



# Pre-Licensure Inspection List

***Disclaimer:** The Office of Cannabis Management (OCM) is providing a list of items likely to be inspected as a part of a pre-license inspection. This list may not be exhaustive of all items that the office will be inspecting during a pre-license inspection. OCM is tasked with inspecting the entire premises of a cannabis business and is in no way limited in its authority to inspect any and all parts of a cannabis business. This list is based on requirements in Minnesota Rules (M.R.), chapter 9810, and Minnesota Statutes (M.S.), chapter 342.*

## License type: testing facility

### Endorsements and activity types available:

- Testing activity
  - [M.S. § 342.37, subd. 1]

### Methods inspected:

- Microbial
- Water Activity
- Mycotoxins
- Heavy Metals
- Pesticides
- Residual Solvents
- Potency
- Foreign Material
- Other

*Not all questions will apply; requirements will vary based on what endorsements and activity types you selected in your application.*

# On-site inspection list

## Facility/property

- **Does the building have a certificate of occupancy?**
  - [M.R. P. 9810.1100, subp. 6(B)]
  - **If no, proceed through the next four questions (one of these must be yes to pass).**
    - **Has the municipality waived the requirement?**
    - **Does the applicant have a letter or certification from the municipality that the building does not need a certificate of occupancy?**
    - **Does the applicant have a letter or certification from the municipality or third-party certifier that the building meets all codes?**
    - **Is the building exempt under an “agricultural building” designation?**
- **Is there at least one toilet facility located on the premises in a completely enclosed room with a tight-fitting and self-closing door?**
  - [M.R. P. 9810.1100, subp. 6(A)]
- **Does the product storage area allow regulated products to be stored at least six inches above the ground?**
  - (M.R. P. 9810.1104, subp. 2)

## Product storage area

- **Is the product storage area clean, well ventilated, and free from condensation, sewage, dust, dirt, pests, chemicals, and other contaminants?**
  - (M.R. P. 9810.1104, subp. 2)
- **Is the product storage area locked?**
  - (M.R. P. 9810.1104, subp. 3)
- **Does the product storage area have a posted sign at the entrance stating “Restricted access. Authorized personnel only”?**
  - (M.R. P. 9810.1104, subp. 3)
- **Does the business have procedures for storing regulated products in a controlled environment, ensuring that products are free from contamination?**
  - (M.R. P. 9810.1104, subp. 1)
- **Do the business’s storage procedures ensure that product storage areas are only used for the storage of regulated products?**
  - [M.R. P. 9810.1104, subp. 1(A)]
- **Are records maintained for three years that describe the date and time of each occasion when a product storage area was accessed, by whom, and the name of individual, and the products that were added or removed from the storage area?**
  - [M.R. P. 9810.1104, subp. 1(B)]

## Security

- **Is security provided at the business premises, including at minimum: alarm system, video surveillance, lighting locks, and an immediate response protocol that must be initiated within 30 minutes after a security event occurs?**
  - [M.R. P. 9810.1500, subp. 1(A)] and [M.R. P. 9810.1500, subp. 2(A)(1-5)]
- **Does the business have effective security measures to guard against product theft?**
  - [M.R. P. 9810.1500, subp. 5(A)]
- **Does the business have effective security measures to guard against unauthorized access to the premises?**
  - [M.R. P. 9810.1500, subp. 7(A)]
- **Does the business have effective security measures to guard against unauthorized access to electronic business and customer records created and maintained by the business?**
  - [M.R. P. 9810.1500, subp. 7(C)]
- **Does the business have effective security measures to guard against unauthorized access to paper records created and maintained by the business?**
  - [M.R. P. 9810.1500, subp. 7(D)]
- **Is there an alarm system in good working order?**
  - [M.R. P. 9810.1500, subp. 8(A)]
- **Is the alarm system active 24 hours per day, seven days per week?**
  - [M.R. P. 9810.1500, subp. 8(A)]
- **Is the alarm system monitored by a contracted security company or a worker employed by the business?**
  - [M.R. P. 9810.1500, subp. 8(A)]
- **Does the alarm system provide immediate alerts to the business and local law enforcement for any unauthorized breach of the premises or a system failure?**
  - [M.R. P. 9810.1500, subp. 8(A)(1)]
- **Does the alarm system provide immediate alerts to the business and local law enforcement for any hazardous conditions detected on the premises?**
  - [M.R. P. 9810.1500, subp. 8(A)(2)]
- **Does the alarm system have a backup system that activates immediately and automatically upon the loss of electricity, and alerts authorized personnel of the loss of electricity?**
  - [M.R. P. 9810.1500, subp. 8(A)(3)]
- **Does the alarm system have an audible alarm capable of being heard by an individual within a 100-foot radius from entrances and exits?**
  - [M.R. P. 9810.1500, subp. 8(A)(4)]
- **Does the alarm system have the capability to remotely disable the audio alarm by authorized personnel?**
  - [M.R. P. 9810.1500, subp. 8(A)(5)]
- **Is there an operational video surveillance system on the premises?**
  - [M.R. P. 9810.1500, subp. 9(A)]
- **Is the video surveillance system active 24 hours per day, seven days per week?**
  - [M.R. P. 9810.1500, subp. 9(B)]
- **Does the video surveillance system include cameras that are placed in locations to allow clear recording of activity within a radius of at least 20 feet from all points of entry and exit?**
  - [M.R. P. 9810.1500, subp. 9(C)(1)]

