



# CAIDS

C A L I F O R N I A  
INSURANCE DIVERSITY SURVEY

## 2020 CAIDS INSTRUCTIONS GUIDE

Step-by-Step Instructions on how to complete  
the California Insurance Diversity Survey

Rev. 04/20

### California Department of Insurance

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Policy & Legislation Branch

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# SECTION I – BACKGROUND & OVERVIEW

## ABOUT THE SURVEY

In 2011, the California Department of Insurance (Department) established the Insurance Diversity Initiative (Initiative). The Initiative focuses on transparency efforts that aim to encourage economic opportunities, board governance diversity, and increased procurement from diverse businesses or suppliers. As part of the Initiative's efforts, the Department administers surveys to understand the state of supplier diversity and governing board diversity within California's \$310 billion insurance industry. From 2012-2017, survey results indicate a 93% growth in the amount of dollars that California insurers spend with diverse businesses from \$930 million to \$1.8 billion.

In 2019, California Insurance Commissioner Ricardo Lara sponsored [Senate Bill 534 \(Bradford\) which was signed by California Governor Gavin Newsom](#). Effective January 1, 2020, this law expands the definition of diverse businesses, codifies the insurance supplier diversity survey, governing board diversity survey, and the Insurance Diversity Task Force – an advisory body to Insurance Lara and the Department. The California Insurance Diversity Survey (CAIDS) is administered pursuant to California Insurance Code section 927 et seq.

Commencing in 2020, and thereafter on a biennial basis, insurers that meet the prerequisite reporting threshold will report information related to their supplier diversity and governing board diversity efforts via the [CAIDS Insurer Portal](#). This virtual platform enables insurers to access, complete and submit their company's or group's reports for the financial years of 2018 and/or 2019. Once the administration period closes, all reports will be publicly accessible by November 1, 2020. All insurance companies that meet the following outlined threshold have been notified to submit a report with updated or new data by the **reporting deadline of 11:59 PM (PST) on July 31, 2020**. This automatic extension has been granted due to the ongoing developments surrounding the COVID-19 public health emergency that has resulted in unforeseen delays for insurance companies. If you require further assistance, please email: [CA.IDS@insurance.ca.gov](mailto:CA.IDS@insurance.ca.gov).

### Reporting Threshold:

- Each admitted insurer, with California premiums written of \$100 million or more shall report.

The survey is comprised of four (4) sections:

1. Chief Executive Officer (CEO) Information – Contact information for the company/group CEO;
  - a. NOTE: CEO data is for the use of the Department(s) and/or the Commissioner(s) only and not part of the publicly released report.
2. Governing Board Diversity Narrative – Report on governing board demographics and efforts to diversify the board;
3. Insurer Supplier Diversity Narrative – Report on information about their company / group's supplier diversity programs and outreach efforts; and
4. Procurement Charts – Report on procurement data with diverse suppliers.

The survey is intended to facilitate supplier relationships between insurers and diverse businesses. For the purpose of this survey, diverse businesses include: Minority Business Enterprises (MBEs); Women Business Enterprises (WBEs); Veteran (Owned) Business Enterprises (VOBEs); Disabled Veteran Business Enterprises (DVBES); Lesbian, Gay, Bisexual, Transgender Business Enterprises (LGBTBEs) and Multi-Certified Business Enterprises (MCBEs).

## SURVEY WEBINARS

The Insurance Diversity Initiative will be hosting two series of 2-part webinars to provide in-depth instructions on how to complete the survey; the full training requires attending both sessions. The first of the series will provide an overview of the available resource documents and the second part of the series will demonstrate the steps for completion of the survey.

**These webinars will take place on Thursdays (except Wednesday 5/6) at 9:00 am (PST)**

More information about each webinar will be sent one week prior to each scheduled session:

- **Part 1 Resource Webinars:** April 23 and May 21
- **Part 2 Technical Webinars:** May 6 and June 4

Detailed information such as submission deadlines, portal access information, and step-by-step instructions for completing the survey are all included in this guide for your convenience and will also be accessible via the CAIDS Insurer Portal and [CAIDS Resource website](#). Please review the detailed instructions herein carefully to help guide you in the completion and submission of the survey by the reporting deadline. If you have any questions, please send an email to: [CA.IDS@insurance.ca.gov](mailto:CA.IDS@insurance.ca.gov).

# SECTION II – SUBMISSION DEADLINES

## IMPORTANT DEADLINES

	<b>SUBMISSION SCHEDULE:</b> <i>California Premium of \$100 Million+</i>
<b>Automatic Extension Submission Date</b>	<b>July 31, 2020</b>

**July 31, 2020** – Due to the ongoing developments surrounding COVID-19 public health emergency that has resulted in unforeseen delays for insurance companies, California Insurance Commissioner Ricardo Lara is granting an automatic extension for all insurance companies that will be subject to the reporting requirements pursuant to California Insurance Code section 927 et seq. This will extend the original reporting due date of July 1, 2020, to the new due date of July 31, 2020. All surveys must be completed and submitted by **11:59 PM (PST) on July 31, 2020.**

**NOTE FOR COMPANIES SEEKING EXTENSION BEYOND 7/31/2020:** We understand that the evolving developments as a result of COVID-19 have created unintended or unforeseen delays. To ensure that we can properly assist you, please send an email to [CA.IDS@insurance.ca.gov](mailto:CA.IDS@insurance.ca.gov) with specific information regarding your company's circumstances. You **MUST** include a complete **list of companies and their corresponding NAIC numbers** as part of your communication.

To confirm which company(s) within your group have met the threshold requirement(s) to report, please review the [2020 Respondents Companies List](#); which can be found on the California Department of Insurance [CAIDS Resources webpage](#).

Final survey reports will be published and publicly accessible on the Initiative's website by November 1, 2020.

## SECTION III – CONTACT INFORMATION

### CONTACT US

If you have any questions regarding any part of the survey, send your inquiries to the [CA.IDS@insurance.ca.gov](mailto:CA.IDS@insurance.ca.gov). Remember to include your contact information and if applicable, survey ID, and a survey administrator will address your inquiry in the order it was received.

**Note:** All communications sent to insurer representatives related to CAIDS will be sent from the CAIDS team.

For any **technical inquiries** about the survey portal, contact [CA.IDS@insurance.ca.gov](mailto:CA.IDS@insurance.ca.gov).

