

LDB Compliance Audit: On-site Visit Guidance

The following information is intended to provide manufacturers with details on what to expect during the LDB compliance audit on-site visit at your establishment.

During the audit on-site visit, the LDB will conduct the following activities:

1. Inventory count

The inventory count will be conducted together with the LDB auditor and the manufacturer's representative; both the LDB auditor and the manufacturer's representative will count inventory and the LDB auditor will take pictures for the audit file, if needed.

2. Review of production process

- The LDB auditor will request that the manufacturer's representative provide an overview of the liquor production process and an explanation of equipment on-site
- The LDB auditor will select one of the production records and review the records with the manufacturer to understand the flow and different stages of the production process
- The sample production records to be discussed include:
 - Brew sheets (for brewery and brewpub)
 - Internal production records (for winery and distillery), and
 - Packaging records (for all manufacturers)
- The LDB auditor will take pictures for the audit file, if needed

3. Discussion of requested documentation

- The auditor will review with the manufacturer's representative the list of requested documents outlined in the engagement letter and provide clarification of the required documents
- The auditor will note which documents have been received, and which have not yet been received
- The auditor will discuss a plan with the manufacturer for receiving pending documents (i.e. email or file transfer system, courier, etc).
- For any documents provided in hard copy form, the auditor may request to take the hard copy to LDB head office and make copies; the original record will be couriered back to the manufacturer.

4. Discussion with the manufacturer's senior management regarding audit next steps