Amended, then reported favorably.</td>
<td></td>
<td></td>
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<tr>
<td>03-31-2016 Engrossed; passed to third reading and floor vote.</td>
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<tr>
<td>04-06-2016 Passed House (90-0); sent to and received in Senate.</td>
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<tr>
<td>04-07-2016 Referred to Senate Health &amp; Welfare Cmte.</td>
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</tbody>
</table>

Prohibits the medical board from requiring a physician perform an in-person examination prior to
prescribing any controlled substances via telemedicine in a licensed healthcare facility.

HB 487  R. Johnson  Health & Welfare
Provides relative to reimbursements by Medicaid managed care organizations for prescription drugs
03-03-2016  Prefiled and referred to committee.
04-13-2016  Reported favorably (11-0).
04-14-2016  Re-committed to Appropriations Cmte.

Indicates the base for reimbursement of prescription drugs in Bayou Health shall not be less than Medicaid reimbursement, unless Bayou Health and the provider have national agreements for other pricing schedules.

HB 490  LeBas  Insurance
Provides for the submission of a remittance advice by health insurers to pharmacists.
03-03-2016  Prefiled and referred to committee.
04-13-2016  Amended, then reported favorably (9-0).
04-14-2016  Engrossed; passed to third reading and floor vote.
04-20-2016  Passed House (93-0); sent to Senate.
04-21-2016  Received in Senate; scheduled for committee referral.
04-25-2016  Referred to Senate Insurance Committee.
04-27-2016  Reported favorably.
04-28-2016  Reported to Legislative Bureau.

Requires the remittance advice to be sent on the date of payment of the pharmacy claim.

HB 492  McFarland  Health & Welfare
Authorizes the collection of certain copayments in the medical assistance program.
03-03-2016  Prefiled and referred to committee.
04-06-2016  On agenda – voluntarily deferred.

Applies copayments to non-preferred drugs as well as non-emergent services provided in a hospital emergency room.

HB 497  Norton  Health & Welfare
Requires DHH to implement the Medicaid Health Home option for persons with serious mental illness.
03-03-2016  Prefiled and referred to committee.

Amends the Medical Assistance Program law to implement the Medicaid Health Home option as established by the Affordable Care Act, for persons with serious mental illness.

HB 517  Bacala  Health & Welfare
Establishes certain provider fees within the Louisiana Medicaid program.
03-03-2016  Prefiled and referred to committee.
04-07-2016  On agenda – voluntarily deferred.

Adds other types of healthcare providers to the list of providers subject to the fee, and further, caps the fee at the amount published in applicable federal rules.

HB 531  Falconer  Health & Welfare
Provides for access to prescription monitoring information by specialty courts.
03-03-2016  Prefiled and referred to committee.
04-13-2016  On agenda – voluntarily deferred.

Amends the state PMP law to allow presiding judges of a variety of specialty courts (veterans, drug, DWI, behavioral, or mental health) to designate someone to access records of participants or those seeking access to participation.

HB 551  R. Johnson  Health & Welfare
Provides relative to fees imposed within the Medicaid program on healthcare providers, facilities, and
services.

Appears to be a duplicate of HB 517.

HB 566  Richard    Health & Welfare
Requires DHH to institute certain Medicaid cost containment measures.
03-03-2016  Prefiled and referred to committee.
04-07-2016  On agenda – voluntarily deferred.

Directs DHH to institute cost sharing and benefit limitations for non-emergent care rendered in hospital emergency rooms.

HB 570  Schroder    Health & Welfare
Provides relative to the practice of telemedicine.
03-03-2016  Prefiled and referred to committee.
04-13-2016  Reported favorably (10-0).
04-14-2016  Engrossed; passed to third reading and floor vote.
04-20-2016  Passed House (91-0); sent to Senate.
04-21-2016  Received in Senate; committee referral pending.
04-25-2016  Referred to Senate Health & Welfare Committee.

Repeals the requirement from the medical board that a physician practicing telemedicine maintain an office practice location within the state, but retains the requirement the physician has a license to practice in this state.

HB 573  Bacala    Appropriations
[Constitutional Amendment] Authorizes certain budget reduction actions to avoid a deficit if a deficit has been projected.
03-03-2016  Prefiled and referred to committee.
04-26-2016  Amended, then reported favorably.
04-27-2016  Engrossed; re-committed to House Civil Law Cmte.

When deficit is projected, authorized the legislature (or the governor with consent of JLCB if not in session) to impose a hiring freeze as well as reduce salaries of all state officials and employees by one percent.

HB 579  R. Johnson    Health & Welfare
Provides relative to the delivery of nutrition services.
03-04-2016  Prefiled and referred to committee.
04-13-2016  Amended, then reported favorably (10-1-1).
04-14-2016  Engrossed; passed to third reading and floor vote.
04-20-2016  Passed House (92-0); sent to Senate.
04-21-2016  Received in Senate; committee referral pending.
04-25-2016  Referred to Senate Health & Welfare Committee.

Authorizes licensed dietitians and nutritionists to order dietary plans as well as order appropriate laboratory tests to monitor the effectiveness of the dietary plan.

HB 595  R. Johnson    Health & Welfare
Provides relative to the delivery of nutrition services through telehealth.
03-04-2016  Prefiled and referred to committee.
03-16-2016  On agenda – voluntarily deferred.
03-23-2016  On agenda – removed prior to meeting.
04-13-2016  Reported favorably (12-0).
04-14-2016  Engrossed; passed to third reading and floor vote.
04-20-2016  Passed House (91-0); sent to Senate.
04-21-2016  Received in Senate; committee referral pending.
04-25-2016  Referred to Senate Health & Welfare Committee.
Adds dietitians and nutritionists to the list of healthcare providers authorized to use telehealth in their practice, subject to regulation by their licensing authority.

HB 620  Willmott  Health & Welfare
Provides relative to advanced practice registered nursing.
03-04-2016  Prefiled and referred to committee.

Exempts certain nurse practitioners from the requirement to practice under collaborative practice agreements with physicians or dentists.

HB 623  LeBas  Health & Welfare
Eliminates restrictions on the performance of physical therapy services without a prescription or referral.
03-04-2016  Prefiled and referred to committee.

Authorizes the performance of certain physical therapy services without a prescription or referral.

HB 642  R. Johnson  Health & Welfare
Provides relative to the La. State Board of Examiners in Dietetics and Nutrition.
03-04-2016  Prefiled and referred to committee.
04-13-2016  Amended, then reported favorably (14-0).
04-14-2016  Engrossed; passed to third reading and floor vote.
04-21-2016  Passed House (75-0); sent to Senate.
04-26-2016  Engrossed; passed to third reading and floor vote.
04-14-2016  Called; returned to the calendar; notice given.
04-18-2016  Amended, then passed House (89-0); sent to Senate.
04-19-2016  Received in Senate; scheduled for referral.
04-20-2016  Referred to Senate Health & Welfare Cmte.

Repeals the domicile requirement, amends their provisional licensing timeframe, and authorizes the development of a fee schedule by rule, subject to maximums listed in the bill.

HB 671  Moreno  Health & Welfare
Provides relative to redispensing of drugs in correctional center pharmacies.
03-04-2016  Prefiled and referred to committee.
03-16-2016  On agenda – voluntarily deferred.
03-23-2016  On agenda – removed prior to meeting.
04-06-2016  Amended, then reported favorably.
04-07-2016  Engrossed; passed to third reading and floor vote.
04-14-2016  Called; returned to the calendar; notice given.
04-18-2016  Amended, then passed House (89-0); sent to Senate.
04-19-2016  Received in Senate; scheduled for referral.
04-20-2016  Referred to Senate Health & Welfare Cmte.

Amends the Pharmacy Practice Act relative to the redispensing of drugs in correctional center pharmacies, and extends the current limitation to state-owned facilities to include local law enforcement agencies.

HB 688  LeBas  Administration of Criminal Justice
Adds substances to Schedules II and IV of the Uniform Controlled Dangerous Substances Law.
03-04-2016  Prefiled and referred to committee.
03-23-2016  Amended, then reported favorably.
03-24-2016  Engrossed; passed to third reading and floor vote.
03-31-2016  Passed House (86-0); sent to Senate.
04-04-2016  Received in Senate; pending committee referral.
04-05-2016  Referred to Senate Judiciary-C Cmte.
04-19-2016  Reported favorably.
04-20-2016  Referred to Legislative Bureau.
04-21-2016  Reported with amendments by Legislative Bureau.
04-25-2016  Amended, then passed Senate (35-0); returned to House.
05-03-2016  Scheduled for House concurrence with Senate amendment.

As originally drafted, the bill mischaracterizes substances added to Schedule II; they are actually
being removed from Schedule II. In addition, there are errors with the ioflupane entry – spelling and the absence of the nuclear activity indicator.

**HB 699**  Stokes  Health & Welfare
Revises fee amounts for facilities and providers license by DHH.

- **03-04-2016**  Prefiled and referred to committee.
- **03-30-2016**  On agenda – voluntarily deferred.
- **04-27-2016**  **On agenda – voluntarily deferred.**
- **05-03-2016**  On agenda – 0900 in HCR-5.

*Increases existing fees for ambulance providers and creates new fees for other types of facilities and providers.*

**HB 725**  Broadwater  Labor & Industrial Relations
Provides for the creation of a workers’ compensation closed pharmacy formulary.

- **03-04-2016**  Prefiled and referred to committee.

*Amends the workers’ compensation law to provide for the creation of a closed formulary in the pharmacy program via the rulemaking process.*

**HB 726**  Morris  Appropriations
Provides relative to consulting, professional, personal, and social services contracts that are not competitively bid or negotiated.

- **03-04-2016**  Prefiled and referred to committee.
- **04-25-2016**  On agenda – voluntarily deferred.

*Changes the way certain types of professional contracts are to be negotiated and awarded.*

**HB 754**  Talbot  Insurance
Provides for the time of modification of drug coverage by health insurance issuers.

- **03-04-2016**  Prefiled and referred to committee.
- **04-06-2016**  On agenda – removed prior to meeting.

*Amends the Insurance Code which provides that modification of health insurance coverage can only occur at renewal of the coverage, to provide an exception that modification of drug coverage can occur at any time.*

**HB 764**  Reynolds  Education
Provides relative to requirements for approval of home study programs.

- **03-04-2016**  Prefiled and referred to committee.
- **03-14-2016**  Withdrawn from the files of the House.

*Requires students enrolled in home study programs to adhere to the same compulsory attendance rules as students in public schools and requires documentation of same to BESE.*

**HB 791**  Moreno  Health & Welfare
Provides limitations on prescriptions for opioid drugs.

- **03-04-2016**  Prefiled and referred to committee.
- **03-30-2016**  On agenda – removed prior to meeting.

*Amends the state controlled substance law to place certain limitations on prescriptions for opioid drugs: (1) for the current requirement for the prescriber to access the PMP prior to prescribing any Schedule II drug for non-cancer related chronic or intractable pain, the bill adds any opioid drug and removes the limitation for non-cancer related chronic or intractable pain, so would require PMP access prior to prescribing any opioid or any Schedule II to any patient; (2) imposes a quantity limit for a practitioner prescribing any opioid to a patient for the first time – a 72-hour supply, but then allows the practitioner to prescribe a greater quantity if practitioner notes in the patient’s medical record the greater supply was necessary to manage the patient’s emergency medical condition, and further, that a non-opioid medication was not appropriate for the patient; (3) requires any practitioner who prescribes any controlled*
substances shall complete at least 5 hours of training every two years on the risks of addiction associated with medications prescribed for pain management.

HB 801  Broadwater  Ways and Means  
Authorizes the office of debt recovery to suspend or deny certain licenses under certain circumstances. 
03-04-2016  Prefiled and referred to committee. 
04-05-2016  On agenda – voluntarily deferred. 

Amends the existing law on this topic to authorize that office to suspend or deny professional licenses under certain circumstances, and directs the licensing agency to effectuate the decision of that office. 

HB 812  Schroder  Appropriations  
Provides relative to maximizing the use of available office space in state buildings. 
03-04-2016  Prefiled and referred to committee. 
03-21-2016  Amended, then reported favorably. 
03-22-2016  Engrossed; passed to third reading and floor vote. 
03-29-2016  Amended, then passed House (97-0); sent to Senate 
03-30-2016  Received in Senate; placed on calendar for referral. 
03-31-2016  Referred to Senate & Governmental Affairs Cmte. 
04-20-2016  Reported favorably. 
04-21-2016  Referred to Legislative Bureau. 
04-25-2016  Reported without amendment by Legislative Bureau. 
04-26-2016  Called; returned to the calendar. 
05-02-2016  Scheduled for floor debate. 

Requires the Div. of Administration to track all empty space in state buildings as well as all state agencies with resources located in buildings not owned by the state, and further, to allocate appropriate empty space to such agencies. Requires the agency head to reply to the offer with a transitional relocation plan, or in the alternative, the reason the agency did not accept the offer. Requires such violations to be reported to the legislature by the Div. of Administration. 

HB 824  LeBas  Insurance  
Prohibits assessment of a fee relating to the health insurance claims adjudication verification process on any healthcare provider or facility. 
03-04-2016  Prefiled and referred to committee. 
04-13-2016  On agenda – voluntarily deferred. 

Prohibits insurance companies or PBMs from assessing certain fees related to the transmission or processing of claims by healthcare providers. 