# SECTION IV – SYSTEM REQUIREMENTS & ACCOUNT CREATION

## SYSTEM REQUIREMENTS

It is highly recommended that users access and complete the CAIDS using the latest version of the Microsoft Internet Explorer web browser. The use of other web browsers may produce unintended user reporting errors.

## ACCOUNT CREATION & SET-UP: NEW and RETURNING USERS

Upon receipt of the Reporting Notification email, respondents will be invited to create a user account for the portal. This will allow users to complete the sections incrementally and access the survey repeatedly prior to submission.

### \*RETURNING USERS\* LOGGING INTO YOUR ACCOUNT

If you previously submitted a survey as part of the 2018 diversity survey administration period, and/or were designated as the primary and/or secondary contact for your company / group prior to 2020, you should already have an account. Please use your previously established credentials to log into your account, or click “Forgot Your Password?” to reset your password.

- Upon log-in, you will be prompted to confirm and/or update your contact information and check the Acknowledgement box; checking this box acknowledges your receipt of the survey and agreement to submit the survey by the survey submission date.

### \*NEW USERS\* CREATING A PRIMARY USER ACCOUNT

*NOTE: Sample screenshots are included below to serve as a visual guide for each step in the registration process.*

- The Government relations contact listed on your company/group annual financial statement will receive an email to create an account directly from the CAIDS Insurer Portal; this email will include a unique survey link.
- The unique survey link you receive will direct you to the website where you will create the login credentials for the primary user account – this user will be the primary user for a company’s account and is able to create secondary users as needed.
  - **Sample New User Account Set-Up Email:**

**To:** Government Relations Contact

**Subject:** California Insurance Diversity Survey (CAIDS) Invitation CRM:0001028

Dear Government Relations Contact,

A new account has been created to access the California Insurance Diversity Survey (CAIDS). You may access the survey at <https://testsurveylink.com>. To create an account, please use the username and temporary password that has been created for you. Upon your initial log-in, you will be prompted to create your own password.

Username: GovernmentRelations1|  
Temporary Password: 2AP67iTH6

Please contact us at [CA.IDS@insurance.ca.gov](mailto:CA.IDS@insurance.ca.gov) if you have any questions.

Please do not reply to this message as it goes to an unmonitored inbox.

Thank you,

- **NOTE:** *It is highly advised that only one primary account be created and the number of secondary user accounts be mindfully created to prevent any difficulty in keeping track of the changes being made to your company / group's survey(s)*

CAIDS  
CALIFORNIA  
INSURANCE DIVERSITY SURVEY

My Reports Profile Instructions Glossary

California Insurance Diversity Survey (CAIDS)

\* Username

\* Password

Sign in

CAIDS  
CALIFORNIA  
INSURANCE DIVERSITY SURVEY

My Reports Profile Instructions Glossary

Change Password

Update Profile  
My Companies  
Change Password  
Change Security Question

Change Password

You must change your password before using this site

\* Current Password

\* New Password

\* Confirm New Password

Change Password

- When entering user information for your account, choose information that is easy to remember, but that also meets the password security requirements (outlined below), and note it down for future reference.

- Passwords require a minimum of 6 characters and *must* meet 2 of the following 3 security requirements:
  - *Alpha & numeric characters (A-Z, 0-9)*
  - *Uppercase & lowercase characters (A-Z, a-z)*
  - *Special characters (e.g. !@#%&\*)*
- You will be prompted to create a security question and provide the answer in order to proceed with account setup.

The screenshot shows the CAIDS user interface. At the top, there is a navigation bar with the CAIDS logo and links for 'My Reports', 'Profile', 'Instructions', and 'Glossary'. A session timeout warning indicates 'Your session will expire in 98:39. Please save any changes before the timeout.' The main content area is titled 'Security Question' and contains a 'Change Security Question' form. The form includes a 'Current Password' field, a 'Question' field with the example 'What is a name of my pet', and an 'Answer' field with the example 'Shadow'. There are 'Change Security Question' and 'Cancel' buttons at the bottom of the form. A footer note says 'For help, contact CA.IDS@insurance.ca.gov'.

- In order to complete account set-up, you *must* select the “yes” radial button on the Acknowledgement to confirm your receipt of the survey and agreement to submit the survey by the required date.

## Update Profile

You must click the Acknowledgement box before you can take a survey

### Username

### First Name \*

### Last Name \*

### E-mail \*

### Business Phone \*

Please review the name, email address, and phone number above, and select yes to acknowledge that this is your current contact information.

No  Yes

By selecting Yes, I, as a representative of this company / group, acknowledge that I have read the original email notice and the attached letter accompanying that notice and confirm that my company / group will report on this year's California Insurance Diversity Survey (CAIDS) in accordance with the schedule as outlined in the notification letter.

No  Yes

# SECTION V – CAIDS INSURER PORTAL

## ACCESSING THE PORTAL

- Once registration is complete, you will be able to access the CAIDS Insurer Portal (portal).
- The navigation panel at the top of the page will enable you to access various parts of the portal. The five tabs are My Reports, Manage Users, Profile, Instructions and Glossary.



- **My Reports** – Enables you to view and access all surveys created for your company / group
- **Manage Users** – Enables you to create and add secondary users for your company / group; these users are able to access the survey and make edits, however, secondary users cannot create new users within the system
- **Profile** – Access the primary user account information; update user information, view the companies you're the primary contact for, change password, and change the security question
- **Instructions** – Access the complete CAIDS instructional guide and Frequently Asked Questions (FAQs)
- **Glossary** – Access an outline of the terms, definitions, and industry categories for completing CAIDS

# SECTION VI - REPORTING

## GENERAL REPORTING INSTRUCTIONS

*Administrators of the 2020 California Insurance Diversity Survey (CAIDS) reserve the right to audit any information submitted in response to the survey. In the event of an audit, if it is found that any inaccurate or missing information was submitted with the express intent of falsifying and misrepresenting reported information of a company / group, the company / group may be subject to penalties.*

- Upon logging in, you will always be redirected to the “My Reports” page, where you will see the surveys that have been created for your company / group.
  - If you are logging into the portal as a returning user, you will see all surveys tied to your account; including past surveys.
  - If you are logging into the portal as a new user, you will see a screen similar to the below shot.
    - If you see any existing surveys, it may be because there are multiple primary users assigned to different companies within your group that have begun surveys for their assigned companies.



