FINANCIAL INSTITUTION DIVERSITY
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OFFICE OF MINORITY AND WOMEN INCLUSION ▪ FEDERAL DEPOSIT INSURANCE CORPORATION

FDIC

Financial Institution Diversity Self-Assessment (FID-SA) User Guide

Intended Audience: FDIC-Regulated Financial Institutions

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Financial Institution Diversity Self-Assessment (FID-SA) Overview

Financial Institution Diversity Self-Assessment, also known as FID-SA, is used to capture and manage the Diversity Self-Assessments received from the FDIC-regulated Financial Institutions. The FDIC may use the information provided by its regulated financial institutions to monitor progress and trends in the financial services industry with regard to diversity and inclusion in employment and contracting activities.

Logging into FID-SA through FDIC*connect*

FID-SA is a cloud-based solution which means FDIC regulated institutions can access it through the Internet from the FDIC*connect* Business Center. FDIC*connect* establishes a secure internet connection for electronic communications and transactions between authorized users.

Users must be designated by their financial institution to access applications from FDIC*connect* through the institution's FDIC*connect* Coordinator. In the event your Coordinator is unavailable or you do not know who your Coordinator is, you may contact the **FDIC*connect* Help Desk by calling 1-877-275-3342** (select Option 4), or email FDICconnect@fdic.gov. Your FDIC*connect* Coordinator will send you a secure link to create a FDIC*connect* account and also provide you with your username and temporary password. The FID-SA user will log into FDIC*connect* and enter their username and temporary password, and then they will be prompted to change their password. Next, the FID-SA user will be asked how they would like to register for the two-factor authentication which is your one-time password. Once registered for the two-factor authentication, on an on-going basis you will log into FDIC*connect* using your username and password and then you will be asked to enter the one-time password (OTP). OTPs are generated each time you log into FDIC*connect*.

Upon receipt of your login credentials, you will open an internet browser and enter the FDIC*connect* URL: https://www.fdicconnect.gov

💡 Please note if your financial institution needs multiple users to have access to the FID-SA portal, contact your institution's FDIC*connect* Coordinator.

Once you are on the FDIC*connect* Business Center page, click **Sign In**.

After clicking **Sign In**, you will be directed to the first login screen of the two-factor authentication. Read the Security Notice, enter your **FDIC FCX account User Name and Password,** and click **Submit**.

Next, is the second login screen of the two-factor authentication for the registered email address. Enter the registered token PIN in the **One-time Password (OTP)** field, your **FDIC account password,** and click **Submit**.

Please note that your OTP is always generated by how you chose to register for the two-factor authentication. Only the institution's designated FCX coordinator can provide tokens to bank staff authorized to access the system. The OTP code received on the token is the OTP. Enter your OTP as soon as you receive it to avoid login interruptions.

If you have questions, or experience technical issues while registering for the OTP, contact the FDIC*connect* registration helpdesk by email at FDICconnect@fdic.gov, or by phone at **1-877-275-3342 (Option 4)**. Provide the helpdesk with the name of your institution and Bank Certification number.
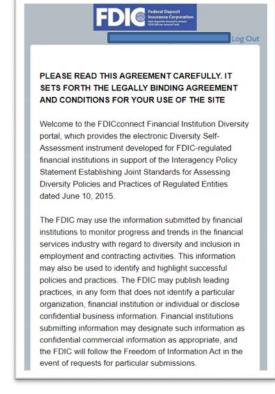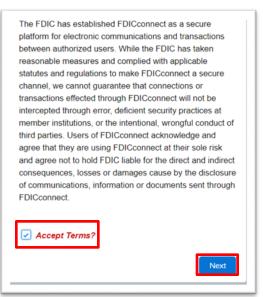
Under the Business Center Menu, click the **expand box** next to Financial Institution Diversity. Then click the **Financial Institution Diversity Assessment** link.

