



CITY OF LOS ANGELES DEPARTMENT OF

CANNABIS REGULATION

SELF ASSESSMENT CHECKLIST

INTRODUCTION

In accordance with Regulation No. 4(D), the Department of Cannabis Regulation (DCR) will conduct a compliance inspection of your Business Premises. This checklist outlines each of the items DCR will inspect to verify compliance with the listed regulations. If issues are identified, you will receive a notice detailing any violations and corrective actions that are required, which may include fines for non-compliance. **As a courtesy**, prior to the inspection, DCR strongly recommends you to go through this self-assessment checklist to identify and rectify any deficiencies. This form is provided to inform you about some of what DCR will inspect, aid DCR with compliance efforts, and mitigate any potential fines you may be given. This form is provided as a courtesy and any self-inspection is optional. You are not required to complete the checklist and it does not need to be returned to DCR.

Most deficiencies may be handled by the issuance of a Notice to Correct which carries no penalties on the outset; however, a Notice to Correct will set a deadline for compliance. If compliance is not met by the deadline, DCR may issue a Notice of Violation (NOV) which includes fines for non-compliance. Use this form to estimate the amount of non-compliance fines associated with a potential NOV that will otherwise be charged by DCR if corrective actions are not taken.

Enter a "1" in the color-shaded column each time you encounter a potential violation. Each Violation Type (VT) is color-coded in this checklist. Minor Violations are **yellow**, Moderate are **orange**, and Major Violations are **red**. Count the violations of each color. Multiply the total **Minor** VTs by \$7,006, **Moderate** VTs by \$21,013, and **Major** VTs by \$42,026. Add these three amounts for the total fines that would be assessed.

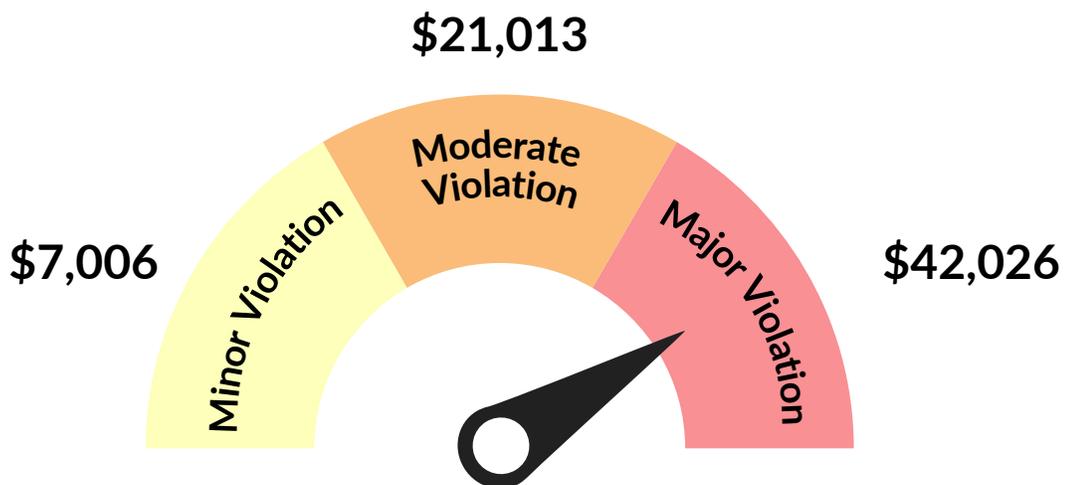


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Administrative- Retail

1.	<p>Have you developed and implemented a written security plan that addresses the requirements specified in Regulation 5(A)(4)(iii)?</p> <p><i>Regulation 5(A)(4)(iii) (Violation Type - Moderate)</i></p>	
2.	<p>Can you demonstrate how you prevent access by unauthorized persons to your business premises? DCR will check for: commercial-grade (non-residential) locks at primary entrances, fencing around the grounds and driveway, and how you secure any secondary entrances including windows, roofs, and ventilation systems.</p> <p><i>Regulation 5(A)(4)(iii)(A) (Violation Type - Moderate)</i></p>	
3.	<p>Have you installed a security alarm system that notifies you of incidents and records when physical barriers have been breached?</p> <p><i>Regulation 5(A)(4)(iii)(B) (Violation Type - Moderate)</i></p>	
4.	<p>Have you implemented an identification and sign-in/sign-out procedure for authorized personnel, individuals, suppliers, and visitors?</p> <p><i>Regulation 5(A)(4)(iii)(C) (Violation Type - Moderate)</i></p>	
5.	<p>Are your business premises maintained such that visibility and security monitoring of the entire premises is possible?</p> <p><i>Regulation 5(A)(4)(iii)(D) (Violation Type - Moderate)</i></p>	
6.	<p>Have you established procedures for the investigation of suspicious activities and to deter theft or loss of Cannabis and Cannabis Goods?</p> <p><i>Regulation 5(A)(4)(iii)(E) (Violation Type - Moderate)</i></p>	
7.	<p>Have you established an inventory system to track Cannabis and Cannabis Goods and the personnel responsible for processing it throughout the manufacturing process?</p> <p><i>Regulation 5(A)(4)(iii)(E)(i) (Violation Type - Moderate)</i></p>	