- **DO NOT** alter current year surveys you did not create and have no previous approval to alter as these may include surveys created by a different user for a company that is assigned to the same group as you, but for which you are not the primary contact.
  - Each session is set to expire within 100 minutes. Any time you move to a different page or save progress, the expiration timer will reset your session back to 100 minutes.
    - **NOTE:** *The three narrative sections of the survey (CEO, Governing Board, and Supplier Diversity) are unable to save progress continuously, therefore, it is advised that you complete each section in its entirety before proceeding to the next section(s) to ensure progress is saved; the procurement charts section can be saved continuously.*
- Remember:** if you do not save progress on any part of the survey and your session expires, you may lose any new information that was added and not saved prior to session expiration.
- To create a new report, select the “Create New Report” button (as shown in picture below), this will open a new page for you to begin creation of a new report.

[Home](#)
[My Reports](#)
[Manage Users](#)
[Profile](#)
[Instructions](#)
[Glossary](#)
Your session will expire in 99:35  
Please save any changes before the timeout

## My Reports

[Create New Report](#)

A separate report is required to be completed and submitted for each year that your company met the prerequisite reporting threshold.

**Example:** Company X met the \$100 million California premium threshold in both 2018 and 2019. Therefore, Company X would be required to create & submit a separate report for each year.

### New Report

Please select whether you are filing for 2018 or 2019:

2018
  2019

## CREATE A REPORT - GROUP OR INDIVIDUAL COMPANY

*Your company / group may submit CAIDS as part of a group or an individual report.*

### New Report

Please select whether you are filing for 2018 or 2019:

2018
  2019

**You have opted to create a report for 2018**

**Please select whether you are submitting the report as a Group or as an Individual Company:**

[Group](#)

[Individual Company](#)

- **GROUP**

- Select "Group" and continue on to the next page.
- A group report may include some or all of the companies listed under the "companies that have met the threshold to report" list; choose companies carefully and take special note of the NAIC numbers to avoid making the wrong selection. A group report should only be created to report on 2 or more companies.
  - Group report titles are customizable, enter a name that best represents and correctly identifies the group report you're filing; this name will be transferred to the

public portal upon completion. Group report name will be included in survey review to ensure suitability.

- **NOTE:** *In previous years, companies have favored the option of including optional companies (companies that did not meet the threshold to report) as part of their group report; this option is available within the portal under the “additional group companies that did not meet the threshold to report, but can be added to the group report” list.*
- After making your selection(s), click “Next” to see a preview of your report name and company selection(s), confirm these are the correct NAIC numbers, then click “Continue” to proceed to the “CEO Information” page.

## • INDIVIDUAL

- Select “Individual Company” and continue on to the next page
- An individual report can only be filed for ONE company at a time; choose the company you’re filing an individual report for carefully and take special note of the NAIC numbers to avoid making the wrong selection.
- After making your selection, click “Next” to see a preview of your company selection, confirm the NAIC number is correct, then click “Continue” to proceed to the “CEO Information” page.

## CEO CONTACT INFORMATION

- Enter contact information as it pertains to your group / company CEO and his or her assistant.
- Ensure the contact information provided for the CEO and CEO’s Assistant is true and accurate; **DO NOT** enter generic company information here.
- The CEO contact information is for internal use only; this section is not released publically as part of the submitted survey.
  - *Reminder: CEO information is unable to save progress continuously, it is advised that you complete this part in its entirety before changing sections to ensure progress is saved.*

## CEO Information

Complete the form below with information about the company CEO. The information will not be made available to the public, and will remain private and confidential. This information will only be available for use by the administrators of the California Insurance Diversity Survey.

Reminder: CEO Contact Information is unable to save progress continuously. It is advised that you complete this part in its entirety before proceeding to the next section to ensure progress is saved.

\*Indicates required fields

CEO Name *	Assistant Name *
<input type="text"/>	<input type="text"/>
Title	Assistant Title
<input type="text"/>	<input type="text"/>
Company *	Assistant Phone (numbers only) *
QCC INSURANCE COMPANY	<input type="text"/>
Phone (numbers only) *	Assistant Email *
<input type="text"/>	<input type="text"/>
Email *	
<input type="text"/>	
Address (cannot be generic company address) *	
<input type="text"/>	
City *	
<input type="text"/>	
State *	
<input type="text"/>	
Zip *	
<input type="text"/>	

- Click "Next" to proceed to the page entitled "Navigation" or what will be referred to as the Navigation Menu.

## NAVIGATION MENU

The Navigation Menu is the primary landing page for accessing all four sections of the survey. This page is comprised of 4 sections of the survey: CEO Information, Governing Board Diversity Narrative, Insurer Supplier Diversity Narrative and Insurer Supplier Diversity Procurement Charts.

### Navigation

CEO Information Status: Complete
Narrative Governing Board Diversity Status: Not Started
Narrative Insurer Supplier Diversity Status: Not Started
Procurement Charts Insurer Supplier Diversity (0% Complete)

Complete all of the above parts of the survey. Click the "Submit Report" button below to complete your submission.

- **GOVERNING BOARD DIVERSITY NARRATIVE**

- This section links directly to the Narrative portion of the Governing Board Diversity section of the survey. This section requires information related to the demographics of the company / group's highest ranking, U.S.-based Board of Directors in addition to board processes and procedures.

- **IMPORTING PREVIOUS REPORT DATA**

The portal offers you the option to import information from a previous survey from your account via a drop down menu; the data on file from the selected survey will then populate in the current year's survey. This may help to streamline the process, but information should be modified or updated accordingly to reflect the most current board demographics prior to submission.



- **Reminder:** *Governing Board Diversity Narrative is unable to save progress continuously. It is advised that you complete this part in its entirety before proceeding to the next section(s) to ensure progress is saved.*
- You may click “Return to Navigation” to go back to the primary Navigation Menu at any time.

- **INSURER SUPPLIER DIVERSITY NARRATIVE**

- This section links directly to the Narrative of the Insurer Supplier Diversity section of the survey, here you'll respond to questions based on your company / group's procurement efforts.

