RETAIL PHARMACY COMPLIANCE AND DISPENSING AUDIT TEMPLATE

Pharmacy Audit Checklist

Audit governance, premises, people, prescription handling, dispensing, medicine storage, controlled stock, cold chain, expiry, patient safety, privacy, systems, and corrective actions.

PHARMACY / LOCATION	AUDIT DATE	AUDITOR	LEAD PHARMACIST

1. Audit setup, licensing, governance, and ownership

1 Confirm the pharmacy or location, audit date, operating hours, audit type, lead pharmacist, auditor, reviewer, and escalation contacts.

METADATA + SIGN-OFF

NAME | Enter — TIME | __:__ — SIGNATURE | Sign

Execution tip: Confirm who owns the audit, the dispensary, controlled stock, cold chain, and final approval before the review begins.

2 Define the dispensary, prescription counter, over-the-counter area, controlled storage, refrigerator, receiving, returns, consultation, records, and waste areas included.

AREA SCOPE CHECKLIST

☐ Included ☐ Verified ☐ Restricted ☐ Evidence

Execution tip: Match the audit scope to the services, medicine categories, and restricted areas operating at the location.

3 Verify required pharmacy licences, registrations, approvals, certificates, and responsible-person assignments are current and available.

CRITICAL — LICENCE AND APPROVAL VERIFICATION

Current | Incomplete | Missing / expired | Attach record

Execution tip: Check validity, scope, displayed information, responsible person, and renewal status against applicable requirements.

4 Review previous audit findings, dispensing errors, complaints, recalls, temperature excursions, stock variances, incidents, and overdue corrective actions.

PREVIOUS FINDINGS REVIEW

Current | Incomplete | Missing / expired | Attach record

Execution tip: Use prior findings to target repeat failures and higher-risk pharmacy processes first.

5 Verify current SOPs cover prescription intake, dispensing, storage, controlled medicines, recalls, patient privacy, incidents, returns, and waste.

CRITICAL — SOP VERIFICATION

Current | Incomplete | Missing / expired | Attach record

Execution tip: Check version, approval date, staff access, and alignment with the pharmacy services being delivered.

6 Capture the audit start time, geo-location, operating status, and approved reference photos without recording patient-identifying information.

CRITICAL — GEO-LOCATION + TIMESTAMP + PHOTO

Compliant | Issue found | Critical gap | Add approved photo

Execution tip: Photograph the operational area and control point, not prescriptions, screens, labels, or patients containing personal information.

2. Premises, security, access, and environmental conditions

7 Verify access to the dispensary, medicine storage, records, controlled stock, and staff-only areas is restricted to authorized personnel. CRITICAL · ACCESS CONTROL INSPECTION

Good condition | Monitor | Action required | Add evidence

Execution tip: Test doors, locks, access lists, key custody, and visitor controls during normal operations.

8 Check customer, dispensing, consultation, waiting, and staff areas are clean, orderly, accessible, and free from trip or obstruction hazards. AREA CONDITION INSPECTION

Good condition | Monitor | Action required | Add evidence

Execution tip: Inspect the complete route from customer entry through collection and consultation areas.

9 Test alarms, CCTV where used, panic or duress controls, key registers, restricted-access logs, and emergency communication arrangements. CRITICAL · SECURITY SYSTEM TEST

Pass | Partial | Fail | Attach test

Execution tip: Record the test result, device or zone, time, responsible person, and any unavailable coverage.

10 Verify lighting, ventilation, room temperature, humidity, water, power, and environmental conditions are suitable for pharmacy operations and medicine storage. ENVIRONMENT READING + OBSERVATION

READING | Enter · LIMIT | Approved range · DEVICE | ID · Attach log

Execution tip: Compare observed conditions with approved operating limits and investigate unusual variation.

11 Inspect shelves, cabinets, worktops, refrigerators, sinks, counters, fixtures, and equipment for cleanliness, integrity, safe loading, and repair needs. FIXTURE AND EQUIPMENT CONDITION

Good condition | Monitor | Action required | Add evidence

Execution tip: Check hidden edges, seals, hinges, shelves, cable routes, and surfaces used for medicine preparation.

