|  |  |
| --- | --- |
| Member Agency/Institution: |  |
| Ethics & Compliance Officer: |  |
| Review Completed by: |  |

|  |  |  |
| --- | --- | --- |
| **INTERNAL CONTROLS & MONITORING** | **Summary of Action Taken**  ***(identify documented evidence used in the process)*** | **Date Verified** |
| **Internal Controls & Monitoring**: *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.* | | |
| * Reviewed and identified member rules and operating procedures in place that are not compliant with DEI Law and took action to ensure compliance. |  |  |
| * Developed and implemented operating procedures to ensure continued compliance with DEI Law. |  |  |
| * Implemented internal controls including assignment of monitoring responsibilities, procedures for training, and processes for disseminating information to stakeholders to ensure compliance with DEI Law. |  |  |
| * Developed a compliance response and reporting process to address issues of noncompliance with DEI Law. |  |  |
| * Identified procedures for disciplinary action/sanctioning for violations of DEI Law. |  |  |

**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