



SYSTEM ETHICS & COMPLIANCE OFFICE

Annual D.E.I. Compliance

Review Checklist: Human Resources

Member Agency/Institution: _____

Chief Human Resources Officer: _____

Review Completed by: _____

HUMAN RESOURCES	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<p><u>DEI Related Offices and Third-Party Contracts:</u> <i>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.</i></p>		
<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. 		
<p><u>Personnel:</u> <i>Determine whether the member has complied with the restriction on hiring or assigning employees to perform the duties of diversity, equity, and inclusion.</i></p>		
<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. 		

SUMMARY OF FINDINGS: *(to be completed by Member Ethics & Compliance Officer)*

- _____ 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

Employee Completing Checklist

Title

Signature

Date

Approved by:

Ethics & Compliance Officer

Date