HB 835  Seabaugh  Insurance  
Provides relative to audits of pharmacy records. 
03-04-2016  Prefiled and referred to committee. 
03-30-2016  On agenda – voluntarily deferred. 

Resolves an apparent conflict in the timing of such audits in the present law. 

HB 842  Broadwater  Education  
Provides for the consolidation of certain boards and commissions into the Board of Regents. 
03-04-2016  Prefiled and referred to committee. 
04-07-2016  Amended, then reported favorably (14-0). 
04-11-2016  Engrossed; passed to third reading and floor vote. 
04-18-2016  Passed House (92-0); sent to Senate. 
04-19-2016  Received in Senate; scheduled for referral. 
04-20-2016  Referred to Senate Education Cmte. 
04-28-2016  Reported favorably. 

Merges three minor agencies (including La. Student Financial Assistance Commission) into the
Board of Regents.

HB 843  Harris  Education  
Provides for the consolidation of certain boards and commissions into the Board of Regents.  
03-04-2016  Prefiled and referred to committee.  

Appears to be a duplicate of HB 842.  

HB 845  LeBas  Insurance  
Provides relative to pharmacy benefit managers.  
03-04-2016  Prefiled and referred to committee.  
04-13-2016  On agenda – voluntarily deferred.  

In addition to the current penalty for late payment of uncontested claims, would add another penalty of 10% percent of the uncontested amount if paid more than 10 days after it is due. Further, awards reasonable attorneys’ fees if legal action required to collect the uncontested amount due.  

HB 849  R. Johnson  Insurance  
Provides a time frame for appeals of adverse determinations made regarding the medical necessity of prescription drugs and intravenous infusions.  
03-14-2016  Prefiled and referred to committee.  
04-27-2016  Reported by substitute (10-0).  
04-28-2016  Became HB 1151.  

Amends the insurance law to provide that appeals regarding these items shall be expedited, and that in the event of a denial, notice shall be provided at least 60 days prior to the discontinuance of such therapy.  

HB 864  LeBas  Insurance  
Prohibits certain claims fees assessed by health insurers or pharmacy benefit managers.  
03-14-2016  Prefiled and referred to committee.  
04-13-2016  Amended, then reported favorably (8-0).  
04-14-2016  Engrossed; passed to third reading and floor vote.  
04-21-2016  Passed House (75-0); sent to Senate.  
04-26-2016  Referred to Senate Insurance Committee.  

Prohibits the charging of certain fees, including network participation fees, to pharmacies.  

HB 909  Anders  House & Governmental Affairs  
Provides with respect to limitation of terms of members of boards and commissions.  
03-16-2016.  Filed and referred to committee.  
03-30-2016  Reported favorably (11-0).  
03-31-2016  Engrossed; passed to third reading and floor vote.  
04-07-2016  Passed House (90-4); sent to Senate.  
04-11-2016  Received in Senate; committee referral pending.  
04-12-2016  Referred to Senate & Governmental Affairs Cmte.  
04-27-2016  Reported favorably.  
04-28-2016  Referred to Legislative Bureau.  

Appears to repeal the term limits law for members of boards and commissions adopted in 2008.  

HB 920  Talbot  Health & Welfare  
Provides relative to eligibility for a license to produce or dispense therapeutic marijuana.  
03-29-2016  Filed and referred to committee.  
04-27-2016  On agenda – voluntarily deferred.  

Adds a provision to the Therapeutic Marijuana Law that a member of the Board of Pharmacy may not qualify for a license to produce or dispense therapeutic marijuana.
HB 926  Dwight  Administration of Criminal Justice
Increases penalties for distribution of heroin that contains fentanyl or any derivative thereof.
03-29-2016  Filed and referred to committee.

Amends the Schedule I penalty section of the controlled substance law.

HB 934  Hoffmann  Health & Welfare
Provides relative to judicial review of administrative decisions rendered by the La. State Board of Dentistry.
03-29-2016  Filed and referred to committee.
04-20-2016  Reported favorably (11-0).
04-21-2016  Engrossed; passed to third reading and floor vote.
04-28-2016  Passed House (90-0); sent to Senate.

Amends the Dental Practice Act relative to the amount of financial security required when appealing the Board’s disciplinary action to the judicial district court. Also provides relative to their subpoena power.

HB 943  Leopold  Appropriations
Prohibits the filling of vacant employment positions and the creation of new employment positions in state government until after June 30, 2018.
03-30-2016  Filed and referred to committee.
04-26-2016  Amended, then reported favorably.
04-27-2016  Engrossed; passed to third reading and floor vote.
05-03-2016  Scheduled for floor debate.

Affects all agencies in all three branches of state government.

HB 946  Connick  Health & Welfare
Provides relative to the investigation and adjudication of complaints against physicians.
03-30-2016  Filed and referred to committee.
04-27-2016  On agenda – voluntarily deferred.
05-03-2016  On agenda – 0900 in HCR-5.

Amends the Medical Practice Act, so only impacts the medical board.

HB 947  Pope  Health & Welfare
Requires the Dept. of Health & Hospitals and Dept. of Children & Family Services to report to the legislature information concerning administration of the departments.
03-30-2016  Filed and referred to committee.
04-13-2016  Amended, then reported favorably (10-0).
04-14-2016  Engrossed; passed to third reading and floor vote.
04-21-2016  Amended, then passed House (81-0); sent to Senate.
04-26-2016  Referred to Senate & Governmental Affairs Cmte.

Requires inclusion of personnel information in departmental annual reports, including organizational chart showing all filled and vacant positions as well as the current salary of each filled position.

HB 955  Jackson  Health & Welfare
Provides relative to the investigation of violations by the La. State Board of Medical Examiners.
04-04-2016  Filed and referred to committee.
04-21-2016  Discharged from the committee; Withdrawn from the files of the House.

Requires the executive director of the medical board to directly supervise the director of investigations of the medical board.

HB 961  Cromer  Health & Welfare
Requires educational or marketing materials for prescription drugs directed to healthcare providers to
include price information.

04-04-2016 Filed and referred to committee.
05-03-2016 On agenda – 0900 in HCR-5.

Failure to comply will be considered an unfair trade practice, for which the Attorney General is responsible for enforcement.

HB 979 Miller Health & Welfare
Provides relative to functions and composition of the La. State Board of Nursing.
04-04-2016 Filed and referred to committee.
04-27-2016 Removed from agenda prior to meeting.
05-03-2016 On agenda – 0900 in HCR-5.

Replaces the two ex-officio physician members of the nursing board with two voting consumer members. Establishes a two-year renewal cycle, with the renewal date fixed at the month and day of the licensee’s birth date. Creates the Continuing Nursing Education Support Fee, fixes the value at ten dollars, requires it to be levied at the time of license renewal, requires an opportunity for the licensee to not pay the support fee, and directs the proceeds to the La. State Nursing Association.

HB 1005 Willmott Appropriations
Requires prior approval of certain purchases made by state agencies in the last two months of the fiscal year.
04-04-2016 Filed and referred to committee.
04-26-2016 Reported favorably.
04-27-2016 Engrossed; passed to third reading and floor vote.
05-03-2016 Scheduled for floor debate.

Requires Div. of Administration to establish, for each state agency, a baseline average of monthly expenditures for three specific categories: (1) acquisitions, (2) supplies, and (3) travel. Initial baseline shall be calculated using FY 15-16 data. Shall re-calculate baseline every five years. Beginning in FY 16-17, any expenditure in either May or June that is in excess of the baseline average shall require approval of the commissioner.

HB 1007 Moreno Health & Welfare
Provides relative to the storing and dispensing of naloxone and other opioid antagonists.
04-04-2016 Filed and referred to committee.
04-27-2016 Amended, then reported favorably.
04-28-2016 Engrossed; passed to third reading and floor vote.
05-04-2015 Scheduled for floor debate.

Amends the naloxone law to provide that anyone may possess naloxone or another opioid antagonist, and further, anyone may dispense naloxone or another opioid antagonist as long as it is done for no charge and according to a standing order from a medical practitioner.

HB 1043 Magee Health & Welfare
Provides relative to the licensure of therapeutic marijuana dispensing pharmacies.
04-05-2016 Filed and referred to committee.
04-13-2016 On agenda – voluntarily deferred.

Amends the marijuana law to remove the limit of ten marijuana pharmacy permits.

HB 1054 Hunter Health & Welfare
Provides relative to prescribing of controlled dangerous substances.
04-05-2016 Filed and referred to committee.
04-27-2016 On agenda – voluntarily deferred.

Requires all prescriptions for Schedule II medications to be issued electronically, in conformance with federal rules, effective January 1, 2018. Exception for emergency prescriptions retained. Amends the PMP Law to require real-time access to the data. Further amends the PMP Law to provide additional
duties for the PMP Advisory Council, including establishing best practices and continuing education for prescribers and pharmacists on pain management.

**HB 1071**    Jones    Health & Welfare
Creates the office of state surgeon general.
04-05-2016      Filed and referred to committee.
04-20-2016      On agenda – voluntarily deferred.

*Creates the position as an officer of DHH, but answerable to the governor.*

**HB 1099**    Thibaut    Agriculture, Forestry, Aquaculture & Rural Development
Provides relative to the assessment of a license fee imposed by the Dept. of Agriculture & Forestry for the production of marijuana for therapeutic use.
04-05-2016      Filed and referred to committee.
04-14-2016      Reported favorably (14-0).
04-18-2016      Engrossed; re-committed to Appropriations Cmte.

*Establishes an annual license fee of $100,000, an annual permit fee of $100, a nonrefundable application fee of $10,000, and requires remittance of 7% of the gross sales back to the department.*

**HB 1112**    James    Health & Welfare
Establishes the Louisiana Therapeutic Use of Cannabis Act.
04-05-2016      Filed and referred to committee.
04-27-2016      On agenda – voluntarily deferred.

*This is a 38-page bill that re-writes and revises the marijuana law. Similar to the current law, the Dept. of Agriculture shall regulate the manufacturers, but this bill provides for a maximum of 15 such manufacturers. The Board of Pharmacy shall regulate the pharmacies, but this bill provides for a maximum of 25 such pharmacies. Patients must obtain a registry identification card from their physician, and patients must identify their caregivers (who shall be identified on the registry identification cards). The list of eligible medical conditions is expanded.*

**Resolutions**

**HCR 86**    Hoffmann    Health & Welfare
Creates a study group to make recommendations concerning the prospective establishment of an independent health professions scope of practice review committee.
04-21-2016      Filed and referred to committee.
04-27-2016      Reported favorably.
04-28-2016      Re-committed to House & Governmental Affairs Cmte.

*Creates a 13-member study group to review the independent health professions scope of practice review committee established in the State of Connecticut, and any other models, and make recommendations regarding the establishment of such a group in this state.*

**Concurrent Resolutions**

**Study Resolutions**

**Concurrent Study Resolutions**
**Senate**

**Bills**

**SB 49**  Long  Finance  
Requires approval of the Joint Legislative Committee on the Budget before certain salary increases in the executive branch are effective in the last ninety days of an administration.

- 02-29-2016  Prefiled and referred to committee.
- 03-28-2016  Reported favorably.
- 03-29-2016  Engrossed; passed to third reading and floor vote.
- 03-30-2016  Passed Senate (37-0); sent to House.
- 03-30-2016  Received in House; committee referral pending.
- 03-31-2016  Referred to House Appropriations Committee.

*Applies to all budget units and all other agencies in the executive branch, as well as all classified and unclassified employees in those agencies.*

**SB 52**  Mills  Health & Welfare  
Provides for the creation of a single preferred drug list for reimbursement of Medicaid covered outpatient drugs.

- 02-29-2016  Prefiled and referred to committee.

*Self-explanatory.*

**SB 56**  Johns  Health & Welfare  
Provides for retention, archiving, and destruction of records in the state prescription monitoring program.

- 03-01-2016  Prefiled and referred to committee.
- 04-06-2016  Reported favorably.
- 04-07-2016  Engrossed; passed to third reading and floor vote.
- 04-11-2016  Passed Senate (35-1); sent to and received in House.
- 04-12-2016  Referred to House Health & Welfare Cmte.
- 05-03-2016  On agenda – 0900 in HCR-5.

*Sponsored by the Board of Pharmacy; requires rule-making by the Board.*

**SB 57**  Bishop  Senate & Governmental Affairs  
Prohibits the increase in salary for executive branch employees, agency employees, and cabinet members for a period commencing on gubernatorial election day and concluding on inauguration day.

- 03-01-2016  Prefiled and referred to committee.
- 04-20-2016  Amended, then reported favorably.
- 04-21-2016  Engrossed; passed to third reading and floor vote.
- 04-25-2016  Passed Senate (36-0); sent to House.
- 04-26-2016  Referred to House & Governmental Affairs Cmte.

*Self-explanatory.*

**SB 85**  Gatti  Senate & Governmental Affairs  
Provides certain requirements for supervisors in state government.

- 03-01-2016  Prefiled and referred to committee.
- 03-22-2016  On agenda – voluntarily deferred.

*Requires all state agencies to maintain certain supervisor – staffing ratios, and further, requires the annual reporting of agency compliance to Dept. of State Civil Service, the Div. of Administration, and the Joint Legislative Committee on the Budget.*

**SB 86**  Johns  Health & Welfare  
Provides for exceptions to dispensing limits by prescribers who are practicing at a National Cancer Institute-designated comprehensive cancer center.
Provided an exception to the dispensing limitation for prescriptions written for opioid derivatives listed in Schedules II and III when the non-resident prescribing practitioner practices at a National Cancer Institute-designated comprehensive cancer center.