Administrative- Retail

8.	<p>Have you established a policy to limit access of personnel within your business premises to those areas necessary to complete job duties, and to those time frames specifically scheduled for completion of job duties? Have you established a policy to limit access to your business premises by outside vendors, suppliers, contractors or other individuals conducting business with the licensee that requires access to the premises?</p> <p><i>Regulation 5(A)(4)(iii)(E)(ii) (Violation Type - Moderate)</i></p>	
9.	<p>Have you established a policy to supervise tasks or processes with high potential for diversion? How do you supervise or process the loading and unloading of Cannabis and Cannabis Goods from transportation vehicles?</p> <p><i>Regulation 5(A)(4)(iii)(E)(iii) (Violation Type - Moderate)</i></p>	
10.	<p>Do you provide areas on your business premises where personnel may store and access personal items that are separate from manufacturing areas?</p> <p><i>Regulation 5(A)(4)(iii)(E)(iv) (Violation Type - Moderate)</i></p>	
11.	<p>Do you secure and back up electronic records in a manner that prevents unauthorized access and ensures that the integrity of the records is maintained?</p> <p><i>Regulation 5(A)(4)(iii)(F) (Violation Type - Moderate)</i></p>	
12.	<p>Are you <i>only</i> using the name of your licensed business entity and/or business premises location (whichever is applicable) for the submission of <i>all</i> permits, certificates, and/or documents issued by the City of Los Angeles, County, and/or State of California?</p> <p><i>Regulation 5(A)(1)(vi) (Violation Type - Major)</i></p>	
13.	<p>Do you <i>only</i> market or advertise the commercial cannabis activity(ies) for which you possess a license or temporary approval? Does your marketing and/or advertising make deceptive, false or misleading statements on any advertisement, website, product, sign, or any document provided to a customer?</p> <p><i>Regulation 5(A)(1)(xi) (Violation Type - Moderate)</i></p>	

Administrative- Retail

14.	<p>Have you submitted all information concerning the use of a fictitious business name or a “ Doing Business As” name (DBA), if any, to DCR? Was that information submitted within ten (10) days of the change?</p> <p><i>Regulation 5(A)(1)(viii) (Violation Type - Minor)</i></p>	
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Administrative- Delivery

1.	<p>Are you complying with all the requirements of Cal. Code Regs., tit. 4, § 15420, for delivery request receipts?</p> <p><i>Regulation 5(D)(4) (Violation Type - Minor)</i></p>	
2.	<p>Are all deliveries of cannabis and cannabis goods by your business performed by your own employees? Are all of your employees who deliver Cannabis and/or Cannabis goods at least 21 years of age? Do your deliveries and delivery employees comply with all the requirements specified in Regulation 5(D)(1)?</p> <p><i>Regulation 5(D)(1) (Violation Type - Major)</i></p>	
3.	<p>Can you provide a copy of the specifications of the age verification device or devices that are used by delivery employees and meet the requirements specified in Regulation 5(D)(5) to DCR?</p> <p><i>Regulation 5(D)(5) (Violation Type - Moderate)</i></p>	
4..	<p>Have you registered all motor vehicles used for the delivery of cannabis and cannabis goods with DCR, including all the information specified in Regulation 5(D)(11)? Do all of your active delivery vehicles have a DVP and meet the requirements of Regulation 5(D)(11)?</p> <p><i>Regulation 5(D)(11) (Violation Type - Moderate)</i></p>	

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Inspection and Audit Requirements - Facility

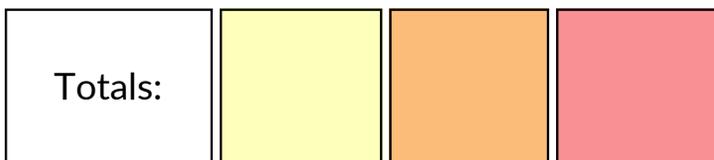
1.	<p>When prompted, are DCR employees with City identification given unrestricted access to your business premises during regular business hours?</p> <p><i>Regulation 5(A)(1)(iv) (Violation Type - Major)</i></p>	
2.	<p>When prompted, will you provide DCR with full cooperation for all compliance determinations including, but not limited to, providing DCR with all information, surveillance recordings, and/or any other data in the form, manner, and time requested?</p> <p><i>Regulation 5(A)(1)(iii) (Violation Type - Major)</i></p>	
3.	<p>Is there any graffiti on all property under your control, including all adjacent areas, such as the parking lot, adjoining sidewalk or alley? All graffiti must be removed or painted over to match the color of the surface within 72 hours of its occurrence.</p> <p><i>Regulation 5(A)(2)(v) (Violation Type - Minor)</i></p>	
4.	<p>Is all property under your control, including all adjacent areas, such as the parking lot, adjoining sidewalk or alley, maintained in an attractive condition and kept free of obstruction, trash, litter, and debris at all times?</p> <p><i>Regulation 5(A)(2)(v) (Violation Type - Minor)</i></p>	
5.	<p>Is your business properly ventilated? Is all exhaust air filtered to neutralize the odor from cannabis so that it cannot be detected on the exterior of your business premises? Operable windows or vents shall not abut a residential use or zone and shall direct exhaust away from residential areas.</p> <p><i>Regulation 5(A)(5)(i) (Violation Type - Moderate)</i></p>	
6.	<p>Are all exterior portions of your business premises adequately illuminated beginning at dusk so as to make discernible the faces and clothing of persons utilizing the space during evening hours? Are all outdoor lights used for safety and security purposes shielded and downward facing?</p> <p><i>Regulation 5(A)(5)(ii) (Violation Type - Minor)</i></p>	

