

**Department of Consumer Protection****Regulation of Adult Use Cannabis****Effective October 16, 2021**

These policies and procedures effectuate the intent of Public Act 21-1 (June Sp. Sess.). Within these policies and procedures are the provisions necessary to operationalize Connecticut's adult use cannabis industry, including the parameters by which persons licensed by the Department shall operate. These policies and procedures set forth consumer protections including product quality, safeguards for minors and security of product against diversion. Notwithstanding any notice and comment period, these policies and procedures are effective as of the date set forth above pursuant to Section 32 of Public Act 21-1 (June Sp. Sess.). For the purposes hereof:

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These policies and procedures effectuate the intent of Public Act 21-1 (June Sp. Sess.). Within these policies and procedures are the provisions necessary to operationalize Connecticut’s adult use cannabis industry, including the parameters by which persons licensed by the Department shall operate. These policies and procedures set forth consumer protections including product quality, safeguards for minors and security of product against diversion. These policies and procedures are effective as set forth below pursuant to Sections 32 and 59 of Public Act 21-1 (June Sp. Sess.):

- (a) Effective upon license or registration issuance for persons licensed or registered pursuant to the act on or after October 1, 2021;
- (b) Effective upon license expansion or conversion, occurring prior to October 1, 2022, for producers and dispensary facilities pursuant to sections 26 or 34 of the act, and their employees and backers; and
- (c) Effective October 1, 2022 for all other persons.

**Section 21a-XXX-1. Definitions.** As used in sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures:

“Act” means Joint Special Session Special Act 21-1, the Responsible and Equitable Regulation of Adult-Use Cannabis Act, as amended from time to time;

“Active ingredient” means any substance that is intended to provide pharmacological activity or other direct effect on the structure or any function of the human body, and includes those substances that may undergo chemical change during the manufacturing process and be present in a modified form intended to furnish the specified activity or effect;

“Additive” means a substance that is directly or indirectly added to cannabis, including any substance that is not intentionally added but may be present in trace amounts;

“Adulterated” has the same meaning prescribed in section 21a-105 of the Connecticut General Statutes;

“Advanced practice registered nurse” or “APRN” has the same meaning prescribed in section 20-87a of the Connecticut General Statutes;

“Advertisement” means all representations disseminated in any manner or by any means, other than by labeling, for the purpose of inducing, or which are likely to induce the purchase or use of cannabis or cannabis-related services;

“Approved safe” has the same meaning prescribed in section 21a-262-1(f) of the Regulations of Connecticut State Agencies;

“Approved vault” means a vault that complies with the requirements prescribed in section 21a-262-1(g) of the Regulations of Connecticut State Agencies, or such other vault approved by the department;

“Backer” has the same meaning prescribed in the act;

“Batch” means (1) a specifically identified quantity of raw cannabis, uniform in character and quality, from the same seed or cutting, that has undergone the same propagation and cultivation processes, and was harvested at the same time, or (2) a distinct group of cannabis product, uniform in character and quality, that has been produced from the same processes, equipment, and ingredients during the same cycle;

“Cannabis” has the same meaning prescribed in the act;

“Cannabis-related services” means professional services available to individuals and related to the purchase, sale or use of cannabis.

“Cannabis concentrate” has the same meaning prescribed in the act;

“Cannabis establishment” has the same meaning prescribed in the act;

“Cannabis flower” has the same meaning prescribed in the act;

“Cannabis trim” has the same meaning prescribed in the act;

“Cannabis product” has the same meaning prescribed in the act;

“Caregiver” has the same meaning prescribed in section 21a-408 of the Connecticut General Statutes for “primary caregiver”;

“Commissioner” means the Commissioner of Consumer Protection or the commissioner’s designee;

“Compounding” has the same meaning prescribed in section 21a-408-1 of the Regulations of Connecticut State Agencies;

“Cannabis Analytic Tracking System” means the State of Connecticut’s electronic seed-to-sale tracking system that captures and maintains records of cannabis and licensee activity pursuant to section 21a-42-6 of these Policies and Procedures;

“Consumer” has the same meaning prescribed in the act;

“Controlled substance” has the same meaning prescribed in section 21a-240 of the Connecticut General Statutes;

“Cultivate” or “Cultivation” has the same meaning prescribed in section 21a-408 of the Connecticut General Statutes;

“Cultivator” has the same meaning prescribed in the act;

“Delivery device” means any hardware, apparatus or system designed or intended as a method of administering cannabis;

“Delivery service” has the same meaning prescribed in the act;

“Department” means the Department of Consumer Protection;

“Dispensary facility” has the same meaning prescribed in the act;

“Dispensary technician” has the same meaning prescribed in the act;

“Dispense” or “dispensing” has the same meaning prescribed in section 21a-408-1 of the Regulations of Connecticut State Agencies;

“Dispensing error” has the same meaning prescribed in section 21a-408-1 of the Regulations of Connecticut State Agencies;

“Drug” has the same meaning as provided in section 20-571 of Connecticut General Statutes;

“Drug control division” means the department’s drug control division;

“Edible cannabis product” means a cannabis product, including a liquid, which may be combined with other ingredients, and is intended for consumption. “Edible cannabis product” does not include raw cannabis plant material;

"Electronic data intermediary" means an entity that provides the infrastructure that connects the computer systems or other electronic devices utilized by and licensed pharmacists with those used by prescribers or the department in order to facilitate the secure transmission of qualifying patient or primary caregiver information;

“Employee” has the same meaning prescribed in the act;

“Establishment” means the physical establishment owned or operated by a licensee, as approved by the department;

“Food and beverage manufacturer” has the same meaning prescribed in the act;

“Grow space” has the same meaning prescribed in the act;

“Homogenous” or “Homogenized” means uniform in cannabinoid and terpenoid concentration;

“Inactive ingredient” means any component other than an active ingredient;

“Key employee” has the same meaning prescribed in the act;

“Label” has the same meaning prescribed in section 21a-408-1 of the Regulations of Connecticut State Agencies;

“Laboratory” has the same meaning prescribed in the act;

“Licensee” means a cannabis establishment, laboratory, or research program;

“Manufacture” has the same meaning prescribed in the act;

“Medical marijuana product” has the same meaning prescribed in the act;

“Micro-cultivator” has the same meaning prescribed in the act;

“Originating establishment” means the licensee that possesses the cannabis to be transported immediately prior to transport;

“Paraphernalia” has the same meaning prescribed in the act;

“Person” has the same meaning prescribed in the act;

“Premises” means the tract of land on which the establishment is located, as described on the land records;

“Produce” has the same meaning prescribed in 21a-408-1 of the Regulations of Connecticut State Agencies;

“Producer” has the same meaning prescribed in the act;

“Product manufacturer” has the same meaning prescribed in the act;

“Product packager” has the same meaning prescribed in the act;

“Qualifying patient” has the same meaning prescribed in section 21a-408 of the Connecticut General Statutes;

“Raw cannabis plant material” means cannabis flower and cannabis trim, including abnormal and immature flowers and parts, prior to any processing whereby the plant material is transformed into a cannabis product;

“Receiving establishment” means the licensee, hospice or other inpatient care facility that will receive the cannabis being transported from the originating establishment;

“Research program” has the same meaning prescribed in section 21a-408 of the Connecticut General Statutes;

“Retailer” has the same meaning prescribed in the act;

“Sale” or “sell” has the same meaning prescribed in the act;

“Sample” means a portion or part of a batch, the characteristics of which represent, as accurately as possible, the entire batch, allowing for the laboratory testing results of the sample to be generally applied to the entire batch;

“System vendor” means the person providing the Cannabis Analytic Tracking System, or a similar tracking system interoperable therewith;

“THC” has the same meaning prescribed in section 21a-240 of the Connecticut General Statutes;

“Total THC” has the same meaning prescribed in section 21a-240 of the Connecticut General Statutes;

“Transfer” has the same meaning prescribed in the act;

“Transport” has the same meaning prescribed in the act;

“Transport vehicle” means a vehicle transporting cannabis on behalf of a cannabis establishment permitted to deliver or transport cannabis;

“Transporter” has the same meaning prescribed in the act;

“Transporting agent” means the licensed or registered employee of a licensee authorized to operate a transport vehicle for the transportation of cannabis;

“Transporting establishment” means (1) an originating establishment utilizing its own employees to transport cannabis, or (2) a delivery service or transporter that an originating establishment utilizes to transport cannabis;

“Unique identifier” means a barcode or radio frequency identification device and an alphanumeric code generated by the Cannabis Analytic Tracking System that is assigned and unique to each cannabis batch, and from which the complete history of the cannabis can be determined in the Cannabis Analytic Tracking System;

“User” means an employee of the licensee that is authorized to access the Cannabis Analytic Tracking System and has been assigned user credentials; and

“User credentials” means the unique set of credentials, including a username and password, assigned to a user to access the Cannabis Analytic Tracking System.

### **Section 21a-XXX-2. Reportable Events.**

(a) A licensee, and any employee, shall immediately notify the department in writing upon becoming aware of any suspected:

- (1) Diversion, theft, loss, adulteration, or unauthorized destruction of any cannabis; or
- (2) Loss or unauthorized alteration of records related to cannabis, qualifying patients, caregivers, or research subjects, or any other records required pursuant to the act or sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures.

Upon such notification, the department may require the licensee to notify law enforcement of the event.

(b) Within twenty-four hours of a licensee providing the notice required by subsection (a) of this section, the licensee shall provide to the department a signed statement that details the circumstances of the event, including, as applicable, an accurate inventory of the quantity and type of any cannabis diverted, stolen, lost, destroyed or damaged, a description of any records lost or altered, whether any internal or third-party investigation is still ongoing, and confirmation that the appropriate law enforcement authorities were notified.

(c) A licensee shall notify the department no later than the next business day after any of the following:

- (1) An alarm activation or other event that requires response by public safety personnel;
- (2) A breach of security; and
- (3) The failure of a security alarm system due to a loss of electrical support or mechanical malfunction that is expected to last longer than eight hours.

- (d) A licensee shall notify the department within ten days of any corrective measures taken in response to an event specified in subsection (c) of this section.
- (e) A licensee shall maintain and produce in accordance with section 21a-XXX-6 of these Policies and Procedures all documentation related to an occurrence that is reportable pursuant to subsections (a) through (c), inclusive, of this section.

### **Section 21a-XXX-3. Disposal of Cannabis.**

- (a) A licensee shall dispose of undesired, excess, unauthorized, obsolete, adulterated, misbranded or deteriorated cannabis in a form and manner prescribed by the commissioner, which may include a surrender without compensation of such cannabis to the commissioner, or disposal in the presence of an authorized representative of the commissioner in such a manner as to render the cannabis non-recoverable.
- (b) The person disposing of the cannabis shall maintain and produce in accordance with section 21a-XXX-6 of these Policies and Procedures a separate record of each such disposal indicating:
  - (1) The date and time of disposal;
  - (2) The reason for and manner of disposal;
  - (3) The type and quantity of cannabis disposed of; and
  - (4) The name and signature, which signature may be electronic, of the person disposing of the cannabis, the authorized representative of the commissioner and any other persons present during the disposal, as applicable.

### **Section 21a-XXX-4. Inventory.**

- (a) Each cannabis establishment, prior to commencing business, shall:
  - (1) Conduct an initial comprehensive inventory of all cannabis at the establishment. If a cannabis establishment commences business with no cannabis on hand, the cannabis establishment shall record this as the initial inventory; and
  - (2) Establish ongoing inventory controls and procedures for the conduct of inventory reviews and comprehensive inventories of cannabis, which shall enable the establishment to detect any diversion, theft or loss in a timely manner.
- (b) All inventories, procedures and other documents required by this section shall be maintained on the premises and produced in accordance with section 21a-XXX-6 of these Policies and Procedures.



**Section 21a-XXX-5. Seed to Sale Traceability System.**

- (a) The Cannabis Analytic Tracking System shall be used by all licensees to identify, monitor, and track cannabis through a unique identifier from the point cannabis is propagated from seed or cutting, through and including the point cannabis is acquired by an end-user or otherwise disposed of in accordance with the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures. A licensee shall enter the information required pursuant to subsection (d) of this section into the Cannabis Analytic Tracking System using the same vendor system as utilized by the State, or an alternative vendor system, provided that any alternative system is interoperable with the Cannabis Analytic Tracking System, through an application programming interface or otherwise, for purposes of information entry. Information entered into the Cannabis Analytic Tracking System shall be maintained and produced in accordance with section 21a-XXX-6 of these Policies and Procedures.
- (b) Registration Timeline and Process.
- (1) A licensee shall register with a system vendor at least one week prior to commencing sale or public operations in the adult use market.
  - (2) In order to register with a system vendor, a licensee shall:
    - (A) Establish and maintain an active account with a system vendor, the cost of which and any associated vendor fees shall be borne by the licensee;
    - (B) Establish and assign user credentials for each employee that is authorized to access the Cannabis Analytic Tracking System, provided that authorized employees shall be limited to the minimum number of employees necessary for efficient operation;
    - (C) Designate at least one user as the account administrator to manage the licensee's account. The account administrator of a cannabis establishment shall be a key employee; and
    - (D) Require all users to complete a minimum of two hours of system training provided by the applicable system vendor prior to accessing the Cannabis Analytic Tracking System, unless such training is waived by the department for good cause.
- (c) Cannabis Analytic Tracking System Users and Use.
- (1) No person other than an authorized employee of a licensee shall be assigned user credentials or permitted to access the Cannabis Analytic Tracking System by a licensee.
  - (2) Each new employee authorized to access the Cannabis Analytic Tracking System shall be assigned new user credentials by the licensee and complete system training prior to initial access.
  - (3) A licensee shall deactivate user credentials as soon as practicable, but in no case longer than twenty-four hours after the assigned user ceases to be an employee of the licensee, is suspended, or ceases to have authorization to access the Cannabis Analytic Tracking

System on behalf of the licensee. In no event shall user credentials be reinstated, reassigned, or reused for any purpose once deactivated, unless an employee is reauthorized by the cannabis establishment that deactivated such employee's user credentials.

