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# Medical Marijuana Control Program cultivator licensing scoring analysis – Level 2 applications

State of Ohio Department of Commerce

April 28, 2020



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## **Limitations and report restrictions**

This report is not an assurance report or audit opinion, as those terms are defined by applicable standards. Further, EY’s services do not constitute an audit, review, examination, or other form of attestation as those terms are defined by applicable professional standards. Additionally, the procedures do not address the effectiveness of internal controls over financial reporting under Section 404 of the Sarbanes-Oxley Act.

Our work has been limited in scope and time, and we note that additional procedures may have identified additional findings. Our work cannot be relied upon to have identified all information or issues that may be of relevance or to have uncovered all potential errors, mistakes or omissions. EY is a public accounting firm and does not provide legal advice. With regard to findings relating to the Medical Marijuana Control Program (“MMCP”) cultivator licensing analysis, the State of Ohio Department of Commerce (“DOC”) should rely on its legal advisors to review these findings from a legal perspective.

This report is intended solely for the information and use of the DOC and its legal counsel, should not be relied upon by any other parties, and its distribution is subject to certain conditions.

## Introduction and scope

### EY's retention

EY was engaged by Squire Patton Boggs (US) LLP (“SPB”) to (1) perform an analysis of the scoring process relating to applications to receive licenses to cultivate medical marijuana under the State of Ohio’s program for medical marijuana and (2) if appropriate, recalculate the score received by individual applicants. Our engagement agreement, dated April 18, 2018, sets forth the terms of our engagement and the anticipated reporting of the results of our procedures. This report details our procedures performed and the associated findings from our work.

### Background

Effective on September 8, 2016, House Bill 523 legalized medical marijuana in Ohio. This bill established the basic framework for Ohio’s MMCP. The DOC, the State Medical Board of Ohio and the State of Ohio Board of Pharmacy are the three state government agencies responsible for the operation of this program. The DOC is responsible for overseeing cultivators, processors and testing laboratories. As part of this responsibility, the DOC implemented a licensing process to award cultivator licenses, including 12 Level 1 licenses and 12 Level 2 licenses. Level 1 licenses would authorize cultivators up to 25,000 square feet of cultivation area while Level 2 would authorize cultivators up to 3,000 square feet of cultivation area.<sup>1</sup> The MMCP required Level 1 applicants to certify they have at least \$500,000 in liquid assets, which are unencumbered and can be converted within 30 days and Level 2 applicants to certify they have at least \$50,000 in liquid assets, which are unencumbered and can be converted within 30 days.<sup>2</sup>

In April 2017, the DOC released application forms to the public so that qualified entities could apply for a cultivation license. In June 2017, the DOC accepted cultivator applications (Level 2 applications from June 5 – 16, 2017 and Level 1 applications from June 19 – 30, 2017). In total, the DOC received 109 Level 1 applications and 76 Level 2 applications.

To review and score the application contents, the DOC identified specialists with applicable experience to conduct the application review and scoring. The DOC engaged external consultants with technical expertise in the medical marijuana industry who assisted the DOC with the development of the cultivation application program and the scoring of applications received. Three external consultants were selected specifically to assist with the cultivation and quality assurance aspects of the program and to serve as part of the scoring teams to analyze and score the quality assurance and operations portions of the applications. The DOC also identified certain State of Ohio employees with experience and expertise in each of the five plan areas to

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<sup>1</sup> [https://www.com.ohio.gov/documents/mmcp\\_CultivatorScoringOverview.pdf](https://www.com.ohio.gov/documents/mmcp_CultivatorScoringOverview.pdf)

<sup>2</sup> MMCP 1B Liquid Assets Form – OAC 3796:2-1-03(A)(1), 3796:2-1-03(B)(5)(c)

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assist in scoring the applications. In total, 25 individuals were involved in the application scoring process, 22 of whom were State of Ohio employees.<sup>3</sup>

The method used to review and score applications was created by the DOC based on Ohio revised code (“R.C.”) Chapter 3796 and input and feedback from both external consultants and benchmarking discussions held with other states and regulators. During June and July 2017, the DOC and its external consultants updated and finalized the scoring approach and the associated documents to be used in the scoring process. This approach and methodology was consistent for both Level 1 and Level 2 applications.

On November 3, 2017<sup>4</sup>, the DOC announced 11 recipients of the Level 2 provisional licenses; one additional recipient of a Level 2 provisional license was announced on November 30, 2017, along with the announcement of Level 1 provisional licenses. The following listing includes 12 entities who were originally awarded Level 2 provisional licenses by the DOC as a result of the licensing process<sup>5</sup>:

Application #	Entity Name	Score <sup>6</sup>	Rank
MMCP-C-201706-0010	Fire Rock, LTD (Columbus)	178.92	1
MMCP-C-201706-0011	Fire Rock, LTD (Canton)	178.92	1
MMCP-C-201706-0012	Fire Rock, LTD (Akron)	178.92	1
MMCP-C-201706-0017	FN Group Holdings	176.76	2
MMCP-C-201706-0038	Mother Grows Best LLC	172.00	3
MMCP-C-201706-0035	OhiGrow LLC	168.76	4/5
MMCP-C-201706-0027	Ancient Roots LLC <sup>7</sup>	168.76	4/5
MMCP-C-201706-0066	Ohio Clean Leaf LLC (Dayton)	160.56	6
MMCP-C-201706-0075	Ohio Clean Leaf LLC (Carroll)	160.56	6
MMCP-C-201706-0057	Ascension Bio Medical	157.08	7
MMCP-C-201706-0013	Agri-Med Ohio LLC	156.60	8
MMCP-C-201706-0003	Paragon Development Group LLC	154.56	9
MMCP-C-201706-0076	Hemma LLC	151.28	10
MMCP-C-201706-0015	Galenas LLC	148.92	11
MMCP-C-201706-0025	Farkas Farms, LLC	143.08	12

<sup>3</sup> <https://www.com.ohio.gov/mmcp.aspx>

<sup>4</sup> <https://medicalmarijuana.ohio.gov/News?articleID=90>

<sup>5</sup> We are aware of the Department’s issuance of a 13<sup>th</sup> provisional license on July 19, 2018 per the R.C. Chapter 119 Administrative Procedure process described on page 6 of this report

<sup>6</sup> The score indicated in the chart above is the ‘Score AFTER Qualifiers’ from the DOC’s Original Score Workbook. This score is equal to the raw scores less any redaction and record keeping adjustments multiplied by the weighted scores for each individual plan. Lastly, each application must meet each of the minimum point thresholds to qualify for a ‘Score AFTER Qualifiers’.

<sup>7</sup> Ancient Roots LLC (MMCP-C-201706-0027) was the only Level 2 applicant that certified that it was owned and controlled by an economically disadvantaged group (EDG) as defined by Ohio R.C. Chapter 3796.09(C). Ancient Roots LLC was awarded a provisional license; however, the applicant was awarded a provisional license based solely on its Score After Qualifiers and not its EDG status.

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### **Disputes/legal proceedings**

A Notice of Intent to Deny Application for Medical Marijuana Cultivator Provisional License and Notice of Opportunity for Hearing was sent to every applicant that was not awarded a provisional license notifying the applicant that it was entitled to an administrative hearing under the R.C. Chapter 119 Administrative Procedure process (“119 Hearings”) to review and challenge the DOC’s intent to deny it a provisional license. Any applicant not awarded a provisional license had 30 days to request a hearing through the 119 Hearings process. In total, 67 Level 1 and 2 applicants initially requested a 119 Hearing based on the provisional licensing results.

## **DOC’s process for evaluating Level 2 applications**

### **Intake**

The DOC accepted applications for the provisional cultivator licenses, each application requiring the submission of two electronic copies on standard CD-R or DVD-R and one printed hardcopy, which was required to be identical to the electronic version. All applications were required to be hand-delivered to the MMCP. An electronic copy of each application was downloaded to the DOC’s Tumbleweed system, a secured document repository, and a secure copy of the application was maintained by the DOC in a locked, access-restricted storage room.

To facilitate an anonymous and impartial review of the applications, the DOC assigned each application a unique numerical ID so that reviewers would not have access to the entity names associated with any application. Each electronic application was then separated into Sections 1 and 2, with the individual plans required to be submitted in Section 2 being further separated to facilitate the independent review process. Section 2 scoring teams did not have access to Section 1 information.

### **Section 1 overview**

Section 1 included business entity and ownership data, which contained identifiable applicant information. Section 1 of the application was not scored as an individual section; however, select redacted Section 1 information was needed and communicated to the Business Plan and Financial Plan scoring teams in the form of a summary sheet with the corresponding application ID to be scored as part of Section 2. The Section 1 scoring teams indicated whether or not the applicants submitted the required Section 1 information and the Section 2 Business and Financial plan scoring team used the following nine criteria from the Section 1 summary sheet to award points in their Section 2 scoring: (1) Owners and Officers Roster Form, (2) Liquid Assets Form, (3) Financial Responsibility Insurance, (4) Financial Responsibility - Escrow/Surety, (5) Tax Payment Records Cover Page, (6) Business Entity and Contact Information Form – Secretary of State, (7) Property Owner Approval for Use Form, (8) Notice of Proper Zoning Form and (9) Organizational Chart Cover Page.

### **Redaction**

Prior to the distribution of Section 2 materials to the independent scoring teams, a redaction team reviewed Section 2 of all applications to confirm that any identifiable information was either omitted or redacted, as the application instructions indicated identifiable information should not be included in Section 2. After the redaction process was complete, a redacted copy of each portion of the Section 2 applications was uploaded by one of the MMCP Program Administrators to Tumbleweed, for the Section 2 scoring teams to analyze.

## Section 2 overview

Section 2 of the cultivator application required submission of five distinct plan documents:

- Business Plan
- Financial Plan
- Operations Plan
- Quality Assurance Plan
- Security Plan

Each Section 2 scoring team consisted of three reviewers per team; two teams included a mix of external consultants and State employees, according to the level of industry expertise necessary to analyze the plans. The Business and Financial Plans were reviewed by the same Section 2 scoring team. Each of the other plans were reviewed by a scoring team that focused solely on that plan. The following summarizes the composition of the Section 2 scoring teams:

- Business/Financial Plans - 3 State employees
- Operations Plan – 2 external consultants, 1 State employee
- Quality Assurance Plan – 1 external consultant, 2 State employees
- Security Plan – 3 State employees

Each scoring team received only those sections of the applications applicable to their review topic through uniquely assigned folders set up in Tumbleweed. The Tumbleweed folders had access restrictions assigned to them, and scoring teams were not provided access to any plans other than those which they were responsible for reviewing. The scoring teams were also instructed to not perform additional research outside of the documentation that was provided to them. The scoring teams worked in batches of 10 applications at a time to manage the volume of applications to be reviewed.

Using feedback from scoring teams, which included external consultants, the DOC developed scoring sheets for each plan based on the requirements of the plan and the consultants' industry knowledge. A score sheet was created for each sub-section within each plan with specific criteria for that sub-section. The lower portion of the scoring sheet contained a scoring rubric, which was used to calculate the points to be awarded based on the number of plan features demonstrated for that sub-section.