Inspection and Audit Requirements - Facility

7.	<p>Is all the rooftop equipment on your business premises, including air conditioning units, ventilation and mechanical equipment, screened from view of the public?</p> <p><i>Regulation 5(A)(5)(iii) (Violation Type - Minor).</i></p>	
8.	<p>Are “No Loitering, Public Drinking, or Public Smoking/ Consumption of Cannabis” signs clearly posted inside and outside of your business premises? Loitering is prohibited on or around your business premises and all areas under your control.</p> <p><i>Regulation 5(A)(6)(iv) (Violation Type - Minor)</i></p>	
9.	<p>Is your business premises in compliance with Regulation 5(A)(6)(vi)? Outdoor speakers and/or paging systems are not allowed on the exterior portions of your business premises, or attached to the façade of the building.</p> <p><i>Regulation 5(A)(6)(vi) (Violation Type - Moderate)</i></p>	
10.	<p>Is your business premises in compliance with Regulation 5(C)(12)(vi)? Outdoor speakers and/or paging systems are not allowed on the exterior portions of your business premises, or attached to the façade of the building.</p> <p><i>Regulation 5(C)(12)(v) (Violation Type - Moderate)</i></p>	
11.	<p>Are any and all City of Los Angeles licenses, State licenses, BTRCs, Emblem Placards, emergency information, and information for your designated Neighborhood Liaison, including their phone number and email address to receive complaints prominently displayed on your business premises? Are all relevant displays in compliance with Regulation 5(A)(2)(i)?</p> <p><i>Regulation 5(A)(2)(i) (Violation Type - Minor)</i></p>	
12.	<p>Have you obtained a Health Permit and Emblem Placard (retailers only) from the Los Angeles County Department of Public Health? Have you posted the Emblem Placard as required under LAMC Section 104.23?</p> <p>Note: this will be a requirement starting January 1, 2025</p> <p><i>Regulation 5(C)(13) (Violation Type - Moderate)</i></p>	

Inspection and Audit Requirements - Facility

13.	<p>Except as otherwise provided by State law, do you limit access to your business premises to individuals who are at least 21 years old and have a bona fide business reason for entering your business premises? Does age verification occur at each entrance to your business premises?</p> <p>An individual younger than 21 years of age may enter your business premises to purchase medical cannabis or cannabis goods only if the individual is a medical cannabis patient, is accompanied by their parent, legal guardian, or primary caregiver, and has provided valid proof of identification as required by the State.</p> <p><i>Regulation 5(C)(1) (Violation Type - Major)</i></p>	
14.	<p>Do you prohibit the consumption of cannabis, cannabis goods, and/or alcohol on your business premises? Are your employees and/or agents prohibited from soliciting or accepting any cannabis, cannabis Goods and/or alcohol from any customer or vendor while on your business premises?</p> <p><i>Regulation 5(A)(6)(iii) (Violation Type - Moderate)</i></p>	
15.	<p>Are trash pick-up, compacting, loading, and unloading and receiving activities limited to 7:00 a.m. to 6:00 p.m. Monday through Friday; 10:00 a.m. to 4:00 p.m. on Saturday; and no deliveries or trash pick-up on Sunday? Are all waste receptacles on your business premises kept secure and accessible only to authorized personnel?</p> <p><i>Regulation 5(A)(2)(vi) (Violation Type - Minor)</i></p>	



Video Surveillance

1.	<p>Does your surveillance system clearly record images within 20 feet of all points of entry and exits on your business premises from both indoor and outdoor vantage points at all times? Are your cameras permanently mounted and in a fixed location?</p> <p><i>Regulation 5(A)(4)(i)(A) (Violation Type - Moderate)</i></p>	
2.	<p>Does your surveillance system record areas that include, but are not limited to: (a) areas where Cannabis Goods are weighed, packed, stored, loaded and unloaded for transportation, prepared, or moved within your business premises; (b) limited-access Areas; (c) security rooms; and (d) areas storing a surveillance-system device with at least one camera recording the access points to the area?</p> <p><i>Regulation 5(A)(4)(i)(A) (Violation Type - Moderate)</i></p>	
3.	<p>Do you record all point-of-sale areas and areas where cannabis and cannabis goods are displayed for sale? At each point of sale location, camera placement must allow for the recording of the facial features of any person purchasing and selling cannabis or cannabis goods, and any person in the retail area.</p> <p><i>Regulation 5(A)(4)(i)(B) (Violation Type - Moderate)</i></p>	
4.	<p>Do you secure the physical media and/or all storage devices on which surveillance recordings are stored in a manner to protect against tampering or theft for a minimum of 90 days?</p> <p><i>Regulation 5(A)(4)(i)(C) (Violation Type - Moderate)</i></p>	
5.	<p>Is your video surveillance system kept in a manner which allows recordings of your business premises to be viewed and/or copies to be obtained immediately upon request by the City?</p> <p><i>Regulation 5(A)(4)(i)(D) (Violation Type - Moderate)</i></p>	
6.	<p>Does your video surveillance system record continuously, 24 hours per day and at a minimum of 15 frames per second (FPS)?</p> <p><i>Regulation 5(A)(4)(i)(C) (Violation Type - Moderate)</i></p>	

Video Surveillance

7.	<p>Does your video surveillance system record images clearly and accurately and display the time and date? Time is to be measured in seconds, minutes and hours using Pacific Standard Time.</p> <p><i>Regulation 5(A)(4)(i)(C) (Violation Type - Moderate)</i></p>	
8.	<p>Is your video surveillance system equipped with a failure notification feature that provides you with notification of any interruption or failure of the equipment or its storage?</p> <p><i>Regulation 5(A)(4)(i)(C) (Violation Type - Moderate)</i></p>	
9.	<p>Are your business premises equipped with a surveillance system with a minimum camera resolution of 1280 × 720 pixels?</p> <p><i>Regulation 5(A)(4)(i) (VT - Moderate)</i></p>	

