

Recordkeeping & SOPs

Alabama

Working in a state-legal cannabis business that is still federally illegal comes with a deep necessity for attention to detail. Designate a leader on your team to be in charge of **reviewing and ensuring all required documents** are kept in order and can easily be shared with the Alabama Medical Cannabis Commission (AMCC) upon request.

Your plans and associated **Standard Operating Procedures (SOPs)** should be reviewed regularly and at least annually to ensure they are current and accurate.

If you are ever unsure whether or not a particular document must be kept, please reach out to a manager. In addition, **please report all suspicious or criminal activity to the management team as soon as possible** so they are aware and can stay in compliance with reporting requirements.

Below is a list of the majority of the records you'll want to create and save. You may choose to keep **paper or electronic records**. We highly recommend keeping backups!

Stay organized and current to ensure compliance.

Application Requirements

The following documents must be submitted to the AMCC within the business' license application. Accurate versions of each document must be maintained and made available to the AMCC upon request. Licensees are required to notify the AMCC if and when there are "Material Breaches," or instances when operations differ from those that were submitted within license applications:

- **Quality Control and Quality Assurance Plan** for each facility, identifying:
 - Steps to be taken to provide high quality products and/or to ensure the safety, potency, stability, lifespan, and consistency among batches of the same product;
 - A description of tests that will be conducted, if any, and at what point or points during the dispensing process;
 - Where each test will be conducted; and
 - A plan for return and remediation or destruction of failed test samples, including entry of the event into Metrc.
- **Plan for Receiving and Coordinating Information and Certifications** from registered certifying physicians;
- **Plan for Certified Dispensers** regarding point-of-sale education, consultation, provision of information, responses to patient and caregiver questions, and instructions for use regarding all medical cannabis products;
- **Plan for Maintaining Confidential Information** and providing cybersecurity for sensitive patient and caregiver information in accordance with HIPAA;
- **Community Engagement Plan** describing all efforts that have been or will be made to foster the dispensary's relationship, involvement in, and commitment to the community in which it's located or will be within the next (3) years;
- **Environmental Impact Statement** outlining the anticipated impact of proposed operations, its plans, if any, to build a relationship to foster cooperation and compliance with all applicable agencies providing environmental oversight, and any steps the business has taken or will take to reduce its carbon footprint and/or to maintain a positive environmental profile in each respective community where the business will be operating within the next (3) years;
- **Plan for Handling Money and Allocating and Remitting Required Taxes;**
- **Copies of all contracts**, contingent contracts, memoranda of understanding (MOUs) between the business and any other AMCC-licensed businesses;
- **Receiving and Shipping Plan** that, at a minimum, ensures the following:

