

State of California, Department of Cannabis Control  
**Transportation Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages maybe added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Identify whether the applicant intends to transport cannabis or cannabis products or will be contracting for transportation services.

2. If transporting cannabis or cannabis products, provide the following information:

a. Whether the applicant intends to transport to all license types or is limiting transportation to only certain license types.

b. The geographic regions the applicant will transport to and from, and whether the applicant expects to transport overnight.

c. Vehicle and trailer information, which includes:

i. Number of vehicles to be used.

ii. Type of vehicles or trailers to be used, including make, model, year, and vehicle identification number (VIN).



iii. Registration and insurance information for each vehicle being used.

iv. Whether the applicant has or will be applying for a motor carrier permit, list permit numbers (if applicable).

d. Driver information, which includes:

i. All employees that are or will be transporting cannabis or cannabis products, either as a driver, or a passenger, including name and age of employee, driver's license information, and list the roles and responsibilities for each employee.

ii. Will any security personnel accompany employees transporting cannabis or cannabis products? Specify whether security personnel will be employees or contracted. If contracting for security, provide the name of the company, license number, contact person, and phone number.

e. Information regarding the storage of cannabis and cannabis products in the vehicle, which includes:

i. A description of how the applicant intends to store cannabis and cannabis products in each vehicle or trailer, i.e., what area of the vehicle or trailer will be used for storage.

ii. A description of how the applicant intends to secure cannabis and cannabis products in each vehicle.



iii. A description of how the applicant will ensure that cannabis and cannabis products are not visible or identifiable from outside each vehicle.

f. Information regarding all security measures the applicant will have in place for the transportation of cannabis and cannabis products, including, but not limited to:

i. Describe the alarm systems for each vehicle.

ii. Other security measures used during the transporting of cannabis or cannabis products.

g. Whether the applicant is located within a building or on the same parcel of land as another licensee, for which transportation by motor vehicle is not operationally feasible, and how the applicant will be transporting cannabis or cannabis products, if not by motor vehicle.

3. If contracting for transportation services, provide a list of transportation services used, and a copy of the contract for each, if applicable.

Applicant Signature

Date Signed



## State of California, Department of Cannabis Control

# Inventory Procedures

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Using a diagram, indicate where on the licensed premises cannabis and cannabis products will be stored.

2. Describe who has access to the areas in which cannabis and cannabis products are stored.

3. Describe the security measures in place at the location where cannabis and cannabis products are stored.

4. Describe the conditions of the location where the cannabis and cannabis products are stored. Can the temperature and/or humidity be controlled?

5. Describe the training provided to employees regarding inventory procedures.
  
6. Describe the process for receiving new inventory of cannabis and cannabis products.
  - a. Describe where the cannabis and cannabis products are received.
  
  - b. Identify who will receive the cannabis and cannabis products, such as a manager or an employee.
  
  - c. Describe how the cannabis and cannabis products are moved to the cannabis storage area.
  
  - d. Describe what records are produced.



7. Describe the type of inventory records that are produced and maintained regarding the movement of inventory.

8. Describe the process for removing cannabis or cannabis products from inventory.

a. Describe what happens to the cannabis and cannabis products after they are removed from inventory, including any records that are produced.

9. Describe the methods used to ensure that the cannabis and cannabis products stored are preserved and do not degrade.

10. How often is inventory reconciliation conducted?

a. Describe the process for inventory reconciliation and the types of records that are produced.



Applicant Signature

Date Signed



State of California, Department of Cannabis Control  
**Non-Laboratory Quality Control Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Describe the applicant’s procedures for packaging and labeling.
  - a. Procedures for verifying labeling contents for cannabis and cannabis product batches, when transferring between licensees and storage. Include how the applicant verifies the name, license number of manufacturer or cultivator, date of entry into storage area, unique identifiers and batch number, description of cannabis and cannabis products, weight and/or quantity of units in batch, and expiration or sell-by date (if applicable).
  
  - b. Procedures for verifying labeling contents for cannabis goods for retail sale including final form of verification, primary panel labeling, and informational panel labeling.
  
  - c. Procedures for verifying labeling contents for cannabis goods for retail sale including net weight (if applicable), identification of the source and date of cultivation, type of cannabis, date of packaging, county of origin (if applicable), allergen warning (if applicable), and unique identifier.
  
  - d. Procedures for verifying government warning label requirements.



e. Procedures for verifying cannabis products required to have "For Medical Use" labeling, if applicable.

f. Procedures for verifying packaging requirements including tamper-evident, child-resistant, and resealable child-resistant exit packaging, if applicable.

2. Describe how the applicant will avoid and/or limit deterioration and contamination of any cannabis and cannabis products, including, but not limited to: pest control, environmental controls, maintenance and cleaning services.

3. Describe the applicant's procedures for handling returns.

4. If applying for a distributor license, provide the following information.

a. Storage procedures, which include:

i. Whether the applicant is providing storage-only services to other licensees, and if so, which licensees and license types.

ii. Identify all limited-access areas on the premises, and storage areas of cannabis and cannabis products in limited access areas.

iii. Procedures for storage and separation of cannabis and cannabis product batches for testing.

b. Labeling and packaging procedures, which include:

i. When labeling and packaging will occur.

ii. Area of premises where labeling and packaging will occur.

c. Sampling procedures, which include:

i. Provide the timeframe for making testing arrangements after taking physical possession of cannabis and cannabis product batches.

ii. Provide the sampling procedures for ensuring correct batch size, incremental sampling, and how the distributor will ensure that the distributor employee has no contact with cannabis and cannabis products or sampling equipment.

iii. Provide procedures for video recording sampling of cannabis and cannabis product batches.

iv. Provide chain of custody procedures for cannabis and cannabis product batches.

d. Testing results procedures, which include:

i. Procedures for a failed sample, including remediation and/or cannabis waste procedures.

ii. Procedures for a passed sample.

iii. Track and Trace procedures following testing.

iv. Certificate of Analysis review procedures.

Applicant Signature

Date Signed



## State of California, Department of Cannabis Control

# Security Procedures

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Describe who is responsible for implementing the Security Operating Procedures and list each person's role and responsibilities.
  
2. Describe how the applicant will ensure all access points will be secured, which includes a description of all entrances and exits, windows, and doorways and the types of locks used.
  
3. Describe the procedures for allowing individuals access to the premises, which includes:
  - a. A list of employees who have access including their roles and responsibilities.
  
  - b. A description of how the applicant will ensure only authorized persons have access to the licensed premises and its limited access areas.

c. A description of how the applicant will maintain an accurate record of all non-employee authorized individuals allowed onsite, in conformance with 4 CCR section 15042.

4. Describe how the applicant will comply with the employee badge requirement in 4 CCR section 15043, including how the applicant will assign employee numbers and what the procedures are when an employee changes responsibilities or leaves the employment of the licensee.

5. Provide a description of the video surveillance system, which includes:

a. A description of the types of cameras and video storage equipment.

b. A description of the camera placements and the number of cameras to be used.

c. A description of the procedures for the maintenance of the video surveillance equipment.

d. A description of how the applicant will be notified of video surveillance system-failure or malfunction.

e. A description of how the video surveillance system will be monitored.



f. A description of how the applicant will produce copies of video recordings at the licensed premises immediately upon request of the Department.

g. A description of how the applicant will share the video surveillance system with other licensees (when sharing services at the same location), if applicable.

6. Provide information regarding the use of security personnel onsite, which includes:

a. Whether the security personnel will be employed by the applicant or contracted. If contracted, provide the name of the security company, license numbers, contact person, phone number of personnel that will be providing services, and a copy of the contract.

b. Where the security personnel will be stationed on the licensed premises and/or which areas will be covered by roving security.

c. The hours security personnel will be onsite.

d. A description of how the applicant will share security personnel with other licensees (when sharing services at the same location), if applicable.

e. Will the security personnel be armed or unarmed?



7. Provide a description of the security alarm system, which includes:

a. The name, license number, address, phone number, and contact person of the alarm company that installed, maintains, and monitors the alarm system.

b. How the applicant will ensure the alarm system remains operational, including the frequency of maintenance checks by the alarm company.

c. A description of the alarm system features, including whether it has motion detection sensors inside the premises.

d. A description of how an alarm will be responded to, including whether law enforcement personnel will be notified.

e. A description of how licensees will be sharing the alarm system with other licensees (when sharing services at the same location), if applicable.

Applicant Signature

Date Signed



## State of California, Department of Cannabis Control

# Delivery Procedures

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form if they intend to engage in retail activity that includes delivery.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Provide a list of each vehicle that will be used in the delivery of cannabis goods. Provide the year, make, model, color, vehicle identification number (VIN), and license plate number for each vehicle. Also, indicate whether each vehicle is equipped with a vehicle alarm system.

2. Provide a list of each employee that will be conducting deliveries of cannabis goods. Provide the full name, date of birth, and driver's license number for each employee.

3. Describe the training provided to delivery employees.

4. Describe the process for accepting new delivery orders. If a technology platform is used, please describe how customers place orders, how the orders are received, and who at the retailer receives the orders through the platform.



5. Describe the process for preparing orders of cannabis goods for delivery.
  
6. Describe how cannabis goods will be stored in the delivery vehicle while deliveries are being conducted. Include the quantity of cannabis goods that will be carried by each delivery employee.
  
7. Describe the process that a delivery employee goes through prior to leaving the retail premises to conduct deliveries of cannabis goods.
  
8. Describe the process for tracking the location of delivery employees who are currently conducting deliveries.
  
9. Describe the methods used to communicate with the delivery employees who are engaged in conducting deliveries.
  
10. Describe the methods of route guidance used by delivery employees while conducting deliveries.
  
11. Describe the policies for delivery employees taking breaks and making stops while conducting deliveries.



12. Do delivery employees receive new orders while in the process of conducting deliveries? If so, describe that process.

13. Describe the process of preparing the delivery request receipt.

14. Describe the process each delivery employee goes through upon arriving at the delivery location and providing the cannabis goods to the customer.

15. Describe the process that a delivery employee goes through upon returning to the retail premises after conducting deliveries.

16. Describe the applicant's methods of auditing the activities of the delivery employees to ensure that cannabis goods do not go unaccounted for when the delivery employee returns to the retail premises.

Applicant Signature

Date Signed



State of California, Department of Cannabis Control  
**Sampling – Standard Operating Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added.

