



SECTION 6 Risk management, employment procedures and record keeping details module

Application for a licence under the *Narcotic Drugs Act 1967*

Important notice

This module forms one of a series of specific parts making up an application for a licence under the *Narcotic Drugs Act 1967*. This module must be attached and submitted along with all other parts in order to form a materially complete application.

Information required

This module requests information relating to risk management, employment procedures and record keeping practices; which form a part of the requirements to be met in order for the grant of a licence to be considered.

Risk management planning

A risk management plan:

- must be supplied by all applicants seeking the grant of a licence to cultivate cannabis plants, produce cannabis or cannabis resin for medicinal or research purposes and/or manufacture drugs.
- should be developed and implementable at the time of the application.
- must focus on risk management around the proposed activities to be licensed.

Important note: There is no prescribed format for the risk management plan and each must be set to meet the needs of the business as intended in the application. Your risk management plan should be a comprehensively documented plan that:

- identifies and documents foreseeable risks that could result in diversion
- estimates the impacts if those risks were to be realised
- defines mitigating steps to (prevent) reduce the risk of those risks being realised
- specifies the persons, resources and steps needed
- defines responses to lessen the impact of the risk should the event occur despite mitigation.

Frequently, a risk assessment matrix is employed as a tool to grade the severity of the potential risk and to set the intensity of the mitigation steps accordingly.

Publications to assist risk management planning:

- 1 Australian Commonwealth Government business information portal guidance on risk management <https://www.business.gov.au/Info/Run/Risk-management>
- 2 Australian Standards:
AS/NZS ISO 31000:2009 - Risk management – Principles and guidelines
HB167:2006-Security risk management
HB 327:2010-Communicating and consulting about risk

6.1 Risk management plan



Attach your proprietary risk management plan, labelling this document "Risk management plan".

Identify the file name of the relevant attachment

Record keeping

Detailed guidance on the information required to complete this section can be found on the Office of Drug Control website at www.odc.gov.au. **Please refer to your licence selection in Section 4.** You are required to complete the element below that corresponds with your licence selection, e.g. the questions under **Medicinal cannabis licence** should be answered if this application is seeking a medicinal cannabis licence.

6.2 Medicinal cannabis licence – record keeping

Provide details of the arrangements that will be in place to record each of the following:

- The amount of cannabis plants that the applicant cultivates or obtains during the period of the licence.
- The amount of cannabis plants that the applicant maintains for the purposes of propagation during the period of the licence.
- The amount of cannabis and cannabis resin that the applicant produces and stores during the period of the licence.
- The amount of cannabis plants, cannabis or cannabis resin that the applicant supplies, during the period of the licence to the holder of a manufacture licence, or a medicinal cannabis licence that authorises production of cannabis or cannabis resin.
- The amount of cannabis plants, cannabis or cannabis resin that the applicant destroys or disposes of during the course of the licence.

If you need more space to clearly answer this question, attach a separate sheet labelled appropriately.



If you are attaching a separate document(s) containing this detail, label the appropriate section "Medicinal cannabis licence – record keeping" and indicate which sections of the document relate to this information requirement.

Identify the file name of the relevant attachment

6.3 Cannabis research licence – record keeping

Provide detail of the arrangements that will be in place to record each of the following:

- The amount of cannabis plants that the applicant cultivates or obtains during the period of the licence.
- The amount of cannabis plants that the applicant maintains for the purposes of propagation during the period of the licence.
- The amount of cannabis and cannabis resin that the applicant produces and stores during the period of the licence.
- The amount of cannabis plants, cannabis or cannabis resin that the applicant destroys or disposes of during the course of the licence.
- The amount of cannabis plants, cannabis or cannabis resin that the applicant supplies, during the period of the licence to the holder of a manufacture licence, or a medicinal cannabis licence that authorises production of cannabis or cannabis resin.

If you need more space to clearly answer this question, attach a separate sheet labelled appropriately.



If you are attaching a separate document(s) containing this detail, label the appropriate section “Cannabis research licence – record keeping” and indicate which sections of the document relate to this information requirement.

Identify the file name of the relevant attachment

6.4 Manufacturing licence – record keeping

Provide detail of the arrangements that will be in place to record each of the following:

- The quantities of drugs that the applicant manufactures under the licence.
- The amount of starting material in the possession of, or under the control of, the applicant at any time for the manufacture of drugs under the licence.
- The amount of drugs or starting material that the applicant destroys or disposes of during the course of the licence.

If you need more space to clearly answer this question, attach a separate sheet labelled appropriately.



If you are attaching a separate document(s) containing this detail, label the appropriate section “Manufacturing licence – record keeping” and indicate which sections of the document relate to this information requirement.

Identify the file name of the relevant attachment

6.6 Employment details

Detail the procedures the applicant will have in place to engage suitable staff

Include in your response procedures to ensure:

- the person is aged 18 years or over
- the person has not been convicted of a serious offence during the period of 5 years before the employment or engagement
- the person is suitable as prescribed under the regulation in relation to drug use, bankruptcy and relevant prior convictions.

If you need more space to clearly answer this question, attach a separate sheet labelled appropriately.

6.7 Provide details of the senior person in charge of activities that are to be authorised by the licence

Note: A copy of the National Police Check Certificate will be required for this person.

Name Given name(s):

Family name:

Date of birth

Has this person used a previous name? No Yes

If yes provide the name

Given name(s):

Family name:

Drivers licence number

Position held in company

Contact phone number

Current residential address

Town/Suburb

State

Postcode

Previous residential address

Town/Suburb

State

Postcode



Attach a scan of the certified copy of the National Police Certificate issued by the Australian Federal Police, State or Territory police force for the person identified above.

Identify the file name of the relevant attachment