Read the FDIC*connect* Financial Institution Diversity Self-Assessment portal agreement; and, if you accept the terms, check the box and click **Next**.
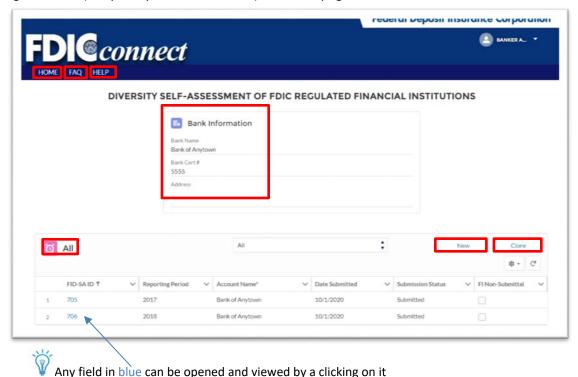
FID-SA Home Page

When first logging in, the FID-SA Home Page will appear. From this page you can view your financial institution's information, view previously completed Diversity Self-Assessments, create a new Diversity Self-Assessment, clone a previously submitted Diversity Self-Assessment, and access user resources through the FAQ (Frequently Asked Questions) and HELP pages.

Any field in blue can be opened and viewed by a clicking on it

On the top right corner are more viewable options for the Bank User. Click the **drop down arrow** to navigate to areas such as **Home** (takes you to the home page), **My Profile** (bank user information), **My Bank** (bank information), and **Logout** (logging off FID-SA portal).
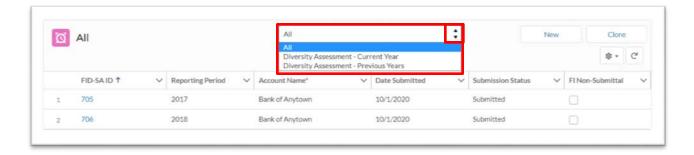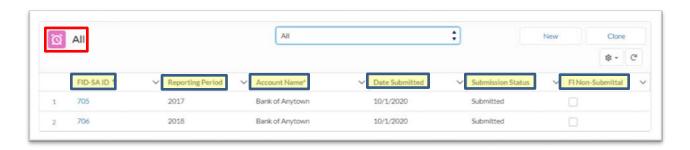
Viewing Diversity Self-Assessments

From the Home page, you are able to view diversity self-assessments by clicking the drop down arrow and choosing a list view to see a filtered list of Diversity Self-Assessments (All, Current Year, and Previous Years). The default list view is Current Year.

The columns consist of the following: **FID-SA ID** (auto-generated ID number for each assessment), **Reporting Period** (assessment reporting period year), **Account Name** (bank name), **Date Submitted** (assessment submission date), **Submission Status** (displays if Diversity Self-Assessment status is "in progress" or "submitted"), and **FI Non-Submittal** (financial institution has opted out of completing their assessment for the specific reporting period if box is checked).

Click on a **FID-SA ID** (highlighted in blue) link to open and view the diversity self-assessment for the corresponding reporting year.

Financial institutions have the ability to view older and current assessments.
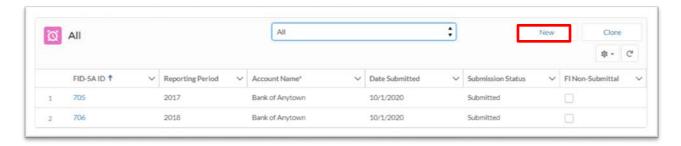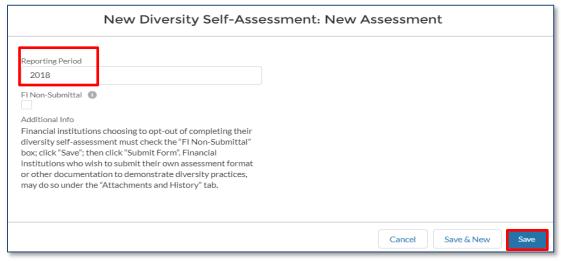
Create a New Diversity Self-Assessment

To create a new Diversity Self-Assessment, click the **New** button.

The New Diversity Self-Assessment window will open. The Reporting Period field will automatically populate to the current year's reporting period, or manually enter the desired reporting period year you are submitting. Confirm the correct reporting period year is displayed and click **Save**.

💡 An error message will appear if a Diversity Self-Assessment record already exists for a reporting period that is manually entered.

💡 Financial institutions will NOT be allowed to create a new assessment for a reporting period past July 1st of the prior year. An attempt to create a new assessment for a prior reporting period, will result in an error message displaying *"Corrections to submitted diversity self-assessments cannot be made past July 1st"*.

