

# ROUTINE DESK AUDIT CHECKLIST

## Sales Facility (Dispensary)

<b>LICENSEE NAME:</b>		<b>EVENT#:</b>	
<b>CE ID#:</b>		<b>AUDITOR:</b>	
<b>LICENSE#:</b>		<b>POC NAME:</b>	

### DOCUMENT REQUEST, MANAGEMENT & RETENTION

Ref No.	Audit Item	Findings	Audit Evidence/Observation
NCCR 7.010 (1)	Audit Questionnaire completed identifying cannabis facility current hours of operations		
NCCR 5.100(1)(j)	Nevada Secretary of State Business License		
NCCR 5.127 (1)	Publicly Traded Establishment to provide most recent notice of Annual Meeting.		
NCCR 5.100 (1)(j)	If Establishment is a publicly traded company, it has provided a list of all beneficial owners to the CCB.		
NCCR 5.110(5)	Local Jurisdiction License (County, City)		
NCCR 5.127 (2)(b)	Current list of owners, officers, and board members		
NCCR 6.075(1)(a) (1-7)	Sample Establishment agent new hire packet to include, but not limited to, job descriptions and required training.		
NCCR 6.087(3) & (5)(a-d)	Current List of employees, contractors, and volunteers		
NCCR 6.085 (1)(c)(4)	Electronic Monitoring System Specification Document that identifies the capability to immediate automatic or electronic notification to alert local law enforcement or unauthorized breach.		
NCCR 6.085 (6)(a)	Semi-Annual audit of security measures report		
NCCR 6.085 (7)	Security director or manager attestation /certificate of completion of required training		
NCCR 6.085 (1)(c)(3)	Security surveillance system screen print of all entry, exits, and storage vaults.		
NCCR 6.070 (6)	Copy of visitor logs for defined audit period		
NCCR 6.072(1)	Active employees training records and/or attestation of all required training received.		
NCCR 6.075( 1-2)	Current Standard Operating Procedures identifying the date of the last update		
NCCR 10.015 (2)	Quality Control Unit personnel list.		
NCCR 6.080(7)(d)(9) (I-V)	Destruction/waste logs for defined audit period		

NCCR 6.080(9)(1-V)	Copy of harvest, production and/or packaging logs (if applicable)		
NCCR 4.035.1.(a)(5)	Tax Documentation for audit period -Excise Tax Returns and Sales Use Tax Return		
NCCR 4.035.1.(a)(5)	Taxation- Copy of active payment plan agreement (if applicable)		
NCCR 6.075(1)(b)	Invoices and executed manifests for all transfers or acquisitions initiated or received during audit period		
NCCR 6.075(1)(b)	Sales Records: Third Party Inventory Management or Point of Sale System Item sales summary report for defined audit period.		
NCCR 6.135	Quarterly Activity Report timely submitted (30 days following end of calendar quarter)		
NCCR 6.080 (8)(c)	Quarterly Physical Inventory Count report timely submitted(30 days following the end of calendar quarter.		
NCCR 6.130 (1)	Establishment reports documented loss or theft of Cannabis to law enforcement and the board within 24 hours of discovery.		
NCCR 7.050	Delivery Confirmation Log that confirms by telephone the customers identity, telephone number and items purchased.		
NCCR 6.130 (2)	Establishment maintain copies of any documentation required pursuant to Title 56 of NRS and NCCR for at least five (5) years after the date on the documentation.		
NCCR 6.130 (2)	Establishment provided copies of documentation to the Board or Board Agents upon request or by deadline provided.		

### LICENSING

Ref No.	Audit Item	Findings	Audit Evidence/Observation
<b>Establishment Licensing</b>			
NCCR 5.090	Establishment is operational. If closed, Establishment has notified CCB of closure 15 days prior to closure.		
NCCR 5.095	Establishment has a valid Cannabis license.		
NCCR 5.100(1)(j)	Establishment has a current State of Nevada Business License		
NCCR 5.100(1)(j)	Establishment has a current Dept. of Taxation Sales Tax Permit		
NCCR 5.100 (1)(j)	Establishment has current Local Jurisdiction Licensing (County or City)		
<b><u>Outdoor Cultivation (If applicable)</u></b>			
<b><u>Owner, Officer &amp; Board Member Licensing</u></b>			
NCCR 5.130 (1)	Establishment owners, officers, board members, and persons holding ownership =/+ 5% have a current Cannabis Executive Card.		



NCCR 5.130 (1)	Establishment owners, officers, board members, and persons holding ownership less than 5% have a current Cannabis Executive Card or a waiver on file.		
NCCR 5.127 (1)	Publicly Traded Establishment can demonstrate the submission of Annual Meeting notice to the CCB. If applicable.		
NCCR 5.127 (2)(b)	Publicly Traded Establishment has provided annual list of Beneficial Owners. If applicable.		
NCCR 5.120(1)(2)	<b><u>Employee, Consultant, &amp; Volunteer Licensing</u></b>		
NCCR 5.120 (1-2)	Establishment employees, contractors and volunteers have valid agent cards (including temporary cards).		

