



SYSTEM ETHICS & COMPLIANCE OFFICE

Annual D.E.I. Compliance

Review Checklist: Internal Controls & Monitoring

Member Agency/Institution: _____

Ethics & Compliance Officer: _____

Review Completed by: _____

INTERNAL CONTROLS & MONITORING	Summary of Action Taken <i>(identify documented evidence used in the process)</i>	Date Verified
<p>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.</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. 		

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