



OCAL UNCERTIFIED HANDLER AFFIDAVIT

Find all forms at www.ccof.org/documents. Send completed forms to inbox@ccof.org.

- ▶ This form pertains to OCal System Plans. If you are certified by CCOF as organic rather than OCal, refer to the [Exempt Handler Affidavit](#) instead for incorporation into your Organic System Plan.
- ▶ This form should only be completed by uncertified handlers of OCal cannabis. Uncertified operations that store and/or supply non-cannabis organic product to a certified-OCal operation should instead complete the [Exempt Handler Affidavit](#).

This affidavit is required for any of the following:

- Uncertified storage facilities used by CCOF operations to store unsealed OCal cannabis product or OCal cannabis product in permeable packaging.
- Uncertified brokers, traders, wholesalers, distributors, or importers who take title or physical possession of OCal cannabis products supplied to CCOF certified OCal operations.

This affidavit is not required for:

- Uncertified storage-only facilities used by CCOF operations to store sealed OCal cannabis products or OCal cannabis products product in impermeable packaging.
- Commission/fee brokers who do not take title or physical possession of OCal cannabis products.
- Uncertified handlers supplying OCal cannabis products in sealed, impermeable containers with final retail labeling that identifies the OCal status and original certified producer.
- Private label owners who purchase OCal cannabis ingredients that are shipped directly from a certified supplier to a certified co-packer, and shipping documentation links to certified supplier.

CCOF operations must work with their purchasing department to determine if uncertified suppliers are used.

- ▶ Uncertified operations that store and/or supply non-cannabis organic product to a certified-OCal operation should complete the [Exempt Handler Affidavit](#). Copies of the Exempt Handler Affidavit must be kept by both the CCOF certified operation and the uncertified handler entity. That affidavit and any sample audit trail records will become part of the CCOF certified operation's OCal System Plan (OSP).
- ▶ Uncertified handlers of OCal cannabis products must answer the questions below. A new affidavit is required only if there is any change in the future, including a change in management of the uncertified handler.
- ▶ Copies of the OCal Uncertified Handler Affidavit (UHA) must be kept by both the CCOF certified operation and the uncertified handler entity. This affidavit and any sample audit trail records will become part of the CCOF certified operation's OCal System Plan (OSP).
- ▶ CCOF certified operations will be billed an initial and annual fee for each OCal Uncertified Handler Affidavit and Organic Exempt Handler Affidavit, outlined in the CCOF Certification Services Program Manual. CCOF certified operations can avoid this fee by sourcing from certified handlers.

3 CCR § 10102 does not require certification of licensed commercial cannabis operations that do not handle cannabis products to be labeled, sold or represented as OCal if: (1) OCal products are packaged or otherwise enclosed in a container prior to being received or acquired, and (2) OCal products remain in the same package or container and are not repacked or re-labeled while in the control of the uncertified handler, except for Bureau sampling.

Uncertified handler operation name: _____

Manager/Owner: _____

Email: _____

Phone: _____ Website: _____

Address: _____

Activities (check all that apply):

- Dry storage Cold storage Freezer storage Broker Trader Wholesaler Distributor
- Other (Describe): _____

A. Uncertified Handler Eligibility

The uncertified handler must answer the questions below. For uncertified brokers, traders, wholesalers, distributors, or importers who use uncertified storage locations, answers below must reflect activities at uncertified storage locations as well as your own activities. If unclear, CCOF may require that your uncertified storage location also complete this form.