**FINANCIAL-Licensing , Fees & Taxes**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
	<b><u>Financial Statements &amp; Disclosures</u></b>		
5.045(2)(11)	Establishment provided financial statements (income statement, balance sheet,		
NCCR 5.070 (4)	Establishment required tax filings and payments are up to date with Department of Taxation per NRS 372A		
NCCR 5.155(12)(c)	Establishments filed financial disclosures and tax documents separately from all other Establishment's components (if applicable).		
NCCR 6.082 (3)	Establishment seed-to-sale inventory account is in good standing.		
	<b><u>Licensing &amp; Regulatory Fees</u></b>		
NCCR 5.095(1)	Establishment annual licensing fee is up to date		
NCCR 5.100 (1)(d)	Establishment has no outstanding Time and Effort billing over 30 days due		

**PERSONNEL & TRAINING**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
	<b><u>Employee Records</u></b>		
NCCR 6.087(3)(b)	Establishment provides notification to the board within 10 working days after the date in which Establishment agent commenced employment or contract services.		
NCCR 6.087(4)(b)	Establishment provides notification to the board within 10 working days after the date in which Establishment agent ceased employment or contact services.		
	Establishment new hire packet includes job description and required training documents		



NCCR 6.087 (3)(c)	Establishment provided notification to the board within 10 working days after the date in which Establishment agent commenced volunteering		
NCCR 6.087(4)(c)	Establishment provided notification to the board within 10 working days after the date in which Establishment agent ceased volunteering		
NCCR 6.087 (3)(a)	Establishment provided notification to the board within 10 working days after the date in which Establishment agent commenced serving as an officer or board member.		
NCCR 6.087 (4)(a)	Establishment provided notification to the board within 10 working days after the date in which Establishment agent ceased serving as an officer or board member.		
NCCR 6.075(1)(a) (1-6)	Establishment personnel files includes job description, employment contract (if applicable), qualification of personnel, training attestation, and disclosure of potential health risk.		
	<b><u>General Training Requirement</u></b>		
NCCR 6.072 (1)	All Establishment agents, prior to work commencement, have been trained in the following area:		
NCCR 6.072 (1)(a)	Establishment security measures and controls for the prevention of diversion, theft, or loss of cannabis.		
NCCR 6.072 (1)(b)	Establishment's emergency response procedures		
NCCR 6.072 (1)(c)	State and Federal statutes and regulations related to the use of cannabis		
NCCR 6.085 (6)(b)	Annual training on security measures, emergency response, and robbery prevention		
	<b><u>Establishment Specific Training-Sales Facility</u></b>		
NCCR 6.072 (2)	Sales facility Establishment agents (including delivery drivers), prior to work commencement, have been trained in the following areas:		
NCCR 6.072 (2)(a)and(b)	Different strains of cannabis and different methods of using cannabis and cannabis products.		
NCCR 6.072 (2)(c)	Recognizing signs of cannabis abuse, impairment or instability in the use of cannabis by a consumer.		
NCCR 6.072 (2)(d)	Clinical effects of cannabis on the human body and how THC affects a consumer.		
NCCR 6.072 (2)(e)	Required warnings and literature which must be supplied to a consumer.		
NCCR 6.072 (2)(f)	Methods of refusing entry or sales to prohibited persons, including the following:		



NCCR 6.072 (2)(f)(1)	Verifying identification and using age verification devices		
NCCR 6.072 (2)(f)(2)	Education on the effects of cannabis on persons under 21 years of age		
NCCR 6.072 (2)(f)(3)	Recognition of false or altered identification		
NCCR 6.072 (2)(g)	Understanding the role of law enforcement in confirming compliance with laws and regulations relating to cannabis		
NCCR 6.072 (2)(h)	Applicable state and local laws and regulations regarding cannabis		
NCCR 6.072 (2)(j)	Preventing the use of cannabis by persons under the age of 21 years.		
NCCR 6.072 (2)(k)	How to prevent disturbances		
NCCR 6.072 (2)(l)	Agent responsibility to put into effect strategies adopted by the Establishment to prevent the diversion of cannabis.		

### SECURITY

Ref No.	Audit Item	Findings	Audit Evidence/Observation
<b><u>Security Manager or Director</u></b>			
NCCR 6.085 (6)	Establishment has employed and identified a security manager or director.		
NCCR 6.085 (7)	Establishment can demonstrate by attestation or certificate of completion that security manager or director and at least one (1) cannabis employee or any third party who provide security has attended the following trainings within the first three (3) months of employment:		
NCCR 6.085 (7)(a)	Theft prevention		
NCCR 6.085 (7)(b)	Emergency Response		
NCCR 6.085 (7)(c)	Use of Force		
NCCR 6.085 (7)(d)	First Aid & CPR training		
NCCR 6.085 (7)(e)	Crime Scene Protection or related subject		
NCCR 6.085 (7)(f)	Control of access to protected areas of Establishment		
NCCR 6.085 (7)(g)	Minimum of eight (8) hours on-site training security training		
NCCR 6.085 (7)(h)	Minimum of eight (8) hours of classroom training in providing security services		
<b><u>Security Audit</u></b>			
NCCR 6.085 (6)(a)	A semi-annual audit has been conducted of security measures that are compliant with State procedures and identify security threats		
NCCR 6.085 (6)(c)	Can demonstrate an evaluation of credentials have been conducted of Establishment's third Party Security Contractor prior to entering an employment contract.		