Laboratory Name:

Primary Contact Name, Email, and Phone Number:

1. Provide a description of the procedure(s) used for obtaining representative samples for all matrices.

2. Specify the following:

a. Equipment and supplies used during sampling, such as a calibrated scale, gloves, collection bags, etc.

b. Sampling tools used for each matrix type, including changing disposable gloves between the sampling of each batch and the sterilization or sanitation methods to prevent cross contamination.



h. How the sampling procedure follows chain of custody protocols.

Signature of supervisory or management laboratory employee:

Date:

Applicant Signature

Date Signed



State of California, Department of Cannabis Control  
**Sample Preparation – Standard Operating Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added.

Laboratory Name:

Primary Contact Name, Email, and Phone Number:

1. Provide a description of storage and handling procedures for samples.

2. Specify preservation methods used for samples. Include methods that prevent sterility issues and cross-contamination.

3. Provide the hold time for all sample types and matrices.

Signature of supervisory or management laboratory employee:

Date:

Applicant Signature

Date Signed



State of California, Department of Cannabis Control  
**Test Methods – Standard Operating Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added.

Laboratory Name:

Primary Contact Name, Email, and Phone Number:

1. List all analytes and matrices tested by the method.

2. Please list the following:

a. Brand name and model of instrumentation used.

b. Other equipment used for testing (e.g., balance, centrifuge, vials).

c. List and describe procedure(s) for making reagents, solutions, standards, and reference materials used in the method.

3. Provide the method sensitivity, which may include the limits of detection and limits of quantitation for each analyte tested.

4. Describe the types, frequency, and acceptance criteria for quality control samples.

5. Describe the types, frequency, and acceptance criteria for calibration standards.

6. Describe the procedure for analyzing analytical batch samples.





7. Describe corrective action procedures used when laboratory quality control samples fail.

8. Provide calculations used, if any.

9. Describe any potential interferences with the analysis.

10. Specify the ISO/IEC 17025 accreditation body and accreditation or certificate number for the method, if applicable.

11. Signature of supervisory or management laboratory employee:      Date:

Applicant Signature

Date Signed



# State of California, Department of Cannabis Control Data Package Cover Page and Checklist

The licensed laboratory shall compile and generate one data package for each representative sample that the laboratory analyzes, prior to release of the certificate of analysis (COA). This form shall be signed and dated by the reviewing supervisory or management laboratory employee meeting the responsibilities and qualifications under 4 CCR section 15737.

Laboratory Name:

Reviewing Supervisory or Management Laboratory Employee Name:

Email:

Phone Number:

Laboratory Premises Address:

License Number:

For each test method provide the name, title, and signature of the laboratory employee that performed the sample preparation, analyses, data review, and final approval:

Test Method	Sample Preparation	Sample Analysis	Data Review	Final Approval
Cannabinoids				
Foreign Material				
Heavy Metals				
Microbial Impurities				
Mycotoxins				

Test Method	Sample Preparation	Sample Analysis	Data Review	Final Approval
Moisture Content and Water Activity				
Residual Pesticides				
Residual Solvents and Processing Chemicals				
Terpenoids				

1. At a minimum, the data package shall contain the following (indicate the number of pages for each, if none, indicate as "N/A"):

- a. All raw data for batch laboratory quality control (LQC) sample results including date stamped instrument raw data, such as chromatograms for each LQC sample, if any. Raw data is data exported directly from the instrumentation used in the measurement. This includes, but is not limited to, LQC sample concentration determination, chromatograms, qPCR graphs and Cq values.
- b. All raw data for batch sample results including date stamped instrument raw data, such as chromatograms for each sample, if any. This includes, but is not limited to, sample concentration determination, chromatograms, qPCR graphs and Cq values.
- c. Instrument test method with parameters, if any.
- d. Instrument tune report, if any.
- e. Instrument calibration data, if any. Instrument calibration data includes, but is not limited to, calibration standard concentrations, calibration curves, chromatograms and the Coefficient of Determination (r<sup>2</sup>).
- f. LQC sample report that includes LQC acceptance criteria, measurements, analysis date, and matrix.

g. Worksheets, forms, pictures, or copies of laboratory notebook pages and any other pertinent documentation related to the identification and traceability of all reagents, reference materials, and standards used for analysis.

h. Analytical sequence, if any.

i. Shipping manifest, as required under 4 CCR section 15314.

j. The COC form, as required under 4 CCR section 15706.

k. The completed COA, as required under 4 CCR section 15726.

2. After the data package is compiled, and prior to the release of the COA, the supervisory or management laboratory employee shall do all of the following, and initial and date the items listed below indicating the tasks were completed:

a. Review the analytical results for technical correctness and completeness, including ensuring LQC samples meet the acceptance criteria prescribed in 4 CCR section 15730.

Initials:                      Date:

b. Verify that the results of each analysis carried out by the licensed laboratory are reported accurately, clearly, unambiguously, and objectively.

Initials:                      Date:

By signing and dating below, the supervisory or management laboratory employee is attesting that they have reviewed the complete data package and approve of the contents and laboratory results.

3. Signature of supervisory or management laboratory employee:                      Date:

State of California, Department of Cannabis Control  
Licensee Notification and Request Form

# Notifications and Requests to Modify a License

This form is for use by licensees who need to provide a notification to the Department or request approval from the Department, as required under the regulations. Directions for completing the form and providing supporting documents can be found below under Form Instructions.

Licensee Name:

License Number:

License Expiration Date:

Email a completed copy of this form and supporting documents to [licensechange@cannabis.ca.gov](mailto:licensechange@cannabis.ca.gov) to update any of the following:

- Labor Peace Agreement - § 15023(b)
- Change in Ownership - § 15023(c)
- Change in Financial Interest Holders - § 15023(d)
- Change in Contact Information - § 15023(e)(1)
- Change in Legal Name of Owner or Legal Business Name - § 15023(e)(2)
- Change in Business Trade Name/“Doing Business As” (DBA) or Fictitious Business Name (FBN) - § 15023(e)(3)
- Change in Bond - § 15023(e)(4)
- Add A or M Designation (excluding cultivators) - § 15023(f)
- Microbusiness: Add or Remove an Activity - § 15023(g)
- Death, Incapacity, Receivership, Assignment of Creditors, or Other Event Rendering an Owner Incapable - § 15024(a)

- Physical Modification of Premises (excluding cultivators) - § 15027
- Criminal Conviction of Any Owner - § 15035(a)
- Civil Penalty or Judgement Against Licensee or Any Owner - § 15035(b)
- Administrative Order or Civil Judgement for Violation of Labor Standards - § 15035(c)
- Revocation of a Local License, Permit, or Other Authorization - § 15035(d)

Use space below for additional information, as needed.

## Disclosures

### Mandatory Submission

Submission of the requested information is mandatory unless otherwise noted in regulation. Failure to provide any of the required information may result in disciplinary action.



## Notifications and Requests to Modify a License – Form Instructions

Pursuant to the provisions in the Department's regulations and the Medicinal and Adult-Use Cannabis Regulation and Safety Act (MAUCRSA), there are specific instances when licensees are required to notify the Department of changes to business operations. When completing this form, please mark the box next to the item(s) that require Department notification or request and attach any other information required and relevant to the notification requirement(s). The general requirements for each notification or request item are listed below. Specific requirements can be found in the relevant code sections of the Department's regulations. All sections are in reference to the California Code of Regulations, Title 4, Division 19.

### Labor Peace Agreement - § 15023(b)

If at the time of licensure, a licensee employed less than 20 employees and later employs 20 or more employees, within 60 days of employing 20 or more employees, the licensee shall provide to the Department a notarized statement that the licensee will enter into a labor peace agreement and will abide by the terms of the agreement.

### Change in Ownership - § 15023(c)

If one or more of the owners of a license change, a new license application and fee shall be submitted to the Department within 14 calendar days of the effective date of the ownership change. The business may continue to operate under the active license while the Department reviews the the qualifications of the new owner(s) to determine whether the change would constitute grounds for denial of the license, if at least one owner is not transferring ownership interest and will remain as an owner under the new ownership structure. If all owners will be transferring their ownership interest, the business shall not operate under the new ownership structure until the new license application has been approved by the Department.

A change in ownership occurs when a new person meets the definition of owner in section 15003. A change in ownership does not occur when one or more owners leave the business by transferring their ownership interest to the other existing owner(s). In cases where one or more owners leave the business by transferring their ownership interest to the other existing owner(s), the owner or owners that are transferring their interest shall provide a signed statement to the Department confirming that they have transferred their interest within 14 calendar days of the change.

### Change in Financial Interest Holders - § 15023(d)

When there is a change in financial interest holder(s) in the commercial cannabis business who do not meet the requirements for a new license application, the licensee shall submit the information required by section 15002(c)(15) to the Department within 14 calendar days of the change. For financial interest holders that are individuals, this information includes the first and last name of the individual, a contact phone number and email address, and the type and

number of the individual's government-issued identification, such as a driver's license. For financial interest holders that are entities, this information includes the legal business name, the name and phone number and email address of the entity's primary contact, and federal taxpayer identification number of the entity. If an individual who was previously listed as a financial interest holder no longer has a financial interest, provide the first and last name of the individual and indicate that this individual no longer has a financial interest.

### **Change in Contact Information - § 15023(e)(1)**

If there is any change to any contact information from the information provided to the Department in the original application or subsequent notification, the licensee shall provide the Department with the new contact information within 14 calendar days of the change.

### **Change in Name or Legal Business Name - § 15023(e)(2)**

If the licensee is an individual, the licensee shall notify the Department within 14 calendar days of any change to their name. If the licensee is a business entity, the licensee shall notify the Department within 14 calendar days of any change to the legal business name.

### **Change in Business Trade Name/"Doing Business As" (DBA) or Fictitious Business Name (FBN) - § 15023(e)(3)**

If there is any change in DBA or FBN, the licensee shall notify and provide the Department with the new information for the business trade name and/or fictitious business name within 14 calendar days.

### **Change in Bond - § 15023(e)(4)**

If there is any change to the surety bond required under section 15002(c)(22), the licensee shall notify and provide the Department with a copy of the new or changed surety bond within 14 calendar days.

### **Add A or M Designation (excluding cultivators) - § 15023(f)**

A licensee may request to add an A-designation or M-Designation to their license by sending a notification to the Department signed by at least one owner as defined in section 15003. A licensee shall not operate under the requested designation until they have received approval from the Department. The Department will be required to obtain confirmation from the local jurisdiction for the additional designation prior to approval.