For every plan, each individual member of the scoring team independently reviewed the respective sub-section of the application and reached a determination as to which criteria were demonstrated in the plan. Once independent assessments were completed, a consensus discussion occurred among the members of the scoring team. During this consensus discussion, the team members reached a joint conclusion as to how many criteria were demonstrated within the plan and how many points should be awarded based upon the scoring rubric for each plan. The Team Lead recorded the consensus decision with respect to whether criteria were met, along with the corresponding points to be awarded based upon the scoring rubric for each plan, on a consensus score sheet and saved the consensus score sheets in the Tumbleweed system.

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## **Original DOC Score Workbook**

The MMCP Project Manager downloaded the completed consensus score sheets from Tumbleweed and manually input the points awarded per sub-section, per applicant, into a Microsoft Excel spreadsheet (“Original DOC Score Workbook”) that was maintained by the MMCP Project Manager. The data in the Original DOC Score Workbook was used to calculate the final scores for each application.

### **Step 1 scoring**

The application scores were calculated in a two-step process. In Step 1, the application was required to meet minimum score thresholds (qualifiers) for each plan and overall. In total, and prior to applicable weighting, there were 100 raw points available. Applicants that were not awarded at least 60% of the total available points (60 total points) were disqualified. Within the five plans of the application, the applicants were also required to reach at least 60% of the available points per plan. The amount of points available per plan ranged from 10 to 30 points. If an application did not reach at least 60% of the available points for any of the five plans, the application was disqualified.

Application instructions required that Section 2 of the application not contain any identifiable information. A “redaction adjustment” was applied for each instance where the DOC had to redact identifiable information included in Section 2. For each instance where the DOC had to redact such information, two (2) points were deducted from the final raw score of the application. In the event that the information was deemed to be identifiable, but the nature of the identifiable information was not included in the DOC’s application instructions, the redaction team redacted the information; these instances did not result in a point deduction. The impact of any applicable point adjustment for redaction was included in the calculation to determine if an application reached the required 60-point minimum. See below for further discussion on the weighting of the redaction adjustment.

### **Record keeping adjustment**

Within the Original DOC Score Workbook, a record keeping adjustment was also performed. Based on differing guidance in Ohio’s administrative rules and the application instructions, some applicants included the record keeping content in the Quality Assurance Plan portion of the application and others included the content in the Security Plan portion of the application. To handle this circumstance, the DOC applied a scoring adjustment for record keeping that awarded points to applicants in both sections if the applicant received record keeping points in either of the two plans. The DOC’s mathematical adjustment was considered in the raw score of the application, which was used when determining if the application had reached the 60% minimum threshold in each of the five plans.

## Step 2 scoring

In Step 2, the DOC applied score conversion factors (or weights) to each of the five plans. The following table<sup>8</sup> outlines the possible scores per plan as well as the weights used by the DOC:

Category	Minimum Score per Plan (Step 1)	Maximum Score per Plan	Conversion Factor (Step 2)	Final Weighted Maximum Score
Business Plan	6	10	1.46	14.6
Operations Plan	18	30	2.36	70.8
Quality Assurance Plan	18	30	1.64	49.2
Security Plan	12	20	2.00	40.0
Financial Plan	6	10	2.54	25.4
<b>Total Possible Points</b>	<b>60</b>	<b>100</b>		<b>200</b>

## Redaction adjustment

After the weights were applied to the raw plan scores to calculate the weighted application score, the DOC performed a final adjustment to reflect the weighted impact of the redaction adjustment. The impact of the redaction adjustment was two (2) points for Step 1, when considering if the minimum score of 60 points was reached. A weight of 2.00 was applied to the initial redaction adjustment in Step 2 to determine the final weighted score. This additional weight resulted in each redaction impacting the final weighted score by four (4) points.

## Score after qualifiers and due diligence checks

At the end of Step 2, all applications that had not been disqualified in Step 1 were ranked based upon the Score After Qualifiers. Once those were compiled, the DOC performed due diligence regarding numerous requirements under statute for the top scoring applicants, which included matters such as:

- A. Tax Compliance – For all individuals with a 1% ownership interest or above, confirmed if the individual had an outstanding tax liability
- B. Disqualifying Offense – Reviewed background checks provided by the FBI and Attorney General's Office's Bureau of Criminal Identification and Investigation (BCI)
- C. Moratorium Confirmation – Evaluated that there was not a moratorium in place in the location of the proposed facility at the time of application, based on application contents
- D. Liquid Capital Requirement – Evaluated that the applicant had at least \$50,000 in liquid assets, which are unencumbered and can be converted within 30 days after a request to liquidate such assets, based on application contents
- E. Financial Responsibility Requirement – Confirmed that the applicant had the intent to purchase insurance and had the ability to maintain an escrow account or surety bond in the amount of \$75,000

<sup>8</sup> <https://medicalmarijuana.ohio.gov/Documents/CultivatorApplications/ScoringReferenceGuide.pdf>

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- F. Compliance with 500-foot rule – Evaluation of neighboring structures or property that were considered “prohibited facilities” and the distance of such prohibited facilities from the applicant’s proposed location, based on application contents
- G. R.C. Chapter 3796 Compliance – When applicable, evaluated if the applicant met the requirements to be considered a member of an economically disadvantaged group<sup>9</sup> based on application contents

In certain situations, the DOC followed up with applicants to provide them with the opportunity to resolve certain due diligence findings. We understand that these limited situations included Tax Compliance, a Disqualifying Offense (background check) and R.C. Chapter 3796 Compliance. The DOC did not accept any additional information to adjust the final scores of the applications.

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<sup>9</sup> Ohio R.C. Chapter 3796.09(C)

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## Summary of procedures performed

In connection with our engagement, EY performed procedures to gain an understanding of the application and scoring process deployed by the DOC and to analyze the Section 2 scoring and recalculate the Total Converted After Redaction scores awarded to applicants. Specifically, we performed the following:

- Conducted interviews with key individuals at the DOC with a role in the MMCP, including, but not limited to:
  1. Deputy Chief Legal Counsel – Nate Mealy;
  2. Senior Policy Advisor – Mark Hamlin;
  3. Senior Attorney – Brian Peters;
  4. Program administrators – Kathy Frato, MMCP Project Manager and Diana Wynkoop, Administrative Professional;
  5. Chief Operating Officer – Justin Hunt;
  6. Chief Information Officer – Mark Edwards; and
  7. Team Lead of the Section 2 Security scoring team – Steve Regoli, Architect Administrator, Ohio Board of Building Standards
- Confirmed EY’s understanding of the Section 2 scoring process from application intake to population of Section 2 scoring matrix (please refer to **Appendix A** for a flowchart documenting EY’s understanding of this process)
- Collected and reviewed key documents and files used throughout the scoring process from five custodian laptops (Architect Administrator, Administrative Professional, Business Analyst, MMCP Project Manager and Case Manager) and the MMCP Tumbleweed server. Please refer to **Appendix B** for a listing of documents collected and reviewed
- Read and analyzed the MMCP website<sup>10</sup> to obtain background information regarding the program and gain an understanding of the information that was publicly distributed
- Obtained and read the Section 2 observations identified in the Auditor of State’s letter to the DOC, dated April 20, 2018, regarding alleged errors discovered by the Ohio Auditor of State audit team. This is further described in **Summary of Level 2 findings – Initial Analysis Related to Ohio Clean Leaf LLC**
- Identified consensus score sheets within the imaged Tumbleweed server used to record scores in the Level 1 and Level 2 Original DOC Score Workbook. These PDF files were the DOC’s ultimate source of scoring results for the MMCP and captured the point values awarded for each plan and sub-section. The DOC used these scores in the Original DOC Score Workbook to rank and identify the provisional license awardees
- Analyzed and recalculated the points awarded for each Section 2 consensus score sheet. EY reviewers analyzed each of the consensus score sheets using EY’s secure document review platform and recalculated the points awarded according to the ‘Yes’ and ‘No’

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<sup>10</sup> <https://www.medicalmarijuana.ohio.gov/>

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determinations reflected on the consensus score sheets and the applicable scoring rubric. EY recorded the results of this review and analysis in a customized review pane linked to each unique consensus score sheet. This is described in the **Summary of Procedures Performed - EY's Section 2 Scoring Analysis**

- Identified any scoring differences between:
  1. The point value awarded on each consensus score sheet and the point value recorded in the Original DOC score workbook, and
  2. The point value awarded on the consensus score sheet and the point value that should have been awarded based upon the scoring rubric for each plan
- Performed select quality control analyses of scoring data within the Original DOC Score Workbook for Level 2 applicants, including:
  1. Score comparison for entities that submitted multiple applications. This is described in **Summary of Level 2 findings – DOC scoring observations**
  2. Sample comparison of five redacted individual application plans (Business, Financial, Quality Assurance, Operations and Security) to the full Section 2 application (prior to the splitting of the application into the above referenced five plans) to confirm the separated application plans agreed to the same, full Section 2 application
  3. Assessed five consecutive consensus score sheets to identify if each individual document was labeled with the correct applicant ID number
- Read and analyzed The Auditor of State of Ohio's "Ohio Medical Marijuana Level I and Level II Cultivator Application Review" report.

### **EY's Section 2 scoring analysis**

#### **Consensus score sheets**

The consensus score sheets are the final score sheets that contained the point values the DOC scoring teams agreed upon for each applicant. Each of the Team Leads uploaded the consensus score sheets to Tumbleweed for the five application plans: Business, Financial, Quality Assurance, Operations and Security. Each of the five plans have sub-sections, which can be awarded a point value of 0, 1, 3 or 5 according to the scoring rubric based upon the number of plan features demonstrated in that sub-section.

Tumbleweed housed the consensus score sheets for the 185 MMCP cultivator applications. The DOC assigned unique IDs from 0001-0076 to Level 2 applicants and unique IDs 0077-0185 to Level 1 applicants.

#### **Data collection**

To obtain the relevant application and scoring documents, EY obtained a backup copy of the entire Tumbleweed server data. The EY forensic technology team, assisted by a DOC IT representative, reviewed the procedures that DOC IT used to create the DOC's backup copy and compared each file's electronic hash value with the 'live' Tumbleweed server data. The EY

forensic technology team determined the backup copy was a complete and accurate copy of the ‘live’ Tumbleweed server, and this copy was used to obtain the relevant application and scoring documents.

### **Scoring analysis**

EY and the MMCP Program Administrators reviewed the listing of files from the DOC’s backup copy of the Tumbleweed server to identify the 185 consensus score sheets for each of the five plans. The EY technology team uploaded the identified consensus score sheets for each of the five plans into the EY review platform.

Within the review platform, EY analyzed the scoring sheets and documented specific data points for additional analysis. For each sub-section of each plan, EY recorded the determinations assigned by the DOC scoring teams according to their review of the MMCP applications. These ‘Yes’ and ‘No’ determinations indicated whether the DOC scoring teams determined the application did or did not meet pre-determined, specific criteria for each sub-section. Each sub-section had one or more required elements, which were denoted on the score sheets in bold, italic letters. If the application did not meet a required element, the sub-section was assigned a point value of zero according to the scoring rubric, irrespective of the results for the other criteria. In addition to recording the determinations for each criterion, EY recorded the sub-section point values assigned by the DOC scoring teams as indicated on the consensus score sheets.

Based upon the total number of plan features, as demonstrated in the ‘Yes’ and ‘No’ determinations recorded by the DOC scoring teams, EY recalculated the point value for the sub-section according to the scoring rubric guidelines. As part of this analysis, EY identified sub-sections that did not meet the required element(s) and should have been awarded zero points.