- (4) A licensee shall maintain a complete and current list of all users, including the individual's full name and username and shall denote which user is an account administrator.
  - (5) User credentials shall only be used to access the Cannabis Analytic Tracking System by the assigned user, and an employee shall not be share, transfer, or allow any person other than the assigned user to use such credentials.
  - (6) A user shall only access the Cannabis Analytic Tracking System using its assigned credentials and for the purpose of complying with the cannabis tracking requirements set forth under the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures.
  - (7) All information entered into the Cannabis Analytic Tracking System by a user shall be complete and accurate. A licensee shall immediately correct any known errors upon discovery, and notify the department as soon as practicable, but in no case longer than twenty-four hours after discovery. A licensee shall maintain a log of each correction and notification.
  - (8) Each user shall be responsible for the conduct associated with the individual's assigned user credentials, and any misuse of the Cannabis Analytic Tracking System by a user, as identified by user credentials.
  - (9) Each user shall complete all subsequent system training deemed necessary by an applicable system vendor and maintain a log of such training.
  - (10) A licensee shall be responsible for (A) the conduct of its users while accessing the Cannabis Analytic Tracking System, (B) ensuring that its users only access the Cannabis Analytic Tracking System for the purpose of complying with the cannabis tracking requirements set forth under the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, (C) the accuracy of all information entered into the Cannabis Analytic Tracking System by its users, and (D) ensuring that all of its users complete all required system training.
- (d) System Data Points and Information Entry.
- (1) A licensee shall issue a unique identifier generated by the Cannabis Analytic Tracking System to each batch of cannabis that it produces, manufactures, or otherwise changes the nature of in such a manner as to render the information from an existing unique identifier inaccurate or incomplete.

- (2) Using the unique identifier, a licensee shall enter each instance of the following activities into the Cannabis Analytic Tracking System for all cannabis in its possession, in real-time or immediately upon completion of an activity, unless not reasonably feasible for a specific transaction, but in no case longer than one hour after completion of the activity:
  - (A) Issuance of a unique identifier;
  - (B) Cultivation, harvesting, processing or manufacturing;
  - (C) Laboratory testing and results;
  - (D) Packaging;
  - (E) Labeling;
  - (F) Sale or transfer;
  - (G) Transportation;
  - (H) Receipt;
  - (I) Return;
  - (J) Recall;
  - (K) Spoilage or adulteration;
  - (L) Destruction or disposal; and
  - (M) Any other instance prescribed by the commissioner.
- (3) For each activity entry, a licensee shall enter into the Cannabis Analytic Tracking System the following corresponding information:
  - (A) The unique identifier of the cannabis involved;
  - (B) Product, brand name, or type of cannabis involved, as applicable;
  - (C) The amount of cannabis by weight in metric and imperial units, and if appropriate, by number;
  - (D) The nature of the activity and any required details;
  - (E) Date and time of the activity;
  - (F) Name and license number of the licensees involved;
  - (G) Name and license or registration number of all employees conducting the activity;
  - (H) The address where the activity took place; and
  - (I) Such other information as may be prescribed by the commissioner.

(e) System Outages.

- (1) If a licensee experiences a system outage or is otherwise unable to access the Cannabis Analytic Tracking System for any reason, the licensee shall:
    - (A) Keep and maintain a detailed record, electronically if possible, in a such a manner that provides safeguards against erasures and unauthorized changes in data, of all cannabis activity conducted during the outage period that would otherwise be entered into the Cannabis Analytic Tracking System; and
    - (B) Immediately contact and alert the applicable system vendor to the outage.
  - (2) A licensee shall maintain a record of all system outages, including the time and date that access was lost and restored.
  - (3) If a licensee experiences a system outage for more than one hour during normal business hours, the licensee shall notify the department in writing of the system outage, as soon as practicable but no later than the end of that business operations day, and maintain a log of all such communications.
  - (4) Within twenty-four hours after a licensee's access to the Cannabis Analytic Tracking System is restored, the licensee shall complete a manual entry into the Cannabis Analytic Tracking System of all required information that took place during the outage period. If a licensee can demonstrate that twenty-four hours is not reasonably sufficient to complete the manual entry, the commissioner may extend the deadline.
- (f) Reconciliations.
- (1) Point of Sale Reconciliation. A licensee shall reconcile its records within the Cannabis Analytic Tracking System with the records of its point-of-sale software at the close of each day it conducts business. If reconciliation reveals a discrepancy, the licensee shall determine the cause of the discrepancy and take corrective action. The licensee shall immediately notify the department if the licensee is unable to determine the cause of the discrepancy within three days, or if the discrepancy is due to theft or diversion. Upon such notification, the department may require the licensee to report the event to law enforcement.
  - (2) Inventory Reconciliation. A licensee shall reconcile its records in the Cannabis Analytic Tracking System with its physical inventory at least once every seven calendar days. If reconciliation reveals a discrepancy, the licensee shall conduct an audit to determine the cause of the discrepancy and take corrective action. The licensee shall immediately notify the department if the licensee is unable to determine the cause of the discrepancy within three days, or if the audit identifies a discrepancy between the Cannabis Analytic Tracking System records and the physical inventory that is (A) due to theft or diversion, or (B) greater in value than one per cent of the licensee's average monthly sales. For purposes of this section, average monthly sales shall be calculated using all sales from the prior six months, or all months during which the licensee has operated if less than six

months. Upon such notification, the department may require the establishment to report the event to law enforcement.

- (3) A licensee shall document all reconciliations and department notifications pursuant to this subsection (f). Discrepancies may be investigated by the department, individually and in the aggregate. A licensee shall use reasonable efforts to prevent the recurrence of discrepancies.

#### **Section 21a-XXX-6. Licensee Records; Furnishing Information; Audits.**

- (a) A licensee shall maintain a complete set of all records necessary to fully show the business transactions related to cannabis for a period of the current tax year and the three immediately preceding tax years, all of which shall be maintained and produced in accordance with subsection (b) of this section.
- (b) Every person required by sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, to prepare, obtain or keep records, logs, reports or other documents, and every person in charge, or having custody, of such documents, shall maintain such documents in an auditable format for the current tax year and the three immediately preceding years. Upon request, such person shall make such documents immediately available for inspection and copying by the commissioner and shall produce copies of such documents to the commissioner within three days. Such documents shall be provided to the commissioner in electronic format, unless not commercially practical. In complying with this section, no person shall use a foreign language, codes or symbols to designate cannabis types or persons in the keeping of any required document.
- (c) The commissioner may require any person licensed or registered pursuant to the act to furnish such information as the commissioner considers necessary for the proper administration of the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, and may require an audit of any cannabis establishment and the expense thereof shall be paid by such cannabis establishment.
- (d) For purposes of the supervision and enforcement of the cannabis industry established pursuant to the act, the commissioner is authorized to:
  - (1) Enter any place, including a vehicle, in which cannabis is held, dispensed, sold, produced, delivered, transported, manufactured or otherwise disposed of;
  - (2) Inspect such place and all pertinent equipment, finished and unfinished material, containers and labeling, and all things in such place, including, but not limited to, records, files, financial data, sales data, shipping data, pricing data, employee data, research, papers, processes, controls, and establishments. Such inspection may include,

but not be limited to, onsite audits or inspections by the Connecticut Agricultural Experimental Station; and

- (3) Inventory any stock of cannabis and obtain samples of any cannabis, labels, containers for cannabis, paraphernalia, and finished or unfinished material.

**Section 21a-XXX-7. Cannabis Establishment Minimum Security Systems and Equipment Requirements.**

- (a) All cannabis establishments shall have a security system to prevent and detect diversion, theft and loss of cannabis utilizing commercial grade equipment, which shall, at a minimum, include:

- (1) A perimeter alarm;
- (2) A motion detector, or multiple motion detectors, as necessary to adequately detect unauthorized presence in the establishment;
- (3) Video surveillance cameras recording at all times and in all areas that may contain cannabis and at all points of entry and exit, which shall be appropriate for the normal lighting conditions of the area under surveillance. The cannabis establishment shall direct cameras at all approved safes, approved vaults, dispensing and sale areas, and any other area where there is cannabis. At entry and exit points, the cannabis establishment shall angle cameras so as to allow for the capture of clear and certain identification of any person entering or exiting the establishment and areas where cannabis is stored. Additional video surveillance requirements include:

- (i) Video surveillance recordings shall be made available for immediate viewing at the direction of the department and shall be retained for at least thirty days. If a cannabis establishment is aware of a pending criminal, civil or administrative investigation or legal proceeding for which a recording may contain relevant information, the cannabis establishment shall retain an unaltered copy of the recording until the investigation or proceeding is closed or the entity conducting the investigation or proceeding notifies the cannabis establishment that it is not necessary to retain the recording; and
- (ii) All video surveillance recording shall (1) be equipped with the ability to immediately produce a clear color still image that is a minimum of 9600 dpi from any camera image (live or recorded) with the date and timestamp, synchronized and set correctly, embedded on all recordings in such a way as to not materially obscure the picture, and (2) allow for the exportation of still images in an industry standard image format, which may include .png, .jpg, .bmp, and .gif. Exported video shall have the ability to be saved in an industry standard file format that can be played on a standard computer operating system, and archived in a proprietary

format that ensures authentication of the video and guarantees that no alteration of the recorded image has taken place. A cannabis establishment shall erase all recordings prior to disposal or sale of the establishment except for any recording retained in accordance with subsection (a)(3)(i).

- (4) A duress alarm, which for purposes of this subsection means a silent security alarm system signal generated by the entry of a designated code into an arming station in order to signal that the alarm user is being forced to turn off the system;
  - (5) A panic alarm, which for purposes of this subsection means an audible security alarm system signal generated by the manual activation of a device intended to signal a life threatening or emergency situation requiring a law enforcement response;
  - (6) A holdup alarm, which for purposes of this subsection means a silent alarm signal generated by the manual activation of a device intended to signal a robbery in progress;
  - (7) An automatic voice dialer, which for purposes of this subsection means any electrical, electronic, mechanical, or other device capable of being programmed to send a prerecorded voice message, when activated, over a telephone line, radio or other communication system, to a law enforcement, public safety or emergency services agency requesting dispatch;
  - (8) A failure notification system that provides an audible, text or visual notification of any failure in the security system. The failure notification system shall provide an alert to the cannabis establishment, and at least one key employee thereof, within five minutes of the failure, either by telephone, email, or text message;
  - (9) The ability to remain operational during a power outage; and
  - (10) A back-up alarm system that shall detect unauthorized entry during times when no employees are present at the establishment and that shall be provided by a company supplying commercial grade equipment, other than the company supplying the primary security system.
- (b) A cannabis establishment shall keep all security equipment in good-working order and test such equipment no less than two times per year. A cannabis establishment shall maintain a log of all equipment testing and the dates thereof.
- (c) A cannabis establishment shall maintain all security system equipment and recordings in a secure location so as to prevent theft, loss, destruction and alteration, and limit access to persons that are essential to surveillance operations, law enforcement agencies, security system service employees, the department and others approved by the commissioner. A cannabis establishment shall maintain a current list of authorized employees and service personnel that have access to the surveillance room. A cannabis establishment shall keep all on-site surveillance rooms locked and shall not use such rooms for any other function.

- (d) A cannabis establishment shall keep the outside perimeter of the cannabis establishment premises well-lit at all times.

**Section 21a-XXX-8. Cannabis Establishment Minimum Security Procedures.**

- (a) A cannabis establishment shall:

- (1) Not produce, manufacture or maintain cannabis in excess of the quantity required for normal, efficient operation;
- (2) Store all cannabis in an approved safe or approved vault, and in such a manner as to prevent diversion, theft, loss, adulteration or access by unauthorized persons, provided that a hybrid retailer, retailer or dispensary facility may store a reasonable daily amount of cannabis in a securely locked cabinet or drawer during hours of operation;
- (3) Securely lock any cannabis undergoing a production or manufacturing process that cannot be completed before the end of a business day, inside an area that affords adequate security, provided that if a delivery service or transporter is unable to deliver cannabis, the delivery service or transporter shall return the cannabis in accordance with section 21a-XXX-39(j).
- (4) Maintain all cannabis in a secure area or location within the establishment accessible only to specifically authorized employees, which shall include only the minimum number of employees essential for efficient operation;
- (5) Keep all approved safes, approved vaults, cabinets and drawers, or any other approved equipment or areas used for the production, cultivation, harvesting, processing, manufacturing or storage of cannabis, securely locked or protected from entry, except for the actual time required to remove or replace cannabis;
- (6) Keep all locks and security equipment in good working order;
- (7) Provide keys, including electronic keys and key cards, or assign unique security measures, such as combination numbers, passwords or electronic or biometric security systems only to specifically authorized employees as necessary for normal, efficient operation, and maintain a log of all key holders, as well as the security measures and the assigned employee;
- (8) Collect keys from and deactivate unique security measures assigned to an employee at the time such employee ceases to be an employee of the licensee, is suspended, or ceases to have authorization to possess such keys or unique security measures.
- (9) Not allow keys, or other security measures to be accessible to persons other than the specifically authorized employee to which they are assigned; and
- (10) Post a sign at all points of access to any area containing cannabis, including a room with an approved safe or approved vault, which sign shall be a minimum of twelve inches in



height and twelve inches in width which shall state: “Do Not Enter – Access Limited to Authorized Employees Only” in lettering no smaller than one inch in height.