12 Confirm medicines are protected from sunlight, moisture, excessive heat, pests, contamination, theft, tampering, and unauthorized customer access. CRITICAL · MEDICINE PROTECTION CONTROL

Low risk | Medium risk | High / critical | Create action

Execution tip: Immediately secure or quarantine any stock exposed to conditions that may affect quality or patient safety.

3. Personnel, credentials, training, and working practices

13 Verify the on-duty pharmacist and pharmacy staff have current credentials, authorizations, role assignments, and identification available for review.

CRITICAL | CREDENTIAL VERIFICATION

Current | Incomplete | Missing / expired | Attach record

Execution tip: Check the credential applies to the role being performed and note any restriction or expired authorization.

14 Confirm staffing levels, pharmacist coverage, supervision, break coverage, shift handover, and workload controls are suitable for current demand.

STAFFING AND COVERAGE REVIEW

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: Record peak workload, interruptions, queues, and gaps that could increase dispensing or counseling risk.

15 Review training records for SOPs, dispensing safety, high-alert medicines, controlled stock, cold chain, privacy, incidents, and emergency response.

TRAINING RECORD REVIEW

Current | Incomplete | Missing / expired | Attach record

Execution tip: Sample recent starters, temporary staff, and employees assigned to higher-risk pharmacy duties.

16 Ask sampled staff to explain patient identification, prescription validation, allergy and interaction checks, clarification, final checking, and escalation.

CRITICAL | KNOWLEDGE VERIFICATION

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: Use realistic scenarios and verify staff know when work must stop and be referred to the pharmacist.

17 Check uniforms, personal hygiene, handwashing, protective equipment, and separation of food, drink, personal belongings, and medicines.

WORKING PRACTICE OBSERVATION

Good condition | Monitor | Action required | Add evidence

Execution tip: Observe actual practice during dispensing, receiving, cleaning, and waste handling.

18 Assign corrective actions for competency gaps, expired training, unclear responsibilities, or unsafe working practices identified during the audit.

TRAINING CORRECTIVE ACTION

Finding	Owner	Priority	Due	Evidence

Execution tip: Link each action to the exact competency gap, owner, completion date, and later effectiveness check.

4. Prescription intake, clinical validation, dispensing, and final check

19 **Verify patient identity and prescription authenticity, completeness, validity, and legibility are confirmed before processing begins.**
CRITICAL | PRESCRIPTION INTAKE VERIFICATION

Low risk | Medium risk | High / critical | Create action

Execution tip: Stop processing when identity, authenticity, prescriber, date, or required information cannot be confirmed.

20 **Check prescriber details, medicine, strength, dose, route, frequency, duration, quantity, repeats, and required directions are complete and appropriate.**
CRITICAL | PRESCRIPTION DETAIL REVIEW

Trace complete | Partial trace | Trace failed | Attach record

Execution tip: Document any clarification and retain a traceable record of the authorized outcome.

21 **Verify allergies, interactions, duplication, contraindications, dose appropriateness, special populations, and relevant patient factors are reviewed.**
CRITICAL | CLINICAL SAFETY CHECK

Low risk | Medium risk | High / critical | Create action

Execution tip: Escalate unresolved clinical concerns before selecting, labeling, or supplying the medicine.

22 **Confirm the correct medicine, strength, dosage form, quantity, batch, expiry, packaging, and label are selected and prepared accurately.**
CRITICAL | PRODUCT SELECTION + LABEL CHECK

Compliant | Issue found | Critical gap | Add approved photo

Execution tip: Use barcode or independent checks where available and separate look-alike or sound-alike products.

23 **Observe the pharmacist or authorized final check and verify prepared, unchecked, checked, and completed prescriptions remain clearly separated.**
CRITICAL | FINAL CHECK OBSERVATION

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: The final check should be interruption-controlled and traceable to the checker and prescription.

24 **Verify collection or handover includes patient verification, counseling prompts, documentation, delivery controls, and management of uncollected medicines.**
HANDOVER PROCESS REVIEW

Trace complete | Partial trace | Trace failed | Attach record

Execution tip: Check third-party collection, deliveries, refrigerated medicines, and uncollected items receive additional control.

