



AGCO

Alcohol and Gaming
Commission of Ontario

Regulatory Reporting Requirements – Cannabis

Version 1.7
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Foreword

The purpose of this document is to list the minimum obligations of Cannabis Licensees (Licensees) to notify the Alcohol and Gaming Commission of Ontario (AGCO).

These notification requirements may not be comprehensive and do not supersede the Registrar's Standards for Cannabis Retail Stores, *Cannabis Control Act* or *Cannabis Licence Act*.

Additionally, in accordance with the Registrar's Standards for Cannabis Retail Stores, Standard 1.6, Licensees must notify the Registrar in accordance with the ***Notification Requirements***.

The minimum notification obligations listed herein are not intended to negate ongoing, open and transparent communication between Cannabis Retailers and the AGCO. In instances where reporting is not mandatory, Licensees must use sound judgment and discretion to determine circumstances requiring notification.

Incident notifications provided by the Licensee, under this document, shall, within the stated timeframe or a reasonable timeframe for items 7 and 8, include the following information at a minimum:

- a) Date, time and location of incident
- b) Description of incident
- c) Reference applicable section from the Requirements document
- d) Contact information of who we should contact
- e) Any actions taken to correct the cause of non-compliance and prevent similar incidents from occurring in the future.

AGCO Cannabis Reporting Requirements

No.	Requirement	Description	Risk Theme	Regulatory Authority	Notice Timeframe
1.	Change or Termination of Retail Manager for cause	Any change or termination of the Retail Manager assigned to the retail store including the name of the replacement, where applicable.	Security and Product Integrity	CLA 4(6)4, CLA 5(1), CLA 5(4), CLA 25(2)	1 business day
2.	Change of Officers, Directors or Partners	Any change in the officers or directors of the corporation or any change in the membership of the partnership.	Entity Level	Standard 1.7, 1.8	30 business days
3.	Operator Organizational Chart – Cannabis	Operators must provide the Registrar with an organizational chart showing key reporting lines and relationships and shall ensure that it remains up to date. This includes changes to partnerships and agreements and should be reflected in the up-to-date organizational chart. Note: This reporting requirement only applies to corporate entities.	Entity Level	Standard 1.2	30 business days
4.	Lost or Stolen Product	Any incident of lost or stolen product and/or cannabis accessories discovered outside of the weekly inventory counts.	Participation of the Illicit Market Prevention of unlawful activity	Standard 1.1, 2.2	1 business day
5.	Incidents Reported to the Police	Any incident involving or reported to the police related to the retail store.	Entity Level	Standard 1.1, 1.2	1 business day
6.	Incident in Other Jurisdictions – Cannabis	Regulatory, criminal, or other disciplinary action, including ongoing investigations, taken in other jurisdictions. Note: This applies to the Licensed Retail Operator as well as corporate officers and directors.	Entity level Participation of the Illicit Market and Prevention of unlawful activity	CLA Reg 1, 2, 4, 13	5 business days
7.	Changes to Store Layout	Any changes or renovations to the store.	Security and Product Integrity	Standard 2.1, 2.2, 2.4, 2.5	Within 15 days of the changes
8.	Failure and Subsequent Restoration of Surveillance System	Any failure of the retail store's surveillance system. Specifically, the date and time it failed and when it was restored.	Security and Product Integrity Inventory Tracking & Record Keeping	Standard 2.1	When the surveillance system operation fails and when it has been restored
9.	Charges, Convictions or Findings of Guilt under any Legislation	Any charges, convictions, or findings of guilt under any legislation with respect to (i) the authorized store, (ii) the holder of the licence, (iii) a manager, (iv) a person interested in the holder of the licence.	Entity Level	Standard 1.1	5 business days
10.	A retail store is closing permanently or temporarily	A retail store authorization is closing permanently or temporarily.	Security and Product Integrity Inventory Tracking & Record Keeping	CLA Sec. 24(1)(2)	1–5 business days
11.	Minors accessing a store and/or purchasing	Any incident involving access to the store interior by a minor or attempted purchase by a minor	Access by Minors and Prohibited Individuals	Ontario Regulation 468/18 – Section 20. (1) CLA Sec. 7	1 business day

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No.	Requirement	Description	Risk Theme	Regulatory Authority	Notice Timeframe
12.	The security of customer or credit card data is compromised	Credit card or customer data is compromised for the following reasons: <ul style="list-style-type: none"> The Click and Collect, POS system, or any other system containing customer data and credit card data is compromised. Customer data and credit card data is lost or stolen 	Entity Level Security and Product Integrity	Standard 8.3 & 8.4	Immediately
13.	Change in Point of Sale, inventory tracking, "Click and Collect" systems	Any implementation of new Point of Sale, inventory tracking, "Click and Collect" systems	Inventory Tracking & Record Keeping	Standard 8.3, 8.4	7 business days prior to implementation
14.	Monthly Regulatory Reporting There are 5 report types that need to be considered monthly. All 5 exist as separate worksheet tabs in the "Integrated Cannabis Retail Report" spreadsheet.	1) Federal - Licensees must ensure that they properly track, report, and submit inventory data to the AGCO on a monthly basis to be used for regulatory compliance monitoring. This report also satisfies Licensee's obligations to comply with inventory tracking requirements for the National Tracking System. Completion of the worksheet template tab labelled "Federal" in the "Integrated Cannabis Retail Report" is required.	Inventory Tracking & Record Keeping Participation of the Illicit Market and Prevention of unlawful activity Entity Level	Standard 8.1.7	By 11:59pm on the 5th day of each calendar month
		2) Monthly Sales - Licensees must track, report, and submit all sales transactions of cannabis products to the AGCO on a monthly basis to be used for regulatory compliance monitoring. Completion of the worksheet template tab labelled "OCS Sales" is required.		Standard 8.1.7	
		3) Inventory Adjustments - Identification of any discrepancies between the result of monthly physical count of cannabis products and the related quantities per record. This report is required if inventory discrepancies are identified in the reporting month.		Standard 8.1,8.2	
		4) Destructions - Report on all destroyed cannabis products during the month. This report is required if cannabis destruction occurred in the reporting month.		Standard 3.4	
		5) Inter-Store Transfers (incoming and outgoing) - Product transfers between a Licensed Operator's retail stores. Report on all cannabis transferred from one authorized retail store to another authorized retail store operated by the same Licensed Operator. These reports (found on separate template tabs and in designated columns in the Federal Report template) are required if product transfers have taken place in the reporting month.		Standard 4.2	