- (11) Maintain a secure cannabis return location for undeliverable cannabis that (i) is accessible from the exterior of the establishment in a manner that secures the cannabis inside of the establishment in a locked container located in a restricted area once deposited, (ii) is accessible for the deposit of undeliverable cannabis at all times, (iii) is only accessible from the interior of the establishment by key employees, and (iv) safeguards its contents and the quality thereof.
- (b) A producer, cultivator, micro-cultivator, product manufacturer, food and beverage manufacturer and packager shall maintain a log of each instance of an employee accessing a restricted area in which unpackaged cannabis is stored.
- (c) A cannabis establishment shall keep its establishment securely locked and protected from entry by unauthorized persons at all times.
- (d) The department may require additional safeguards, including, but not limited to, a supervised watchperson service, if an establishment presents special security issues, such as an inventory of cannabis materially exceeding that permitted under subsection (a)(1) of this section, exposed handling or unusual vulnerability to diversion, theft or loss, or reasonable suspicion of criminal activity on or around the establishment or premises.
- (e) If diversion, theft or loss of cannabis has occurred from an establishment, the commissioner may require additional storage and security safeguards to ensure the security of the cannabis and protect public health and safety.
- (f) Any cannabis stored not in compliance with the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, or at a location other than the establishment for which the license was issued, shall be subject to embargo or seizure by the department in accordance with section 21a-96 of the Connecticut General Statutes.
- (g) The commissioner may waive a specific security requirement set forth in this section if a cannabis establishment proposes in advance other safeguards determined by the department to be an adequate substitute.
- (h) Except as provided in section 21a-XXX-9 of these Policies and Procedures, no person shall be allowed access to any restricted area within an establishment containing cannabis, other than members of the department and law enforcement in performance of governmental duties, and laboratory employees and employees of the establishment whose responsibilities necessitate access to the area containing cannabis, and then for only as long as necessary to perform the such duties and responsibilities.

#### **Section 21a-XXX-9. Cannabis Establishment Visitors.**

- (a) No person other than an authorized employee shall be allowed inside of a cannabis establishment, other than (1) public areas of a hybrid retailer or retailer, (2) qualifying patients and caregivers in unrestricted areas of a dispensary facility, and (3) visitors pursuant to subsection (b), provided that nothing herein shall prohibit a mother, father or legal guardian from bringing into the workplace their child under 12 months of age. For purposes hereof, a landlord of a cannabis establishment that is not also an employee thereof shall only be permitted to enter restricted areas of such cannabis establishment in accordance with this section, and such restriction shall be reflected in the lease, rental agreement, or other contract between the landlord and the cannabis establishment .
- (b) Unless otherwise prohibited by the commissioner as provided in subsection (d) of this section, a cannabis establishment may allow visitors to enter restricted areas of their establishment in accordance with the following procedures:
- (1) All visitors shall be listed on a visitor log, including the name and company affiliation of all proposed visitors, as well as the date, time, and purpose of the visit, which log shall be submitted to the department at least twenty-four hours in advance of any visit;
  - (2) All visitors shall obtain and carry a visitor identification badge from the cannabis establishment prior to or at the time of entering;
  - (3) All visitors shall be escorted and monitored by an employee; and
  - (4) All visitors shall visibly display the visitor identification badge and return it to an authorized employee upon exiting the premises.
- (c) If an emergency requires the presence of a visitor and makes it impractical for the cannabis establishment to include such visitor on a proposed visitor log at least twenty-four hours in advance, the cannabis establishment shall provide written notice to the commissioner as soon as practicable, but no later than twelve hours after the onset of the emergency. Such notice shall include the name and company affiliation of the visitor, as well as the date, time, and purpose of the visit. Visitors in an emergency shall remain escorted and monitored by an employee at all times, and a log of such visit shall be maintained in accordance with subsection (b) of this section.
- (d) The commissioner may, for the purposes of protecting public health and safety, prohibit a proposed visitor from entering restricted areas of a cannabis establishment.

**Section 21a-XXX-10. Responsibilities of Key Employees.** Key employees shall be responsible for ensuring that:

- (a) All employees are registered and properly trained;
- (b) All record-retention requirements are met;
- (c) All requirements for the physical security of cannabis and the establishment are met;

- (d) If a hybrid retailer key employee or retailer key employee, the following items are conspicuously posted in the establishment in a location and manner so they are clearly and readily identifiable to qualifying patients, caregivers and consumers:
  - (1) Cannabis establishment license;
  - (2) The name of all licensed pharmacists, if applicable; and
  - (3) The price of all cannabis offered by the establishment as identified by their brand name as registered pursuant to section 21a-XXX-31 of these Policies and Procedures; and
- (e) If a hybrid retailer key employee, the establishment has appropriate United States Pharmacopeia or comparable pharmaceutical reference materials for the purposes of dispensing, compounding, titrating, diluting, and other purposes as needed, to ensure that cannabis can be properly dispensed; and
- (f) Any other filings or notifications required to be made on behalf of the cannabis establishment as set forth in sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, are completed.

#### **Section 21a-XXX-11. Employee Training.**

- (a) When an employee registers with the department, if applicable, prior to commencing work, a cannabis establishment shall provide employee training, including, but not limited to:
  - (1) The proper use of the Cannabis Analytic Tracking System and of security measures and controls that have been adopted for the prevention of diversion, theft, loss and adulteration of cannabis;
  - (2) Procedures and instructions for responding to an emergency;
  - (3) On-the-job and other related education, commensurate with the tasks expected to be performed, including but not limited to the training required by section 21a-XXX-5 of these Policies and Procedures;
  - (4) If a hybrid retailer employee with access to patient records, professional conduct, ethics, and state and federal laws regarding patient confidentiality, and
  - (5) If a dispensary technician: developments in the medical use of marijuana.
- (b) A cannabis establishment shall ensure continued competency of employees through continuing supplemental in-service training, and shall maintain a written log documenting the initial and continuing training of employees, which shall contain (A) the names and signatures of the trainee and training supervisor, (B) the dates of the training, and (C) a general description of the topics covered.
- (c) Prior to commencing work, an incoming key employee shall review and sign all employee training records as confirmation of understanding the contents. Prior to commencing work,

an incoming licensed pharmacist shall review and sign all dispensary technician training records as confirmation of understanding the contents.

**Section 21a-XXX-12. Notification of Changes by Cannabis Establishments.**

- (a) Unless otherwise provided in the act or sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, a key employee designated by the cannabis establishment shall provide any notification or information that is required from a cannabis establishment pursuant to the act or sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures. A cannabis establishment shall provide the department with the name and contact information of such designated key employee within twenty-four hours of such designation, and any change thereto.
- (b) Prior to any person becoming affiliated with a cannabis establishment, including any change associated with a change in ownership of the cannabis establishment, such person shall comply with the licensing and registration requirements set forth in the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures. No person shall commence such affiliation until approved by the commissioner, if approval is required.
- (c) In the event that a key employee is no longer able or willing to continue carrying out key employee duties, the designated key employee shall immediately notify the department that the departing key employee has ceased carrying out such duties and provide the name, address and license number of the person who assumes such duties. Such person shall serve as an acting key employee until such time as the commissioner approves a replacement key employee. Not more than fifteen days after the departing key employee has ceased carrying out duties, the cannabis establishment shall submit to the department a key employee application for the replacement key employee, in a form and manner prescribed by the commissioner.
- (d) A cannabis establishment shall notify the department no later than five days after the date that a cannabis establishment backer or employee ceases to work for, or be affiliated with, the cannabis establishment.
- (e) Prior to any change in the ownership of a cannabis establishment becoming effective, the cannabis establishment shall notify the department of such change, in a form and manner prescribed by the commissioner.
- (f) Prior to changing a cannabis establishment's name, location or making any modification, expansion, reduction or other physical, non-cosmetic alteration of a cannabis establishment, the cannabis establishment shall submit to the department an application for such change, in a form and manner prescribed by the commissioner. No cannabis establishment shall make such change until approved by the commissioner, and such change may be subject to inspection by the department to confirm compliance with the approved application.

- (g) A cannabis establishment shall notify the department if the cannabis establishment will be permanently closing or does not intend to renew its license, as soon as practicable after such decision has been made and no less than 30 days prior to the effective date of such change. Such notification shall be accompanied by a written plan of disposition for all cannabis located at the establishment.

**Section 21a-XXX-13. Notification of Changes by Backers, Key Employees, and Employees.**

Every backer, key employee and employee of a cannabis establishment shall notify the department of any change in name, contact information, place of employment, and any other information that is required by the act or sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, in a form and manner prescribed by the commissioner, no more than five days after the change becomes effective.

**Section 21a-XXX-14. Marketing; Advertising.**

- (a) A cannabis establishment shall ensure signage complies with state and local ordinances and requirements.
- (b) (1) A cannabis establishment, backer, employee, or authorized representative thereof shall not collaborate, directly or indirectly, in any advertising that has the purpose or effect of steering or influencing patient or caregiver choice regarding the selection of a physician, APRN, or pharmacist.
- (2) Notwithstanding the provisions of subdivision (1) of this subsection, a cannabis establishment, physician, APRN or pharmacist may make advertisements of another party available to qualifying patients or caregivers, provided advertisements for all persons in the same category are made available in a nondiscriminatory manner.
- (c) An advertisement for cannabis shall not contain, and a cannabis establishment shall not collaborate, directly or indirectly, in any advertising that contains:
- (1) Any statement that is false, misleading, deceptive, or that creates such an impression, directly, by omission, or through ambiguity, or is otherwise in violation of the Connecticut Unfair Trade Practices Act, sections 42-110a to 42-110q, inclusive, of the Connecticut General Statutes. For purposes of this subdivision, false or misleading information in any part of the advertisement shall not be negated or ameliorated by the inclusion of a true statement in another distinct part of the advertisement;
- (2) Any statement that falsely disparages a competitor's product or business;
- (3) Any statement, design, representation, picture or illustration that (A) is obscene or indecent, (B) relates to the safety, efficacy, curative or therapeutic effects of cannabis, unless supported by substantial evidence or substantial clinical data, or (C) portrays

anyone under the age of twenty-one, anyone reasonably expected to be under the age of twenty-one, objects suggestive of the presence of anyone under the age of twenty-one, or the use of a figure, symbol or language that is customarily associated with anyone under the age of twenty-one; or

- (4) Any statement that indicates or implies that the product or entity in the advertisement has been approved or endorsed by the commissioner, department, the state of Connecticut, the federal government, or any person or entity associated with the state of Connecticut or the federal government.
- (d) All advertisements for cannabis that make a statement relating to use and effect shall present a true statement of such information. Advertisements broadcast through media shall include such information in audio and visually, wherever possible. For purposes of this subsection, an advertisement does not satisfy the “true statement” requirement if it fails to present a fair balance of available information relating to use and effect, taking into account such factors as format, layout, design, and other techniques to achieve emphasis, or if it would otherwise be deemed such pursuant to section 21a-408-69 of the Regulations of Connecticut State Agencies.
- (e) No advertisement may be disseminated if the submitter of the advertisement has received information that the use of the cannabis at issue may cause fatalities or serious damage;
- (f) A cannabis establishment shall maintain a log of all advertisements with which it has collaborated, directly or indirectly, which log shall include a copy of the advertisement, as well as the medium, location, and date range of dissemination.
- (g) A licensee shall provide the department access to view all social media platforms utilized by the licensee, and all advertising content disseminated on such platforms.
- (h) The commissioner may:
  - (1) Require a specific disclosure be made in the advertisement in a clear and conspicuous manner if the commissioner determines that the advertisement would be false or misleading without such disclosure; or
  - (2) Require specific changes to a licensee’s advertisement that are, in the commissioner’s discretion necessary to protect the public health, safety, and welfare.

**Section 21a-XXX-15. Operation of Hybrid Retailers and Retailers.**

- (a) No person may operate a hybrid retailer or retailer without a corresponding license issued by the department, or be a backer or employee thereof without a corresponding license or registration, as applicable. Any person licensed or registered pursuant to the act shall display such credentials to any authorized department representative or law enforcement official upon request at any time such person is in possession of, or has access to cannabis.