### **Microbusiness: Add or Remove an Activity - § 15023(g)**

A microbusiness licensee may add a commercial cannabis activity to their license or remove a commercial cannabis activity from their license if doing so is consistent with the requirement that licensees engage in at least three (3) commercial cannabis activities. The licensee will be required to submit all licensing requirements for the requested new activity.



A licensee shall request the modification by completing a request to modify the licensed premises pursuant to section 15027. A licensee shall not engage in a new commercial cannabis activity until they have paid for the modification and received approval from the Department.

### **Death, Incapacity, Receivership, Assignment of Creditors, or Other Event Rendering an Owner Incapable – § 15024(a)**

In the event of the death, incapacity, receivership, assignment for the benefit of creditors or other event rendering one or more owners incapable of performing the duties associated with the license, the owner or owners' successor in interest (e.g., appointed guardian, executor, administrator, receiver, trustee, or assignee) shall notify the Department in writing, within 14 calendar days.

To continue operations or surrender the existing license, the successor in interest shall submit to the

Department the following:

- (1) The name of the successor in interest.
- (2) The name of the owner(s) for which the successor in interest is succeeding and the license number;
- (3) The phone number, mailing address, and email address of the successor in interest; and
- (4) Documentation demonstrating that the owner(s) is incapable of performing the duties associated with the license such as a death certificate, or a court order, and documentation demonstrating that the person making the request is the owner or owners' successor in interest such as a court order appointing guardianship, receivership, or a will or trust agreement.

### **Physical Modification of Premises (excluding cultivators) – § 15027**

A licensee shall not, without the prior written approval of the Department, make a physical change, alteration, or modification of the licensed premises that materially or substantially alters the licensed premises or the use of the licensed premises from the premises diagram originally filed with the license application. A licensee (excluding cultivators) shall request approval of a physical change, alteration, or modification in writing, and the request shall include a new premises diagram, payment of a fee, and any additional documentation as requested by the Department.

### **Criminal Conviction of Any Owner - § 15035(a)**

A licensee shall ensure that the Department is notified in writing of a criminal conviction of any owner, either by mail or electronic mail, within 48 hours of the conviction. The written notification to the Department shall include the date of conviction, the court docket number, the name of the court in which the owner was convicted, and the specific offense(s) for which the owner was convicted.

### **Civil Penalty or Judgment Against Licensee or Any Owner - § 15035(b)**

A licensee shall ensure that the Department is notified in writing of a civil penalty or judgment rendered against the licensee or any owner in their individual capacity, either by mail or electronic mail, within 48 hours of delivery of the verdict or entry of judgment, whichever is sooner. The written notification shall include the date of verdict or entry of judgment, the court docket number, the name of the court in which the matter was adjudicated, and a description of the civil penalty or judgment rendered against the licensee.

### **Administrative Order or Civil Judgment for Violation of Labor Standards - § 15035(c)**

A licensee shall ensure that the Department is notified in writing of an administrative order or civil judgement for violations of labor standards against the licensee or any owner in their individual capacity, either by mail or electronic mail, within 48 hours of delivery of the order. The written notification shall include the date of the order, the name of the agency issuing the order, and a description of the administrative penalty or judgement rendered against the licensee or owner.

### **Revocation of a Local License, Permit, or Other Authorization - § 15035(d)**

A licensee shall ensure that the Department is notified in writing of the revocation of a local license, permit, or other authorization, either by mail or electronic mail within 48 hours of receiving notice of the revocation. The written notification shall include the name of the local agency involved, a written explanation of the proceeding or enforcement action, and the specific violation(s) that led to revocation.



State of California, Department of Cannabis Control  
Licensee Notification and Request Form

## Notifications and Requests Regarding Regulatory Compliance

This form is for use by licensees who need to provide a notification to the Department or request approval from the Department, as required under the regulations. Directions for completing the form and providing supporting documents can be found below under Form Instructions.

Licensee Name:

License Number:

License Expiration Date:

Email a completed copy of this form and supporting documents to [compliance@cannabis.ca.gov](mailto:compliance@cannabis.ca.gov) to notify the Department of any of the following:

- Purchase of Former Licensee's Cannabis and Cannabis Products Inventory - § 15024.1
- Distributors and Retailers: Discovery of Significant Discrepancy in Inventory - § 15036(a)(1)
- Discovery of Diversion, Theft, Loss, or Any Other Criminal Activity Pertaining to Operation of a License - § 15036(a)(2) & § 15036(a)(3)
- Discovery of Breach of Security - § 15036(a)(5)
- Cannabis Events: Change of List of Licensees and Employees Participating in Event - § 15601(g)
- Discovery that Notice of Suspension or Notice of Revocation Has Been Removed or is Damaged and Illegible - § 17816(e) and § 17817(f)

Use space below for additional information, as needed.

### Disclosures

Mandatory Submission

Submission of the requested information is mandatory unless otherwise noted in regulation. Failure to provide any of the required information may result in disciplinary action.

## **Notifications and Requests Regarding Regulatory Compliance - Form Instructions**

Pursuant to the provisions in the Department's regulations and the Medicinal and Adult-Use Cannabis Regulation and Safety Act (MAUCRSA), there are specific instances when licensees are required to notify the Department of changes to business operations. When completing this form, please mark the box next to item(s) that require Department notification or request and attach any other information required and relevant to the notification requirement(s). The general requirements for each notification or request item are listed below. Specific requirements can be found in the relevant code sections of the Department's regulations. All sections are in reference to the California Code of Regulations, Title 4, Division 19.

### **Purchase of Former Licensee's Cannabis and Cannabis Products Inventory - § 15024.1**

A licensed distributor or licensed microbusiness authorized to engage in distribution may be authorized to procure and distribute a former licensee's entire inventory stock, upon meeting certain requirements, including requesting approval from the Department, within 14 calendar days of the termination of the former licensee's license.

### **Distributors and Retailers: Discovery of Significant Discrepancy in Inventory - § 15036(a)(1)**

A licensee shall notify the Department and local law enforcement within 24 hours of discovery of a significant discrepancy, as defined in section 15034. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

### **Discovery of Diversion, Theft, Loss, or Any Other Criminal Activity Pertaining to Operation of a License - § 15036(a)(2) & § 15036(a)(3)**

A licensee shall notify the Department and local law enforcement within 24 hours of discovery of diversion, theft, loss, or any other criminal activity pertaining to the operations of the licensee. A licensee shall also notify the Department and local law enforcement within 24 hours of discovery of diversion, theft, loss, or any other criminal activity by an agent or employee of the licensee pertaining to the operations of the licensee.

The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

## Discovery of Breach of Security - § 15036(a)(5)

A licensee shall notify the Department and local law enforcement within 24 hours of discovery of any other breach of security. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.



## **Cannabis Events: Change of List of Licensees and Employees Participating in Event – § 15601(g)**

If the list of licensees and employees participating in a temporary cannabis event changes after the application is submitted or after the license is issued, the temporary cannabis event applicant shall submit an updated list of all licensees and employees that will be providing onsite sales of cannabis goods at the temporary cannabis event and an updated diagram, to the Department no less than 72 hours before the event.

## **Discovery that Notice of Suspension or Revocation Has Been Removed or is Damaged and Illegible - § 17816(e) & § 17817(f)**

A licensee whose license has been suspended shall notify the Department within 24 hours of discovering that the notice required under section 17816(b) has been removed or damaged to an extent that makes the notice illegible.

A person whose license has been revoked shall notify the Department within 24 hours of discovering that the notice required under section 17817(b) has been removed or damaged to an extent that makes the notice illegible.



State of California, Department of Cannabis Control  
Licensee Notification and Request Form

## Notifications and Requests Regarding Testing Laboratories

This form is for use by licensees who need to provide a notification to the Department or request approval from the Department, as required under the regulations. Directions for completing the form and providing supporting documents can be found below under Form Instructions.

Licensee Name:

License Number:

License Expiration Date:

Email a completed copy of this form and supporting documents to [testinglabs@cannabis.ca.gov](mailto:testinglabs@cannabis.ca.gov) to notify the Department of any of the following:

- Application for Each ISO/IEC 17025 Accreditation is Granted or Denied - § 15703(i)
- Use of New or Altered Test Methods by Testing Laboratory - § 15713(d)(8)
- Notification of Receipt of Proficiency Testing Results (if not concurrently sent to the Department by the provider) - § 15733(h)
- Completion of Internal Audit by Testing Laboratory - § 15735(c)
- Receipt of Accrediting Body Onsite Audit Findings by Licensed Laboratory - § 15735(d)

Use space below for additional information, as needed.

### Disclosures

Mandatory Submission

Submission of the requested information is mandatory unless otherwise noted in regulation. Failure to provide any of the required information may result in disciplinary action.

## **Notifications and Requests Regarding Testing Laboratories - Form Instructions**

Pursuant to the provisions in the Department's regulations and the Medicinal and Adult-Use Cannabis Regulation and Safety Act (MAUCRSA), there are specific instances when licensees are required to notify the Department of changes to business operations. When completing this form, please mark the box next to item(s) that require Department notification or request and attach any other information required and relevant to the notification requirement(s). The general requirements for each notification or request item are listed below. Specific requirements can be found in the relevant code sections of the Department's regulations. All sections are in reference to the California Code of Regulations, Title 4, Division 19.

### **Application for Each ISO/IEC 17025 Accreditation is Granted or Denied - § 15703(i)**

A testing laboratory with an interim testing laboratory license pursuant to section 15703 shall notify the Department if the application for each ISO/IEC 17025 accreditation is granted or denied within 1 business day of receiving the decision from the accrediting body.

### **Use of New or Altered Test Methods by Licensed Laboratory - § 15713(d)(8)**

A licensed laboratory is required to generate a validation report for each test method pursuant to the requirements in section 15713. If a licensed laboratory uses a new or altered test method, the licensed laboratory shall submit the new validation report to the Department within 5 business days.

### **Notification of Receipt of Proficiency Testing Results (if not concurrently sent to the Department by the provider) - § 15733(h)**

Pursuant to section 15733, a licensed laboratory is required to participate in a proficiency testing program provided by an organization that operates in conformance with the requirements of ISO/IEC 17043.

The licensed laboratory shall request the proficiency testing program provider to send results concurrently to the Department, if available, or the laboratory shall provide the proficiency testing program results to the Department within three business days after the laboratory receives notification of their test results from the proficiency testing program provider.