SB 107  Barrow  Health & Welfare
Provides for the re-creation of the Dept. of Health & Welfare and to change the name to the Dept. of Health.
03-02-2016  Prefiled and referred to committee.
03-22-2016  Reported favorably.
03-23-2016  Engrossed; passed to third reading and floor vote.
03-28-2016  Passed Senate (38-0); sent to House.
03-29-2016  Pending introduction to House and committee referral.
03-30-2016  Referred to House Committee on Health & Welfare.

This is the ‘sunset’ bill which affects every executive branch level department. As originally drawn, the Board of Pharmacy remains within the department, and the department will face their next sunset at the end of Fiscal Year 2021.

SB 114  LaFleur  Health & Welfare
Requires approval by the secretary of the Dept. of Health & Hospitals for any salary adjustments or cost-of-living adjustments for certain management boards falling under the auspices of the department.
03-02-2016  Prefiled and referred to committee.
04-06-2016  Amended, then reported favorably.
04-07-2016  Engrossed; passed to third reading and floor vote.
04-11-2016  Passed Senate (37-0); sent to House.
04-12-2016  Received in House.
04-13-2013  Referred to House Health & Welfare Cmte.

Original bill includes all health care licensing agencies. Amended to allow boards to retain their authority for salary adjustments, but requires reporting of all raises to DHH Secretary.

SB 117  Mills  Health & Welfare
Provides for the Medicaid Pharmaceutical & Therapeutics Committee
03-02-2016  Prefiled and referred to committee.
04-06-2016  Amended, then reported favorably.
04-07-2016  Engrossed; passed to third reading and floor vote.
04-11-2016  Amended, then passed Senate (37-0); sent to House.
04-12-2016  Received in House.
04-13-2016  Referred to House Health & Welfare Cmte.

Cleans up some old references to emergency provisions from Hurricane Katrina, and makes other changes to the committee.

SB 131  Johns  Health & Welfare
Provides for alternative options to prescription drugs.
03-02-2016  Prefiled and referred to committee.

Amends the Pharmacy Practice Act to require pharmacists to provide sufficient information to a patient to afford them an opportunity to consider all their options, including less-costly alternatives. Prohibits the board or any third party from sanctioning a pharmacist for their failure to perform that action.

SB 133  Johns  Health & Welfare
Provides for prescription drug access.
03-02-2016  Prefiled and referred to committee.

Prohibits the use of terms “specialty drug” or “specialty pharmacy” when used for the purpose of interfering with the patient’s access to prescription drugs.
SB 148  Gatti    Senate & Governmental Affairs
Abolishes boards and commissions, authorities, districts, and like entities that are inactive.
03-03-2016  Prefiled and referred to committee.
03-30-2016  On agenda – voluntarily deferred.
04-06-2016  On agenda – voluntarily deferred.
04-27-2016  Amended, then reported favorably.
04-28-2016  Engrossed; passed to third reading and floor vote.
05-02-2016  Scheduled for floor debate.

Twelve entities named; will continue to monitor for any potential amendments.

SB 175  Donahue    Senate & Governmental Affairs
Provides for the requirement that proposed agency rules with a fiscal impact of more than $100,000 be submitted to the Senate Finance and House Appropriations Committees for review.
03-03-2016  Prefiled and referred to committee.

Amends the Administrative Procedure Act to add these two committees to the Joint Legislative Oversight Committee on Health & Welfare when proposed rules have a fiscal impact of more than $100,000; current law places that threshold at $1 million.

SB 180  Mills    Judiciary-C
Provides exemption from prosecution for anyone lawfully in possession of medical marijuana.
03-03-2016  Prefiled and referred to committee.
04-12-2016  Amended, then reported favorably.
04-13-2016  Engrossed; passed to third reading and floor vote.
04-18-2016  Passed Senate (24-10); sent to House.
04-19-2016  Referred to House Criminal Justice Cmte.

Amends the state controlled substance law to provide immunity from prosecution for possession of marijuana for any Louisiana resident who is a patient of a medical marijuana program in another state, as well as for the parent of a child who is a patient in such a program.

SB 187  Barrow    Health & Welfare
Provides relative to advanced practice registered nursing.
03-03-2016  Prefiled and referred to committee.
03-30-2016  Reported favorably.
03-31-2016  Engrossed; passed to third reading and floor vote.
04-04-2016  Called, then returned to calendar.
04-05-2016  Amended, then failed to pass (19-17); notice given.
04-07-2016  Reconsidered; returned to calendar, subject to call.
04-11-2016  Reconsidered; amended, then passed Senate (22-14).
04-12-2016  Received in the House.
04-13-2016  Referred to House Health & Welfare Cmte.
05-03-2016  On agenda – 0900 in HCR-5.

Amends the Nursing Practice Act and directs the nursing board to promulgate rules that would allow qualified APRNs to be exempt from the requirement to enter into collaborative practice agreements to perform certain professional nursing functions.

SB 189  Johns    Health & Welfare
Provides for pharmacist dispensing exceptions.
03-03-2016  Prefiled and referred to committee.
04-06-2016  Reported favorably.
04-07-2016  Engrossed; passed to third reading and floor vote.
04-11-2016  Amended, then passed Senate (37-0); sent to House.
04-12-2016  Received in the House.
04-13-2016  Referred to House Health & Welfare Cmte.
05-03-2016  On agenda – 0900 in HCR-5.
Amends the state controlled substance law, and more specifically adds another exception to the dispensing limitation for prescriptions written for opioid derivatives in Schedules II or III written by prescribers not licensed in this state. The first exception, adopted last year, includes those states whose prescription monitoring program information is accessible to the dispensing pharmacist. This proposal includes when the prescriber includes a diagnosis of cancer or terminal illness.

**SB 206**  
T. Carter  
Health & Welfare  
Provides relative to advanced practice registered nursing.  
03-03-2016 Prefiled and referred to committee.

Appears to be a duplicate of SB 187.

**SB 208**  
Colomb  
Commerce, Consumer Protection & International Affairs  
Provides for the practice of chiropractic.  
03-03-2016 Prefiled and referred to committee.  
03-16-2016 Discharged from committee;  
Re-committed to Senate Health & Welfare Committee.

Amends the Chiropractic Practice Act, with slight expansion, but mostly referencing contemporary standards. Permits the issuance of recommendations, but no reference to prescriptive authority.

**SB 211**  
Martiny  
Commerce, Consumer Protection & International Affairs  
Provides relative to the La. State Board of Dentistry.  
03-03-2016 Prefiled and referred to committee.  
04-20-2016 Reported favorably, by substitute.  
04-21-2016 Became SB 471.

Makes a technical change in the Dental Practice Act.

**SB 239**  
Milkovich  
Judiciary-A  
Provides for proper venue for all administrative hearings involving action against regulated professions and occupations.  
03-04-2016 Prefiled and referred to committee.  
04-26-2016 On agenda – involuntarily deferred.

Fixes proper venue for all administrative hearings for all licensed professions and occupations as the domicile of the licensee.

**SB 258**  
Luneau  
Insurance  
Provides for coverage for refills for prescription eye drops.  
03-04-2016 Prefiled and referred to committee.  
03-22-2016 Reported favorably.  
03-23-2016 Engrossed; passed to third reading and floor vote.  
03-28-2016 Amended, then returned to order for final action.  
03-29-2016 Called, then returned to the calendar.  
03-31-2016 Called, then returned to the calendar.  
04-04-2016 Called, then returned to calendar.  
04-05-2016 Called, then returned to calendar, subject to call.  
04-07-2016 Passed Senate (32-0); sent to House.  
04-11-2016 Received in the House.  
04-12-2016 Referred to House Insurance Cmte.  
05-03-2016 On agenda – 0930 in HCR-1.

Amends the state insurance law to require insurance coverage for refills of prescription eye drops; imposes requirements on such prescriptions.

**SB 271**  
Mills  
Health & Welfare  
Provides for medical marijuana.
Amends the medical marijuana law passed last year to change ‘prescribe’ to ‘recommend’, and further, expands the list of eligible medical conditions. Finally, it removes requirements whose deadlines have already passed.

SB 285  R. Ward    Senate & Governmental Affairs
Provides an exception to the Open Meetings Law relative to attorney-client privilege.
03-04-2016  Prefiled and referred to committee.
03-30-2016  On agenda – voluntarily deferred.
04-06-2016  On agenda – voluntarily deferred.

Amends the Open Meetings Law to provide an additional reason for which a public body may enter into execution session, namely matters subject to attorney-client privilege.

SB 291  Mills    Health & Welfare
Provides for patient access to physical therapy services without a prescription or referral from a physician.
03-04-2016  Prefiled and referred to committee.
03-30-2016  Reported favorably.
03-31-2016  Engrossed; passed to third reading and floor vote.
04-04-2016  Called, then returned to calendar.
04-05-2016  Amended, then passed Senate (31-7); sent to House.
04-06-2016  Received in House; scheduled for referral.
04-07-2016  Referred to House Health & Welfare Cmte.

Appears to be a duplicate of HB 623.

SB 328  Claitor    Health & Welfare
Provides for telehealth access.
03-04-2016  Prefiled and referred to committee.
04-13-2016  Reported favorably.
04-14-2016  Engrossed; passed to third reading and floor vote.
04-18-2016  Amended, then passed Senate (34-0); reengrossed.
04-19-2016  Received in House; scheduled for referral.
04-20-2016  Referred to House Health & Welfare Cmte.
05-04-2016  On agenda – 0900 in HCR-5.

Amends both the medical practice act to remove the requirement for the physician to have a practice location within the state, as well as the telehealth access act to specify the rules for telehealth shall not be more restrictive than usual practice, and further, that proper venue for any suit shall be the patient’s location.

SB 333  Colomb    Senate & Governmental Affairs
Allows video conferencing of committee meetings and sessions of the legislature and authorizes voting in absentia.
03-04-2016  Prefiled and referred to committee.
04-06-2016  On agenda – voluntarily deferred.
04-13-2016  On agenda – voluntarily deferred.
04-20-2016  On agenda – voluntarily deferred.

Amends the legislative chamber rules to allow video conferencing for committee meetings and
SB 360  Mills   Health & Welfare  
Provides for the La. Physician Orders for Scope of Treatment (La. POST).  
03-16-2016  Filed and referred to committee.  
04-06-2016  Amended, then reported favorably.  
04-07-2016  Engrossed; passed to third reading and floor vote.  
04-11-2016  Called; returned to the calendar; notice given.  
04-12-2016  Amended, then passed Senate (36-1); sent to House,  
04-13-2016  Received in the House.  
04-14-2016  Referred to House Health & Welfare Cmte.  

Final orders for terminally ill patients.  

SB 429  Barrow  Health & Welfare  
Provides for the Louisiana State Board of Medical Examiners.  
04-05-2016  Filed and referred to committee.  
04-20-2016  On agenda – voluntarily deferred.  
04-27-2016  Amended, then reported favorably.  
04-28-2016  Engrossed; passed to third reading and floor vote.  
05-02-2016  Scheduled for floor debate.  

Reconstitutes the medical board, with language similar to that of the pharmacy board.  

SB 460  LaFleur  Finance  
Provides for the disposition and reporting of fees and self-generated revenues by state agencies and the state treasurer.  
04-05-2016  Filed and referred to committee.  
04-25-2016  On agenda – voluntarily deferred.  

Requires all unexpended funds remaining at the conclusion of the fiscal year to be transferred to the state general fund.  

SB 471  Martiny  
Provides relative to the La. State Board of Dentistry.  
04-21-2016  Reported as substitute for SB 211.  
04-26-2016  Passed Senate (38-0); sent to House.  
04-27-2016  Referred to House Health & Welfare Cmte.  

Changes the deadline for that board to change their domicile from the City of New Orleans to East Baton Rouge Parish from January 1, 2017 to January 1, 2018.  

Resolutions  

Concurrent Resolutions  

SCR 65  Mills   Health & Welfare  
Creates a task force to study meaningful oversight of the professional healthcare licensing boards statutorily created within the Dept. of Health and Hospitals  
04-18-2016  Filed.  
04-19-2016  Referred to committee.  
04-27-2016  Reported favorably.  
04-28-2016  Passed Senate (36-0); sent to House.  

Creates a task force composed of one representative from each of the 25 healthcare licensing boards within DHH, with a DHH representative to serve as chair, and an Attorney General representative to serve as vice chair. Group shall meet at least monthly beginning before 09-01-2016 and shall submit their report to the joint legislative committees on health and welfare before 01-01-2017, with
recommendations on several topics as identified in the resolution, including composition of the boards and a process for meaningful oversight of the boards by the department so as to ensure compliance with North Carolina State Board of Dental Examiners v. Federal Trade Commission, 135 S.Ct. 1101(2015).

**Study Resolutions**

**Concurrent Study Resolutions**
Good Afternoon Mr. Broussard,
We talked on the phone about having a letter of support from the Board of Pharmacy. Our Quality Improvement Network, Quality Insights, of which eQHealth is a partner, is writing a proposal to address opioid use in Louisiana. Attached is a brief summation of what we are asking you to write a letter in support of... SIP 1 on the attachment. Thanks for your consideration.