💡 Financial institutions will NOT be allowed to create a new assessment for a reporting period older than five years (current year minus five). An attempt to create a new assessment for a reporting period older than five years, will result in an error message displaying *"Diversity Self-Assessment older than 5 years cannot be Created OR Edited"*.
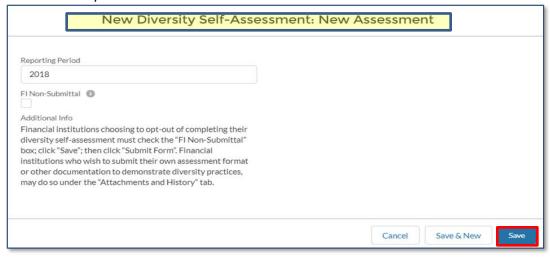
Completing the Diversity Self-Assessment is voluntary. Financial institutions may choose to opt out of completing their diversity self-assessment for the reporting period. Refer to instructions under the section: **Opting out of Completing FDIC's Diversity Self-Assessment.**

However, if you choose to continue completing the Diversity Self-Assessment, click **Save** to proceed to complete the diversity self-assessment.

The estimated reporting burden statement appears. After reading the statement, click **Ok**.

A Diversity Self-Assessment ID is auto-generated and assigned to identify the new Diversity Self-Assessment for the Reporting Period year.

Diversity Self-Assessment Sections

The Diversity Self-Assessment contains four sections within the **Diversity Self-Assessment** tab. Complete each section by first clicking the **Edit** button.

Click the **Save** button after completing each section, and before proceeding to the next section.
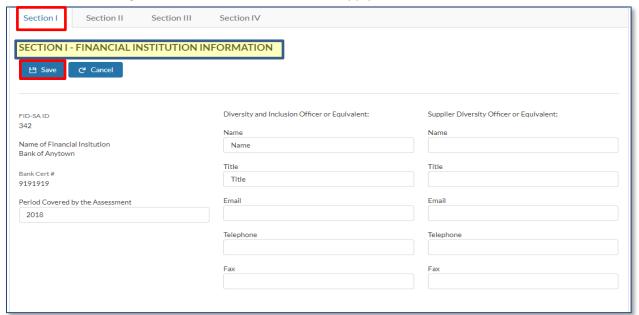
Section l – Financial Institution Information

Section 1 requests financial institution information.

- **Name of Financial Institution and Bank Cert #**– This information is auto-populated.
- **Period Covered by the Assessment** – The financial institution's assessment information for the prior calendar year. This information is auto-populated.
- **Diversity and Inclusion Officer and/or Supplier Diversity Officer, or their equivalent** – Identification and contact information for the official(s) designated with the responsibility for diversity in employment and/or business activities.
- **Diversity and Inclusion Website** – Financial Institution's dedicated Diversity and Inclusion web page.
- **A brief description is requested of the following:**
  - **Governance Structure** – The organization that makes overall decisions, oversight and management of the financial institution (e.g., Board of Directors, C-Suite Management, Ownership Structure, or other type of governance structure).
  - **Total Assets** – Total assets identified as: (1) less than $307 million; (2) between $307 million to $1.226 billion; or (3) more than $1.226 billion.
  - **Community Characteristics** – The residential makeup of the community served by the financial institution; e.g., rural suburban, urban or all that apply.

IMPORTANT! Remember to **Save** after completing each Section.

Section II – Assessment of the Financial Institution's Diversity Policies and Practices

Section II is the assessment of the financial institution's diversity policies and practices. This section correlates with the five standards contained in the Policy Statement and allows the institution to evaluate itself against leading diversity practices. For each question, select the appropriate response from the Yes/No drop down. A "yes or no" response for Section II of the Diversity Self-Assessment applies to your institution's diversity practices. The default is "None". Additional, supporting information for each question can be included in the adjacent text box to support your institution's program successes or program challenges.

💡 IMPORTANT! Remember to **Save** after completing each Section.

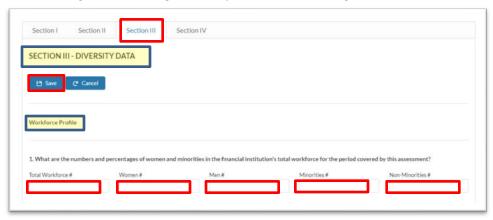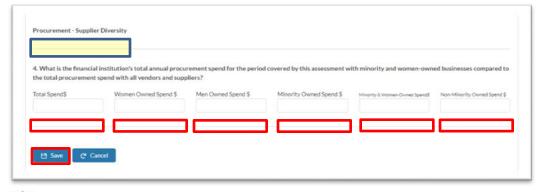💡 A "no" response does not negatively reflect on your program.