- (b) No person at a hybrid retailer or retailer shall provide cannabis samples or engage in cannabis processing or manufacturing, or cannabis compounding, except that a licensed pharmacist at a hybrid retailer may dilute cannabis for a qualifying patient or caregiver using a USP grade substance with no active ingredient for the purposes of dose titration, tapering, for the addition of a flavoring agent, as defined in section 20-617a of the Connecticut General Statutes, or to create a maintenance dose that is not available at the time of purchase. When diluting cannabis for a qualifying patient or caregiver, the licensed pharmacist shall use the entire contents of the cannabis being purchased and label the newly diluted product with the appropriate strength. A record of the cannabis dilution, including the unique identifier of the cannabis, and expiration for both the cannabis and the inactive ingredient, shall be entered into the Cannabis Analytic Tracking System.
- (c) Hybrid retailers and retailers shall sell cannabis only in the original child-resistant, tamper-resistant, and light-resistant containers or packaging as delivered to the establishment, and no cannabis shall be removed from its original packaging inside the establishment, except that a licensed pharmacist at a hybrid retailer:
- (1) That dilutes cannabis for a qualifying patient or caregiver pursuant to subsection (b) of this section may place any such diluted product in new packaging so long as such packaging is child-resistant, tamper-resistant, and light-resistant in accordance with section 21a-XXX-33 of these Policies and Procedures; or
  - (2) May remove the cannabis from its original packaging and place the cannabis in a non-child-resistant, secure, and light-resistant container upon a written request from the qualifying patient or caregiver, provided all original labeling is maintained with the product.
- (d) Only a licensed pharmacist may dispense cannabis to qualifying patients and caregivers.
- (e) Hybrid retailers and retailers shall not leave any point of access to cannabis in the establishment unattended during operation, and shall not permit any person behind the service counter or in other areas where cannabis is stored unless such person (1) is licensed or registered with the department pursuant to the act and has responsibilities that necessitate access, and then only under the supervision of a key employee and for only as long as necessary to perform such responsibilities, or (2) is an authorized representative of the department performing their governmental duties.
- (f) All hybrid retailer and retailer employees shall, at all times while at the establishment, have their current license or registration, as applicable, available for inspection by the commissioner.
- (g) While inside the establishment, all hybrid retailer and retailer employees shall wear name tags or similar forms of identification that clearly identify them to the public, including their licensed or registered position at the establishment.

- (h) Hybrid retailers and retailers shall (1) conspicuously post their hours of operation (A) at all entrances to the establishment in block letters at least one-half inch in height, and (B) on any Internet web site for the establishment, and (2) make available publicly and conspicuously at the establishment and on any Internet web site of the establishment, the price of all cannabis offered to prospective qualifying patients, caregivers, and consumers.
- (i) Hybrid retailers and retailers shall employ best efforts to provide access to low-dose THC products and high-dose CBD products, taking into account economic demands and availability.
- (j) Hybrid retailers and retailers shall provide information to qualifying patients, caregivers, and consumers regarding the possession and use of cannabis, both at the establishment through prominent visual display, and on any Internet web site of the establishment. Each hybrid retailer and retailer shall submit all informational material to the commissioner for approval prior to being provided to qualifying patients, caregivers, and consumers. Such informational material shall include information related to:
  - (1) Limitations on the right to possess and use cannabis pursuant to the act, chapter 420f of the Connecticut General Statutes, and sections 21a-408-1 to 21a-408-72, inclusive, of the Regulations of Connecticut State Agencies and sections 21a-XXX-1 to 21a-XXX-41, inclusive, of these Policies and Procedures;
  - (2) Safe techniques for proper use of cannabis and paraphernalia;
  - (3) Forms of consumption or inhalation by which one can use cannabis;
  - (4) Signs and symptoms of substance abuse;
  - (5) Opportunities to participate in substance abuse programs; and
  - (6) Other consumer health materials deemed necessary by the commissioner to protect public health and safety.
- (k) Hybrid retailers and retailers shall establish, maintain, and comply with a written alcohol-free, drug-free and smoke-free workplace policy, as well as written policies and procedures, approved by the commissioner, for the manufacture, security, storage, inventory, and distribution of cannabis, as applicable. Such written policies and procedures shall include (A) methods for identifying, recording, and reporting diversion, theft or loss, and for correcting all inventory errors and inaccuracies, and (B) processes for the following:
  - (1) Handling mandatory and voluntary recalls of cannabis. Such process shall be adequate to deal with recalls due to any action initiated at the request of the commissioner and any voluntary action by a cannabis establishment to remove defective or potentially defective cannabis from the market, or any action undertaken to promote public health and safety by replacing existing cannabis with improved products;



- (2) Preparing for, protecting against, and handling any crisis that affects the security or operation of an establishment in the event of strike, fire, flood, or other natural disaster, or other situations of local, state, or national emergency;
- (3) Ensuring that any outdated, damaged, deteriorated, misbranded, or adulterated cannabis is segregated from all other cannabis and disposed of in accordance with section 21a-XXX-3 of these Policies and Procedures. This procedure shall provide for written documentation of the cannabis disposition and disposal; and
- (4) Ensuring the oldest stock of cannabis is distributed first. A written policy or procedure may permit deviation from this requirement, if such deviation is temporary and appropriate.

All written policies and procedures shall be available to the department upon request.

- (1) All cannabis deliveries shall be received at the establishment under the direct supervision of a key employee, who shall be present to accept the delivery. Upon delivery, a key employee shall confirm the accuracy of the manifest accompanying the delivery, document any discrepancies, and immediately place the delivered cannabis in an approved safe or approved vault.

#### **Section 21a-XXX-16. Hybrid Retailer and Retailer Prohibitions.**

- (a) No hybrid retailer shall be open or in operation, and no person shall be in a hybrid retailer, unless a key employee and a licensed pharmacist is present and supervising activity within the establishment. At all other times, the establishment shall be closed in accordance with section 21a-XXX-17 of these Policies and Procedures.
- (b) No hybrid retailer shall be open for qualifying patients and caregivers to purchase cannabis less than thirty-five hours per week, nor operate without appropriate United States Pharmacopeia or comparable pharmaceutical reference materials for the purposes of dispensing, compounding, titrating, diluting, and other purposes as needed, to ensure that cannabis can be properly dispensed.
- (c) No person associated with a hybrid retailer shall enter into any agreement with a certifying physician, APRN or health care facility concerning the provision of services or equipment that may adversely affect any person's freedom to choose the establishment at which a qualifying patient or caregiver will purchase cannabis, except that such prohibition shall not apply to an approved research program.
- (d) No person, other than a licensed pharmacist under the conditions set forth in section 21a-XXX-15(b) of these Policies and Procedures, shall open or break the seal placed on packaged cannabis while inside the establishment.

- (e) No retailer shall be open or in operation, and no person shall be in a retailer establishment, unless a key employee is present and supervising activity within the establishment. At all other times, the establishment shall be closed and properly secured, in accordance with section 21a-XXX-17 of these Policies and Procedures.
- (f) No cannabis shall be applied, ingested, or consumed inside a hybrid retailer or retailer establishment.
- (g) No food or beverages shall be consumed by qualifying patients, caregivers, or consumers at a hybrid retailer or retailer establishment, except that at a hybrid retailer may provide complimentary non-alcoholic, non-cannabis food and beverages to qualifying patients and caregivers attending a pre-scheduled education, counseling, or therapy program at the hybrid retailer establishment.
- (h) A hybrid retailer or retailer shall only sell, offer, give, dispense, compound, transfer, or transport, as applicable, cannabis and cannabis related products or services.

#### **Section 21a-XXX-17. Hybrid Retailer and Retailer Closures.**

- (a) During times that a hybrid retailer or retailer is closed:
  - (1) The establishment shall be securely locked and equipped with a security system, in accordance with sections 21a-XXX-7 and 21a-XXX-8 of these Policies and Procedures. Such security system shall be activated and shall be able to immediately detect entrance into the establishment during all times of closure. Upon detecting an unauthorized entrant, the system shall be capable of immediately notifying a security company or law enforcement, as well as the designated key employee pursuant to section 21a-XXX-12 of these Policies and Procedures. Keys and access codes to the security system shall be controlled in such a manner so as to prevent access to the establishment by any person other than authorized employees. Only a key employee shall have the authority to deactivate the security system; and
  - (2) Cannabis shall be stored in an approved safe or approved vault within the establishment and cannabis shall not be sold when the establishment is closed.
- (b) A hybrid retailer that closes during its normal hours of operation shall implement procedures to notify qualifying patients and caregivers of when the establishment will resume normal hours of operation. Such procedures may include, but are not limited to, telephone system messages and conspicuously posted signs. If the hybrid retailer establishment is, or will be, closed during its normal hours of operation for longer than three days, the hybrid retailer shall immediately notify the department.
- (c) A hybrid retailer that closes for a period of fourteen days or longer shall, if requested and consented to in writing by a qualifying patient or caregiver, make such qualifying patient's

complete dispensing record immediately available to a hybrid retailer or dispensary facility specified by such qualifying patient or caregiver.

**Section 21a-XXX-18. Confidentiality of Information.**

- (a) Except as provided otherwise in this section, hybrid retailers, employees thereof, and any other person associated with a hybrid retailer, shall not disclose patient-specific information received or records kept pursuant to sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures, except that such person shall disclose patient or dispensing information to:
- (1) The department or state and local law enforcement agencies for purposes of investigating and enforcing the act or sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures;
  - (2) Authorized physicians, APRNs, pharmacists, dispensary facilities or other hybrid retailers for the purpose of providing patient care and drug therapy management and monitoring controlled substances obtained by the qualifying patient;
  - (3) A qualifying patient, but only with respect to information related to such qualifying patient;
  - (4) A caregiver, but only with respect to information concerning the qualifying patient of such caregiver;
  - (5) Another hybrid retailer or dispensary facility if requested and consented to in writing by a qualifying patient or caregiver, but only with respect to information related to such qualifying patient, or the qualifying patient of such caregiver, as applicable.
  - (6) Third party payors who pay claims for services provided at the hybrid retailer and rendered to a qualifying patient or who have a formal agreement or contract to audit any records or information in connection with such claims, in either case only with respect to such claims;
  - (7) Any person, the state or federal government or any agency thereof pursuant to an order of a court of competent jurisdiction or pursuant to a search warrant; and
  - (8) Any person upon the written consent of the qualifying patient and only with respect to information related to such patient. Such written consent shall clearly identify the specific person and purpose for which consent is being granted, but in no event shall such information be disclosed to an electronic data intermediary, except as provided in subsection (d) of this section.
- (b) If a hybrid retailer uses an electronic system for the storage and retrieval of patient information or related records, the hybrid retailer shall (A) maintain a cybersecurity program designed to protect the confidentiality and integrity of the electronic system, (B) establish,

implement and maintain reasonable administrative, technical and physical data security practices to protect the confidentiality and integrity of the electronic system, and (C) use an electronic system that:

- (1) Encrypts data to safeguard the confidentiality and integrity of the information contained therein;
  - (2) Complies with all state and federal laws regarding patient confidentiality
  - (3) Limits the type of information and access to such information to the minimum necessary, including disposing of such information once it is no longer operationally necessary;
  - (4) Is capable of providing safeguards against erasures and unauthorized changes in data after the information has been entered or verified by the hybrid retailer; and
  - (5) Is capable of being reconstructed in the event of a computer malfunction or accidental data destruction.
- (c) Electronic equipment utilized by a hybrid retailer shall only collect patient-specific data for the purpose of providing patient care, drug therapy management and monitoring controlled substances.
- (d) Any electronic data intermediary engaged by a hybrid retailer shall not retain data involving qualifying patients, caregivers or other data from a hybrid retailer or an authorized representative of the hybrid retailer, and any agreements entered into between a hybrid retailer and a third party shall include these privacy provisions. Notwithstanding the foregoing, data necessary for purpose of identity verification may be retained by an electronic data intermediary only for such purposes, provided that such data shall under no circumstance be sold, resold, or reused in any manner.

### **Section 21a-XXX-19. Rights and Responsibilities of Licensed Pharmacists.**

- (a) A licensed pharmacist, in good faith and in accordance with a certification and any accompanying instructions, may sell and dispense cannabis to any qualifying patient or caregiver.
- (b) A licensed pharmacist shall register with the department to access the electronic prescription drug monitoring program, established pursuant to section 21a-254 of the Connecticut General Statutes.
- (c) A licensed pharmacist shall review a qualifying patient's controlled substance history report within the electronic prescription drug monitoring program before dispensing any cannabis to the qualifying patient or the qualifying patient's caregiver.
- (d) A licensed pharmacist shall exercise professional judgment to determine whether to dispense cannabis to a qualifying patient or caregiver if the licensed pharmacist suspects that

dispensing cannabis to the qualifying patient or caregiver may have negative health or safety consequences for the qualifying patient or the public.

- (e) A licensed pharmacist shall require the presentation of a registration certificate together with another valid photographic identification issued to a qualifying patient or caregiver, prior to selling cannabis to such qualifying patient or caregiver.
- (f) If provided, a licensed pharmacist shall document a qualifying patient's self-assessment of the effects of cannabis in treating the qualifying patient's debilitating medical condition or the symptoms thereof. A hybrid retailer shall maintain such documentation electronically for at least three years following the date of the qualifying patient's last visit.