- **Does the video surveillance system include cameras affixed to the exterior and interior of the premises to identify individuals entering and exiting the premises, limited-access areas, and restricted-access areas?**
  - [M.R. P. 9810.1500, subp. 9(C)(2)]
- **Does the video surveillance system allow viewing of all areas where cannabis is stored or where waste is destroyed or made unusable?**
  - [M.R. P. 9810.1500, subp. 9(D)]
- **Does the video surveillance system produce video files that are stored in a secure place for a minimum of 90 days?**
  - [M.R. P. 9810.1500, subp. 9(E)(1)]
- **Do security cameras record at a minimum of 15 frames per second?**
  - [M.R. P. 9810.1500, subp. 9(E)(2)]
- **Do security cameras have a minimum resolution of 720p?**
  - [M.R. P. 9810.1500, subp. 9(E)(3)]
- **Do security cameras have date and time stamps on all recordings?**
  - [M.R. P. 9810.1500, subp. 9(E)(4)]
- **Do security cameras have the capability to continue recording for an additional eight hours during a power outage?**
  - [M.R. P. 9810.1500, subp. 9(E)(5)]
- **Are all video surveillance recordings saved in an industry-standard file format that can be played without the purchase of particular software or equipment?**
  - [M.R. P. 9810.1500, subp. 9(F)(2)]
- **Is there fully functioning lighting in the interior and exterior of the premises?**
  - (M.R. P. 9810.1500, subp. 10)
- **Does lighting permit observers to see and cameras to record any activity in a radius of at least 20 feet around all entrances and exits?**
  - (M.R. P. 9810.1500, subp. 10)
- **Are all external entrances and perimeter windows in good condition?**
  - (M.R. P. 9810.1500, subp. 12)
- **Are all external entrances and perimeter windows lockable with commercial-grade locks?**
  - (M.R. P. 9810.1500, subp. 12)
- **Do all perimeter entry doors have electronic locks and keypads?**
  - (M.R. P. 9810.1500, subp. 12)

## Employees and personnel

- **Are there any employees under 21 years of age whose scope of work involves the handling of cannabis plants, cannabis flower, artificially derived cannabinoids, or cannabinoid products?**
  - [M.S. § 342.24, subd. 1(a)]
- **Is the facility operating under the direction of at least one technical manager responsible for the facility's ability to achieve and maintain the quality and analytical standards of practice?**
  - (M.R. P. 9810.3000, subp. 8)

## Operational requirements

- **Does it appear that the business will be conducting any licensed activity in a dwelling (home or residence)?**
  - (M.R. P. 9810.1100, subp. 4)
- **Is all equipment for weighing and measuring maintained in a sanitary manner that does not contaminate any products?**
  - (M.R. P. 9810.1100, subp. 7)

## Sampling

- **Does the business follow standard operating procedures (SOPs) for the safe and sanitary storage of cannabis samples, including maintaining the cleanliness of any building or equipment that the business uses to store cannabis samples?**
  - [M.R. P. 9810.1100, subp. 2(A)(5)]
- **Does the business follow procedures for managing the intake, chain of custody, and secure storage of regulated product samples?**
  - [M.R. P. 9810.3000, subp. 4(D)] [M.R. P. 9810.1100, subp. 2(A)(5)]  
(M.R. P. 9810.1104, subp. 1)
- **Does the business follow procedures for maintaining the integrity of samples handled from the time of receipt by the testing facility to reporting the analytical results and disposal of untested sample?**
  - [M.R. P. 9810.3000, subp. 4(D)]
- **Does the business follow SOPs that describe actions for receiving and handling samples?**
  - [M.R. P. 9810.3000, subp. 4(C)(1)-(2)]
- **Does the business follow an SOP that describes procedures for representative subsampling when the whole sample is not used for analysis?**
  - [M.R. P. 9810.3000, subp. 4(C)(3)]
- **Does the business follow an SOP that describes sample testing procedures?**
  - [M.R. P. 9810.3000, subp. 4(C)(4)]
- **Does the business follow an SOP that describes sample testing acceptance criteria?**
  - [M.R. P. 9810.3000, subp. 4(C)(5)]
- **Does the business have methods for disposing of unanalyzed portions of samples?**
  - (M.R. P. 9810.3000, subp. 11)
- **Does the testing facility follow an SOP describing the actions to receive, prepare, and test all representative samples?**
  - [M.R. P. 9810.3000, subp. 4(C)]
- **Does the testing facility follow a SOP describing the process to maintain the identity and integrity of all samples handled?**
  - [M.R. P. 9810.3000, subp. 4(D)]

## Testing methods

- **Review the documentation for an individual analyst demonstration of capacity for a method.**
- **Observe testing method. Does the analyst follow the SOP, document the procedure, document sample receipt, document instrumentation, document data analysis?**
- **(Repeat for each method) Observe testing method. Does the analyst follow the SOP, document the procedure, document sample receipt, document instrumentation, document data analysis?**