### **Completion of Internal Audit by Licensed Laboratory - § 15735(c)**

Pursuant to section 15735, a licensed laboratory is required to conduct an internal audit at least once per year, or in accordance with the ISO/IEC 17025 accrediting body's requirement, whichever is more frequent. The licensed laboratory shall submit the results of the internal audit to the Department within 3 business days of completing the internal audit.



## Receipt of Accrediting Body Onsite Audit Findings by Licensed Laboratory - § 15735(d)

Pursuant to section 15735, when a licensed laboratory receives onsite audit findings, the laboratory shall submit the results to the Department within 3 business days of receipt of the results.



## Transportation Procedures

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Identify whether the applicant intends to transport cannabis goods, or will be contracting for transportation services.

2. If transporting cannabis goods, provide the following information:

a. Whether the applicant intends to transport to all license types, or is limiting transportation to only certain license types.

b. The geographic regions the applicant will transport to and from, and whether the applicant expects to transport overnight.

c. Vehicle and trailer information, which includes:

i. Number of vehicles to be used.

ii. Type of vehicles or trailers to be used, including make, model, year, and vehicle identification number (VIN).

iii. Registration and insurance information for each vehicle being used.

iv. Whether the applicant has or will be applying for a motor carrier permit, list permit numbers (if applicable).

d. Driver information, which includes:

i. All employees that are or will be transporting cannabis goods, either as a driver, or a passenger, including name and age of employee, driver's license information, and list the roles and responsibilities for each employee.

ii. Will any security personnel accompany employees transporting cannabis goods? Specify whether security personnel will be employees or contracted. If contracting for security, provide the name of the company, license number, contact person, and phone number.

e. Information regarding the storage of cannabis goods in the vehicle, which includes:

i. A description of how the applicant intends to store cannabis goods in each vehicle or trailer, i.e., what area of the vehicle or trailer will be used for storage.

ii. A description of how the applicant intends to secure cannabis goods in each vehicle.

iii. A description of how the applicant will ensure that cannabis goods are not visible or identifiable from outside each vehicle.

f. Information regarding all security measures the applicant will have in place for the transportation of cannabis goods, including, but not limited to:

i. Describe the alarm systems for each vehicle.

ii. Other security measures used during the transporting of cannabis goods.

g. Whether the applicant is located within a building or on the same parcel of land as another licensee, for which transportation by motor vehicle is not operationally feasible, and how the applicant will be transporting cannabis goods, if not by motor vehicle.

3. If contracting for transportation services, provide a list of transportation services used, and a copy of the contract for each, if applicable.

Applicant Signature

Date Signed

# REPEAL

## Inventory Procedures

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Using a diagram, indicate where on the licensed premises cannabis goods will be stored.

2. Describe who has access to the areas in which cannabis goods are stored.

3. Describe the security measures in place at the location where cannabis goods are stored.

4. Describe the conditions of the location where the cannabis goods are stored. Can the temperature and/or humidity be controlled?

5. Describe the training provided to employees regarding inventory procedures.

6. Describe the process for receiving new inventory of cannabis goods.

a. Describe where the cannabis goods are received.

b. Identify who will receive the cannabis goods, such as a manager or an employee.

c. Describe how the cannabis goods are moved to the cannabis storage area.

d. Describe what records are produced.

7. Describe the type of inventory records that are produced and maintained regarding the movement of inventory.

8. Describe the process for removing cannabis goods from inventory.

a. Describe what happens to the cannabis goods after they are removed from inventory, including any records that are produced.

9. Describe the methods used to ensure that the cannabis goods stored are preserved and do not degrade.



10. How often is inventory reconciliation conducted?

a. Describe the process for inventory reconciliation and the types of records that are produced.

Applicant Signature

Date Signed

**REPEAL**

**Non-Laboratory Quality Control Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Describe the applicant's procedures for packaging and labeling.

a. Procedures for verifying labeling contents for cannabis goods batches, when transferring between licensees and storage. Include how the applicant verifies the name, license number of manufacturer or cultivator, date of entry into storage area, unique identifiers and batch number, description of cannabis goods, weight and/or quantity of units in batch, and expiration or sell-by date (if applicable).

b. Procedures for verifying labeling contents for cannabis goods for retail sale including final form of verification, primary panel labeling, and informational panel labeling.

c. Procedures for verifying labeling contents for cannabis goods for retail sale including net weight (if applicable), identification of the source and date of cultivation, type of cannabis, date of packaging, county of origin (if applicable), allergen warning (if applicable), and unique identifier.

d. Procedures for verifying government warning label requirements.

e. Procedures for verifying cannabis products required to have "For Medical Use" labeling, if applicable.

f. Procedures for verifying packaging requirements including tamper-evident, child-resistant, and resealable child-resistant exit packaging, if applicable.

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2. Describe how the applicant will avoid and/or limit deterioration and contamination of any cannabis goods, including, but not limited to: pest control, environmental controls, maintenance and cleaning services.

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3. Describe the applicant's procedures for handling returns.

4. If applying for a distributor license, provide the following information.

a. Storage procedures, which include:

i. Whether the applicant is providing storage-only services to other licensees, and if so, which licensees and license types.

ii. Identify all limited-access areas on the premises, and storage areas of cannabis goods in limited-access areas.

iii. Procedures for storage and separation of cannabis goods batches for testing.

b. Labeling and packaging procedures, which include:

i. When labeling and packaging will occur.

ii. Area of premises where labeling and packaging will occur.

c. Sampling procedures, which include:

i. Provide the timeframe for making testing arrangements after taking physical possession of cannabis goods batches.

ii. Provide the sampling procedures for ensuring correct batch size, incremental sampling, and how the distributor will ensure that the distributor employee has no contact with cannabis goods or sampling equipment.

iii. Provide procedures for video recording sampling of cannabis goods batches.

iv. Provide chain of custody procedures for cannabis goods batches.

d. Testing results procedures, which include:

i. Procedures for a failed sample, including remediation and/or cannabis waste procedures.

ii. Procedures for a passed sample.

iii. Track and Trace procedures following testing.

iv. Certificate of Analysis review procedures.

Applicant Signature

Date Signed

**REPEAL**

**Security Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form for each commercial cannabis activity they intend to engage in.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Describe who is responsible for implementing the Security Operating Procedures and list each person's role and responsibilities.

2. Describe how the applicant will ensure all access points will be secured, which includes a description of all entrances and exits, windows, and doorways and the types of locks used.

3. Describe the procedures for allowing individuals access to the premises, which includes:

a. A list of employees who have access including their roles and responsibilities.

b. A description of how the applicant will ensure only authorized persons have access to the licensed premises and its limited access areas.

c. A description of how the applicant will maintain an accurate record of all non-employee authorized individuals allowed onsite, in conformance with section 5042 15042 of the Bureau's Department's regulations.

4. Describe how the applicant will comply with the employee badge requirement in section 5043 15043 of the Bureau's Department's regulations, including how the applicant will assign employee numbers and what the procedures are when an employee changes responsibilities or leaves the employment of the licensee.

5. Provide a description of the video surveillance system, which includes:

a. A description of the types of cameras and video storage equipment.

b. A description of the camera placements and the number of cameras to be used.

c. A description of the procedures for the maintenance of the video surveillance equipment.



d. A description of how the applicant will be notified of video surveillance system-failure or malfunction

e. A description of how the video surveillance system will be monitored.

f. A description of how the applicant will produce copies of video recordings at the licensed premises immediately upon request of the Bureau Department.

g. A description of how the applicant will share the video surveillance system with other licensees (when sharing services at the same location), if applicable.

6. Provide information regarding the use of security personnel onsite, which includes:

a. Whether the security personnel will be employed by the applicant or contracted. If contracted, provide the name of the security company, license numbers, contact person, phone number of personnel that will be providing services, and a copy of the contract.

b. Where the security personnel will be stationed on the licensed premises and/or which areas will be covered by roving security.

c. The hours security personnel will be onsite.

d. A description of how the applicant will share security personnel with other licensees (when sharing services at the same location), if applicable.

e. Will the security personnel be armed or unarmed?

7. Provide a description of the security alarm system, which includes:

a. The name, license number, address, phone number, and contact person of the alarm company that installed, maintains, and monitors the alarm system.

b. How the applicant will ensure the alarm system remains operational, including the frequency of maintenance checks by the alarm company.

c. A description of the alarm system features, including whether it has motion detection sensors inside the premises.

d. A description of how an alarm will be responded to, including whether law enforcement personnel will be notified.

e. A description of how licensees will be sharing the alarm system with other licensees (when sharing services at the same location), if applicable.

Applicant Signature

Date Signed

# REPEAL

BCC DCC-LIC-020 (New Amended 10/18 7/21)  
California Department of Consumer Affairs  
**Bureau Department of Cannabis Control**  
[www.bcc.ca.gov](http://www.bcc.ca.gov)

State of California  
Gavin Newsom, Governor

## Delivery Procedures

Please provide a detailed response to the items below. If more space is needed additional pages may be added. Microbusinesses must complete this form if they intend to engage in retail activity that includes delivery.

Business Name and Application Type:

Primary Contact Name, Email, and Phone Number:

1. Provide a list of each vehicle that will be used in the delivery of cannabis goods. Provide, the year, make, model, color, vehicle identification number (VIN), and license plate number for each vehicle. Also, indicate whether each vehicle is equipped with a vehicle alarm system.

2. Provide a list of each employee that will be conducting deliveries of cannabis goods. Provide the full name, date of birth, and driver's license number for each employee.

3. Describe the training provided to delivery employees.

4. Describe the process for accepting new delivery orders. If a technology platform is used, please describe how customers place orders, how the orders are received, and who at the retailer receives the orders through the platform.

5. Describe the process for preparing orders of cannabis goods for delivery.

6. Describe how cannabis goods will be stored in the delivery vehicle while deliveries are being conducted. Include the quantity of cannabis goods that will be carried by each delivery employee

7. Describe the process that a delivery employee goes through prior to leaving the retail premises to conduct deliveries of cannabis goods.

8. Describe the process for tracking the location of delivery employees who are currently conducting deliveries.

9. Describe the methods used to communicate with the delivery employees who are engaged in conducting deliveries.

10. Describe the methods of route guidance used by delivery employees while conducting deliveries.

11. Describe the policies for delivery employees taking breaks and making stops while conducting deliveries.

12. Do delivery employees receive new orders while in the process of conducting deliveries? If so, describe that process.

