

Annual DEI Compliance Checklist



Office of Compliance

FINANCE & BUDGETING	Meets Compliance? Y/N/NA	Employee Responsible (include title)	Summary of Action Taken (identify documented evidence used in the process)	Date Verified
Budgets & Accounting: Determine whether the department has complied with the elimination of account and budget codes that fund DEI initiatives in violation of SB 17.				
<ul style="list-style-type: none"> Identified accounts and/or budget codes that fund DEI initiatives; took action to ensure compliance. 				
<ul style="list-style-type: none"> Eliminated accounts and/or budget codes that violate SB 17, including titles, locations, departments, sub-accounts, sub-departments, and funding sources. 				
<ul style="list-style-type: none"> Implemented procedures for the systemic review and vetting of current and proposed accounts and budget codes to ensure compliance, including titles, locations, departments, sub-accounts, sub-departments, and funding sources. 				
<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)	Summary of Action Taken (identify documented evidence used in the process)	Date Verified
<u>DEI Related Offices and Third-Party Contracts:</u> <i>Determine whether the department has complied with the elimination of departments, divisions, and/or offices that violate SB 17.</i>				
<ul style="list-style-type: none"> Identified offices, divisions, or other units that are responsible for DEI initiatives; took action to ensure compliance. 				
<ul style="list-style-type: none"> Identified third-party vendors performing the duties of a DEI office; took action to ensure compliance. 				
<u>Personnel:</u> <i>Determine whether the department has complied with the restriction on hiring or assigning employees to perform DEI duties.</i>				
<ul style="list-style-type: none"> Identified active personnel with responsibilities for performing DEI functions; 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 SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Identified employee funding sources that violate SB 17; took action to ensure compliance. 				

Hiring and Employment Practices and Procedures: *Determine whether hiring and employment practices and procedures have been updated to exclude requirements for DEI statements and do not provide special benefits 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 university relating to this process.*

<ul style="list-style-type: none"> • Reviewed hiring and employment documents and materials, including rubrics and matrices; identified prohibited language, requirements, practices and/or procedures, for violations of SB 17; took action to ensure compliance. 				
<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 language and/or requirements prohibited by SB 17; 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 with SB 17 prior to publication. 				

Training Sessions and Materials: *Determine whether the department has complied with the elimination of required training sessions and materials that violate SB 17.*

<ul style="list-style-type: none"> • Reviewed required training sessions for any identified as prohibited by SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> • Reviewed all training sessions and materials for language and elements prohibited by SB 17; took action to ensure compliance. 				

<ul style="list-style-type: none"> Implemented procedures to review proposed training sessions and materials for compliance with SB 17 prior to activation. 				
FACULTY AFFAIRS	Meets Compliance? Y/N/NA	Employee Responsible <i>(include title)</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 department 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 SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all procedures for tenure review, promotions, merit increases, and equity adjustments and identified those that violate SB 17; 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 and identified those that violate SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all grant proposals and accreditation certifications and identified those that violate SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all accreditation certifications and identified those that violate SB 17; 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, including institutional conferences and seminars, and identified those that violate SB 17; 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 SB 17; 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, including 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)</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 department 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 university conferences and seminars, and identified those that violate SB 17; took action to ensure compliance. 				

<ul style="list-style-type: none"> Reviewed all staff work and identified those that violate SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all student and staff training sessions and identified those that violate SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all student success and outreach programs and identified those that violate SB 17; 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 (include title)	Summary of Action Taken (identify documented evidence used in the process)	Date Verified
<u>Scholarships & Financial Aid:</u> Determine whether the department 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.				
<ul style="list-style-type: none"> Reviewed all awards administered, promoted, and/or facilitated by the university for violation of SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all outlets announcing or promoting scholarships and financial aid, including websites and social media pages, for violation of SB 17; 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 SB 17; 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)</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 department 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 SB 17; 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 SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Reviewed all materials developed, produced, funded, and distributed through the department, including applications, marketing materials, guidelines, operating manuals, and any other publication provided by the department, for violations of SB 17; took action to ensure compliance. 				

<ul style="list-style-type: none"> Reviewed all co-sponsored events with outside entities for violations of SB 17; 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)</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 DEI activities on websites and social media platforms have been identified and removed.</i>				
<ul style="list-style-type: none"> Reviewed university websites and social media platforms for content, links, static materials, and downloadable documents for violation of SB 17; 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 SB 17; 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, including keyword searches to identify references to DEI related terms that violate SB 17; took action to ensure compliance. 				

<ul style="list-style-type: none"> Implemented a vetting process by which proposed information to be posted to websites, domains, social media platforms, or any internet or network outlet will be evaluated to ensure compliance with SB 17. 				
INTERNAL CONTROLS & MONITORING	Meets Compliance? Y/N/NA	Employee Responsible (include title)	Summary of Action Taken (identify documented evidence used in the process)	Date Verified
<p>Internal Controls & Monitoring: Determine whether the department has removed prohibited DEI related rules, developed and implemented operating procedures, and implemented internal controls according to SB 17.</p>				
<ul style="list-style-type: none"> Reviewed and identified member rules and operating procedures in place that are not compliant with SB 17; took action to ensure compliance. 				
<ul style="list-style-type: none"> Developed and implemented operating procedures to ensure continued compliance with SB 17. 				
<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 SB 17. 				
<ul style="list-style-type: none"> Developed a compliance response and reporting process to address issues of noncompliance with SB 17. 				

<ul style="list-style-type: none"> Identified procedures for disciplinary action/sanctioning for violations of SB 17. 				
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SUMMARY OF FINDINGS: *(to be completed by CCO)*

- _____ 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

Chief Compliance Officer

Date

Approved by:

President

Date