### **Section 21a-XXX-20. Rights And Responsibilities of Dispensary Technicians.**

- (a) Dispensary technicians. Ratio. Supervision and Responsibility.
  - (1) The ratio of dispensary technicians to licensed pharmacists on duty at a hybrid retailer shall not exceed three dispensary technicians to one licensed pharmacist.
  - (2) A licensed pharmacist whose license is under suspension or revocation shall not act as a licensed pharmacist or dispensary technician.
  - (3) The licensed pharmacist providing direct supervision of dispensary technicians shall be responsible for such dispensary technicians' actions. The department may take disciplinary action against a licensed pharmacist in connection with any violations relating to the dispensing of cannabis that result from the actions of a dispensary technician, or the use of dispensary technicians in the performance of tasks in a manner not in conformance with sections 21a-408-1 to 21a-408-72, inclusive, of the Regulations of Connecticut State Agencies, or sections 21a-XXX-1 to 21a-XXX-40, inclusive of these Policies and Procedures. As used in this subsection, "direct supervision" means a supervising licensed pharmacist who (A) is physically present in the area or location where the dispensary technician is performing routine cannabis dispensing functions; and (B) conducts in-process and final checks on the dispensary technician's performance.
- (b) Dispensary technicians shall not engage in any activity prohibited pursuant to section 21a-408-44 of the Regulations of Connecticut State Agencies, provided that a dispensary technician may communicate with a physician or APRN who certified a qualifying patient, or the physician's or APRN's authorized representative, to obtain a clarification on a qualifying patient's written certification or instructions provided the supervising licensed pharmacist is aware that such clarification is being requested.

### **Section 21a-XXX-21. Dispensing Errors.**

Hybrid retailers, licensed pharmacists and dispensary technicians shall abide by all requirements applicable to dispensary facilities and employees thereof, as applicable, under sections 21a-408-48 and 21a-408-49 of the Regulations of Connecticut State Agencies. The responsibilities of a dispensary facility manager shall be satisfied by the key employee designated to provide notifications to the department on behalf of the cannabis establishment pursuant to section 21a-XXX-12 of these Policies and Procedures.

**Section 21a-XXX-22. Hybrid Retailer Reporting into the Prescription Monitoring Program.**

A hybrid retailer shall record in the electronic prescription drug monitoring program, established pursuant to section 21a-254 of the Connecticut General Statutes, all of the information required by section 21a-408-51(b) of the Regulations of Connecticut State Agencies, in real-time or immediately upon completion of a transaction to a qualifying patient or caregiver, unless not reasonably feasible for a specific transaction, but in no case longer than one hour after completion of the transaction. If cannabis is to be delivered to a qualifying patient or caregiver, such information shall be recorded into the electronic prescription drug monitoring program prior to leaving the originating establishment. In the event that such a delivery is unsuccessful, the information entry shall be removed from the electronic prescription drug monitoring program within one hour of the cannabis being returned to the originating establishment.

**Section 21a-XXX-23. Medical Supply Shortages.** If the commissioner determines that a cannabis supply or variety shortage exists, or may occur absent intervening action, the commissioner may, in the commissioner's discretion, temporarily set lower transaction limits, classify certain products as medical marijuana products, or take other measures to ensure an adequate supply and variety of cannabis and medical marijuana products to ensure uninterrupted availability for qualifying patients, based on historical purchase patterns. Such transaction limits or other measures shall be posted on the department's Internet web site and become effective five days thereafter, or sooner, as determined by the commissioner.

**Section 21a-XXX-24. Operation of a Producer, Cultivator, Micro-Cultivator, Product Manufacturer, Food And Beverage Manufacturer, Product Packager, Delivery Service, And Transporter.**

- (a) A producer, cultivator, micro-cultivator, product manufacturer, food and beverage manufacturer, product packager, delivery service, and transporter shall:
- (1) Produce, manufacture, package, handle, and store cannabis, as applicable, and only at its establishment or inside of its registered transport vehicles as permitted by these policies and procedures, and only for use inside the state of Connecticut;

- (2) Sell, deliver, transport or distribute cannabis only from its establishment, provided that a micro-cultivator shall only sell to consumers by means of delivery;
  - (3) Not refuse to deal with any cannabis establishment on the same terms and conditions that it deals with any other cannabis establishment; and
  - (4) Neither directly nor indirectly discriminate in price between different cannabis establishments that are purchasing a comparable service, or grade, strain, brand, type or quality of cannabis, taking into account differences in the cost of manufacture, sale or delivery resulting from the differing methods or quantities in which such cannabis is sold or delivered to such cannabis establishments.
- (b) A producer, cultivator, micro-cultivator, product manufacturer, food and beverage manufacturer, product packager, delivery service, or transporter license shall permit such licensee to operate out of a single establishment location, except that a cannabis establishment changing its location may store cannabis at both the former and new location for a period of time approved by the department as necessary for transition, but in no event shall the cannabis establishment sell to consumers, qualifying patients or caregivers simultaneously at more than one location. Prior to operating an additional establishment at a different location, a licensee shall obtain a corresponding license in accordance with the act. Notwithstanding the foregoing, a delivery service or transporter may maintain multiple parking locations for transport vehicles, provided that no cannabis is stored at such locations unattended, after the establishment's hours of operations, or for a period longer than twenty-four hours.
- (c) A cultivator establishment shall not contain more than two hundred fifty thousand square feet of grow space.

**Section 21a-XXX-25. Minimum Requirements for the Storage and Handling of Cannabis by a Producer, Cultivator, Micro-Cultivator, Food and Beverage Manufacturer, Product Manufacturer, Product Packager, Delivery Service, and Transporter.**

- (a) A producer, cultivator, micro-cultivator, food and beverage manufacturer, product manufacturer, product packager, delivery service, and transporter shall:
- (1) Maintain all production, manufacturing, handling and storage areas with adequate lighting, ventilation, temperature, sanitation, humidity, space, equipment, and security conditions for cannabis that meet the standards set forth under 21 CFR Part 211 subpart C, unless otherwise expressly permitted by the commissioner;
  - (2) Separate for storage, away from saleable cannabis, cannabis that is outdated, damaged, deteriorated, misbranded, or adulterated, or for which the containers or packaging have been opened or breached, until such cannabis is disposed of in accordance with section 21a-XXX-3 of these Policies and Procedures;

- (3) Maintain its establishment in a clean and orderly condition;
  - (4) Maintain its establishment free from infestation by insects, rodents, birds, or vermin of any kind; and
  - (5) If a delivery service or transporter, not store cannabis in its establishment or any transport vehicle unattended, after the establishment's hours of operations, or for a period longer than twenty-four hours.
- (b) Any area within an establishment where cannabis will be manufactured into an edible or beverage form shall comply with the Connecticut Food, Drug and Cosmetic Act, sections 21a-91 to 21a-120, inclusive, and sections 21a-151 to 21a-159, inclusive, of the Connecticut General Statutes, regarding bakeries and food manufacturing establishments.
- (c) A producer, cultivator, micro-cultivator, food and beverage manufacturer, product manufacturer, product packager, delivery service, and transporter shall (A) compartmentalize areas of its establishment based on access to cannabis, post a sign no less than twelve inches in height and no less than twelve inches in width at all points of access to areas containing cannabis stating "Do Not Enter – Access Limited to Authorized Employees Only" in lettering no smaller than one inch in height, and restrict employee access accordingly, and (B) establish, maintain and comply with written policies and procedures, approved by the commissioner, regarding best practices for the secure and proper production, manufacturing, handling, and storage of cannabis, including, but not limited to, policies and procedures for:
- (1) Separating areas that provide access to cannabis from areas without any cannabis access, and restricting access to areas containing cannabis to only those employees who are licensed or registered with the department and specifically authorized to access cannabis at the establishment;
  - (2) Providing different color identification badges for employees that are licensed or registered with the department and specifically authorized to access cannabis, so as to ensure only such employees are able to access cannabis within the establishment;
  - (3) Requiring pocketless, one-piece clothing for all employees working in an area containing unpackaged cannabis, except for delivery service and transporter employees; and
  - (4) Documenting the chain of custody of all cannabis.
- (d) A producer, cultivator, micro-cultivator, food and beverage manufacturer, product manufacturer, product packager, delivery service, and transporter shall establish, maintain, and comply with written policies and procedures, approved by the commissioner, for the manufacture, security, storage, inventory, and distribution of cannabis, as applicable. Such written policies and procedures shall include (A) methods for identifying, recording, and reporting diversion, theft or loss, and for correcting all inventory errors and inaccuracies, and (B) processes for the following:



- (1) Handling mandatory and voluntary recalls of cannabis. Such process shall be adequate to deal with recalls due to any action initiated at the request of the commissioner and any voluntary action by a cannabis establishment to remove defective or potentially defective cannabis from the market, or any action undertaken to promote public health and safety by replacing existing cannabis with improved products;
  - (2) Preparing for, protecting against, and handling any crisis that affects the security or operation of an establishment in the event of strike, fire, flood, or other natural disaster, or other situations of local, state, or national emergency;
  - (3) Ensuring that any outdated, damaged, deteriorated, misbranded, or adulterated cannabis is segregated from all other cannabis and disposed of in accordance with section 21a-XXX-3 of these Policies and Procedures. This procedure shall provide for written documentation of the cannabis disposition and disposal; and
  - (4) Ensuring the oldest stock of cannabis is distributed first. A written policy or procedure may permit deviation from this requirement, if such deviation is temporary and the reason for such deviation is documented.
- (e) No person, except authorized employees, law enforcement or employees of the department during the course of their employment, shall be allowed in a restricted area of a producer, cultivator, micro-cultivator, food and beverage manufacturer, product manufacturer, product packager, delivery service, or transporter, except that:
- (1) Laboratory staff may enter an establishment for the sole purpose of identifying and collecting cannabis samples for purposes of conducting laboratory tests; and
  - (2) Other persons may enter the restricted areas of an establishment pursuant to, and abiding by, the procedures set forth in section 21a-XXX-9 of these Policies and Procedures.

**Section 21a-XXX-26. Cannabis Manufacturing Restrictions.** Except as otherwise provided in section 21a-XXX-29 of these Policies and Procedures, cannabis permitted for sale to a consumer, qualifying patient or caregiver shall meet the following requirements, and any cannabis not in compliance with this section shall be deemed adulterated:

- (a) Raw cannabis and cannabis products shall be homogenous and shelf-stable for a minimum of 60 days after opening without refrigeration.
- (b) Cannabis products shall only be produced and manufactured (1) using ingredients and components permitted by the U.S. Food and Drug Administration for the specified use in food or food manufacturing pursuant to the Substances Added to Food inventory, if edible, (2) with equipment that meets the standards set forth under 21 CFR Part 211 subpart D, and (3) in facilities that meet the standards set forth under 21 CFR Part 211 subpart C.

- (c) Cannabis shall only incorporate cannabis-derived terpenes and other cannabis-derived additives that are derived from cannabis grown and regulated in the State of Connecticut.
- (d) Cannabis shall not incorporate terpenes from any source other than cannabis grown and regulated in the State of Connecticut.
- (e) Edible cannabis products capable of maintaining a defined external form or outline shall be in cuboid or spherical form, or such other form as approved by the commissioner, and conspicuously stamped, embossed, imprinted, or otherwise marked with the capital letters “THC” in plain font, each stamp comprising not less than twenty-five per cent of the largest side of the product’s exterior.
- (f) Cannabis shall not bear notable likeness to a commercial product not containing cannabis.
- (g) Cannabis shall not be in the form of capsules, pills, tablets, sublinguals, nor suppositories or other product forms intended to be administered in or through a bodily orifice or membrane other than orally.
- (h) Cannabis shall not be designed, molded or created in a form that is obscene or indecent, may encourage use of cannabis by persons under the age of twenty-one, or is customarily associated with persons under the age of twenty-one.
- (i) Cannabis shall not be produced or manufactured (1) in the presence of a pesticide chemical not authorized by the commissioner, or (2) using a solvent other than a United States Pharmacopeia 467 Class 3 organic solvent, as confirmed by laboratory testing.

**Section 21a-XXX-27. Cannabis Content Restrictions.** Except as otherwise provided in section 21a-XXX-29, cannabis permitted for sale to a consumer, qualifying patient, or caregiver shall not contain any of the following and any cannabis not in compliance with this section shall be deemed adulterated:

- (a) Alcohol, provided that this provision shall not prohibit any liquid that contains less than one half of one per cent of alcohol by volume.
- (b) Dietary supplements or any regulated drug or controlled substance other than cannabis.
- (c) Non-cannabinoid additives that are psychotropic or could increase the potency, toxicity or addictive properties of cannabis, including but not limited to caffeine and nicotine.
- (d) Artificial, synthetic, toxic or artificial coloring additives.
- (e) Added flavor, terpenes or other cannabis-derived additives not derived from cannabis grown and regulated in the State of Connecticut.