13. Describe the process of preparing the delivery request receipt.

14. Describe the process each delivery employee goes through upon arriving at the delivery location and providing the cannabis goods to the customer.

15. Describe the process that a delivery employee goes through upon returning to the retail premises after conducting deliveries.

16. Describe the applicant's methods of auditing the activities of the delivery employees to ensure that cannabis goods do not go unaccounted for when the delivery employee returns to the retail premises.

Applicant Signature

Date Signed

**REPEAL**

**Sampling - Standard Operating Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added.

Laboratory Name:

Primary Contact Name, Email, and Phone Number:

1. Provide a description of the procedure(s) used for obtaining representative samples for all matrices.

2. Specify the following:

a. Equipment and supplies used during sampling, such as a calibrated scale, gloves, collection bags, etc.

b. Sampling tools used for each matrix type, including changing disposable gloves between the sampling of each batch and the sterilization or sanitation methods to prevent cross-contamination.



c. Any preventative measures used to ensure the sampling area is free of contaminants.

d. The procedure for weighing samples during collection with a calibrated balance, including calibration steps.

e. Storage and preservation of samples collected, including how the samples will be contained to prevent contamination and tampering.

f. The procedure for assigning each representative sample a unique sample identifier.

g. The procedure for recording the conditions during sampling and transportation on the chain of custody form, including any problems, issues, or observations.

h. How the sampling procedure follows chain of custody protocols.

Signature of supervisory or management laboratory employee:

Date:

Applicant Signature

Date Signed

**Sample Preparation - Standard Operating Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added.

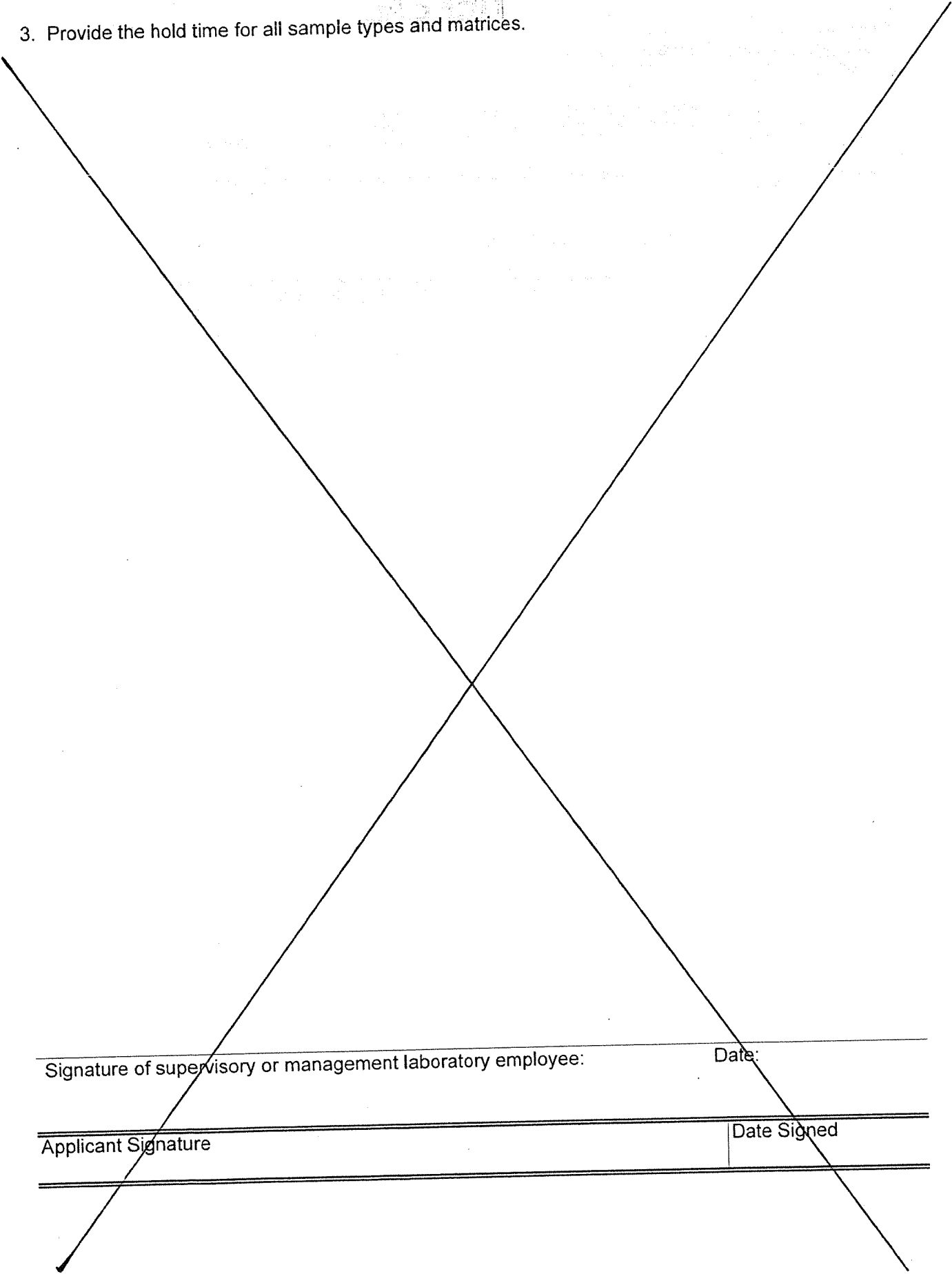
Laboratory Name:

Primary Contact Name, Email, and Phone Number:

1. Provide a description of storage and handling procedures for samples.

2. Specify preservation methods used for samples. Include methods that prevent sterility issues and cross-contamination.

3. Provide the hold time for all sample types and matrices.



Signature of supervisory or management laboratory employee:

Date:

Applicant Signature

Date Signed

~~REPEAL~~

BCC DCC-LIC-023 (New Amended 7/18 7/21)  
California Department of Consumer Affairs  
**Bureau Department of Cannabis Control**  
[www.bcc.ca.gov](http://www.bcc.ca.gov)

State of California  
Gavin Newsom, Governor

**Test Methods - Standard Operating Procedures**

Please provide a detailed response to the items below. If more space is needed additional pages may be added.

Laboratory Name:

Primary Contact Name, Email, and Phone Number:

1. List all analytes and matrices tested by the method.

3. Please list the following:

a. Brand name and model of instrumentation used.

b. Other equipment used for testing (e.g. balance, centrifuge, vials).

c. List and describe procedure(s) for making reagents, solutions, standards, and reference materials used in the method.

4. Provide the method sensitivity, which may include the LOD and LOQ for each analyte tested.

5. Describe the types, frequency, and acceptance criteria for quality control samples.

6. Describe the types, frequency, and acceptance criteria for calibration standards.

7. Describe the procedure for analyzing analytical batch samples.

8. Describe corrective action procedures used when LQC samples fail.

9. Provide calculations used, if any.

10. Describe any potential interferences with the analysis.

11. Specify the ISO/IEC 17025 accreditation body and accreditation or certificate number for the method, if applicable.

12. Signature of supervisory or management laboratory employee:

Date:

Applicant Signature

Date Signed

**REPEAL**

BCC-DCC-LIC-024 (New Amended 10/18 7/21)  
California Department of Consumer Affairs  
**Bureau Department of Cannabis Control**  
www.bcc.ca.gov

State of California  
Gavin Newsom, Governor

**DATA PACKAGE COVER PAGE AND CHECKLIST**

The laboratory shall compile and generate one data package for each representative sample that the laboratory analyzes, prior to release of the COA. This form shall be signed and dated by the reviewing supervisory or management laboratory employee meeting the responsibilities and qualifications under 16 4 CCR section 5737 15737.

Laboratory Name: \_\_\_\_\_

Reviewing Supervisory or Management Laboratory Employee Name: \_\_\_\_\_ Email: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Laboratory Premises Address: \_\_\_\_\_ License Number: \_\_\_\_\_

For each test method provide the name, title, and signature of the laboratory employee that performed the sample preparation, analyses, data review, and final approval:

Test Method	Sample Preparation	Sample Analysis	Data Review	Final Approval
Cannabinoids				
Foreign Material				
Heavy Metals				
Microbial Impurities				
Mycotoxins				
Moisture Content and Water Activity				
Residual Pesticides				
Residual Solvents and Processing Chemicals				
Terpenoids				

1. At a minimum, the data package shall contain the following (indicate the number of pages for each, if none, indicate as "N/A"):

- a. All raw data for batch LQC sample results including date stamped instrument raw data, such as chromatograms for each LQC sample, if any. Raw data is data exported directly from the instrumentation used in the measurement. This includes, but is not limited to, LQC sample concentration determination, chromatograms, qPCR graphs and Cq values.
- b. All raw data for batch sample results including date stamped instrument raw data, such as chromatograms for each sample, if any. This includes, but is not limited to, sample concentration determination, chromatograms, qPCR graphs and Cq values.
- c. Instrument test method with parameters, if any.
- d. Instrument tune report, if any.
- e. Instrument calibration data, if any. Instrument calibration data includes, but is not limited to, calibration standard concentrations, calibration curves, chromatograms and the Coefficient of Determination ( $r^2$ ).
- f. LQC sample report that includes LQC acceptance criteria, measurements, analysis date, and matrix.
- g. Worksheets, forms, pictures, or copies of laboratory notebook pages and any other pertinent documentation related to the identification and traceability of all reagents, reference materials, and standards used for analysis.
- h. Analytical sequence, if any.
- i. Shipping manifest, as required under 16 4 CCR section 5314 15314.
- j. The COC form, as required under 16 4 CCR section 5706 15706.
- k. The completed COA, as required under 16 4 CCR section 5726 15726.

2. After the data package is compiled, and prior to the release of the COA, the supervisory or management laboratory employee shall do all of the following, and initial and date the items listed below indicating the tasks were completed:

a. Review the analytical results for technical correctness and completeness, including ensuring LQC samples meet the acceptance criteria prescribed in 16 4 CCR section 5730 15730.

Initials: \_\_\_\_\_ Date: \_\_\_\_\_

b. Verify that the results of each analysis carried out by the laboratory are reported accurately, clearly, unambiguously, and objectively.

Initials: \_\_\_\_\_ Date: \_\_\_\_\_

By signing and dating below, the supervisory or management laboratory employee is attesting that they have reviewed the complete data package, and approve of the contents and laboratory results.