## Reporting

- **Does the data package include a case narrative, a signed statement verifying accuracy and completeness, a summary of analytical results, and a copy of the sample result report?**
  - [M.R. P. 9810.3000, subp. 9(B)]
- **Does the business have procedures for reporting the analytical results?**
  - (M.R. P. 9810.3000, subp. 3) (M.R. P. 9810.3000, subp. 10)
- **Does the business have procedures for the disposal of untested samples?**
  - (M.R. P. 9810.3000, subp. 11)

## Inventory tracking

- **Does the business have at least one person designated as a system administrator for Metrc?**
  - (M.R. P. 9810.1301, subp. 4)
- **Has the system administrator completed training in the use of Metrc?**
  - (M.R. P. 9810.1301, subp. 5)
- **Does each user of Metrc have unique login credentials?**
  - (M.R. P. 9810.1301, subp. 9)

## Manuals, standard operating procedures (SOPs), and record keeping

- **Does the business have SOPs that include the creation and entry of accurate data in the statewide monitoring system?**
  - [M.R. P. 9810.1100, subp. 2(A)(4)]
- **Does the business follow SOPs that include the proper designation of authorized personnel for specified duties of the cannabis business or hemp business and the procedure for issuing necessary worker identification for restricted-access areas?**
  - [M.R. P. 9810.1100, subp. 2(A)(7)]
- **Does the business have SOPs that include the proper designation of authorized personnel who have the authority to access, enter, and update private and nonpublic computer data?**
  - [M.R. P. 9810.1100, subp. 2(A)(8)]
- **Does the business have SOPs that include procedures for responding to a security breach, consistent with Minnesota Statutes, chapters 325E.61 and 325E.64?**
  - [M.R. P. 9810.1100, subp. 2(A)(9)]
- **Does the business follow written procedures for ensuring the consistent and accurate use of weighing and measuring equipment for mandatory controls? For sample receiving?**
  - (M.R. P. 9810.1100, subp. 7)
- **Does the business have written procedures for ensuring the accurate entry of weights and measurements into the statewide monitoring system?**
  - (M.R. P. 9810.1100, subp. 7)
- **Does the business ensure that a cannabis worker or volunteer receives annual training that applies to the role, authority, and responsibilities of the cannabis worker or volunteer?**
  - [M.R. P. 9810.1102, subp. 2(B)]
- **Does the business have annual worker training including SOPs required under Minnesota Rules, section 9810.1100, subp. 2(A)?**
  - [M.R. P. 9810.1102, subp. 2(B)(1)]
- **Does the business have annual worker training including state and applicable federal cannabis laws?**
  - [M.R. P. 9810.1102, subp. 2(B)(2)]

- **Does the business have annual worker training including state and federal laws regarding data privacy and confidentiality?**
  - [M.R. P. 9810.1102, subp. 2(B)(3)]
- **Does the business have annual worker training including the proper use of security measures and controls that have been adopted in compliance with Minnesota Rules, part 9810.1500 and Minnesota Statutes, chapter 342?**
  - [M.R. P. 9810.1102, subp. 2(B)(4)]
- **Does the business have annual worker training including procedures on responding to an emergency, including a fire, loss of electrical power, robbery, natural disaster, and workplace violence?**
  - [M.R. P. 9810.1102, subp. 2(B)(5)]
- **Does the business maintain records containing information about each worker who conducts activities authorized by the office, including records that the worker completed necessary training?**
  - [M.R. P. 9810.1102, subp. 2(D)]
- **Is each worker provided with information about hazardous materials that may be present on the premises?**
  - [M.R. P. 9810.1102, subp. 3(C)]
- **Is each worker provided with information about procedures for safely handling and operating equipment or tools?**
  - [M.R. P. 9810.1102, subp. 3(D)]
- **Are records maintained for the names and log-in credentials of all Metrc system administrators and system users who have had access within the past 12 months?**
  - (M.R. P. 9810.1301, subp. 8)
- **Does the data package include chain of custody information?**
  - [M.R. P. 9810.3000, subp. 9(C)]
- **Review analytical test records for instruments and equipment – choose one or two.**
  - (Technical Standard)
- **Review data or test records for complaint handling.**
  - (Technical Standard)
- **Review analytical test records for corrective actions.**
  - (Technical Standard)
- **Review analytical test records for internal and external audits. ISO and Managerial Review**
  - (Technical Standard)
- **Review analytical test records for proficiency testing, including sample preparation documentation.**
  - (Technical Standard)
- **Does the business have procedures for reviewing conflicts of interest between the business and its employees?**
- **Does the business have procedures for handling customer complaints, including how complaints are received, documented, investigated, and resolved? Include any protocols for tracking recurring issues, notifying regulatory authorities if required, and implementing corrective actions to prevent future occurrences.**
- **(If applicable) Does the business have procedures for subcontracting testing activities?**
  - (M.R. P. 9810.1100, subp. 7) (M.R. P. 9810.2500, subp. 2)