



Compliance Culture Checklist

Culture is the way a group of people does things. It shows up in three ways: **artifacts**, **behavior**, and **values**.

To build a culture of compliance, you need to develop artifacts, behavior, and values that support it. We've provided this checklist to give you ideas.

The goal is to create alignment: The things you can see, hear, or touch and the behavior of your employees should reflect your values.

Artifacts	Behavior	Values
<i>Things you can see or hear or touch</i> <i>Sign saying "21 and over only"</i>	<i>Behaviors and actions we can see and experience</i> <i>Employee checks a customer's ID and determines that it's invalid</i>	<i>Attitudes and assumptions we experience but don't see</i> <i>Employee's feelings about use of cannabis by a 20-year-old</i>
<input type="checkbox"/> Business plan that reflects a commitment to compliance <input type="checkbox"/> Operations plan that contains compliant processes <input type="checkbox"/> Packaging that complies with LCB and WSDA laws <input type="checkbox"/> Compliant floor plan and parking plan filed with the city <input type="checkbox"/> Clear and up-to-date sales records <input type="checkbox"/> LCB posters displayed on the sales floor <input type="checkbox"/> L&I posters displayed in the breakroom <input type="checkbox"/> Safety bulletin board in the breakroom <input type="checkbox"/> Training materials that ensure all staff members learn about compliance <input type="checkbox"/> Well-organized records and documents	<input type="checkbox"/> Staff member checks customer ID before making a sale <input type="checkbox"/> Staff member refuses a sale to an intoxicated person <input type="checkbox"/> Business makes timely CCRS filings <input type="checkbox"/> Owner or manager holds regular meetings with an accountant to go over tax payments <input type="checkbox"/> In an employee training session, the trainer walks through compliant processes <input type="checkbox"/> Owner reads industry news every day to learn about changes to cannabis laws <input type="checkbox"/> Store staff reacts to an LCB visit with courtesy and professionalism <input type="checkbox"/> Government reports and license renewals are filed on time	<input type="checkbox"/> Value placed on compliance <input type="checkbox"/> Beliefs about the risk of non-compliance <input type="checkbox"/> Feelings about the legal system <input type="checkbox"/> Habits around paying fees and taxes <input type="checkbox"/> Assumptions about what you can "get away with" <input type="checkbox"/> Concern for the well-being of the staff <input type="checkbox"/> Care about the safety of minors
YOUR CULTURE What is missing? What could you do to strengthen your culture of compliance?		