



System Ethics & Compliance Office
 Annual D.E.I. Compliance
ECO Review Checklist

Member Agency/Institution: _____
 Ethics & Compliance Officer: _____
 Chief Executive Officer: _____

FINANCE & BUDGETING	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<p>Budgets & Accounting: <i>Determine whether the member has complied with the elimination of account and budget codes that fund diversity, equity, and inclusion initiatives in violation of DEI Law as implemented by System Policy 08.01, Civil Rights Compliance and Protections.</i></p>				
<ul style="list-style-type: none"> Identified accounts and/or budget codes that fund DEI initiatives and taken action to ensure compliance. 				
<ul style="list-style-type: none"> Eliminated accounts and/or budget codes to include titles, locations/departments, sub-accounts/sub-departments, and funding sources that violate DEI Law. 				
<ul style="list-style-type: none"> Implemented procedures for the systemic review and vetting of current and proposed accounts and budget codes to include titles, locations/departments, sub-accounts/sub-departments, and funding sources to ensure compliance. 				
<ul style="list-style-type: none"> Implemented a record-retention process for reporting purposes. 				

HUMAN RESOURCES	Meets Compliance? Y/N/NA	Employee Responsible (include title and location)	Summary of Action Taken (identify documented evidence used in the process)	Date Verified
<u>DEI Related Offices and Third-Party Contracts:</u> Determine whether the member has complied with the elimination of departments, divisions, and/or offices that violate the DEI Law as implemented by System Policy 08.01, Civil Rights Compliance and Protections.				
<ul style="list-style-type: none"> Identified offices, divisions, or other units that are responsible for diversity, equity, and inclusion initiatives and took action to ensure compliance. 				
<ul style="list-style-type: none"> Identified third-party vendors performing the duties of a diversity, equity, and inclusion office and took action to ensure compliance. 				
<u>Personnel:</u> Determine whether the member has complied with the restriction on hiring or assigning employees to perform the duties of diversity, equity, and inclusion.				
<ul style="list-style-type: none"> Identified active personnel with responsibilities for performing diversity, equity, and inclusion functions and took action to ensure compliance. 				
<ul style="list-style-type: none"> Identified unallowable personnel duties within active and inactive job descriptions and working templates for language that violates DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Identified employee funding sources that violate DEI Law and took action to ensure compliance. 				

Hiring and Employment Practices and Procedures: *Determine whether member hiring and employment practices and procedures have been updated to exclude requirements for DEI statements and do not provide special benefit or promote preferential treatment on the basis of race, sex, color, ethnicity, or national origin to an applicant for employment, an employee, or a participant in any function of the institution relating to this process.*

<ul style="list-style-type: none"> Reviewed hiring and employment documents and materials, to include rubrics and matrices, and identified prohibited language, requirements, practices and/or procedures took action to ensure compliance. <i>(See DEI Law Operations Manual under IV. Monitoring, Section B, Item 2c for a comprehensive list.)</i> 				
<ul style="list-style-type: none"> Reviewed performance evaluation tools and metrics, documents and forms for promotions, merit increases, and equity adjustments, and all related procedures; identified prohibited language and/or requirements and took action to ensure compliance. 				
<ul style="list-style-type: none"> Implemented a system of systemic evaluation and review to vet proposed positions, processes, and materials to ensure they meet compliance prior to publication. 				

Training Sessions and Materials: *Determine whether the member has complied with the elimination of required training sessions and materials that violate the DEI Law as implemented by System Policy 08.01, Civil Rights Compliance and Protections.*

<ul style="list-style-type: none"> Reviewed required training sessions for those identified as prohibited by DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all training sessions and materials for language and elements prohibited by DEI Law and took action to ensure compliance. 				

<ul style="list-style-type: none"> Implemented procedures to review proposed training sessions and materials for compliance prior to activation. 				
FACULTY AFFAIRS	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<u>Procedures, Programs and Activities:</u> <i>Determine whether the member has discontinued procedures, programs and activities which promote differential treatment of or provide special benefits to individuals on the basis of race, color, or ethnicity.</i>				
<ul style="list-style-type: none"> Reviewed all faculty hiring and recruiting practices and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all procedures for tenure review, promotions, merit increases, and equity adjustments; identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all faculty organizations supported by the university to evaluate their purpose, structure, and funding. Identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all grant proposals and accreditation certifications and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all accreditation certifications and identified those that violate DEI Law and took action to ensure compliance. 				