Chris

Christine Gatlin PhD, MHA, RN, CHC
Quality Improvement Manager
Christine.gatlin@hqcis.org
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Good Morning Mr. Broussard,

As I know your time is valuable, I am writing you today to quickly introduce myself. My appointment to the Massachusetts Board of Registration in Pharmacy is the sterile compounding member and I am the current President-Elect. At this year’s NABP 112th Annual Meeting, I am running for the Open Member Position on the NABP Executive Committee representing District 1.

I graduated from Northeastern University Bouve College of Pharmacy and Allied Health Sciences with a Bachelor of Science degree in pharmacy. Since graduation, I have expanded the services of two community pharmacies in Medication Therapy Management, Sterile and Non-Sterile compounding, and Immunization programs.

Recently, the Massachusetts Board of Pharmacy has expanded its regulations to ultimately define USP <797> Pharmaceutical Compounding-Sterile Preparations. These regulations provide clear guidance on the importance of safe sterile compounding practices. I am proud to have imparted my expertise in the new regulations to ensure safe practices of sterile compounding.

As a pharmacy administrator for a ninety-bed psychiatric and substance abuse hospital. Another interest of mine is working with pharmacists, parents and children to understand opiate addiction and overdose prevention. Currently, I am working with Northeastern University developing continuing education programs based on NABP’s AWARxE program and Ohio State’s GenerationRX program.

These are just a few areas of pharmacy I have recently concentrated my professional career. We all share common hurdles affecting pharmacy. Whether these hurdles are legislative, social epidemics or other issues are affecting pharmacy on the state or national level, NABP’s Executive Committee provides support to the Boards of Pharmacy to implement policies, and provide programs and activities to address these hurdles to keep the public health safe. I am honored to be nominated for the Open Member Position on the NABP Executive Committee representing District 1. I would appreciate Louisiana’s vote at the NABP Annual Meeting.
Please feel free to share this email with the members and contact me with any questions. I hope to be able to meet you and the board members in San Diego in May.

Respectfully,

Tim

Timothy D. Fensky, R.Ph., FACA
Chief Pharmacy Operations Officer
Sullivan's Pharmacy and Medical Supply, Inc
Sullivan's Health Care, Inc
Telephone: 617-363-1726
March 6, 2016

Dear Colleagues:

At the 2015 NABP/AACP Districts 1 and 2 meeting, I was unanimously elected as the nominee to run for the Open Member Position on the NABP Executive Committee (EC) representing District 2. There are an increasing number of critical issues facing NABP and I believe I have the background and experience to help us confront these challenges. I would very much appreciate your state’s vote at the 2016 NABP Annual Meeting.

I have had the pleasure of serving District 2 as its Secretary/Treasurer since 2013. Additionally, I have served on numerous NABP committees since 2012. Most recently I participated on behalf of NABP in the 2015 ACPE CE Stakeholders Conference Invitational and was appointed to the 2015-2016 Implementation of VPP Task Force. I have ten years of leadership experience at the Virginia Board of Pharmacy; we were pleased to be the recipient of the 2014-2015 NABP Fred T. Mahaffey award. I have a strong understanding of the laws and regulations affecting the practice of pharmacy and would be very comfortable engaging in discussions on behalf of District 2.

Having worked directly with the board to improve state oversight of compounding, I see value in states having access to a more uniform inspection process across the states and I have enjoyed working closely with NABP during the development of the VPP process. I have also worked closely on the issue of prescription drug abuse, serving most recently as co-chairman of the Storage and Disposal Workgroup within the Virginia Governor’s Task Force on Prescription Drug and Heroin Abuse, as a direct participant in the legislative process to increase access to naloxone in Virginia, and as a panelist during the Appalachian Opioid Summit convened by the Virginia Secretary of Health and Human Resources.

If elected I will do my best to represent all states within District 2, working collaboratively with other district representatives and the executive committee officers, to assist NABP in continuing to ensure patient safety through the provision of quality programs and invaluable support to the state boards of pharmacy. Please feel free to contact me at (804) 367-4578 or caroline.juran@dhp.virginia.gov should you have any questions. I look forward to seeing you in San Diego!

Respectfully,

Caroline D. Juran, RPh
Executive Director
Virginia Board of Pharmacy
April 12, 2016

Dear Colleagues,

In a little over a month I will be asking for your support as a nominee for the Open Member Position on the NABP Executive Committee (EC) representing District 5.

I have served on the EC for the past three years representing District 5 and would like your continued support for another term of three years. I feel the knowledge I have gained from serving on the EC is a valuable asset that I bring to the table and allows me to participate and oversee the broader issue of NABP as an international association.

Having been a retail pharmacist for the past forty-five years and a member of the North Dakota State Board of Pharmacy for seventeen years I feel I have the “down in the trenches” experience to carry out the mission of NABP of protecting the public.

I know the last thing you want to hear is another advertisement asking you to “vote for me”... Well I’m asking for your support...no money, just your support.

Continuity of leadership is important to NABP’s ongoing success. The outreach to other groups to establish interprofessional relations and collaboration worked well and should be maintained. It is even more critical for NABP to continue its position as the lead organization in discussions with the Drug Enforcement Administration (DEA) and Food and Drug Administration (FDA) on matters of prescription drug abuse, compounding, and drug supply integrity.

Thank you for your time and feel free to contact me at 701-567-3847 or gwdewhirst@gmail.com.

Respectfully,

Gary W Dewhirst

Gary W Dewhirst, R.Ph., D.Ph.
Senior Member
North Dakota State Board of Pharmacy
March 11, 2016

Mr. Malcolm J. Broussard
Executive Director
3388 Brentwood Dr
Baton Rouge, LA 70809-1700

Re: Election to NABP Executive Committee from District V

Dear Mr. Broussard,

As one of two nominees from the 2015 NABP/ACCP District 5 meeting, I am seeking your Board’s support for election to the NABP Executive Committee representing District 5 at our upcoming meeting this May in San Diego. I am a public member on the Minnesota Board of Pharmacy and serving my third term as President.

During my tenure on the Minnesota Board, I am proud to have had a role in a number of Board initiatives, including sponsoring and helping enact legislation allowing pharmacists to provide immunization to children, expanding the Board’s authority to address the synthetic drug crisis, expanding the scope of the state’s Prescription Monitoring Program, and implementing at the state level provisions of Title I of DQSA.

As detailed in my enclosed resume, during my time on the Minnesota Board, I have been active in NABP affairs, including serving on three NABP Task Forces. I have extensive experience serving on other professional boards, including Minnesota’s Nursing, Psychology and Lawyer’s Boards. I am a United States Army veteran.

It has been eleven years since a public member was last elected to NABP’s Executive Committee. Given the Supreme Court’s concern in the recent North Carolina Dental Board case regarding the role of active market participants in the affairs of health licensing boards and the increasingly complex legal environment in which pharmacy boards must function, I believe my position as a public member and lawyer will provide a valuable and unique perspective on the Executive Committee as NABP faces the challenges and opportunities of assisting state boards of pharmacy in their mission of protecting public health.

Please share this letter with your Board, in particular with your Board’s voting delegate at our meeting in San Diego. If you or your Board have any questions about my candidacy, please call me at 612 867 6869 or contact me at swilliams@hensonefron.com. Thank you.

Sincerely,

Stuart T. Williams

STW/gha
Enclosure
STUART T. WILLIAMS

Attorney with the Minneapolis Law Firm of Henson & Efron, P.A.

Legal Background and Experience

Stuart T. Williams is an attorney with the Minneapolis law firm of Henson & Efron, P.A. He represents a broad cross section of individuals and businesses involved in commercial and business disputes in federal and state courts. His representation includes both plaintiffs and defendants in business, environmental and toxic tort matters, as well as in professional disciplinary proceedings.

Professional/Academic Honors

• *AV® Preeminent peer review rated by Martindale-Hubbell
• University of North Carolina Law Review
• Selected as a Minnesota Super Lawyer eleven times (top 5% of Minnesota lawyers as voted by peers), including 2011, 2012, 2013, 2014 and 2015

Bar Admissions

• Minnesota
• United States District Court for the District of Minnesota
• United States Court of Appeals for the Seventh Circuit
• United States Court of Appeals for the Eighth Circuit
• United States Supreme Court

Education

• J.D. with honors, University of North Carolina at Chapel Hill
• B.A., University of North Carolina at Chapel Hill

Board Service

• Minnesota Board of Pharmacy, 2011-present
  • President, 2014, 2015, 2016
  • Vice-President, 2013
• Board representative to Minnesota’s Health Professional Services Program which provides monitoring services for all licensed health professionals with substance use disorders, 2013-present

National Association of Boards of Pharmacy 2011-present
• Attended and participated in NABP’s annual meetings and District V meetings for the last five years. Participated in NABP’s 2014 Interactive Member Forum; and served on NABP’s 2015 Task Force on Sponsorship of NABP District and Annual Meetings, NABP’s 2014 Task Force to Examine Strategies for Preventing and Reacting to Pharmacy Robberies and Thefts, and on NABP’s 2013 Task Force on the Regulation of Pharmacy Benefit Managers.

• Minnesota Board of Nursing, 2010-2014
  • Vice President, 2012, 2013, 2014

• Minnesota Board of Psychology, 2014

• Minnesota Drug Formulary Committee, 2014-present

• Minnesota Supreme Court Client Security Board, 2014-present

• Minnesota Lawyers Professional Responsibility Board, 2007-2012
  • Chair, Opinion Committee, 2008-2012

• Fourth Judicial District Ethics Committee, 1999-2006
  • Vice-Chair, 2005-2006

• Fire Civil Service Commission, St Louis Park, Minnesota, 2015-present
  • President 2015

Professional Memberships

• American Society for Pharmacy Law
• American Bar Association, Center for Professional Responsibility
• Association of Professional Responsibility Lawyers
• American Bar Association, Sections on Environment, Energy, Resources and Litigation, and Health Law
• Minnesota State Bar Association, Section on Environmental, Natural Resources, Energy Law, and Health Law
• Hennepin County Bar Association, Section on Environmental Law

Military Service

• United States Army, Combat Engineer
Report of the Task Force on Sponsorship of NABP District and Annual Meetings

Members Present:
Larry Mokhiber (NY), chair; Curtis Black (District 4 Secretary/Treasurer); Rich Palombo (NJ); Stuart Williams (MN).

Others Present:
Jeanne Waggener, Executive Committee liaison; Carmen Catizone; Larry Strass, Eileen Lewalski; Dana Oberman, NABP staff.

Introduction:
The Task Force on Sponsorship of NABP District and Annual Meetings met on October 21, 2015, at NABP Headquarters. This task force was established in response to Resolution 111-12-15, Ensuring Public Confidence in NABP and Its Member Pharmacy Boards, which was not approved by the NABP membership at the Association’s 111th Annual Meeting in May 2015.

Review of the Task Force Charge:
Task force members reviewed their charge and accepted it as follows:

1. Review present practices and policies for accepting sponsorships and grants for NABP District and Annual Meetings.
2. Recommend alternatives on whether to further restrict or replace such sponsorships and grants with other means of support that will maintain the high quality including objective and unbiased presentations and activities at the meetings.

The task force recommends that NABP revise its recognition of Annual Meeting sponsorships in order to address any perceived bias or potential conflicts of interest in regard to meeting sponsors.

Background:
The task force examined and discussed the funding NABP receives in order to support programming at its Annual Meeting. The task force reviewed the following information:

- Resolution 111-12-15, Ensuring Public Confidence in NABP and Its Member Pharmacy Boards
- Accreditation Council for Pharmacy Education (ACPE) Standards for Commercial Support
- Example of non-commercialism letter of agreement
- Sponsorship for district meetings correspondence
- Federation of State Medical Boards and National Council of State Boards of Nursing correspondence regarding sponsorships
- NABP Annual Meeting financial data
- Federal Trade Commission Staff Guidance on Active Supervision of State Regulatory Boards Controlled by Market Participants

Task force members discussed the above materials and while they agreed that there have been no improprieties involved and appropriate safeguards are in place for the acceptance and use of sponsorship funding provided to NABP, however the situation remains that entities regulated by the state boards of pharmacy were providing funding, and as such could be creating an unwanted and unwarranted perception requiring further consideration. The task force discussed NABP enacting a policy prohibiting such funding and/or establishing additional means for addressing any perceived bias or potential conflicts of interest and determined changes should be implemented.

**Recommendation 2: NABP Should Continue to Allow Sponsorship of CPE Sessions at the Annual Meeting.**

The task force recommends that NABP continue to allow sponsorship of continuing pharmacy education (CPE) sessions at the Annual Meeting because of the oversight and safeguards afforded through the ACPE standards as an ACPE-accredited provider of CPE.

**Background:**

The task force recognized that programming and support for those components of the Annual Meeting designed to provide CPE and assist members of state boards of pharmacy in their roles as regulators must continue to follow the standards and safeguards required by ACPE, specifically those listed in Standard 5: Standards for Commercial Support.¹ Members stressed that adherence to the standards ensured that no actual or perceived bias could exist and therefore, NABP could continue to accept sponsorship funds for CPE provided at the Annual Meeting.

**Recommendation 3: NABP Should Examine and Enact Policy Regarding How Non-CPE Sponsors Are Currently Recognized at the Annual Meeting.**

The task force recommends that NABP examine and enact policy regarding how non-CPE sponsors are currently recognized and, in collaboration with sponsors, determine alternate means to recognize sponsorship that does not convey any perceived bias or potential conflicts of interest.