5. Storage, temperature, cold chain, and segregation

25 **Review sampled ambient storage readings and records against approved ranges, monitoring frequency, review deadlines, and escalation rules.**

AMBIENT CONDITION LOG

READING | Enter
LIMIT | Approved range
DEVICE | ID
Attach log

Execution tip: Check actual conditions, missed readings, trend variation, and action taken for every deviation.

26 **Inspect medicine refrigerators, min and max readings, alarms, probe position, calibration, cleanliness, seals, loading, and door-opening control.**

CRITICAL
REFRIGERATOR INSPECTION + READING

READING | Enter
LIMIT | Approved range
DEVICE | ID
Attach log

Execution tip: Measure conditions at the time of audit and compare equipment display, independent device, and recorded log.

27 **Verify cold-chain receiving, transfer, temporary exposure, excursion assessment, quarantine, product disposition, and closure records.**

CRITICAL
COLD-CHAIN TRACEABILITY TEST

Trace complete | Partial trace | Trace failed | Attach record

Execution tip: Trace one refrigerated item from delivery through storage and confirm every handoff remained controlled.

28 **Check prescription, over-the-counter, controlled, high-alert, hazardous, flammable, refrigerated, returned, recalled, expired, and quarantined stock is segregated.**

CRITICAL
SEGREGATION INSPECTION

- [ ] Included
- [ ] Verified
- [ ] Restricted
- [ ] Evidence

Execution tip: Use clear physical separation and status labels so restricted or unsuitable stock cannot be supplied accidentally.

29 **Verify medicines are stored off the floor, within safe load limits, with labels visible, batches identifiable, and first-expiry-first-out rotation followed.**

STORAGE AND ROTATION CHECK

Good condition | Monitor | Action required | Add evidence

Execution tip: Sample front and back stock, high shelves, drawers, fast-moving lines, and recently received items.

30 **Confirm approved response arrangements exist for refrigerator failure, power loss, alarm events, relocation, backup monitoring, and product assessment.**

CRITICAL
COLD-CHAIN EMERGENCY READINESS

Current | Incomplete | Missing / expired | Attach record

Execution tip: Check contact details, backup capacity, insulated transport, data access, and authorization for product disposition.

6. Inventory, expiry, recalls, and controlled medicines

31 Reconcile sampled high-value, high-risk, fast-moving, and restricted medicines between physical stock and the pharmacy system.

PHYSICAL INVENTORY RECONCILIATION

PHYSICAL | Count — SYSTEM | Count — VARIANCE | Enter — Attach report

Execution tip: Investigate every unexplained variance and review receipts, supplies, returns, adjustments, and transfers.

32 Inspect sampled stock for expiry, damage, tampering, suspect authenticity, missing labels, unsuitable packaging, and active recall or withdrawal status.

CRITICAL — PRODUCT CONDITION + RECALL SCREEN

Compliant — Issue found — Critical gap — Add approved photo

Execution tip: Quarantine any suspect item immediately and preserve batch, supplier, and evidence details.

33 Verify near-expiry reports, first-expiry-first-out rotation, transfer or return controls, and removal of expired medicines from saleable stock.

CRITICAL — EXPIRY CONTROL REVIEW

Current — Incomplete — Missing / expired — Attach record

Execution tip: Sample multiple categories and storage locations rather than relying only on the system report.

34 Test the recall or withdrawal process for a sampled medicine, including identification, system blocking, removal, segregation, communication, and reconciliation.

CRITICAL — RECALL SIMULATION

Trace complete — Partial trace — Trace failed — Attach record

Execution tip: Confirm the pharmacy can account for stock received, supplied, on hand, returned, and unresolved.

35 Reconcile controlled or restricted medicine registers, balances, receipts, supplies, witnesses, running totals, and discrepancy investigations.

CRITICAL — CONTROLLED STOCK RECONCILIATION

PHYSICAL | Count — SYSTEM | Count — VARIANCE | Enter — Attach report

Execution tip: Perform the count according to approved witness and documentation requirements and escalate any mismatch immediately.

36 Verify controlled medicine storage, key custody, access records, returns, destruction, disposal, incident reporting, and discrepancy escalation.

CRITICAL — CONTROLLED MEDICINE SECURITY

Low risk — Medium risk — High / critical — Create action

Execution tip: Check that access, movement, and final disposition are attributable to authorized people.

