

Guide to Submitting a Statement of Deficiencies Response and the Required Documentation:

*A licensee must receive a letter from the department to submit a deficiency response.

After an inspection is completed, the licensee will receive a Deficiency Report letter from the Cannabis Control Division. If no deficiencies are identified, a report will still be issued but there will be no deficiencies noted.

The licensee is required to respond to the deficiencies through a Statement of Deficiencies Response application via the <u>TransAction Portal (TAP)</u>. Completion of this application must be within 10 days of receipt of the report.

If a response from the licensee is not received within the 10 days, the department will assume that the deficiencies have not been corrected. Failure to correct all deficiencies and submit required materials in a timely manner may result in potential department action.

- The licensee is required to respond to each deficiency and submit the response application in the <u>TransAction Portal (TAP)</u>.
- Each deficiency must be responded to and supporting documentation must be uploaded with a detailed description to easily identify the deficiency being addressed.
- To support the claim that each deficiency has been corrected, the licensee will submit documentation in the form of photos, documents, or other attachment(s) within the application.
- A follow-up inspection may be completed to verify the licensee's Plan of Correction

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<u>Please NOTE</u>: Your online session will timeout after 45 minutes of inactivity. Please save your work if you will be away from your computer.

Instructions:

- 1. Log into your <u>TAP</u> account.
- 2. On the Cannabis License section, click on More...
 - > Make a Payment
 - New Cannabis License
 - View Sites, Application Summaries, and Payments

> More...

3. Under the Account Options select "Submit a Statement of Deficiencies Response". (This will only appear after the Deficiency Report letter has been issued.)



Account specific forms/applications.

- Submit Packaging and Labeling Application
- View Packaging and Labeling Status

Submit a Statement of Deficiencies Response

- Update Owners and Ownership Percentages
- Update a Dispensary, Manufacturer, Cultivator and/or Transporter License
- > Send Us a Message

4. Enter the Letter ID from the Deficiency Report letter and click next.

Please enter the letter ID from your deficiency letter.				
* Letter ID Required				
Cancel Save Draft	<	Previous	Next	>

5. Confirm the Licensee, DBA (if stated), Letter Date, and Letter ID information is correct. There are instructions and information for assistance if needed as well. For guidance contact your inspector or the Education Specialists.

Statement of Deficiencies Response	
Licensee	
DBA	
	Letter ID dressed by the licensee with this Statement of Deficiencies Response. Licensee will input the reference rul
ach item from your deficiency report must be individually ad r law (for example: 16-12-104, MCA, ARM 42.39.118) and, in	
ach item from your deficiency report must be individually ad r law (for example: 16-12-104, MCA, ARM 42.39.118) and, in nd/or photos are required to verify deficiencies are adequate III deficiencies must be corrected and the completed state he corrections, within 10 calendar days of the deficiency of	dressed by the licensee with this Statement of Deficiencies Response. Licensee will input the reference rul the response box, what was done to bring the observed item into compliance. As applicable, documents

6. Each deficiency cited will appear numbered. These numbers are the same as the letter sent. (Hint: have a copy of the letter available to reference, and for the notes pertaining to each deficiency.)

🛿 Responses 🖲 No. 1 🖲 No. 2 🕘 No. 3 🖲 No. 4 🕘 No. 5 🕤 No. 6 🕘 No. 7 🕘 No. 8 🕘 No. 9 🕘 No. 10 🕘 No. 11 🕘 No. 12 🔌

Sho	ow Errors			
N	lo Category	Site ID	Citation	Description of Deficiency Date Corre
D	1 Advertising	C-100295-001	, D- 42.39.123(9)(f)	use objects such as toys or inflatables, movie or cartoon characters, or an st
D	2 Advertising	C-100295-001	, D- 42.39.123(9)(g)	use or employ a commercial mascot outside of, and in proximity to, a lice $\boldsymbol{\ast}$
D	3 Advertising	C-100295-001	, D- 42.39.123(10)	The prohibition in (9)(c) does not prohibit the use of informational pamp \ast
	4 General Facilitie	s C-100295-001	, D- 16-12-104(3)	A licensee may not cultivate hemp or engage in hemp manufacturing at ϵ *
D	5 General Facilitie	s C-100295-001	, D- 16-12-104(6)	A license issued pursuant to this chapter must be displayed by the license st

 Each deficiency must be responded to. When you select the deficiency number, the deficiency cited will be at the top. Below is the Number, Category, Site ID (multiple sites might be cited), Inspector, Inspection Date, Address, Citation Number, Description of Deficiency, Date Corrected, and Response/Steps taken to correct.

