

OMB Control No. 3064-0200
Expiration Date: ~~February 28, 2019~~ 02/29/2020

~~Diversity Self Assessment of Financial Institutions Regulated by the FDIC~~
~~Section 342(b)(2)(C) of the Dodd-Frank Wall Street Reform and Consumer Protection Act~~
~~Federal Deposit Insurance Corporation~~
DIVERSITY SELF-ASSESSMENT OF
FDIC REGULATED FINANCIAL INSTITUTIONS

ESTIMATED REPORTING BURDEN

Public reporting burden for this collection is estimated to average 8 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Paperwork Reduction Act, Legal Division, FDIC, 550 17th Street, NW, Washington, D.C. 20429; and to the Office of Management and Budget, Paperwork Reduction Act Project (3064-0200), Washington, D.C. 20503. Respondents need not respond to this request for information unless it displays a currently valid OMB Control Number. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

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SECTION I. ORGANIZATION INFORMATION

The Federal Deposit Insurance Corporation (FDIC) provides this self-assessment instrument in support of the *Interagency Policy Statement Establishing Joint Standards for Assessing Diversity Policies and Practices of Regulated Entities* dated June 10, 2015. Pursuant to the Policy Statement, a self-assessment is voluntary. However, financial institutions conducting self-assessments of their diversity policies and practices against the Standards contained in the Policy Statement may use this instrument or its own assessment tool.

The FDIC may use information submitted by the financial institutions to monitor progress and trends in the financial services industry with regard to diversity and inclusion in employment and contracting activities and to identify and highlight successful policies. The FDIC may publish practices, in any form that does not identify a particular organization, financial institution, or individual or disclose confidential business information. Financial institutions submitting information may designate such information as confidential commercial information as appropriate, and the FDIC will follow the Freedom of Information Act in the event of requests for particular submissions.

The FDIC will continue to reach out to financial organizations, financial institutions, other federal financial regulators, and other interested parties to discuss diversity and inclusion in the financial services industry and share leading practices.

Please submit your self-assessment and any supplemental materials to Section342@fdic.gov.

SECTION I – FINANCIAL INSTITUTION INFORMATION

Name of Entity Financial Institution:	Period Covered by the Assessment:		
Address:	Date Submitted:		
Diversity and Inclusion Officer or Equivalent:	City:	State:	Zip Code:
Name:	Supplier Diversity Officer or Equivalent (if different from D&I Officer):		
Title:	Name:		
Email Address:	Title:		
Phone Number:	Email Address:		
Fax Number:	Phone Number:		
Diversity and Inclusion Website:	Fax Number:		

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Brief Description of the Financial Institution Covered by this Assessment Provide a brief description of the financial institution covered by this assessment (e.g., governance structure, workforce size, total assets, geographic location(s), and community characteristics) below:

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SECTION II - ASSESSMENT OF THE ENTITY'S DIVERSITY POLICIES AND PRACTICES

1. Organizational Commitment to Diversity and Inclusion

~~The leadership of an organization with successful diversity policies and practices demonstrates its commitment to diversity and inclusion. Leadership comes from the governing body, such as a board of directors, as well as senior officials and those managing the organization on a day-to-day basis. These Standards inform how an financial institution promotes diversity and inclusion in both employment and contracting and how it fosters a corporate culture that embraces diversity and inclusion.~~

The leadership of an organization with successful diversity policies and practices demonstrates its commitment to diversity and inclusion. Leadership comes from the governing body, such as a board of directors, as well as senior officials and those managing the organization on a day-to-day basis. These Standards inform how an entity promotes diversity and inclusion in both employment and contracting and how it fosters a corporate culture that embraces diversity and inclusion.

