



Firearms Dealer Internal Audit Compliance Inspection Worksheet

For Internal Use Only

(ALL CODES REFERENCED ARE CALIFORNIA PENAL CODES UNLESS OTHERWISE NOTED)

I. INTERNAL AUDIT INFORMATION

Business Name:		CFD Number:	City:	County Code:
Licensee(s):		Licensee On-Site? <input type="checkbox"/> Yes <input type="checkbox"/> No	Business Type:	
Responsible Person:			Position:	
Email Address:			<input type="checkbox"/> Routine <input type="checkbox"/> Follow-up <input type="checkbox"/> Referral	
Internal Auditor:			Audit #:	Date:
Start Time:	End Time:	On-Site Inspection Time:	Annual DROS Volume:	DROS Sampling Total:
Annual Ammunition Transaction Volume:		Ammunition Transaction Sampling Total:	Other Records:	Total Records:
Violations at Inspection:	Next Inspection Recommended:	Additional Training Assigned To:		

I certify to the best of my ability that this firearms compliance inspection report is accurate and complete.

MANAGER APPROVAL

Internal Auditor _____	Date _____	Manager _____	Date _____
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II. LICENSING REQUIREMENTS [26700-26915 and CCR 4022 (b)(1)] (Immediate Referral)

III. FEE REQUIREMENTS (Immediate)

Valid COE for licensee? [26700]	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$31.19 DROS fee is posted. [26875]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Valid Sellers Permit? [26700]	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$1 Safety fee is posted. [26875]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Local License/Letter? [26700]	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$5 Safety & Enforcement fee is posted. [26875]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Valid COE for each employee? [26915]	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Valid FFL? [26700]	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$10 Private Party Transfer fee is posted. [26875]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Valid Large Cap. Mag. Permit? [32315]	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No		
Valid Dangerous Weapons Permit? [31005]	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No	Governmental fees are stated correctly. [26880]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Secondhand Dealer/Pawnbroker License? [B&P 21640]	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No	FSC test fees are posted. [26875]	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No
Valid COE for each ammo employee? [30347]	<input type="checkbox"/> Yes <input type="checkbox"/> No		



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IV. SECURITY REQUIREMENTS [26890] (1 week)

☐ Safe/Vault
 ☐ Cables/Locks [26890(a)]
 ☐ Secure Facility [17110]
 ☐ None

V. SIGN REQUIREMENTS (Immediate)

Minor warning (secured storage) sign is posted. [26835(a)(1)] ☐ Yes ☐ No
 Minor warning (HG off-premises) sign is posted. [26835(a)(2)] ☐ Yes ☐ No
 Minor warning (concealed storage of a firearm) sign is posted. [26835(a)(3)] ☐ Yes ☐ No
 Minor warning (to a school) sign is posted. [26835(a)(4)] ☐ Yes ☐ No
 Minor warning (negligent storage) sign is posted. [26835(a)(5)] ☐ Yes ☐ No
 Lead warning sign is posted. [26835(a)(6)] ☐ Yes ☐ No
 DROS 30 day expiration sign is posted. [26835(a)(7)] ☐ Yes ☐ No
 One handgun or semiautomatic centerfire rifle per 30 day sign is posted. [26835(a)(8)] ☐ Yes ☐ No
 Lost or stolen firearm sign is posted. [26835(a)(9)] ☐ Yes ☐ No
 Suicide Prevention Lifeline sign is posted. [26835(b)] ☐ Yes ☐ No

VI. FIREARM SAFETY CERTIFICATE REQUIREMENTS (Immediate)

a. FSC Certified Instructor(s) Certificate is current. [31635(b)] ☐ Yes ☐ No ☐ N/A
 b. FSC test area is a separate room or is a partitioned area. [31640(f)] ☐ Yes ☐ No ☐ N/A
 c. FSC booklets are unmarked. [27550] ☐ Yes ☐ No ☐ N/A
 d. FSC tests are accurately completed and graded correctly. [31620(a) and 31645(a)] ☐ Yes ☐ No ☐ N/A
 e. FSC tests are retained for five years. [CCR 4253] ☐ Yes ☐ No ☐ N/A

VII. INSPECTION REQUIREMENTS (Immediate and/or 1 week to obtain)

a. Firearm Dealer maintains, and made available for inspection the bound book and firearms transaction records. [26900(a)&(b)] (Immediate) ☐ Yes ☐ No ☐ N/A
 b. All firearms that are in inventory of Firearm Dealer are at the licensed location. [26885(a)] (Immediate) ☐ Yes ☐ No ☐ N/A
 c. DROS worksheets are retained for three years from the date of the last transaction. [28215(c)] (Immediate) ☐ Yes ☐ No ☐ N/A
 d. Dealer record of sale worksheets are complete. [28160] (Immediate) ☐ Yes ☐ No ☐ N/A
 e. Right thumbprint is obtained on delivered DROS. [28160(b)] (1 week) ☐ Yes ☐ No ☐ N/A
 f. Photocopies of non-scanned identification are maintained. [28180(b)(2)] (Immediate) ☐ Yes ☐ No ☐ N/A
 g. Photocopies of "Federal Limits Apply" identification and proof of lawful presence documentation are retained. [CCR 4045.1(f)(1)] (Immediate) ☐ Yes ☐ No ☐ N/A
 h. Firearm dealer utilizes digital card reader. [28180] (Immediate) ☐ Yes ☐ No ☐ N/A



