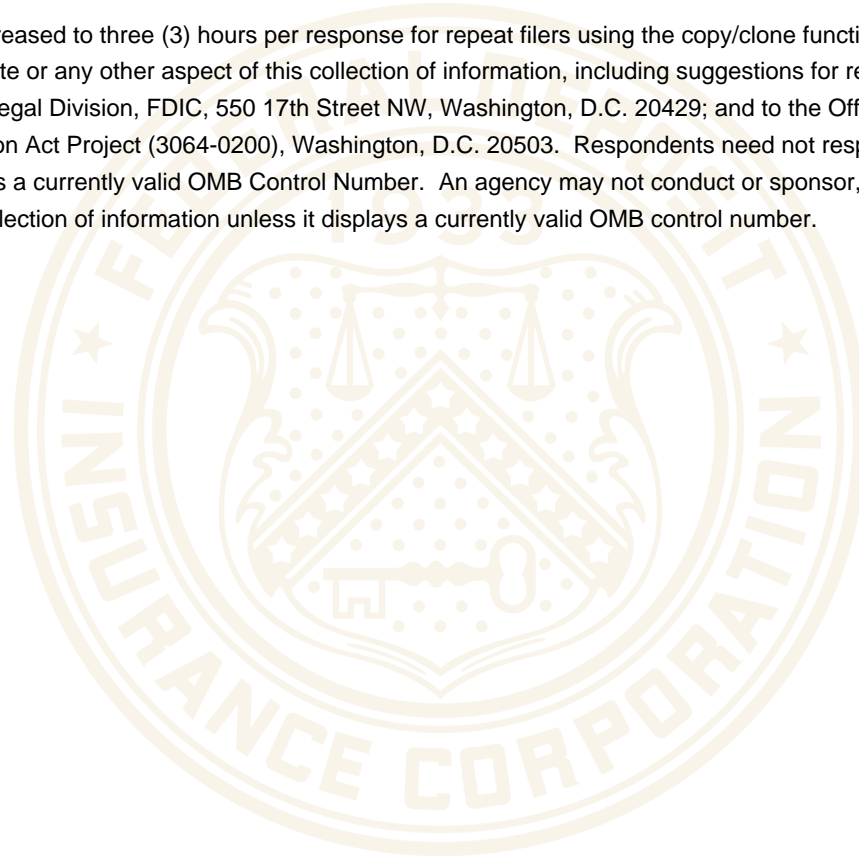

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ESTIMATED REPORTING BURDEN

Public reporting burden for this collection is estimated to average eight (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.

The reporting burden is decreased to three (3) hours per response for repeat filers using the copy/clone functionality. 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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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-assessment 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 financial institutions to monitor progress and trends in the financial services industry with regard to diversity and inclusion in employment and contracting activities. This information may also be used to highlight successful policies and practices. The FDIC may publicize leading practices in any form that does not reveal the identity of any organization, financial institution or individual, and does not disclose any confidential business information or trade secrets. The FDIC will treat the information submitted as confidential to the extent permitted by law and will not disclose it unless required by law.

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.

SECTION I - FINANCIAL INSTITUTION INFORMATION

Name of Financial Institution	CERT Number	Period Covered by the Assessment	Date Submitted
Address		City	State
			Zip Code
Diversity and Inclusion Officer or Equivalent:		Supplier Diversity Officer or Equivalent:	
Name		Name	
Title		Title	
Email		Email	
Telephone		Telephone	
Fax		Fax	
Does your financial institution have an outreach program?		Does your financial institution have a supplier diversity program?	
<input type="radio"/> Yes <input type="radio"/> No		<input type="radio"/> Yes <input type="radio"/> No	

Diversity and Inclusion Website

Provide a brief description of the financial institution covered by this assessment (e.g., *governance structure, workforce size, total assets and community characteristics*) below.

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SECTION II - ASSESSMENT OF THE FINANCIAL INSTITUTION'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 a financial institution 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 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.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	
1.3 The financial institution provides regular progress reports to the board and senior management.	<input type="radio"/>	<input type="radio"/>	
1.4 The financial institution regularly conducts training and provides educational opportunities on equal employment opportunity and on diversity and inclusion.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	

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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.

Standards	Yes	No	Activities that support Program Success or Program Challenges
In a manner reflective of the individual financial institution's size and other characteristic,			
2.1 The financial institution implements policies and practices related to workforce diversity and inclusion in a manner that complies with all applicable laws.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	
2.3(b) Outreach to educational institutions serving significant minority and women student populations.	<input type="radio"/>	<input type="radio"/>	
2.3(c) Participation in conferences, workshops, and other events to attract minorities and women and to inform them of employment and promotion opportunities.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	
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.	<input type="radio"/>	<input type="radio"/>	

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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.