Section III – Diversity Data

Section III is the diversity data. This section requests information for the financial institution's workforce and supplier diversity for the assessment period.

- **WORKFORCE PROFILE:** The numbers of minorities/non-minorities and women/men in its workforce, excluding contract or agreement personnel; its management; and its Board of Directors.

- **PROCUREMENT – SUPPLIER DIVERSITY:** Total dollars and percentages paid to minority-owned and women-owned businesses.
  - **Total spend** – The financial institution's total dollar amount spent for the procurement of goods and services during the calendar year reported.
  - **Minority-owned** – Companies that designate themselves as minority-owned include businesses with more than 50 percent of the ownership or control of which is held by 1 or more minority individuals; and more than 50 percent of the net profit or loss of which accrues to 1 or more.
  - **Woman-owned** – Companies that designate themselves as women-owned businesses with more than 50 percent of the ownership or control of which is held by 1 or more women; more than 50 percent of the net profit or loss of which accrues to 1 or more women; and a significant percentage of senior management positions of which are held by women.
  - **Minority and woman-owned** – Companies that designate themselves as both minority-owned and woman-owned.

IMPORTANT! Remember to **Save** after completing each Section.

Section IV – Additional Information

Section IV is for additional information/comments provided by the financial institution in support of its diversity program that it deems important, or to clarify responses in Sections II and III.

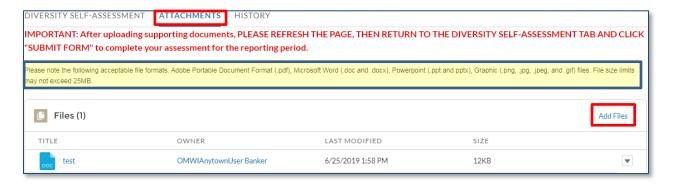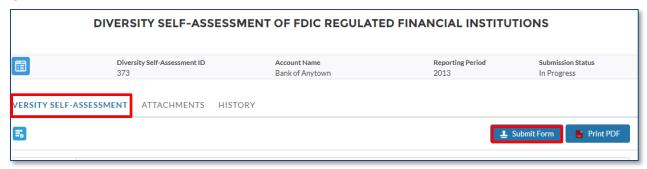IMPORTANT! Remember to **Save** after completing each Section.

Attachments and History Tabs

The **Attachments** and **History tabs** provide additional functionality for the Diversity Self-Assessment.

The **Attachments tab** allows you to upload documentation in support of your diversity and inclusion practices. Click the **Add Files** button to upload files/documents, taking note of the required file size and formats (highlighted yellow in the screenshot).

Once all files have been uploaded, you must click on the **Diversity Self-Assessment tab** to click **Submit Form**.

💡 IMPORTANT! You cannot submit the completed Diversity Self-Assessment from the Attachments tab. **You must return to the Diversity Self-Assessment tab to click the Submit Form button.** Refer to the **Submitting a Diversity Self-Assessment** section for guidance

💡 If you upload an attachment to a Diversity Self-Assessment that has **already been submitted**, **you must refresh the page after uploading your document**. The submission status will switch to "In Progress" and you will need to go to the **Diversity Self-Assessment tab and click Submit Form** to re-submit the Self-Assessment with the newly-uploaded file.
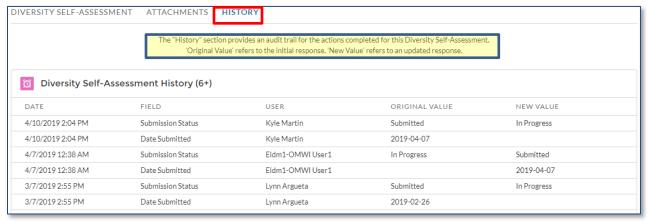
The **History tab** displays the history of the Diversity Self-Assessment, such as date submitted, submission status, and identifies the user that prepared and submitted the Diversity Self-Assessment. It also identifies the edits made to previously submitted self-assessments through the "original value" (refers to the initial response) and "new value" (refers to an updated response) fields.
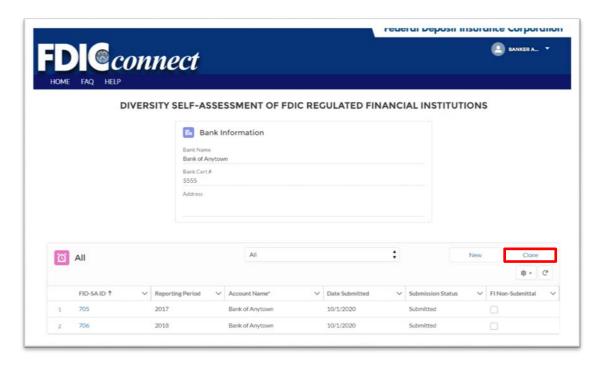
| DIVERSITY SELF-ASSESSMENT | ATTACHMENTS | HISTORY | | |