	<b><u>Security Equipment</u></b>		
NCCR 6.085 (1)(c)(1)	Establishment has an operable security system/equipment/device to deter and prevent unauthorized intrusion.		
NCCR 6.085(1)(c)(4)	Establishment security surveillance system provides for immediate automatic or electronic notification to alert local law enforcement of unauthorized interior breach of security.		
NCCR 6.085 (1)(c)(3)	Establishment has an operable electronic monitoring system that can be accessed remotely by law enforcement with the following:		
NCCR 6.085 (1)(c)(3)(I)	One (1) call up monitor that is 55 inches or larger		
NCCR 6.085 (1)(c)(3)(II)	Printer capable of immediately producing a clear still photo from any video camera view		
NCCR 6.085 (1)(c)(3)(III)	Video coverage of all entrances/exit, vault, and point of sale areas with a recording resolution of at least 1920 x 1080; 15 frames per second 24 hours a day.		
NCCR 6.085 (1)(c)(3)(IV)	Video coverage of all limited access and activity adjacent to Establishment with a recording resolution of at least 720x480; 15 frames per second 24 hours a day.		
NCCR 6.085 (1)(c)(3)(V)	Video camera with the capability of recording in low light conditions		
NCCR 6.085 (1)(c)(3)(VI)	A method for storing video recordings for a minimum of 30 calendar days in a secure off-site location or through a service or network that provides on-demand access to the recordings		
NCCR 6.085 (1)(c)(3)(VI)	A portable, external drive immediately available to store a minimum of seven (7) days (168 hours) of video from a minimum of seven (7) cameras.		
NCCR 6.085 (1)(c)(3)(VII)	Failure notification system that provides an audible and visual notification		
NCCR 6.085 (1)(c)(3)(IX)	Sufficient battery back-up for video cameras and recording equipment for a minimum of five (5) minutes.		
NCCR 6.085(2)(a)	Security video cameras generate and reflect the correct date and time, which does not significantly obstruct recording view.		
NCCR 6.085(2)(b)	Security video cameras are installed in a manner that prevents obstructed recording views.		
	<b><u>Outdoor Cultivation (If Applicable):</u></b>		

NCCR 6.085(2) Has exterior lighting to facilitate surveillance that covers the entirety of the cultivation area that doesn't interfere with growing cycle of the crop.



NCCR 6.085(1)	Security equipment with devices to detect unauthorized intrusion of the cultivation area and perimeter and exterior area of facility.		
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**STANDARD OPERATING PROCEDURES**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
	<b><u>Personnel</u></b>		
NCCR 6.075((1)(a)	Establishment has policies and procedures that address job descriptions, and employment contracts, and the following:		
NCCR 6.075((1)(a)(1)	Duties, authority, responsibilities, and qualifications of personnel		
NCCR 6.075((1)(a)(2)	Supervision of personnel		
NCCR 6.075((1)(a)(3)	Training in and adherence of confidentiality requirements		
NCCR 6.075((1)(a)(4)	Periodic performance evaluations		
NCCR 6.075((1)(a)(5)	Disciplinary actions		
NCCR 6.075((1)(a)(6)	Disclosure of potential health risk involved with the performance of job duties.		
	<b><u>Workplace</u></b>		
NCCR 14.010(1)	Establishment that employs 15 or more employees has written workplace discrimination and harassment policies & procedures		
NCCR 14.010(1)(a)	Procedures identify the methods available to a person seeking to report an instance of workplace discrimination or harassment		
NCCR 14.010(1)(b)	Procedures for investigating a report of workplace discrimination or harassment		
NCCR 14.010(2)	Written policies and procedures that address workplace discrimination or harassment, including sexual harassment		
NCCR 14.010(2)(a)	Policy and procedures include internal owners and personnel		
NCCR 14.010(2)(b)	Policy and procedures include and address external individuals that conduct business with the Establishment		
	<b><u>Business Records</u></b>		
NCCR 6.075 (1)(b)	Establishment has policies and procedures that address business records - Assets and liabilities		
NCCR 6.075 (1)(b)	Establishment has policies and procedures that address business records - Monetary Transactions		
NCCR 6.075 (1)(b)	Establishment has policies and procedures that address business records - Journals, ledgers		
NCCR 6.075 (1)(b)	Establishment has policies and procedures that address business records - Invoices, checks, vouchers, and other supporting docs		