Recordkeeping & SOPs

Alabama

- Individual batches of received medical cannabis are appropriately prepared, packaged, and labeled at the time of receipt, having been QR or otherwise digitally coded to identify, at a minimum, the facility of origin, date of processing, packaging, labeling, and the date of testing approval;
- Incoming medical cannabis is accompanied by the Secure Transporter's accurate and duly executed manifest and other appropriate documentation;
- All incoming medical cannabis QR code information and date/time of arrival must be logged in Metrc;
- Incoming medical cannabis must be compliantly packaged, labeled, and inserted into containers prior to transport;
- Medical cannabis shipped by the Dispensary to or from another licensed business must be QR coded or otherwise digitally coded to identify, at a minimum, the licensee from which the inventory was sourced, the facility of origin, type of product, date of processing and packaging, expiration date (or a note that it does not apply,) the date of testing approval, and AL Poison Control contact information;
- Outgoing medical cannabis being sent for testing is accompanied by the Secure Transporter's or State Testing Lab's accurate and duly executed manifest and other appropriate documentation; and
- All information from the QR code relating to outgoing medical cannabis, as well as the date and time of shipment, must be logged in Metrc.
- **Marketing and Advertising Plan**, if any, including:
 - Any proposed logos, branding, messaging, or other marketing or advertising communications;
 - Any specific media outlets or platforms where campaigns or programs will be utilized; and
 - The identity of any media outlet, social media platforms, or entities that are projected to play any role in marketing or advertising efforts, and copies of all related contracts;
- **Recall Plan** - will be followed in the event of required recalls. Must include, but is not limited to:
 - Provisions for notifying the all affected licensees of an adverse event;
 - Factors about an adverse event that would likely necessitate a recall, and any potential for retesting or remediation;
 - Responsible individuals or positions who will oversee the recall process;
 - Notification protocols to other licensees and the AMCC through Metrc;
 - Processes to ensure that the recalled product is returned, remediated (and deemed safe,) or destroyed;
 - Processes to report to the AMCC and any other appropriate agencies regarding crisis response and steps taken to mitigate or avoid danger to the public;
 - Steps to be taken to avoid further contamination, to preserve and protect uncontaminated medical cannabis, and to ensure access to said products by those who depend on it; and
 - Investigation and analysis of the factors that led to the unsafe condition requiring the recall, and any adjustments to SOPs to avoid recurrence.
- **Security Plan, with equipment and operations specifics** including, but not limited to:
 - 24-hour commercial alarm systems, provided and installed by experts, securing all entry points and perimeter windows, equipped with motion detectors and pressure switches, covering all areas where medical cannabis is delivered, received, handled, stored, prepared, dispensed, or sold;
 - Employee access to duress panic and hold-up alarms;
 - Broadcast communication devices (cell phones, intercom equipment or the like,) which is:
 - ➔ Carried by each employee or installed in all areas of the facility designed for regular access;
 - ➔ Accessible for communication by all personnel at all times, and particularly at entry and exit stations, reception areas, and the security office; and
 - ➔ Capable of providing information with sufficient clarity to be heard and understood by all personnel and visitors within earshot of the employee receiving the communication.
 - A 24/7 audio/video surveillance system that is fixed in place, covering both the interior and exterior of the facility, with quality and lighting to allow for the clear ID of individuals and activities, including, but not limited to all entrances, exits, parking lots, and any area where medical cannabis is delivered, received, handled, stored, prepared, dispensed, or sold. Must clearly and accurately display the time and date. Audio must clearly and accurately capture sound w/in camera range at 20 decibels or greater;
 - The site's perimeter must be surrounded with a sufficient fence or barrier to prevent access by unauthorized persons, with sufficient lighting to permit ID of individuals and activities upon or immediately adjacent to the premises. Sufficient lighting for indoor premises is also required;
 - Exterior doors must be designed or reinforced to withstand unlawful forcible entry; exterior doors must remain locked against outside intruders at all times, while allowing free egress by facility occupants in the event of an emergency; keycard or other similar electronic access required for ingress. Patients and caregivers may be granted access by personnel only upon showing a valid, unexpired, and unrevoked medical cannabis card;
 - Dispensary sites must be housed in a stand-alone building or within a multi-use strip mall or other such retail facility. The area cannot be accessible to or used by neighboring businesses, other tenants, or other non-employees.

Recordkeeping & SOPs

Alabama

The site must have separate points of ingress and egress or, at a minimum, must be secured by keypad and electronically protected entryways accessible only to employees, patients, and caregivers, AMCC reps and their guests, representatives of other licensees, vendors, cleaning crew personnel, repair workers, and other appropriate individuals;

- Facilities must maintain sufficient staffing of security guards during operating hours;
- Strict access controls must protect areas where medical cannabis and daily monetary receipts are handled or stored - in a secured, locked room or vault;
- Protocols for beginning and end-of-day movement of medical cannabis and cash between secure areas and sales areas, as well as a plan for maintaining security of daily cash on hand at all times;
- Prohibiting entry of members of the public, other than registered patients and caregivers. Electronic or manual records must be kept of all persons on the premises at all times, including employees, vendors, transporters or other licensees, and all official visitors;
- Audio/Video surveillance records must be kept for at least (60) days, and longer upon request from the AMCC or law enforcement. Recordings potentially reflecting diversion incidents must be kept for (2) years, or until resolution of the incident;
- On-duty employees must wear ID badges that clearly identify them as employees;
- Visitors must wear a "visitor pass" or "AMCC Official" pass, as applicable, at all times while on the premises;
- Dispensaries must maintain, review, and update policies to report theft, diversion, or other loss of cannabis to the AMCC and law enforcement within (24) hours from the event or its discovery;
- Upon request, the Dispensary must make all information relating to security alarm systems, monitoring, alarm activity, maps of camera locations and camera coverage, audio/video footage, surveillance equipment maintenance logs, authorized use lists, operation instructions, and any other security-related information to the AMCC;
- Upon request, the Dispensary must make all information related to the security plan available to the AMCC;
- At each entrance point and in at least one location in the sales area, the dispensary must prominently display signs stating, *"WARNING: This facility is monitored at all times using audio and video surveillance. Entry to this business and purchases within are strictly prohibited except as to registered patients and caregivers presenting valid identification as required by law."*; and
- The # of patients, caregivers, and others on the premises at any given time may not be more than can be reasonably monitored by employees in the retail area, and in no event can exceed that permitted by applicable fire code.

