

Financial Institution Diversity Self-Assessment Screen Shots

Burden Statement and OMB Number

Estimated Reporting Burden

OMB NUMBER: 3064-0200
FDIC Form: 2710/06
EXPIRATION DATE: 01/31/2023

Public reporting burden for this collection is estimated to average four (4) 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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Main Landing Page

The screenshot shows the FDICconnect main landing page. At the top, there is a blue header with the FDICconnect logo and navigation links for HOME, FAQ, and HELP. A user profile dropdown is visible with the text "BANKER KY...". Below the header, the page title is "DIVERSITY SELF-ASSESSMENT OF FDIC REGULATED FINANCIAL INSTITUTIONS". A "Bank Information" form is displayed, containing fields for Bank Name (Washington Bank), Bank Cert # (1234), and Address (Washington DC 10001). Below the form is a table of diversity assessments. The table has columns for FID-SA ID, Reporting Period, Account Name, Date Submitted, Submission Status, and FI Non-Submittal. One row is shown with FID-SA ID 848, Reporting Period 2020, Account Name Washington Bank, Date Submitted blank, Submission Status In Progress, and FI Non-Submittal checkbox unchecked. At the bottom, there is a navigation bar with links for Home, Contact Us, Search, Help, SiteMap, Forms, En Español, Website Policies, Privacy Policy, Accessibility Statement, Plain Writing Act of 2010, USA.gov, FDIC Office of Inspector General, Freedom of Information Act (FOIA) Service Center, FDIC Open Government Webpage, and No FEAR Act Data.

Section I – Financial Institution Information

SECTION I - FINANCIAL INSTITUTION INFORMATION

[Save](#) [Cancel](#)

FID-SA ID
848

Name of Financial Institution
[Washington Bank](#)

Bank Cert #
1234

Period Covered by the Assessment
2020

Date Submitted

Diversity and Inclusion Officer or Equivalent:

Name

Title

Email

Telephone

Fax

Does your financial institution have an outreach program?
--None--
✓ --None--
Yes
No

Supplier Diversity Officer or Equivalent:

Name

Title

Email

Telephone

Fax

Does your financial institution have a supplier diversity program?
--None--

Diversity and Inclusion Website

Non-Submit Reason

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Section II – Assessment of the Financial Institutions Diversity Policies and Practices

Full Screen Shot of Section II – Questions Unexpanded [**Note: Each Section with Expanded Questions Shown on pages 4 – 8**]

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

[Edit](#)

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 a financial institution promotes diversity and inclusion in both employment and contracting and how it fosters a corporate culture that embraces diversity and inclusion.

> [Click to view the Standard questions](#)

2. Workforce Profile and Employment Practices
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.

> [Click to view the Standard questions](#)

3. Procurement and Business Practices - Supplier Diversity
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.

> [Click to view the Standard questions](#)

4. Practice to Promote Transparency of Organizational Diversity and Inclusion
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 to illustrate the progress made toward an important business goal.

> [Click to view the Standard questions](#)

5. Financial Institutions' Self Assessment
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 encouraged to disclose their diversity policies and practices, as well as information related to their assessments, to the FDIC and the public.

> [Click to view the Standard questions](#)

Financial Institution Diversity Self-Assessment Screen Shots

Standard 1: Organization Commitment to Diversity and Inclusion

 Edit

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 a financial institution promotes diversity and inclusion in both employment and contracting and how it fosters a corporate culture that embraces diversity and inclusion.

[Click to view the Standard questions](#)

Standards	Yes/No	Activities that support Program Success or Program Challenges
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In a manner reflective of the individual financial institution's size and other characteristics,

1.1 The financial institution includes diversity and inclusion considerations in both employment and contracting as an important part of its strategic plan for recruiting, hiring, retention, and promotion.

1.2 The financial institution has a diversity and inclusion policy that is approved and supported by senior leadership, including senior management and the board of directors.

1.3 The financial institution provides regular progress reports to the board and senior management.

1.4 The financial institution regularly conducts training and provides educational opportunities on equal employment opportunity and on diversity and inclusion.

1.5 The financial institution 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 diversity and inclusion efforts.

1.6 The financial institution 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.

Financial Institution Diversity Self-Assessment Screen Shots

Standard 2: Workforce Profile and Employment Practices

2. Workforce Profile and Employment Practices

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.