**Inventory Control (Cultivation, Production, Consumption & Sales)**

NCCR 6.075 (1)(c)(1)	Establishment has policies and procedures that address Inventory control- Inventory tracking		
NCCR 6.075 (1)(c)(2)	Establishment has policies and procedures that address Inventory control- Inventory Packaging		
NCCR 6.075 (1)(c)(3)	Establishment has policies and procedures that address Inventory control- Inventory Acquisition		
NCCR 6.075 (1)(c)(4)	Establishment has policies and procedures that address Inventory control- Inventory Disposal accordance with NCCR 10.080		
NCCR 6.075 (1)(c)(5)	Establishment has policies and procedures that address Inventory control- Inventory Returns		

**Quality Control Unit**

NCCR 10.015 (2)(a)	Establishment has written procedures identifying the responsibilities and procedures of the quality control unit.		
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**Good Manufacturing Practices (Cultivation, Production,  
Consumption & Sales)**

NCCR 10.025 (1)	Written procedures describing in sufficient detail the receipt, identification, storage, handling, sampling, and examination of labeling and packaging materials.		
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NCCR 10.030 (1)-(3)	Written procedures describing, in sufficient detail, the receipt, identification, storage, handling, sampling, testing, and approval or rejection of components, product containers and closures and that it follows those procedures.		
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**Security**

NCCR 6.085(1)(d)(1)	Establishment has policies and procedures that address facility access restrictions		
NCCR 6.085(1)(d)(2)	Establishment has policies and procedures that address identification of persons authorized to be in restricted areas		
NCCR 6.085(1)(d)(3)	Establishment has policies and procedures that address loitering prevention		
NCCR 6.085(1)(d)(4)	Establishment has policies and procedures that address conducting electronic monitoring		

NCCR 6.085(1)(d)(5)	Establishment has policies and procedures that address the use of the automatic or electronic notification to alert local law enforcement agencies of an unauthorized breach of security at the Establishment		
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NCCR 6.085(1)(d)(6)	Establishment has policies and procedures that address for limiting the amount of money available in any retail areas of the Establishment and for training employees on this practice		
NCCR 6.085(1)(d)(7)	Establishment has policies and procedures that address public notification of minimal amount of money available		
	<b><u>Curbside Pickup - If applicable</u></b>		
NCCR 7.060 (3) (a-d)	Has curbside pick-up policies and procedures that address security plan, curbside pick-up plan, pick-up designation, and transaction(s) protection measures.		

**INVENTORY CONTROL**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
	<b><u>General Requirement(s)</u></b>		
NCCR 6.055 (1)	Dual licensee complies with the statutory and regulatory requirements of the medical establishment operated by a dual licensee.		
NCCR 6.055 (2)	Dual licensee has combined the location and operations of the medical establishment and adult-use Establishment operated by dual licensee.		
NCCR 6.080(1)	Establishment has identified at least one (1) inventory control manager.		
NCCR 6.080(8)(c)	Establishment can demonstrate that a quarterly physical inventory counts, performed by persons independent of the manufacturing, has been reconciled to the State's seed-to sale inventory system.		
	<b><u>Quality Control</u></b>		
NCCR 10.015 (1)	Establishment has identified members of internal quality control unit (lab exempt).		
NCCR 6.100	Establishment ensures that Quality Assurance testing has been completed before the sale or transfer of cannabis or cannabis products.		
	<b><u>Seed -To-Sale Inventory System</u></b>		
NCCR 6.082 (1)	Establishment utilizes the seed-to-sale inventory system to track all cannabis and cannabis products		
NCCR 6.082 (1)	Establishment harvested and tested production batches have been marked as "Finished" in the seed-to-sale inventory system. Metrc user guide- Pg. 129		
NCCR 6.082 (2)	Establishment connects inventory tracking system to seed -to-sale system using Application Programming Interface (API) OR has designated Seed-to-sale as primary inventory system.		



**Acquisitions-Wholesale Transactions**

NCCR 6.080(7)(b)(1) NCCR 6.080(7)(c)(1) Acquisitions manifest accurately reflects the cannabis acquired, including the amount, strain, batch and/or production run number, and lot number.

NCCR 6.080(7)(b)(2) NCCR 6.080(7)(c)(2) Acquisitions manifest accurately reflects the name and license/CEID number of Establishment providing the cannabis.

NCCR 6.080(7)(b)(3) NCCR 6.080(7)(c)(3) Acquisitions manifest accurately reflects the agent name and I.D. number receiving the cannabis on behalf of Establishment

NCCR 6.135 Acquisitions identified in the Quarterly Activity report reconciles with the seed-to-sale inventory system.

NCCR 6.080(7)(a) Incoming wholesale transactions are processed and received in the seed-to-sale system within 24 hours of delivery.