- **IMPORTING PREVIOUS REPORT DATA**

In the same way that the Governing Board Diversity Narrative is designed, the portal offers you the option to choose a previous survey from your account via a drop down menu. The information in the narrative portions of the survey will then populate in the current year's survey. This may help to streamline the process, but information should be modified or updated accordingly to reflect the most current information for the company prior to submission.

- **Reminder:** *Insurer Supplier Diversity Narrative is unable to save progress continuously. It is advised that you complete this part in its entirety before proceeding to the next section(s) to ensure progress is saved.*
- You may click “Return to Navigation” to go back to the primary Navigation Menu at any time.

- **PROCUREMENT CHARTS – INSURER SUPPLIER DIVERSITY**

- This section links directly to a secondary landing page entitled "Charts Navigation."
- You may click "Return to Navigation" to go back to the primary Navigation Menu at any time.
- There are two charts that must be completed for the CAIDS (National and California). You are able to save your progress and return to the chart as frequently as you would like prior to submission of the survey.
- To access a chart, click "Not started" under the "Progress" column for the corresponding chart that you intend to complete.

Chart	Progress
National	Not started
California	Not started

- **SUBMIT**

- Once the CEO Information, Governing Board Diversity and both of the Insurer Supplier Diversity survey sections have been completed, you will be able to submit your company / group's report by click the "Submit Report" button located at the bottom of this landing page.
- Be sure to review all entered information carefully prior to submitting a report to ensure all information is true and accurate to the best of your knowledge.

### Navigation

CEO Information Status: Complete
Narrative Governing Board Diversity Status: Complete
Narrative Insurer Supplier Diversity Status: Complete
Procurement Charts Insurer Supplier Diversity (100% Complete)

Complete all of the above parts of the survey. Click the "Submit Report" button below to complete your submission.

**SUBMIT REPORT**

## AFFIDAVIT

*The Affidavit must be electronically signed with your full name to officially submit your company / group's report for review. Read it carefully before signing your full name and clicking "Submit" to complete the submission process.*

*The Affidavit should be signed with the full name of the person that your company designates to do so. If you are signing someone else's name other than your own, please ensure that that person is aware that it is their name that will appear as a signatory of the Affidavit for the survey submission.*

- **Remember:** Once you click "Submit" after electronically signing the Affidavit, you will no longer be able to edit the survey without the assistance of a CAIDS administrator; ensure that the information you've entered into your survey is true and accurate to your knowledge before signing and submitting the report.

### Affidavit

Being duly sworn, I, the Affiant, by entering my full name below as an electronic signature depose and state that the information reported in this year's California Insurance Diversity Survey (CAIDS) being submitted electronically here is a true and accurate record of the company / group's supplier diversity procurement and governing board diversity information for the reporting calendar year to the best of my knowledge, information, and belief.

Enter your full name and press Submit

Submit

## POST-SUBMISSION

- Once the Affidavit is signed and submitted, you will return to the "My Reports" page where your submission will officially be marked as "submitted".

### My Reports

Survey successfully submitted

- The "Print" option will direct you to the Print landing page where you have the ability to print out any or all of your submitted survey.

## Print

Return to My Reports

Select a section to print

Company Information

## Narrative

Governing Board Diversity

Insurer Supplier Diversity

- **NOTE:** you are able to print out any section of the survey prior to submission as well, just select "File" and "Print" (CTRL+P) within your web browser to print any page you're on.

## REVIEW

- Upon receipt, the administrators of the CAIDS will review your submission and determine if it is complete or incomplete.
  - If the submission is determined to be complete, no further action from your company / group will be required.
  - If the submission is determined to be incomplete, your company / group will be notified once the review is completed to inform you which portions are incomplete and need to be updated and/or reviewed for accuracy.
    - Once you have updated your survey as requested, you will resubmit your report for review and go through the review process again.
    - The review process will be thorough, to avoid multiple resubmissions, it is strongly advised that you read the instructions very carefully and complete the survey as accurately as possible to avoid errors and to expedite the review process.

# SECTION VII – NARRATIVE: GOVERNING BOARD DIVERSITY

The Governing Board Diversity (GBD) portion of this survey examines the state of diversity among insurer governing boards.

The portal offers you the option to import information from a previous survey from your account via a drop down menu; the data on file from the selected survey will then populate in the current year's survey. This may help to streamline the process, but information should be modified or updated accordingly to reflect the most current board demographics prior to submission.

## QUESTION 1

- Enter the name of the company that has the governing board of directors that meets the following criteria:
  - *Public* – directors who are elected/appointed to jointly oversee the activities of the company, and who are not internal employees of the company
  - *United States–based* – directors who live and work in the United States of America
  - *Ultimate controlling party of the insurance group* – top entity that controls and oversees the insurance group

## QUESTION 2

**Important:** Insurers must provide mandatory disclosures to each board member, prior to, or concurrently with, the survey. Disclosures to board members must notify the board member that the board member's decision to disclose their demographic information is voluntary, that no adverse action may be taken against the board member or the insurer if the board member declines to participate in the survey, and that the aggregate data collected for each demographic category will be reported.

- Part A – enter the number of members who serve on the governing board of directors specified in Question 1. **NOTE:** Only input the number of Board of Directors who elected to provide a response in regards to their board demographics.
- Part B – enter the number of Board members who identify as i. Women, ii. Men, or iii. Nonbinary. The sum of (i) and (ii) and (iii) must equal the total number of members entered in Part A. **NOTE:** You will have the opportunity to add comments in Question #9 to account for those Board members who decline to state.
- Part C (i) – figure entered here must be less than or equal to the total number of members entered in Part A
  - **NOTE:** if there are no members who are Disabled Veterans on the board, enter “0” – leaving the field empty will generate an error message
- Part C (ii) – figure entered here must be less than or equal to the total number of members entered in Part A

- **NOTE:** *if there are no members who publicly identify as LGBT on the board, enter “0” – leaving the field empty will generate an error message*
- Part C (iii) – figure entered here must be less than or equal to the total number of members entered in Part A.
  - **NOTE:** *if there are no members who are Veterans on the board, enter “0” – leaving the field empty will generate an error message.*
- Part – the sum of (i), (ii), (iii), (iv), (v), (vi), and (vii) must equal the total number of members entered in Part A
  - **NOTE:** *for all ethnicities not represented on your board, enter “0” – leaving any field empty will generate an error message*