- | | Yes | No |
|---|--------------------------|--------------------------|
| 1) Do you ever handle any OCal cannabis products that are not enclosed in a package or container when you receive them? | <input type="checkbox"/> | <input type="checkbox"/> |
| a) If yes, describe: | _____ | |





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- 2) Do you ever combine or split loads of bulk/unpackaged products?
3) Do you ever open packages or containers of OCal cannabis products, other than for product sampling?
4) Do you ever relabel, package, or apply any label that obscures the original label or lot number/code?
5) Do you ever repack, sort, recondition, cull, ice, hydro cool, hydro vacuum, or otherwise process OCal cannabis products in any way?
6) Do you ever apply any substance to the OCal product including water, ethylene, or controlled atmosphere treatment?
7) Does OCal product ever contact cleaners, sanitizers, pest control materials, non-OCal cannabis products or nonorganic products, water that has contacted non-OCal or nonorganic products, or other prohibited materials while under your control?
8) Is the OCal cannabis product packaged or enclosed in a container prior to being received and does it remain in that enclosed container while under your control, other than for product sampling?
9) Broker, trader, wholesaler, distributor, importer - Describe how frequently you change OCal suppliers:
10) Do your audit trail records for each shipment include the information described in section B below? You may attach sample documents to demonstrate your system; all records must be provided to the CCOF certified operation and will be verified during CCOF inspections. If you have an alternative way to provide a complete traceback to the last certified handler, attach a description.
If your audit trail records do not trace back to the last certified OCal operation, the CCOF certified operation will not be able to source from you until you improve your records.

To be excluded from certification, the answer to questions 1-7 must be "NO", questions 8 and 10 must be "YES." Question 9 must be complete for brokers, traders, wholesalers, distributors, and importers.

B. Audit Trail Records

CCOF certified OCal operations may only source from uncertified handlers who provide full supplier traceability back to the last certified OCal operation for each shipment. We find the following to be essential for traceability:

- 1) Purchase invoices, BOL, and other audit trail records must:
- Designate products as OCal AND
- Include a description of the product and amount transferred. You may strike out pricing information, provided that OCal status and quantity is legible.
2) Uncertified handler records and the last certified operation's records must link:
- The last certified operation must be listed on invoices AND/OR
- Lot numbers applied by the last certified operation must match lot numbers on uncertified handler audit trail records.
3) For each shipment, uncertified handlers must provide a complete and current OCal certificate for the last certified operation.
4) Documents generated by the last certified operation proving purchase, delivery, and/or transfer to the uncertified handler must be provided to the CCOF certified operation.
- Uncertified handler audit trail records must link directly back to the last certified operation, including transport, storage, processing/handling, shipping, and/or distribution. Documents must show that OCal integrity was maintained; OCal products did not come into contact with non-OCal or nonorganic products or prohibited materials such as fumigants.
5) All certified suppliers must be approved by CCOF as part of the certified operation's OCal System Plan (OSP). Notify your CCOF certified buyer prior to changing suppliers.

CCOF certified operations must maintain records sufficient to demonstrate compliance. If CCOF inspectors cannot track OCal product back to the last certified operation, sourcing OCal products from the uncertified handler may be considered a noncompliance.





C. Uncertified Handler Statement

I, the owner or legally authorized representative, attest that I am qualified to assess the validity of the statements in this affidavit and the statements are true and accurate to the best of my knowledge.

I acknowledge the above requirements for audit trail records and disclosure to the CCOF certified operation and understand that failure to meet the audit trail record requirements or disclose records to the CCOF certified operation may be cause for CCOF to rescind approval of my operation as an approved uncertified OCal handler and may be cause for compliance action against the CCOF certified entity.

Name (Manager/Owner of Uncertified Handler)

Signature

Date

Certification of broker/trader/wholesaler/distributor/importer/storage facilities is straightforward and allows you to protect the identity of your suppliers. Visit www.ccof.org to apply for certification. Questions about the certification process? Email getcertified@ccof.org.

CCOF reserves the right to inspect any facility storing or handling OCal product owned by a CCOF certified operation per 3 CCR §10500, and 17 CCR §22115. If the uncertified handler misrepresents policies or procedures as stated on this affidavit or acts in a manner that might jeopardize OCal integrity or tracking of the OCal product, the CCOF client using the uncertified handler will be notified. The CCOF client will be held responsible for correcting any noncompliance issues. CCOF will report uncertified handlers who are not excluded to the CDFA and/or CDPH as applicable, for investigation and potential civil penalties.