S.B. 278 Affiliated Transfers-Incoming: Both receiving and originating facility has 100% like ownership

**Acquisition – External Transactions (Patient Donations and Sales Transactions)**

NRS 678C.410(2) Establishment Patient Acquisitions were originated by a Nevada medical patient or caregiver card holder

NRS 678C.410(2) Patient or Caregiver received no compensation for usable cannabis transaction

**Work In Progress -Manufacturing**

NCCR 6.080(7)(a)(1-5) Establishment has a inventory that documents each day's beginning inventory, harvest, disposal of usable cannabis, and ending inventory

**Packaging (If approved to package on site.**

NCCR 1.125 (1-2) Establishments adheres to the lot limits: 5 lbs. -flower, 15 lbs.-shake/trim

NCCR 6.082(4) All lots are assigned a seed-to-sale inventory tracking RFID tag

NCCR 12.030 (1) Establishment has labeled all cannabis prior to selling/transferring cannabis to another establishment.

**Storage**

7.035 (1) Stores all usable cannabis, concentrated cannabis and cannabis products behind a counter or other barrier to ensure a consumer does not have direct access to the cannabis, concentrated cannabis, or cannabis products



7.035 (3)	Only sells usable cannabis obtained from a cannabis cultivation facility in this State		
7.035 (4)	Only sell concentrated cannabis and cannabis products obtained from a cannabis product manufacturing facility in this State		
<b><u>Disposal</u></b>			
NCCR 10.080 (1)(b)	Establishment renders waste containing cannabis unusable prior to leaving the cannabis facility		
NCCR 10.080 (3)(a)(b)	Establishment adheres to and utilizes methods approved by the Board when rendering cannabis unusable.		
NCCR 6.080 (7)(d)(9)(I-IV)	Disposal logs complete with a item description, reason, date, and method of disposal		
NCCR 6.080 (7)(d)(9)(V)	Disposal logs reflect the name and I.D. number of the Establishment agent(s) responsible for disposal		
<b><u>Significant Variances (Adjustments)</u></b>			

NCCR 6.080 (9)	Analysis Results-Establishment annual shrinkage (adjustments) rate (theft/undocumented/Invalid adj. reason) is below .5% of total inventory.		
NCCR 6.080 (9)	Analysis Results-Establishment audit period shrinkage (theft/undocumented/Invalid adj. reason) rate is below .25% of total reported inventory		
NCCR 6.080 (8)(b)	Significant variances identified has been reported to the Board within 24 hours.		

**SALES TRANSACTIONS**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
<b><u>Duties of Cannabis Agent</u></b>			
NCCR 7.015 (3)(a)-(b)	Agent entered into inventory control system the sales transactions including the amounts (weight/each/dollar amount), date and time of cannabis or cannabis product sold.		
NCCR 7.015 (3)(c)-(d)	Cannabis agent registration card number and cannabis facility license number.		
<b><u>Sales Transaction Limits:</u></b>			
NCCR 7.025(1)	Has not sold to any consumer more than one (1) ounce of usable cannabis		
NCCR 7.025(2)	Has not sold to any consumer more than one-eighth ounce of concentrated cannabis or cannabis products containing more than 3543 milligrams (3.54 grams) of THC		



NCCR 7.025(3)	Has not sold a combination of usable and concentrated cannabis that exceeds the legal limit		
<b><u>Acquisitions &amp; Sales Restrictions</u></b>			
NCCR 7.030 (6)	A cannabis sales facility shall not sell cannabis or cannabis products to a consumer through the use of, or accept a sale of cannabis or cannabis products from, a third party, intermediary business, broker, or any other business that does not hold a license for a cannabis sales facility in this State.		
NCCR 7.030 (7)	A cannabis sales facility shall not contract with a third party or intermediary business to advertise delivery to consumers. This section applies to advertising only and not delivery services.		
<b>DELIVERIES &amp; TRANSPORTATION</b>			
<b>Ref No.</b>	<b>Audit Item</b>	<b>Findings</b>	<b>Audit Evidence/Observation</b>
<b><u>General Requirements</u></b>			
NCCR 7.040 (1)	Delivery is made by cannabis agent who holds agent card in the category of sales facility.		
NCCR 7.040 (2)	Deliveries are made by agents or independent contractors employed by a cannabis sales facility.		
NCCR 7.040 (2)(a)-(b)	Independent contractors have a valid service agreement with a cannabis sales facility to perform deliveries to consumers using only Establishment agents who hold an Establishment agent registration card in the category of cannabis sales facility		
NCCR 7.040 (3)	The name of all independent contractor who performed deliveries on behalf of the sales facility have been published on the CCB website.		
NCCR 7.040 (4)	The Board has received confirmation from the cannabis sales facility, before a person engages in the del delivery process, including, without limitation, accepting an order or physically delivering cannabis or cannabis products, that the person is employed by, volunteers at, or provides labor as an Establishment agent at the cannabis sales facility and has an Establishment agent registration card in the cannabis sales facility.		