### QUESTION 3

- **Only include members identified as** Women, Disabled Veteran, LGBT, Veteran, American Indian, African American, Asian Pacific Islander, Hispanic / Latino, and / or Multi-Ethnic (diverse board members) from Question 2 when identifying members who serve as officers of the corporation and /or chairs of any board committees
- Part A – figure entered here must be less than or equal to the sum of the diverse board members from Question 2; this figure may never exceed the total number of board members entered in Question 2, Part A
  - Part A (i) – select all the positions that are occupied by the diverse board members; if you select “Other,” enter the position name in its entirety
    - **NOTE:** *if any of the positions occupied by your board members are variants of the positions listed, select the one that most closely matches; only use the “Other” option if no similar position is listed*
- Part B – figure entered here must be less than or equal to the sum of the diverse board members from Question 2; this figure may never exceed the total number of board members entered in Question 2, Part A
  - Part B (i) –select all the committees that are chaired by the diverse board members; if you select “Other,” enter the committee name in its entirety
    - **NOTE:** *if any of the committees chaired by your board members are variants of the committees listed, select the one that most closely matches; only use the “Other” option if no similar committee is listed*

### QUESTION 4

- Select the appropriate response as it applies to your governing board of directors
  - Each response option in this question has a corresponding question, remember to respond accordingly
    - If you selected “Yes,” enter the number of years per term and the maximum number of terms that can be served on the board
    - If you selected “No,” enter the average number of years a director currently serves on your board

### QUESTION 5

- Select the appropriate response as it applies to your governing board of directors
  - If you selected “Yes,” remember to respond to the corresponding question
    - Share where this language may be found (i.e. governing board charter, website, etc.)
    - Include the language of the policy statement verbatim; do not make any amendments

### QUESTION 6

- Select the appropriate response as it applies to your governing board of directors
  - If you selected “Yes,” remember to respond to the corresponding questions
    - Indicate the benchmark percentage of diverse candidates set to be considered or interviewed for board member positions (i.e. a goal of 25, 33, or 50 percent of candidates)
    - If you selected “Yes,” respond to the following:
      - Include the benchmark percentage used (input as a whole number, i.e. 50% written as 50)

### QUESTION 7

- Select the appropriate response as it applies to your governing board of directors
  - If you selected “Yes,” remember to respond to the corresponding questions (input as a whole number, i.e. 50% written as 50)
    - Include what percentage of candidates *considered* were diverse
      - (NOTE: Considered could be defined as applicants or an initial pool of candidates)
    - Include what percentage of candidates *interviewed* were diverse
      - (NOTE: Percentage of any initial or final round of interviews)

### QUESTION 8

- If you selected “Yes” remember to respond to **(a) and (b)** as they apply to your governing board of directors
- Report on outreach and communications strategies and practices
- Part A offers a host of outreach and communication practices as options; select all that apply
  - For each category of outreach and communication practices, share the name of the best program / organization you work with and / or event that you attended
    - *Example:* Company X retained an executive search firm specializing in placing diverse candidates on governing boards and was able to scout and elect more diverse governing board members as a result

- If none of the options provided on the form match your company / group's outreach and communication practices, complete the section at the bottom of the list labeled "**OTHER**, please specify" and enter your practices
- In Part B, explain if any of the outreach and communications strategies and practices have increased, and / or established new relationships with, diverse candidates for board positions
  - *Example:* Company X has developed good working relationships with diverse board candidates due to increased participation in meet-and-greets and with ethnic chambers of commerce

### QUESTION 9

- Include any additional information about your governing board of directors that was not shared anywhere else in the survey.

**NOTE:** As the Board member's decision to disclose their demographic is voluntary, if any board member(s) declines to state as part of the response collected for Question #2 (Parts B, C, or D), please note the corresponding question(s) along with the numerical value to which it applies as part of your response to the Additional Comments section (or Question #9) of the survey.

- **Sample response for reporting board member who declines to state:** Company X has a total of eleven (11) board members, however, one (1) board member declines to state a response regarding his/her gender.
  - **Input for Question #2A:** Input (10) for the total number of people that serve on this Board of Directors; this numerical value of (10) corresponds with the number of board members that provided responses on their board demographics.
  - **Input for Question #9, Additional Comments:** For the 1 board member who declined to state their gender, you would note that as part of the final question on this section of the survey related to "Additional Comments" by inputting: "Question 2B, Decline to state: 1 member. Total Board members: 11"
  - **Sample Response to Question #9 Screenshot:**

Question 9 ?

---

**Additional Comments:**

Question 2B, Decline to state: 1 member. Total Board members: 11

# SECTION VIII – NARRATIVE: INSURER SUPPLIER DIVERSITY

The Insurer Supplier Diversity (ISD) portion of this survey examines insurers' procurement efforts with diverse businesses.

The portal offers you the option to import information from a previous survey from your account via a drop down menu; the data on file from the selected survey will then populate in the current year's survey. This may help to streamline the process, but information should be modified or updated accordingly to reflect the most current board demographics prior to submission.

## QUESTION 1

- Select the appropriate response as it applies to your company/group
  - General company / group diversity statements *are not* considered Supplier Diversity Policy Statements and therefore, will not satisfy the requirements of this question
  - Each response option in this question has a corresponding question, remember to respond accordingly
    - If the supplier diversity policy statement is not finalized, and you are able to share it, you may choose yes and make a note that this is a draft and not finalized. If the supplier diversity statement is not finalized and cannot be shared, you must submit your survey with “no – but creating one in the next 12 months”

## QUESTION 2

- Select the appropriate response as it applies to your company/group
  - General company / group diversity programs *are not* considered Supplier Diversity Programs, and therefore will not satisfy the requirements of this question
  - Each response option in this question has a corresponding question, remember to respond accordingly

## QUESTION 3

- If you selected “Yes” remember to respond to (a), (b), (c), and (d) as they apply to your company/group
- Report on outreach and communications strategies and practices specifically from 2018 and/or 2019
- Part B is specific to any outreach conducted *within* the company/group
  - **Example:** Company X recently developed a new supplier diversity program and decided to announce the program and the company's new diversity initiatives by emailing a memo to all company employees and executives
- Part C offers a host of outreach and communication practices as options; select all that apply

