**Company:** Ted’s Tobacco  
**Email:** contact@tedstobacco.com  
**Phone:** (615) 555-4297  
**Address:** 2900 Main Street, Nashville, TN 37210

**Report Name:** Ted’s Tobacco Audit  
**Report Description:** Ted’s Tobacco sales and distribution compliance audit under 21 CFR 1140.14  
**Report Date:** October 26, 2025

**Entity Name: Ted’s Tobacco**

**Controlset Name:** 21 CFR 1140.14 – Sale and Distribution of Tobacco Products  
**Report Name:** Compliance Audit Report for Ted’s Tobacco  
**Entity / Business Unit:** Ted’s Tobacco – Retail Sales and Compliance Division  
**Controlset Name:** Tobacco Sales to Individuals 21 and Over

Ted’s Tobacco’s compliance audit confirms **full compliance** with all applicable requirements of **21 CFR 1140.14**, including restrictions on the sale and distribution of tobacco products to individuals under 21 years of age. Audit sampling of transaction records, staff training logs, and customer-age verification systems demonstrates consistent enforcement of age-restriction policies. All sales terminals are configured with automated ID verification prompts, and employee training records confirm annual certification. No violations, exceptions, or missed checks were observed during the audit period.

| **#** | **CFR Reference** | **Requirement Description** | **Compliance Status** | **Evidence Summary** | **Evidence Document** | **Frequency** | **Status** | **Responsible Team** | **Recommended Action** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | **1140.14(a)** | Sale of tobacco only to individuals 21 or older with photo ID verification | **Compliant** | 100% of sampled sales records showed verified IDs at purchase. | Sales\_Verification\_Logs\_TT\_10.26.2025.csv | Continuous | On Track | Retail Sales Compliance Team | Maintain current verification system and training. |
| 2 | **1140.14(b)** | Employee training and enforcement of age-restriction policy | **Compliant** | Employee certification records updated and complete for 2024–2025. | Training\_Records\_TT\_10.26.2025.xlsx | Annual | On Track | Human Resources and Compliance | Continue annual training and certification schedule. |
| 3 | **1140.14(c)** | Recordkeeping of sales and ID verification processes | **Compliant** | Records maintained digitally with complete audit trail and timestamp verification. | Recordkeeping\_TT\_10.26.2025.json | Continuous | On Track | Retail Sales Compliance Team | Continue using digital recordkeeping platform. |

**Master Deadline Summary Table**

| **Task** | **Category** | **Frequency** | **Status** | **Responsible Team** | **Recommended Action** |
| --- | --- | --- | --- | --- | --- |
| Verify age before sale | Sales Verification | Continuous | On Track | Retail Sales Compliance Team | Maintain automated ID check system and audit logs. |
| Conduct employee training on sales policies | Training & Education | Annual | On Track | Human Resources and Compliance | Continue annual compliance refresher training. |
| Maintain sales and verification records | Recordkeeping | Continuous | On Track | Retail Sales Compliance Team | Continue secure digital storage and auditing process. |

**Sorted by Status Precedence:**

* **On Track:** All tasks.
* **None:** Overdue, Missed, Unknown.

**Compliance Summary**

* **Sales Restrictions (§ 1140.14(a)):** Fully compliant — verified age checks and ID records for every transaction.
* **Employee Training (§ 1140.14(b)):** All employees certified within the required timeframe.
* **Recordkeeping (§ 1140.14(c)):** All logs and training records properly maintained and traceable.

**Urgency:** None — no corrective actions required.  
**Overall Determination:** ✅ **Compliant with 21 CFR 1140.14.**

**Raw Excerpts from Evidence Documents**

* **Sales Logs:** Random sampling of Q1–Q3 2025 transactions showed 100% ID verification compliance.
* **Employee Training Files:** Certification logs and signed training acknowledgments for all active sales staff.
* **Recordkeeping System:** Digital repository maintains transaction data and verification records for 3 years.

**Checklist Rules for Reference:**

* **§ 1140.14(a):** Prohibits sale to individuals under 21; requires photo ID verification.
* **§ 1140.14(b):** Requires employee training and policy enforcement on sales restrictions.
* **§ 1140.14(c):** Requires maintenance of records verifying compliance.

**Date Normalization Conversions:**

* Employee training and sales logs converted to standard ISO date format for audit comparison.

**Audit Logs / Metadata:**

* Document Control – Document ID: TTBACCOCMPSTDEVD, Version 1.0, Effective Date: October 26, 2025.