Totals:	
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Business Premises Diagram

1.	<p>Have your business premises been physically changed, altered, or modified from what was originally filed with your original application? If yes, did DCR provide written approval prior to any changes being made?</p> <p><i>Regulation 5(A)(3)(i) (Violation Type - Moderate)</i></p>	
2.	<p>Has any portion of your business premises been sublet without written approval from the DCR?</p> <p><i>Regulation 5(A)(6)(i) (Violation Type - Major)</i></p>	
3.	<p>Are all doors not intended for customer access kept closed at all times other than to permit access for deliveries and trash removal? Are all exterior doors solid and not a screen or ventilated security door?</p> <p><i>Regulation 5(C)(11) (Violation Type - Moderate)</i></p>	
4.	<p>Are all limited-access areas and all points of entry and exit to your business premises equipped with commercial-grade, nonresidential door locks in accordance with the approved security plan?</p> <p><i>Regulation 5(A)(4)(v) (Violation Type - Moderate)</i></p>	
5.	<p>Do you only permit authorized individuals who are at least 21 years of age to enter limited-access areas on your business premises? Authorized individuals include: your employees, outside vendors, contractors or other individuals conducting business that requires access to the limited-access Area.</p> <p><i>Regulation 5(A)(4)(vi) (Violation Type - Moderate)</i></p>	
6.	<p>Do your employees escort all non-employees within any limited-access area on your business premises at all times?</p> <p><i>Regulation 5(A)(4)(vi) (Violation Type - Moderate)</i></p>	

Business Premises Diagram

7.	<p>Do you maintain a log which tracks non-employee access to limited-access areas on your business premises? This log must be provided to DCR upon request. Licensees shall not receive consideration or compensation for permitting an individual to enter a Limited-Access Area.</p> <p><i>Regulation 5(A)(4)(vi) (Violation Type - Moderate)</i></p>	
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Security Requirements

1.	<p>(For Retail) Have you hired or contracted security personnel licensed by the Bureau of Security and Investigative Services to provide security services for your business premises during operating hours? Are all security personnel at least 21 years of age?</p> <p><i>Regulation 5(A)(4)(ii) (Violation Type - Moderate)</i></p>	
2.	<p>Are you maintaining an alarm system as required by the State? Did a licensed alarm company operator or one of its registered alarm agents install the alarm system? Did a licensed alarm company operator or one of its registered alarm agents maintain, monitor, and respond to the alarm system?</p> <p>Upon request, can you make available to the City all information related to the alarm system, monitoring, and alarm activity. Have you applied for, and/or do you maintain in good standing, an Alarm System Permit issued pursuant to LAMC Section 103.206.</p> <p><i>Regulation 5(A)(4)(iv) (Violation Type - Moderate)</i></p>	
3.	<p>Do all agents, officers, or other persons acting for or employed by you display an identification badge at all times while conducting business operations?</p> <p><i>Regulation 5(A)(2)(ii) (Violation Type - Minor)</i></p>	
4.	<p>Do your agents, officers, or other persons acting for or employed by you identification badges include: (1) your business entity name or DBA, (2) your DCR record number, (3) the employee's first name, (4) an employee number exclusively assigned to that employee for identification purposes, and (5) a color photograph of the employee that clearly shows the full front of the employee's face and that is at least 1 inch in width and 1.5 inches in height?</p> <p><i>Regulation 5(A)(2)(ii) (Violation Type - Minor)</i></p>	
5.	<p>Any time your store is not open for retail sales, do you ensure your business premises are securely locked with commercial-grade, non-residential door locks?</p> <p><i>Regulation 5(C)(4)(i) (Violation Type - Moderate)</i></p>	
6.	<p>Any time your store is not open for retail sales, do you ensure your business premises are equipped with an active alarm system?</p> <p><i>Regulation 5(C)(4)(ii) (Violation Type - Moderate)</i></p>	

Security Requirements

7.	Any time your store is not open for retail sales, do you ensure only your authorized employees and contractors are allowed to enter your business premises after hours? <i>Regulation 5(C)(4)(iii) (Violation Type - Moderate)</i>	
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Totals:		
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Procedures and Requirements - Retail

1.	<p>Are you and/or your employees physically present in the retail area whenever non-employees are in the retail area?</p> <p>Regulation 5(C)(3) (Violation Type - Moderate)</p>	
2.	<p>Does your business only display cannabis and/or cannabis goods in your retail area?</p> <p>Regulation 5(C)(5)(i) (Violation Type - Moderate)</p>	
3.	<p>Does your business remove cannabis and cannabis goods from their packaging and place them in containers to allow for customer inspection? Are these containers only accessible to customers with the assistance of your personnel? Containers must be provided to customers by retailers who shall remain with the customer at all times.</p> <p>Regulation 5(C)(5)(ii) (Violation Type - Moderate)</p>	
4.	<p>Do you destroy all cannabis and cannabis goods that have been removed from their packaging for display, when no longer used for display, pursuant to State requirements?</p> <p>Regulation 5(C)(5)(iii) (Violation Type - Moderate)</p>	
5.	<p>Do you refrain from providing free samples of cannabis or cannabis goods? Do you prohibit representatives of other companies or organizations from providing free samples of any type, including cannabis or cannabis goods, on your business premises.</p> <p>Regulation 5(C)(7) (Violation Type - Moderate)</p>	
6.	<p>Do you place all cannabis and/or cannabis goods purchased by customers in an exit package before they leave your business premises, as required by the State?</p> <p>Regulation 5(C)(8) (Violation Type - Moderate)</p>	