3. Signature of supervisory or management laboratory employee: \_\_\_\_\_

Date: \_\_\_\_\_

**DISCLOSURES**

**Mandatory Submission**

Submission of the requested information is mandatory unless otherwise noted. Failure to provide any of the required information may result in disciplinary action.



**Bureau Department of Cannabis Control  
Project-Specific Information Form**

*(To be completed by applicant – attach additional sheets as needed)*

*If a previously certified or adopted environmental document is not available or does not exist, you must submit a completed Project-Specific Information Form. The Bureau Department of Cannabis Control (Bureau Department) will use this form to determine whether the project has the potential to generate significant adverse environmental impacts that might require preparation of a CEQA document or the need for additional information. (Cal. Code Regs., tit. 14, § 15060(a) [CEQA Guidelines].)*

Please provide detailed responses to the items below. If more space is needed, additional pages may be added. Missing, incomplete, or inconsistent information may delay the processing of your application. Applicants must complete this form when the local jurisdiction from which they received authorization to conduct commercial cannabis activity did not certify a CEQA document.

Applicant Name: \_\_\_\_\_

Application Number: \_\_\_\_\_

Local jurisdiction (city/county): \_\_\_\_\_

**SECTION A. PROJECT LOCATION AND SURROUNDING USES**

1. Describe the project location including street address, city, county, Assessor's Parcel Number, major cross streets, general plan designation, zoning designation, and any other physical description that clearly indicates the project site location.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Describe the surrounding land uses and zoning designations within one-half mile radius of the project and list the abutting land uses.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Provide a vicinity map and aerial image to show the project location.

\_\_\_\_\_  
\_\_\_\_\_

4. Provide photographs, not larger than 8 ½ by 11 inches, of the of existing visual conditions as observed from the publicly accessible vantage point(s).

**SECTION B: PROJECT DESCRIPTION**

1. Describe the activities included in the project application and identify any other commercial cannabis activity or activities occurring at the proposed premises.

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2. Quantify the project size (total floor area of the project) in square feet and the lot size on which the project is located, in square feet.

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3. List and describe any other related public agency permits and approvals, including any entitlements required for this project (e.g., those required by a planning commission, city council, board of supervisors, local air district, or regional water board).

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4. Identify whether the applicant is licensed by, or has applied for licensure from, the California Department of Food and Agriculture or the State Department of Public Health to engage in commercial cannabis activity at the proposed premises.

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5. Explain whether any of the project activities will expand the existing footprint of the facility beyond the current structural or parcel boundaries, increase the amount of impervious surface, or reduce any natural habitat. If the project is part of a larger project, attach a separate sheet to briefly describe the larger project.

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6. Discuss whether the project will increase the quantity and type of solid waste, as defined by Public Resources Code section 40191, or hazardous waste, as defined by Health and Safety Code section 25117, that is generated or stored onsite.

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7. Identify the location, type, and quantity of hazardous materials, as defined by Health and Safety Code section 25260, that are stored, used, or disposed of at the project site and a copy of the Hazardous Material Business Plan (HMBP) prepared for the proposed premises, if any.

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8. List the water source(s) and amount, in gallons, supplied for each indoor and outdoor commercial cannabis activity at the project site. Identify the wastewater treatment system (e.g., septic, aerobic or lagoons) used for the project site.

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9. Estimate the number of anticipated employees onsite, occupancy during operating hours, frequency of deliveries or shipments originating to and from the project site, describe the anticipated transportation activity at the project site including the effects of the project related to public transit, bicycle, or pedestrian facilities.

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10. Describe the project's anticipated operational energy needs, identify the source of energy supplied for the project and the anticipated amount of energy per day, and explain whether the project will require an increase in energy demand and the need for additional energy resources.

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**SECTION C: OTHER RELEVANT CEQA INFORMATION**

Submit any other relevant CEQA documentation or information that will assist the Bureau Department in determining CEQA compliance (e.g., any environmental impact analysis prepared by a consultant).

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REPEAL

**Bureau Department of Cannabis Control  
CEQA Exemption Petition Form**

(To be completed by applicant – attach additional sheets as needed)

If a previously certified or adopted environmental document is not available or does not exist, you must submit a completed CEQA Exemption Petition Form to request that the Bureau Department of Cannabis Control (Bureau Department) consider whether the project is exempt from further CEQA review. You must also submit a completed Project-Specific Information Form to facilitate the processing of your application. The Bureau Department will use the Project-Specific Information Form to determine whether the project has the potential to generate significant adverse environmental impacts that may require preparation of a CEQA document or the need for additional information. (Cal. Code Regs., tit. 14, § 15060(a) [CEQA Guidelines].)

Please provide detailed responses to the items below. If more space is needed, additional pages may be added. Submit the completed form, attachments, and additional documents with your application for annual licensure. Missing, incomplete, or inconsistent information may delay the processing of your application. Applicants must complete this form to request the Bureau Department of Cannabis Control (Bureau Department) to consider whether the project is exempt from further California Environmental Quality Act (CEQA) review when the local jurisdiction from which they received authorization to conduct commercial cannabis activity did not certify a CEQA document.

Applicant Name: \_\_\_\_\_

Application Number: \_\_\_\_\_

Local jurisdiction (city/county): \_\_\_\_\_

Justification for categorical exemption (refer the partial list of categorical exemptions provided below)

Class: \_\_\_\_\_ Category: \_\_\_\_\_

Explanation of how the project fits the exemption indicated above:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The undersigned hereby requests that the Bureau Department consider whether the proposed activities are exempt from further environmental review pursuant to the California Environmental Quality Act, as amended. In completing this request, the applicant is affirming the applicant's belief that no significant environmental impact will result from the proposed project.

\_\_\_\_\_  
Applicant Signature

\_\_\_\_\_  
(Applicant Printed Name)

\_\_\_\_\_  
(Date)

**Partial List of Categorical Exemptions under CEQA**

*Certain commercial cannabis activities (projects) may be exempt from further environmental review pursuant to the California Environmental Quality Act (CEQA) because they fall within a class of projects determined not to have significant effect on the environment. (Cal. Code Regs., tTit. 14, § 15300 et seq.) Common exemptions that may apply have been identified below.*

<b>Class</b>	<b>Category</b>	<b>Description</b>
Class 1	Existing Facilities	Consists of the operation, repair, maintenance, permitting, leasing, licensing, or minor alteration of existing public or private structures, facilities, mechanical equipment, or topographical features, involving negligible or no expansion of use beyond that existing at the time of the lead agency's determination. (Cal. Code Regs., tTit. 14, §15301.)
Class 2	Replacement or Reconstruction	Consists of replacement or reconstruction of existing structures and facilities where the new structure will be located on the same site as the structure replaced with a new structure of substantially the same size, purpose, and capacity. (Cal. Code Regs., tTit. 14, § 15302.)
Class 3	New Construction or Conversion of Small Structures	Consists of construction and location of limited numbers of new, small facilities or structures; installation of small new equipment and facilities in small structures; and the conversion of existing small structures from one use to another where only minor modifications are made in the exterior of the structure. (Cal. Code Regs., tTit. 14, § 15303.)
Class 4	Minor Alterations to Land	Consists of minor public or private alterations in the condition of land, water, and/or vegetation which do not involve removal of healthy, mature, scenic trees except for forestry and agricultural purposes. (Cal. Code Regs., tTit. 14, § 15304.)
Class 5	Minor Alterations in Land Use Limitations	Consists of minor alterations in land use limitations in areas with an average slope of less than 20%, which do not result in any changes in land use or density. (Cal. Code Regs., tTit. 14, § 15305.)
Class 15	Minor Land Divisions	Consists of the division of property in urbanized areas zoned for residential, commercial, or industrial use into four or fewer parcels when the division is in conformance with the General Plan and zoning, no variances or exceptions are required, all services and access to the proposed parcels to local standards are available, the parcel was not involved in a division of a larger parcel within the previous 2 years, and the parcel does not have an average slope greater than 20 percent. (Cal. Code Regs., tTit. 14, § 15315.)
Class 32	In-Fill Development Projects	Consists of projects characterized as in-fill development meeting the conditions described in Cal. Code Regs., tTit. 14, § 15332.

# REPEAL

BCC DCC-LIC-027 (New Amended 10/18 7/21)  
California Department of Consumer Affairs  
**Bureau Department of Cannabis Control**  
www.bcc.ca.gov

State of California  
Gavin Newsom, Governor

## NOTIFICATION AND REQUEST FORM

This Form is to provide the Bureau Department of any notifications or requests for approval, as required under the regulations. The instructions provide more information on how to fill out this Form. Sections A through D are applicable to all licensees, unless indicated otherwise. Section E is applicable only to licensed testing laboratories. Notifications to the Bureau Department must be completed within the required timeframe, as set forth in regulations. Some changes or modifications to business practices cannot be completed without the required notification and/or prior approval from the Bureau Department, such as those in Section A. All required information and materials must be attached and submitted with the Form. Multiple boxes may be checked.

Licensee Name:

License Record Number:

License Expiration Date:

### A. REQUESTS FOR APPROVAL

- Request to Add A or M Designation - 5023(f) 15023(f)
- Request to Add or Remove a Commercial Cannabis Activity (microbusiness only) - 5023(g) 15023(g)
- Physical Modification of Premises (requires fee) - 5027 15027
- Inability to Comply Due to Disaster - Notification and Request - 5038(a) 15038(a)
- Change of List of Licensees and Employees Participating in Temporary Cannabis Event - 5601(i) 15601(i)
- Purchase of Former Licensee's Cannabis Goods - 5024.1 15024.1

### B. REQUIRED NOTIFICATIONS

- Death, Incapacity, Receivership, Assignment of Creditors, or Other Event Rendering an Owner Incapable - 5024(a) 15024(a)
- Criminal Conviction of Any Owner - 5035(a) 15035(a)
- Civil Penalty or Judgment Against Licensee or Any Owner - 5035(b) 15035(b)
- Administrative Order or Civil Judgment for Violation of Labor Standards Against Licensee or Any Owner - 5035(c) 15035(c)
- Revocation of a Local License, Permit, or Other Authorization - 5035(d) 15035(d)
- Discovery of Significant Discrepancy in Inventory - 5036(a)(1) 15036(a)(1)
- Discovery of Diversion, Theft, Loss, or Any Other Criminal Activity Pertaining to Operation of a License - 5036(a)(2) 15036(a)(2) & 5036(a)(3) 15036(a)(3)
- Discovery of Loss or Unauthorized Alteration of Records of Cannabis Goods, Customers, or Employees or Agents - 5036(a)(4) 15036(a)(4)
- Discovery of Any Other Breach of Security - 5036(a)(5) 15036(a)(5)
- Unable to Resolve Compliance Notification in Track and Trace Within Three Business Days - 5048(e)(2) 15048(e)(2)
- Connectivity to Track and Trace is Lost - 5050(b) 15050(b)
- Discovery that Notice of Suspension or Notice of Revocation Has Been Removed or is Damaged and Illegible - 5811(e) 15811(e) & 5812(f) 15812(f)