EY identified sub-sections where the decision to award a point value of 3 or 5 was subjective. In these instances, the number of criteria met fell into the overlap between the point value of 3 and 5 and the DOC scoring team had to determine if there were additional features that materially improved the quality of the application. This consideration was one of the elements requiring consensus of the scoring teams.

EY also made six observations of the consensus score sheets reviewed in the Section 2 scoring analysis. These are described in **Summary of Level 2 findings – DOC scoring observations**.

### **Original DOC Score Workbook**

EY analyzed the formulas in the Original DOC Score Workbook and noted that the formulas appeared to be correct and consistently applied across the entire population of applications.

### **Export from review platform and additional analysis**

The EY technology team exported the responses recorded by EY from the review platform for all 185 applicants by each application to five Excel files (Business, Financial, Operations, Quality Assurance and Security) for analysis.

EY performed procedures on the exported data, in conjunction with the Original DOC Score Workbook, to identify differences between the consensus score sheets and the Original DOC Score Workbook that required additional analysis, as well as differences between the consensus score sheets and the point value that EY recalculated according to the scoring rubric and guidelines and number of criteria met according to the number of ‘Yes’ and ‘No’ decision assignments by the DOC scoring teams.

EY compiled a summary of the nature and numeric impact of the differences between the Original DOC Score Workbook point values and the DOC consensus score sheets by plan and sub-section, as well as the nature and numeric impact of differences between the DOC consensus score sheet point values and the EY recalculated point values by plan and sub-section. Please refer to **Appendices D and E**.

### **Re-review**

EY facilitated and monitored a re-review of nine applications in which differences were identified between the DOC consensus score sheets and the EY analysis. The re-review included sub-sections from the Business, Operations, Quality Assurance and Security Plans; please refer to **Category 2 difference** section below.

### **Recalculated Score and Recalculated Rank**

- Based on EY’s review platform and the re-review procedures performed, EY calculated new total scores after redactions for the applicants (the “Recalculated Score”) and re-ranked the applicants according to the recalculated score (the “Recalculated Rank”). Please refer to **Appendices B, I.1, and I.2**.

### **Assumptions**

In conducting EY’s analysis, we relied on the following assumptions:

- EY relied on the consensus score sheets that were saved within Tumbleweed in the account of the respective Team Leads for each plan to represent the final consensus score sheet for each application sub-section.
- EY relied on the accuracy of the ‘Yes’ and ‘No’ determinations of the consensus scoring teams as reflected on the consensus score sheets. As more fully described below in the Level 2 scoring differences summary, EY initially identified nine differences in the score awarded on the consensus score sheets versus the score indicated based on the ‘Yes’ and ‘No’ determinations on the consensus score sheets. For these items, EY organized a process to re-review those sub-sections of these applications.
- In the case when the number of criteria met or not met as marked by the DOC scoring team permitted either 3 points or 5 points to be awarded, based on the scoring rubric, EY relied on the judgment of the specialists on the original consensus scoring teams and therefore selected the same point value as originally awarded by these scoring teams and as indicated on the DOC consensus score sheet for that sub-section.

- EY applied the same method of ranking as the DOC. If one entity submitted more than one application and had the same score (total converted after redaction), EY assigned the same rank to each application for that entity. We understand application ID's were unique to an individual location. While entities could submit applications for more than one location, we understand the DOC could only award one provisional license per entity.

## Summary of Level 2 findings

### Level 2 scoring differences summary

In performing the Section 2 scoring analysis for the Level 2 applications, EY identified two categories of differences that initially affected 11 applications as follows:

- A. Scoring difference between the score reported on the consensus score sheets in comparison to the score recorded on the Original DOC Score Workbook. We refer to this difference as the “**Category 1 difference.**” There were two applications with Category 1 differences. The Category 1 differences resulted in a change to the scores of both applications but did not impact which entities received the top 12 scores. **See Appendix D.**
- B. Scoring difference between the score awarded on the consensus score sheet and EY’s recalculated score according to the scoring rubric and the ‘Yes’ and ‘No’ determinations on the consensus score sheets. We refer to this difference as the “**Category 2 difference.**” There were nine applications with Category 2 differences. **See Appendix E.** The Category 2 differences resulted in a change to the scores of two of those nine applications but did not impact which entities received the top 12 scores. **See Appendix F.**

### Category 1 difference

In comparing the scores indicated for each sub-section of each application as reported on the consensus score sheets to the scores recorded in the Original DOC Score Workbook, we noted two instances in which these point values differed. These differences were noted in the Security Plan.<sup>11</sup> EY recalculated the indicated scoring for these applications, correcting the scores for the Security Plan sub-sections so that the revised/recalculated scores match the indicated scores contained on the consensus score sheets. This analysis also applied the applicable weighting multiplier to the revised score to determine the recalculated score for both applications. The Scores After Redaction for each of these applicants and their revised rankings are detailed in **Appendix D.** The Category 1 differences did not impact which entities received the top 12 scores.

### Category 2 difference

As noted above in the **Summary of Procedures Performed**, EY analyzed each of the Level 2 consensus score sheets and recalculated the score based on the ‘Yes’ and ‘No’ determinations within each consensus score sheet, applying the scoring values indicated in the scoring rubric. We noted nine instances in which the score reported on the consensus score sheet differed from the score indicated by the number of ‘Yes’ and ‘No’ determinations based on the scoring rubric.

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<sup>11</sup> Applicants with a Category 1 difference are: MMCP-C-201706-0069 and MMCP-C-201706-0070.

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These differences were contained in sub-sections of the Business, Operations, Quality Assurance and Security Plans of the applications.<sup>12</sup>

In an effort to evaluate whether the originally awarded scores or the scores that would be indicated based on the ‘Yes’ and ‘No’ determinations on the consensus score sheets were correct for these nine application sub-sections, EY organized a re-review of these nine application sub-sections. EY facilitated the re-review in a way that the identity of the nine applications remained anonymous to the Section 2 scoring teams.

Entity name	Application #	Section				Sub-section	Location of re-review	
		Business	Operations	Quality Assurance	Security		Grandview Heights, OH	Tucson, AZ
RSLBC LLC	0001			X		Adverse Events and Recall Procedures	X	
Ancient Roots LLC	0027				X	Surveillance Technology	X	
Chloris CC LLC	0043	X				Business Model	X	
MJMD Enterprises LTD	0052		X			Product Timeline and Production Schedule	X	X
BBSD Cultivators LLC	0058		X			Product Timeline and Production Schedule	X	X
Bickshaw Investment Group LLC	0065				X	Surveillance Technology	X	
Ohio Clean Leaf LLC (Carroll)	0066				X	Physical Security	X	
Pure Medicinal Company	0067			X		Record Keeping and Regulatory Compliance	X	
Ohio Clean Leaf LLC (Dayton)	0075				X	Surveillance Technology	X	

For each of the four re-review sessions facilitated, the process was consistent with the original scoring process utilized by the DOC in 2017. The same three team members from the original Operations and Security scoring teams participated in their respective re-review sessions. The third team member of the Business scoring team did not participate in the re-review session as he had retired from the State of Ohio and was not available. The third team member of the Quality Assurance scoring team, who was an out of state consultant and no longer under contract, also did not participate in re-review procedures.

The members of each scoring team were provided with the redacted content from the respective plan of the application along with blank consensus score sheets. None of the applicant names were identifiable to the reviewers and the application numbers were also anonymized. Each reviewer provided the ‘Yes’ and ‘No’ determinations to each of the criteria included in the sub-section subject to the re-review, together with their reasoned basis for the determination. The

<sup>12</sup> Applicants with a Category 2 difference are: MMCP-C-201706-0001, MMCP-C-201706-0027, MMCP-C-201706-0043, MMCP-C-201706-0052, MMCP-C-201706-0058, MMCP-C-201706-0065, MMCP-C-201706-0067, MMCP-C-201706-0066 and MMCP-C-201706-0075.

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scoring teams conducted a consensus discussion on each of their determinations, as was performed during the original scoring process, and then reached a consensus ‘Yes’ or ‘No’ determination for each criterion within the sub-section. Finally, the scoring teams recorded the points to be awarded per the scoring rubric for the sub-section and noted if there were additional features present that materially improved the quality of the applicant’s plan.

Based on the ‘Yes’ and ‘No’ determinations for each of these applications reached during the re-review, and after applying the scoring rubric to award a point value, EY determined that for seven of the applications the score indicated from the re-review matched the score originally awarded on the consensus score sheets and recorded in the Original DOC Score Workbook; the scores did not match for two applications. Therefore, seven out of the nine Category 2 differences initially noted from EY’s recalculation based on the ‘Yes’ and ‘No’ determinations were resolved and do not result in differences to the indicated score for those applications.

The two remaining Category 2 differences involved the following applications:

1. **RSLBC, LLC (MMCP-C-201706-0001)**: The Quality Assurance scoring team marked criteria 2 and 5 (Notification to dispensaries and Notification to Department) as 'No' during the re-review performed on June 11. Criterion 2 was a required element in this sub-section. Both criteria were marked 'Yes' on the Original DOC Consensus Score Sheet. This difference resulted in a Score After Redaction of 75.44, which is a reduction of 1.64 points. This difference did not impact rankings or licensing, as this application was disqualified for failing to meet the minimum point thresholds for other plans.
2. **Chloris CC, LLC (MMCP-C-201706-0043)**: The Business scoring team marked criterion 2 (Likelihood of success and a sufficient business ability) as ‘No’ during the re-review performed on June 12 and on the Original DOC Consensus Score Sheet. Criterion 2 was a required element in this sub-section. The Business scoring team incorrectly awarded 3 points on the Original DOC Consensus Score Sheet, but correctly awarded 0 points during the re-review. This difference resulted in a Score After Redaction of 79.96, which is a reduction of 4.38 points. This difference did not impact rankings or licensing, as this application was disqualified for failing to meet the minimum point thresholds for other plans.

Two of the nine Category 2 differences involved the applications submitted by Ohio Clean Leaf LLC: 0066 and 0075. The scores awarded to these applications on the original consensus score sheets were the same in each plan and sub-section, with the exception of Record Keeping in the Security Plan, where 0066 received zero points and 0075 received 5 points.<sup>13</sup> Because there were Category 2 differences in both applications 0066 and 0075, these applications were included in the Security re-review. The re-review for 0066 covered the Physical Security sub-section of the

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<sup>13</sup> The differences in the record keeping score did not impact the Total Converted Score After Redaction.

Application 0066 received the Record Keeping adjustment, which resulted in both Ohio Clean Leaf applications receiving the same record keeping scores and Total Converted After Redaction scores.

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Security Plan, while the re-review for 0075 covered the Surveillance Technology sub-section of the Security Plan.

The ‘Yes’ and ‘No’ determinations and point values awarded by the Security team during the re-review resulted in differences between the two applications in three criteria across the Physical Security and Surveillance Technology sub-sections of the Security Plan.

After the record keeping adjustment and weights were applied to these two applications, the re-review resulted in an initial total converted point value difference of 4.00 between 0066 and 0075. However, as described below, EY performed additional analysis on these two applications, which resulted in no point difference between the two applications.