Procedures and Requirements - Retail

7.	<p>Do you use an electronic age verification device at each point-of-sales area to determine the age of anyone attempting to purchase cannabis or cannabis goods on your business premises? Is your electronic age verification device maintained in operational condition and have all of your employees been instructed on its use? Does your business use your functioning electronic age verification device for all cannabis and cannabis goods sold to the public?</p> <p><i>Regulation 5(C)(10) (Violation Type - Moderate)</i></p>	
8.	<p>Does your business conduct prohibited activities such as sales through drive through windows or walk-up windows?</p> <p><i>Regulation 5(C)(12)(i) (Violation Type - Major)</i></p>	
9.	<p>Does your business conduct prohibited activities such as providing adult entertainment of any type, as defined in LAMC Section 12.70, or alcohol or tobacco sales of any type on your business premises?</p> <p><i>Regulation 5(C)(12)(iii) (Violation Type - Moderate)</i></p>	
10.	<p>Does your business conduct prohibited activities such as providing entertainment of any type, except for ambient music. Disc jockeys, karaoke, and/or performances of any kind are prohibited. Does all music, sound, or noise emitted from your business premises comply with the noise regulations of the LAMC and not extend beyond your business premises?</p> <p><i>Regulation 5(C)(12)(iii) (Violation Type - Moderate)</i></p>	
11.	<p>Does your business conduct prohibited activities such as providing pool or billiard tables, dart games, video games, coin operated game machines or similar game devices on your business premises?</p> <p><i>Regulation 5(C)(12)(iv) (Violation Type - Minor)</i></p>	

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Records - Financial, Personnel and SOPs

1.	<p>If applicable, did you comply with DCR, City of Los Angeles Department of Building and Safety, City of Los Angeles Police Department, City of Los Angeles Fire Department, the City of Los Angeles Office of Finance, Los Angeles County Department of Health, and/or other government agencies's written request to examine your books and records? Are your records kept in a manner that allows the records to be viewed in either hard copy or in electronic form?</p> <p><i>Regulation 5(B)(2) (Violation Type - Minor)</i></p>	
2.	<p>Have you maintained an accurate record of your inventory and every sale as required by the State? Are you meeting all track and trace system requirements of the State at all times?</p> <p><i>Regulation 5(C)(9) (Violation Type - Minor)</i></p>	
3.	<p>Do you keep and maintain financial records including, but not limited to, bank statements, sales invoices, receipts, tax records, and all records required by the California State Board of Equalization, other State of California agencies, the Office of Finance, or DCR for at least seven years?</p> <p><i>Regulation 5(B)(1)(i)(A) (Violation Type - Minor)</i></p>	
4.	<p>Do you keep and maintain personnel records, including each employee's full name, Social Security or individual taxpayer identification number, date of beginning employment, and date of termination of employment, if applicable for at least seven years?</p> <p><i>Regulation 5(B)(1)(i)(B) (Violation Type - Minor)</i></p>	
5.	<p>Do you keep and maintain training records, including, but not limited to, the date and content and date of the training provided, the names of the Persons who administered the training, and the names of the employees that received the training for at least seven years?</p> <p><i>Regulation 5(B)(1)(i)(C) (Violation Type - Minor)</i></p>	
6.	<p>Do you keep and maintain contracts with other Licensees for at least seven years?</p> <p><i>Regulation 5(B)(1)(i)(D) (Violation Type - Minor)</i></p>	

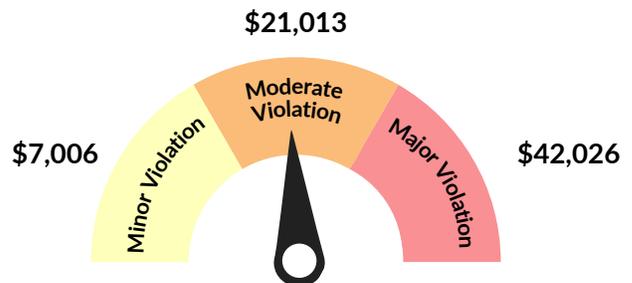
Records - Financial, Personnel and SOPs

7.	<p>Do you keep and maintain permits, licenses, and other local or state authorizations to conduct Commercial Cannabis Activity for at least seven years?</p> <p><i>Regulation 5(B)(1)(i)(E) (Violation Type - Minor)</i></p>	
8.	<p>Are all of your employees at your business premises at least 21 years of age?</p> <p><i>Regulation 5(A)(2)(iii) (Violation Type - Moderate)</i></p>	
9.	<p>Have you developed and implemented a written code of conduct for employees and a written code of conduct for patrons?</p> <p>Did you provide training on the employee code of conduct for your employees? Does your employee code of conduct address workplace behavior, employee accountability, compliance with State and City's operational rules and regulations, and other internal operational procedures?</p> <p>Have you posted the patron code of conduct in a visible and public area on your business premises? Does your patron code of conduct include minimum, prohibitions against loitering, littering, abusive or offensive behavior, and encourage patrons' mindfulness of the surrounding neighbors?</p> <p><i>Regulation 5(A)(2)(viii) (Violation Type - Minor)</i></p>	
10.	<p>Will you notify (or, if applicable, have you notified) DCR, in writing, of any criminal conviction entered against your Licensee or Applicant, any Owner of the Licensee or Applicant, any Primary Personnel of the Licensee or Applicant, or Management Company of the Licensee or Applicant, by electronic mail within 48 hours of the entry of the conviction?</p> <p>Will you notify (or, if applicable, have you notified) DCR, in writing, of any judgment or civil penalty entered against the Licensee or Applicant, any Owner of the Licensee or Applicant, any Primary Personnel of the Licensee or Applicant, or Management Company of the Licensee or Applicant, by electronic mail within 48 hours of the date of service of the verdict or the notice of entry of judgment, whichever is sooner? Have you provided written notice to DCR of the revocation or suspension of any State license, or other permit, clearance or authorization from any public agency within 48 hours of such revocation or suspension?</p> <p><i>Regulation 5(A)(7)(i) (Violation Type - Minor)</i></p>	