### C. BUSINESS MODIFICATIONS AND OTHER CHANGES

- Licensed Premises is Abandoned, Quit, or Closed for a Period Exceeding 30 Consecutive Calendar Days - 5022(a) 15022(a)
- Labor Peace Agreement - 5023(b) 15023(b)
- Change in Ownership - 5023(c) 15023(c)
- Change in Financial Interest Holders - 5023(d) 15023(d)
- Change in Contact Information - 5023(e)(1) 15023(e)(1)
- Change in Name or Legal Business Name - 5023(e)(2) 15023(e)(2)
- Change in DBA or FBN - 5023(e)(3) 15023(e)(3)
- Change to Financial Information - 5023(e)(4) 15023(e)(4)
- Change in Bond - 5023(e)(5) 15023(e)(5)
- Change or Lapse in Insurance for Distributor - 5023(e)(6) 15023(e)(6)
- Movement of Cannabis Goods to Prevent Immediate Loss, Theft, or Degradation from Disaster - 5038(h) 15038(h)

**D. CHANGES TO VEHICLE INFORMATION**

- Use of New Vehicle or Trailer by a Distributor for Transportation of Cannabis Goods (notification is required prior to use) - 5312(b) 15312(b)
- Change to Distributor Vehicle or Trailer Information - 5312(c) 15312(c)
- Use of New Vehicle or Trailer by a Laboratory for Transportation of Samples (notification is required prior to use) - 5709(c) 15709(c)
- Change to Laboratory Vehicle or Trailer Information - 5709(d) 15709(d)

**E. REQUIRED NOTIFICATIONS FOR TESTING LABORATORIES**

- Application for Each ISO/IEC 17025 Accreditation is Granted or Denied - 5703(i) 15703(i)
- Use of New or Altered Test Methods by Testing Laboratory - 5713(d)(8) 15713(d)(8)
- Notification of Receipt of Proficiency Testing Results (if not concurrently sent to the Bureau Department by the provider) - 5733(h) 15733(h)
- Completion of Internal Audit by Testing Laboratory - 5735(c) 15735(c)
- Receipt of Accrediting Body On-site Audit Findings by Testing Laboratory - 5735(d) 15735(d)

Use space below for additional information, as needed.

*(This section contains horizontal lines for additional information, but the entire area is crossed out with a large 'X'.)*

**DISCLOSURES**

**Mandatory Submission**

Submission of the requested information is mandatory unless otherwise noted. Failure to provide any of the required information may result in disciplinary action.

See Instructions on the Following Pages



## BUREAU DEPARTMENT NOTIFICATION AND REQUEST FORM INSTRUCTIONS

Pursuant to the provisions in the Bureau's Department's regulations and the Medicinal and Adult-Use Cannabis Regulation and Safety Act (MAUCRSA), there are specific instances when licensees are required to notify the Bureau Department of changes to business operations. When completing the Bureau Department Notification and Request Form, please check the box next to item(s) that require Bureau Department notification or request and attach any other information required and relevant to the notification requirement(s). The general requirements for each notification or request item are listed below. Specific requirements can be found in the relevant code sections of the Bureau's Department's regulations. All sections are in reference to the California Code of Regulations, Title 16 4, Division 42 19.

### **A. REQUESTS FOR APPROVAL**

#### **Request to Add A or M Designation - 5023(f) 15023(f)**

A licensee may request to add an A-designation or M-Designation to their license by sending a notification to the Bureau Department signed by at least one owner as defined in section 5003 15003 of the Bureau's Department's regulations. A licensee shall not operate under the requested designation until they have received approval from the Bureau Department. The Bureau Department will be required to obtain direct confirmation from the local jurisdiction for the additional designation prior to approval.

#### **Request to Add or Remove a Commercial Cannabis Activity - 5023(g) 15023(g)**

A microbusiness licensee may add or remove a commercial cannabis activity to their license if doing so is consistent with the requirement that licensees engage in at least three (3) commercial cannabis activities. The licensee will be required to submit all licensing requirements for the requested new activity.

A licensee shall request the modification by completing a physical modification of premises request pursuant to section 5027 15027 of the Bureau's Department's regulations. A licensee shall not engage in a new commercial cannabis activity until they have paid for the modification and received approval from the Bureau Department.

#### **Physical Modification of Premises – 5027 15027**

A licensee shall not, without the prior written approval of the Bureau Department, make a physical change, alteration, or modification of the licensed premises that materially or substantially alters the licensed premises or the use of the licensed premises from the premises diagram originally filed with the license application. A licensee shall request approval of a physical change, alteration, or modification in writing, and the request shall include a new premises diagram, payment of a fee, and any additional documentation as requested by the Bureau Department.

#### **Inability to Comply Due to Disaster – Notification and Request - 5038(a) 15038(a)**

If a licensee is unable to comply with any licensing requirements due to a disaster, as provided in section 5038 15038 of the Bureau's Department's regulations, the licensee may notify the Bureau Department of this inability to comply and request relief from the specific licensing requirement. The Bureau Department may exercise its discretion to provide temporary relief from specific regulatory requirements.

#### **Change of List of Licensees and Employees Participating in Temporary Cannabis Event - 5601(i) 15601(i)**

If the list of licensees and employees participating in a temporary cannabis event changes after the application is submitted or after the license is issued, the temporary cannabis event applicant shall submit an updated list of all licensees and employees that will be providing onsite sales of cannabis goods at the temporary cannabis event and an updated diagram, to the Bureau Department no less than 72 hours before the event.

**Purchase of Former Licensee's Cannabis Goods Inventory - 5204.1 15204.1**

A licensed distributor or licensed microbusiness authorized to engage in distribution may be authorized to purchase and distribute a former's licensee's entire inventory stock, upon meeting certain requirements including requesting approval from the Bureau Department, within 14 calendar days of the termination of the former licensee's license.

**B. REQUIRED NOTIFICATIONS**

**Death, Incapacity, or Other Event Rendering an Owner Incapable - 5024(a) 15024(a)**

In the event of the death, incapacity, receivership, assignment for the benefit of creditors or other event rendering one or more owners' incapable of performing the duties associated with the license, the owner or owners' successor in interest (e.g., appointed guardian, executor, administrator, receiver, trustee, or assignee) shall notify the Bureau Department in writing, within 14 calendar days.

To continue operations or cancel the existing license, the successor in interest shall submit to the Bureau Department the following:

- (1) The name of the successor in interest.
- (2) The name of the owner(s) for which the successor in interest is succeeding and the license number;
- (3) The phone number, mailing address, and email address of the successor in interest; and
- (4) Documentation demonstrating that the owner(s) is incapable of performing the duties associated with the license such as a death certificate, or a court order, and documentation demonstrating that the person making the request is the owner or owners' successor in interest such as a court order appointing guardianship, receivership, or a will or trust agreement.

**Criminal Conviction of Any Owner - 5035(a) 15035(a)**

A licensee shall ensure that the Bureau Department is notified in writing of a criminal conviction of any owner, either by mail or electronic mail, within 48 hours of the conviction. The written notification to the Bureau Department shall include the date of conviction, the court docket number, the name of the court in which the owner was convicted, and the specific offense(s) for which the owner was convicted.

**Civil Penalty or Judgment Against Licensee or Any Owner - 5035(b) 15035(b)**

A licensee shall ensure that the Bureau Department is notified in writing of a civil penalty or judgment rendered against the licensee or any owner in their individual capacity, either by mail or electronic mail, within 48 hours of delivery of the verdict or entry of judgment, whichever is sooner. The written notification shall include the date of verdict or entry of judgment, the court docket number, the name of the court in which the matter was adjudicated, and a description of the civil penalty or judgment rendered against the licensee.

**Administrative Order or Civil Judgment for Violation of Labor Standards - 5035(c) 15035(c)**

A licensee shall ensure that the Bureau Department is notified in writing of an administrative order or civil judgement for violations of labor standards against the licensee or any owner in their individual capacity, either by mail or electronic mail, within 48 hours of delivery of the order. The written notification shall include the date of the order, the name of the agency issuing the order, and a description of the administrative penalty or judgement rendered against the licensee or owner.

**Revocation of a Local License, Permit, or Other Authorization - 5035(d) 15035(d)**

A licensee shall ensure that the Bureau Department is notified in writing of the revocation of a local license, permit, or other authorization, either by mail or electronic mail within 48 hours of receiving notice of the revocation. The written notification shall include the name of the local agency involved, a written explanation of the proceeding or enforcement action, and the specific violation(s) that led to revocation.

**Discovery of Significant Discrepancy in Inventory - 5036(a)(1) 15036(a)(1)**

A licensee shall notify the Bureau Department and local law enforcement within 24 hours of discovery of a significant discrepancy, as defined in section 5034 15034 of the Bureau's Department's regulations. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Discovery of Diversion, Theft, Loss, or Any Other Criminal Activity - 5036(a)(2) 15036(a)(2) & 5036(a)(3) 15036(a)(3)**

A licensee shall notify the Bureau Department and local law enforcement within 24 hours of discovery of diversion, theft, loss, or any other criminal activity pertaining to the operations of the licensee. A licensee shall also notify the Bureau Department and local law enforcement within 24 hours of discovery of diversion, theft, loss, or any other criminal activity by an agent or employee of the licensee pertaining to the operations of the licensee.

The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Discovery of Loss or Unauthorized Alteration of Records - 5036(a)(4) 15036(a)(4)**

A licensee shall notify the Bureau Department and local law enforcement within 24 hours of discovery of loss or unauthorized alteration of records related to cannabis goods, customers, or the licensee's employees or agents. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Discovery of Any Other Breach of Security - 5036(a)(5) 15036(a)(5)**

A licensee shall notify the Bureau Department and local law enforcement within 24 hours of discovery of any other breach of security. The notification shall be in writing and include the date and time of occurrence of the theft, loss, or criminal activity, the name of the local law enforcement agency that was notified, and a description of the incident including, where applicable, the item(s) that were taken or lost.

