**Company:** Tobacco Hut Junior  
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**Report Name:** Tobacco Hut Junior Audit  
**Report Description:** Tobacco Hut Junior sales and distribution compliance audit under 21 CFR 1140.14  
**Report Date:** October 26, 2025

**Entity Name: Tobacco Hut Junior**

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

The compliance audit for Tobacco Hut Junior identified **significant violations** of **21 CFR 1140.14**. Evidence shows that the company **sold tobacco products to individuals under the age of 21** on multiple occasions and **failed to maintain adequate photo ID verification procedures**. Audit sampling revealed several transactions without documented age verification, outdated employee training certifications, and incomplete recordkeeping for daily compliance logs. Immediate corrective action is required to restore regulatory compliance and prevent further enforcement actions.

| **#** | **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 | **Non-Compliant** | Three test purchases by underage inspectors were completed without age verification. | Sales\_Verification\_Logs\_THJ\_10.26.2025.csv | Continuous | **Overdue** | Retail Sales Compliance Team | Implement mandatory ID scanner locks and retrain all staff immediately. |
| 2 | **1140.14(b)** | Employee training and enforcement of age-restriction policy | **Non-Compliant** | Employee training records show certifications expired in 2023; no evidence of renewal. | Training\_Records\_THJ\_10.26.2025.xlsx | Annual | **Overdue** | Human Resources and Compliance | Reinstate annual training program and track completion electronically. |
| 3 | **1140.14(c)** | Recordkeeping of sales and ID verification processes | **Non-Compliant** | Digital log files incomplete for multiple sales days; no timestamp verification. | Recordkeeping\_THJ\_10.26.2025.json | Continuous | **Overdue** | Retail Sales Compliance Team | Implement centralized POS logging and daily audit reconciliation. |

**Master Deadline Summary Table**

| **Task** | **Category** | **Frequency** | **Status** | **Responsible Team** | **Recommended Action** |
| --- | --- | --- | --- | --- | --- |
| Verify age before sale | Sales Verification | Continuous | **Overdue** | Retail Sales Compliance Team | Install age-verification locks on registers and enforce mandatory ID scans. |
| Conduct employee training on sales policies | Training & Education | Annual | **Overdue** | Human Resources and Compliance | Retrain employees on age-restriction law within 30 days. |
| Maintain sales and verification records | Recordkeeping | Continuous | **Overdue** | Retail Sales Compliance Team | Automate daily compliance logs and retain records for 3 years. |

**Sorted by Status Precedence:**

* **Overdue:** All tasks.
* **Missed:** Multiple sales verification events.
* **On Track:** None.

**Compliance Summary**

* **Sales Restrictions (§ 1140.14(a)):** **Non-compliant** — sales to underage individuals occurred in three separate instances.
* **Employee Training (§ 1140.14(b)):** **Non-compliant** — training program out of date and incomplete.
* **Recordkeeping (§ 1140.14(c)):** **Non-compliant** — records missing or inconsistent for daily verification logs.

**Urgency:** **High – Immediate corrective actions required within 14 days.**  
**Overall Determination:** 🚫 **Not Compliant with 21 CFR 1140.14.**

**Raw Excerpts from Evidence Documents**

* **Sales Logs:** Inspector purchase records from September 2025 show three sales to underage test customers without ID verification.
* **Employee Training Files:** Last training date documented July 2023; no records for new hires in 2024 or 2025.
* **Recordkeeping Audit:** POS system lacked timestamp capture for 20% of transactions sampled.

**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:**

* Training and sales logs standardized to ISO 8601 for gap analysis.

**Audit Logs / Metadata:**

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