EY read the Section 2 application content for these applications as part of the additional analysis and noted they appeared to be substantially the same. With that in mind, EY then compared the ‘Yes’ and ‘No’ determinations of these two applications for all five Plans and identified differences in eight criteria across the four sub-sections of the Security Plan.

Due to differences in eight of the ‘Yes’ and ‘No’ determinations and the similar application content, EY organized an interview with the Security scoring team on August 7, 2018 to further assess the four determinations made during the re-review and four additional original determination differences from the consensus score sheets identified during EY’s additional analysis. During this interview, the Security scoring team read through the Security Plan application content for applications 0066 and 0075 and agreed the applications appeared to be substantially the same with some subtle differences. EY presented the Security scoring team with the eight criteria where there were differences in the ‘Yes’ and ‘No’ determinations between applications 0066 and 0075 and asked them to re-assess the ‘Yes’ and ‘No’ determinations based on their re-read of the Section 2 application content during our interview. EY requested citations to specific application content to provide support for the determinations. The Security scoring team determined that both applications should have received the same ‘Yes’ and ‘No’ determinations for all but 1 of the eight criteria discussed. The Security scoring team made a different ‘Yes’ and ‘No’ determination in applications 0066 and 0075 for criterion six of the Surveillance Technology sub-section: “Security and or video surveillance system that features enhanced security protocols”. The determinations based on the eight criteria were:

#	Plan	Criteria	Description of difference and determination made during re-review	Final Security scoring team determination made during interview
1	Surveillance Technology	Enhanced video surveillance capabilities	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 and 0075 had ‘No’ determinations</li> <li>The Surveillance Technology Plan for Application 0075 was subject to re-review, and the Security scoring team marked this criterion as ‘Yes’</li> <li>Therefore, after the re-review, application 0066 had a ‘No’ determination, while application 0075 had a ‘Yes’ determination</li> </ul>	Y
2	Surveillance Technology	Security and/or video surveillance system that features enhanced security protocols	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 had a ‘Yes’ determination and 0075 had a ‘No’ determination</li> <li>The Surveillance Technology Plan for Application 0075 was subject to re-review, and the Security scoring team marked this criterion as ‘No’, the same determination as the original one</li> <li>Therefore, after the re-review, application 0066 had a ‘Yes’ determination, while application 0075 had a ‘No’ determination</li> <li>During the interview with the Security scoring team, they determined the separate determinations most accurately reflected the application’s content</li> </ul>	0066: Y 0075: N
3	Physical Security	Fencing and lighting meets requirements of 2-2-05	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 had a ‘No’ determination and 0075 had a ‘Yes’ determination</li> <li>The Physical Security Plan for Application 0066 was subject to re-review, and the Security scoring team marked this criterion as ‘Yes’</li> <li>Therefore, after the re-review, applications 0066 and 0075 both had ‘Yes’ determinations</li> </ul>	Y
4	Physical Security	Additional Security features that reduce the chance of diversion, safety of employees, accountability of employees, or accountability of the medical marijuana	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 and 0075 had ‘Yes’ determinations</li> <li>The Physical Security Plan for Application 0066 was subject to re-review, and the Security scoring team marked this criterion as ‘No’</li> <li>Therefore, after the re-review, application 0066 had a ‘No’ determination, while application 0075 had a ‘Yes’ determination</li> </ul>	Y
5	Transportation Policies	Cultivator has a plan to meet the vehicle requirements as required by 5-03-01(C)	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 had a ‘Yes’ determination and 0075 had a ‘No’ determination</li> <li>The Transportation Policies Plan for Applications 0066 and 0075 were not subject to re-review</li> <li>Therefore, application 0066 had a ‘Yes’ determination, while application 0075 had a ‘No’ determination</li> </ul>	N
6	Transportation Policies	Cultivator has a policy to ensure that registered employees comply with the requirements of 5-03-01(E)	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 had a ‘No’ determination and 0075 had a ‘Yes’ determination</li> <li>The Transportation Policies Plan for Applications 0066 and 0075 were not subject to re-review</li> <li>Therefore, after the re-review, application 0066 had a ‘No’ determination, while application 0075 had a ‘Yes’ determination</li> </ul>	N
7	Transportation Policies	Cultivator uses a vehicle with enhanced security features, such as an armored car	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 had a ‘Yes’ determination and 0075 had a ‘No’ determination</li> <li>The Transportation Policies Plan for Applications 0066 and 0075 were not subject to re-review</li> <li>Therefore, after the re-review, application 0066 had a ‘Yes’ determination, while application 0075 had a ‘No’ determination</li> </ul>	Y

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#	Plan	Criteria	Description of difference and determination made during re-review	Final Security scoring team determination made during interview
8	Record Keeping	Record keeping policies and procedures that will ensure the facility complies with rule 3796:2-2-08 of the Administrative Code	<ul style="list-style-type: none"> <li>The Original Consensus Score Sheet for applications 0066 had a ‘No’ determination and 0075 had a ‘Yes’ determination</li> <li>The Record Keeping Plan for Applications 0066 and 0075 were not subject to re-review</li> </ul> <p>Therefore, after the re-review, application 0066 had a ‘No’ determination, while application 0075 had a ‘Yes’ determination</p>	Y

Based on the ‘Yes’ and ‘No’ determinations made during the interview of the Security scoring team, the final raw score for applications 0066 and 0075 in the Security Plan, after the recordkeeping adjustment, is 13 points and the Score After Qualifiers is 160.56. These are the same as the raw score and Score After Qualifiers awarded to applications 0066 and 0075 according to the ‘Yes’ and ‘No’ determinations on the original DOC Consensus Score Sheets. Thus, the results of the re-review procedures for both Ohio Clean Leaf LLC entities did not impact which entities received the top 12 scores.

Finally, in connection with our procedures, the DOC provided EY a letter it had received from the Auditor of State dated April 20, 2018. The letter stated that the Auditor of State audit team had identified an error that it believed had affected the results of the Level 2 cultivator provisional license awarded to Ohio Clean Leaf LLC, and further, that the Ohio Clean Leaf LLC applications should have been disqualified for not meeting the minimum point threshold for the Security plan. Although EY’s procedures also identified differences in the Ohio Clean Leaf LLC applications, as described above, based on the results of the re-review of the Ohio Clean Leaf LLC applications, these applications earned sufficient points, and therefore should not be disqualified.

**See Appendix E and Appendix F** for a detailed summary of the nine Category 2 differences and re-review results.

**Record keeping adjustment**

We found that the record keeping adjustment was consistently applied to all applications.

**Scoring rubric creation**

According to the Security Team Lead, subject-matter experts, comprised of several individuals, including the scoring team members for the corresponding plan, developed the criteria contained in each of the sub-section consensus score sheets (the “upper portion” of the consensus score sheets). The DOC cultivator program administrators and members of the MMCP team developed the scoring rubric and point values contained in each of the sub-section consensus score sheets (the “lower portion” of the consensus score sheets). The same scoring rubric was applied to each of the five plans.

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Some of the elements within the scoring rubrics do not correspond with the criteria for certain sub-sections. For example, the Physical Security sub-section of the Security Plan includes five required elements that applicants must meet, or they receive a point value of 0. The scoring rubric for a point value of 1 reads: “Plan addresses all of the required elements established in rule and adequately demonstrates 2 – 3 of the elements above, inclusive of the required elements.” To earn a point value greater than zero, the application must meet all required criteria, which is five elements in this case, and not “2 – 3”. In total, we noted similar inconsistencies within the rubric for the following sub-sections: Business plan (Business Model), Financial plan (Funding Analysis), Operations plan (Product Timeline and Production Schedule), Quality Assurance plan (Adverse Events and Recall Procedures), and Security Plan (Transportation Policies) for a total of six sub-sections.

Also, according to the scoring rubric, the scoring teams could award point values of 0, 1, 3 or 5, depending on the number of ‘Yes’ and ‘No’ determinations. However, in many cases the number of ‘Yes’ determinations allowed the scorers the opportunity to award either 3 points or 5 points, depending on their judgment of whether or not the “Plan ... contains additional features that materially improve the quality of the applicant's... plan.” The scorers did not consistently document within the consensus score sheets their reasoning for awarding either 3 points or 5 points.

### **DOC scoring observations**

As a result of the Section 2 scoring analysis, EY made three general observations that impacted five consensus score sheets.

1. There were three applications, MMCP-C-201706-0069, MMCP-C-201706-0024 and MMCP-C-201706-0064, that had incomplete consensus score sheets.
  1. In one instance (Security), the consensus score sheet did not indicate if one of the criteria was met (‘Yes’) or not met (‘No’). EY relied on the accuracy of the point value of 1 present on the consensus score sheet, which was the same as the point value recorded in the Original DOC Score Workbook. Application 0066 was disqualified for not meeting the overall minimum point threshold, Redaction Limit threshold and the minimum point threshold in the Operations and QA Plans. A re-review would not have impacted the Score After Qualifiers. This scoring observation did not impact which entities received the top 12 scores.
  2. In two instances (Quality Assurance), the consensus score sheets did not include an awarded point value. In the analysis, EY relied on the ‘Yes’ and ‘No’ determinations recorded on the consensus score sheets and recalculated a point value of 0, which was the same as the point value awarded by the Quality Assurance scoring team on the original DOC score workbook. Application 0024 was disqualified for not meeting the overall minimum point threshold and the minimum point threshold in the Operations, Business and Financial Plans. A re-review would not have impacted the Score After Qualifiers. Application 0064 was

disqualified for not meeting the overall minimum point threshold and the minimum point threshold in the Operations, Business, Financial and Security Plans. A re-review would not have impacted the Score After Qualifiers. These scoring observations did not impact which entities received the top 12 scores.

2. There were two consensus score sheets, MMCP-C-201706-0033 and MMCP-C-201706-0034, where the Security scoring team awarded the applications both possible point values of 0 and 5 in the Record Keeping sub-sections. In both instances, the criterion for Record Keeping was marked as having been met ('Yes'). In the analysis, EY relied on the accuracy of the 'Yes' and 'No' determinations recorded by the Security team on the consensus score sheets. EY recalculated point values of 5, which is the same point value awarded in the Original DOC Score Workbook. Applications 0033 and 0034 were disqualified for not meeting the overall minimum point threshold and the minimum point threshold in the Operations and QA Plans. A re-review would not have impacted the Score After Qualifiers.
3. There was one consensus score sheet, MMCP-C-201706-0034, where the Security scoring team indicated the application met ('Yes') each of the three required elements, but included the comment: "missing required element" next to a required criterion. Similar to the observation described above, EY relied on the accuracy of the 'Yes' and 'No' determinations, including the point value of 3, recorded by the Security team on the consensus scoring sheets and recalculated a point value of 3, the same point value awarded in the Original DOC Score Workbook.

All five of the applications described above, MMCP-C-201706-0024, 0033, 0034, 0064 and 0069, were disqualified for not meeting the minimum point thresholds in other plans, and therefore, a re-review of these applications was not performed.

EY also performed select quality control analyses of the scoring data with the Original DOC Score Workbook for Level 2 applicants. One of those analyses included performing a score comparison for entities that submitted multiple applications. There were two entities who submitted multiple Level 2 applications and received different scores:

- Certified Pharmaceuticals LLC - MMCP-C-201706-0030 and MMCP-C-201706-0031 (applications 0030 and 0031); and
- Ohio Clean Leaf LLC - MMCP-C-201706-0066 and MMCP-C-201706-0075 (applications 0066 and 0075).