The Establishment agent who delivers cannabis or cannabis products to a consumer obtains verification of the identity and age of the consumer at the point of delivery by scanning a document described in NCCR 7.020 before providing the cannabis or cannabis products to the consumer

NCCR 7.040 (5)

No delivery purchases was made by the delivery driver to be reimbursed by the consumer upon completion of delivery transaction.

NCCR 7.040 (7)

**Manifest Requirements:**

Facility maintains a physical or electronic copy of deliver manifest generated using the seed-to-sale tracking system.

NCCR 7.045 (1)(a)

Seed-to-sale delivery manifest is completed properly including the date and time of delivery, name, location, and license number of sales facility, name, location and address of each consumer.

NCCR 7.045 (7) (a-c)

The name and quantity, by weight or unit, of each item delivered.

NCCR 7.045 (7) (d)

Vehicle make, model, license plate number, and the number of identification card issued pursuant to NCCR 7.055 of the vehicle used for delivery

NCCR 7.045 (7) (e)

The name, number of the Establishment agent registration card and signature of each Establishment agent performing or accompanying the delivery of the cannabis or cannabis products.

NCCR 7.045 (7) (f)

Vehicles utilized to transport cannabis or cannabis products have been inspected and approved by the Board

NCCR 5.070(1)

Establishment utilizes a licensed distributor when transporting cannabis or cannabis product to a sales facility.

NCCR 13.045

**Delivery Restrictions**

No more than 5 ounces (141.75 grams) of cannabis or an equivalent amount of cannabis products has been delivered to any combination of consumers within a single trip by facility delivery drivers.

NCCR 7.050 (1)

No more than 10 ounces (283.5 grams) of cannabis, edible cannabis products, or cannabis-infused products, or any combination thereof when making a sales delivery exclusively to persons who hold a valid registry identification card or designated as a primary caregiver.

NCCR 7.050 (2)



NCCR 7.050 (3)	No cannabis or cannabis products have been delivered to a consumer at any location that has been issued a gaming license, as defined in NRS 463.0159.		
NCCR 7.050 (4)	Not knowingly deliver more than one (1) ounce (28.35 grams) of cannabis or cannabis products to a consumer in a private residence in one calendar day.		
	<b><u>Duties of Cannabis Agent Making Delivery</u></b>		
NCCR 7.050 (5)	A cannabis sales facility shall not deliver cannabis or cannabis products to any person other than the consumer who ordered the cannabis or cannabis products. Before delivering cannabis or cannabis products to a consumer, the Establishment agent delivering the cannabis or cannabis products for a cannabis sales facility shall:		
NCCR 7.050 (5)(a)	Confirm by telephone that the consumer ordered the cannabis or cannabis products and verify the identity of the consumer		
NCCR 7.050 (5)(b)	Enter the details of such a confirmation in a log which must be made available for inspection by an appropriate law enforcement agency, the Board and Board Agents.		
NCCR 7.045 (5)	If delivery is unsuccessful to the consumer who ordered the cannabis or cannabis products, the Establishment agent shall return the cannabis or cannabis products to the cannabis sales facility		
NCCR 7.045(12)	Facility can reconcile the delivery of cannabis or cannabis products with the seed-to-sale tracking system and all associated transaction history and order receipts.		



Sample





# ROUTINE FIELD AUDIT CHECKLIST

## Sales Facility (Dispensary)

<b>LICENSEE NAME:</b>	<b>EVENT#:</b>
<b>CE ID#:</b>	<b>AUDITOR:</b>
<b>LICENSE#:</b>	<b>POC NAME:</b>

PERIMETER CHECK			
Ref No.	Audit Item	Findings	Audit Evidence/Observation
NCCR 6.085(1)(d)(3)	Establishment has no signs of loitering surrounding the building's exterior.		
NCCR 6.085(1)(b)	No cannabis or cannabis product is visible from outside of the Establishment.		
NCCR 6.085 (1)(c)(3)(IV)	Establishment has video coverage of all limited access and activity adjacent to establishment. <b>Sample Provided</b>		
NCCR 6.085 (1)(c)(3)(III)	Establishment has video coverage of all exterior entrances/exits. <b>Sample Provided</b>		
NCCR 7.010 (2)	Hours of Operation are posted in a place that can be viewed by persons entering the facility.		