Additional Required SOPs

In addition to the above, Dispensaries must have and maintain the following SOPs. Once again, actual operations must match those outlined in applicable SOPs, which should be reviewed and updated at least annually. All SOPs must be readily accessed from the physical site of operations upon the request of the AMCC, including, at a minimum, the following:

- **IT Plan** - Must include a plan for ensuring accurate recordkeeping, compliance with inventory protocols, and coordination of information and systems with vendors, customers and others, as applicable. Must include a plan for obtaining, installing and maintaining the internal operating systems, if applicable, through a third-party inventory control and tracking system, but also the licensee's plan for interactivity with, as applicable, the AL Medical Cannabis Patient Registry System, Metrc, and the AMCC website. Licensees must demonstrate how interaction with the platforms will be successfully maintained and properly updated;
- **Medical Cannabis Storage and Maintenance Plan** - Includes a plan for maintenance and storage of medical cannabis. Must include, at a minimum, maintaining medical cannabis in a moisture- and temperature-controlled environment free of pests; keeping stored items secure, properly separated and labeled, and limiting access to essential personnel;
- **Quality Assurance Plan** - Includes plans for quality control and testing at each stage of production, including cultivation, processing and dispensing, regardless of whether packaged, labeled and/or sealed. Must meet the following requirements:
 - Must be conducted by a State Testing Laboratory;
 - Sample must be derived from a single batch and must be comprised of at least (10) grams and no more than (30) grams. Must be the lesser of (1%) of the total product weight of the production run or (10) units of product. All samples must be homogenized before testing;
 - Batches cannot be sold to another licensed business, patients, or caregivers until testing is passed;

Recordkeeping & SOPs

Alabama

- Licensees may conduct additional unofficial testing;
- **Contamination and Recall Plan** -Details the steps to be undertaken in the event of discovery of contamination of medical cannabis. Must account for the safety of employees and others on the premises, notification of proper authorities, exploring the possibility of retesting or remediation, proper disposal of contaminated medical cannabis, steps to be taken for the preservation of medical cannabis, and the reasonable efforts to maintain access to those who depend on it;
- **Criminal Activity Plan** - Details the steps to be undertaken in the event of discovery of criminal activity related to medical cannabis. Must account for the safety of employees and others on the premises, reporting the criminal activity to proper authorities, steps to be taken for the preservation of medical cannabis, and reasonable efforts to maintain access to medical cannabis by those who depend on it;
- **Emergency Procedures/Disaster Plan** - Details the steps the licensee will take to ensure the safety of employees and others on the premises, the preservation of medical cannabis, and the reasonable efforts to maintain access to medical cannabis by those who depend on it, in the event of any reasonably foreseeable emergency, or natural disaster that may affect the licensee, its facilities, personnel, products or customers;
- **Alcohol, Smoke, and Drug-Free Workplace and Non-Discrimination Policies** - Must be included in the licensee's Employee Handbook and/or the Policies and Procedures Manual;
- **Employee Safety Plan** - Must comply with parallel OSHA standards applicable to similar types of businesses, to the extent such standards can be extrapolated to fit the licensee's workplace;
- **Confidential Information and Cybersecurity Plan** - Includes a plan for securing and maintaining confidentiality as to any and all sensitive information and records, including, at a minimum, information and records communicated interpersonally, kept physically, or stored virtually;
- **Medical Cannabis Waste and Disposal Plan** - Includes a plan for tracking and proper disposal of medical cannabis waste. Must, at a minimum, leave no part of the medical cannabis waste either usable or recognizable; and
- **Security Plan** - The following are required in addition to the above:
 - Exterior walls must be reinforced to withstand unlawful forcible entry. Windows must be reinforced to prevent breakage by outside intruders;
 - There must be at least (1) security guard per facility during operating hours; and
 - Electronic or manual records must be kept of all patients and caregivers, recording the individual's name, date, time of ingress and egress, and the reason for their presence. Such records must be kept for a minimum of (2) years.

538-X-8-.05 Applications And Licensing Procedures As To Dispensaries Generally.

(3) Procedure for Filing Application - Exhibits to Dispensary's Application. Exhibits to the Dispensary Applicant's application information shall include all those as provided in subparagraphs 3.m.(1) through 3.m.(16) of Rule 538-X-3-.05 of Chapter 3 of these Rules, unless specifically provided otherwise as follows:

(a) Dispensary applicants must provide a quality control and quality assurance plan for each of their facilities, including all dispensing sites, identifying:

1. An overview of the steps to be taken in the dispensing process to provide high quality products and/or to ensure the safety, potency, stability, lifespan, and consistency among batches of the same product, whether as required by law or otherwise.
2. What tests will be conducted, if any, and at what point or points during the dispensing process.
3. Whether each test to be conducted will be performed in-house, through unofficial private testing performed by a State Testing Laboratory, or through an official test by a State Testing Laboratory.
4. A plan for return and remediation or destruction of any failed test samples, including entry of the event on the Statewide Seed-to-Sale Tracking System.