Records - Financial, Personnel and SOPs

11.	Will you notify (or, if applicable, have you notified) DCR of any significant discrepancy in its inventory within 24 hours of discovery? <i>Regulation 5(A)(7)(ii) (Violation Type - Moderate)</i>	
12.	Will you notify (or, if applicable, have you notified) DCR of any suspected or actual diversion, theft, loss, or any other criminal activity pertaining to the operation of your business within 24 hours of discovery? <i>Regulation 5(A)(7)(ii) (Violation Type - Moderate)</i>	
13.	Will you notify (or, if applicable, have you notified) DCR of any suspected or actual diversion, theft, loss, or any other criminal activity by an agent or employee pertaining to the operation of your business within 24 hours of discovery? <i>Regulation 5(A)(7)(ii) (Violation Type - Moderate)</i>	
14.	Will you notify (or, if applicable, have you notified) DCR the loss or unauthorized alteration of records related to cannabis, cannabis goods, registered medical cannabis patients or primary caregivers, or employees or agents within 24 hours of discovery? <i>Regulation 5(A)(7)(ii) (Violation Type - Moderate)</i>	
15.	Will you notify (or, if applicable, have you notified) DCR of any other breach of security within 24 hours of discovery? <i>Regulation 5(A)(7)(ii) (Violation Type - Moderate)</i>	

Totals:		
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Track and Trace System

1.	<p>Have you maintained an accurate record of your inventory and every sale, as required by the State? Are you meeting all track and trace system requirements of the State at all times?</p> <p>Regulation 5(C)(9) (Violation Type - Minor)</p>	
2.	<p>Do you have all cannabis and cannabis goods tested as required by the State, and adhere to the State's requirements concerning sampling, chain of custody, and labeling?</p> <p>Regulation 5(A)(1)(v) (Violation Type - Major)</p>	
3.	<p>Does your business restrict sales to less than the established maximum daily limit for medical cannabis and cannabis goods, including edibles, or adult use cannabis and cannabis Goods, including edibles per individual, as required by the State?</p> <p>Regulation 5(C)(6) (Violation Type - Moderate)</p>	

Totals:			
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Delivery

1.	<p>Are all deliveries of cannabis and cannabis goods by your business performed by your own employees? Are all of your employees who deliver Cannabis and/or Cannabis goods at least 21 years of age? Do your deliveries and delivery employees comply with all the requirements specified in Regulation 5(D)(1)?</p> <p><i>Regulation 5(D)(1) (Violation Type - Moderate)</i></p>	
2.	<p>Do all of your delivery employees have an identification badge and display it at all times while conducting delivery business operations? Does the identification badge include: your business entity name or DBA, DCR record number, the employee's name, an employee number exclusively assigned to that employee for identification purposes, and a color photograph of the employee that clearly shows the full front of the employee's face and is at least 1 inch in width and 1.5 inches in height?</p> <p><i>Regulation 5(D)(1) (Violation Type - Moderate)</i></p>	
3.	<p>Are all of your deliveries of cannabis and cannabis goods made in person? Does every vehicle used to deliver your business' cannabis and cannabis goods not contain any external markings, words, or symbols that indicate the vehicle is used for delivery of cannabis or cannabis goods or that the vehicle is used, owned or leased by a cannabis licensee?</p> <p><i>Regulation 5(D)(2) (Violation Type - Moderate)</i></p>	
4.	<p>Do you utilize an electronic age verification to determine the age of any individual attempting to purchase cannabis or cannabis goods for delivery? Do you utilize an electronic age verification at the point-of-sale(s) and at the point of delivery? Have all of your employees been instructed in its use? Did you provide a copy of the specifications of the age verification device or devices used by your delivery employees to DCR within 30 days of receiving a delivery license but prior to any delivery of cannabis or cannabis goods?</p> <p><i>Regulation 5(D)(5) (Violation Type - Moderate)</i></p>	
5.	<p>Do all of your employees who carry cannabis or cannabis goods for delivery operate and travel only in an enclosed motor vehicle? Do your employees restrict visibility of all cannabis and cannabis goods from the public during delivery and transport?</p> <p><i>Regulation 5(D)(6) (Violation Type - Major)</i></p>	