- For each category of outreach and communication practices, share the name of the best program / organization you work with and / or event that you attended
  - **Example:** Company X attended a certification group’s annual procurement conference and was able to implement the ideas and strategies shared within their own supplier diversity program; this event contributed substantially to the growth of their supplier diversity program
- If none of the options provided on the form match your company/group’s outreach and communication practices, complete the section at the bottom of the list labeled “OTHER, please specify:” and enter your practices
- In Part D, explain if any of the outreach and communications strategies and practices have increased and / or established new relationships with diverse businesses
  - **Example:** Company X has developed good working relationships with representative organizations for MBEs because of increased participation in business matchmaking events

#### QUESTION 4

- If your company/group requires and/or encourages its primary suppliers to contract with diverse businesses, select “Yes”

#### QUESTION 5

- If your company/group sets internal targets or goals in regards to its supplier diversity statement and/or program, select “Yes”

#### QUESTION 6

- Explain, in detail, any updates, progress, and/or best practices established by your company/group with regards to supplier diversity. This includes any awards or recognition received for supplier diversity work.

#### QUESTION 7

- Include any additional information about your company / group that was not shared anywhere else in the survey; this includes any sort of explanation of variances within your answers

#### QUESTION 8

- Provide the most accurate and direct information for 3 distinct main points of contact within your company / group’s supplier diversity and / or procurement operations; this information will be publicly disseminated and available for viewing on the website for interested diverse business enterprises
- If your company / group *does not* currently maintain designated supplier diversity operations, provide this information as it pertains to your procurement department
  - **Primary Contact** – main contact for all supplier diversity operations in your company / group

- If your company / group does not have a designated supplier diversity program manager, include contact information for the daily operations manager of procurement services
- **Secondary Contact** – a high-level manager or supervisor who oversees the procurement practices within the company
- **General Contact** – general supplier diversity inquiry address or the company’s general inquiry address

**NOTE:** If your survey is submitted omitting a contact; upon review, it will be returned with a request for an update

- Select the Save button to continue. This action will return you to the Navigation Menu.

# SECTION IX – PROCUREMENT CHARTS: INSURER SUPPLIER DIVERSITY

The procurement charts are a data collection tool built to measure procurement amounts with diverse suppliers nationally and also within California. Detailed instructions and examples for each table on these charts are included below. Read these instructions carefully and deliberately to avoid making errors in your entries.

## REPORTING BY CHART

### NOTE:

- Procurement information for your company / group will be reported from the calendar years 2018 and 2019. A separate report will be created for each year.
  - Reporting is only required for the year(s) that your company met or exceeded the \$100 million California premium threshold.
- There are 2 identical charts; each to separately report procurement information for the following:
    - **CHART 1:** National – This chart is inclusive of all spend within the United States of America
    - **CHART 2:** California – This chart is inclusive of all spend in California
- 1) If your company / group refuses to report procurement figures in a designated location, check the box stating **“Refuse to report any data”** found on both charts for the CAIDS.
- After checking the box, click “Save and Continue” and you will be prompted to complete the chart based on the scenario you have chosen.

The screenshot displays the 'National Chart' reporting interface. At the top, there is a navigation bar with links for 'My Reports', 'Manage Users', 'Profile', 'Instructions', and 'Glossary'. A session timeout notice indicates 'Your session will expire in 96:06. Please save any changes before the timeout.' Below the navigation bar, the 'National Chart' title is shown, followed by 'Report Name:' and 'Financial Year: 2018'. There are buttons for 'test', 'Back', and 'Forward'. A progress bar shows 0% completion. The main content area is titled 'Please Select a Spending Scenario' and contains a list of radio button options:
 

- Report Diverse Spend and Total Procurement
- Report Diverse Spend Only
- Report Total Procurement Only
- Report Total Procurement only - Track diverse spend but did not have diverse spend contracts
- Do Not Procure or Track ANY goods/services in this jurisdiction
- Refuse to Report Any Data

 A red box highlights the 'Refuse to Report Any Data' option. At the bottom left is a 'Back' button, and at the bottom right is a 'Save and Continue' button.

- Complete each of the remaining tables. You are able to save your progress; once completed, you will be redirected to the secondary landing page where you may begin another chart

**NOTE: If you change your spend scenario after completing the chart, your data will be lost**

- Each chart now includes an additional comment box for companies to share any additional information that is deemed necessary to explain additional potential scenarios or variants associated to the individual charts data

## REPORTING BY CERTIFICATION

- There are a total of 7 individual tables on each chart, broken out by 3-5 categories, respectively:

### 1. Total Procurement

### 2. Women Business Enterprises (WBE)

- A. Total Diverse Spend (\$)
- B. Total Dollars in Contracts Signed (\$)
- C. Total Number of Unique Paid Suppliers (#)

### 3. Minority Business Enterprises (MBE)

- A. Total Diverse Spend (\$)
- B. Total Dollars in Contracts Signed (\$)
- C. Total Number of Unique Paid Suppliers (#)
- D. Total Diverse Spend (\$) by Ethnicity

### 4. Disabled Veteran Business Enterprises (DVBE)

- A. Total Diverse Spend (\$)
- B. Total Dollars in Contracts Signed (\$)
- C. Total Number of Unique Paid Suppliers (#)

### 5. Lesbian, Gay, Bisexual, Transgender Business Enterprises (LGBTBE)

- A. Total Diverse Spend (\$)
- B. Total Dollars in Contracts Signed (\$)
- C. Total Number of Unique Paid Suppliers (#)

### 6. Multi-Certified Business Enterprises (MCBE)\*

*\*The only combination of certifications that are reportable here are WBEs / MBEs / DVBEs / LGBTBEs / VOBES; do not report any other type of certification for Table 6*

- A. Total Diverse Spend (\$)
- B. Total Dollars in Contracts Signed (\$)
- C. Total Number of Unique Paid Suppliers (#)
- D. Total Diverse Spend (\$) by Ethnicity

## E. Number of Multi-Certified Business Enterprises by Certification Combination (#)

## 7. Veteran Owned Business Enterprises (VOBE)

- A. Total Diverse Spend (\$)
- B. Total Dollars in Contracts Signed (\$)
- C. Total Number of Unique Paid Suppliers (#)