The Certified Pharmaceuticals LLC applications (0030 and 0031) have a total converted point value difference of 4.38. This difference is a result of score differences in the Business Model sub-section of the Business Plan.

EY reviewed the redacted Section 1 summary sheets and Form 1G, Notice of Proper Zoning, submitted for both applications. Form 1G requires that the zoning authority or local government representative certify that the application meets certain criteria. Application 0030 (City of Newark) and Application 0031 (City of Columbus) received different determinations on the

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Section 1 summary sheet based on how the zoning authority completed Form 1G. Application 0030 received a ‘Yes’ determination, while application 0031 received a ‘No’ determination. During the original scoring process, the Section 1 summary sheet was provided to the Business Plan scoring team to make a determination on required criterion four in the Business Model sub-section of the Business Plan.

This scoring difference for criterion four in the Business Model sub-section resulted in a raw point difference of three and a total converted point value difference of 4.38 after the Business weighting of 1.46 was applied. Both applications were ultimately disqualified for not reaching the minimum threshold for the Security Plan.

The Senior Policy Advisor confirmed EY’s understanding of Form 1G and how the Section 1 summary sheet was provided to the Business Plan scoring team during the original scoring process. Based on our analysis and discussion with the Senior Policy Advisor, the Business Plan scoring team scored applications 0030 and 0031 appropriately according to the Section 1 Summary sheet and the scoring rubric.

Both Ohio Clean Leaf LLC applications (0066 and 0075) were included in the EY facilitated re-review procedures as a result of the Category 2 differences of application 0066’s Physical Security sub-section and application 0075’s Surveillance Technology sub-section of the Security Plan. The Ohio Clean Leaf LLC applications are described in more detail in **Summary of Level 2 findings – Category 2 difference**.

### **Program and control observations**

We have provided the following control observations to assist the DOC in further improving its processes going forward. Although there were few scoring differences in the Level 2 applications, the observations below provide opportunities for automation in the process and could enhance the timeliness and accuracy of processing and analyzing application contents. For example, we noted the following:

- The DOC process to review the cultivator applications and the associated scoring was largely a manual process with limited IT system controls to prevent unauthorized access and ensure data security and integrity.
- The DOC did not conduct MMCP cultivator application intake and scoring in a controlled tool or review environment, limiting the opportunities for audit trail or reporting functionality.
- The DOC uploaded final documents to Tumbleweed that were editable, which were considered the “safe source” for the final scoring (e.g., consensus score sheets).
- The DOC scoring teams did not always apply a consistent approach to filling out the consensus score sheets; for example, we noted the scoring teams frequently did not fill out the box “Total number of plan features demonstrated” in the consensus score sheets.
- According to the MMCP program administrators, we understand that the Administrative Professional used to maintain a list of MMCP Tumbleweed users, including passwords, at

the instruction of a DOC IT representative. The Team Lead from the Security Plan portion of the application, did not properly upload the Security consensus score sheets to the Security batch folders within Tumbleweed and therefore, were not viewable by the program administrators so that they could complete the Original DOC Score Workbook. To gain access to those documents, the MMCP program administrators logged into Tumbleweed using the Security Team Lead's credentials.

- The DOC removed batch one of the consensus score sheets for the Business and Financial Plans from Tumbleweed, after DOC Information Technology (“IT”) communicated there was a capacity issue within the Tumbleweed server. However, the documents were maintained elsewhere by the DOC. To obtain these consensus score sheets for the Section 2 scoring analysis, Deputy Chief Legal Counsel acquired the documents from the Business and Financial Team Lead and provided them to EY via email. EY subsequently performed a forensic imaging of the Medical Marijuana folder within the Team Lead’s laptop where the batch one consensus score sheets were stored. To assess the integrity of the documents used in the Section 2 scoring analysis, EY performed an analysis of the hash values comparing the set of documents imaged from the laptop with those provided by Deputy Chief Legal Counsel; the two sets of hash values matched, confirming the two sets of documents provided to EY for our analysis were identical.
- Similarly, EY noted it appeared that most of the Section 2 applications in batches one through seven had also been removed from Tumbleweed by the DOC as a result of the email communication from IT regarding Tumbleweed capacity. Those documents were also maintained elsewhere by the DOC. To obtain the nine documents for re-review procedures, the MMCP Program Administrator provided the redacted Section 2 applications to EY through a secure file-sharing platform. EY subsequently performed a forensic imaging of the MMCP shared drive (“M: drive”) to obtain these nine redacted Section 2 applications. EY also performed an analysis of the hash values comparing the applications from the M: drive to the applications provided by the MMCP Program Administrator; the two sets of hash values matched, confirming the sets were identical.

## Conclusion

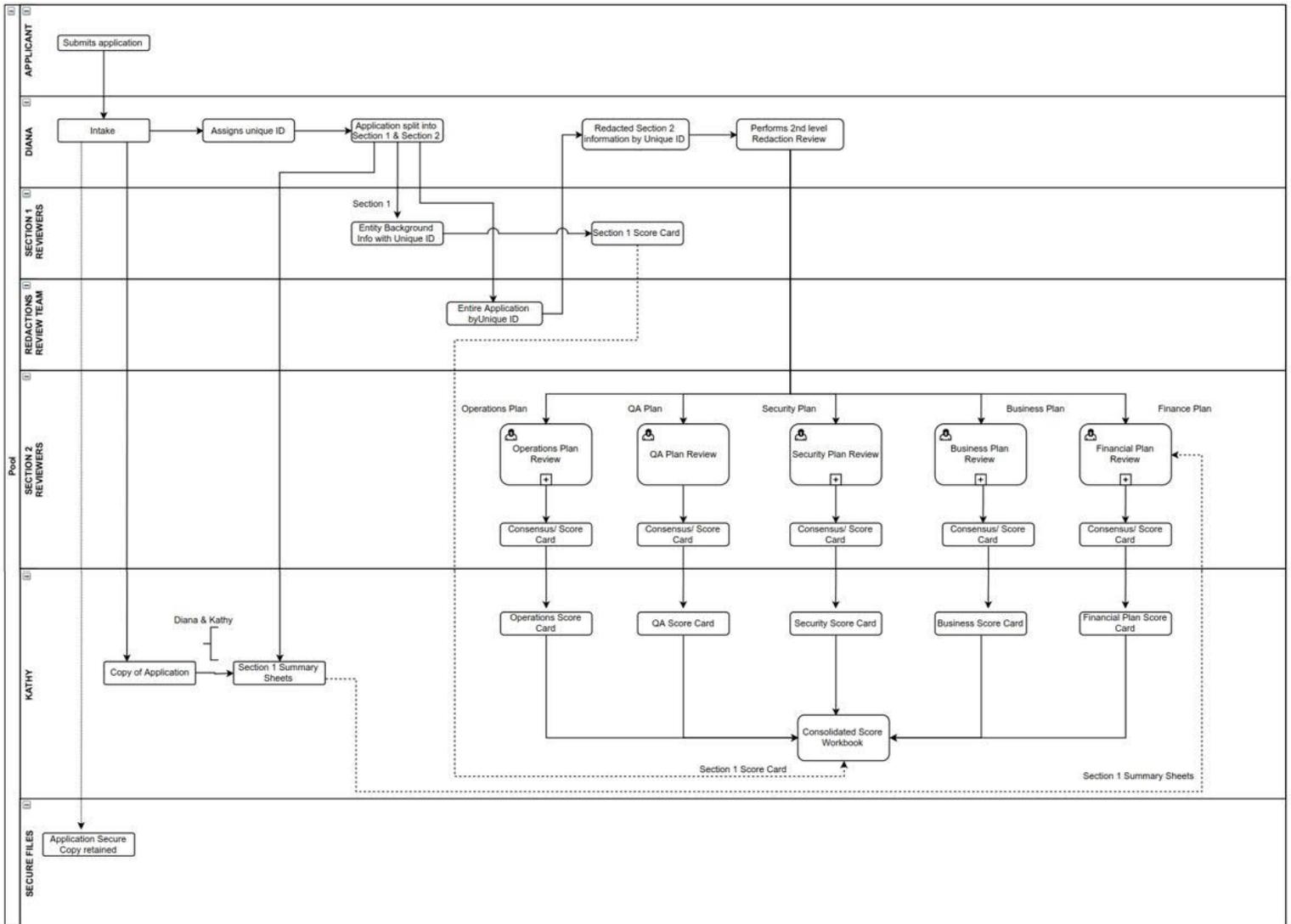
EY reviewed the DOC's scoring process to calculate the original rankings, which were used to issue provisional cultivator licenses. Based upon this review, EY noted various observations around the process and identified Category 1 and Category 2 differences, as well as scoring observations that affected five applications. The Category 1 differences did result in actual differences between the scores awarded per the DOC consensus score sheets and the Score After Qualifiers in the DOC Original Score Workbook, but these differences did not impact the ranks of those applications, as they were disqualified for not meeting the minimum point thresholds in several plans, as well as the overall 60-point minimum.

The Category 2 differences also resulted in two actual differences between the scores awarded per the Original DOC Consensus Score Sheets and the scores based on EY's analysis and re-review for applications 0001 and 0043. Similar to the Category 1 differences outlined above, applications 0001 and 0043 were disqualified for not meeting the minimum point thresholds in several plans as well as the overall 60-point minimum, and thus the Category 2 differences did not impact which entities received the top 12 scores.

Outside of the observations discussed in this report, EY did not identify additional errors that impacted which entities received the top 12 scores.

Refer to **Appendix H.1** for a listing of the 76 Level 2 applications and their corresponding scores after redactions and original ranking according to the DOC, as well as **Appendix H.2** for a listing of the non-disqualified Level 2 applications and their corresponding scores and ranks according to EY's analysis.