Delivery

6.	<p>Do all of your delivery employees refrain from leaving cannabis or cannabis goods in an unattended motor vehicle unless the motor vehicle is locked and equipped with an active vehicle alarm system? Have you equipped all of your vehicles used for delivery of cannabis and cannabis goods with a Global Positioning System (GPS) device which can identify the geographic location of the delivery vehicle during business hours?</p> <p>Note: A personal or business phone or tablet is not an acceptable GPS device. Do you immediately share GPS information with the City upon request? Is the GPS device permanently or temporarily affixed to the delivery vehicle and remains active and inside of the delivery vehicle during business hours?</p> <p><i>Regulation 5(D)(6) (Violation Type - Major)</i></p>	
7.	<p>Do your employees refrain from consuming cannabis or cannabis goods, or being under the influence of any substance that mentally or physically impairs your employee, while delivering cannabis or cannabis goods?</p> <p><i>Regulation 5(D)(9) (Violation Type - Major)</i></p>	
8.	<p>Do all motor vehicles you use for the delivery of cannabis and cannabis goods, have a Delivery Vehicle Placard (DVP)?</p> <p><i>Regulation 5(D)(11) (Violation Type - Moderate)</i></p>	
9.	<p>Is a DVP kept in all delivery vehicles at all times, and provided upon request to DCR, LAPD, or any other public agencies?</p> <p><i>Regulation 5(D)(11) (Violation Type - Moderate)</i></p>	
10.	<p>For Type 9 Commercial Cannabis Activity, do your delivery business premises, as defined in LAMC Section 104.01(a), include all ancillary and incidental portions of the premises, including, but not limited to, employee break rooms, storage rooms, parking lots, and all other portions of the premises even if cannabis or cannabis goods are not present?</p> <p><i>Regulation 5(D) (Violation Type - Minor)</i></p>	

Delivery

11.	<p>For Type 9 (delivery), have you posted a sign at each entrance to your business premises stating “NO ONSITE CANNABIS SALES.” Is the sign posted at eye-level and printed on a minimum of 8.5" x 11" paper size with lettering at least 2 inches in size or a minimum font size of 100?</p> <p><i>Regulation 5(D)</i> (Violation Type – Minor)</p>	
12.	<p>For delivery, does your business conduct prohibited activities such as sales through drive through windows or walk-up windows, or sales or delivery through curbside pickup?</p> <p><i>Regulation 5(D)(i)</i> (Violation Type – Major)</p>	
13.	<p>For delivery, does your business conduct prohibited activities such as allow access to your business premises by customers or members of the public, including, but not limited to, in any waiting area or lobby?</p> <p><i>Regulation 5(D)(ii)</i> (Violation Type – Major)</p>	
14.	<p>For delivery, does your business conduct prohibited activities such as allowing customers to place delivery orders at your business premises, including, but not limited to, through the use of a device such as a mobile device, computer, iPad or kiosk?</p> <p><i>Regulation 5(D)(iii)</i> (Violation Type – Major)</p>	
15.	<p>For delivery, does your business conduct prohibited activities such as deliver to your own business premises, including any portion subleased to a third party, or to a public right of way or sidewalk within 20 feet, measured in a horizontal straight line without regard to intervening structures from the exterior walls of your licensed business premises?</p> <p><i>Regulation 5(D)(iv)</i> (Violation Type – Major)</p>	
16.	<p>For delivery, does your business conduct prohibited activities such as delivering cannabis or cannabis goods to customers in a way that adversely affects or detracts from the quality of life for nearby residents, property owners, and businesses?</p> <p><i>Regulation 5(D)(v)</i> (Violation Type – Minor)</p>	

Delivery

17.	For delivery orders, are all of your cannabis and cannabis goods ordered, packaged for sale, labeled, and/or placed in packaging prior to being delivered to a customer? <i>Regulation 5(D)(3) (Violation Type - Moderate)</i>	
18.	Do you only deliver cannabis and cannabis goods between the hours of 6 a.m. to 10 p.m. daily? <i>Regulation 5(D)(7) (Violation Type - Major)</i>	
19.	Do your employees refrain from carrying cannabis or cannabis goods in excess of the amount permitted by the State? <i>Regulation 5(D)(8) (Violation Type - Moderate)</i>	
20.	Have you notified the DCR, in writing, of an arrest or criminal conviction of an employee involving a delivery vehicle, either by mail or electronic mail, within 48 hours of the arrest or conviction? <i>Regulation 5(D)(10) (Violation Type - Minor)</i>	

Totals:			
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Regulatory Compliance

1.	<p>Have you obtained a license from DCR and from the State for each commercial cannabis activity and business premises location where you engage in commercial cannabis activity?</p> <p><i>Regulation(5)(1)(i)</i> (Violation Type - Major)</p>	
2.	<p>Do you only transact or engage in commercial cannabis activity with a Person who possesses a local License and a State license for the relevant Commercial Cannabis Activity?</p> <p><i>Regulation(5)(1)(ii)</i> (Violation Type - Major)</p>	
3.	<p>Have you fully cooperated with inspections, investigations or audits? Have you provided any information, surveillance recordings, or other data to the City upon request and in the form, manner, and time requested?</p> <p><i>Regulation(5)(1)(iii)</i> (Violation Type - Major)</p>	
4.	<p>Did you notify DCR of your licensed business' initial start date of commercial cannabis activity within 30 days of that start date by completing the required Licensee Attestation: Operational Requirements and Violations (ENF-3003-FORM)?</p> <p><i>Regulation(5)(1)(vii)</i> (Violation Type - Minor)</p>	
5.	<p>Have you complied with all State regulations concerning Commercial Cannabis Activity?</p> <p><i>Regulation(5)(1)(ix)</i> (Violation Type - Major)</p>	
6.	<p>Have you refrained from diverting cannabis or cannabis goods to an unlawful establishment, or from selling, distributing or manufacturing unlicensed or stolen cannabis or cannabis goods?</p> <p><i>Regulation(5)(1)(xii)</i> (Violation Type - Major)</p>	

