

Records Checklist - For CDFA Licensees	
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Resource Type	Record-keeping requirements checklist
Licensee Type	California Department of Food and Agriculture (CDFA) Licensees: Cannabis Cultivators, Nurseries, and Processors
About this Resource	You are required per CDFA regulation to keep certain records. Use this document as a checklist as you create or audit your record-keeping system. Your records may be organized by different categories or labels. That's ok, as long as you know where things are. The regs are linked below; reference them as needed.
Disclaimer	The information contained in this checklist is for general, informational purposes only. It is not legal advice, individual advice specific to your situation, or any other kind of advice. For personalized guidance, call your favorite cannabis consultant or attorney.
Source	"CDFA Regs" California Code of Regulations, Title 3, Division 8
General Information	CDFA may conduct inspections, investigations, and audits of records to determine compliance.
	All records are subject to CDFA review during standard business hours (8am-5pm Pacific Time) or at any other reasonable time as mutually agreed to by CDFA and the licensee. Prior notice to review records is not required.
	Keep records, electronically or otherwise, on the premises of the licensed location and in a manner that allows records to be examined at the licensed premises or delivered to the CDFA upon request.
	Store records in a secured area where they are protected from debris, moisture, contamination, hazardous waste, fire, and theft.
	Keep records for seven years from the date the document was created, unless otherwise specified.
	Records shall be legible.
LINKS	<a href="#">--&gt; Take me to the CDFA Regulations &lt;--</a>
	<a href="#">--&gt; Take me to the Business and Professions Code (BPC) &lt;--</a>

**List of Required Records**

#	Short Description	<input checked="" type="checkbox"/>	Detail	CDFA Regs Section(s) (unless otherwise noted)
1	Business, Financial, and Legal Records	<input type="checkbox"/>	CDFA issued state license(s). Display the valid license prominently on the licensed premises.	8400, 8304, 8305, 8306, 8307
2		<input type="checkbox"/>	All permits, licenses, and other authorizations to conduct the licensee's commercial cannabis activity.	
3		<input type="checkbox"/>	Cultivation plan.	
4		<input type="checkbox"/>	All records evidencing compliance with the environmental protection measures pursuant to CDFA Regs Sections 8304, 8305, 8306, and 8307.	
5		<input type="checkbox"/>	Financial records related to the commercial cannabis activity, including bank statements and tax records.	
6		<input type="checkbox"/>	Contracts.	
7		<input type="checkbox"/>	Purchase orders.	
8		<input type="checkbox"/>	Other records or documentation required to be kept pursuant to applicable statutes or regulations.	
9		<input type="checkbox"/>	Things submitted to, and/or received from, state and local authorities. (Recommended)	
10		<input type="checkbox"/>	Other correspondence with state and local authorities, including emails, phone call notes, notes related to inspections, etc. (Recommended)	
11		<input type="checkbox"/>	A log and notes to keep track of inspections conducted by state and local authorities. (Recommended)	8500
12	Sales & Transfers	<input type="checkbox"/>	Prepare a sales invoice or receipt for every sale or transfer of cannabis or non manufactured cannabis product to another licensee. These may be retained electronically but must be readily accessible for examination by CDFA, other state licensing authorities, any state or local law enforcement authority, and the California Department of Tax and Fee Administration. See BPC Section 26161 and CDFA Regs Section 8401 for the list of information that must be included on sales invoices and receipts.	8401 BPC 26161
13	Inventory Control	<input type="checkbox"/>	All UIDs assigned to product in inventory and all unassigned UIDs. UIDs associated with product that has been retired from the track-and-trace system must be retained for six (6) months after the date the tags were retired.	8400
14		<input type="checkbox"/>	Use the track-and-trace system for all inventory tracking activities at a licensed premises, including, reconciling all on-premises and in-transit cannabis or non manufactured cannabis products inventories at least once every thirty (30) calendar days. Retain associated records.	8406
15	Track and Trace System Records	<input type="checkbox"/>	Use the track-and-trace system for recording all applicable commercial cannabis activities, including the disposition of immature and mature plants, non manufactured cannabis products on the licensed premises, any transfers associated with commercial cannabis activity between licensees, and cannabis waste. Keep all supporting documentation for data or information entered into the track-and-trace system.	8402, 8405
16		<input type="checkbox"/>	If you lose access to the track-and-trace system for any reason, prepare and maintain comprehensive records detailing all required inventory tracking activities conducted during the loss of access. Once connection is restored, follow steps in Section 8402(e).	
17		<input type="checkbox"/>	Maintain an accurate and complete list of all track-and-trace system users and update the list immediately when changes occur.	
18	Waste Records	<input type="checkbox"/>	Maintain accurate and comprehensive records associated with composting or disposal of cannabis waste.	8308, 8400, 8402
19		<input type="checkbox"/>	If waste is collected by a third party: (1) Maintain and make available to CDFA upon request the business name, address, contact person, and contact phone number of the entity hauling the waste; and (2) Obtain documentation from the entity hauling the waste that evidences subscription to a waste collection service.	8308
20		<input type="checkbox"/>	If self-hauling: For each delivery of cannabis waste, keep a copy of a certified weight ticket or receipt from the solid waste facility.	8308
21	Batch Testing Results	<input type="checkbox"/>	Keep a copy of the Certificate of Analysis (COA) for each harvest batch after regulatory testing is complete (recommended).	8211
22	Personnel & Training Records	<input type="checkbox"/>	Personnel records, including each employee's full name, social security number or individual taxpayer identification number, date of employment, and, if applicable, date of termination.	8400
23		<input type="checkbox"/>	Records related to employee training for the track-and-trace system or other regulatory requirements. Records shall include, but are not limited to, the date(s) training occurred, description of the training provided, and the names of the employees that received the training.	

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