Recordkeeping & SOPs

Alabama

- (c) Dispensary Applicants must provide a plan for receiving and coordinating information and certifications from registered certifying physicians recommending medical cannabis products for patient and caregiver customers.
- (d) Dispensary Applicants must provide a plan for point-of sale education, consultation, provision of information, responses to patient and caregiver questions, and instructions for use regarding all medical cannabis products, to be conducted by the certified dispenser.
- (e) Dispensary applicants must create and maintain at all times a plan pursuant to 538-X-3-.05-3.m.(16)(i) and 538-X-4-. 07-12.o.(9), for maintaining confidential information and providing cybersecurity for sensitive information with respect to patients and caregivers, but the dispensary shall include within that plan a set of protocols for maintaining the confidentiality of patient information in accordance with HIPAA arising from or related to the dispensary's access to the Patient Registry and/or from any other source.
- (f) Dispensary applicants must provide a Community Engagement Plan describing all efforts that have been or will be made to foster the dispensary's relationship with, involvement in, and commitment to any community (including municipality or county) in which the dispensary intends to locate a facility within the next three years.
- (g) Dispensary applicants must provide an Environmental Impact Statement outlining the anticipated impact of each of the dispensary's proposed operations, per facility, on the local environment; the applicant's efforts or plans, if any, to build a relationship to foster cooperation and compliance with federal, state and local agencies providing environmental oversight; and any steps the applicant has taken or will take to reduce or eliminate its carbon footprint and/or to achieve and maintain a positive environmental profile in each community where the applicant intends to locate and operate a facility within the next three years.
- (h) Dispensary applicants must provide a detailed plan for handling money and allocating and remitting taxes as required by any local, state or federal agency.
- (i) Dispensary applicants must provide copies of all contracts, contingent contracts, memoranda of understanding (or, if none of the foregoing are available, exemplars) between themselves and: 1. Any Cultivator or prospective Cultivator. 2. Any Secure Transporter or prospective Secure Transporter. 3. Any State Testing Laboratory or prospective State Testing Laboratory. 4. Any Processor or prospective Processor. 5. Any Integrated Facility or prospective Integrated Facility.
- (j) Dispensary applicants must create a receiving and shipping plan that, at a minimum, ensures the following, in coordination with the contracted Secure Transporter or State Testing Laboratory, as applicable:
 - 1. Individual batches of medical cannabis being received for storage and/or dispensing were appropriately prepared, packaged, and labeled at the time of receipt, having been QR coded or otherwise digitally coded to identify, at a minimum, the Processor or Integrated Facility, the facility of origin, date of processing, packaging, and labeling, and the date of the Processor's or Integrated Facility's State Laboratory testing approval.
 - 2. Incoming medical cannabis is accompanied by the Secure Transporter's manifest and other appropriate documentation; the information thereon is accurate, and the manifest has been duly executed by all appropriate parties.
 - 3. All information from the QR code relating to the incoming medical cannabis, as well as the date and time of arrival, has been logged into the Statewide-Seed-to-Sale Tracking System.
 - 4. Medical cannabis products being received by the Dispensary by means of a Secure Transporter must be appropriately packaged, labeled, and inserted in containers prior to transport.

Recordkeeping & SOPs

Alabama

5. Batches and containers being shipped by the Dispensary to or from another licensee's facility or to or from another of the Dispensary's own facilities must be QR coded or otherwise digitally coded to identify, at a minimum, the Cultivator, Processor or Integrated Facility from which the medical cannabis was sourced, the facility or facilities of origin, type of product, date of processing and packaging, expiration date (or, if no expiration date, a notation that the expiration date does not apply), the date of the Processor's State Laboratory testing approval, and the Alabama Poison Control contact information as provided on the AMCC website.

6. Outgoing medical cannabis being sent for testing is accompanied by the Secure Transporter's or State Testing Laboratory's manifest and other appropriate documentation; the information thereon is accurate and has been duly executed by all appropriate parties.

7. All information from the QR code relating to the outgoing medical cannabis, as well as the date and time of shipment, has been logged into the Statewide-Seed-to-Sale Tracking System.