STANDARDS	YES	NO	Activities that Support Program Success or Program Challenges
In a manner reflective of the individual entity's financial institution's size and other characteristics,			
1.1 The financial institution entity includes diversity and inclusion considerations in both employment and contracting as an important part of its strategic plan for recruiting, hiring, retention, and promotion.	<input type="checkbox"/>	<input type="checkbox"/>	
1.2 The financial institution entity has a diversity and inclusion policy that is approved and supported by senior leadership, including senior management and the board of directors.	<input type="checkbox"/>	<input type="checkbox"/>	
1.3 The financial institution entity provides regular progress reports to the board and senior management.	<input type="checkbox"/>	<input type="checkbox"/>	
1.4 The financial institution entity regularly conducts training and provides educational opportunities on equal employment opportunity and on diversity and inclusion.	<input type="checkbox"/>	<input type="checkbox"/>	
1.5 The financial institution entity has a senior level official, preferably with knowledge of and experience in diversity and inclusion policies and practices, who oversees and directs the financial institution's entity's diversity and inclusion efforts.	<input type="checkbox"/>	<input type="checkbox"/>	
1.6 The financial institution entity takes proactive steps to promote a diverse pool of candidates, including women and minorities, in its hiring, recruiting, retention, and promotion, as well as in its selection of board members, senior management, and other senior leadership positions.	<input type="checkbox"/>	<input type="checkbox"/>	

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2. Workforce Profile and Employment Practices

~~2. Many financial institutions promote the fair inclusion of minorities and women in their workforce by publicizing employment opportunities, creating relationships with minority and women professional organizations and educational institutions, creating a culture that values the contribution of all employees, and encouraging a focus on these objectives when evaluating the performance of managers. Financial institutions with successful diversity and inclusion programs also regularly evaluate their programs and identify areas to be improved.~~

Many entities promote the fair inclusion of minorities and women in their workforce by publicizing employment opportunities, creating relationships with minority and women professional organizations and educational institutions, creating a culture that values the contribution of all employees, and encouraging a focus on these objectives when evaluating the performance of managers. Entities with successful diversity and inclusion programs also regularly evaluate their programs and identify areas to be improved.

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STANDARDS	YES	NO	Activities that Support Program Success or Program Challenges
In a manner reflective of the individual financial institution's entity's size and other characteristics,			
2.1 The financial institution entity implements policies and practices related to workforce diversity and inclusion in a manner that complies with all applicable laws.	<input type="checkbox"/>	<input type="checkbox"/>	
2.2 The financial institution entity ensures equal employment opportunities for all employees and applicants for employment and does not engage in unlawful employment discrimination based on gender, race, or ethnicity.	<input type="checkbox"/>	<input type="checkbox"/>	
2.3 The financial institution entity has policies and practices that create diverse applicant pools for both internal and external opportunities that may include:			
2.3-a.(a) Outreach to minority and women organizations.	<input type="checkbox"/>	<input type="checkbox"/>	
2.3-b.(b) Outreach to educational institutions serving significant minority and women student populations.	<input type="checkbox"/>	<input type="checkbox"/>	
2.3-c.(c) Participation in conferences, workshops, and other events to attract minorities and women and to inform them of employment and promotion opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	
2.4 The financial institution entity utilizes both quantitative and qualitative measurements to assess its workforce diversity and inclusion efforts. These efforts may be reflected, for example, in applicant tracking, hiring, promotions, separations (voluntary and involuntary), career development, and retention across all levels and occupations of the financial institution entity , including the executive and managerial ranks.	<input type="checkbox"/>	<input type="checkbox"/>	

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2.5 The <u>financial institution entity</u> holds management at all levels accountable for diversity and inclusion efforts, for example, by ensuring that such efforts align with business strategies and individual performance plans.	<input type="checkbox"/>	<input type="checkbox"/>
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3. Procurement and Business Practices—Supplier Diversity

~~3. Companies increasingly understand the competitive advantage of having a broad selection of available suppliers to choose from with respect to factors such as price, quality, attention to detail, and future relationship building. A number of financial institutions have achieved success at expanding available business options by increasing outreach to minority-owned and women-owned businesses. As in the employment context, financial institutions often use metrics to identify the baseline of how much they spend procuring and contracting for goods and services, how much they spend with minority-owned and women-owned businesses, and the availability of relevant minority-owned and women-owned businesses, as well as changes over time. Similarly, financial institutions may use outreach to inform minority-owned and women-owned businesses (and affinity groups representing these constituencies) of these opportunities and of the procurement process. In addition, financial institutions' prime contractors often use subcontractors to fulfill the obligations of various contracts. The use of minority-owned and women-owned businesses as subcontractors provides valuable opportunities for both the minority-owned and women-owned businesses and the prime contractor. Financial institutions may encourage the use of minority-owned and women-owned subcontractors by incorporating this objective in their business contracts.~~

