



## Annual Voluntary Credit Union Diversity Self-Assessment

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Diversity coupled with inclusion should be a strategic business goal for credit unions. This Self-Assessment reflects guidance for advancing workforce and supplier diversity and showcases best practices for demonstrating a commitment to diversity and inclusion. When made a priority, diversity and inclusion can help your credit union grow and better serve your membership.

The NCUA provides this self-assessment in support of the [Interagency Policy Statement Establishing Joint Standards for Assessing Diversity Policies and Practices](#). It is designed to guide and inform a credit union's self-assessment. Credit unions are encouraged to conduct and voluntarily submit a self-assessment annually and to use this form as a tool to aid in setting strategic goals and priorities for the credit union's diversity and inclusion efforts.

### Key Points about this Self-Assessment

1. This self-assessment is voluntary. It is neither mandatory nor required by law.
2. The self-assessment is outside of the scope of the examination process. The NCUA examiners will not see your credit union's results and they have no impact on your CAMEL rating or exam outcome.
3. Assessment data will only be used in an aggregate form. For example, in an annual report to Congress. The NCUA will not name any specific credit unions in any reporting, unless the credit union explicitly consents to this in writing.
4. The NCUA believes credit unions generally develop and implement successful diversity policies and practices gradually, over a period of time. There is no expectation that participating credit unions will implement every listed best practice. Some credit unions, especially those with more than 100 employees, can use information they gain from conducting self-assessments to begin or to strengthen on-going efforts to promote diversity and inclusion.

### Use of Information by the NCUA

The NCUA will use information submitted by credit unions to monitor progress and trends in the credit union industry with regard to diversity and inclusion in employment and contracting activities. Responses will be aggregated and used in reports such as the NCUA's annual report to Congress.

The information may also be used to identify and highlight successful policies and practices. The NCUA may publish leading practices in any form that does not identify a particular credit union or individual or disclose confidential business information.

BEGIN SELF-ASSESSMENT

**This form is authorized by law (12 U.S.C. Section 342(b)(2)(C)) and is voluntary.**

*Paperwork Reduction Act Statement: The estimated average public reporting burden associated with this information collection is 8 hours per response. Comments concerning the accuracy of this burden estimate and or any other aspect of this information collection, including suggestions for reducing this burden should be address to the National Credit Union Administration, ATTN: PRA Clearance Officer, 1775 Duke Street, Alexandria, Virginia 22314. An agency may not conduct or sponsor, and a person is not required to respond to, an information collection unless it displays a valid OMB control number.*

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## Section I – Credit Union Information

Region \_\_\_\_\_ Self-Assessment Reporting Year: \_\_\_\_\_ Date: \_\_\_\_\_

Charter/Insurance  
Certificate Number: \_\_\_\_\_

Credit Union Name

Data below is as of \_\_\_\_\_

Total Assets

Number of Members

Number of Employees

CU Address

Additional Address

CU Phone Number

CU Fax Number

CU Email Address

CU Web Address

Brief description of credit union (i.e. field of membership or common bond, member or community characteristics, or geographic location):

<b>Business Contact Information*</b>			
	CU Point of Contact for this Self-Assessment (generally the preparer)	Diversity and Inclusion Officer or Equivalent	Supplier Diversity Officer or Equivalent
		<input type="radio"/> Same as CU POC	<input type="radio"/> Same as CU POC <input type="radio"/> Same as D&I Officer
Name			
Title			
Business Email			
Business Phone			
Business Fax			

\*NCUA will use the Business Contact Information provided SOLELY for the purpose of follow-up communications and will not share such information publicly or outside of NCUA (unless required by court order to do so). If you choose not to identify a point of contact, you can still provide an email address and we will communicate via the email address provided.

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## Section II – Self-Assessment

Please identify which practices your credit union currently engages in and share your comments in the space provided.

### A – Organizational Commitment to Diversity and Inclusion

Successful diversity policies and practices generally begin at the top, with leadership that demonstrates its commitment by promoting diversity and inclusion in both employment and contracting and by fostering an organizational culture that embraces diversity and inclusion. This leadership includes the board of directors, senior officials, and staff managing the daily operations. The following best practices demonstrate an organizational commitment to diversity and inclusion.

<b>STANDARD 1 – Organizational Commitment to Diversity and Inclusion</b>	<b>YES</b>	<b>Comments</b> <i>PLEASE SHARE your program successes or challenges. Include hyperlinks where appropriate or email a sample to <a href="mailto:CUDiversity@NCUA.gov">CUDiversity@NCUA.gov</a>.</i>
<b>In a manner reflective of our size and other characteristics, our credit union:</b>		
A1 – Has a written diversity and inclusion policy approved by senior leadership, including the board of directors and senior management.		
A2 – Has a senior-level official with knowledge of and experience in diversity and inclusion policies and practices to oversee our diversity and inclusion strategies and initiatives.		
A3 – Regularly conducts training and provides educational opportunities on equal employment opportunity and on diversity and inclusion.		
A4 – Takes proactive steps to include a diverse pool of women and minorities or other diverse individual candidates for:		
A4a – Hiring, recruiting, retention, or promotion of employees		
A4b – Selection of board member candidates and senior management		
A5 – Includes diversity and inclusion considerations in our strategic plan for recruiting, hiring, retention, and/or promotion of our workforce.		
A6 – Includes diversity and inclusion considerations in our strategic plan in contracting with vendors.		
A7 – Provides regular (such as quarterly) progress reports on diversity and inclusion efforts to our board of directors or senior management.		

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The definition of diversity established by the Joint Standards references minorities and women, but does not preclude you from using a broader definition of diversity. If your credit union defines diversity more broadly including characteristics such as individuals with disabilities, veterans, or lesbian, gay, bisexual, and transgender individuals, please describe:

### B – Workforce Profile and Employment Practices

Credit unions can promote the fair inclusion of minorities, women, or other diverse individuals in their workforce by proactively working to expand applicant pools to include diverse candidates; cultivating a culture that values the contribution of all employees; and encouraging a focus on inclusion when evaluating the performance of managers. Common best practices to promote diversity and inclusion in the workforce include the following.

STANDARD 2 – Workforce Profile and Employment Practices	YES	Comments
<b>In a manner reflective of our size and other characteristics, our credit union:</b>		
B1 – Implements policies and practices to ensure equal employment opportunities for employees and applicants for employment.		
B2 – Implements policies and practices that create or foster diverse applicant pools for employment opportunities. These may include:		
B2a – Conducting outreach to minority, women, or other diverse individuals. (footnote #1)		
B2b – Conducting outreach to educational institutions serving significant or predominantly minority, women, or other diverse student populations.		
B2c – Participating in conferences, workshops, and other events that attract minorities, women, or other diverse individuals to inform them of employment and promotion opportunities.		
B3 – Communicates employment opportunities through media reaching diverse populations, including publications or professional organizations and educational institutions predominantly serving minority, women or other diverse populations.		If CU answers “yes” generate a prompt that reads: “Please share! Include a hyperlink or email an example to <a href="mailto:CUDiversity@NCUA.gov">CUDiversity@NCUA.gov</a> .”

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B4 – Cultivates relationships with professional organizations or educational institutions that primarily serve minority, women, or other diverse individuals or organizations.		
B5 – Evaluates our diversity and inclusion programs regularly, and identifies areas for future improvement.		
B6 – Uses analytical tools, including quantitative and qualitative data, to assess, measure and track: (footnote 2)		
B6a – Our workforce diversity at all levels, including supervisory and executive ranks, by race, ethnicity, gender or other diverse categories.		
B6b – The inclusiveness of our employment practices for hiring, promotion, career development, internships, or retention, by ethnicity, gender, or other diverse category.		
B7 – Holds management accountable for diversity and inclusion efforts, for example by ensuring these efforts align with business strategies or individual performance plans.		

### C – Procurement and Business Practices – Supplier Diversity

Credit unions can craft and implement supplier diversity policies and practices to expand outreach for contracting opportunities to minority- and women-owned businesses (footnote 5). This involves providing opportunities for diverse businesses to bid on contracts or procurement activities (office supplies, promotional items, and legal, auditing or accounting services, for example) and informing diverse vendors of how to do business with your credit union. The goal is to develop a competitive advantage by having a broad selection of suppliers to choose from with respect to factors such as price, quality, attention to detail, and future relationship building. Following are examples of effective ways to implement or demonstrate a commitment to supplier diversity.

<b>STANDARD 3 – Procurement and Business Practices – Supplier Diversity</b>	<b>YES</b>	<b>Comments</b>
<b>In a manner reflective of our size and other characteristics, our credit union:</b>		
C1 – Has a written supplier diversity policy that provides opportunities for minority- and women-owned businesses to bid to deliver business goods and services to us.		If CU answers “yes” generate a prompt that reads: “Please share! Include a hyperlink or email a sample to <a href="mailto:CUdiversity@NCUA.gov">CUdiversity@NCUA.gov</a> .”
C2 – Has leadership support to incorporate supplier diversity into business planning cycles or initiatives.		
C3 – Encourages by policy that some percentage of our outside contracts solicit bids from qualified minority- and women-owned businesses.		If CU answers “yes” generate a prompt that reads: “Please share! Include a hyperlink or email a sample to <a href="mailto:CUdiversity@NCUA.gov">CUdiversity@NCUA.gov</a> .”
C4 – Reaches out specifically to inform minority- and women-owned businesses or affinity groups representing these		

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constituencies of contracting opportunities and how to do business with us.		
C5 – Uses metrics to identify a baseline and track:		
C5a – The amount we spend buying and contracting goods and services.		
C5b – The availability of relevant minority- and women-owned businesses.		
C5c – The amount we spend with minority- and women-owned businesses.		
C5d – The percentage of contract dollars awarded to minority- and women-owned businesses by race, ethnicity, and gender as compared to total contract dollars awarded for the calendar year.		
C5e – The changes related to the above items over time.		
C6 – Implements practices that promote a diverse supplier pool which may include:		
C6a – Participation in conferences, workshops, and other events that attract minority- and women-owned businesses to inform them of our contracting opportunities.		
C6b – Maintaining a listing of qualified minority- and women-owned businesses that may bid on upcoming contracting opportunities.		
C6c – Having an ongoing process to publicize our contracting opportunities.		
C7 – Encourages prime contractors to use minority- and women-owned subcontractors by incorporating this objective into their business contracts.		

### **D – Practice to Promote Transparency of Organizational Diversity and Inclusion**

Transparency and communications are essential aspects of assessing diversity policies and practices. Transparency does not require you to share confidential or proprietary information. Credit unions can communicate information about their diversity and inclusion efforts through normal business methods, such as displaying information on websites, on appropriate promotional materials, and in annual reports to members.

By communicating your commitment and plans for achieving diversity and inclusion and the metrics to measure success in workplace and supplier diversity, you inform a broad constituency of current and potential members, employees, suppliers and the general community about your efforts to promote diversity and inclusion. The publication of this information can make new markets accessible for minorities, women, and other diverse groups, and illustrate the progress made toward an important business goal. Following are some ways to promote transparency of your credit union’s diversity and inclusion efforts.

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<b>STANDARD 4 – Practices to Promote Transparency of Organizational Diversity and Inclusion</b>	<b>YES</b>	<b>Comments</b> <i>PLEASE SHARE your program successes or challenges. Include hyperlinks where appropriate or attach a sample.</i>
<b>In a manner reflective of our size and other characteristics, our credit union:</b>		
D1 – Periodically publishes information about our efforts to enhance diversity and inclusion, which may include:		Please share a sample or hyperlink below if appropriate
D1a – Demographic information on workforce composition (such as that found on an annual EEOC report).		
D1b – Demographic information on supplier diversity (contracting activities).		
D1c – Demographic information on the board members and other officials.		
D1d – Information on sponsorships or partnerships with diverse organizations.		
D1e – Other information on our diversity and inclusion efforts.		
D2 – Makes the following information public:		Please share a sample or hyperlink below if appropriate
D2a – Our diversity and inclusion strategic plan.		
D2b – Our policy on the credit union’s commitment to diversity and inclusion in the workforce.		
D2c – Our policy on the credit union’s commitment to diversity and inclusion to supplier diversity.		
D2d – Our efforts and progress toward achieving diversity and inclusion in our workforce and contracting activities.		
D3 – Publicizes opportunities that promote diversity and inclusion, which may include:		Please share a sample or hyperlink below if appropriate
D3a – Employment and internship opportunities.		
D3b – Contracting opportunities.		
D3c – Mentorship or developmental programs for employees.		
D3d – Developmental programs for potential contractors.		

### **E – Self-Assessment**

Credit unions with successful diversity policies and practices allocate time and resources to monitor and evaluate performance of diversity policies and practices on an ongoing basis. The NCUA encourages credit unions to disclose their diversity policies and practices and related information to both NCUA and the public.

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STANDARD 5 – Self-Assessment	YES	Comments <i>PLEASE SHARE</i> your program successes or challenges. Include hyperlinks where appropriate or attach a sample.
<b>In a manner reflective of our size and other characteristics, our credit union:</b>		
E1 – Conducts a self-assessment or evaluation of our diversity policies and practices annually. (Completion of this self-assessment satisfies this standard, so this section prepopulates with a “yes” response.)	X	
E2 – Modifies our diversity policies and practices based on the results of the self-assessment or evaluation of our diversity policies and practices.		
E3 – Provides information pertaining to the self-assessment or evaluation of our diversity policies and practices to the NCUA’s OMWI director annually.		
E4 – Publishes information pertaining to our assessment of our diversity policies and practices.		

### Section III – Diversity Data

#### Workforce Profile

	ALL Employees (include Management but do not include Board Members or Volunteers)		Management Employees ONLY (do not include Board Members or Volunteers)		Board Members ONLY	
<b>TOTAL NUMBER</b>	<b>100</b>		<b>40</b>		<b>7</b>	
Number of Women	65	65%	22	55%	5	71%
Number of Men	35	35%	18	45%	2	29%
<b>NON-Hispanic or Latino ONLY:</b>	<b>Enter NON-Hispanic or Latino ONLY</b>					
American Indian or Alaska Native	15	15%	8	20%	1	14%
Asian	15	15%	8	20%	2	29%
Black or African American	15	15%	8	20%	1	14%
Native Hawaiian or Other Pacific Islander	15	15%	8	20%	1	14%
White	15	15%	8	20%	1	14%
Two or more races	10	10%	0	0%	0	0%
	<b>Enter Hispanic or Latino ONLY below:</b>					
Hispanic or Latino ONLY	15	15%	0	0%	1	14%



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## Procurement – Supplier Diversity

What is the credit union’s total annual procurement spend for the prior year with minority and women-owned businesses compared to the total procurement spend with all vendors and suppliers?

As of December 31	<i>enter year</i>		Percent of Total
Total Spend		\$ 467,000	
Minority-Owned		\$ 199,000	43%
Women-Owned		\$ 100,000	21%
Both Minority-Owned and Women-Owned		\$ 18,000	4%

## Section IV – Recommendations and Feedback

The NCUA welcomes your feedback on this form and recommendations on how we can assist credit unions with their diversity and inclusion efforts. Please share your thoughts below or email us at [CUDiversity@NCUA.GOV](mailto:CUDiversity@NCUA.GOV).

## Section V – Success Stories

Do your diversity and inclusion efforts include a special loan, share, or other type of product or service? Have you run special marketing campaigns that have been effective in promoting diversity and inclusion? We’re always looking for diversity and inclusion success stories to share when reporting the value and benefits of diversity and inclusion in credit unions. We only share information anonymously unless given specific authorization to use your credit union’s name so please share your success stories below or email them to us anytime at [CUDiversity@NCUA.GOV](mailto:CUDiversity@NCUA.GOV).

**Thank you!**

**I want to Save ONLY  
(will not submit)**

Click here to save your information and generate a PIN to use to access the form later. The PIN remains active until the form is submitted.

**I’m done and ready to  
Submit!**

Click here to submit your self-assessment. You will not be able to access the form or make any changes once the form is submitted.