INSTRUCTIONS FOR PREPARING AND SENDING YOUR

Financial Institution Diversity Self-Assessment Form

Thank you for participating in the Consumer Financial Protection Bureau’s (CFPB) Diversity Self-Assessment!

Whether you’re just getting started or you’ve been working on developing your diversity and inclusion (D&I) policies and practices for years, our easy-to-use self-assessment form can help your institution examine its current D&I programming and consider the next steps. By outlining and assessing your D&I strategy and process, your organization can identify opportunities and consider diversity and inclusion best practices in order to maximize potential for competitiveness. Having a diverse and inclusive workforce helps to ensure that financial products and programs developed are relevant for all consumers, thereby maximizing an entities’ impact in the marketplace.

**What You Should Know About The CFPB’s Diversity Self-Assessment Form:**

* An effective tool for evaluating your diversity and inclusion programming;
* Voluntary;
* Simple and brief—only 34 questions;
* Easy to use;
* Responses are requested by December 30 of each calendar year.

Developing effective D&I policies and practices takes time and effort. The CFPB understands that organizations are in different stages on the D&I continuum; therefore, entities may not have in place all of the practices outlined in the self-assessment form. However, we ask that you fill out the form as completely as you can.

**Reporting Self-Assessment Data**

Annually, regulated entities will have an opportunity to conduct this self-assessment of their diversity and inclusion policies and practices. The CFPB will review the information submitted to keep updated on how D&I is trending in the financial services industry. This information also helps us identify best practices and opportunities should you need assistance you with your D&I efforts.

CFPB will not publish D&I information that specifically identifies any particular individual or entity, unless the individual or entity consents in writing. As a reminder, individual assessment results are not part of the CFPB’s examination process.

### The Self-Assessment Form

### Please complete all the boxes in the self-assessment form for which you have information.

### Section I: Organization Information

Please provide the following information about your organization by completing all the required fields: your institution’s name; mailing address; period covered by assessment; date submitted; contact information for your D&I officer or equivalent; and contact information for your supplier diversity officer or equivalent, if different from your D&I officer.

Also, provide a brief description of your financial institution or business. Descriptions should include: governance structure, workforce size, total assets, geographic location(s), primary customers, and community characteristics.

You may also attach copies of governance documents or any other informational documents that would be helpful in describing your operations.

### Section II: Assessment of Your Entity’s Diversity Policies and Practices

Please respond to the questions under each subsection by answering “yes” or “no.” Then provide examples of activities that support your answer.

For each of the subsections, you may also attach a PDF of documents that provide a description of your institution’s policies and practices in the sections below.

### Section III: Diversity Data

#### Subsection 1: Workforce Profile

Please fill in the boxes in this section which address the following:

* The numbers and percentages of women and minorities in your total workforce;
* The numbers and percentages of women and minorities in your Executive/Senior Level Officials and Managers job category; and
* The total numbers and percentages of women and minorities represented on your Board of Directors for the period covered by the Self-Assessment.

#### Subsection 2: Procurement – Supplier Diversity

Please fill in the boxes in this section which identify 1) your total annual procurement spend with women- and minority-owned businesses and 2) your total annual procurement spend with all vendors and suppliers for the period covered by this submission.

### Section IV: Additional Information

In this last section, you may submit other information or comments you deem important regarding your diversity policies and practices. You may also attach copies of documents that provide a description of your policies and practices, including examples of best practices in D&I. Do not include any directly identifiable employee personal information in the materials submitted.

### Submitting Assessments, Questions, and Technical Assistance Requests

Please submit your completed Diversity Self-Assessment, or any other material online at consumerfinance.gov. You may also print, complete and submit your self-assessment to [OMWI\_RegulatedEntity@CFPB.gov](mailto:OMWI_RegulatedEntity@CFPB.gov). If you have questions or if you desire technical assistance in filling out the self-assessment form, please email us at the same address. We are here to help you!

To e-mail documents to the Bureau’s Office of Minority and Women Inclusion (OMWI) using encryption, please go to <http://www.zixcorp.com/info/zixmail> to obtain the setup process for your e-mail system.