- If your company / group does not procure any goods / services with a designated business enterprise (WBE/MBE/DVBE/LGBTBE/MCBE/VOBE), you may check the box stating “**Check here if you do not procure any goods / services with (CERTIFICATION) in the (LOCATION)**” found on all designated business enterprise tables on both of the charts for CAIDS.
  - *Example: Company X* procures absolutely no goods / services with VOBES in the United States of America and met the threshold to report any spend with this designated business enterprise for 2018 CAIDS
    - Company X may check the box at the beginning of table 7 on the National charts to indicate that it does not procure any goods / services with VOBES in the United States of America

## National Chart

Report Name: \_\_\_\_\_  
 Financial Year: 2018

test Back Forward



Check here if you do not procure any goods / services with Veteran Owned Business Enterprise (VOBE) in the United States of America

## TABLE 1: TOTAL PROCUREMENT

- Table 1 on each chart reports on overall **total procurement spend** by industry category
  - TOTAL PROCUREMENT SPEND is the total dollar (\$) amount of invoices **paid out to all suppliers** (diverse *and* non-diverse) for services rendered, reported specifically by industry category
  - **Industry categories** are outlined and defined by associated NAICS codes; details are available on the “Survey Glossary & Industry Categories” resource document found at the toolbar in the CAIDS Insurer Portal, on the [CAIDS Resource webpage](#), conveniently at the end of this document.

## 'A' TABLES: TOTAL DIVERSE SPEND (TABLES 2A, 3A, 4A, 5A, 6A, &amp; 7A)

- 'A' tables on each chart report on **total diverse spend** by certification in each industry category
  - TOTAL DIVERSE SPEND is the total dollar (\$) amount of invoices **paid out** to diverse suppliers for services rendered, reported specifically by industry category
  - This figure includes **any payments** made to diverse suppliers, including contract payments, purchase orders, etc.
  - Spend is reported by certification and industry category

- **Examples:**

- Paid invoice of a \$500 purchase order with a DVBE for Office Supplies
  - This is a standalone invoice that constitutes procurement from a diverse vendor; any such invoices should be reported in table A for each respective location based on where the supplier is headquartered
  - This \$500 would be reported on table 4A (DVBE) under section (g) Office Supplies
- Paid invoice of a \$1,000 payment as a result of / part of a \$5,000 contract with a WBE for Print Services
  - If only \$1,000 of the \$5,000 contract was paid out to a diverse business in the 2018 and/or 2019 calendar year, then that is the only figure to be reported here
  - This \$1,000 would be reported on table 2A (WBE) under section (h) Print Services

- Reference this set of instructions for all 'A' tables: 2A, 3A, 4A, 5A, 6A, and 7A

### **'B' TABLES: TOTAL DOLLARS IN CONTRACTS SIGNED (TABLES 2B, 3B, 4B, 5B, 6B, & 7B)**

- 'B' tables on each chart report on the **total dollars in contracts signed** between your company/group and diverse businesses
  - TOTAL DOLLARS IN CONTRACTS SIGNED is the total dollar (\$) amount of all contracts signed between your company / group and a diverse business
    - Include the total dollar amount of the signed contract, **regardless** of whether payments were made for work performed / goods purchased
  - A contract signed for *any* amount in the applicable calendar year (2018 and/or 2019), even if **no part of it was paid out** to the diverse business should be reported here
  - **NOTE:** *Since reporting is done by calendar year, multi-year contracts should be reported by the average amount for one year only*
    - Hypothetically, if a two-year contract was signed for \$100,000 and was in effect from 2018-2019, only \$50,000 should be reported for calendar year 2018.

- **Examples:**

- A one-year \$5,000 contract with a WBE for Print Services should be reported, even if only \$1,000 of it was paid out to the diverse business
  - This \$5,000 contract must be reported on table 2B (WBE) under section (h) Print Services
- A \$10,000 contract with a LGBTBE for Legal Services signed in 2018 should be reported, even if no part of it was paid out to the diverse supplier
  - This \$10,000 must be reported on table 5B (LGBTBE) under section (m) Legal Services

- Reference this set of instructions for all 'B' tables: 2B, 3B, 4B, 5B, 6B and 7B

**'C' TABLES: TOTAL NUMBER OF UNIQUE PAID SUPPLIERS (TABLES 2C, 3C, 4C, 5C, 6C & 7C)**

- 'C' tables on each chart report on the **total number of unique paid suppliers** by certification type in each industry category, and reported within the appropriate dollar range
  - TOTAL NUMBER OF UNIQUE PAID SUPPLIERS is the total number (#) of unique paid suppliers to whom your company/group **paid out** an invoice in calendar year 2018 and/or 2019; this can be a contract invoice or a standalone invoice
- **Example:** Company X is completing the California chart
  - Company X first determines it paid out invoices to **3 different WBEs** in calendar year 2018; these unique WBEs are California diverse suppliers because they have a headquarters address in California
  - Company X then determines that all 3 WBEs are Advertising / Marketing firms and reviews the **total sum paid out** to all 3 WBEs for services rendered:
    - WBE #1 – Company X paid out 2 invoices, totaling \$40,000 in 2018
    - WBE #2 – Company X paid out 1 invoice, totaling \$40,000 in 2018
    - WBE #3 – Company X paid out 3 invoices, totaling \$101,000 in 2018
  - Company X will now report these 3 WBEs on table 2C under section (a) Advertising / Marketing:
    - WBE #1 and #2 will be reported in the **<\$50k** range as they were both paid less than \$50,000
    - WBE #3 will be reported in the **\$100k-\$500k** range as it was paid over \$100,000 but less than \$500,000

	(a) Advertising / Marketing
<\$50k	2
>= \$50k but < \$100k	
>= \$100k but < \$500k	1
>= \$500k but < \$1M	
>= \$1M but < \$5M	
>= \$5M but < \$10M	
>= 10M	
<b>TOTAL</b>	<b>3</b>

- Reference this set of instructions for all 'C' tables: 2C, 3C, 4C, 5C, 6C and 7C

### 'D' TABLES: TOTAL DIVERSE SPEND BY ETHNICITY (TABLES 3D & 6D)

- 'D' tables appearing exclusively on minority and multi-certified charts requests your company/group to report on the total diverse spend (\$) by ethnicity
  - TOTAL DIVERSE SPEND BY ETHNICITY is the total dollar (\$) amount of invoices paid out to diverse suppliers for services rendered, reported specifically by the ethnicity of the minority business enterprise
- Reference this set of instructions for both 'D' tables: 3D and 6D