(k) Dispensary applicants must provide a marketing and advertising plan, if any, including:

1. Any proposed logos, branding, messaging, or other marketing or advertising communications, either in-house (e.g., in displays or on video monitors installed in the dispensing site) or providing examples of any specific advertisements.
2. Any specific media outlets or platforms where the marketing or advertising campaigns or programs will be utilized.
3. The identity of any media outlet, social media platform, or third-party individual or entity which is projected to play any role in the Dispensary's marketing or advertising efforts, and copies of all contracts or contract forms proposed for use, if any, between itself and such media outlet or third-party individual or entity

(l) Dispensary applicants must provide a detailed recall plan that will be followed in the event one or more of the products offered for sale at its dispensing sites, including any lots or batches thereof, is determined to require recall. The plan must include, but is not limited to, the following:

1. Provisions for notifying the originating Processor or Integrated Facility and any other licensee in the chain of custody of an adverse event;
2. Factors about an adverse event that would likely necessitate a recall, and any potential for retesting or remediation;
3. Responsible individuals or positions within the Dispensary's organization who will oversee the recall process;
4. Notification protocols to other licensees and the Commission through the Statewide Seed-to-Sale Tracking System;
5. Processes to ensure that the recalled product is returned, remediated (and ultimately approved as safe), or destroyed; processes to report to the Commission and any other appropriate regulatory body regarding crisis response and steps taken to mitigate or avoid danger to the public;
6. Steps to be taken to avoid further contamination, to preserve and protect uncontaminated cannabis or medical cannabis products, and to ensure access to said products by those who depend on it; and
7. Investigation and analysis of the factors that led to the unsafe condition requiring the recall, and any adjustments to internal protocols and processes to avoid recurrence.

(m) The Dispensary Applicant's Security Plan must include a plan for security at each facility, including but not limited to the following:

1. Twenty-four-hour alarm systems must be installed in all facilities where cannabis or medical cannabis products are present. Such alarms shall be provided and installed by experts in industry-standard commercial grade alarm systems. Alarm systems must be fully operational, securing all entry points and perimeter windows, be equipped with motion detectors and pressure switches, and must cover all areas where cannabis or medical cannabis products are delivered, received, handled, stored, prepared, dispensed or sold.

Recordkeeping & SOPs

Alabama

2. Reception areas and personnel adjacent to ingress and egress points shall have ready access to duress panic and hold-up alarms that may be activated in the event of access by unauthorized personnel or intruders.
3. Broadcast communication devices (cell phones, intercom equipment or the like) must be:
 - i. Carried by each employee or installed in all areas of each Dispensary's facility designed for regular access by humans.
 - ii. Accessible for communication by all personnel at all times, and particularly at perimeter ingress/ egress stations, facility reception areas, and the security office.
 - iii. Capable of providing information with sufficient clarity to be heard and understood by all personnel and visitors within earshot of the employee receiving the communication.
4. Dispensary's facilities shall maintain an audio/video surveillance system that shall be in continuous operation 24 hours per day. Cameras shall be fixed in place covering both the interior and exterior of the Dispensary's facility, in such quantity, with such lighting, and at such resolution as shall allow for the clear identification of individuals and activities in all reasonably accessible areas of the premises, including but not limited to all entrances, exits, parking lots, and any area where cannabis or medical cannabis is delivered, received, handled, stored, prepared, dispensed, or sold. Audio/Video surveillance recordings must clearly and accurately display the time and date. Audio recordings shall clearly and accurately capture sound within camera range at a level of 20 decibels or greater.
5. As to any facility owned by a dispensary at which medical cannabis is maintained, except a dispensary site, the dispensary must surround the perimeter of such facility with a sufficient fence or barrier to prevent access by unauthorized persons and must have sufficient lighting to allow for the proper functioning of video surveillance equipment at all times between dusk and dawn or at any other time when ambient lighting requires enhancement to permit identification of individuals and activities upon or immediately adjacent to the premises. Indoor premises must likewise be sufficiently lit to allow for the identification of individuals and activities.
6. Exterior doors of each facility operated by a Dispensary must be designed or reinforced to withstand unlawful forcible entry; exterior doors shall remain locked against outside intruders at all times, while allowing free egress by the facility's occupants in the event of an emergency; doors must permit ingress to employees and other appropriate persons (other than Patients and Caregivers) only by means of a keycard or other similar electronic access device. Patients and caregivers may be granted access by Dispensary personnel only upon showing a valid, unexpired and unrevoked medical cannabis card.
7. A dispensary site must be housed (A) in a stand-alone building or (B) within a multi-use structure, strip mall or other such retail facility; the area occupied by the dispensary site is not to be accessible to or used by neighboring businesses, other tenants or others not employed by the dispensary. To the extent that the dispensary site is housed within a multi-use structure, strip mall or other such retail facility, the dispensary site must be self-contained, or at a minimum, segregated from other businesses and activities being conducted in the multi-use structure, strip mall or other such retail facility by separate points of ingress and egress or, at a minimum, separately keyed and electronically protected entryways accessible only to employees of the dispensary; patients and caregivers; AMCC representatives and their guests; representatives of other licensees; vendors, cleaning crew personnel, and repair workers carrying out business-related functions on the premises; representatives of the lessor during routine inspections or similar circumstances warranting a physical visit to the premises; or other appropriate individuals.
8. Dispensary Facilities must maintain sufficient staffing of security guards at each facility where cannabis and medical cannabis is present to reasonably ensure the safety of the products stored therein; however, the dispensary must provide, at a minimum, one (1) security guard per facility during the facility's business/operating hours.
9. Strict access controls shall protect areas where cannabis or medical cannabis and daily monetary receipts are handled or stored - in a secured, locked room or vault.
10. Protocols for beginning-of-day and end-of-day movement of medical cannabis and cash between secure areas and sales areas, as well as a plan for maintaining security of daily cash on hand at all times.