# Appendix A



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## Appendix B

### *Listing of documents provided by the DOC*

#	Description of document
1	Cultivator application instructions
2	Cultivator application intake log
3	Letter from the Auditor of State to DOC dated April 20, 2018
4	Cultivator application consolidated score workbooks (Original DOC Score Workbook)
5	Cultivator application review checklist
6	Recommendation grid (Due diligence workbooks)
7	Cultivator application issue review list
8	Redaction summary sheets
9	Cultivator scoring teams
10	Round 1 Subcommittee application template – subcommittees 1, 2 and 3 (Section 1 summary sheet template)
11	Redaction application results template
12	Scoring rubrics – Business, Financial, Quality Assurance, Operations and Security
13	Completed scoring rubrics
14	Criteria breakdown sheets (Word) for scoring - Business, Financial, Quality Assurance, Operations and Security
15	Quality Assurance scoring criteria breakdown (PPT)
16	Scoring guidance memo – dated July 6, 2017
17	Section 1 summary sheets
18	Listing of Tumbleweed account systems users
19	Consensus score sheets (collected from the Tumbleweed server)
20	Section 2 applications (collected from the Tumbleweed server)
21	Email from IT representative related to file space in Tumbleweed server
22	The Auditor of the State of Ohio – Ohio Medical Marijuana Level 1 and Level II Cultivator Application Review Report

## Appendix C

### Comparison of DOC's top 12

Application #	Entity Name	Original DOC Score Workbook		DOC score per Consensus Score Sheets		Recalculated Score and Rank	
		Score After Redaction	Rank	Score After Redaction	Rank	Score After Redaction	Rank
MMCP-C-201706-0010	Fire Rock, LTD (Columbus)	178.92	1	178.92	1	178.92	1
MMCP-C-201706-0011	Fire Rock, LTD (Canton)	178.92	1	178.92	1	178.92	1
MMCP-C-201706-0012	Fire Rock, LTD (Akron)	178.92	1	178.92	1	178.92	1
MMCP-C-201706-0017	FN Group Holdings	176.76	2	176.76	2	176.76	2
MMCP-C-201706-0038	Mother Grows Best LLC	172.00	3	172.00	3	172.00	3
MMCP-C-201706-0035	OhiGrow LLC	168.76	4/5	168.76	4/5	168.76	4/5
MMCP-C-201706-0027	Ancient Roots LLC	168.76	4/5	168.76	4/5	168.76	4/5
MMCP-C-201706-0066	Ohio Clean Leaf LLC (Dayton)	160.56	6	160.56	6	160.56	6
MMCP-C-201706-0075	Ohio Clean Leaf LLC (Carroll)	160.56	6	160.56	6	160.56	6
MMCP-C-201706-0057	Ascension Bio Medical	157.08	7	157.08	7	157.08	7
MMCP-C-201706-0013	Agri-Med Ohio LLC	156.60	8	156.60	8	156.60	8
MMCP-C-201706-0003	Paragon Development Group LLC	154.56	9	154.56	9	154.56	9
MMCP-C-201706-0076	Hemma LLC	151.28	10	151.28	10	151.28	10
MMCP-C-201706-0015	Galenas LLC	148.92	11	148.92	11	148.92	11
MMCP-C-201706-0025	Farkas Farms, LLC	143.08	12	143.08	12	143.08	12

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## Appendix D

### Category 1 difference - Two differences between Original DOC Score Workbook and DOC score per Consensus Score Sheets

Application #	Business Entity	Original DOC Score Workbook		DOC score per Consensus Score Sheets		Difference between Original DOC Score Workbook and DOC score per Consensus Score Sheets
		Score After Redaction	Rank	Score After Redaction	Rank	
MMCP-C-201706-0069	BluSky Wellness, LLC	(13.44)	DQ	(29.64)	DQ	(16.20)
<b>Nature of Difference</b>	<p>There were two differences identified in this application, as described below:</p> <p>1) In the consensus score sheets, the Security scoring team awarded a point value of 1 in sub-section 1 (Surveillance Technology) according to the ‘Yes’ and ‘No’ determinations assigned and the scoring rubric. The Original DOC Score Workbook shows a point value of 0 for the Surveillance Technology sub-section, for a raw difference of 1.0. Due to the Security section having a weighted value of 2.0, the total difference in scores is 2.0.</p> <p>2) The Record Keeping sub-section of both the Quality Assurance and Security Plans included one criterion and two possible point values that could be awarded by the scoring teams: 5 or 0. Based on differing guidance in the administrative rules and instructions, some applicants included the record keeping content in the Quality Assurance Plan and others in the Security Plan. To handle this circumstance, the DOC applied a scoring adjustment for record keeping that awarded points to applicants in both plans if the applicant received points in either of the two plans. If the applicant was not awarded points for record keeping in either plan, the applicant did not receive a scoring adjustment.</p> <p>In the Record Keeping sub-section of the Security Plan consensus score sheet, the Security scoring team awarded application 0069 a point value of 0 according to its ‘No’ determination and the scoring rubric of the Security Plan. The Quality Assurance scoring team also awarded a point value of 0 according to its own ‘No’ determination and the scoring rubric of the Quality Assurance Plan. This resulted in a total of 0 points between the Record Keeping sub-sections of both plans.</p> <p>A point value of 5 was recorded for the Record Keeping sub-section of the Security Plan in the Original DOC Score Workbook, while a point value of 0 was recorded for the Record Keeping sub-section of the Quality Assurance Plan. This triggered the record keeping adjustment within the Original DOC Score Workbook, which resulted in 10 points being awarded between the two plans, even though the consensus score sheets for both plans indicated the application did not meet this criterion. This Category 1 difference did not impact which entities received the top 12 scores.</p> <p>Scoring differences:                      Quality Assurance (weighted value 1.64): 5 points for the Record Keeping adjustment in the Original DOC Score Workbook x 1.64 = a total score difference of 8.2 points                      Security (weighted value 2.00): 5 points for the Record Keeping criterion recorded in the Original DOC Score Workbook x 2.00 = a total score difference of 10.0 points</p> <p>Total scoring differences: 18.2 points less the 2.0 points from difference #1 described above come to a total score difference of 16.20 points</p>					

Application #	Business Entity	Original DOC Score Workbook		DOC score per Consensus Score Sheets		Difference between Original DOC Score Workbook and DOC score per Consensus Score Sheets
		Score After Redaction	Rank	Score After Redaction	Rank	
MMCP-C-201706-0070	Hearing III LLC	124.66	DQ	122.66	DQ	(2.00)
<b>Nature of Difference</b>	<p>The DOC score team awarded a point value of 0 according to the ‘Yes’ and ‘No’ determinations assigned and the scoring rubric in the Security section consensus score sheets, sub-section 1 (Surveillance Technology). The Original DOC Score Workbook shows a point value of 1 in the same sub-section for a raw difference of 1.0. Due to the Security section having a weighted value of 2.0, the total difference in scores is 2.0.</p> <p>The DOC score team awarded point values of 5 according to the ‘Yes’ determinations assigned and the scoring rubric in the Record Keeping sub-section of both the Quality Assurance and Security consensus score sheets. The Original DOC Score Workbook shows point values of 5 (Quality Assurance - Record Keeping) and 0 (Security - Record Keeping). While the point value of 0 recorded in the Record Keeping sub-section of Security in the Original DOC Score Workbook does not correspond with the point value of 5 marked on the consensus score sheet, the score is not affected by this difference because of the Record Keeping adjustment in the workbook. The Original DOC Score Workbook shows a point value of 5 in the Record Keeping sub-section of Quality Assurance, which triggered the "Adjustment Needed" (Y) and the awarding of the additional 5 points to the Record Keeping sub-section in Security. This Category 1 difference did not impact which entities received the top 12 scores.</p> <p><i>Please refer to the full description of the Record Keeping Adjustment described above in application 0069.</i></p>					

## Appendix E

*Category 2 difference - Nine differences between the score reported on DOC consensus score sheets and the score indicated by the ‘Yes’ and ‘No’ determinations on the DOC consensus score sheets*

Application #	Business Entity	DOC score per Consensus Score Sheets		Score and Rank Based on ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets		Difference between the score reported on DOC Consensus Score Sheets and the score indicated by the ‘Yes’ and ‘No’ determinations on the DOC consensus score sheets	
		Score After Redaction	Rank	Score After Redaction	Rank	Difference	Nature of Difference
MMCP-C-201706-0001	RSLBC	77.08	DQ	75.44	DQ	(1.64)	According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Quality Assurance section consensus score sheets, sub-section 5 (Adverse Events and Recall Procedures), the application did not meet a required element of the sub-section criteria and should have been awarded a point value of 0 according to the scoring rubric. The DOC scoring team awarded a point value of 1 for a raw difference of 1.0. Due to the Quality Assurance section having a weighted value of 1.64, the total difference in scores is 1.64. This Category 2 difference did not impact which entities received the top 12 scores.
MMCP-C-201706-0027	Ancient Roots LLC	168.76	4/5	164.76	5	(4.00)	According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Security section consensus score sheets, sub-section 1 (Surveillance Technology), the point value awarded should have been a 1 according to the scoring rubric. The DOC scoring team awarded a point value of 3 for a raw difference of 2.0. Due to the Security section having a weighted value of 2.0, the total difference in scores is 4.0. This Category 2 difference did not impact which entities received the top 12 scores. Please refer to <b>Summary of Level 2 findings – Category 2 difference</b> within the report for additional details.

Application #	Business Entity	DOC score per Consensus Score Sheets		Score and Rank Based on ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets		Difference between the score reported on DOC Consensus Score Sheets and the score indicated by the ‘Yes’ and ‘No’ determinations on the DOC consensus score sheets	
		Score After Redaction	Rank	Score After Redaction	Rank	Difference	Nature of Difference
MMCP-C-201706-0043	Chloris CC LLC	84.34	DQ	79.96	DQ	(4.38)	According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Business section consensus score sheets, sub-section 2 (Business Model), the point value awarded should have been a 0 according to the scoring rubric. The DOC scoring team awarded a point value of 3 for a raw difference of 3.0. Due to the Business section having a weighted value of 1.46, the total difference in scores is 4.38. This Category 2 difference did not impact which entities received the top 12 scores.
MMCP-C-201706-0052	MJMD Enterprises LTD	79.48	DQ	84.20	DQ	4.72	According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Operations section consensus score sheets, sub-section 3 (Product Timeline and Production Schedule), the point value awarded should have been a 3 according to the scoring rubric. The DOC scoring team awarded a point value of 1 for a raw difference of 2.0. Due to the Operations section having a weighted value of 2.36, the total difference in scores is 4.72. This Category 2 difference did not impact which entities received the top 12 scores.
MMCP-C-201706-0058	BBSD Cultivators LLC	23.44	DQ	25.80	DQ	2.36	According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Operations section consensus score sheets, sub-section 3 (Product Timeline and Production Schedule), the point value awarded should have been a 1 according to the scoring rubric. The DOC scoring team awarded a point value of 0 for a raw difference of 1.0. Due to the Operations section having a weighted value of 2.36, the total difference in scores is 2.36. This Category 2 difference did not impact which entities received the top 12 scores.
MMCP-C-201706-0065	Bickshaw Investment Group LLC	101.64	DQ	97.64	DQ	(4.00)	According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Security section consensus score sheets, sub-section 1 (Surveillance Technology), the point value awarded should have been a 1 according to the scoring rubric. The DOC scoring team awarded a point value of 3 for a raw difference of 2.0. Due to the Security section having a weighted value of 2.0, the total difference in scores is 4.0. This Category 2 difference did not

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Application #	Business Entity	DOC score per Consensus Score Sheets		Score and Rank Based on ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets		Difference between the score reported on DOC Consensus Score Sheets and the score indicated by the ‘Yes’ and ‘No’ determinations on the DOC consensus score sheets	
		Score After Redaction	Rank	Score After Redaction	Rank	Difference	Nature of Difference
							impact which entities received the top 12 scores.
MMCP-C-201706-0067	Pure Medicinal Company	45.42	DQ	63.62	DQ	18.20	<p>According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Quality Assurance section consensus score sheets, sub-section 6 (Record Keeping and Regulatory Compliance), the point value awarded should have been a 5 according to the scoring rubric. The DOC scoring team awarded a point value of 0 for a raw difference of 5.0. Due to the Quality Assurance section having a weighted value of 1.64, the total difference in scores is 8.2.</p> <p>In addition, due to the application also receiving 0 points for Record Keeping in the Security section of the Original DOC Score Workbook, the application was marked (N) for "Adjustment Needed". A point value of 5 in the Quality Assurance section would have triggered an additional 5 points being award to the Security section. Due to the Security section having a weighted value of 2.0, the total difference in scores is 10.0. This Category 2 difference did not impact which entities received the top 12 scores.</p> <p><i>Please refer to the full description of the Record Keeping Adjustment described in Appendix D, Category 1 difference, for application 0069.</i></p>
MMCP-C-201706-0066	Ohio Clean Leaf LLC (Carroll)	160.56	6	150.56	DQ	(10.00)	<p>According to the ‘Yes’ and ‘No’ determinations marked by the DOC scoring team in the Security section consensus score sheets, sub-section 2 (Physical Security), the application did not meet a required element of the sub-section criteria and should have been awarded a point value of 0 according to the scoring rubric. The DOC scoring team awarded a point value of 5 for a raw difference of 5.0. Due to the Security section having a weighted value of 2.0, the total difference in scores is 10.0. However, based on further analysis by EY, as described in the <b>Summary of Level 2 findings – Category 2 Difference</b> within the report and summarized in <b>Appendix F</b>, the original</p>

