

Massachusetts Incident Reporting

We know you're committed to playing by the rules and moving the industry forward with integrity, professionalism and excellence. **And, things may go wrong.** Whether it was a mistake, a rogue agent or a security issue caused by a consumer... your Compliance Director will need to reach out to the CCC to inform them of what occurred.

All Incidents (listed below by way of example) shall be reported to CCC:

1. Within **24-hours** (immediately is best!)
2. Submit an Incident Report **within 10 days** to CCC
3. Maintain the file for **at least 1-year** or while still under investigation

If something goes wrong (diversion, theft, loss, safety issue, unauthorized intrusion...), you may be asked to contribute to an incident log/detailed report. Pay attention and be **attentive to details**. Of course, we can review security camera recordings, and your perspective and insights may be imperative to assisting in company, law enforcement or CCC investigations.

935 CMR: 500.110:

(9) Incident Reporting.

(a) A Marijuana Establishment shall notify appropriate Law Enforcement Authorities and the Commission of any breach of security or other reportable incident defined in 935 CMR 500.110(9) **immediately and, in no instance, more than 24 hours** following discovery of the breach or incident. Notification shall occur, but not be limited to, during the following occasions:

1. discovery of **inventory discrepancies**;
2. **diversion, theft or loss** of any Marijuana Product;
3. any **criminal action** involving or occurring on or in the Marijuana Establishment Premises or Licensee or agent;
4. any **suspicious act** involving the sale, cultivation, distribution, Processing or production of Marijuana by any Person;
5. **unauthorized destruction** of Marijuana;
6. any **loss or unauthorized alteration of records** related to Marijuana;
7. an **alarm activation** or other event that requires response by public safety personnel, including but not limited to local law enforcement, police and fire departments, public works or municipal sanitation departments, and municipal inspectional services departments, or security personnel privately engaged by the Marijuana Establishment;
8. the **failure of any security alarm** system due to a loss of electrical power or mechanical malfunction that is expected to last more than eight hours; or
9. **any other breach of security.**

(b) A Marijuana Establishment shall, **within ten calendar days**, provide notice to the Commission of any incident described in 935 CMR 500.110(9)(a) by **submitting an incident report** in the form and manner determined by the Commission which details the circumstances of the event, any corrective action taken, and confirmation that the appropriate Law Enforcement Authorities were notified.

(c) **All documentation** related to an incident that is reportable pursuant to 935 CMR 500.110(9)(a) shall be **maintained** by a Marijuana Establishment for **not less than one year or the duration of an open investigation, whichever is longer**, and made available to the Commission and Law Enforcement Authorities within their lawful jurisdiction on request.

Incident Documentation

Dispensary/Location _____

Day/Date _____ Time of Day _____

Employee (Name & Number) _____

(Manager or Agent-in-Charge) _____

Check One:

Refusal of Service	Fake/ Borrowed ID	Purchase over limit	Other
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Purchaser Information: (Name, Address, Phone and/or Description): _____

Describe in detail what happened: _____

Witnesses (check one and list name): [NOTE: Be thorough! Talk to employees who may have witnessed the event and if necessary, have them fill out a separate form].

Employee:	Customer:
Employee:	Customer:
Employee:	Customer:

List intervention techniques that were used:

Refusal of entry at front door	Yes	No
Refusal of sale at counter	Yes	No
Refusal of excess product	Yes	No
Refusal based on fake or expired ID	Yes	No
Refusal based on intoxication	Yes	No
Police Called (if necessary)	Yes (Report #)	No

Intervention strategies used other than above: _____

Manager/Agent in Charge Signature _____

Employee Signature _____