RESTRICTIONS ON ADVERTISING & REQUIRED SIGNS			
Ref No.	Audit Item	Findings	Audit Evidence/Observation
NCCR 6.120 (1)(a)(1-3)	Has not engaged in advertising which contains statement or illustration that is false or misleading, promotes overconsumption, depicts actual consumption of what appears to be cannabis or cannabis products.		
NCCR 6.120 (1)(a)(4)	Adverting does not depict a child or persons that appears to be less than 21 years of age consuming cannabis or cannabis products.		
NCCR 6.120 (1)(a)(4)	No advertising that depicts objects suggesting the presence of a child, without limitation, toys, characters, cartoons, or contains other depictions in a manner that may be appealing to persons under 21 years of age.		
	<b><u>Required Signs:</u></b>		



NCCR 6.120 (2)(a)	“No minors permitted on the premises unless the minor holds a letter of approval and is accompanied by a designated primary caregiver”		
NCCR 6.120 (2)(b)	“No on-site or public consumption of any cannabis or cannabis products”		
NCCR 6.120 (2)(c)	“Distribution to persons under the age of 21 is prohibited”		
NCCR 6.120 (2)(d)	“Except for medical cannabis patients, possession of over 1 ounce of usable cannabis, a cannabis product containing more than 3,543 milligrams of THC or a combination of the two which exceeds the legal limit is prohibited”		
NCCR 6.120 (2)(e)	“Transportation of cannabis or cannabis products across state lines is prohibited.”		
NCCR 12.070	All Ads must now have CEID		

**ACCESSIBILITY**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
NCCR 5.075 (3)&(6)	Interior access was granted to Board agent immediately or within a reasonable amount of time. <b>Wait time over 4 min requires video of facility activity during the time access was not granted/unavailable.</b>		
NCCR 6.085(1)(a)	Establishment can demonstrate that it utilizes one (1) single secure entrance to access the physical building.		
NCCR 6.070(5)	Establishment has visitor logs readily available for visitors prior to accessing restricted areas and visitors.		
NCCR 6.070(3)	Establishment has visitor badges readily available for persons other than authorized establishments agents.		
NCCR 6.070(4)(d)	Establishment can demonstrate the process in which they confirm visitors’ badges are returned upon departing the premises.		

**LICENSING**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
<b><u>Cannabis Establishment (C.E) Licensing</u></b>			
NCCR 6.050	All required licenses are posted in public view in the Establishment		
NCCR 5.095	Establishment has a valid Cannabis license.		
NCCR 5.100(1)(j)	Establishment has a current State of Nevada Business License		
NCCR 5.100(1)(j)	Establishment has a current Dept. of Taxation Sales Tax Permit		
NCCR 5.100 (1)(j)	Establishment has current Local Jurisdiction Licensing (County or City)		
<b><u>Employee, Consultant, &amp; Volunteer Licensing</u></b>			

NCCR 6.087 (1)	All employees, contractors, and volunteers have valid agent cards in their immediate possession while on premises.		
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NCCR 6.070(7)	No regular, seasonal or temporary of, volunteer or person who provides labor, may not use a visitors badge while on the premises.		
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**SECURITY**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
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**Security Equipment**

NCCR 6.085 (1)(c)(1)	Establishment has an operable security system/equipment/device to deter and prevent unauthorized intrusion. <b>Demonstrated or log identifying the last test conducted</b>		
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NCCR 6.085(1)(c)(4)	Establishment security surveillance system provides for immediate automatic or electronic notification to alert local law enforcement of unauthorized interior breach of security. <b>Demonstrated</b>		
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NCCR 6.085 (1)(c)(3)(I)	Establishment has one (1) call up monitor that is 55 inches or larger		
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NCCR 6.085 (1)(c)(3)(II)	Establishment has a printer capable of immediately producing a clear still photo from any video camera view. <b>Print Provided</b>		
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NCCR 6.085 (1)(c)(3)(III)	Establishment has video coverage of all interior entrances/exit, vault, and point of sale areas. <b>Visual Confirmed</b>		
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NCCR 6.085 (1)(c)(3)(IV)	Establishment has video coverage of all limited access and activity adjacent to establishment. <b>Visual Confirmed</b>		
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NCCR 6.085 (1)(c)(3)(V)	Establishment can demonstrate video camera with the capability of recording in low light conditions. <b>Visual Confirmed</b>		
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NCCR 6.085 (1)(c)(3)(VII)	Establishment can demonstrate failure notification system that provides an audible and visual notification		
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NCCR 6.085(2)(a)	Security video cameras generate and reflect the correct date and time; does not significantly obstruct recording view.		
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NCCR 6.085(2)(b)	Security video cameras are installed in a manner that prevents obstructed recording views. <b>Blind Spot Test Conducted</b>		
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**Security Personnel**

NCCR 6.085 (7)	At least one person on-site has been trained in the security requirement		
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NCCR 6.085 (10)	Not knowingly permit any activity or acts of disorderly conduct witness on the premises		
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**INVENTORY CONTROL**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
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**Quality Control Unit**