The "History" section provides an audit trail for the actions completed for this Diversity Self-Assessment. 'Original Value' refers to the initial response. 'New Value' refers to an updated response.

Diversity Self-Assessment History (6+)

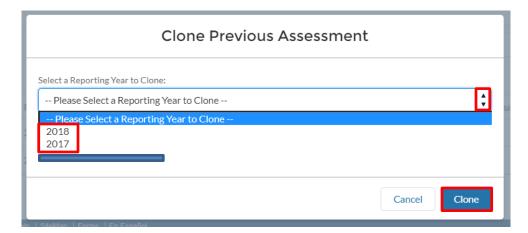| DATE	FIELD	USER	ORIGINAL VALUE	NEW VALUE
4/10/2019 2:04 PM	Submission Status	Kyle Martin	Submitted	In Progress
4/10/2019 2:04 PM	Date Submitted	Kyle Martin	2019-04-07	
4/7/2019 12:38 AM	Submission Status	Eidm1-OMWI User1	In Progress	Submitted
4/7/2019 12:38 AM	Date Submitted	Eidm1-OMWI User1		2019-04-07
3/7/2019 2:55 PM	Submission Status	Lynn Argueta	Submitted	In Progress
3/7/2019 2:55 PM	Date Submitted	Lynn Argueta	2019-02-26	

Copying/Cloning a Previously Submitted Diversity Self-Assessment

To copy a previously submitted diversity self-assessment for a new reporting period, click the **Clone** button. This feature will automatically pre-populate a new diversity self-assessment with information that was previously completed and submitted.

The below screen appears after clicking the **Clone** button. Click on the drop down arrows to select a diversity self-assessment from a previously submitted reporting period. After highlighting the reporting year to clone, click **Clone**.

The diversity self-assessment information from the selected reporting period year will all be cloned to a new assessment for the user to update with diversity policies and practices relevant to the new reporting period year.
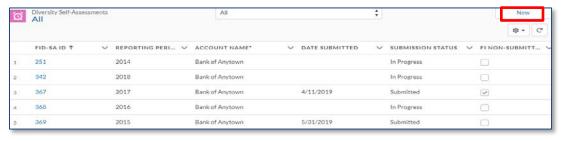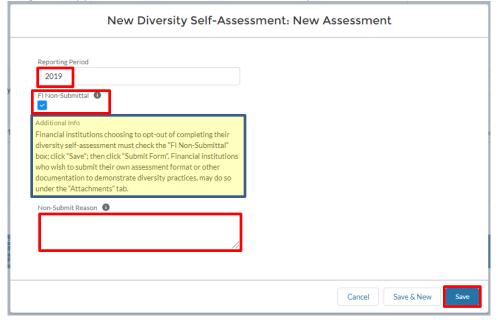
Opting Out of Completing FDIC's Diversity Self-Assessment

Completing the Diversity Self-Assessment is voluntary. Financial institutions may opt-out from submitting their Diversity Self-Assessment for any reporting year; or may prefer to provide their Diversity Self-Assessment in a different format in lieu of completing FDIC's Diversity Self-Assessment. In these instances, you will click on the **New** button from the home page as if you were creating a new Diversity Self-Assessment.

Check the **FI Non-Submittal box** if you choose to opt-out of completing a Diversity Self-Assessment and then click **Save**. Take note of the "*Additional Info*" highlighted in yellow, which further instructs financial institutions who prefer to submit their own assessment format or other documentation demonstrating diversity practices may do so under the **Attachments tab**. Click on **Attachments tab** to upload the document(s); and refer to the **Attachments and History Tab** section in this document for instructions.