• Responses • No. 1 • No. 2 • No. 3 • No. 4 • No. 5 • No. 6 • No. 7 • No. 8 • No. 9 • No. 10 • No. 11 • No. 12 • No. 13

No. 1 : 42.39.123(9)(f) - use objects such as toys or inflatables, movie or cartoon characters, or any other depiction or image likely to be appealing to youth, where the objects, images, or depictions indicate an intent to cause youth to become interested in the purchase or consumption of marijuana products;

No. 1	Category Adv	Site ID C		
Inspector Amanc			Inspection Date	
Address 9220 E				
Citation 42.39.123(9)(f)	Description of Deficiency use objects such as toys or inflatables, mov	ie or cartoon characters, or any other depic	Date Corrected * <i>Required</i>	Ē
Response/Steps taken to correct				
Required				
		9		
Cancel Save Draft			< Previous	Next >

8. The red asterisks indicate the fields that must be filled out to complete each deficiency response.

Citation	Description of Deficiency	Date Corrected *	
42.39.123(9)(f)	use objects such as toys or inflatables, movie or cartoon characters, or any other depic	Required	
Response/Steps taken to correct *			
Required			

9. Once each deficiency is responded to, all the red exclamation marks ¹ will disappear. You can go back to "Responses" to review each deficiency and the date you chose for when it was corrected. If you would like to go back to that specific deficiency, you can click on the pencil icon [^] to be directed back to the response.

Responses	No. 1	No. 2	No. 3	No. 4	No. 5	No. 6	No. 7	No. 8	No. 9	No. 10	No. 11	No. 12	No. 13
No Category	Sit	e ID	Citatio	on			Description o	f Deficiency					Date Corrected
🧨 1 Advertising	C-	100295-001,	D-10 42.39	123(9)(f)			use objects s	uch as toys o	or inflatables	, movie or ca	rtoon charact	ers, or any ot	her der 22-Feb-2023
✓ 2 Advertising	C-	100295-001,	D-10 42.39	123(9)(g)			use or emplo	y a commer	cial mascot (outside of, an	d in proximity	/ to, a licensed	d marijı 22-Feb-2023

10. Once you have addressed each deficiency, click "Next" to move onto uploading documents.

🧪 13 W	c-100295-001, D-10 42.39.310(3)	Waste that must be rendered unusable prior to disposal includes:	22-Feb-2023
Canc	Save Draft		Previous Next >

11. Here you will upload documents to support your corrected deficiencies. You will click on "Supporting Documents (Deficiency Response)" or "Add" to upload each document.

Instructions									
Instructions: The table below conta The first column contains the it The second column contains the The third column contains the Step 1: Attach an item by clicking the Step 2: Select the item type from the	em name. e number of items that number of items that ar ne Add Attachment but ne drop-down list and a	are required. e attached. ton or by clicking the							
You may attach additional items if necessary.									
Documents and photographs are	required to verify cure	ed deficiencies.							
 For additional information on re 	equired attachments visi	t the CCD web page: (Click here						
Required Attachments									
Item Name					Number Requ	ired N	lumber Attach	ed	ОК
Supporting Documents (Deficiency Re	sponse)					0		0	
Attachments									Add
Туре	Name		Description		Size				
There are no attachments.									
Cancel Save Draft						<	Previous		Next >

12. In the description for the attachment, state the deficiency number the file is referring to. If multiple files are being uploaded for one deficiency, number each one in the description as well. Example below:

_{Type} Supporting Documents (Deficienc	y Response)	
Supporting Documents (Deficienc	y Response)	
	<i>y</i> , <i>y</i>	~
Description		
No. 1 - 1 of 3		
File *		
Choose Files No file chosen		