NCCR 10.015(1) (a-d)	Quality control unit can demonstrate its processes and it adheres to their written procedures.		
NCCR 6.100	Establishment ensures that Quality Assurance testing has been completed before the sale or transfer of cannabis or cannabis products.		
	<b><u>Inventory Control (Cultivation, Production, Consumption &amp; Sales)</u></b>		
NCCR 6.082(4)	Cannabis and cannabis products are tagged as required using the seed-to-sale inventory system.		
NCCR 10.025 (3)	Establishment can demonstrate that access to storage areas containing cannabis or cannabis products is limited to authorized personnel of the establishment.		
NCCR 6.075 (1)(c)(1)	Establishment can demonstrate Inventory control-Inventory Tracking procedure		
NCCR 6.075 (1)(c)(2)	Establishment can demonstrate Inventory control-Inventory Packaging procedure		
NCCR 6.075 (1)(c)(3)	Establishment can demonstrate Inventory control-Inventory Acquisition procedure		
NCCR 6.075 (1)(c)(4)	Establishment can demonstrate Inventory control-Inventory Disposal procedure in accordance with NCCR 10.080		
NCCR 6.075 (1)(c)(5)	Establishment can demonstrate Inventory control-Inventory Returns procedure.		
	<b><u>Packaging and labeling- Sales Facility Requirements</u></b>		
NCCR 12.040 (1)	Facility affix, include with, or supply through electronic medium a label approved by the board that includes:		
NCCR 12.040 (1)(a)	The business or trade name and the license number of the cannabis cultivation facility that cultivated and sold the usable cannabis;		
NCCR 12.040 (1)(b)	If the cannabis cultivation facility is operated by a dual licensee, the number of the medical cannabis establishment license of the cannabis cultivation facility operated by the dual licensee		
NCCR 12.040 (1)(c)-(d) (j)	The batch number, harvest date, and lot number		
NCCR 12.040 (1)(e)	The quantity sold, including the net weight, measured in ounces and grams or by volume, as appropriate		
NCCR 12.040 (1)(f)	The name and address of the cannabis sales facility		
NCCR 12.040 (1)(h)	Warning reading "This product may have intoxicating effects and may be habit forming;"		

NCCR 12.040 (1)(i)	Statement reading "This product may be unlawful outside of the State of Nevada"		
NCCR 12.040 (1)	Warning reading "Keep out of Reach of Children"		
	<b><u>Storage</u></b>		
NCCR 10.025 (3)	Access to storage areas containing cannabis or cannabis products is limited to authorized personnel of the establishment.		
NCCR 10.055(2)(e)	There are separate or defined areas of the Establishment as are necessary to prevent contamination or miscalculation or misuse of any component in any step of the manufacturing, control, packaging, labeling, or distribution of cannabis or cannabis products during the following procedures:		
NCCR 10.055(2)(e)(1)	Receipt, identification, storage and withholding from use of components, product containers, closures, and labels, pending the appropriate sampling, testing or examination by the quality control unit before release for manufacturing, processing, or packaging;		
NCCR 10.055(2)(e)(2)	Holding rejected components, product containers, closures, and labels before disposition;		
NCCR 10.055(2)(e)(3)	Storage of released components, product containers, closures, and labels		
NCCR 10.055(2)(e)(4)	Storage of in-process materials		
NCCR 10.055(2)(e)(5)	Processing operations		
NCCR 10.055(2)(e)(6)	Packaging and labeling operations		
NCCR 10.055(2)(e)(7)	Quarantine storage before the release of cannabis or cannabis products		
NCCR 10.055(2)(e)(8)	Storage of cannabis or cannabis products after release		

**SALES TRANSACTIONS**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
	<b><u>Duties of Cannabis Agent</u></b>		
NCCR 7.015 (1)	Prior to sale of cannabis or cannabis product, sales agent verifies the age of consumer by checking government-issued I.D. utilizing an identification scanner to determine validity of I.D.		
NCCR 7.015 (2)	Offer any appropriate consumer education or support material		
	<b><u>Product Restrictions</u></b>		

NCCR 7.030 (1) Facility only offers cannabis, cannabis products, cannabis paraphernalia, cannabis-related accessories, and cannabis derived CBD products.

NCCR 7.030 (2)	Only offers for sale containers for the storage of cannabis and cannabis products which lock and are designed to prohibit children from unlocking and opening the container		
NCCR 7.030 (3)	Does not sell any food, beverages or personal care items that do not contain cannabis.		
NCCR 7.030 (4)	Nicotine product has not been found for sale on site.		
NCCR 7.030 (5)	Alcohol product has not been found for sale on site.		
NCCR 7.035(5)	Does not sell products other than usable cannabis, concentrated cannabis, or cannabis products which contain any level of THC or CBD without the approval of the appropriate Board Agent.		
NCCR 7.035(5)	Certificate of Analysis is available upon request		
NCCR 12.050(2)	Required warning printed on the sales receipt		

**INVENTORY SAMPLING**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
NCCR 6.080 (7)(a-h)	Establishment total inventory validation rate is equal to or greater than 90%.		
NCCR 6.080 (9)	Establishment inventory variance rate is equal to or less than .25% of total physical inventory		

**DELIVERIES & TRANSPORTATION**

Ref No.	Audit Item	Findings	Audit Evidence/Observation
NCCR 13.040(4)	Vehicles stored on-site during field audit and utilized to transport cannabis or cannabis products have been inspected and approved by the Board		