Recordkeeping & SOPs

Alabama

11. Members of the public, other than patients and caregivers holding a valid, unexpired, unrevoked medical cannabis card, are not allowed inside a dispensing site. Records, whether electronic or manual, must be kept of all persons on the premises at a facility at all times, including employees, vendors, transporters or other licensees, and all official visitors, recording the individuals' name, date, time of ingress and egress, and (as to non-employees) the reason for their presence; such records shall be kept for a minimum of two years, and longer at the request of the Commission or law enforcement.
 12. Audio/Video surveillance records must be kept for at least 60 days, and longer upon the request of the Commission, its inspectors, or any law enforcement personnel. Audio/Video recordings potentially reflecting an incident of actual or attempted diversion must be kept for the longer of a period of two years, or until resolution of the incident and apprehension and discipline or prosecution of the individuals involved in the actual or attempted diversion.
 13. Employees, while on duty, shall wear identification badges that clearly identify them as employees.
 14. Visitors, including vendors, other licensees, Commission members, inspection personnel, or other representatives must wear a "visitor pass" or "AMCC Official" pass, as applicable, at all times while on the premises.
 15. Dispensaries shall maintain, review and update policies to report theft, diversion, or other loss of cannabis products to the Commission and to law enforcement as early as practicable and not more than 24 hours from the event or its discovery.
 16. Upon request, a Dispensary shall make available to the Commission or its inspectors all information relating to security alarm systems, monitoring, alarm activity, maps of camera locations and camera coverage, audio/video footage, surveillance equipment maintenance logs, authorized use lists, operation instructions, and any other security-related information deemed relevant by the Commission or its inspectors.
 17. Upon request, a Dispensary shall make available to the Commission or its inspectors all information relating to the Dispensary's security plan.
 18. Signage. The dispensary shall prominently display at each entrance point to a dispensing site and in at least one location in the sales area of the dispensing site signs stating as follows: "WARNING: This facility is monitored at all times using audio and video surveillance. Entry to this business and purchases within are strictly prohibited except as to registered patients and caregivers presenting valid identification as required by law."
- (n) The number of patients, caregivers and others on the premises at a dispensing site at any given time may not be more than can be reasonably monitored by the employees present in the retail area, and in no event shall the total number of individuals on the premises exceed that permitted by the applicable fire code.
- (o) The Dispensary Applicant must provide an affidavit signed by the responsible individual and designated contact person (or, if the Dispensary is an entity, the duly authorized officer, owner or interest holder and the designated contact person) that the information provided in the Application is true and correct, to the best of the Affiants' knowledge upon a diligent investigation thereof.
- (p) The Dispensary Applicant must provide the application fee required by §20-2A-55(f), Code of Ala. 1975, (as amended). The application fee is nonrefundable and must be submitted electronically per instructions in the Application Form received in response to the applicant's Request for Application.
- (4) In all other respects except as expressly stated otherwise in this Rule, Dispensary Applicants shall be governed by the rules for applications (Chapter 3 of these Rules) and licensing (Chapter 4 of these Rules) generally pertaining to all applicants.

Recordkeeping & SOPs

Alabama

538-X-4-.07 Duty To Meet And Maintain Standards, Policies, Procedures and Operations Per Application.

A licensee has an ongoing duty to meet and maintain the standards, policies, procedures, and operations as it affirmed to the Commission at the time of licensing, as such standards, policies, procedures, and operations may have been amended by the licensee from time to time in accordance with Rules 538-X-4-.08 and 538-X-4-.19. Specifically, at the time of the licensee's precommencement inspection and at each inspection thereafter, a licensee must meet and/or maintain the following, in the manner previously provided at the time of licensing, as updated (i.e., current to within 30 days, unless otherwise required):

(12) The following documents, labeled, and in the following order:

(o) The licensee's verified Standard Operating Plan and Procedures. The licensees must demonstrate and maintain standard operating procedures regarding the following subjects in such a way that they can be readily accessed from the physical site of operations upon the request of inspectors, the Commission, or Commission staff, including, at a minimum, the following:

1. An IT Plan. Licensees must maintain at all times and review annually, a plan for ensuring accurate recordkeeping, compliance with inventory protocols, and coordination of information and systems with vendors, customers and others, as applicable. Said plan must include not only a plan for obtaining, installing and maintaining the Licensee's own internal operating systems, if applicable, through a third-party inventory control and tracking system (§20-2A-60, Code of Ala. 1975, (as amended)), but also the licensee's plan for interactivity with, as applicable, the Alabama Medical Cannabis Patient Registry System (§20-2A-35, Code of Ala. 1975, (as amended)); the Statewide Seed-to-Sale Tracking System (§20-2A-54, Code of Ala. 1975, (as amended)); and the AMCC website. Licensees must demonstrate proof of purchasing and accessing the foregoing platforms, and the plan should demonstrate how interaction with the platforms will be successfully maintained and properly updated.
2. A Cannabis/Medical Cannabis Storage and Maintenance Plan. Licensees must maintain at all times and review at least annually a plan for maintenance and storage of cannabis and medical cannabis in the possession and control of licensee. Such plan shall include, at a minimum, maintaining cannabis and medical cannabis in a moisture- and temperature- controlled environment free of pests; keeping stored items secure, properly separated and labeled; and limiting access to cannabis and medical cannabis to essential personnel by position.
3. A Quality Assurance Plan. Licensees (except secure transporters) shall perform, at the licensee's own expense, quality control and testing of a qualified sampling (as defined in 538-X-10-.01 et seq. of these Rules) of cannabis or medical cannabis in their control at each stage of production, including cultivation, processing and dispensing of cannabis or medical cannabis, regardless of whether packaged, labeled and/or sealed, per the following requirements: (i) Required testing shall be conducted by a State Testing Laboratory (as detailed in 538-X-10-.01, et seq. of these Rules). (ii) A sample of cannabis for testing must be derived from a single batch and must comprise at least ten (10) grams and no more than thirty (30) grams; a sample of medical cannabis must be derived from a single batch and must be the lesser of one percent (1%) of the total product weight of the production run or ten (10) units of product. All samples must be homogenized before testing. (iii) Under no circumstances shall the licensee which provided the sample sell or transfer the cannabis or medical cannabis to another licensee, patient, or caregiver, unless and until the State Testing Laboratory clears the licensee to do so based on the written results of successfully completed testing. (iv) Nothing herein shall prohibit a licensee from conducting, at the licensee's own expense, separate in-house testing or designated unofficial testing by the State Testing Laboratory, at any point during the licensee's possession and control of cannabis or medical cannabis, but the results of such testing shall be unofficial and designated as such no later than the time of collection, and non-dispositive without approval from the Commission upon the written request of the licensee.
4. Contamination and Recall Plan. Licensees must maintain at all times and review at least annually a clear written contamination and recall plan, detailing the steps to be undertaken in the event of discovery of contamination of cannabis or medical cannabis within the possession and control of the licensee. The plan must account for the safety of employees and others on the premises, notification of proper authorities, exploring the possibility of retesting or remediation, proper disposal of contaminated cannabis and medical cannabis, steps to be taken for the preservation of cannabis or medical cannabis, and the reasonable efforts to maintain access to medical cannabis by those who depend on it.

