Inspection Readiness Checklist

What to have in place before, during, and after a regulatory or safety inspection

Intended for: owners, managers, and shift leads at licensed locations.
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> **Requirements vary by jurisdiction.** Use this as a starting list, and confirm the specific requirements for each license and location with your regulator.

01 Before anyone arrives

- ☐ **Licenses posted.** Current, unexpired, and displayed where your license conditions require.
- ☐ **Records location known.** Staff on every shift know where current records are kept, on paper and in which systems, and who is authorized to retrieve them.
- ☐ **Designated point person.** An accountable role, the named person on each shift who receives inspectors, and a named backup.
- ☐ **Inspection folder ready.** Licenses, floor plan, SOPs, recent training logs, and prior inspection reports in one place.
- ☐ **Contact list current.** Owner, manager on call, security provider, and any outside advisor staff should call.
- ☐ **Past findings closed.** Every corrective action from the last visit has evidence that it was done.

02 Records

- ☐ **Training logs.** Who was trained, on what, when, and by whom, with sign-offs.
- ☐ **Transaction and age-verification records.** ID checks, refusals, and any logs your systems keep.
- ☐ **Inventory or product records.** Receiving, transfers, adjustments, and waste or destruction, with counts that reconcile.
- ☐ **Incident logs.** Security events, customer incidents, and injuries, with how each was resolved.
- ☐ **Retention periods.** You know how long each record type must be kept, and nothing is destroyed early.
- ☐ **Video and access records.** Footage kept for the required period and retrievable on request.
- ☐ **Retrieval.** Records kept so authorized staff can retrieve them within the applicable response period, with an internal retrieval target you have set and tested.
- ☐ **Authorized access, not unrestricted access.** Counsel has confirmed which records, areas, and systems an inspector may access, and how staff handle a request outside that scope.

03 Premises

- ☐ **Signage.** Required notices, age restrictions, and warnings posted and legible.
- ☐ **Restricted areas.** Marked, locked or controlled, and limited to authorized staff.
- ☐ **Security.** Alarms, cameras, locks, and safes working, with known blind spots addressed.
- ☐ **Fire and life safety.** Exits clear, extinguishers tagged, alarm and sprinkler service current.
- ☐ **Storage and display.** Product handled the way your license conditions and SOPs describe.

General information only. Requirements vary by jurisdiction and change often; confirm current rules with your regulator or a qualified professional.

04 People

- ☐ **Who speaks to inspectors.** Staff notify the designated contact promptly and follow the counsel-reviewed procedure, without delaying lawful access or giving inaccurate answers.
- ☐ **How staff escalate.** A short written step, such as: greet, ask for identification and purpose, call the point person.
- ☐ **No guessing.** "I don't know, let me get the person who does" is a good answer. A guess is not.
- ☐ **Undercover checks.** Not every inspection is announced. In an undercover buy check, the inspector or buyer may not identify themselves, so staff follow the full ID and sales procedure on every sale.
- ☐ **New and temporary staff.** Briefed on the same steps before their first shift.

05 During an announced visit

- ☐ Ask for identification and the purpose and scope of the visit. Record names and the agency.
- ☐ Stay with the inspector, be courteous, and answer the question that was asked.
- ☐ Provide requested records promptly and keep a list of what was provided.
- ☐ Take your own notes on areas reviewed, questions asked, and any observations.
- ☐ If you are unsure about a request, say you will confirm and follow up. Call your advisor or counsel if needed.
- ☐ Ask how and when findings will be communicated.

06 After the visit

- ☐ **Written notes.** Complete a visit record the same day, while details are fresh.
- ☐ **Corrective actions.** Each finding gets one named owner and a due date.
- ☐ **Follow-up.** Respond within any deadline you were given and keep proof of what was sent and when.
- ☐ **Close the loop.** Update SOPs, training, and your compliance calendar where a finding shows a gap.
- ☐ **Debrief staff.** Tell the team what went well and what changes.

Inspection day contacts

Role	Name	Phone	Notes
Point person			
Backup point person			
Owner or manager on call			
Security or alarm provider			
Outside advisor or counsel			

Visit record

Date	Agency and inspector	Scope of visit	Findings	Owner	Due date

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