7. Patient safety, counseling, privacy, and records

37 Verify the consultation area supports confidential communication, accessibility, suitable seating, cleanliness, and safe delivery of pharmacy services.

CONSULTATION AREA INSPECTION

Good condition | Monitor | Action required | Add evidence

Execution tip: Listen for sound leakage and check visibility, access, interruptions, and patient comfort.

38 Observe counseling on medicine purpose, dose, timing, administration, storage, adverse effects, interactions, warnings, missed doses, and adherence.

COUNSELING OBSERVATION

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: Confirm counseling is tailored to the medicine and patient rather than limited to label directions.

39 Check high-risk medicines, new therapy, complex regimens, devices, and vulnerable patients receive enhanced counseling and understanding checks.

CRITICAL | ENHANCED COUNSELING VERIFICATION

Compliant | Partially compliant | Non-compliant | N/A

Execution tip: Use teach-back or demonstration and document any referral, concern, or follow-up requirement.

40 Verify prescriptions, labels, consent, interventions, clinical notes, delivery records, and patient profiles are complete, legible, secure, and traceable.

CRITICAL | PATIENT RECORD VERIFICATION

Current | Incomplete | Missing / expired | Attach record

Execution tip: Sample records across different services and confirm entries identify the person, date, decision, and outcome.

41 Check screens, printouts, labels, bins, conversations, messaging, collection, and delivery processes protect patient confidentiality.

CRITICAL | PRIVACY AND CONFIDENTIALITY AUDIT

Protected | Minor gap | Exposure / breach | Attach evidence

Execution tip: Remove exposed information immediately and investigate any access, disclosure, or disposal failure.

42 Review complaints, adverse events, medication errors, near misses, referrals, interventions, and patient-safety incidents for escalation and learning.

CRITICAL | INCIDENT AND COMPLAINT REVIEW

Current | Incomplete | Missing / expired | Attach record

Execution tip: Confirm immediate care, notification, investigation, corrective action, and trend review are documented.

8. Hygiene, infection prevention, waste, and hazardous items

43 Verify cleaning schedules define areas, equipment, frequency, approved products, responsibilities, completion records, and supervisor checks.
CLEANING SCHEDULE VERIFICATION

Current | Incomplete | Missing / expired | Attach record

Execution tip: Compare the schedule with actual pharmacy risks, operating hours, and shared equipment.

44 Inspect work surfaces, counting trays, spatulas, equipment, sinks, handles, and shared tools for cleanliness and contamination prevention.
CLEANING EFFECTIVENESS INSPECTION

Good condition | Monitor | Action required | Add evidence

Execution tip: Observe cleaning between products and after spills, breakages, or contact with hazardous medicines.

45 Check for pest evidence and verify inspections, monitoring points, contractor visits, corrective actions, and protection of medicines and packaging.
CRITICAL | PEST-CONTROL VERIFICATION

Compliant | Issue found | Critical gap | Add approved photo

Execution tip: Do not accept unexplained droppings, damage, insects, gaps, or overdue pest actions in medicine areas.

46 Verify sharps, clinical waste, expired medicines, hazardous or cytotoxic items, and confidential waste are identified, secured, and disposed by approved routes.
CRITICAL | WASTE AND HAZARDOUS-ITEM CONTROL

Low risk | Medium risk | High / critical | Create action

Execution tip: Check containers, fill lines, labels, storage time, collection records, and authorized handover.

47 Confirm spill kits, protective equipment, first-aid supplies, fire exits, extinguishers, emergency contacts, and response instructions are accessible and current.
EMERGENCY EQUIPMENT CHECK

Pass | Partial | Fail | Attach test

Execution tip: Check expiry, seals, access, signage, and staff awareness, not only physical presence.

48 Verify returned medicines and patient waste remain separate from saleable stock, cannot re-enter supply, and are documented and secured.
CRITICAL | RETURNED MEDICINE CONTROL

Trace complete | Partial trace | Trace failed | Attach record

Execution tip: Trace a sampled return from receipt through quarantine and final authorized disposition.

9. Systems, data integrity, downtime, and incident management

49 **Verify pharmacy-system access is role-based and unique, leavers are removed promptly, shared accounts are prohibited, and session controls are effective.**

CRITICAL | USER-ACCESS REVIEW

Protected | Minor gap | Exposure / breach | Attach evidence

Execution tip: Sample active users against current staff and investigate excessive permissions or unexplained accounts.