When the **FI Non-Submittal** box is checked, you will be requested to include the reason why your financial institution will not submit for the stated reporting period in the **Non-Submit Reason** text box. An error message will appear if the Non-Submit Reason is not provided.
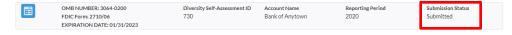
Submitting a Diversity Self-Assessment

Once all sections of the Diversity Self-Assessment have been completed and saved, click on the **Diversity Self-Assessment tab** and click the **Submit Form** button.

A message will appear stating the Diversity Self-Assessment has been successfully submitted, and you will receive a separate acknowledgement email from the FDIC confirming your submission. The Submission Status changes to **Submitted**.

💡 Edits to a diversity self-assessment that was submitted for the current reporting period, will revert to the status of In-Progress. You must save the changes and **return to the Diversity Self-Assessment tab to click the Submit Form button**. Confirm that the Diversity Self-Assessment was successfully submitted under **Submission Status**.

Print and Save

To print or save a pdf file copy of the Diversity Self-Assessment, click the "**Print PDF**" button.

FAQ (Frequently Asked Questions) Tab

The **FAQ tab** contains frequently asked questions and answers about the Diversity Self-Assessment of FDIC's regulated financial Institutions.

HELP Tab

The **Help tab** provides an overview of the Financial Institution Diversity Program and includes a link to the FID-SA User Guide.

Access Issues, Error Messages and Troubleshooting

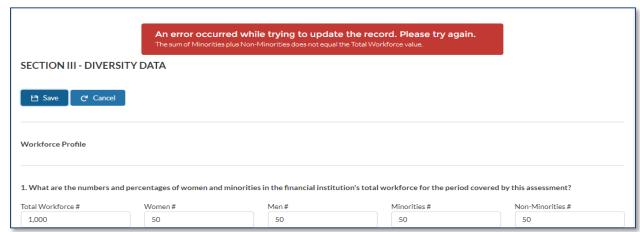This section describes various access issues, error messages, and the troubleshooting steps to aid in correcting them.

1. Access related issues to FDIC*connect* are resolved through the financial institution's FDIC*connect* Coordinator.

> If you have a problem with FDIC*connect*, **you should first contact your Institution's Designated Coordinator**. In the event your Coordinator is unavailable or you do not know who your Coordinator is, you may contact the FDIC*connect* Help Desk. You can email us at **FDIC*connect*@fdic.gov** or call 1-877-275-3342. In order for us to help you, your email must include your full name, the name and address of your institution, a work phone number, and a full description of your problem.

2. If you navigate to another section without clicking the **Save** button, an error message stating "*Data Not Saved – You have unsaved changes. Navigate back to Section x and save or cancel your changes*". Return to the identified Section to click the **Save** button, and proceed with completing the remaining Sections.

3. If at any time after clicking the **Save** button, you receive an error message, it will state the reason for the error. Follow the instructions contained in the error message to make the correction and then click the **Save** button.
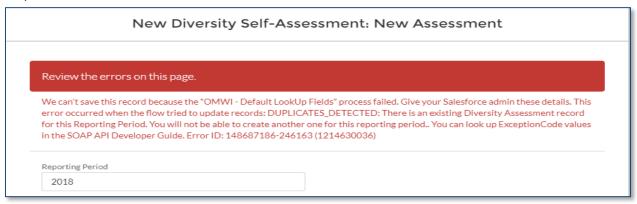
4. An error message will appear if a Diversity Self-Assessment record already exists for that reporting period.

5. An error message will appear if a new Diversity Self-Assessment is created, or if corrections to submitted diversity self-assessments are attempted past the July 1st cut-off date.

Helpful Tips

💡 Any field in blue can be opened and viewed by a clicking on it.

💡 Please note if your financial institution needs multiple users to have access to the FID-SA portal please contact your FDICconnect Coordinator.
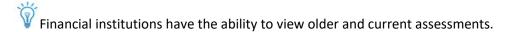
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💡 Financial institutions have the ability to view older and current assessments.

💡 Remember to **Save** after completing each Section of the Diversity Self-Assessment.

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