



# **Regulatory Compliance Audit**

## **Detailed Client Report**

**Date:** 04 October 2015

**Client:** Mock Marijuana LCC

**Audit Type:** Medical Cultivation (OPC)

**License No:** 403-0000X



**Audit SCORE:**

**81.4**

**Medical Marijuana Cultivation Center (OPC)**

Mock Marijuana LLC located at 4500 Elm Street, Denver O 80022

**Summary Results**

Section	Infractions	Total
<a href="#">General Applicability</a>	0	8
<a href="#">Licensing</a>	1	21
<a href="#">Licensed Premise</a>	4	65
<a href="#">Medical OPC</a>	1	28
<a href="#">Marijuana Testing</a>	1	4
<a href="#">Transport &amp; Warehousing</a>	0	25
<a href="#">Business Records &amp; Reporting</a>	0	32
<a href="#">Labeling, Packaging &amp; Products Safety</a>	2	12
<a href="#">Signage &amp; Advertising</a>	0	4
<a href="#">Enforcement &amp; Discipline</a>	0	8
<a href="#">Division, Local, Procedures &amp; Fire</a>	0	14
<a href="#">Federal Agencies (EPA, OSHA, Dept of Agr.)</a>	2	18
<a href="#">Inventory &amp; Financial (metrc, AML, IRS, Taxes)</a>	2	40
<b>Total</b>	<b>13</b>	<b>279</b>

*This regulatory audit represents a "snapshot" in time and does not guarantee a level of Federal, State or Local compliance. This report is a listing of outstanding concerns found during the compliance audit conducted at the licensed premise.*

**Auditor Assigned: John Jones**

**Date: 04 October 2015**

**For Facility Photos, [Click HERE](#)**

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## General Applicability

Infractions:

0 out of 8

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
	none		

## Licensing

Infractions:

1 out of 21

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M200	Clean criminal history - need Acknowledgement Form for Staff	n/a	Employee Forms



## Licensed Premise

Infractions:

4 out of 65

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M300	Video Surveillance equipment does not have the necessary failure notification system in place (alarm notification)	n/a	Notification
M300	The licensee does not maintain a map of camera locations, direction of coverage (line of sight), camera numbers and surveillance equipment maintenance log.	n/a	Reason needed on form, LOS
M300	The licensee does not store waste in accordance with state and local statues	n/a	Waste removed from facility prior to processing (external to premise)
M300	The facility does not make all marijuana and MIP product, as waste, unusable and unrecognizable prior to leaving the facility.	n/a	See prior note



## Medical OPC

Infractions:

1 out of 28

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M300	The facility does not have a manual process in place to track inventory & sales when metrc is down / comes back up	N/A	Need in facility binder

## Marijuana Testing (as applicable)

Infractions:

1 out of 4

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M700	Testing Records unavailable for review during audit	n/a	Must keep all testing records on file



## Transporting & Warehousing

Infractions:

0 out of 25

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
n/a			

## Business Records & Reporting

Infractions:

0 out of 32

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes



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## Labeling, Packaging & Products Safety

Infractions:

2 out of 12

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M1000	Product labels do not include all required statements	n/a	Missing CO statement
M1000	Product labels missing required "Pregnacy" statement	n/a	





## Signage & Advertising

Infractions:

0 out of 4

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes

## Enforcement & Discipline

Infractions:

0 out of 8

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
n/a			



## Divisional, Local, Procedures & Fire

Infractions:

0 out of 14

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
n/a			

## Federal Agencies - EPA, OSHA, Department of Agriculture, etc.

Infractions:

2 out of 18

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M900	The facility does not maintain an OSHA 300 Log for recording occupational injuries and illnesses.	n/a	Missing, add to binder
M900	The facility does not have the required Labor Law Poster displayed from OSHA	n/a	Need to order & display



## Inventory & Financial - metrc, IRS, AML, Taxes

Infractions:

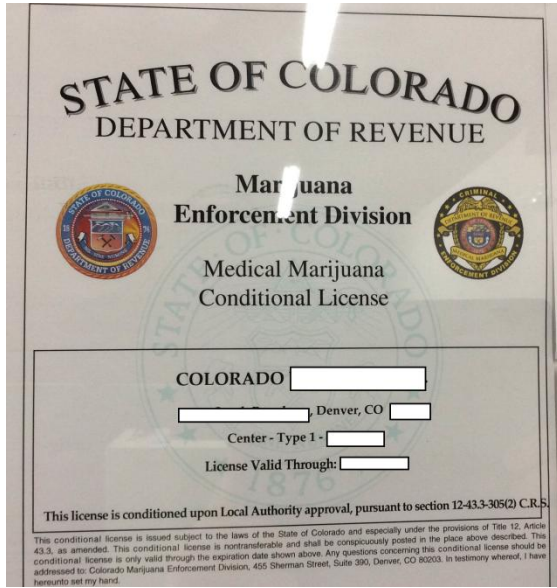
1 out of 40

### Prioritized Listing of Issues Found

Section	Infraction	Photo	Notes
M300	Inventory system metrc™ is not reconciled on a daily basis	n/a	Daily reconciliation required
M300	Inventory system is missing daily sales data (conduct while using metrc™)	n/a	Missing sales data from 10/2



## Facility Photos:



## Colorado Operational License



## Bloom Room #1

## Bloom Room #2

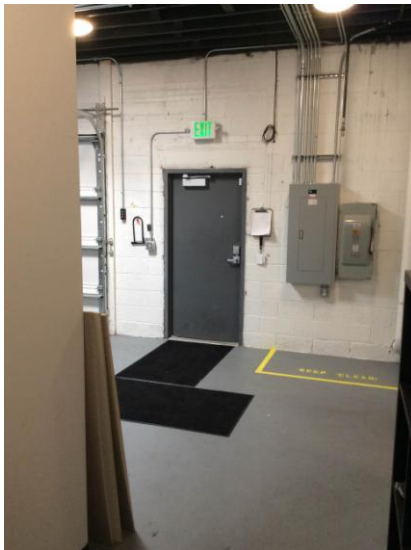
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**Secured Dumpster**



**Security & Surveillance Room**



**Secured Entry (Rear of Licensed Premise)**

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