**Background:**

The task force discussed NABP enacting a policy not to accept such sponsor funding or establishing additional means for addressing the perception of bias or potential conflicts of interest. The task force determined that separate and distinct sponsorship for other activities at the Annual Meeting that provide opportunities for board members to exchange ideas and share

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best practices and may cover such items as food, lodging, or travel should be noted separately and the conditions for sponsorship, currently in place, should be noted and fully explained in the programming material for the Annual Meeting. Members further discussed this issue and agreed that the NABP Executive Committee should examine the various ways that sponsors are currently recognized and, working with sponsors, determine alternate means of recognition that do not convey the perception addressed by the task force and could include such items as:

- Listing the sponsorships collectively in the program materials and not following each program notation so as to disconnect sponsorship from specific activities.
- Noting sponsorships during the Report of the Treasurer rather than the Report of the President.
- Refraining from identifying individual sponsors before and/or after each sponsored session.
- Eliminating sponsor names from any Annual Meeting placards or signage.

**Recommendation 4: NABP Should Work With the Districts to Develop and Implement Consistent Requirements and Monitoring Processes for Receiving and Utilizing Sponsorships Parallel to NABP.**

The task force recommends that NABP work with the districts in order to develop and implement consistent requirements and monitoring processes for receiving and utilizing sponsorships that parallel those implemented by NABP.

**Background:**

Task force members also discussed sponsorship at the district meetings and the need to protect against the same perception of bias and potential conflicts of interest that exist at the national level as for the Annual Meeting. It was concluded that while NABP could still provide quality programming for the Annual Meeting without accepting sponsorships, the districts would suffer if all sponsorship was eliminated as they rely on sponsor support to hold their meetings. Members decided that the policy ultimately implemented for NABP and the Annual Meeting could be used in the future as a model guide for the districts to consider.
Report of the Task Force on Pharmacist Prescriptive Authority

NOTE: The NABP Executive Committee accepted the report and appreciated the research and discussion of the Task Force. However, the Executive Committee concluded that the recommendations do not adequately address the Task Force charge regarding pharmacist prescriptive authority. In response, the Executive Committee will engage in additional research to develop specific recommendations for states to establish and recognize pharmacist prescriptive authority.

Members Present:
Dennis Wiesner (TX), chair; Kerstin Arnold (TX); Tom Bender (NJ); Tim Fensky (MA); Cathy Hanna (KY); Virginia “Giny” Herold (CA); Leo Lariviere (RI); Cathy Lew (OR); Mike Podgurski (PA); Joyce Tipton (TX); Cynthia Warriner (VA).

Others Present:
James DeVita, Executive Committee liaison; Krystalyn Weaver (NASPA); Robert Braylock, PharmD/MBA candidate (University of Findlay College of Pharmacy), guests; Carmen Catizone; Eileen Lewalski; Maureen Schanck; Angie Rutkowski, NABP staff.

Introduction:
The Task Force on Pharmacist Prescriptive Authority met September 1-2, 2015, at NABP Headquarters. This task force was established in response to Resolution 111-4-15, Task Force on Pharmacist Prescriptive Authority, which was approved by the NABP membership at the Association’s 111th Annual Meeting in May 2015.

Review of the Task Force Charge:
Task force members reviewed their charge and accepted it as follows:

1. Review existing state laws and regulations addressing pharmacists’ prescriptive authority and relevant NABP Model Act language.
2. Recommend revisions, if necessary, to the NABP Model State Pharmacy Act and Model Rules of the National Association of Boards of Pharmacy (Model Act) addressing this issue.
3. Propose key messages that should be conveyed to boards of pharmacy, key stakeholders, and the public about the patient care benefits of granting pharmacists limited prescriptive authority.

The task force recommends that NABP support pharmacists having limited ability to initiate, modify, and terminate drug therapy under certain circumstances including, but not limited to collaborative practice agreements and state protocols.

**Background:**
The task force members discussed how the health care delivery landscape is constantly changing and the fact that we are entering a time when there is an emphasis on expanding accessible, affordable, and quality health care. Members agreed that health care professionals should be encouraged to practice at the highest level possible for their profession as long as proper safeguards are in place; this would include pharmacists who are trained and competent in drug therapy and who are vastly underutilized in most health care delivery systems. Members pointed out that pharmacists, who are the most accessible health care team member, may be the key to reaching patients with health care services that they may not otherwise receive or have difficulty accessing.

The task force discussed how some states like California and Oregon have implemented new laws and updated existing laws and rules to allow for pharmacists to initiate, modify, and terminate drug therapy in limited circumstances, while other states have expanded their collaborative practice guidelines and statewide protocols to allow for pharmacists to be more actively involved in managing drug therapy. Members agreed that, with the projected demand on the current health care delivery model, the need and opportunity for pharmacists’ involvement in health care delivery has never been greater.

The task force members were resolute in their belief that today’s pharmacists, with more clinical opportunities and training, are needed to provide more for patients while continuing to dispense medication. This is grounded on the knowledge that pharmacists are now impacting more lives and reaching more individuals through such means as community pharmacist immunizations, antimicrobial stewardships, diabetes clinics, and warfarin clinics than would have ever been possible before pharmacists entered the clinical arena. Pharmacists working in the Indian Health Services and the Veterans Health Administration have demonstrated positive impact on patient outcomes for decades and are a valued member of the health care team. These benefits include “improved patient access to physicians, improved continuity of care and more comprehensive medication management,” to name a few.¹

**Recommendation 2: NABP Should Amend the Model Act.**
The task force recommends that NABP amend the Model Act. The amendments recommended by the task force are denoted by underlines and strikethroughs.

**National Association of Boards of Pharmacy Model State Pharmacy Act**

Article I
Title, Purpose, and Definitions

Section 104. Practice of Pharmacy.

The “Practice of Pharmacy” means the interpretation, evaluation, and implementation of Medical Orders; the accepting, processing, or Dispensing of Prescription Drug Orders; participation in Drug and Device selection; Drug Administration; Drug Utilization Review (DUR); the Practice of Telepharmacy within and across state lines; Drug or Drug-related research; the provision of Patient Counseling; the provision of those acts or services necessary to provide Pharmacist Care in all areas of patient care, including Primary Care, Medication Therapy Management, Collaborative Pharmacy Practice, the ordering, conducting, and interpretation of appropriate tests, and the recommendation and Administration of immunizations; and other approved patient care services such as the initiation of Drug therapy; and the responsibility for Compounding and Labeling of Drugs and Devices (except Labeling by a Manufacturer, Repackager, or Distributor of Non-Prescription Drugs and commercially packaged Legend Drugs and Devices), proper and safe storage of Drugs and Devices, and maintenance of required records. The practice of pharmacy also includes continually optimizing patient safety and quality of services through effective use of emerging technologies and competency-based training.

(See comment list.)

Comments

Section 104. Comment.

The definition of the “Practice of Pharmacy” is one of the most important, and perhaps one of the most discussed, clauses in the NABP Model Act. The definition is purposely expressed in broad terms to provide substantial latitude to the Board of Pharmacy in the adoption of implementing rules. Additionally, the definition limits certain activities to performance by Pharmacists only, while allowing qualified personnel to assist Pharmacists in practice. That distinction is noted by listing activities that must be performed by the Pharmacist, such as the interpretation, evaluation, and implementation of Medical Orders; theDispensing of Prescription Drug Orders; Drug and Device selection; Drug Administration; Drug Utilization Review (DUR); the Practice of Telepharmacy within and across state lines; Drug or Drug-related research; Patient Counseling; Pharmacist Care; and other tasks that the Pharmacist has responsibility for, such as Compounding and Labeling of Drugs and Devices; the proper and safe storage of Drugs and Devices, and maintenance of proper records. The deliberate distinction between the terms “must perform” and “is responsible for” intends to allow delegation of tasks to Certified Pharmacy Technicians or Pharmacy Technicians.

Pharmacy is a dynamic profession and a broad definition of the practice will permit the Board to make necessary changes from time to time to meet the changing practice. Such changes may be affected by new or amended rules, which would be promulgated pursuant to the requirements of the State Administrative Procedures Act, affording all interested parties an opportunity to review and comment on any proposed rules.
NABP recognizes that protection of the public health should extend across state borders. Accordingly, the NABP Model Act incorporates the Practice of Telepharmacy Across State Lines within the scope of the “Practice of Pharmacy.”

In the interest of public health and patient access to timely, efficient, and quality care, it is warranted to ensure that the definition of the “Practice of Pharmacy” includes pharmacists with the legislative and regulatory authority to initiate medication therapy based upon the following specific parameters. The development of the parameters should include all stakeholders needed to appropriately define and confine the authority within the pharmacist’s education and expertise. (Examples where a pharmacist could potentially initiate medication therapy include public health and preventative medications such as, but not limited to, naloxone, hormonal contraceptives, and travel medications.)

The following factors should be considered in the development of parameters:

1. No diagnosis required or is easily assessed
2. Formulary or protocol (such as regional, Board, or State-established)
3. Communications and feedback is required between pharmacist, patient, and primary care provider where one exists or referral by pharmacist to primary care provider and/or appropriate practitioner, if necessary.

Section 105. Definitions.

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(u) “Collaborative Pharmacy Practice” is that Practice of Pharmacy whereby one or more Pharmacists have jointly agreed, on a voluntary basis, to work in conjunction and collaboration with one or more Practitioners under protocol and in collaboration with Practitioner(s) to provide patient care services to achieve optimal medication use and desired patient outcomes.

(v) “Collaborative Pharmacy Practice Agreement” is a written and signed agreement between one or more Pharmacists and one or more Practitioners that provides for Collaborative Pharmacy Practice as defined by law and the Rules of the Board.

…

(b4) “Medical Order” means a lawful order of a Practitioner that may or may not include a Prescription Drug Order.

…

(w4) “Pharmacist’s Scope of Practice Pursuant to the Collaborative Pharmacy Practice Agreement” means those duties and limitations of duties placed upon one or more Pharmacists by the collaborating Practitioner or Practitioners, the Board, and applicable law, and includes the limitations implied by the scope of practice of the collaborating Practitioner or Practitioners.

…

(f5) “Practitioner” means an individual currently licensed, registered, or otherwise authorized by the appropriate jurisdiction to prescribe and Administer Drugs in the course of professional practice.
“Prescription Drug Order” means a lawful order from a Practitioner for a Drug or Device for a specific patient, including orders derived from Collaborative Pharmacy Practice, where a valid Patient-Practitioner relationship exists, that is communicated to a Pharmacist in a licensed Pharmacy.

Model Rules for the Practice of Pharmacy

Section 5. Pharmacist Care

(d) Collaborative Pharmacy Practice

(1) Collaborative Pharmacy Practice Agreement

A Pharmacist planning to engage in Collaborative Pharmacy Practice shall have on file at his or her place of practice the written Collaborative Pharmacy Practice Agreement. The initial existence and subsequent termination of any such agreement and any additional information the Board may require concerning the Collaborative Pharmacy Practice Agreement, including the agreement itself, shall be made available to the Board for review upon request. The Agreement may allow the Pharmacist, within the Pharmacist’s Scope of Practice Pursuant to the Collaborative Pharmacy Practice Agreement, to conduct activities approved by the Practitioner, and as defined by law and by the Rules of the Board. The collaboration that the Practitioner agrees to conduct with the Pharmacist must be within the scope of the Practitioner’s current practice. Patients or caregivers shall be advised of such agreement.

(2) Contents

The Collaborative Pharmacy Practice Agreement shall include:

(i) identification of the Practitioner(s) and Pharmacist(s) who are parties to the Agreement;

(ii) the types of decisions that the Pharmacist is allowed to make. may include:

(A) a detailed description of the types of diseases, Drugs, or Drug categories involved, and the activities allowed in each case;

(B) a detailed description of the methods, procedures, decision criteria, and plan the Pharmacist is to follow when conducting allowed activities; and

(C) a detailed description of the activities the Pharmacist is to follow, including documentation of decisions made and a plan or appropriate mechanism for communication, feedback, and reporting to the Practitioner concerning specific decisions made.

(iii) a process for generating any necessary medical orders, including prescription orders, required to initiate allowed activities.

(iv) a method for the Practitioner to monitor compliance with the Agreement and clinical outcomes and to intercede where necessary;
(iv) a description of the Continuous Quality Improvement Program used to evaluate effectiveness of patient care and ensure positive patient outcomes;
(vi) a provision that allows the Practitioner to override a Collaborative Practice decision made by the Pharmacist whenever he or she deems it necessary or appropriate;
(vii) a provision that allows either party to cancel the Agreement by written notification;
(viii) an effective date; and
(ix) signatures of all collaborating Pharmacists and Practitioners who are party to the agreement, as well as dates of signing; and
(x) a procedure for periodic review and renewal within a time frame that is clinically appropriate.

(3) Amendments to a Collaborative Pharmacy Practice Agreement must be documented, signed, and dated.

(34) Initiation of the Collaborative Pharmacy Practice Agreement

The Collaborative Pharmacy Practice Agreement must be coupled with a medical order from the Practitioner to initiate allowed activities for any particular patient.

(4) Documentation of Pharmacist activities

Documentation of allowed activities must be kept as part of the patient’s permanent record and be readily available to other health care professionals providing care to that patient and who are authorized to received it. Documentation of allowed activities shall be considered Protected Health Information.

(5) Review

At a minimum, the written agreement shall be reviewed and renewed and, if necessary, revised every year.