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Application #	Business Entity	DOC score per Consensus Score Sheets		Score and Rank Based on 'Yes' and 'No' determinations on the DOC Consensus Score Sheets		Difference between the score reported on DOC Consensus Score Sheets and the score indicated by the 'Yes' and 'No' determinations on the DOC consensus score sheets	
		Score After Redaction	Rank	Score After Redaction	Rank	Difference	Nature of Difference
							score for application 0066 was determined to be correct.
MMCP-C-201706-0075	Ohio Clean Leaf LLC (Dayton)	160.56	6	156.56	DQ	(4.00)	<p>According to the 'Yes' and 'No' determinations marked by the DOC scoring team in the Security section consensus score sheets, sub-section 1 (Surveillance Technology), the point value awarded should have been a 1 according to the scoring rubric. The DOC scoring team awarded a point value of 3 for a raw difference of 2.0. Due to the Security section having a weighted value of 2.0, the total difference in scores is 4.0.</p> <p>However, based on further analysis by EY, as described in the <b>Summary of Level 2 findings – Category 2 Difference</b> within the report and summarized in <b>Appendix F</b>, the original score for application 0075 was determined to be correct.</p>

## Appendix F

### Summary of Re-Review for Category 2 Differences

Application ID	Business Entity	DOC score per Consensus Score Sheets After Redaction	Rank based on Original DOC Score Workbook	Analysis based on DOC Consensus Score Sheets and Re-review results		Summary of Re-Review for Category 2 Differences
				Score After Redaction	Rank	
MMCP-C-201706-0001	RSLBC	77.08	DQ	75.44	DQ	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Quality Assurance scoring team marked criteria 2 and 5 (Notification to dispensaries and Notification to Department) as ‘No’ during the re-review performed on June 11. Criterion 2 was a required element in this sub-section. Both of these criteria were marked ‘Yes’ on the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Adverse Events and Recall Procedures according to the re-review, 0 points were awarded in this sub-section. In the Original DOC Consensus Score Sheet, 1 point was awarded, which results in a raw score variance of 1.0 and a converted score difference of 1.64, after the weights were applied.</p>
MMCP-C-201706-0027	Ancient Roots LLC	168.76	4/5	168.76	4/5	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Security scoring team marked criteria 4, 5, and 6 (Security system, Enhanced video surveillance, and Security and/or video surveillance) as ‘Yes’ during the re-review performed on June 8. These criteria were all marked ‘No’ on the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Surveillance Technology according to the re-review procedures, either 3 or 5 points could be awarded per the scoring rubric. The number of compliant features was 5, which fell on the borderline between point values of 3 and 5. In the re-review, the Security scoring team awarded the application 3 points and commented “N/A” for additional features that materially improved the plan. The 3 points awarded in the re-review of this sub-section agrees to the points originally awarded per the Original DOC Consensus Score Sheet.</p> <p>While there was no change in the points awarded, the Original DOC Consensus Score Sheet noted two compliant features and the re-review noted five compliant features.</p>

Application ID	Business Entity	DOC score per Consensus Score Sheets After Redaction	Rank based on Original DOC Score Workbook	Analysis based on DOC Consensus Score Sheets and Re-review results		Summary of Re-Review for Category 2 Differences
				Score After Redaction	Rank	
MMCP-C-201706-0043	Chloris CC LLC	84.34	DQ	79.96	DQ	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Business scoring team marked the same ‘Yes’ and ‘No’ determinations during the re-review performed on June 12 as were recorded in the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Business Model according to the re-review, 0 points were awarded in this sub-section. In the Original DOC Consensus Score Sheet, 3 points were awarded, which results in a raw score variance of 3.0 and a converted score difference of 4.38, after the weights were applied.</p>
MMCP-C-201706-0052	MJMD Enterprises LTD	79.48	DQ	79.48	DQ	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Operations scoring team marked criterion 5 (Timeline to produce) as ‘No’ during the re-review performed on June 11. This criterion was marked ‘Yes’ on the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Product Timeline and Production Schedule according to the re-review, 1 point was awarded in this sub-section, which agrees to the points awarded per the Original DOC Consensus Score Sheet.</p>
MMCP-C-201706-0058	BBSD Cultivators LLC	23.44	DQ	23.44	DQ	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Operations scoring team marked criterion 1 (Timeline for growth cycle) as ‘No’ during the re-review performed on June 11. This criterion was marked ‘Yes’ on the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Product Timeline and Production Schedule according to the re-review, 0 points were awarded in this sub-section, which agrees to the points awarded per the Original DOC Consensus Score Sheet.</p>

Application ID	Business Entity	DOC score per Consensus Score Sheets After Redaction	Rank based on Original DOC Score Workbook	Analysis based on DOC Consensus Score Sheets and Re-review results		Summary of Re-Review for Category 2 Differences
				Score After Redaction	Rank	
MMCP-C-201706-0065	Bickshaw Investment Group LLC	101.64	DQ	101.64	DQ	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Security scoring team marked criterion 5 (Enhanced Video Surveillance) as ‘Yes’ during the re-review performed on June 8. This criterion was marked ‘No’ on the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Surveillance Technology according to the re-review, 3 points were awarded in this sub-section, which agrees to the points awarded per the Original DOC Consensus Score Sheet.</p>
MMCP-C-201706-0067	Pure Medicinal Company	45.42	DQ	45.42	DQ	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Quality Assurance scoring team marked criterion 1 (Record keeping) as ‘No’ during the re-review performed on June 11. This criterion was marked ‘Yes’ on the Original DOC Consensus Score Sheet.</p> <p>Based upon the number of compliant features for Record Keeping and Regulatory Compliance according to the re-review, 0 points were awarded in this sub-section, which agrees to the points awarded per the Original DOC Consensus Score Sheet.</p>

Application ID	Business Entity	DOC Score per Consensus Score Sheets After Redaction	Rank based on Original DOC Score Workbook	Analysis based on DOC Consensus Score Sheets and Re-review results		Summary of Re-review for Category 2 Differences
				Score After Redaction	Rank	
MMCP-C-201706-0066	Ohio Clean Leaf LLC (Carroll)	160.56	6	160.56	6	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Security scoring team performed a re-review of the Physical Security sub-section of the Security Plan for Ohio Clean Leaf LLC application 0066 and the Surveillance Technology sub-section of the Security Plan for Ohio Clean Leaf LLC 0075. After EY compared the ‘Yes’ and ‘No’ determinations from the re-review results of applications 0066 and 0075, we identified differences in eight criteria across the four sub-sections of the Security Plan.</p> <p>Due to these differences and the similar application content between 0066 and 0075, EY organized an interview with the Security scoring team to further assess the determinations made during the initial re-review. During this interview, the Security scoring team read through the Security Plan application content for both applications and agreed the applications appeared to be substantially the same with some subtle differences and should have received the same ‘Yes’ and ‘No’ determinations in all but one criterion.</p> <p>We presented the Security scoring team with the eight criteria where there were differences in the ‘Yes’ and ‘No’ determinations between applications 0066 and 0075 and asked them to re-assess the ‘Yes’ and ‘No’ determinations based on their re-read of the Section 2 application content during our interview.</p> <p>Based upon the number of compliant features for Physical Security and Surveillance Technology according to the re-review procedures for both applications, the following points were awarded to both applications:</p> <ul style="list-style-type: none"> <li>• Surveillance Technology: 3 points</li> <li>• Physical Security: 5 points</li> <li>• Transportation Policies: 0 points</li> <li>• Record Keeping: 5 points</li> <li>• <b>Total raw points: 13 points</b></li> </ul> <p>In the Original DOC Consensus Score Sheet, the following points were awarded:</p> <ul style="list-style-type: none"> <li>• Surveillance Technology: 3 points</li> <li>• Physical Security: 5 points</li> <li>• Transportation Policies: 0 points</li> <li>• Record Keeping: 0 points <ul style="list-style-type: none"> <li>○ Record Keeping adjustment: 5 points</li> </ul> </li> <li>• <b>Total raw points: 13 points</b></li> </ul>

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Application ID	Business Entity	DOC Score per Consensus Score Sheets After Redaction	Rank based on Original DOC Score Workbook	Analysis based on DOC Consensus Score Sheets and Re-review results		Summary of Re-review for Category 2 Differences
				Score After Redaction	Rank	
						<p>The raw score variance between the results of the re-review and the Original DOC Consensus Score Sheet is 0. The converted score difference is also 0.00 after the weights were applied.</p> <p><i>Refer to Summary of Level 2 findings – Category 2 difference for more details.</i></p>
MMCP-C-201706-0075	Ohio Clean Leaf LLC (Dayton)	160.56	6	160.56	6	<p>To resolve the differences identified between the ‘Yes’ and ‘No’ determinations on the DOC Consensus Score Sheets and the point values awarded, the DOC Security scoring team performed a re-review of the Surveillance Technology sub-section of the Security Plan for Ohio Clean Leaf LLC 0075 and Physical Security sub-section of the Security Plan for Ohio Clean Leaf LLC application 0066. After EY compared the ‘Yes’ and ‘No’ determinations from the re-review results of applications 0066 and 0075, we identified differences in eight criteria across the four sub-sections of the Security Plan.</p> <p>Due to these differences and the similar application content between 0066 and 0075, EY organized an interview with the Security scoring team to further assess the determinations made during the initial re-review. During this interview, the Security scoring team read through the Security Plan application content for both applications and agreed the applications appeared to be substantially the same with some subtle differences and should have received the same ‘Yes’ and ‘No’ determinations in all but one criterion.</p> <p>We presented the Security scoring team with the eight criteria where there were differences in the ‘Yes’ and ‘No’ determinations between applications 0066 and 0075 and asked them to re-assess the ‘Yes’ and ‘No’ determinations based on their re-read of the Section 2 application content during our interview.</p>