- 13. To submit video files, licensees must use the <u>Montana File Transfer Service</u>. For instructions on how to submit files through the Montana File Transfer Service, go to <u>https://transfer.mt.gov/Home/Instructions</u>. The files that are able to be sent are below:
 - Windows Media Formats (.asf, .wma, .wmv, .wm)
 - Audio Visual Interleave (.avi)
 - Moving Pictures Experts Group (.mpg, .mpeg, .m1v, .mp2, .mp3, .mpa, .mpe, .m3u)
 - MP4 Video file (.mp4, .m4v, .mp4v, .3g2, .3gp2, .3gp, .3gpp)
- 14. Once all the supporting documents have been uploaded, click "Next" to affirm, sign, and submit your deficiency response.

I declare under penalty of false swearing that the information pro	vided is true, correct, and complete.	
* By checking this box, I agree to the above statement(s).		
* Full Name	Date	
Required	22-Feb-2023	

15. After you click "Submit" you will have to enter your password and click okay.

Confirmation		×
This action will send your application to the Cannabis Control Division (CCD).		
Please ensure all information is correct before continuing. Once your submission has been processed, you will be unable to make c Password * Required	nanges to it withou	t contacting CCD.
	Cancel	ок

16. To view your responses after you have submitted, click "More..." from the top options and click on "Search Submissions".

Favorites Summary Action Center Setting	gs <mark>More</mark>	
Q What are you looking for?		
Registration Options Options for registering more accounts.	✓ Submissions Search for previous submissions.	View/manage letters and messages.
 Register to Upload W2, 1099, or Withholding Files Register for a New Tax Account Register for Personal Property Reporting 	Search Submissions	View LettersView Messages

17. Then you will click on the title of the submission. No changes can be made once you have submitted your deficiency responses.

Pending Processed Rejected										
Submissions Filter										
Date	Title	Account	Account ID	Period	Confirmation Number					
22-Feb-2023	Cannabis Statement of Deficiency Response	Cannabis License	7003446-003-CAL		1-627-673-344					

18. If you cannot complete your deficiency responses in one session, you can save a draft and complete it later. To save, click "Save Draft" at the bottom of the screen.



19. Enter your password and click "OK".

Confirmation

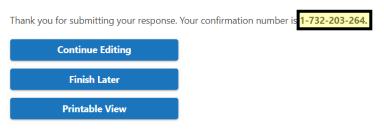
 \times

You have asked to save your application. The information you entered will be stored until you complete and submit your application.

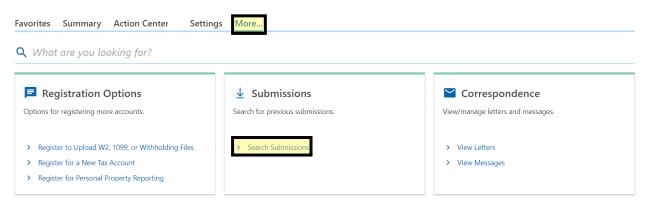
equired	

20. A confirmation number will be provided, and options to continue, finish later, or print view.

Saved



21. To access saved drafts, click on "More..." at the top of the main screen and click on "Search Submissions".



22. On the "Draft" tab, confirm that the confirmation number is the same one provided when you saved the draft. Click on the title of the submission to access your saved deficiency response.

Draft	Pending	Processed F	Rejected						
Submissions									
Date	Title			Account	Account ID	Period	Confirmation Number		
22-Feb-2		nabis Statement of I oonse	Deficiency	Cannabis License	7003446-003-CAL		1-732-203-264		

23. Your deficiency response will be submitted to the Cannabis Control Division for review. A Deficiency Follow-up letter will be sent to address each deficiency that was cured of uncured. **Once the follow-up letter is sent, you cannot submit anymore responses or changes to the deficiencies cited.**

Forms, Helpful Tips:

- Contact information: <u>Inspectors</u> and <u>Education Specialists</u>
- CCD Inspection Checklist
- For other information pertaining to licensee inspections, visit our CCD Inspection link
- Questions? Call (406) 444-0596 and press Option 5 to be connected to the education specialists or email <u>DORCCDEducation@mt.gov</u>.