Background:

Krystalyn Weaver from National Alliance of State Pharmacy Associations (NASPA) presented to the task force members trends in collaborative practice authority and recommendations from NASPA’s Collaborative Practice Workgroup, which included NABP observation. Included in the discussion was the fact that state collaborative practice statute and regulations are highly variable between states. Krystalyn also explained that there is variability in how related terms such as protocol are defined. The NASPA workgroup recommended that the framework for collaborative practice agreements should consider the pharmacist’s education and training while keeping patient safety and best interest paramount.

The task force members concluded that NABP should encourage state boards of pharmacy to review current requirements for collaborative practice agreements and revise requirements to remove barriers that may have previously prevented the greater acceptance and wider adoption of collaborative practices between physicians and pharmacists. It was agreed that state collaborative practice laws and rules should be broad in scope to allow varying degrees of collaboration and should not interfere with the extent of collaboration between a pharmacist and other health care providers.
In regard to collaborative practice laws and rules, the task force members stressed that states should not impede, among other things, pharmacists from collaborating with multiple providers, the ability of a pharmacist to initiate drug therapy, the administration and interpretation of tests, the number of patients and disease states that can be treated per collaborative practice agreement, and the types of drugs that a pharmacist can initiate, discontinue or modify within a collaborative practice agreement. As has been demonstrated by pharmacists working in the Indian Health Service and other federal health care systems, the depth and scope of collaborative practice should be determined by the pharmacist and prescriber entering into a collaboration.

**Recommendation 3: NABP Should Support Key Messages Pertaining to Pharmacists’ Role in Providing Health Care**

The task force recommends that NABP support the following key messages pertaining to pharmacists’ role in providing health care:

1. Expand pharmacists’ role, consistent with their education and training, on health care teams to increase patient access to quality health care.
2. Pharmacists continue efforts to enter into collaborative agreements with practitioners to improve outcomes by increasing patient access to timely and efficient care.
3. States continue to implement and expand collaboratively developed initiatives to provide for limited pharmacists’ prescriptive authority through formularies and protocols.
4. Pharmacists gain provider status in support of efforts to improve access to pharmacist care.
5. Educate the public and other stakeholders on the expanding role of pharmacists in health care.

**Background:**

Members conveyed how pharmacists have long provided the public with advice on over-the-counter (OTC) products as part of their role as medication experts. With the implementation of robotics and technology to assist with the dispensing functions and the public demand for more access to primary care, the pharmacist is well positioned to provide increased patient-centered services and an expanded role in patients’ drug therapy. Being that the pharmacist is the most accessible health care provider and hospital emergency departments are often burdened with patients having a noncritical need for drug therapy, the task force recommends that boards of pharmacy and departments of health support pharmacists’ initiatives to provide timely drug therapy in circumstances such as preventative medicine where patient access to drug therapy is warranted yet not deemed critical. This is already the case in certain states and counties where regulations have been instituted to allow pharmacists to deliver travel medications, nicotine replacements, hormonal contraceptives, naloxone, Antibiotic therapy for the treatment of Lyme disease, and, if warranted, following a pharmacist administered swab test to detect influenza and streptococcal infections.

The task force agreed that states can assist timely access to drug therapy by approving statewide protocols or state approved formulary whereby a pharmacist can furnish certain drugs to a patient when the pharmacist demonstrates adequate training and or obtains the required certification. The task force also called on support from FDA and other stakeholders for implementation of a third class of drugs beyond OTC and prescription only medication that may offer patients access
to certain medications only after consultation with a pharmacist. Some examples could include methylprednisolone dose pack for poison ivy exposure or other topical agents for dermatitis. Members determined that this third class of drugs would be appropriate for conditions that are either self-diagnosed or easily diagnosed.

In order to facilitate employer support and pharmacists’ incentive to provide services beyond their historic role in drug delivery, the task force deemed it imperative that pharmacists gain provider status for reimbursement purposes. Provider status is the vehicle by which clinical pharmacy services will systematically be offered by pharmacists to patients on a consistent basis. Members stressed that by achieving provider status, establishing a payment system for clinical services offered by pharmacists should ensue.

With millions of individuals entering the health care system as a result of the Affordable Care Act, there is a need for increased access to care. Currently there is a lack of primary care physicians (PCPs), which requires the health care industry’s attention. According to a report published by the Association of American Medical Colleges, the projected shortage of PCPs by 2025 will range from 12,500 to 31,100.² With such a shortage, other members of the health care team, such as pharmacists, must help bridge the gap. While members of the pharmacy profession are aware of the potential role of pharmacists in health care delivery, further education must be provided to the general public and other stakeholders about the benefits of pharmacists’ interventions. Informing the public and stakeholders about these potential benefits will lead to an appreciation and utilization of the expertise of pharmacists to help advance health and wellness, improve outcomes, and increase patient safety.

Members Present:
Joel Thornbury (KY), chair; Allison Benz (TX); Reginald “Reggie” Dilliard (TN); Kamlesh “Kam” Gandhi (AZ); John Marraffa, Jr. (NY); Dennis McAllister (AZ); Lenora Newsome (AR); Phyllis Stine (TX); Ellen Vick (NC).

Others Present:
Hal Wand, Executive Committee liaison; Robert Braylock, PharmD/MBA Candidate (University of Findlay College of Pharmacy) guest; Carmen Catizone; Eileen Lewalski; Maureen Schanck; Angie Rutkowski, NABP staff.

Introduction:
The Task Force met on September 9-10, 2015, at the Westin O’Hare, in Rosemont IL. This task force was established in response to Resolution 111-6-15, Task Force on the Regulation of Pharmacist Care Services, which was approved by the NABP membership at the Association’s 111th Annual Meeting in May 2015.

Review of the Task Force Charge:
Task force members reviewed their charge and accepted it as follows:
1. Review existing state laws and regulations pertaining to the provision of pharmacist care outside of the traditional pharmacy setting.
2. Review, and if necessary, recommend revisions to the Model State Pharmacy Act and Model Rules of the National Association of Boards of Pharmacy (Model Act) to assist boards of pharmacy in the oversight and regulation of pharmacist care services outside of the traditional pharmacy setting.

Recommendation 1: NABP Should Amend the Model Act.
The task force recommends that NABP amend the Model Act. The amendments recommended by the task force are denoted by underlines and strikethroughs.

National Association of Boards of Pharmacy
Model State Pharmacy Act
Article I
Title, Purpose, and Definitions

Section 104. Practice of Pharmacy.
The “Practice of Pharmacy” means, but is not limited to, the interpretation, evaluation, Dispensing, and/or implementation of Medical Orders; the accepting, processing, or Dispensing of Prescription Drug Orders; participation in Drug and Device selection; Drug Administration; Drug Utilization Review (DUR); the Practice of Telepharmacy within and across state lines; Drug or Drug-related research; the provision of Patient Counseling; and the provision of those acts or services necessary to Pharmacist Care Services, in all areas of patient care, including Primary Care, Medication Therapy Management, Collaborative Pharmacy Practice, the ordering, conducting, and interpretation of appropriate tests, and the recommendation and Administration of immunizations; and the responsibility for Compounding and Labeling of Drugs and Devices (except Labeling by a Manufacturer, Repackager, or Distributor of Non-Prescription Drugs and commercially packaged Legend Drugs and Devices), proper and safe storage of Drugs and Devices, and maintenance of required records. The Practice of Pharmacy also includes continually optimizing patient safety and quality of services through effective use of emerging technologies and competency-based training.

(See comment list.)

Section 104. Comment.
The definition of the “Practice of Pharmacy” is one of the most important, and perhaps one of the most discussed, clauses in the NABP Model Act. The definition is purposely expressed in broad terms to provide substantial latitude to the Board of Pharmacy in the adoption of implementing rules. Additionally, the definition limits certain activities to performance by Pharmacists only, while allowing qualified personnel to assist Pharmacists in practice. That distinction is noted by listing activities that must be performed by the Pharmacist, such as the interpretation, evaluation, and implementation of Medical Orders; the Dispensing of Prescription Drug Orders; Drug and Device selection; Drug Administration; Drug Utilization Review (DUR); the Practice of Telepharmacy within and across state lines; Drug or Drug-related research; Patient Counseling; Pharmacist Care; and other tasks that the Pharmacist has responsibility for, such as Compounding and Labeling of Drugs and Devices; the proper and safe storage of Drugs and Devices, and maintenance of proper records. The deliberate distinction between the terms “must perform” and “is responsible for” intends to allow delegation of tasks to Certified Pharmacy Technicians or Pharmacy Technicians.

Pharmacy is a dynamic profession and a broad definition of the practice will permit the Board to make necessary changes from time to time to meet the changing practice. Such changes may be affected by new or amended rules, which would be promulgated pursuant to the requirements of the State Administrative Procedures Act, affording all interested parties an opportunity to review and comment on any proposed rules.

NABP recognizes that protection of the public health should extend across state borders. Accordingly, the NABP Model Act incorporates the Practice of Telepharmacy Across State Lines within the scope of the “Practice of Pharmacy.”
Section 105. Definitions.

(u4) “Pharmacist Care Services” is the provision by a Pharmacist of patient care activities within this state or into this state, as defined by the Rules of the Board, with or without the Dispensing of Drugs or Devices, intended to achieve outcomes related to the cure or prevention of a disease, elimination or reduction of a patient’s symptoms, or arresting or slowing of a disease process. ¹

(x4) “Pharmacy” means any place within this State where Drugs are Dispensed and Pharmacist Care is provided and any place outside of this State where Drugs are Dispensed and Pharmacist Care is provided to residents of this State.

(y4) “Pharmacy Benefits Manager” means a Person that Administers the Prescription Drug/Device portion of health insurance plans on behalf of plan sponsors, such as self-insured employers, insurance companies, and health maintenance organizations, and that engages in or directs the Practice of Pharmacy.

Section 105(x4) (and [y4]). Comment.

It is the performance of activities that encompass the Practice of Pharmacy that distinguishes Pharmacy Benefits Managers from Pharmacy Benefits Processors. The activities that may encompass the Practice of Pharmacy by Pharmacy Benefits Managers include, but are not limited to, the following:

• Disease state management
• Disease compliance management
• Drug adherence management
• Drug interaction management
• Drug utilization management
• Formulary management
• Generic alternative program management
• Generic incentive program management
• Medical and/or Drug data analysis
• Patient Drug Utilization Review (DUR) services

¹ Objectives of Pharmacist Care include cure of a disease, elimination or reduction of a patient’s symptomatology, arresting or slowing of a disease process, or prevention of a disease or symptomatology. Pharmacist Care should be provided by all Pharmacists to the extent of their abilities regardless of the practice setting.
• Prior authorization services
• Provider profiling and outcomes assessment
• Refill reminder program management
• Therapy guidelines management
• Stop therapy protocol management
• Wellness management
• Maintenance of confidential patient information
• Direction or design of the clinical programs for a Pharmacy or a group of Pharmacies

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(d5) “Practice of Telepharmacy” means the provision of Pharmacist Care by registered Pharmacies and Pharmacists located within US jurisdictions through the use of telecommunications or other technologies to patients or their agents at distances that are located within US jurisdictions.2

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(k5) “Primary Care” is the first level of contact of individuals, the family, and the community with the health care delivery system, bringing health care as close as possible to where people live and work, and constitutes the first element of a continuing health care process. (Areas of Primary Care where Pharmacists provide Pharmacist Care include, but are not limited to, the following: chronic disease management; smoking cessation; maternal and child health; immunizations; family planning; self-care consulting; Drug selection under protocol; treatment of common diseases and injuries; nutrition; and general health education and promotion.)

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**Section 301. Unlawful Practice.**

(a) Except as otherwise provided in this Act, it shall be unlawful for any individual, whether located in or outside this State, to engage in the Practice of Pharmacy in this State unless currently licensed to practice under any facet of the provisions of this Act.

(b) The provision of Pharmacist Care services to an individual in this State, through the use of telecommunications, the Internet, or other technologies, regardless of the location of the pharmacist, shall constitute the Practice of Pharmacy and shall be subject to regulation.3

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2 The “Practice of Telepharmacy” is deemed to occur within the jurisdiction in which the patient is located and the jurisdiction(s) in which the pharmacist and, if applicable, pharmacy are located; therefore, such practice will be subject to the Pharmacy practice regulations of all jurisdictions’ Boards of Pharmacy.

3 NABP recognizes that protection of the public health should extend across State borders. Accordingly, the NABP Model Act incorporates the Practice of Telepharmacy Across State Lines within the scope of the “Practice of Pharmacy” and requires an independently practicing pharmacist located outside this State to register to Practice Telepharmacy Across State Lines, rather than obtain full licensure for providing Pharmacist Care services from outside the State to patients within the State. Pharmacists located outside this State who are providing Pharmacist Care services from a Pharmacy or nonresident Pharmacy licensed in this State need not register with this State to Practice Telepharmacy Across State Lines.
(1) Licensed Pharmacies located outside this State that provide Pharmacist Care services to individuals in this State must be licensed within this State under Article V of this Act.

(2) Pharmacists located outside this State who are providing Pharmacist Care services outside of a licensed Pharmacy to individuals located in this State must register with this State to engage in the nonresident Practice of Pharmacy.