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VII. INSPECTION REQUIREMENTS (Immediate and/or 1 week to obtain)

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| i. Proof of exemption retained when a firearm is transferred to an individual under 21 years of age. Exemption does not apply to handguns or semiautomatic centerfire rifles. [27510] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| j. Firearm Dealer notifies DOJ upon delivery of firearm. [28255] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| k. DROS submissions more than 30 days old are canceled and not delivered. [26910] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| l. Firearms sold/transferred within the ten-day waiting period are verified as on-site. [26815(a) and 27540(a)] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| m. Proof of peace officer waiting period exemptions are retained. [26950(b)(3), 27650(b)(3), and 28160(a)(4)] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| n. Large-capacity magazine permit and exemptions records are properly maintained. [32310 and 32400, CCR 5483] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| o. Denials reviewed and no straw purchases found. [27515] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| p. Verified no firearms have been released to prohibited persons. [27500] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| q. Firearm Dealer is aware of the requirement to provide the prohibition notice and transfer form for denials. [26815(d)] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| r. Verified Firearm Dealer is not in possession of assault weapons. [30605] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| s. Verified Firearm Dealer has not sold or transferred assault weapons. [30600] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| t. Firearm Dealer is aware of and complies with the requirements to conduct private party transfers. [26825, and 26830(d)] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| u. Warning labels are available for delivery of firearms. [23635(e) and 23640] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| v. Firearm Dealer is only offering for sale DOJ approved FSD/firearm safes. [23635, 23660 and 23665] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| w. FSD or firearm safe documentation is confirmed (DROS/affidavits/receipts). [23635] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| x. Firearm Dealer is obtaining CFLC number prior to shipping or receiving firearms. [27555] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| y. Photocopies of valid and signed FSC cards are retained on firearm transactions. [26840(a) and CCR 4254(g)] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| z. Photocopies of FSC exemptions granted on firearm are retained. [31700] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| AA. Safe Handling Affidavits are completed and maintained on firearm transactions. [26850] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |



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VIII. HANDGUN AND SEMIAUTOMATIC CENTERFIRE RIFLE PURCHASES (1 week)

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| a. Valid proof of residency documentation at time of delivery retained for handgun transactions. [26845] | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| b. Photocopies of one handgun or semiautomatic centerfire rifle per 30 day exemptions granted are retained. [27535] | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| c. Non-certified handgun exemption records (law enforcement sales) are maintained. [32000(b)] | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |

IX. AMMUNITION INSPECTION REQUIREMENTS (Immediate and/or 1 week to obtain)

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| a. Ammunition displayed in a manner that requires assistance from an ammunition vendor associate [CCR 4262 & 30350] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| b. Purchaser's signature obtained for each ammunition transaction. [30352(a)] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| c. Required ammunition exemption information is maintained. [CCR 4286 & 30355] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| d. If the Firearm Dealer has conducted private party transfers for ammunition, the fee has not exceeded \$5. [CCR 4263] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| e. Photocopies of "Federal Limits Apply" identification and proof of lawful presence documentation are retained [CCR 4045.1] (1 week) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| f. Ammunition DROS worksheets are retained for five years from the date of the recorded transfer [30355] (Immediate). | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |

X. SECOND HAND DEALER/BUY REQUIREMENTS (Immediate)

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| a. Firearm Acquisition Report is submitted to DOJ for firearms acquired/buy from private parties. [26905] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| b. Firearm acquisitions in Federal Acquisition and Disposition Record Book reconcile with Handgun Acquisition Reports. [26905] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| c. Submitted purchase of firearms acquired from private party consignments, pawn and auctions. [21628.2(b) B&P] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| d. Secondhand firearm purchase forms submitted reconcile with Federal Acquisition and Disposition Record Book/Federal Acquisition and Disposition Record Book reconciles with FDAS reports. [21628.2(b) B&P] (Immediate) (WP#_____) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| e. Secondhand firearm worksheets are complete. (serial number/thumbprint/signatures). [21628.2(b) B&P] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| f. Secondhand firearms acquired have not been sold or transferred prior to 30 days. [21636 B&P] (Immediate) | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| g. Disposition of stolen firearm, on-site. | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |