



NCUA
National Credit Union Administration

OMB #3133-0193

Annual Voluntary Credit Union Diversity Self-Assessment

Best Practices for Demonstrating a Commitment to Diversity and Inclusion

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 identifies 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 form in support of the Interagency Policy Statement Establishing Joint Standards for Assessing Diversity Policies and Practices (<https://www.ncua.gov/About/leadership/Documents/Minority-and-Women-Inclusion/LCU2015-05-InteragencyPolicyJointDiversity.pdf>). 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 aggregate information may also be used to identify areas where assistance with resources may be needed and to highlight successful policies and practices. 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 \(/Home/Survey?Length=4\)](/Home/Survey?Length=4)

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

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Section I – Credit Union Information

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Reporting Year

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Credit Union Name/Charter or Insurance Certificate Number

Enter Credit Union Name/Charter or Insurance Certificate Number

OR

Find My Credit Union by State

Total Number of Employees

Enter Total Number of Employees

Reporting Year 2019

Total Members**Total Assets****Phone****Website****Region****Mailing Address****Actual Address****Year Chartered****Brief Description of Credit Union**

(i.e., field-of-membership or common bond, member or community characteristics, or geographic location)

Reporting Year 2019

Business Contact Information*			
	Point of Contact (POC) for this self-assessment (generally the preparer)	Diversity and Inclusion (D&I) Officer or equivalent	Supplier Diversity Officer or equivalent
		<input type="checkbox"/> Same as CU POC	<input type="checkbox"/> Same as CU POC <input type="checkbox"/> Same as D&I Officer
Name	Point of Contact Name	D&I Officer Name	Supplier Diversity Office
Title	Point of Contact Title	D&I Officer Title	Supplier Diversity Office
Email	Point of Contact Email	D&I Officer Email	Supplier Diversity Office
Phone	Point of Contact Phone	D&I Officer Phone	Supplier Diversity Office
Fax	Point of Contact Fax	D&I Officer Fax	Supplier Diversity Office
<p>*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.</p>			

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.

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
A1 - Has a written diversity and inclusion policy approved by senior leadership, including the board of directors and senior management.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
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.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
A3 - Regularly conducts training and provides educational opportunities on equal employment opportunity and on diversity and inclusion.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
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.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
A4b - Selection of board member candidates and senior management.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
A5 - Includes diversity and inclusion considerations in our strategic plan for recruiting, hiring, retention, and/or promotion of our workforce.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
A6 - Includes diversity and inclusion considerations in our strategic plan in contracting with vendors.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
A7 - Provides regular (such as quarterly) progress reports on diversity and inclusion efforts to our board of directors or senior management.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>

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:

Enter your definition of diversity if it differs from the above definition

B - Workforce Profile and Employment Practices

(Optional, you may submit the self-assessment without this information)

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.

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
B1 - Implements policies and practices to ensure equal employment opportunities for employees and applicants for employment.	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
<p>B2 - Implements policies and practices that create or foster diverse applicant pools for employment opportunities. These may include:</p>		
<p>B2a - Conducting outreach to minority, women, or other diverse individuals.</p> <p>footnote</p>	<input type="checkbox"/>	
<p>B2b - Conducting outreach to educational institutions serving significant or predominantly minority, women, or other diverse student populations.</p>	<input type="checkbox"/>	
<p>B2c - Participating in conferences, workshops, and other events that attract minorities, women, or other diverse individuals to inform them of employment and promotion opportunities.</p>	<input type="checkbox"/>	
<p>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.</p>	<input type="checkbox"/>	
<p>B4 - Cultivates relationships with professional organizations or educational institutions that primarily serve minority, women, or other diverse individuals or organizations.</p>	<input type="checkbox"/>	
<p>B5 - Evaluates our diversity and inclusion programs regularly, and identifies areas for future improvement.</p>	<input type="checkbox"/>	

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
B6 - Uses analytical tools, including quantitative and qualitative data, to assess, measure and track: footnote		
B6a - Our workforce diversity at all levels, including supervisory and executive ranks, by race, ethnicity, gender or other diverse categories.	<input type="checkbox"/>	
B6b - The inclusiveness of our employment practices for hiring, promotion, career development, internships, or retention, by ethnicity, gender, or other diverse category.	<input type="checkbox"/>	
B7 - Holds management accountable for diversity and inclusion efforts, for example by ensuring these efforts align with business strategies or individual performance plans.	<input type="checkbox"/>	

C - Procurement and Business Practices – Supplier Diversity

Credit unions can craft and implement supplier diversity policies and practices to expand outreach for and open access to contracting opportunities to minority and women-owned businesses. 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 for the credit union 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.