Application ID	Business Entity	DOC Score per Consensus Score Sheets After Redaction	Rank based on Original DOC Score Workbook	Analysis based on DOC Consensus Score Sheets and Re-review results		Summary of Re-review for Category 2 Differences
				Score After Redaction	Rank	
MMCP-C-201706-0075	Ohio Clean Leaf LLC (Dayton)	160.56	6	160.56	6	<p>Based upon the number of compliant features for Physical Security and Surveillance Technology according to the re-review procedures for both applications, the following points were awarded to both applications:</p> <ul style="list-style-type: none"> <li>• Surveillance Technology: 3 points</li> <li>• Physical Security: 5 points</li> <li>• Transportation Policies: 0 points</li> <li>• Record Keeping: 5 points</li> <li>• <b>Total raw points: 13 points</b></li> </ul> <p>In the Original DOC Consensus Score Sheet, the following points were awarded:</p> <ul style="list-style-type: none"> <li>• Surveillance Technology: 3 points</li> <li>• Physical Security: 5 points</li> <li>• Transportation Policies: 0 points</li> <li>• Record Keeping: 0 points                             <ul style="list-style-type: none"> <li>○ Record Keeping adjustment: 5 points</li> </ul> </li> <li>• <b>Total raw points: 13 points</b></li> </ul> <p>The raw score variance between the results of the re-review and the Original DOC Consensus Score Sheet is 0.0. The converted score difference is also 0.00 after the weights were applied.</p> <p><i>Refer to <b>Summary of Level 2 Findings – Category 2 difference</b> for more details.</i></p>

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## Appendix G

### *Interviews conducted*

#	Name	Title at Time of Interview
1	Nate Mealy	Deputy Chief Legal Counsel
2	Brian Peters	Senior Attorney
3	Justin Hunt	Chief Operating Officer
4	Mark Edwards	Chief Information Officer
5	Steve Regoli	Architect Administrator, Team Lead of Security plan scoring team
6	Kathy Frato	MMCP Project Manager
7	Diana Wynkoop	Administrative Professional and MMCP Program Administrator
8	Mark Hamlin	Senior Policy Advisor

## Appendix H.1

### Original DOC Level 2 rankings and recalculated score and rank

#	Application ID	Entity Name	Score After Redactions	Original DOC Score Workbook Rank	Recalculated Score After Redactions	Recalculated Rank
1	MMCP-C-201706-0010	Fire Rock, LTD	178.92	1	178.92	1
2	MMCP-C-201706-0011	Fire Rock, LTD	178.92	1	178.92	1
3	MMCP-C-201706-0012	Fire Rock, LTD	178.92	1	178.92	1
4	MMCP-C-201706-0017	FN Group Holdings	176.76	2	176.76	2
5	MMCP-C-201706-0038	Mother Grows Best LLC	172.00	3	172.00	3
6	MMCP-C-201706-0035	OhiGrow LLC	168.76	4/5	168.76	4/5
7	MMCP-C-201706-0027	Ancient Roots LLC	168.76	4/5	168.76	4/5
8	MMCP-C-201706-0009	Cielo Jardin, LLC	167.28	DQ	167.28	DQ
9	MMCP-C-201706-0066	Ohio Clean Leaf LLC (Carroll)	160.56	6	160.56	6
10	MMCP-C-201706-0075	Ohio Clean Leaf LLC (Dayton)	160.56	6	160.56	6
11	MMCP-C-201706-0042	Pure OH LLC	157.28	DQ	157.28	DQ
12	MMCP-C-201706-0057	Ascension Bio Medical	157.08	7	157.08	7
13	MMCP-C-201706-0013	Agri-Med Ohio LLC	156.60	8	156.60	8
14	MMCP-C-201706-0003	Paragon Development Group, LLC	154.56	9	154.56	9
15	MMCP-C-201706-0076	Hemma LLC	151.28	10	151.28	10
16	MMCP-C-201706-0015	Galenas LLC	148.92	11	148.92	11
17	MMCP-C-201706-0050	Secure Cultivation Company	144.16	DQ	144.16	DQ
18	MMCP-C-201706-0005	Buckeye Pharms LLC	143.28	DQ	143.28	DQ
19	MMCP-C-201706-0025	Farkas Farms, LLC	143.08	12	143.08	12
20	MMCP-C-201706-0060	Agrimed Industries of OH LLC	142.76	13	142.76	13
21	MMCP-C-201706-0047	Ohio Valley Responsible Cultivators	136.92	DQ	136.92	DQ
22	MMCP-C-201706-0007	Silver Rapids, LLC	131.64	DQ	131.64	DQ
23	MMCP-C-201706-0022	Buckeye Leaf LLC	129.44	DQ	129.44	DQ
24	MMCP-C-201706-0016	Pure Leaf LLC	128.00	DQ	128.00	DQ
25	MMCP-C-201706-0032	Botanical Boutique, LLC	127.66	DQ	127.66	DQ
26	MMCP-C-201706-0070	Hearing III LLC	124.66	DQ	122.66	DQ
27	MMCP-C-201706-0030	Certified Pharmaceuticals LLC (Newark)	120.00	DQ	120.00	DQ
28	MMCP-C-201706-0021	Canapa Supply, Inc.	118.70	DQ	118.70	DQ
29	MMCP-C-201706-0031	Certified Pharmaceuticals LLC Columbus	115.62	DQ	115.62	DQ
30	MMCP-C-201706-0028	Ohio Marijuana Supply LLC	113.84	DQ	113.84	DQ
31	MMCP-C-201706-0006	Ohio Greenland, Inc.	107.48	DQ	107.48	DQ
32	MMCP-C-201706-0019	BLD Agrology LLC	103.98	DQ	103.98	DQ
33	MMCP-C-201706-0008	Marlentip Industries	102.20	DQ	102.20	DQ
34	MMCP-C-201706-0065	Bickshaw Investment Group LLC	101.64	DQ	101.64	DQ
35	MMCP-C-201706-0036	Clean Green Farms LLC	100.36	DQ	100.36	DQ
36	MMCP-C-201706-0044	Ohio Wellness Cultivators, LLC	94.00	DQ	94.00	DQ
37	MMCP-C-201706-0056	The Summit Bonsai, Inc.	90.36	DQ	90.36	DQ

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State of Ohio Department of Commerce – Medical Marijuana Control Program cultivator licensing scoring analysis

#	Application ID	Entity Name	Score After Redactions	Original DOC Score Workbook Rank	Recalculated Score After Redactions	Recalculated Rank
38	MMCP-C-201706-0068	National Biopharma	88.12	DQ	88.12	DQ
39	MMCP-C-201706-0034	Mer-IT Releaf LTD	87.44	DQ	87.44	DQ
40	MMCP-C-201706-0033	O Meds LLC	85.12	DQ	85.12	DQ
41	MMCP-C-201706-0043	Chloris CC LLC	84.34	DQ	79.96	DQ
42	MMCP-C-201706-0023	Nature House, LLC	83.98	DQ	83.98	DQ
43	MMCP-C-201706-0041	Grow Vinton LLC	83.24	DQ	83.24	DQ
44	MMCP-C-201706-0063	Official Organics LLC	81.62	DQ	81.62	DQ
45	MMCP-C-201706-0026	TFO LLC	81.48	DQ	81.48	DQ
46	MMCP-C-201706-0052	MJMD Enterprises LTD	79.48	DQ	79.48	DQ
47	MMCP-C-201706-0001	RSLBC	77.08	DQ	75.44	DQ
48	MMCP-C-201706-0024	Crataegus, LLC	74.70	DQ	74.70	DQ
49	MMCP-C-201706-0049	RG Farms LLC	71.98	DQ	71.98	DQ
50	MMCP-C-201706-0029	American Cannabis Enterprise	70.32	DQ	70.32	DQ
51	MMCP-C-201706-0037	Fortuity LLC	68.22	DQ	68.22	DQ
52	MMCP-C-201706-0073	Earth Philosophy	66.76	DQ	66.76	DQ
53	MMCP-C-201706-0046	CBDJ, Inc.	59.96	DQ	59.96	DQ
54	MMCP-C-201706-0039	Capital City Medicinal	58.70	DQ	58.70	DQ
55	MMCP-C-201706-0064	Eastside Nursery Cultivators LTD	46.32	DQ	46.32	DQ
56	MMCP-C-201706-0067	Pure Medicinal Company	45.42	DQ	45.42	DQ
57	MMCP-C-201706-0018	Compassionate Hearts Cultivation	45.08	DQ	45.08	DQ
58	MMCP-C-201706-0074	Runkadela Productions LTD	44.34	DQ	44.34	DQ
59	MMCP-C-201706-0051	New Age Farms LLC	42.20	DQ	42.20	DQ
60	MMCP-C-201706-0055	OH Canna Wellness LLC	42.16	DQ	42.16	DQ
61	MMCP-C-201706-0054	Warchag, Inc.	41.96	DQ	41.96	DQ
62	MMCP-C-201706-0048	Med-Treez Inc.	41.46	DQ	41.46	DQ
63	MMCP-C-201706-0061	Omni Farms LLC	35.44	DQ	35.44	DQ
64	MMCP-C-201706-0062	Ganja Farms LLC	33.98	DQ	33.98	DQ
65	MMCP-C-201706-0059	Essential Creations	24.14	DQ	24.14	DQ
66	MMCP-C-201706-0058	BBSD Cultivators LLC	23.44	DQ	23.44	DQ
67	MMCP-C-201706-0020	Paradise Farms LLP	20.52	DQ	20.52	DQ
68	MMCP-C-201706-0045	Kenneth Arien Lowery	19.42	DQ	19.42	DQ
69	MMCP-C-201706-0040	Green Health +Wellness	19.28	DQ	19.28	DQ
70	MMCP-C-201706-0053	Ohio Medigreen LTD	16.32	DQ	16.32	DQ
71	MMCP-C-201706-0071	Structural Gardens	15.26	DQ	15.26	DQ
72	MMCP-C-201706-0014	DRD Medical LLC	6.20	DQ	6.20	DQ
73	MMCP-C-201706-0072	Canabiz LLC	3.64	DQ	3.64	DQ
74	MMCP-C-201706-0002	Legally Rooted	(8.74)	DQ	(8.74)	DQ
75	MMCP-C-201706-0069	BluSky Wellness, LLC	(13.44)	DQ	(29.64)	DQ
76	MMCP-C-201706-0004	P&M Organics LLC	(268.04)	DQ	(268.04)	DQ

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## Appendix H.2

### *Recalculated Level 2 rankings*

<b>Application ID</b>	<b>Entity Name</b>	<b>Recalculated Score After Redactions</b>	<b>Recalculated Rank</b>
MMCP-C-201706-0010	Fire Rock, LTD	178.92	1
MMCP-C-201706-0011	Fire Rock, LTD	178.92	1
MMCP-C-201706-0012	Fire Rock, LTD	178.92	1
MMCP-C-201706-0017	FN Group Holdings	176.76	2
MMCP-C-201706-0038	Mother Grows Best LLC	172.00	3
MMCP-C-201706-0035	OhiGrow LLC	168.76	4/5
MMCP-C-201706-0027	Ancient Roots LLC	168.76	4/5
MMCP-C-201706-0066	Ohio Clean Leaf LLC (Carroll)	160.56	6
MMCP-C-201706-0075	Ohio Clean Leaf LLC (Dayton)	160.56	6
MMCP-C-201706-0057	Ascension Bio Medical	157.08	7
MMCP-C-201706-0013	Agri-Med Ohio LLC	156.60	8
MMCP-C-201706-0003	Paragon Development Group, LLC	154.56	9
MMCP-C-201706-0076	Hemma LLC	151.28	10
MMCP-C-201706-0015	Galenas, LLC	148.92	11
MMCP-C-201706-0025	Farkas Farms, LLC	143.08	12
MMCP-C-201706-0060	Agrimed Industries of OH LLC	142.76	13

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