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STANDARDS	YES	NO	Activities that Support Program Success or Program Challenges
In a manner reflective of the individual <u>financial institution's entity's</u> size and other characteristics,			

3.1 The <u>financial institution entity</u> has a supplier diversity policy that provides for a fair opportunity for minority-owned and women-owned businesses to compete for procurement of business goods and services. This includes contracts of all types, including contracts for the issuance or guarantee of any debt, equity, or security, the sale of assets, the management of the <u>financial institution's entity's</u> assets, and the development of the <u>financial institution's entity's</u> equity investments.	<input type="checkbox"/>	<input type="checkbox"/>	
3.2 The <u>financial institution entity</u> has methods to evaluate its supplier diversity, which may include metrics and analytics related to:			
3.2-a.(a) Annual procurement spending.	<input type="checkbox"/>	<input type="checkbox"/>	
3.2-b.(b) Percentage of contract dollars awarded to minority-owned and women-owned businesses by race, ethnicity, and gender.	<input type="checkbox"/>	<input type="checkbox"/>	

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3.2- e -(c) Percentage of contracts with minority-owned and women-owned business subcontractors.	<input type="checkbox"/>	<input type="checkbox"/>	
3.3. The <u>financial institution entity</u> has practices to promote a diverse supplier pool, which may include:			
3.3- a -(a) Outreach to minority-owned and women-owned contractors and representative organizations.	<input type="checkbox"/>	<input type="checkbox"/>	
3.3- b -(b) Participation in conferences, workshops, and other events to attract minority-owned and women-owned firms and inform them of contracting opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	
3.3- e -(c) An ongoing process to publicize its procurement opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	

4. Practices to Promote Transparency of Organizational Diversity and Inclusion

~~4. Transparency and publicity are important aspects of assessing diversity policies and practices. Greater awareness and transparency give the public information to assess those policies and practices. Financial institutions publicize information about their diversity and inclusion efforts through normal business methods, which include displaying information on their websites, in their promotional materials, and in their annual reports to shareholders, if applicable. By making public a financial institution's commitment to diversity and inclusion, its plans for achieving diversity and inclusion, and the metrics it uses to measure success in both workplace and supplier diversity, a financial institution informs a broad constituency of investors, employees, potential employees, suppliers, customers, and the general community about its efforts. The publication of this information can make new markets accessible for minorities and women and illustrate the progress made toward an important business goal.~~

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STANDARDS	YES	NO	Activities that Support Program Success or Program Challenges
In a manner reflective of the individual <u>financial institution's entity's</u> size and other characteristics, the <u>financial institution entity</u> is transparent with respect to its diversity and inclusion activities by making the following information available to the public annually through its website or other appropriate communication methods.			
4.1 The <u>financial institution entity</u> publicizes its diversity and inclusion strategic plan.	<input type="checkbox"/>	<input type="checkbox"/>	
4.2 The <u>financial institution entity</u> publicizes its policy on its commitment to diversity and inclusion.	<input type="checkbox"/>	<input type="checkbox"/>	
4.3. The <u>financial institution entity</u> is transparent about its progress toward achieving diversity and inclusion in its workforce and procurement activities, which may include the <u>financial institution's entity's</u> current workforce and supplier demographic profiles.	<input type="checkbox"/>	<input type="checkbox"/>	

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4.4. The <u>financial institutions entity</u> publicizes its opportunities to promote diversity, which may include:			
4.4-a.(a) Current employment and procurement opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	
4.4-b.(b) Forecasts of potential employment and procurement opportunities.	<input type="checkbox"/>	<input type="checkbox"/>	
4.4-c.(c) The availability and use of mentorship and developmental programs for employees and contractors.	<input type="checkbox"/>	<input type="checkbox"/>	

5. ~~Entities' Financial Institutions' Self-Assessment~~

~~5. Financial institutions that have successful diversity policies and practices allocate time and resources to monitoring and evaluating performance under their diversity policies and practices on an ongoing basis. Financial institutions are strongly encouraged to disclose their diversity policies and practices, as well as information related to their assessments, to the FDIC and the public.~~

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STANDARDS	YES	NO	Activities that Support Program Success or Program Challenges
In a manner reflective of the individual <u>financial institution's entity's</u> size and other characteristics,			
5.1 The <u>financial institution entity</u> conducts an assessment of its diversity policies and practices annually.	<input type="checkbox"/>	<input type="checkbox"/>	
5.2. The <u>financial institution entity</u> monitors and evaluates its performance under its diversity policies and practices on an ongoing basis.	<input type="checkbox"/>	<input type="checkbox"/>	
5.3. The <u>financial institution entity</u> publishes information pertaining to its assessment of its diversity policies and practices.	<input type="checkbox"/>	<input type="checkbox"/>	

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SECTION III. DIVERSITY DATA SECTION III – DIVERSITY DATA

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Workforce Profile							
1.1. What are the numbers and percentages of women and minorities in the entity's total workforce for the period covered by this assessment?	<i>Total</i> _____#	<i>Women</i> _____# _____%	<i>Minorities</i> _____# _____%				
1. What are the numbers and percentages of women and minorities in the financial institution's total workforce for the period covered by this assessment?							
Total Workforce #	Women #	Women %	Minorities #	Minorities %	Men #	Men %	Non-Minorities
1.2. What are the numbers and percentages of women and minorities in the entity's Executive/Senior Level Officials and Managers job category for the period covered by this assessment?	<i>Total</i> _____#	<i>Women</i> _____# _____%	<i>Minorities</i> _____# _____%				
2. What are the numbers and percentages of women and minorities in the financial institution's Executive/Senior Level Officials and Managers job category for the period covered by this assessment?							
Total Management #	Women #	Women %	Minorities #	Minorities %	Men #	Men %	Non-Minorities
1.3. What are the total numbers and percentages of women and minorities of the entity's Board of Directors for the period covered by this assessment?	<i>Total Board Members</i> _____#	<i>Women</i> _____# _____%	<i>Minorities</i> _____# _____%				
3. What are the total numbers and percentages of women and minorities of the financial institution's Board of Directors for the period covered by this assessment?							

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Total Board Members #	Women #	Women %	Minorities #	Minorities %	Men #	Men %	Non-Minorities #	Non-Minorities %

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Procurement — Supplier Diversity

2.0. What is the entity's total annual procurement spend for the period covered by this assessment with women- and minority-owned businesses compared to the total procurement spend with all vendors and suppliers?	<i>Total Spend</i> \$ _____	<i>Women-owned Spend</i> \$ _____ \$ _____
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Procurement – Supplier Diversity

2.0. What is the entity's total annual procurement spend for the period covered by this assessment with women and minority-owned businesses compared to the total procurement spend with all vendors and suppliers?

Total Spend
\$ _____

Women-owned Spend
\$ _____
_____ %

Minority-owned Spend
\$ _____
_____ %

4. What is the financial institution's total annual procurement spend for the period covered by this assessment with women and minority-owned businesses compared to the total procurement spend with all vendors and suppliers?

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Total Spend \$	Women Owned Spend \$	Women Owned Spend %	Minority Owned Spend \$	Minority Owned Spend %	Minority- and Women-Owned Spend \$	Minority- and Women-Owned Spend %	Men Owned Spend \$	Men Owned Spend %	Non Minority Owned Spend \$	Non Minority Owned Spend %

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SECTION IV. ADDITIONAL INFORMATION

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Other information or comments the entity-financial institution deems important regarding its assessment of its diversity and practices:

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Use of Information by the FDIC

The FDIC may use information submitted by the entity to monitor progress and trends in the financial services industry with regard to diversity and inclusion in employment and contracting activities and to identify and highlight those policies and practices that have been successful. The FDIC will continue to reach out to entities, other federal financial regulators, and other interested parties to discuss diversity and inclusion in the financial services industry and share leading practices. The FDIC may also publish information disclosed by the entity, such as any identified leading practices, in any form that does not identify a particular entity or individual or disclose confidential business information.