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
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.	<input type="checkbox"/>	

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
<p>C2 - Has leadership support to incorporate supplier diversity into business planning cycles or initiatives.</p>	<input type="checkbox"/>	
<p>C3 - Has an established policy to solicit bids from a certain number or percentage of qualified minority- and women-owned businesses.</p>	<input type="checkbox"/>	
<p>C4 - Conducts targeted outreach specifically to inform minority- and women-owned businesses or affinity groups representing these constituencies of contracting opportunities and how to do business with us.</p>	<input type="checkbox"/>	
<p>C5 - Uses metrics to identify a baseline and track:</p>		
<p>C5a - The total amount we spend annually buying and contracting goods and services.</p>	<input type="checkbox"/>	
<p>C5b - The availability of relevant minority- and women-owned businesses to compete in our contracting opportunities.</p>	<input type="checkbox"/>	
<p>C5c - The amount we spend with minority- and women-owned businesses.</p>	<input type="checkbox"/>	
<p>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.</p>	<input type="checkbox"/>	

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
C5e - The changes related to the above items over time.	<input type="checkbox"/>	
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.	<input type="checkbox"/>	
C6b - Maintaining a listing of qualified minority- and women-owned businesses that may bid on upcoming contracting opportunities.	<input type="checkbox"/>	
C6c - Having an ongoing process to publicize our contracting opportunities.	<input type="checkbox"/>	
C7 - Encourages prime contractors to use minority- and women-owned subcontractors by incorporating this objective into their business contracts.	<input type="checkbox"/>	

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 Reporting Year 2019

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.

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
D1 - Periodically publishes information about our efforts to enhance diversity and inclusion, which may include:		Please email CUDiversity@NCUA.GOV a sample or share a hyperlink below if appropriate.
D1a - Demographic information on workforce composition (such as that found on an annual EEOC report).	<input type="checkbox"/>	
D1b - Demographic information on supplier diversity (contracting activities).	<input type="checkbox"/>	
D1c - Demographic information on the board members and other officials.	<input type="checkbox"/>	
D1d - Information on sponsorships or partnerships with diverse organizations.	<input type="checkbox"/>	
D1e - Other information on our diversity and inclusion efforts.	<input type="checkbox"/>	
D2 - Makes the following information public:		Please email CUDiversity@NCUA.GOV a sample or share a hyperlink below if appropriate.

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
<p>D2a - Our diversity and inclusion strategic plan.</p>	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
<p>D2b - Our policy on the credit union's commitment to diversity and inclusion in the workforce.</p>	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
<p>D2c - Our policy on the credit union's commitment to diversity and inclusion to supplier diversity.</p>	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
<p>D2d - Our efforts and progress toward achieving diversity and inclusion in our workforce and contracting activities.</p>	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
<p>D3 - Publicizes opportunities that promote diversity and inclusion, which may include:</p>		<p>Please email CUDiversity@NCUA.GOV a sample or share a hyperlink below if appropriate.</p>
<p>D3a - Employment and internship opportunities.</p>	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>
<p>D3b - Contracting opportunities.</p>	<input type="checkbox"/>	<div style="border: 1px solid #ccc; height: 80px;"></div>

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
D3c - Mentorship or developmental programs for employees.	<input type="checkbox"/>	
D3d - Developmental programs for potential contractors.	<input type="checkbox"/>	

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 the NCUA and the public.

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
E1 - Conducts a self-assessment or evaluation of our diversity policies and practices annually.	<input type="checkbox"/>	
E2 - Modifies our diversity policies and practices based on the results of the self-assessment or evaluation of our diversity policies and practices.	<input type="checkbox"/>	
E3 - Provides information pertaining to the self-assessment or evaluation of our diversity policies and practices to the NCUA's OMWI director annually.	<input type="checkbox"/>	

Reporting Year 2019

In a manner reflective of our size and other characteristics, our credit union:	Yes	Comments
E4 - Publishes information pertaining to our assessment of our diversity policies and practices.	<input type="checkbox"/>	

Section III – Diversity Data

Workforce Profile

(Optional, you may submit the self-assessment without this information)

What is the demographic composition of your workforce? NOTE: The categories below are the same categories for race and ethnicity that the EEOC adopted for the EEO-1 Report.

	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	
TOTAL NUMBER	<input type="text"/>		<input type="text"/>		<input type="text"/>	
Number of Women	<input type="text"/>		<input type="text"/>		<input type="text"/>	
Number of Men	<input type="text"/>		<input type="text"/>		<input type="text"/>	
	Enter NON-Hispanic or Latino ONLY					
American Indian or Alaska Native	<input type="text"/>		<input type="text"/>		<input type="text"/>	
Asian	<input type="text"/>		<input type="text"/>		<input type="text"/>	
Black or African American	<input type="text"/>		<input type="text"/>		<input type="text"/>	

Reporting Year 2019

	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	
Native Hawaiian or Other Pacific Islander	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
White	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Two or more races	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Enter Hispanic or Latino ONLY					
Hispanic or Latino ONLY	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Enter Unspecified/Not Known ONLY					
Unspecified/Not Known ONLY	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Procurement – Supplier Diversity

(Optional, you may submit the self-assessment without this information)

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	<input type="text" value="enter year"/>		Percent of Total
Total Spend		\$ <input type="text" value="Amount (to the nearest dollar)"/>	
Minority-Owned		\$ <input type="text" value="Amount (to the nearest dollar)"/>	0.00%
Woman-Owned		\$ <input type="text" value="Amount (to the nearest dollar)"/>	0.00%
Both Minority-Owned and Woman-Owned Reporting Year 2019		\$ <input type="text" value="Amount (to the nearest dollar)"/>	0.00%

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.

Enter Recommendations and Feedback

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.

Print

Save as Draft

I want to save ONLY
(I'm not ready to submit)

Submit

I'm done and ready to submit!

Reporting Year 2019