50 **Check dispensing, prescription, inventory, override, cancellation, refund, return, and stock-adjustment audit trails are complete and attributable.**

CRITICAL | AUDIT-TRAIL VERIFICATION

Trace complete | Partial trace | Trace failed | Attach record

Execution tip: Review unusual edits and overrides and confirm supporting reason, approval, and user identity.

51 **Test barcode scanners, printers, labels, alarms, backup power, network, communication, and other critical pharmacy technology.**

TECHNOLOGY FUNCTIONAL TEST

Pass | Partial | Fail | Attach test

Execution tip: Record the tested device, result, fallback, defect owner, and expected restoration time.

52 **Verify downtime procedures cover prescription intake, dispensing, patient records, stock, cold chain, controlled registers, and later reconciliation.**

CRITICAL | DOWNTIME PROCEDURE REVIEW

Current | Incomplete | Missing / expired | Attach record

Execution tip: Run a short scenario and check staff can continue safely without losing traceability.

53 **Review backup, retention, cyber incident, privacy breach, unauthorized access, and system recovery controls against approved procedures.**

CRITICAL | DATA PROTECTION AND RECOVERY REVIEW

Current | Incomplete | Missing / expired | Attach record

Execution tip: Confirm incidents can be contained, escalated, investigated, recovered, and evidenced.

54 **Verify supplier, product, pack size, price, formulary, warning, interaction, and medicine master data is current and subject to controlled change.**

MASTER-DATA VERIFICATION

Trace complete | Partial trace | Trace failed | Attach record

Execution tip: Sample recent additions and changes and confirm source, approval, effective date, and validation.

10. Findings, corrective actions, verification, and sign-off

55 Summarize critical and major findings by patient safety, dispensing, storage, controlled stock, inventory, security, privacy, systems, and premises.

FINDING SUMMARY + RISK PROFILE

Low risk | Medium risk | High / critical | Create action

Execution tip: Prioritize impact on patients and medicine integrity rather than relying only on the number of findings.

56 Immediately contain unsafe medicines, dispensing risks, temperature excursions, security failures, privacy exposures, and uncontrolled restricted stock.

CRITICAL | IMMEDIATE CONTAINMENT RECORD

Finding	Owner	Priority	Due	Evidence

Execution tip: Record what was stopped, isolated, secured, corrected, communicated, and authorized before normal activity resumes.

57 Assign every finding an owner, priority, due date, escalation route, required evidence, reviewer, and closure criteria.

CORRECTIVE-ACTION ASSIGNMENT

Finding	Owner	Priority	Due	Evidence

Execution tip: Make the action specific enough that another reviewer can verify completion without interpretation.

58 Complete root-cause review for repeat or high-risk findings and define preventive changes to process, training, systems, equipment, or supervision.

ROOT-CAUSE AND PREVENTION PLAN

Finding	Owner	Priority	Due	Evidence

Execution tip: Separate the immediate fix from the change required to prevent recurrence.

59 Verify closure through reinspection, record review, stock reconciliation, system evidence, staff observation, and authorized approval.

CRITICAL | CLOSURE VERIFICATION

Finding	Owner	Priority	Due	Evidence

Execution tip: Reject closure that relies only on a comment without objective proof or effectiveness checking.

60 Record the overall audit status, unresolved restrictions, next review date, auditor, reviewer, lead pharmacist approval, date, time, and signature.

CRITICAL | APPROVAL + SIGNATURE

NAME | Enter — TIME | __:__ — SIGNATURE | Sign

Execution tip: Do not approve the audit while a critical patient-safety or medicine-integrity risk has no containment and accountable owner.

RUN THIS CHECKLIST DIGITALLY

Turn every pharmacy finding into accountable containment and verified closure

Use Taqtics to schedule pharmacy audits by location and service area, capture approved evidence and readings, contain medicine and patient risks, assign corrective actions, enforce deadlines, verify closure, and compare recurring pharmacy risks across sites.

Scheduled audits | Approved evidence | Temperature records | Medicine containment | Corrective actions | Pharmacy dashboards

Try the Pharmacy Audit Checklist in Taqtics