- (f) Any inactive ingredient not included as approved in the Federal Food and Drug Administration Inactive Ingredient Database for the intended route of administration, dosage form, and potency.
- (g) Any non-cannabis derived ingredient that is not Generally Recognized as Safe pursuant to the Federal Food, Drug and Cosmetic Act.
- (h) Any non-cannabis derived ingredient that is not permitted by the U.S. Food and Drug Administration for the specified mode of use in food or food manufacturing pursuant to the Substances Added to Food inventory.
- (i) Excipients that are not pharmaceutical grade or approved by the department for the intended mode of consumption.
- (j) If the cannabis is intended for inhalation, polyethylene glycol, vitamin E acetate, medium chain triglycerides, squalene, squalane, or other substances demonstrated to be harmful when inhaled, as determined by the commissioner.
- (k) If cannabis flower or other cannabis plant material, a total THC concentration higher than thirty per cent on a dry-weight basis.
- (l) If a cannabis product other than cannabis flower, cannabis plant material, and prefilled cartridges for use in an electronic cannabis delivery system, a total THC concentration greater than sixty per cent on a dry-weight basis.
- (m) Any other substance determined by the commissioner to be contrary to public health and safety.

**Section 21a-XXX-28. Delivery Device Restrictions.** Except as otherwise set forth in section 21a-XXX-29 of these Policies and Procedures, the following delivery devices are prohibited and shall not be sold to consumers, qualifying patients, or caregivers:

- (a) Delivery devices used for pulmonary administration that aerosolize or volatilize cannabis for administration through inhalation, including but not limited to inhalers and nebulizers, provided that nothing herein shall prohibit vaporizers that (1) have a heating element that is made of inert material and does not come into direct contact with cannabis resin or extract, (2) incorporate internal or external temperature controls regulated to prevent combustion, and (3) are incapable of producing temperatures sufficient to burn cannabis.
- (b) Delivery devices used to administer cannabis through skin, subcutaneously, intramuscularly or intravenously, including but not limited to transdermal patches and syringes.
- (c) Delivery devices used to administer cannabis in or through a bodily orifice or membrane, other than orally, including but not limited to nasal sprays.
- (d) Delivery devices designed for cannabis to have any direct contact with a heating element.

- (e) Delivery device cartridges, unless they are pre-filled, single-use, tamper-resistant and sealed in such a manner that reasonably restricts any attempt to refill or reuse.
- (f) Delivery devices or components thereof that are obscene or indecent, may encourage cannabis use by persons under the age of 21, or are customarily associated with persons under the age of 21.
- (g) Delivery devices or components thereof that could introduce any substance into cannabis such that the cannabis would no longer satisfy the restrictions set forth herein, or the laboratory testing requirements set forth in section 21a-XXX-30 of these Policies and Procedures.
- (h) Delivery devices or components thereof containing any cadmium, arsenic, lead or mercury.

### **Section 21a-XXX-29. Medical Marijuana Products.**

- (a) Notwithstanding the restrictions set forth in sections 21a-XXX-26, 21a-XXX-27, and 21a-XXX-28 of these Policies and Procedures, a dispensary facility or hybrid retailer may sell the following medical marijuana products and delivery devices to qualifying patients and caregivers, provided that all other requirements and restrictions of sections 21a-XXX-26, 21a-XXX-27, and 21a-XXX-28 of these Policies and Procedures not explicitly exempted hereunder are satisfied:
  - (1) Delivery devices used for pulmonary administration or otherwise used to aerosolize or volatilize cannabis for administration through inhalation, provided any such delivery devices that incorporate a heating element (A) have a heating element made of inert material, (B) incorporate internal or external temperature controls regulated to prevent combustion, and (C) are incapable of producing temperatures sufficient to burn cannabis.
  - (2) Delivery devices and forms of cannabis intended for transdermal and topical administration, including transdermal patches, and syringes.
  - (3) Delivery devices and forms of cannabis intended for administration in or through a bodily orifice or membrane, including but not limited to capsules, pills, tablets, sublinguals, lozenges, nasal sprays, and suppositories.
  - (4) Cannabis containing non-cannabis derived flavor additives that satisfy the requirements of section 21a-XXX-27(g) and section 21a-XXX-27(h) of these Policies and Procedures.
  - (5) Cannabis in the form of ethanol-based tinctures with an alcohol level no greater than ten per cent by volume, or such greater amount as approved by the

commissioner on a case-by-case basis, provided such tincture is packaged with a calibrated dropper or similar device for accurate dispensing measurement.

- (6) Cannabis flower or other cannabis plant material with a total THC concentration higher than thirty per cent on a dry-weight basis.
  - (7) Cannabis product other than cannabis flower and cannabis plant material with a total THC concentration greater than sixty per cent on a dry-weight basis.
  - (8) Any other delivery device or form of cannabis approved by the commissioner.
- (b) Any medical marijuana products not in compliance with this section shall be deemed adulterated.

### **Section 21a-XXX-30. Laboratory Testing.**

- (a) Except for the purpose of laboratory testing, no cannabis establishment shall sell, transfer, transport, or otherwise convey cannabis that has not yielded satisfactory results from all laboratory tests and analysis required under this section.
- (b) All harvested cannabis and manufactured cannabis products shall be separated into homogenized batches prior to any packaging or manufacturing, with the entirety of each such batch available for a laboratory employee to select a random sample to be tested in accordance with this section, and for purposes of conducting cannabinoid and terpenoid analysis.
- (c) Aside from the sample, the batch from which the sample was taken shall be isolated and withheld from use in its entirety from the time a sample is taken until the time the laboratory provides the analysis and test results. During this period of isolation, the cannabis batch shall be stored in a cool, dry, and secure location to prevent contamination and degradation. Under no circumstances shall any cannabis in the isolated batch be sold, transferred, transported, or otherwise conveyed by the cannabis establishment until the laboratory has completed testing and analysis, entered the results required hereunder into the Cannabis Analytic Tracking System, and provided the cannabis establishment with a certificate of analysis.
- (d) All samples shall be analyzed to determine the cannabinoid and terpene profiles, as well as each active ingredient that constitutes at least one per cent of the cannabis batch, the results of which shall be entered into the Cannabis Analytic Tracking System simultaneously with the results of all testing required under subsection (f) of this section. Samples for each analysis required under this subsection (c) of this section shall be not less than one half of one gram.
- (e) If a sample yields satisfactory results for all testing required under subsection (f) of this section, the laboratory shall enter all analysis and test results into the Cannabis Analytic Tracking System and destroy the sample in accordance with section 21a-XXX-3 of these

Policies and Procedures, and the batch of cannabis from which the sample was taken shall be permitted for sale, transfer, transport, or other conveyance in accordance with the act. Notwithstanding the foregoing, the laboratory shall maintain a remainder comprising twenty-five per cent of the sample in a manner preventing deterioration for a period of sixty days, which remainder may be subject to department testing.

- (f) For the purposes of this section, a sample shall be deemed to have yielded satisfactory results if it satisfies the applicable following standards:
- (1) Microbiological Testing: a sample, not less than one gram, shall be deemed satisfactory if it satisfies the standards set forth in Section 2023 of the United States Pharmacopeia for all raw products, and Section 1111 of the United States Pharmacopeia for all dosage forms other than raw product, which can be obtained at <http://www.usp.org>. Additionally, if the cannabis is intended for inhalation, the sample shall be deemed satisfactory only upon an absence of the pathogenic *Aspergillus* species *A. fumigatus*, *A. flavus*, *A. niger*, and *A. terreus*.
  - (2) Mycotoxin Testing: a sample, not less than one half of one gram, shall be deemed satisfactory if it contains less than 20 micrograms per kilogram of each of the following mycotoxins: aflatoxin B1, aflatoxin B2, aflatoxin G1, aflatoxin G2, and ochratoxin A.
  - (3) Heavy Metal Testing: a sample, not less than one half of one gram, shall be deemed satisfactory if it meets the following standards for the intended route of administration based on consumption levels of up to 10 grams per day:

Heavy Metal	Intended Route of Administration: Inhalation	Intended Route of Administration: Not inhalation
Cadmium	$\leq 0.2$	$\leq 0.5$
Arsenic	$\leq 0.2$	$\leq 1.5$
Lead	$\leq 0.5$	$\leq 0.5$
Mercury	$\leq 0.1$	$\leq 3.0$

- (4) Pesticide Chemical Residue Testing: a sample, not less than one half of one gram, shall be deemed satisfactory if (A) all of the Category I Residual Pesticides are not detected, employing a limit of quantitation of 0.10  $\mu\text{g/g}$ , and (B) all of the Category II Residual Pesticides do not exceed the indicated levels below. For purposes of this subdivision, Category I Residual Pesticides shall include aldicarb, carbofuran, chlordane, chlorfenapyr, chlorpyrifos, coumaphos, daminozide, dichlorvos (DDVP), dimethoate, ethoprop(hos), etofenprox, fenoxycarb, fipronil, imazalil, methiocarb, methyl parathion, mevinphos, paclobutrazol, propoxur (baygon), spiromamine, and thiacloprid, and Category II Residual Pesticides shall include the following, with the corresponding action levels:

Category II Pesticide	Residual	Intended Administration: Inhalation, Level (µg/g)	Route of Administration: Not Inhalation, Level (µg/g)
Abamectin		0.1	0.3
Acephate		0.1	5
Acequinocyl		0.1	4
Acetamiprid		0.1	5
Azoxystrobin		0.1	40
Bifenazate		0.1	5
Bifenthrin		3	0.5
Boscalid		0.1	10
Captan		0.7	5
Carbaryl		0.5	0.5
Chlorantraniliprole		10	40
Clofentezine		0.1	0.5
Cyfluthrin		2	1
Cypermethrin		1	1
Diazinon		0.1	0.2
Dimethomorph		2	20
Etoxazole		0.1	1.5
Fenhexamid		0.1	10
Fenpyroximate		0.1	2
Flonicamid		0.1	2
Fludioxonil		0.1	30
Hexythiazox		0.1	2
Imidacloprid		5	3
Kresoxim-methyl		0.1	1
Malathion		0.5	5
Metalaxyl		2	15
Methomyl		1	0.1
Myclobutanil		0.1	9
Naled		0.1	0.5
Oxamyl		0.5	0.2
Pentachloronitrobenzene		0.1	0.2
Permethrin		0.5	20
Phosmet		0.1	0.2
Piperonylbutoxide		3	8
Prallethrin		0.1	0.4
Propiconazole		0.1	20
Pyrethrins		0.5	1
Pyridaben		0.1	3
Spinetoram		0.1	3
Spinosad		0.1	3
Spiromesifen		0.1	12
Spirotetramat		0.1	13

Tebuconazole	0.1	2
Thiamethoxam	5	4.5
Trifloxystrobin	0.1	30

- (5) Total THC Testing for Cannabis: a sample, not less than one gram, shall be deemed satisfactory if the total THC does not exceed, on a dry-weight basis, (A) thirty per cent, if cannabis flower or other cannabis plant material, or (B) sixty per cent if a cannabis product other than cannabis flower, cannabis plant material, and prefilled cartridges for use in an electronic cannabis delivery system. This subdivision shall not to apply to medical marijuana products.
- (6) Solvent and Biological Control Testing for Cannabis Produced Using a Solvent or Biological Control: a sample, not less than one half of one gram, shall be deemed satisfactory only upon an absence of any solvent or biological control used in production, unless the presence of such solvent or biological control complies with section 21a-XXX-27 of these Policies and Procedures and satisfies the standards set forth in this section.
- (7) Moisture Content and Water Activity Testing for Dried Cannabis Plant Material and Non-Liquid Edible Cannabis Products: a sample, not less than one half of one gram, shall be deemed satisfactory if the water activity does not exceed 0.65 Aw for dried cannabis plant material, and 0.85 Aw for non-liquid edible cannabis product.
- (8) Ingredient Testing for Cannabis Intended for Inhalation: a sample, not less than one half of one gram, shall be deemed satisfactory only upon an absence of polyethylene glycol, vitamin E acetate, medium chain triglycerides, squalene, squalane, or other substances determined by the commissioner to be harmful when inhaled.
- (g) The laboratory shall use certified reference materials to validate results from the testing required under this section, with an acceptable tolerance between 80 per cent to 120 per cent.
- (h) If a cannabis sample does not yield satisfactory results for any testing required under this section, the laboratory shall enter all analysis and test results into the Cannabis Analytic Tracking System and dispose of the cannabis sample in accordance with section 21a-XXX-3 of these Policies and Procedures. Thereafter, the cannabis establishment may:
- (1) Retest and reanalyze the cannabis by having an employee from the same laboratory select another random sample from the same batch. If the sample yields satisfactory results for all testing required hereunder, an employee from a different laboratory shall select a different random sample from the same batch for testing. If both samples yield satisfactory results for all testing required hereunder, the cannabis batch shall be permitted for sale, transfer, transport, or other conveyance in accordance with the act; or
  - (2) Remediate the cannabis batch, if a remediation plan sufficient to ensure public health and safety is submitted to and approved by the commissioner, and have a laboratory employee select a random sample from the remediated batch. If the sample yields



satisfactory results for any testing required hereunder, an employee from a different laboratory shall select a different random sample from the same batch for testing. If both samples yield satisfactory results for all testing required hereunder, the cannabis batch shall be permitted for sale, transfer, transport, or other conveyance in accordance with the act.