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**Model Rules for the Practice of Pharmacy**

**Section 5. Pharmacist Care Services**

(a) Prospective Drug Utilization Review (DUR)\(^4\)

A Pharmacist shall review the patient record and each Prescription Drug Order for:

1. known allergies;
2. rational therapy contraindications;
3. reasonable dose, duration of use, and route of Administration, considering age, gender, and other patient factors;
4. reasonable directions for use;
5. potential or actual adverse Drug reactions;
6. Drug-Drug interactions;
7. Drug-food interactions;
8. Drug-disease contraindications;
9. therapeutic duplication;
10. proper utilization (including over- or under-utilization), and optimum therapeutic outcomes; and
11. abuse/misuse.

Upon recognizing any of the above, the Pharmacist shall take appropriate steps to avoid or resolve the problem which shall, if necessary, include consultation with the Practitioner.

(b) Patient Counseling\(^5\)

1. Upon receipt of a Prescription Drug Order and following a review of the patient’s record, a Pharmacist shall personally initiate discussion of matters which will enhance or optimize Drug therapy with each patient or caregiver of such patient. Such discussion shall be in Person, whenever practicable, or by telephone and shall include appropriate elements of Patient Counseling. Such elements may include the following:
   i. the name and description of the Drug;
   ii. the dosage form, dose, route of Administration, and duration of Drug therapy;

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\(^4\) Pharmacists should be permitted to use computer software, if available, to accomplish this review.

\(^5\) The intent of this Section is to require that the Pharmacist personally initiate counseling for all new Prescriptions and to exercise his or her professional judgment for refills. Situations may arise, however, where the prescriber specifically indicates that a patient should not be counseled. In such circumstances, it is the responsibility of the Pharmacist to provide the best patient care through appropriate communication with the prescriber and to document the reason(s) for not providing counseling to the patient.
(iii) intended use of the Drug and expected action;
(iv) special directions and precautions for preparation, Administration, and use by the patient;
(v) common severe side or adverse effects or interactions and therapeutic contraindications that may be encountered, including their avoidance, and the action required if they occur;
(vi) techniques for self-monitoring Drug therapy;
(vii) proper storage and appropriate disposal method(s) of unwanted or unused medication;
(viii) prescription refill information;
(ix) action to be taken in the event of a missed dose; and
(x) Pharmacist comments relevant to the individual’s Drug therapy, including any other information peculiar to the specific patient or Drug.

(2) Alternative forms of patient information shall be used to supplement Patient Counseling when appropriate. Examples include written information leaflets, pictogram labels, video programs, etc.

(3) Patient Counseling, as described above and defined in this Act, shall not be required for inpatients of a hospital or institution where other licensed health care professionals are authorized to Administer the Drug(s).

(4) A Pharmacist shall not be required to counsel a patient or caregiver when the patient or caregiver refuses such consultation.

(c) Medication Adherence Monitoring Services and Intervention Programs

Medication Adherence Monitoring Services and Intervention Programs designed to promote improved medication use behaviors, such as compliance and adherence, appropriate monitoring and self-reporting, increased patient knowledge, and improved therapy options, shall comply with established Guidelines for the Appropriate Use and Disclosure of Protected Health Information in Medication Adherence Monitoring Services and Patient Intervention Programs. (See Appendix E for Guidelines for the Appropriate Use and Disclosure of Protected Health Information in Medication Adherence Monitoring Services and Patient Intervention Programs.)

(d) Collaborative Pharmacy Practice

(1) Collaborative Pharmacy Practice Agreement

A Pharmacist planning to engage in Collaborative Pharmacy Practice shall have on file at his or her place of practice the written Collaborative Pharmacy Practice Agreement. The initial existence and subsequent termination of any such agreement and any additional information the Board may require concerning the Collaborative Pharmacy Practice Agreement, including the agreement itself, shall be made available to the Board for review upon request. The Agreement may allow the Pharmacist, within the Pharmacist’s Scope of Practice Pursuant to the Collaborative Pharmacy Practice Agreement, to conduct activities approved by the Practitioner, and as defined by law and by the Rules of the Board. The collaboration that the Practitioner agrees to conduct with the Pharmacist must be within the scope of the Practitioner’s current practice. Patients or caregivers shall be advised of such agreement.

(2) Contents
The Collaborative Pharmacy Practice Agreement shall include:
(i) identification of the Practitioner(s) and Pharmacist(s) who are parties to the Agreement;
(ii) the types of decisions that the Pharmacist is allowed to make may include:
   (A) a detailed description of the types of diseases, Drugs, or Drug categories involved, and the activities allowed in each case;
   (B) a detailed description of the methods, procedures, decision criteria, and plan the Pharmacist is to follow when conducting allowed activities; and
   (C) a detailed description of the activities the Pharmacist is to follow, including documentation of decisions made and a plan or appropriate mechanism for communication, feedback, and reporting to the Practitioner concerning specific decisions made. In addition to the Agreement, documentation shall occur on the prescription record, patient profile, a separate logbook, or in some other appropriate system.
(iii) a method for the Practitioner to monitor compliance with the Agreement and clinical outcomes and to intercede where necessary;
(iv) a description of the Continuous Quality Improvement Program used to evaluate effectiveness of patient care and ensure positive patient outcomes;
(v) a provision that allows the Practitioner to override a Collaborative Practice decision made by the Pharmacist whenever he or she deems it necessary or appropriate;
(vi) a provision that allows either party to cancel the Agreement by written notification;
(vii) an effective date; and
(viii) signatures of all collaborating Pharmacists and Practitioners who are party to the agreement, as well as dates of signing.
Amendments to a Collaborative Pharmacy Practice Agreement must be documented, signed, and dated.

(3) Initiation of the Collaborative Pharmacy Practice Agreement
The Collaborative Pharmacy Practice Agreement must be coupled with a medical order from the Practitioner to initiate allowed activities for any particular patient.

(4) Documentation of Pharmacist activities
Documentation of allowed activities must be kept as part of the patient’s permanent record and be readily available to other health care professionals providing care to that patient and who are authorized to received it. Documentation of allowed activities shall be considered Protected Health Information.

(5) Review
At a minimum, the written agreement shall be reviewed and renewed and, if necessary, revised every year.

...
A Pharmacist providing Pharmacist Care services outside the premises of a licensed Pharmacy shall maintain the records or other patient-specific information used in such activities in a readily retrievable form in a system that is secured and managed by the pharmacy with whom the pharmacist is providing such services or, if acting independent of a pharmacy, a secure system maintained by the pharmacist. Such records or information shall:

(a) In order for a Pharmacist to provide Pharmacist Care Services outside the premises of a licensed Pharmacy an applicant, shall:

(1) Register/license with the Board(s);
(2) Have appropriate security and protections in place, similar to or equivalent to those in place for a licensed pharmacy, shall maintain the records or other patient-specific information in such activities shall be maintained in a readily retrievable form; and in a system that is secured and managed by the pharmacy with whom the pharmacist is providing such services or, if acting independent of a pharmacy, a secure system maintained by the pharmacist. Such records or information shall:
(3) Follow the patient care process approved by the Board.

(1) provide accountability and an audit trail;
(2) be provided to the Board upon request;
(3) be preserved for a period of at least five years from the date relied upon or consulted for the purposes of performing any such function; and
(4) secure from unauthorized access and use.

Background:

As health care evolves and pharmacists move beyond the community pharmacy as the epicenter of pharmacist care, the task force agreed that state boards of pharmacy should regulate the expanded function of and services provided by pharmacists. The task force further agreed that the practice of pharmacy can occur outside of the pharmacy and in settings that would not have been previously recognized as an acceptable setting for practice. These settings could include, but are not limited to a person’s residence or mobile office. Members also discussed how current regulations do not adequately define these activities or provide the necessary regulatory framework to protect the public from harm due to incompetence or non-pharmacist personnel errors in such a way as to not create barriers to such practices. Specific examples mentioned were pharmacists that work in team-based care settings and those involved in medication therapy management outside of a traditional pharmacy. As automation is streamlining the prescription filling process, the pharmacist may routinely step outside the pharmacy by becoming more involved in over-the-counter recommendations and providing diagnostic laboratory testing and may also include limited prescriptive authority in collaboration with physicians and other providers. This may occur particularly when the pharmacy is located near a clinic where the pharmacist is the patient’s next point of contact. Members discussed how the boards must grapple with maintaining patient protection and pharmacist accountability with the evolving

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6 It is anticipated that Boards use the Pharmacists’ Patient Care Process approved in May 2014 by the Joint Commission of Pharmacy Practitioners.
responsibility assumed by pharmacists for cognitive services provided beyond what is associated with the dispensing of prescription drugs.

The task force members recommended amending the *Model Act* by streamlining the definition of the “Practice of Pharmacy” by making it more general and relevant to the evolving practice with room to grow. Tennessee’s definition of the practice of pharmacy was cited as an example of an encompassing definition. It was further determined that any specific practice changes or additions can be made to the comment section of the definition rather than cluttering the definition itself with specific examples. The task force further determined that the *Model Act* should be amended to change the definition of “Pharmacist Care” to “Pharmacist Care Services” to make pharmacist clinical services more tangible and to include more than the dispensing of prescription drugs. Along those lines, the task force also opined that the state boards of pharmacy must set standards for licensure of medication therapy management that occurs outside of a pharmacy and recognize that the practice of pharmacy is occurring where the medication therapy management and patient counseling is occurring rather than a pharmacy site-specific location. Furthermore, as pharmacists are beginning to provide more primary care services, the task force recommended that the boards mandate documentation of these services and encounters to increase the accountability of pharmacists.

The task force members also discussed that the pharmacy community should continue to bring attention to pharmacists as medication experts and not just nurses and physicians as being the primary providers of medication therapy management as is portrayed in the media. With the expansion of pharmacist care services, there will be added focus to patient-centered care rather than product-oriented services as is typically associated with the pharmacist role. The task force stressed the prerequisite for achieving provider status in the hope that a payment system for clinical services offered by pharmacists could ensue. This is important as many patients rely solely on their insurance to cover health care costs. With patients receiving coverage for clinical pharmacy services, they will be able to routinely utilize pharmacists care services to better manage their health.

**Recommendation 2: NABP Should Encourage State Boards of Pharmacy to Expand the Scope of Activities That Pharmacists May Delegate to Certified Pharmacy Technicians.**

The task force recommends that NABP encourage state boards of pharmacy to expand the scope of activities that pharmacists may delegate to certified pharmacy technicians in order to increase the amount of time for pharmacists to engage in pharmacist care services. This expanded delegation, provided that the certified pharmacy technician is qualified, should be determined by the pharmacist and/or permit holder.

**Background**

In order to implement the guidelines of the Joint Commission of Pharmacy Practitioners Pharmacists’ Patient Care Process, the task force members concluded that pharmacists must be given more time and the opportunity to meaningfully communicate with patients and members of their health care team. Therefore, task force members determined that pharmacists should be allowed to delegate pharmacy functions to certified pharmacy technicians if the pharmacist is
comfortable with the certified pharmacy technician’s competence and experience. The board of pharmacy can still hold the pharmacist and permit holder ultimately responsible for overall pharmacy operations if pharmacy personnel are delegated functions that they are ill equipped to handle. Task force members reiterated that boards should continue to set practice standards and education requirements for pharmacy technicians for added safeguards.

Although technician certification does not ensure full competence for all pharmacy technician functions such as sterile compounding, it does provide a minimum standard. The Arizona State Board of Pharmacy has taken note that there have been fewer cases of pharmacy technician calculation errors since requiring pharmacy technician certification. Other members noted that pharmacist-to-technician ratios are less relevant when the pharmacy technicians are certified. The discussion also focused on the differences between states when it comes to background checks and pharmacy technician licensure requirements. Because of the ongoing problem of drug diversion by pharmacy technicians, the members discussed how pharmacy technician licensure should be made universal among states to ensure traceability of diverters.

As pharmacists begin to engage in functions beyond drug dispensing, the task force members agreed that the state pharmacy boards should allow pharmacists to delegate more advanced functions such as the documentation associated with pharmacist care services, accepting new and refill prescriptions over the telephone, and tech-check-tech verification provided that the pharmacy technician is qualified as determined by the board. Currently, there are several states that have evolved to allow for an extended technician role provided additional education and training is obtained to ensure public protection.
Request for Approval of Proposed Policy
Re
After-Hours Access to Pharmacy

Ms. Sonya Boss, Pharmacist-in-Charge
on behalf of
LSU Veterinary Teaching Hospital Pharmacy in Baton Rouge, La.
April 1, 2016

Louisiana Board of Pharmacy:

This letter is in regard to a proposed plan to allow access for specific doctors to the Louisiana State University Veterinary Teaching Hospital Pharmacy during the after-hours period each day and on weekends/holidays.

While it is not feasible to staff the pharmacy 24 hours daily, all attempts have been made to provide controlled access to medications through daily cart fills and through the use of three dispensing robots (Omnicells) and one Med-Dispense unit placed throughout the VTH. A current purchasing contract will increase this number to nine Omnicell units by the end of 2016, which should further reduce the need for pharmacy access. Occasionally, emergent needs arise from patients admitted through the Louisiana State University VTH Emergency Department, which is a 24 hour service providing veterinary care for all species. While the vast majority of these drugs may be obtained from Omnicell, some drugs inevitably need to be obtained from the pharmacy. The access is limited to items necessary for patient care for patients of the Louisiana State University VTH and will not include controlled drugs or those being used for any research.

This proposal is modeled after a standard operating procedure (SOP) that is currently in place at the North Carolina State University College of Veterinary Medicine. In 2003, the North Carolina Board of Pharmacy approved this policy. It is attached here for your review and comparison to our proposal. We request that the Louisiana Board of Pharmacy consider allowing the same type of access that has been described in the attached documents.