Regulatory Compliance

7.	<p>Do you, your employees, agents and officers obey all applicable commercial cannabis laws of the City of Los Angeles, the State of California, and any other relevant agencies?</p> <p>Regulation(5)(1)(xiii) (Violation Type – Major)</p>	
8.	<p>Do you monitor employee and customer conduct at your business premises, and other areas which customers or employees frequent, including parking areas? Do you ensure your employee and customer conduct at your business premises does not adversely affect or detract from the quality of life for nearby residents, property owners, and businesses? Do you discourage illegal activity, criminal conduct, nuisance activity and loitering on the business premises?</p> <p>Regulation(5)(2)(iv) (Violation Type – Minor)</p>	
9.	<p>Did you complete the Licensee Attestation: Operational Requirements and Violations (ENF-3003-FORM) within 30 days of beginning operations? Is the form signed by, at a minimum: (1) a simple majority of your Owner(s) or the Authorized Agent and, if applicable, (2) the Social Equity Individual Applicant. Did you provide a copy of the Rules and Regulations for Cannabis Procedures to all Primary Personnel, managers, and the person-in-charge?</p> <p>Regulation(5)(2)(vii) (Violation Type – Minor)</p>	
10.	<p>Have you refrained from making changes to the license entity's ownership structure, or change the entity conducting Commercial Cannabis Activity, without written approval from DCR?</p> <p>Regulation 5(A)(3)(ii) (Violation Type - Moderate)</p>	
11.	<p>Have you refrained from relocating your business premises or a commercial cannabis activity without written approval from DCR?</p> <p>Regulation 5(A)(3)(iii) (Violation Type – Major)</p>	
12.	<p>If applicable, have you requested approval for any change to your licensed commercial cannabis activity type, including the removal, cancellation, or expansion of the activity?</p> <p>Regulation 5(A)(3)(iv) (Violation Type – Major)</p>	

Regulatory Compliance

13.	<p>Do you restrict any and all physician recommendations or approvals to use medical cannabis or medical cannabis goods from being issued at your business premises?</p> <p><i>Regulation 5(A)(6)(iii) (Violation Type - Moderate)</i></p>	
14.	<p>Have you refrained from hosting, participating in, selling or giving away cannabis at an unlicensed special or temporary event relating to cannabis?</p> <p>A temporary or special event relating to cannabis includes, but is not limited to, a pop-up cannabis event, 4/20 event, cannabis farmer's market, or an event to mark the opening of a commercial cannabis business. No special events or parties of any type shall be held at your business premises, including, but not limited to, events for which a Temporary Special Event Permit has been issued by the Building and Safety Commission or any other City department.</p> <p><i>Regulation 5(A)(6)(v) (Violation Type - Major)</i></p>	
15.	<p>Will you notify (or, if applicable, have you notified) DCR in writing of any criminal conviction entered against the licensee or applicant associated with your business, any owner of the licensee or applicant, any of your primary personnel, or your management company by electronic mail within 48 hours of the entry of the conviction?</p> <p>Will you provide (or, if applicable, have you provided) written notice to DCR of the revocation or suspension of any State license, or other permit, clearance or authorization from any public agency within 48 hours of such revocation or suspension?</p> <p><i>Regulation 5(A)(7)(i) (Violation Type - Minor)</i></p>	
16.	<p><u>For medical cannabis sales</u>, do you only sell medical Cannabis or Cannabis Goods to medical cannabis patients or the primary caregivers of medical Cannabis patients as authorized by the State?</p> <p><i>Regulation 5(C)(2) (Violation Type - Major)</i></p>	
17.	<p>For storefront retailer commercial cannabis activity, do you only sell cannabis and cannabis goods during the hours allowed by the State?</p> <p><i>Regulation 5(C)(4) (Violation Type - Moderate)</i></p>	

Regulatory Compliance

18.	Do all patrons exit your business premises no later than 15 minutes after closing? <i>Regulation 5(C)(4)(iv) (Violation Type - Moderate)</i>	
19.	Have you submitted standard operating procedures to DCR prior to the Final Inspection, prior to a compliance inspection, and upon DCR's request? <i>Regulation 5(D) (Violation Type - Moderate)</i>	
20.	For microbusiness commercial cannabis activity, do you meet all operational requirements for the retailer commercial cannabis activity and all other non-retail commercial cannabis activity for which DCR has issued a License? <i>Regulation 5(E)(1) (Violation Type - Major)</i>	
21.	Are any of your owners or your employees employed by or do they have any ownership or financial interest in any other licensee having a license in any other category of commercial cannabis activity? <i>Regulation 5(F)(1) (Violation Type - Major)</i>	

Totals:			
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Items to Prepare for Inspection

To prepare for your inspection, please prepare the following documents ahead of the scheduled inspection date and have the available personnel as indicated.



- Have an employee, supervisor or manager meet with DCR Employee
- Employee to assist with the Surveillance Camera System
- Personnel/Employee Records
- Standard Operating Procedures (SOP)
 - Security
 - Inventory
 - Business' employee conduct
 - Code of Conduct (Patrons)
- Financial Records
- Sales receipts (last 3 months)
- Delivery receipts (last 3 months)
- BTRC copy (if not displayed)
- Access to Limited-Access Areas: [Regulation 5(A)(4)(vi)] (Violation Type - Moderate)
 - A log shall be maintained which tracks non-employee access to Limited-Access Areas. This log shall be provided to DCR upon request.



CITY OF LOS ANGELES DEPARTMENT OF™

CANNABIS REGULATION

Contact DCR Compliance:
DCRCompliance@lacity.org
(213) 978-0738