- (i) If the cannabis establishment does not retest or remediate, or if any subsequent testing does not yield satisfactory results for any testing required under this section, then the entire batch from which the sample was taken shall be destroyed by the cannabis establishment in accordance with section 21a-XXX-3 of these Policies and Procedures.
- (j) The results of all testing required hereunder shall be valid for a period of one year from the date of testing, after which time cannabis shall be tested again and yield satisfactory results before it is permitted for sale, transfer, transport, or other conveyance in accordance with the act.
- (k) In addition to entering all analysis and testing results into the Cannabis Analytic Tracking System, the laboratory shall maintain a separate record of all analysis and testing results.
- (l) The Commissioner may require additional testing as necessary to further protect public health and safety.
- (m) Corresponding certificates of analyses shall be available upon request to any person purchasing cannabis, and to physicians or APRNs.

### **Section 21a-XXX-31. Brand Name Testing and Registration.**

- (a) In addition to the testing and analysis required under section 21a-XXX-30 of these Policies and Procedures, each proposed brand of cannabis strain or product shall undergo stability testing prior to registration to ensure that it remains homogenous, and uniform in product quality, cannabinoid concentration and terpenoid concentration, within a range of 90 per cent to 110 per cent, for a period 60 days after opening.
- (b) Once a proposed cannabis strain or product brand yields satisfactory stability testing results, a producer, cultivator, micro-cultivator, product manufacturer and food and beverage manufacturer shall submit for registration with the department, on a form and in a manner prescribed by the commissioner: (1) all laboratory testing and analysis results, (2) all information concerning ingredients, processing techniques and solvents required pursuant to section 21a-XXX-33 of these Policies and Procedures, and (3) a proposed brand name for the cannabis strain or product. Under no circumstances shall a cannabis strain or product be sold, transferred, transported, or otherwise conveyed with a brand name until such brand name has been successfully registered with the department.
- (c) A cannabis strain or product shall only be labeled with a brand name if it:

- (1) contains all of the same ingredients and is produced in the manner as registered for the brand name; and
  - (2) the laboratory results verify that the cannabis strain or product is comprised of the corresponding registered cannabinoid and terpenoid profiles, as well as active ingredients that constitute at least one per cent of the product, within a range of 90 per cent to 110 per cent.
- (d) The department shall not register any brand name that:
- (1) Is identical, or confusingly similar to the name of an existing non-cannabis product;
  - (2) Is identical, or confusingly similar to the name of an unlawful product or substance;
  - (3) Is confusingly similar to a previously approved brand name of cannabis strain or product;
  - (4) Is obscene or indecent;
  - (5) May encourage the use of cannabis by, or is customarily association with, persons under the age of twenty-one; or
  - (6) Is related to benefits, safety, or efficacy of the cannabis strain or product unless supported by substantial evidence or substantial clinical data.
- (e) The non-refundable fee to register a brand name with the department shall be twenty-five dollars per brand name.

**Section 21a-XXX-32. Cannabis Packaging Requirements.** Cannabis shall be individually packaged in the following manner:

- (a) For purposes of cannabis sold to consumers:
- (1) A single package shall contain not more than one ounce of cannabis or the equivalent thereof, as set forth in section 3 of the act.
  - (2) The standard serving of an edible cannabis product shall contain not more than five milligrams of total THC.
  - (3) Each single standardized serving of an edible cannabis product in a multiple-serving package shall be physically demarcated and readily separable in a way that enables a reasonable person to easily determine (1) how much of the edible cannabis product constitutes a single standardized serving and (2) the maximum possible amount of total THC contained in the entire package, provided that if such demarcation and separation is impracticable, then the entire package shall contain not more than five milligrams of total THC. Notwithstanding the foregoing, cannabis beverage products shall contain no more than one single standardized serving.

- (4) A multiple-serving package of an edible cannabis product shall contain not more than one hundred milligrams of total THC.
  - (5) Each cannabis oil cartridge or similarly designed product shall contain not more than three hundred milligrams of total THC.
- (b) For purposes of cannabis sold to qualifying patients and caregivers:
- (1) A single package shall contain not more than five ounces of cannabis or the equivalent thereof, as set forth in section 3 of the act.
  - (2) The standard serving of an edible cannabis product shall contain not more than twenty-five milligrams of total THC.
  - (3) Each single standardized serving of an edible cannabis product in a multiple-serving package shall be physically demarcated and readily separable in a way that enables a reasonable person to easily determine (1) how much of the edible cannabis product constitutes a single standardized serving and (2) the maximum possible amount of total THC contained in the entire package, provided that if such demarcation and separation is impracticable, then the entire package shall contain not more than twenty-five milligrams of total THC.
  - (4) A multiple-serving package of an edible cannabis product shall contain not more than five hundred milligrams of total THC.
- (c) The design and materials used to package cannabis shall meet the following requirements:
- (1) Packaging shall be child-resistant, tamper-resistant and light-resistant based on the following standards:
    - (A) Packaging shall be deemed child-resistant if it satisfies the standard for “special packaging” as set forth in the Poison Prevention Packaging Act of 1970 Regulations, 16 CFR 1700.1(b)(4);
    - (B) Packaging shall be deemed tamper-resistant if it has one or more indicators or barriers to entry that would preclude its contents from being accessed or adulterated without indicating to a reasonable person that the package was breached; and
    - (C) Packaging shall be deemed light-resistant if it is entirely and uniformly opaque and protects the whole of its contents from the effects of light.
  - (2) Packaging for cannabis intended for multiple-serving use shall be resealable in such a manner that is continuously child-resistant and preserves the integrity its contents.
  - (3) Packaging shall be impervious and protect its contents from contamination and exposure to any toxic or harmful substance, including any glue, adhesive, or other substance incorporated into the packaging.

- (4) Packaging shall be entirely and uniformly white, and shall not incorporate any information, print, embossing, debossing, graphic or hidden feature, other than labeling required or permitted under section 21a-XXX-33 of these Policies and Procedures.
- (5) Packaging shall not be visually similar to (A) any commercially similar product that does not contain cannabis, or (B) packaging used for any good that is marketed to an audience reasonably expected to be under twenty-one years of age.

**Section 21a-XXX-33. Cannabis Labeling Requirements.**

- (a) Prior to being sold and transferred to a consumer, qualifying patient, or caregiver, a cannabis package shall be clearly labeled with the following:
  - (1) A unique identifier generated by the Cannabis Analytic Tracking System and used to track cannabis pursuant to section 21a-XXX-5 of these Policies and Procedures.
  - (2) The following information about the cannabis in legible English using black Times New Roman font, flat regular typeface, in uniform size no less than one tenth of an inch, based on a capital letter “K,” which information shall also be available on the Internet web site of the cannabis establishment that sells the cannabis:
    - (A) The name of the cannabis, as registered with the department pursuant to section 21a-408-61 of the Regulations of Connecticut State Agencies or section 21a-XXX-31 of these Policies and Procedures.
    - (B) The expiration date, which shall not account for refrigeration after sale to a consumer, qualifying patient or caregiver.
    - (C) The net weight or volume in metric and imperial units.
    - (D) The standardized serving size in customary units and the number of servings included in the package, if applicable.
    - (E) Directions for use and storage.
    - (F) The active ingredients comprising one per cent or more of the cannabis, including cannabinoids, isomers, esters, ethers, salts and salts of isomers, esters and ethers, and all quantities thereof in metric units and as a per centage of volume.
    - (G) A list of all known allergens, as identified by the U.S. Food and Drug Administration, contained in the cannabis.
    - (H) The following warning statement outlined by a red box: “This product is not FDA-approved, may be intoxicating, cause long-term physical and mental health problems, and have delayed side effects. It is illegal to operate a vehicle or machinery under the influence of cannabis. Keep away from children.” and at least one of the following warning statements rotated quarterly on an alternating basis:

Warning: Frequent and prolonged use of cannabis can contribute to mental health problems over time, including anxiety, depression, stunted brain development and impaired memory.

Warning: Consumption while pregnant or breastfeeding may be harmful.

Warning: Cannabis has intoxicating effects and may be habit forming and addictive.

Warning: Consuming more than the recommended amount may result in adverse effects requiring medical attention.

- (I) All information necessary to comply with federal and State of Connecticut labeling requirements for similar products not containing cannabis, including, but not limited to the Connecticut Food, Drug and Cosmetic Act, sections 21a-91 to 21a-120, inclusive, and sections 21a-151 to 21a-159, inclusive, of the Connecticut General Statutes, regarding bakeries and food manufacturing establishments, as well as the Federal Food, Drug and Cosmetics Act and Federal Fair Packaging and Labeling Act.
  - (J) Additional warning labels for certain cannabis products as may be required by the commissioner and posted to the department's Internet web site.
- (3) The following unobscured graphics, each in a size not less than one-half inch by one-half inch, which graphics shall not be used for any purpose other than as contemplated herein:
- (A) The following symbol issued by the department that indicates the package contains THC:



- (B) The following symbol issued by the department that indicates the package is not safe or legal for individuals under twenty-one years of age:



- (b) A cannabis package may be labeled with a picture of the cannabis, such picture shall (1) clearly depict the size, shape and color of the cannabis, (2) not to obscure or overlap with any information required by section 21a-xxx-33 of these Policies and Procedures, and (3) not exceed twenty-five per cent of the surface of the cannabis package.

- (c) No label shall appeal to persons under the age of twenty-one.
- (d) Prior to being sold and transferred to a consumer, qualifying patient, or caregiver, a cannabis package shall clearly include the following information on a package insert or using a static quick response (QR) code, which information shall also be available in-store and on the Internet web site of the cannabis establishment that sells the cannabis:
  - (1) The types of cannabis incorporated, as well as all processing techniques and solvents used to produce and manufacture the cannabis.
  - (2) All inactive ingredients comprising one per cent or more of the cannabis.
  - (3) The date of harvest for raw cannabis and the date of manufacture for cannabis products.
  - (4) The complete cannabinoid and terpene profile, including all isomers, esters, ethers, salts and salts of isomers, esters and ethers, as well as all additives and excipients, and all quantities thereof in metric units and as a per centage of volume.
  - (5) A statement that the cannabis has been tested for microbiological contaminants, mycotoxins, heavy metals and pesticide chemical residue, as well as the date and the satisfactory or failing result of such testing.
  - (6) The cannabis establishment where the cannabis was, as applicable, (a) cultivated, propagated or harvested, and (b) manufactured, as defined in the act. The cannabis establishments shall be identified by: (1) legal entity name as registered with the State of Connecticut, (2) business address, and (3) email and telephone contact information.
  - (7) The following warning statements:
    - Warning: Frequent and prolonged use of cannabis can contribute to mental health problems over time, including anxiety, depression, stunted brain development and impaired memory.
    - Warning: Consumption while pregnant or breastfeeding may be harmful.
    - Warning: Cannabis has intoxicating effects and may be habit forming and addictive.
    - Warning: Consuming more than the recommended amount may result in adverse effects requiring medical attention.
  - (8) Additional warning labels for certain cannabis products as may be required by the commissioner and posted to the department's Internet web site.
- (e) A dispensary facility, hybrid retailer or employee thereof shall not sell cannabis to a qualifying patient or caregiver unless the cannabis package is clearly labeled with the following information in addition to the requirements of subsection (a):
  - (1) The date such cannabis is dispensed;

- (2) The name and registration certificate number of the qualifying patient and, where applicable, the caregiver;
  - (3) The name of the certifying physician or APRN and the dispensing licensed pharmacy employee; and
  - (4) The per cent of alcohol by volume, if greater than one per cent, contained in the cannabis product.
- (f) A dispensary facility, hybrid retailer or employee thereof shall not sell any medical marijuana product to a qualifying patient or caregiver unless it is clearly labeled with the following unobscured graphic, in addition to the graphics required under subsection (a), and in a size not less than one-half inch by one-half inch, which graphic shall not be used for any purpose other than as contemplated in this subsection:



- (g) A cannabis packaging label may include the term “organic” only for raw cannabis plant material that has been organically grown in accordance with section 21a-92 of the Connecticut General Statutes, and cannabis products derived therefrom that have been produced, processed, manufactured and certified to be consistent with organic standards in compliance with section 21a-92a of the Connecticut General Statutes.
- (h) No information, print, embossing, debossing, graphic or hidden feature, except as expressly required or permitted in this section, shall be included on a cannabis packaging label.

**Section 21a-XXX-34. Cannabis Delivery and Transportation General Requirements**

- (a) Prior to offering cannabis delivery or transportation services, a cannabis establishment shall submit to the department the following items:
- (1) A list of the employees authorized to conduct cannabis delivery or transportation, along with a copy of each authorized employee’s valid driver license; and
  - (2) For each transport vehicle:
    - (A) License plate number, vehicle identification number, make and model;
    - (B) An attestation that the vehicle is properly registered and insured;
    - (C) A description of the locked, safe and secure storage compartment(s);

- (D) A description of the security system, form of secure communication, global positioning system (GPS) monitoring device, and any other equipment or system required pursuant to section 21a-XXX-35 of these Policies and Procedures; and
  - (E) A certificate of satisfactory inspection, if required by the department, pursuant to subsection (f) of section 21a-XXX-35 of these Policies and Procedures.
- (b) A cannabis establishment shall provide written notice to the department, along with the documentation required in subsection (a) of this section, in the event of the addition or the removal of a transport vehicle or a transporting agent.
  - (c) No cannabis establishment shall advertise, offer or commence delivery or transportation operations prior to receiving written approval from the department.
  - (d) A transport vehicle shall only transport cannabis and cannabis paraphernalia.

