



ATCC

Alcohol, Tobacco, and Cannabis Commission

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Compliance Inspection – General Self-Checklist

Purpose

This checklist is provided solely to help licensed manufacturers/wholesalers understand what is typically reviewed during an ATCC compliance inspection, and to be fully prepared. This form is NOT an internal form used by the inspectors, and license holders are not required to use the form or to submit it to the ATCC.

Inspections are intended to verify compliance with Maryland law and regulations, and with mandated corrective measures related to prior inspections.

This checklist is general in nature. Not all items apply to every license type.

1. Licensing & General Information

- ☐ Current manufacturer/wholesaler license is active and available on-site
- ☐ Correct license type(s) held for activities conducted
- ☐ Trade name(s), ownership, business entity match license records
- ☐ No prohibited financial interests
- ☐ Any additional licenses (off-site, local license, consumption permits, etc.) are current
- ☐ Premises align with approved licensed diagrams on file

2. Premises & Physical Layout

- ☐ Operations confined to approved licensed premises
- ☐ Production, storage, and public areas clearly delineated & secured as required
- ☐ No unapproved retail activity

3. Production & Manufacturing

- ☐ Authorized products only
- ☐ Production at approved locations
- ☐ Accurate production records maintained
- ☐ Has not exceeded any production or distribution limits

4. Agricultural / Ingredient Requirements (if applicable – M4/M8)

- ☐ Acreage or sourcing documentation available
- ☐ Waivers from Sec. of Ag. on file (M4 only)

5. Wholesaling, Distribution & Three-Tier Compliance

- ☐ Sales limited to authorized license or permit holders
- ☐ No unauthorized direct sales (transfer from manufacturer to wholesale license to retail)
- ☐ No prohibited financial ties to other licenses

6. Tastings & Consumer Activities

- ☐ Tastings authorized by license
- ☐ Alcohol Awareness trained
- ☐ Age verification procedures in place
- ☐ On-sale and Off-sale permissions/restrictions followed
- ☐ Proper use of growlers and crowlers, if permitted
- ☐ Records of transfer of product to tap room/tasting room maintained

7. Records & Documentation

- ☐ Invoices and bills of lading maintained
- ☐ All product labels are accurate and approved
- ☐ All off-site and special event records are accurate and approved
- ☐ All planned promotions records are accurate and submitted
- ☐ All Direct-to-Consumer shipping and delivery (by employee) records – limits tracked
- ☐ Records retained for required period

8. Food & Merchandise

- ☐ License allows for any food sales (as modified by local law)
- ☐ Food products are only those allowed for that license (unless local law modifies restrictions)
- ☐ Trader's License if sales of merchandise
- ☐ Caterer/Restaurant/Health Dept license for food service
- ☐ Crowlers and Growlers properly labeled for sale

9. Reporting

- ☐ Required reports filed (direct delivery, production)
- ☐ No compliance flags from other State agencies

10. Prior Compliance & Follow-Up

- ☐ Prior issues addressed
- ☐ Corrective actions completed

This checklist is provided for informational purposes only and does not replace statutory or regulatory requirements. Inspectors may request additional information on any topic or activity.

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