**Inability to Resolve Compliance Notification in Track and Trace Within 3 Business Days - 5048(e)(2) 15048(e)(2)**

A licensee shall monitor all compliance notifications from the track and trace system, and timely resolve the issues detailed in the compliance notification. If a licensee is unable to resolve a compliance notification within three business days of receiving the notification, the licensee shall notify the Bureau Department immediately.

**Connectivity to Track and Trace is Lost - 5050(b) 15050(b)**

A licensee shall notify the Bureau Department immediately of any loss of connectivity to the track and trace system.

**Notice of Suspension or Revocation Has Been Removed or is Damaged and Illegible - 5811(e)**

**15811(e) & 5812(f) 15812(f)**

A licensee whose license has been suspended shall notify the Bureau Department within 24 hours of discovering that the notice required under section 5811(b) 15811(b) of the Bureau's Department's regulations has been removed or damaged to an extent that makes the notice illegible.

A person whose license has been revoked shall notify the Bureau Department within 24 hours of discovering that the notice required under section 5812(b) 15812(b) of the Bureau's Department's regulations has been removed or damaged to an extent that makes the notice illegible.

**C. BUSINESS MODIFICATIONS AND OTHER CHANGES**

**Licensed Premises is Abandoned, Quit, or Closed for a Period Exceeding 30 Consecutive Calendar Days - 5022(a) 15022(a)**

A licensee who abandons, quits or who closes their licensed premises for a period exceeding 30 consecutive calendar days, shall request in writing that the Bureau Department cancel the license, within 14 calendar days after closing, quitting, or abandoning the licensed premises. The Bureau Department may revoke the license of a licensee who fails to comply. Upon cancellation or revocation of the license, the licensee shall not display and shall destroy the license certificate.

If a licensee must close the licensed premises for a period exceeding 30 consecutive calendar days to make renovations or repairs, the Bureau Department may allow the licensee to retain the license if the licensee complies with the requirements in section 5027 15027 of the Bureau's Department's regulations (see Material or Substantial Changes, Alterations, or Modifications of Premises – 5027 15027).

**Labor Peace Agreement - 5023(b) 15023(b)**

If at the time of licensure, a licensee employed less than 20 employees and later employs 20 or more employees, the licensee shall provide to the Bureau Department a document attesting that the licensee has entered into a labor peace agreement and will abide by the terms of the agreement, as soon as reasonably practicable once employing 20 or more employees. Once the licensee has entered into the labor peace agreement, the licensee shall provide the Bureau Department with a copy of the labor peace agreement signature page(s).

**Change in Ownership - 5023(c) 15023(c)**

If one or more of the owners of a license change, a new license application and fee shall be submitted to the Bureau Department within 14 calendar days of the effective date of the ownership change. The business may continue to operate under the active license while the Bureau Department reviews the application if at least one owner is not transferring ownership interest and will remain as an owner under the new license and ownership structure. If all owners will be transferring their ownership interest, the business shall not operate under the new ownership structure until the new license application has been approved by the Bureau Department.

A change in ownership occurs when a new person meets the definition of owner in section 5003 15003 of the Bureau's Department's regulations. A change in ownership does not occur when one or more owners leave the business by transferring their ownership interest to the other existing owner(s). In cases where one or more owners leave the business by transferring their ownership interest to the other existing owner(s), the owner or owners that are transferring their interest shall provide a signed statement to the Bureau Department confirming that they have transferred their interest.

**Change in Financial Interest Holders - 5023(d) 15023(d)**

When there is a change in persons with financial interest(s) in the commercial cannabis business that do not meet the requirements for a new license application, the licensee shall submit the information required by section 5004 15004 to the Bureau Department within 14 calendar days of the change. This information includes the name, birthdate, and government-issued identification type and number for all new individuals who have a financial interest in a commercial cannabis business, as defined in section 5004 15004. If an individual who was previously listed as a financial interest holder no longer has a financial interest, provide the first and last name of the individual and indicate that this individual no longer has a financial interest.

**Change in Contact Information - 5023(e)(1) 15023(e)(1)**

If there is any change to any contact information from the information provided to the Bureau Department in the original application or subsequent notification, the licensee shall provide the Bureau Department with the new contact information within 14 calendar days of the change.

**Change in Name or Legal Business Name - 5023(e)(2) 15023(e)(2)**

If the licensee is an individual, the licensee shall notify the Bureau Department within 14 calendar days of any change to their name. If a licensee is a business entity, the licensee shall notify the Bureau Department within 14 calendar days of any change to the legal business name.

**Change in DBA or FBN - 5023(e)(3) 15023(e)(3)**

If there is any change in business trade name (DBA) or fictitious business name (FBN), the licensee shall notify and provide the Bureau Department with the new information for the business trade name and/or fictitious business name within 14 calendar days.

**Change to Financial Information - 5023(e)(4) 15023(e)(4)**

If there is any change to financial information including funds, loans, investments, and gifts, required to be reported in the original application under section 5002(c)(18) 15002(c)(18) of the Bureau's Department's regulations, the licensee shall notify and provide the Bureau Department with the new financial information within 14 calendar days.

**Change in Bond - 5023(e)(5) 15023(e)(5)**

If there is any change to the surety bond required to be submitted to the Bureau Department in the original application under section 5008 15008 of the Bureau's Department's regulations, the licensee shall notify the and provide the Bureau Department with a copy of the new or changed surety bond within 14 calendar days.

**Change or Lapse in Insurance - 5023(e)(6) 15023(e)(6)**

If there is any change or lapse in insurance coverage required for a licensed distributor under section 5308 15308 of the Bureau's Department's regulations, the licensee shall notify and provide the Bureau Department with the new insurance information within 14 calendar days.

**Movement of Cannabis Goods to Prevent Immediate Loss, Theft, or Degradation from Disaster -5038(h) 15038(h)**

If a licensee needs to move cannabis goods stored on the licensed premises to another location immediately to prevent loss, theft, or degradation of the cannabis goods from the disaster, as provided in section 5038 15038 of the Bureau's Department's regulations, the licensee may move the cannabis goods without obtaining prior approval if:

- (1) The cannabis goods are moved to a secure location where access to the cannabis goods can be restricted;
- (2) The licensee notifies the Bureau Department in writing that the cannabis goods have been moved and that the licensee is requesting relief from complying with specific licensing requirements within 24 hours of moving the cannabis goods;
- (3) The licensee agrees to grant the Bureau Department access to the location where the cannabis goods have been moved to for inspection; and
- (4) The licensee submits in writing to the Bureau Department within 14 calendar days of moving the cannabis goods a request for temporary relief that clearly indicates what statutory and regulatory sections relief is requested from, the time period for which the relief is requested, and the reasons relief is needed for the time specified.

#### **D. CHANGES TO VEHICLE INFORMATION**

##### **Use of New Vehicle or Trailer by a Distributor for Transportation - 5312(b) 15312(b)**

A licensed distributor shall provide the Bureau Department with the required vehicle information in writing for any new vehicle or trailer that will be used to transport cannabis goods prior to using the vehicle or trailer to transport cannabis goods. Required vehicle information includes: (1) Proof that the licensed distributor is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods; and (3) Proof of insurance for each vehicle and trailer used to transport cannabis goods.

##### **Change to Distributor Vehicle or Trailer Information Used for Transportation - 5312(c) 15312(c)**

A licensed distributor shall provide the Bureau Department with any changes to the required vehicle information in writing within 30 calendar days. Required vehicle information includes: (1) Proof that the licensed distributor is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods; and (3) Proof of insurance for each vehicle and trailer used to transport cannabis goods.

##### **Use of New Vehicle or Trailer by a Laboratory for Transportation of Samples - 5709(c) 15709(c)**

A licensed laboratory shall provide the Bureau Department with the required vehicle information in writing for any new vehicle or trailer that will be used to transport cannabis goods samples prior to using the vehicle or trailer. Required vehicle information includes: (1) Proof that the laboratory is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods samples; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods samples; and (3) Proof of insurance for each vehicle used to transport cannabis goods samples.

##### **Change to Laboratory Vehicle or Trailer Information Used for Transportation of Samples - 5709(d) 15709(d)**

A licensed laboratory shall provide the Bureau Department with any changes to the required vehicle information in writing within 30 calendar days. Required vehicle information includes: (1) Proof that the laboratory is the registered owner under the Vehicle Code for each vehicle and trailer used to transport cannabis goods samples; (2) The year, make, model, license plate number, and numerical Vehicle Identification Number (VIN) for each vehicle and trailer used to transport cannabis goods samples; and (3) Proof of insurance for each vehicle used to transport cannabis goods samples.

## E. REQUIRED NOTIFICATIONS FOR TESTING LABORATORIES

### **Application for Each ISO/IEC 17025 Accreditation is Granted or Denied - 5703(i) 15703(i)**

A testing laboratory licensee with a provisional testing laboratory license pursuant to section 5703 15703 of the Bureau's Department's regulations shall notify the Bureau Department if the application for each ISO/IEC 17025 accreditation is granted or denied within 5 business days of receiving the decision from the accrediting body.

### **Use of New or Altered Test Methods by Testing Laboratory - 5713(d)(8) 15713(d)(8)**

Testing Laboratories are required to generate a validation report for each test method pursuant to the requirements in section 5713 15713 of the Bureau's Department's regulations. If a testing laboratory uses a new or altered test method, the testing laboratory shall submit the new validation report to the Bureau Department within 5 business days.

### **Notification of Receipt of Proficiency Testing Results (if not concurrently sent) - 5733(h) 15733(h)**

Pursuant to section 5733 15733 of the Bureau's Department's regulations, a testing laboratory is required to participate in a proficiency testing program provided by an organization that operates in conformance with the requirements of ISO/IEC 17043.

The laboratory shall request the proficiency testing program provider to send results concurrently to the Bureau Department, if available, or the laboratory shall provide the PT program results to the Bureau Department within 3 business days after the laboratory receives notification of their test results from the proficiency testing program provider.

### **Completion of Internal Audit by Testing Laboratory - 5735(c) 15735(c)**

Pursuant to section 5735 15735 of the Bureau's Department's regulations, a testing laboratory is required to conduct an internal audit at least once per year, or in accordance with the ISO/IEC 17025 accrediting body's requirement, whichever is more frequent. The testing laboratory shall submit the results of the internal audit to the Bureau Department within 3 business days of completing the internal audit.