<ul style="list-style-type: none"> Reviewed the provisions for all academic or professional opportunities extended to students, faculty, and visiting scholars to include institutional conferences and seminars and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all forms, documents, procedures, and practices related to the functions listed in this section and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Implemented procedures for the systemic evaluation and review of all functions listed in this section to include the vetting of proposed processes, practices, organizations, funding proposals, certifications and corresponding materials to ensure compliance. 				
STUDENT AFFAIRS	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<p><u>Procedures, Programs and Activities:</u> <i>Determine whether the member has discontinued procedures, programs and activities which promote differential treatment of or provide special benefits to individuals on the basis of race, color, or ethnicity.</i></p>				
<ul style="list-style-type: none"> Reviewed all departmental events including institutional conferences and seminars and identified those that violate DEI Law and took action to ensure compliance. 				

<ul style="list-style-type: none"> Reviewed all staff work and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all student and staff training sessions and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all student success and outreach programs and identified those that violate DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Implemented procedures for the systemic evaluation and review of all trainings, programs, events, and activities to ensure compliance. 				
SCHOLARSHIPS & FINANCIAL AID	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
Scholarships & Financial Aid: <i>Determine whether the member has discontinued the award of scholarships and financial aid that promote differential treatment of or provide special benefits to individuals on the basis of race, color, or ethnicity.</i>				
<ul style="list-style-type: none"> Reviewed all awards administered, promoted, and/or facilitated by the member for violation of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all outlets announcing or promoting scholarships and financial aid, to include websites and social media pages, for violation of DEI Law and took action to ensure compliance. 				

<ul style="list-style-type: none"> Reviewed all materials including but not limited to applications, informational documents, marketing materials, guidelines, and operating documents for violations of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Implemented procedures for the systemic review of all functions listed above to ensure compliance. 				
ATHLETICS	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<p><u>Procedures, Programs and Activities:</u> <i>Determine whether the member has discontinued procedures, programs and activities which promote differential treatment of or provide special benefits to individuals on the basis of race, color, or ethnicity.</i></p>				
<ul style="list-style-type: none"> Reviewed procedures, programs, and activities for violations of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed required non-athletic training sessions (internal and external) for students and staff for violations of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all materials developed, produced, funded, and distributed through the department to include applications, marketing materials, guidelines, operating manuals, and any other publication provided by the department for violations of DEI Law and took action to ensure compliance. 				

<ul style="list-style-type: none"> Reviewed all co-sponsored events with outside entities for violations of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Implemented procedures for the systemic review of all functions listed above to ensure compliance. 				
WEBSITES & SOCIAL MEDIA	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<u>Website and Social Media Information:</u> <i>Determine whether references to unallowable diversity, equity and inclusion activities on member websites and social media platforms have been identified and removed.</i>				
<ul style="list-style-type: none"> Reviewed member websites and social media platforms for content, links, static materials, and downloadable documents for violation of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed affiliate websites and social media platforms for content and affiliation language in violation of DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Implemented a systemic process of review of member websites, domains, and social media platforms to include keyword searches to identify references to DEI related terms that violate DEI Law and took action to ensure compliance. 				

<ul style="list-style-type: none"> Implemented a vetting process by which proposed information to be posted to member websites, domains, social media platforms, or any Internet or network outlet will be evaluated to ensure compliance with DEI Law. 				
INTERNAL CONTROLS & MONITORING	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title and location)</i>	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<p>Internal Controls & Monitoring: <i>Determine whether the member has removed prohibited diversity, equity, and inclusion related rules, developed and implemented operating procedures, and implemented internal controls according to DEI Law and A&M System Policy 08.01.</i></p>				
<ul style="list-style-type: none"> Reviewed and identified member rules and operating procedures in place that are not compliant with DEI Law and took action to ensure compliance. 				
<ul style="list-style-type: none"> Developed and implemented operating procedures to ensure continued compliance with DEI Law. 				
<ul style="list-style-type: none"> Implemented internal controls including assignment of monitoring responsibilities, procedures for training, and processes for disseminating information to stakeholders to ensure compliance with DEI Law. 				
<ul style="list-style-type: none"> Developed a compliance response and reporting process to address issues of noncompliance with DEI Law. 				

<ul style="list-style-type: none"> Identified procedures for disciplinary action/sanctioning for violations of DEI Law. 				
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SUMMARY OF FINDINGS: *(to be completed by SECO/OGC)*

- _____ Meets compliance
- _____ Meets compliance after implementing recommendations
- _____ Factors preventing compliance as agency/institute of higher learning has not implemented recommendations on statutory/regulatory requirements

SIGNATURES

Compliance Officer

Date

Approved by:

Chief Executive Officer

Date