Recordkeeping & SOPs

Alabama

5. A Criminal Activity Plan. Licensees must maintain at all times and review at least annually a clear written criminal activity plan, detailing the steps to be undertaken in the event of discovery of criminal activity related to cannabis or medical cannabis within the possession and control of the licensee. The plan must account for the safety of employees and others on the premises, reporting the criminal activity to proper authorities, steps to be taken for the preservation of cannabis or medical cannabis, and the reasonable efforts to maintain access to medical cannabis by those who depend on it.
6. An Emergency Procedures/Disaster Plan. Licensees must maintain at all times, and review at least annually, a clear written Emergency Procedures and Disaster Plan, detailing the steps the licensee will take to ensure the safety of employees and others on the premises, the preservation of cannabis or medical cannabis, and the reasonable efforts to maintain access to medical cannabis by those who depend on it, in the event of any reasonably foreseeable emergency, or natural disaster that may affect the licensee, its facilities, personnel, products or customers.
7. An Alcohol, Smoke, and Drug-Free Workplace and Non-Discrimination Policies. Licensees must maintain at all times and review at least annually a clear written Alcohol, Smoke and Drug Free Workplace Policy and a clear written Non-Discrimination Policy, which shall be included in the licensee's Employee Handbook and/or the Policies and Procedures Manual.
8. An Employee Safety Plan. Licensees must maintain at all times and review at least annually, an employee safety plan that must comply with parallel OSHA standards applicable to similar types of businesses, to the extent such standards can be extrapolated to fit the licensee's workplace.
9. A Confidential Information and Cybersecurity Plan. The licensee must maintain at all times and review at least annually, a plan for securing and maintaining confidentiality as to any and all sensitive information and any records required to be confidentially maintained, including, at a minimum, information and records communicated interpersonally, kept physically, or stored virtually.
10. A Cannabis/Medical Cannabis Waste and Disposal Plan. Licensees must maintain at all times and review at least annually, a plan for tracking and proper disposal of waste cannabis or medical cannabis, including all parts thereof, as applicable. Such plan must, at a minimum, leave no part of the disposed or waste cannabis or medical cannabis either usable or recognizable as such.
11. A Security Plan as to each of the licensee's facilities, addressing all of the following aspects of security and meeting the following minimum thresholds: (i) Alarm systems must be installed in all facilities where cannabis or medical cannabis is maintained or stored. Such alarms shall be provided and installed by experts in industry standard commercial-grade alarm systems. Alarm systems must be fully operational securing all entry points and perimeter windows, be equipped with motion detectors and pressure switches covering all areas where cannabis or medical cannabis is grown, handled, stored, prepared, transported, tested, or dispensed. (ii) Reception areas and personnel adjacent to ingress and egress points shall have ready access to duress panic and hold-up alarms that may be activated in the event of access by unauthorized personnel or intruders. (iii) Licensee facilities shall maintain an audio/video surveillance system that shall be in continuous operation 24 hours per day. Recording devices shall be fixed in place covering both the interior and exterior of the facility, in such quantity and at such resolution as shall allow for the clear identification of individuals and activities in all reasonably accessible areas of the premises, including but not limited to all point-of-sale areas, entrances, exits, parking lots, and any area where cannabis or medical cannabis is grown, handled, stored, prepared, transported, processed, packaged, labeled tested, or dispensed. Audio recordings shall clearly and accurately capture sound within camera range at a level of 20 decibels or greater. Audio/video surveillance recordings must clearly and accurately display the time and date. (iv) The facility's perimeter and any outdoor premises must be surrounded by a sufficient fence or barrier to prevent access by unauthorized persons and must have sufficient lighting to allow for the proper functioning of video surveillance equipment at all times between dusk and dawn or at any other time when ambient lighting requires enhancement to permit identification of individuals or activities upon or immediately adjacent to the premises. Indoor premises must likewise be sufficiently lit to allow for the identification of individuals and activities. (v) Exterior doors of each facility must be designed or reinforced to withstand unlawful forcible entry; exterior doors shall remain locked against outside intruders at all times, while allowing free egress by the facility's occupants in the event of an emergency; doors must permit ingress to employees and other appropriate persons only by means of a keycard or other similar electronic access device. (vi) Exterior walls of each facility must be reinforced to withstand unlawful forcible entry. Windows, likewise, must be reinforced to prevent breakage by outside intruders. (vii) Licensees must maintain sufficient staffing of security guards at each

Recordkeeping & SOPs

Alabama

facility where cannabis and medical cannabis is present to reasonably ensure the safety of the products stored therein; however, licensees must maintain, at a minimum, one (1) security guard per facility during the facility's business/operating hours. (viii) Strict access controls shall protect areas where cannabis or medical cannabis is handled or stored - in a secured, locked room or vault. (ix) Records, whether electronic or manual, must be kept of all persons on the premises at a facility at all times, including employees, vendors, transporters, medical cannabis patients and caregivers, and all others, recording the individuals' name, date, time of ingress and egress, and (as to non-employees) the reason for their presence; such records shall be kept for a minimum of two years. (x) Audio/Video surveillance records must be kept for at least 60 days, and longer upon the request of the Commission, its inspectors, or any law enforcement personnel. Audio/Video recordings potentially reflecting an incident of actual or attempted diversion must be kept for the longer of a period of two years, or until resolution of the incident and apprehension and discipline or prosecution of the individuals involved in the actual or attempted diversion. (xi) Employees shall wear identification badges that clearly identify them as employees while on duty. (xii) Visitors, including Commission members, inspection personnel, or other representatives, shall wear a "visitor pass" or "AMCC Official" pass, as applicable, at all times while on the premises. (xiii) Licensees shall maintain, review and update policies to report theft, diversion or other loss of cannabis or medical cannabis to the Commission and to law enforcement within 24 hours of the event or its discovery. (xiv) The Licensee, upon request, shall make available to the Commission or its inspectors all information relating to security alarm systems, monitoring, alarm activity, maps of camera locations and camera coverage, surveillance equipment maintenance logs, authorized use lists, operation instructions, and any other security related information deemed relevant by the Commission or its inspectors. (xv) Any information and/or documents specific to the category of licensee (Cultivator, Processor, Secure Transporter, Dispensary, Integrated Facility, State Testing Laboratory,) as identified separately in these Rules.