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.	<input type="radio"/>	<input type="radio"/>	
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3.2 The financial institution has methods to evaluate its supplier diversity, which may include metrics and analytics related to:

3.2(a) Annual procurement spending.	<input type="radio"/>	<input type="radio"/>	
3.2(b) Percentage of contract dollars awarded to minority-owned and women-owned businesses by race, ethnicity, and gender.	<input type="radio"/>	<input type="radio"/>	
3.2(c) Percentage of contracts with minority-owned and women-owned business subcontractors.	<input type="radio"/>	<input type="radio"/>	

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.	<input type="radio"/>	<input type="radio"/>	
3.3(b) Participation in conferences, workshops, and other events to attract minority-owned and women-owned firms and inform them of contracting opportunities.	<input type="radio"/>	<input type="radio"/>	
3.3(c) An ongoing process to publicize its procurement opportunities.	<input type="radio"/>	<input type="radio"/>	

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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 and illustrate the progress made toward an important business goal.

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.

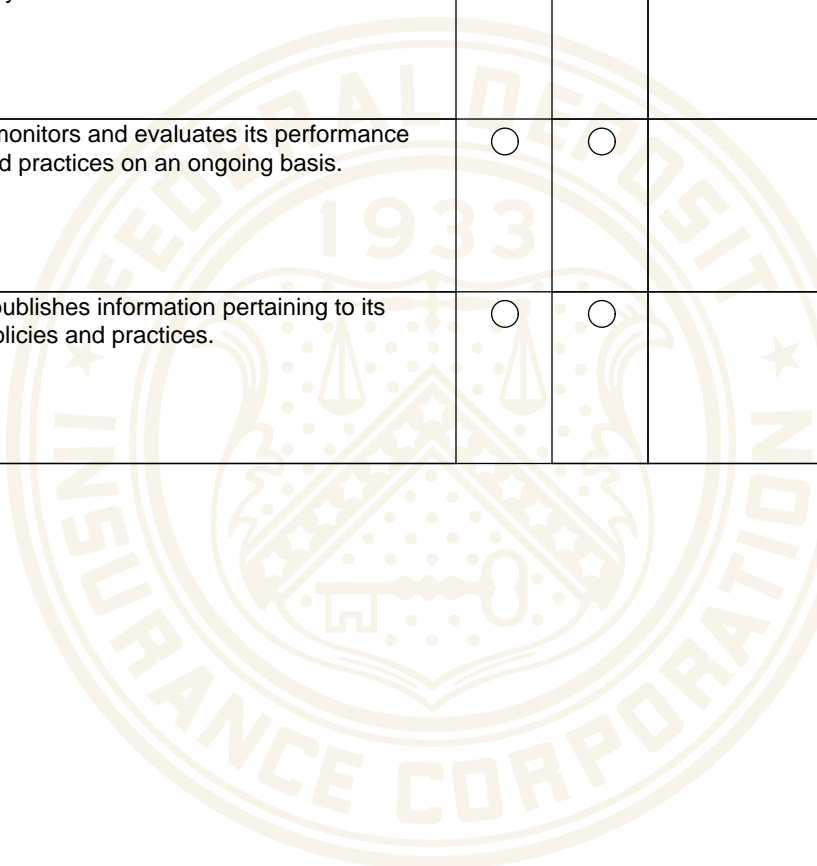
4.1 The financial institution publicizes its diversity and inclusion strategic plan.	<input type="radio"/>	<input type="radio"/>	
4.2 The financial institution publicizes its policy on its commitment to diversity and inclusion.	<input type="radio"/>	<input type="radio"/>	
4.3 The financial institution 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.	<input type="radio"/>	<input type="radio"/>	
4.4 The financial institution publicizes its opportunities to promote diversity, which may include:			
4.4(a) Current employment and procurement opportunities.	<input type="radio"/>	<input type="radio"/>	
4.4(b) Forecasts of potential employment and procurement opportunities.	<input type="radio"/>	<input type="radio"/>	
4.4(c) The availability and use of mentorship and developmental programs for employees and contractors.	<input type="radio"/>	<input type="radio"/>	

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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.

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.	<input type="radio"/>	<input type="radio"/>	
5.2 The financial institution monitors and evaluates its performance under its diversity policies and practices on an ongoing basis.	<input type="radio"/>	<input type="radio"/>	
5.3 The financial institution publishes information pertaining to its assessment of its diversity policies and practices.	<input type="radio"/>	<input type="radio"/>	



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SECTION III - DIVERSITY DATA

Demographic composition of your workforce. NOTE: Definitions for the race and ethnicity categories are provided in footnote.

		WORKFORCE DIVERSITY														
		Hispanic or Latino		Males						Females						
		Male	Female	White	Black	NHPI	Asian	AIAN	2+ Races	White	Black	NHPI	Asian	AIAN	2+ Races	Total Number
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?	#															
	%															

Definitions for race and ethnicity categories:

Hispanic or Latino - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.

White (Not Hispanic or Latino) - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

Black or African American - A person having origins in any of the black racial groups of Africa.

Native Hawaiian or Pacific Islander (NHPI) - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Asian - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Native American or Alaska Native (AIAN) - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.

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PROCUREMENT SUPPLIER DIVERSITY

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

	Minority Owned Spend	Woman Owned Spend	Minority and Woman Owned Spend	Total Procurement Spend
Dollar Amount (\$)				
Number of Contracts (#)				

SECTION IV - ADDITIONAL INFORMATION

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