### **Section 21a-XXX-35. Vehicle Security.**

- (a) All transport vehicles shall be properly registered with the state, be insured in the State of Connecticut, and have received a satisfactory inspection from the department, if inspected pursuant to subsection (f) of this section. Records documenting the same shall be maintained and made available to the department and law enforcement officials upon request.
- (b) A transport vehicle shall bear no marking or outward appearance, including brand or company names, that would indicate to a reasonable person that the vehicle is used to transport cannabis.
- (c) At all times during the transportation of cannabis, a transport vehicle shall be equipped with the following functioning features:
  - (1) Heating and air conditioning systems sufficient for maintaining appropriate temperatures for the storage of cannabis during transport in accordance with recommendations provided by the originating establishment to protect the quality and integrity of the cannabis;
  - (2) A locked, safe and secure storage compartment where cannabis will be stored during transport that is (A) a secured part of the vehicle, not easily removed and (B) not visible from the outside of the vehicle. If a delivery service is transporting cannabis from multiple originating establishments, a separate designated storage compartment meeting the requirements of this section shall be used for the cannabis from each originating establishment;
  - (3) A GPS monitoring device that is secured to the vehicle in a manner not easily removed, and able to remain powered on when the transport vehicle is not running, the information from which shall be maintained in accordance with subsection (i) of section 21a-XXX-37 of these Policies and Procedures;



- (4) A secure form of communication between the transporting agent and the transporting establishment, and any originating establishment if required by subsection (g) of section 21a-XXX-37 of these Policies and Procedures, at all times during the transportation of cannabis. Secure forms of communication shall include a two-way digital or analog radio, cellular phone, and satellite phone, taking into consideration the functionality of the communication device within the geographic area of the transport; and
  - (5) An adequate vehicle security system to prevent adulteration, diversion, theft and loss of cannabis, including, but not limited to, an audible alarm system.
- (d) In addition to the requirements set forth in subsection (a) above, all vehicles transporting more than two pounds of cannabis plant material or the equivalent thereof, as set forth in section 3 of the act, shall be equipped with the following functioning features:
- (1) An automatic voice dialer, which for purposes of this subsection means any electrical, electronic, mechanical, or other device capable of being programmed to send a prerecorded voice message, when activated, over a telephone line, radio or other communication system, to a law enforcement, public safety or emergency services agency requesting dispatch;
  - (2) A holdup alarm, which for purposes of this subsection means a silent alarm signal generated by the manual activation of a device intended to signal a robbery in progress; and
  - (3) A failure notification system that provides an audible, text or visual notification of any failure in the vehicle security system. The failure notification system shall provide an alert to the transporting establishment and the transporting agents within five minutes of the failure, either by telephone, email, text message or other means approved by the department.
- (e) Access to transport vehicle security equipment and records shall be limited to persons that are (1) licensed or registered pursuant to the act and essential to security operations, (2) law enforcement agencies, (3) security system service employees, (4) the department, and (5) other persons approved by the commissioner. A transporting establishment shall maintain a current list of all individuals that have access to any transport vehicle security equipment and records.
- (f) The commissioner may inspect a transport vehicle, as well as its equipment, including, but not limited to, security systems, forms of secure communication, and GPS monitoring devices at any time without prior notice. If the commissioner determines that the transport vehicle does not satisfy the requirements of this section, or that such transport vehicle requires additional security measures in order to address public health and safety concerns, such transport vehicle shall not be used to transport cannabis until such time as it receives a satisfactory inspection from the department.

**Section 21a-XXX-36. Manifests.**

(a) Prior to the delivery or transportation of cannabis:

- (1) The originating establishment shall prepare a shipping manifest in the Cannabis Analytic Tracking System on a form and in a manner prescribed by the commissioner, itemizing all cannabis to be transported. A separate copy of the shipping manifest shall be provided to the transporting agent to accompany the itemized cannabis at all times during transport.
- (2) If cannabis is being transported from an originating establishment to a receiving establishment, the originating establishment shall securely transmit to the receiving establishment, a copy of the shipping manifest at least twenty-four hours prior to transport.
- (3) A transporting agent shall review the shipping manifest prepared by the originating establishment and confirm that it accurately describes the type and quantity of cannabis in the transport vehicle to be transported by the transporting agent, in the aggregate and for each delivery.
- (4) If cannabis is being transported directly to a qualifying patient, caregiver or consumer, the transporting agent shall review the shipping manifest prepared by the originating establishment and confirm that it includes sufficient identifying information for each patient, caregiver, or consumer, including name, day and month of birth, and, if applicable, patient or caregiver identification number.
- (5) Prior to the transporting agent's departure, any deficiencies or inaccuracies contained in the shipping manifest shall be rectified by the originating establishment and a copy of the corrected shipping manifest shall be provided to the transporting agent, and securely submitted to all receiving establishments.

(b) A transport vehicle shall not contain any cannabis for which a manifest has not been provided, and all cannabis shall be packaged in sealed, labeled, and tamper-proof packaging at all times.

**Section 21a-XXX-37. Transporting Agents; Transportation of Cannabis**

(a) There shall be a minimum of two transporting agents per transport vehicle containing more than two pounds of cannabis plant material or the equivalent thereof, as set forth in section 3 of the act. A transporting agent shall remain with the transport vehicle at all times that the vehicle contains cannabis, provided that if there is only one transporting agent, the transporting agent may leave the vehicle, which shall be securely locked, only for the

purpose of transferring the cannabis to a consumer, qualifying patient, caregiver or cannabis establishment to complete a delivery.

- (b) A transporting agent shall carry transportation credentials at all times during the transportation of cannabis and display such credentials to the appropriate persons at the originating establishment prior to each instance of transportation of cannabis, and to any law enforcement official or authorized department representative upon request. For purposes of this section, “transportation credentials” shall mean the transporting agent’s valid driver’s license and employee license or registration, a copy of the transporting establishment license, and all shipping manifests for cannabis contained in the transport vehicle.
- (c) A transporting establishment shall inspect and test all security systems, secure communications, and GPS monitoring devices of each transport vehicle at least once per day of use, prior to the transport vehicle’s first departure. The individual conducting the inspection on behalf of the transporting establishment shall certify in writing (1) the printed name of such individual, (2) the vehicle identification number of the transport vehicle, (3) the date of inspection, and (4) the status of all inspected systems, equipment, and devices. The individual conducting the inspection shall sign the certification, which signature may be electronic, and the transporting establishment shall maintain a log of all inspection certifications.
- (d) A transport vehicle shall not transport cannabis unless every security system, form of secure communication, and GPS monitoring device is in good working order and functioning properly.
- (e) If any security system, form of secure communication, or GPS monitoring device fails during the transportation of cannabis, the transporting agents shall immediately notify the transporting establishment and all impacted originating establishments of the specific failure and return directly to the transporting establishment or originating establishment. Such transport vehicle shall not resume transportation of cannabis until all systems resume full functioning capacity.
- (f) The transporting establishment shall ensure that all delivery times and routes are varied in a randomized manner. The transporting establishment shall create a confidential delivery schedule within twenty-four hours of the transport and only provide the transporting agents with a copy of such confidential delivery schedule immediately prior to departure.
- (g) A transporting agent shall verbally communicate with the transporting establishment upon arriving at and departing from each scheduled delivery location, and at least every thirty (30) minutes during the transportation of cannabis. The transporting establishment shall maintain a log of each and every communication.
- (h) A transporting agent shall strictly adhere to the delivery schedule provided by the transporting establishment and not make any unscheduled stops. In the case of an emergency unscheduled stop, the transport vehicle shall remain securely locked, and the transporting

agent shall verbally communicate with the transporting establishment, describing the reason for the emergency unscheduled stop, the location and the duration of the emergency unscheduled stop, as well as any activities of the transporting agent, and the identities and activities of any persons interacting with the transport vehicle or the transporting agent. The transporting establishment shall maintain a log of each and every communication.

- (i) For a period of not less than one year, a transporting establishment shall maintain a record of the GPS information of each of its transport vehicles for the entire duration of any transportation of cannabis, and make such information available to the department upon request. A transporting establishment may contract with the GPS provider or similar service provider to conduct GPS monitoring, provided that any such third-party GPS monitor shall comply with all applicable state and federal laws regarding patient confidentiality.
- (j) A transporting agent shall return any undeliverable cannabis to the respective originating establishment's secure cannabis return location, as set forth in section 21a-XXX-8 of these Policies and Procedures, not later than directly after the last scheduled delivery.
- (k) No cannabis shall be stored in a transport vehicle or the establishment of a delivery service or transporter after the establishment's hours of operation, and in no event longer than twenty-four hours.
- (l) A transporting establishment, jointly with any impacted originating establishment, shall report to the department and local law enforcement any transport vehicle accidents, transport vehicle theft, cannabis diversion, loss, or adulteration, and any other event deemed by the commissioner to be a reportable event in connection with the transportation of cannabis within twenty-four hours of such event being discovered.

**Section 21a-XXX-38. Delivery to Qualifying Patients, Caregivers, and Consumers.**

- (a) Delivery service licensees shall (1) only accept orders for delivery over the internet or through a mobile app, (2) require consumers to provide the consumer's full legal name, date of birth, address, email address and telephone number, and (3) take commercially and technologically reasonable measures to verify the identity and address of each such consumer prior to effectuating a sale of cannabis. If a consumer's identity or address remains in question after the submission of information required by this subsection, the consumer shall be afforded an opportunity to further establish identity through the provision of additional information.
- (b) Hybrid retailers and retailers shall (1) require each consumer that purchases cannabis for delivery to provide the establishment with the consumer's full legal name, date of birth, address, email address and telephone number, and (2) take commercially and technologically reasonable measures to verify the identity and address of each such consumer prior to effectuating a sale of cannabis. If a consumer's identity or address remains in

question after the submission of information required by this subsection, the consumer shall be afforded an opportunity to further establish identity through the provision of additional information.

- (c) For each delivery of cannabis to a consumer, qualifying patient, or caregiver, a transporting agent shall confirm from a valid driver's license or other valid, government-issued photographic identification, that the identity of the individual accepting the cannabis delivery is the same as the individual that ordered the cannabis, and confirm:
  - (1) If delivering to a consumer, that the individual is of legal age to purchase cannabis; and
  - (2) If delivering to a qualifying patient or caregiver, the qualifying patient or caregiver registration number from the qualifying patient's or caregiver's registration certificate.
- (d) If the identity, age, or registration of the individual accepting the cannabis delivery remains in question after presentation of the required documentation, the transporting agent shall (1) immediately alert the originating establishment; and (2) return the cannabis to the originating establishment's secure return location not later than directly after the last scheduled delivery.

**Section 21a-XXX-39. Prohibited Acts of Physicians or APRNs.** Any person authorized by chapter 420f of the Connecticut General Statutes to issue a written certification, and such person's employee, spouse, parent, or child shall not:

- (a) Directly or indirectly accept, solicit, or receive anything of value from, or have a direct or indirect financial interest in, a backer, employee, cannabis establishment, any person that may benefit from a qualifying patient's or caregiver's acquisition, purchase or use of cannabis, or any person associated with a cannabis establishment, except for a retailer, product packager, delivery service, transporter or a paraphernalia provider, or as otherwise permitted by section 21a-70e of the Connecticut General Statutes; or
- (b) Offer a discount or any other thing of value to a qualifying patient based on the patient's agreement or decision to use a particular cannabis establishment, or type of cannabis.

**Section 21a-XXX-40. License and Registration Suspension; Enforcement.**

- (a) During any period that a cannabis establishment, laboratory or research facility license is suspended:
  - (1) The licensee shall not make any alterations to an establishment, unless the alterations have been expressly approved in writing by the commissioner, or attach to the exterior or any other part of the establishment any sign indicating that the premises are undergoing

alternations, including but not limited to signs stating “closed for repairs,” “closed for alterations” or any words to similar effect.

- (2) The licensee shall place on the establishment’s front window and front door facing the street, a notice indicating the length of the suspension. The sign shall measure a minimum of eight inches in height by ten inches in width with lettering in a size and style that allows such sign to be read without difficulty by persons standing outside the establishment. The licensee shall maintain the sign in place until the period of suspension has terminated.
  - (3) The licensee shall not offer, sell, transfer, transport or otherwise convey, nor order or receive cannabis unless expressly approved by the commissioner.
  - (4) If a cannabis establishment, the licensee shall close the entire establishment for business, shall securely store all cannabis in a securely locked area, and employees of the licensee may access the establishment only under the supervision of a key employee and for the necessary care and maintenance of the cannabis and the establishment.
  - (5) If a laboratory or a research facility, the licensee shall cease all cannabis-related activity, shall embargo any cannabis in the establishment, and employees of the licensee may access the embargoed-cannabis only under the supervision of a key employee and for the necessary care and maintenance of the cannabis.
- (b) Any cannabis not in compliance with the act and sections 21a-XXX-1 to 21a-XXX-40, inclusive, of these Policies and Procedures shall be subject to embargo or seizure by the department in accordance with section 21a-96 of the Connecticut General Statutes.