✓ [Click to view the Standard questions](#)

Standards	Yes/No	Activities that support Program Success or Program Challenges
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In a manner reflective of the individual financial institution's size and other characteristics,

2.1 The financial institution implements policies and practices related to workforce diversity and inclusion in a manner that complies with all applicable laws.

2.2 The financial institution 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.

2.3 The financial institution has policies and practices that create diverse applicant pools for both internal and external opportunities that may include:

2.3(a) Outreach to minority and women organizations.

2.3(b) Outreach to educational institutions serving significant minority and women student populations.

2.3(c) Participation in conferences, workshops, and other events to attract minorities and women and to inform them of employment and promotion opportunities.

2.4 The financial institution uses 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, including the executive and managerial ranks.

2.5 The financial institution 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.

Financial Institution Diversity Self-Assessment Screen Shots

Standard 3: Procurement and Business Practices

3. Procurement and Business Practices - Supplier Diversity

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.

✓ [Click to view the Standard questions](#)

Standards	Yes/No	Activities that support Program Success or Program Challenges
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In a manner reflective of the individual financial institution's size and other characteristics,

3.1 The financial institution 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 financial institution's assets, and the development of the financial institution's equity investments.

3.2 The financial institution has methods to evaluate its supplier diversity, which may include metrics and analysis related to:

3.2(a) Annual Procurement Spending.

3.2(b) Percentage of contract dollars awarded to minority-owned and women-owned businesses by race, ethnicity, and gender.

3.2(c) Percentage of contracts with minority-owned and women-owned business subcontractors.

3.3 The financial institution has practices to promote a diverse supplier pool, which may include:

3.3(a) Outreach to minority-owned and women-owned contractors and representative organizations.

3.3(b) Participation in conferences, workshops, and other events to attract minority-owned and women-owned firms and inform them of contracting opportunities.

3.3(c) An ongoing process to publicize its procurement opportunities.

Financial Institution Diversity Self-Assessment Screen Shots

Standard 4: Practice to Promote Transparency of Organizational Diversity and Inclusion

4. Practice to Promote Transparency of Organizational Diversity and Inclusion

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 to illustrate the progress made toward an important business goal.

✓ [Click to view the Standard questions](#)

Standards	Yes/No	Activities that support Program Success or Program Challenges
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In a manner reflective of the individual financial institution's size and other characteristics, the financial institution 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 financial institution publicizes its diversity and inclusion strategic plan.

4.2 The financial institution publicizes its policy on its commitment to diversity and inclusion.

4.3 The financial institution is transparent about its progress toward achieving diversity and inclusion in its workforce and procurement activities, which may include the financial institution's current workforce and supplier demographic profiles.

4.4 The financial institution publicizes its opportunities to promote diversity, which may include:

4.4(a) Current employment and procurement opportunities.

4.4(b) Forecasts of potential employment and procurement opportunities.

4.4(c) The availability and use of mentorship and developmental programs for employees and contractors.

Financial Institution Diversity Self-Assessment Screen Shots

Standard 5: Financial Institutions' Self Assessment

5. Financial Institutions' Self Assessment

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 encouraged to disclose their diversity policies and practices, as well as information related to their assessments, to the FDIC and the public.

Click to view the Standard questions

Standards Yes/No Activities that support Program Success or Program Challenges

In a manner reflective of the individual financial institution's size and other characteristics,

5.1 The financial institution conducts an assessment of its diversity policies and practices annually.

5.2 The financial institution monitors and evaluates its performance under its diversity policies and practices on an ongoing basis.

5.3 The financial institution publishes information pertaining to its assessment of its diversity policies and practices.

Section III – Workforce Demographics

The screenshot shows the 'SECTION III - Diversity Data Prototype' interface. It includes a navigation bar with tabs for General Information, Section I, Section II, Section III, and Section IV. The 'SECTION III - Prototype' tab is active. Below the navigation, there is a title 'SECTION III - Diversity Data Prototype' and an 'Edit' button. A note states: 'Demographic composition of your workforce. NOTE: Definitions for the race and ethnicity categories are provided in footnote.' The main data entry area is a table titled 'Workplace Diversity' with columns for demographic categories and a 'Total Number' column. The table is structured as follows:

		Hispanic or Latino		Males						Females						Total Number
		Male	Female	White	Black	NHPI	Asian	AIAN	2+ Races	White	Black	NHPI	Asian	AIAN	2+ Races	
What are the numbers and percentages of women and minorities in the financial institution's total workforce for the period covered by this assessment?	#															
	%															
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?	#															
	%															
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?	#															
	%															