Sincerely,

Al Desselle
Asst. Hospital Director
LSU Veterinary Teaching Hospital
Background: The Louisiana State University Veterinary Teaching Hospital Pharmacy is licensed by the Louisiana Board of Pharmacy (permit #1477) and must comply with all associated rules and regulations set forth by the Louisiana Board of Pharmacy. While it is not feasible to staff the pharmacy 24 hours daily, all attempts have been made to provide controlled access to medications through daily cart fills and through the use of 3 dispensing robots (Omnicells) and 1 Medidispense unit placed throughout the VTH. A current purchasing contract will increase this number to 9 by October 1, 2016. Occasionally, emergent needs arise from patients admitted through the Louisiana State University VTH Emergency Department which is a 24 hour service. While the vast majority of these drugs may be obtained from Omnicells, some drugs inevitably need to be obtained from the pharmacy. This access is limited to items necessary for patient care for patients of the Louisiana State University VTH not for any research with the exception of drugs to other veterinary practices on an emergent basis.

Policy:
- Only VTH House officer DVMs (rotating interns and residents on Emergency) and pharmacy personnel shall have access to the VTH pharmacy after hours. No faculty are granted access to the pharmacy after hours.
- This arrangement is rooted in an agreement with the Louisiana Board of Pharmacy to allow only a controlled group of individuals afterhours access.
- No other persons shall be granted access afterhours unless approved by the Director of Pharmacy.
- Persons accessing the pharmacy shall be trained appropriately in areas of drug handling and safety as well as documentation procedures upon entering pharmacy.
All attempts should be made to order needed drugs from the VTH Pharmacy during Pharmacy business hours: 8:00 AM – 5:00 PM M-F.

Items not ordered should be obtained from the VTH Omnicells dispensing machines if available and only accessed from Pharmacy if Omnicells are depleted or if drug not stocked in Omnicells

All activity in the pharmacy is motion-detector activated and digitally recorded and stored at the LSU police department. All badge access is logged and reported out to pharmacy on a daily basis.

Review of ID badges used to access the pharmacy are checked against completed All Purpose Request (APR) Forms and digitally recorded stored video images are reviewed to assure proper procedures and conduct in the pharmacy after hours.

Under no circumstances is a house officer on duty to give or lend their card to another person to access the pharmacy.

Under no circumstances shall non-emergency items be taken for personally owned pets after hours.

The owner of the access card used to enter the pharmacy is ultimately responsible for all activity that occurs in the pharmacy during that access period.

Any persons found in violation of any of the above policy will be subject to disciplinary action by the Louisiana State VTH Hospital Director and may lose pharmacy privileges.

House Officer Procedures upon entry:
1. House officer should complete an All Purpose Request (APR) for prescription order completing information in all fields: patient name, patient number, attending clinician, drug, dose, route, frequency, and quantity dispensed.
2. After completion of an All Purpose Request (APR) Form, drugs shall be collected and properly labeled for dispensing ensuring that each dosage unit is labeled with: drug name, strength, quantity, lot number and expiration date. All drugs shall be placed in a baggie or vial with the patient’s name and Cornerstone patient number, prescribing Doctor’s name and date prior to leaving the pharmacy.
3. Lights should remain on in the pharmacy at all times for security purposes.
4. The pharmacy door should never be manually dead bolted as this will prevent access to the pharmacy by other personnel.

Procedures for Pharmacy Personnel:
1. All Purpose Request (APR) Forms should be checked immediately upon start of pharmacy business day for:
   a. Accuracy of order
   b. Complete information necessary for billing
   c. Complete information necessary for prescriber accountability
2. After checking for accuracy and completeness, All Purpose Request (APR) Forms should be checked against the Daily Access card reader report. Any entries in the pharmacy without corresponding documentation should be investigated by:
   a. Reviewing the camera images at the card reader indicated time to determine who entered the pharmacy and observing to see what activities were conducted while in the pharmacy.
   b. Contacting the house officer whose badge was recorded on the card reader log and requesting that they come to pharmacy to complete documentation for afterhours activity.
   c. Notifying the appropriate House Officer mentor that afterhours policy was not followed.

3. All items removed from pharmacy after hours should be billed to the patient for whom they were obtained.

4. All afterhours paperwork (All Purpose Request (APR) Forms and Card Reader Access Log) should be filed in the daily afterhours binders and retained for 1 month.

5. After 1 month, all records should be moved to the afterhours archive and retained for 3 years.
Background: The NC State University Veterinary Teaching Hospital Pharmacy is licensed by the NC Board of Pharmacy (permit #4232) and must comply with all associated rules and regulations set forth by the NC Board of Pharmacy. While it is not feasible to staff the pharmacy 24 hours daily, all attempts have been made to provide controlled access to medications through daily cart fills and through the use of 8 dispensing robots (Omnincells) placed throughout the VTH. Occasionally, emergent needs arise from patients admitted through the NCSU VTH Emergency Department which is a 24 hour service. While the vast majority of these drugs may be obtained from Omnicells or the Emergency Ward Stock, some drugs inevitably need to be obtained from the pharmacy. The NC Board of Pharmacy has historically granted afterhours access to licensed DVMs of the VTH, but only to designated House Officers, and not faculty, students or veterinary technicians.

Policy:

- Only licensed VTH House officer DVMs (rotating interns and Resident on Emergency) and pharmacy personnel shall have access to the VTH pharmacy after hours. No faculty are granted access to the pharmacy after hours.
- This arrangement is rooted in an agreement with the North Carolina Board of Pharmacy to allow only a controlled group of licensed individuals afterhours access.
- This arrangement is also rooted in an agreement with the University Safety Committee to provide for increased safety of the pharmacy work area.
- No other persons shall be granted access afterhours unless approved by the Director of Pharmacy.
- Persons accessing the pharmacy shall be trained appropriately in areas of drug handling and safety as well as documentation procedures upon entering pharmacy.
All attempts should be made to order needed drugs from the VTH Pharmacy during Pharmacy business hours: 8:00 AM – 7:00pm M-F and 8:00am – 12:00 noon Sat

Items not ordered should be obtained from the VTH Omnicells dispensing machines if available and only accessed from Pharmacy if Omnicells are depleted or if drug not stocked in Omnicells

Drugs may be obtained only for inpatient use.

In rare emergencies, only 72hr emergency supplies of drugs may be dispensed for outpatients outside of Pharmacy business hours and must be dispensed only by licensed DVM house officers of the VTH. If emergency supplies are dispensed, a prescription should also be given to the client to be filled during VTH Pharmacy business hours or at the pharmacy of the client’s choice. A list of 24 hour pharmacies is located on the Omnicell machines.

All activity in the pharmacy is motion-detector activated and digitally recorded and stored. All badge access is logged and reported out to pharmacy on a daily basis.

Review of ID badges used to access the pharmacy are checked against completed After Hours Prescription Order Forms and digitally recorded stored video images are reviewed to assure proper procedures and conduct in the pharmacy after hours.

Under no circumstances is a house officer on duty to give or lend their card to another person to access the pharmacy.

Under no circumstances shall non-emergency items be taken for personally owned pets after hours.

The owner of the access card used to enter the pharmacy is ultimately responsible for all activity that occurs in the pharmacy during that access period.

Any persons found in violation of any of the above policy will be subject to disciplinary action by the Associate Dean of Hospital Services and may lose pharmacy privileges.

House Officer Procedures upon entry:

1. House officer should complete After Hours Prescription Order Forms (separate forms for large animals and small animals) noting information in all fields: patient name, patient number, attending clinician, drug, dose, route, frequency, quantity dispensed, and whether or not the drugs have been ordered in UVIS.

2. After completion of After Hours Prescription Order Forms, drugs shall be collected and properly labeled for dispensing ensuring that each dosage unit is labeled with: drug name, strength, quantity, lot number and expiration date. All drugs shall be placed in a baggie or vial with the patient’s name and UVIS patient number prior to leaving the pharmacy.

3. Lights should remain on in the pharmacy at all times for security purposes.
4. The pharmacy door should never be manually dead bolted as this will prevent access to the pharmacy by other personnel.

Procedures for Pharmacy Personnel:

1. After Hours Prescription Order Forms should be checked immediately upon start of pharmacy business day for:
   a. Accuracy of order
   b. Complete information necessary for billing
   c. Complete information necessary for prescriber accountability

2. After checking for accuracy and completeness, After Hours Prescription Order Forms should be checked against the SAT Daily Access card reader report. Any entries in the pharmacy without corresponding documentation should be investigated by:
   a. Reviewing the camera images at the SAT-indicated time to determine who entered the pharmacy and observing to see what activities were conducted while in the pharmacy.
   b. Contacting the house officer whose badge was recorded on the SAT log and requesting that they come to pharmacy to complete documentation for afterhours activity.
   c. Notifying the appropriate House Officer mentor that afterhours policy was not followed.

3. All items removed from pharmacy after hours should be billed to the patient for whom they were obtained.

4. All afterhours paperwork (After Hours Prescription Order Forms and SAT Access Log) should be filed in the daily afterhours binders and retained for 1 month.

5. After 1 month, all records should be moved to the afterhours archive and retained for 3 years.
Request for Guidance

re

CDS License for Third-Party Logistics (3PL) Providers
Agenda Item 12: CDS License for Third-Party Logistics (3PL) Providers

“Third-party logistics provider” means a person that provides or coordinates warehousing, facilitation of delivery, or other logistics services for a legend drug or legend device in interstate or intrastate commerce on behalf of a manufacturer, distributor, or dispenser of a legend drug or legend device but does not take ownership of the legend drug or legend device nor have responsibility to direct the sale or disposition of the legend drug or legend device.” [La. R.S. 37:3462(18)]

The federal Drug Quality & Security Act (DQSA), more specifically Section 205 – National standards for third-party logistics providers, prohibits any requirement for logistics providers to be licensed as distributors as long as they do not assume ownership of the product. The federal law does allow for the state regulation of logistics providers, but as an entity separate from distributors.

From the La. Controlled Substances Law (La. R.S. 40:973):
§973. Licensing requirements
A. Every person who manufactures, distributes, or dispenses any controlled dangerous substance within this state or who proposes to engage in the manufacture, distribution, or dispensing of any controlled dangerous substance within this state, shall obtain a license issued by the Board of Pharmacy in accordance with the rules and regulations promulgated by it.
B. The following persons shall not be required to obtain a license and may lawfully possess controlled dangerous substances under the provisions of this Part:
   (1) An agent, or an employee thereof, of any registered manufacturer, distributor, or dispenser of any controlled dangerous substance if such agent is acting in the usual course of his business or employment;
   (2) A common or contract carrier or warehouseman, or an employee thereof, whose possession of any controlled dangerous substance is in the usual course of his business or employment;
   (3) An ultimate user or person in possession of any controlled dangerous substance pursuant to a lawful order of a practitioner.
C. The Board of Pharmacy may, by regulation, waive the requirement for licensing of certain manufacturers, distributors, or dispensers if it finds it consistent with the public health and safety.
D. A separate license shall be required at each principal place of business or professional practice where the applicant manufactures, distributes, or dispenses controlled dangerous substances.
E. The Board of Pharmacy is authorized to inspect the establishment of a licensee or applicant for licensing in accordance with the rules and regulations promulgated by it.
F. – G. …
Announcements
May 4, 2016

Agenda Item 13: Announcements

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 13</td>
<td>Mail ballots for board member nomination election</td>
</tr>
<tr>
<td>May 14-17</td>
<td>NABP Annual Meeting – San Diego, CA</td>
</tr>
<tr>
<td>May 21-22</td>
<td>WHPA Conference on Regulation – Geneva, CH</td>
</tr>
<tr>
<td>May 25</td>
<td>Public Hearing</td>
</tr>
<tr>
<td>May 26-28</td>
<td>LSHP Annual Meeting – New Orleans, LA</td>
</tr>
<tr>
<td>May 30</td>
<td>Memorial Day – <em>Board office closed</em></td>
</tr>
<tr>
<td>June 8-9</td>
<td>Violations Committee Informal Conference</td>
</tr>
<tr>
<td>June 11-15</td>
<td>ASHP Summer Meeting – Baltimore, MD</td>
</tr>
<tr>
<td>June 17</td>
<td>Deadline for return of board member nominations</td>
</tr>
<tr>
<td>June 21</td>
<td>Ballot counting for nomination elections for Districts 1, 2, 4, 6, &amp; 7</td>
</tr>
<tr>
<td>June 30</td>
<td>CPT, EDK, and AMS credentials expire</td>
</tr>
<tr>
<td></td>
<td>End of Fiscal Year 2015-2016</td>
</tr>
<tr>
<td>July 4</td>
<td>Independence Day – <em>Board office closed</em></td>
</tr>
<tr>
<td>July 13</td>
<td>PMP Advisory Council Meeting</td>
</tr>
<tr>
<td>Aug. 9</td>
<td>Reinstatement, Impairment, Finance &amp; Executive Committees</td>
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<tr>
<td>Aug. 10</td>
<td>Reciprocity Committee</td>
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<tr>
<td></td>
<td>Board Meeting</td>
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<tr>
<td>Aug. 11</td>
<td>Administrative Hearing</td>
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<tr>
<td>Aug. 28 – Sept. 1</td>
<td>FIP World Congress – Buenos Aires, AR</td>
</tr>
</tbody>
</table>