### TABLE 6E: NUMBER OF MULTI-CERTIFIED BUSINESS ENTERPRISES BY CERTIFICATION COMBINATION

- Table 6E on each location chart reports on the combination of certifications of the multi-certified business enterprises reported on table 6C
- All combinations for the six (6) reportable certifications are listed here, indicate the total number of each combination of certifications that your company / group worked with
- The final total in this category must match the final total in table 6C

### SUMMARY TABLES

- There are 5 summary tables at the end of each chart that **do not require input** by your company / group; review the data you reported to confirm that all information provided is true and accurate
- The values in these tables will automatically generate values based on the data reported in Tables 1-7, respectively
  1. **Summary of Procurement Spend** – the final percentage listed here is an accurate value of your company / group's total procurement spend with diverse businesses based on the data you entered
  2. **Summary by Certification** – this is the aggregate data reported on all tables for all the certifications on a chart which forms an overall reflection of your company / group's procurement with a particular certification in California or in the United States
    - e.g., Women Business Enterprise (WBE) Summary
      - Final total from Table 2A will be populated in the column labeled "Total Diverse Spend (\$)" in this table
      - Final total from Table 2B will be populated in the column labeled "Total Dollars in Contracts Signed (\$)" in this table
      - Final total from Table 2C will be populated in the column labeled "Total Number of Unique Paid Suppliers (#)" in this table
  3. **Summary by Industry Category** - this is the aggregate data reported on all tables for all the industry categories on a chart which forms an overall reflection of your company / group's procurement within a particular industry in California or in the United States
    - e.g., Advertising / Marketing

- Final total from the first column labeled “Advertising / Marketing” on Table 1 will be populated in the column labeled “Total Procurement Spend Overall (\$)” in this table
  - Final total from the first column labeled “Advertising / Marketing” on Tables 2A, 3A, 4A, 5A, 6A and 7A will be populated in the column labeled “Total Diverse Spend (\$)” in this table
  - Final total from the first column labeled “Advertising / Marketing” on Tables 2B, 3B, 4B, 5B, 6B and 7B will be populated in the column labeled “Total Dollars in Contracts Signed (\$)” in this table
  - Final total from the first column labeled “Advertising / Marketing” on Tables 2C, 3C, 4C, 5C, 6C and 7C will be populated in the column labeled “Total Number of Unique Paid Suppliers (#)” in this table
4. **Summary by Ethnicity** – this is the aggregate data reported on all applicable tables for all the ethnic spend reported which forms an overall reflection on your company/group’s procurement with these specified ethnicities in California or in the United States
5. **Multi-Certified Business Enterprises Summary** - this is the aggregate data reported on all applicable tables for the number of multi-certified, by certification combination, which forms an overall reflection on your company/group’s procurement with these specified certifications in California or in the United States

# SECTION X – GLOSSARY

## **Disabled Veteran Business Enterprise (DVBE)**

‘Disabled veteran business enterprise’ has the same meaning as defined in subparagraph (A) of paragraph (7) of subdivision (b) of [Section 999 of the Military and Veterans Code](#), or any successor provision. Disabled veteran business enterprise certification eligibility requirements shall be consistent with those imposed by the Department of General Services, and this section applies only to those disabled veteran business enterprises certified by the Department of General Services.

## **Diverse Business / Supplier**

This can be any Women Business Enterprise (WBE), Minority Business Enterprise (MBE), Disabled Veteran Business Enterprise (DVBE), Veteran Business Enterprise (VOBE), Lesbian, Gay, Bisexual, Transgender Business Enterprise (LGBTBE), or a Multi-Certified Business Enterprise (MCBE) – which is a combination of one or more of the enumerated certifications – with a headquarters’ address in California or with at least a majority of the enterprise’s workforce in California.

## **Diverse Spend**

Procurement dollars spent exclusively with certified business enterprises (e.g., WBE/MBE/DVBE/VOBE/LGBTBE) and/or classified diverse businesses (businesses identified as diverse by the insurer based on the definitions herein).

## **Governing Board Diversity Policy Statement**

Any language that refers to a company / group’s policies specifically in regards to governing board diversity, with the goal increasing governing board diversity on the respective company/group’s board; this is not a general diversity statement of a company / group.

## **Lesbian, Gay, Bisexual, Transgender Business Enterprise (LGBTBE)**

‘LGBT business enterprise’ (LGBTBE) means a business enterprise that is 51 percent owned, managed, operated, and controlled by one or more lesbian, gay, bisexual, or transgender (LGBT) individuals, has been legally formed in the United States, and exercises independence from any non-LGBT business enterprise.

## **Minority Business Enterprise (MBE)**

‘Minority business enterprise’ means a business enterprise, physically located in the United States or its trust territories, that is at least 51 percent owned by a minority group or groups, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more minority groups, and whose management and daily business operations are controlled by one or more of those individuals. “Minority” includes African Americans, Hispanic Americans, Native Americans, and Asian Pacific Americans.

## **Nonbinary**

Nonbinary is an umbrella term for people with gender identities that fall outside of the traditional conceptions of strictly either female or male.

## Outreach

Practices and strategies implemented to bring awareness to, introduce, and/or make a connection between two organizations. For the purposes of this survey, “outreach” focuses on the practices and strategies of an insurer to bring awareness to, introduce, and/or make connections within the context of its diversity programs (supplier diversity and/or governing board diversity).

## Procurement

This is the act of acquiring, buying goods, services or works from an external source, often via a tendering or bid process.

## Supplier Diversity Policy Statement

Any language that refers to a company / group’s policies specifically in regards to supplier diversity, with the goal of procuring goods and services from diverse businesses; this is not a general diversity statement of a company / group.

## Supplier Diversity Program

A formal plan and / or structure set up specifically for a company / group to implement its supplier diversity policy statement; this is not a general diversity program of a company / group.

## Supplier/Vendor Headquarters

‘Headquartered’ means where the supplier/vendor’s home office is located. For example: If you purchase from their office in California, but the vendor is headquartered in Washington, this procurement would be reported on the National charts, not California charts.

## Tier 2 Supplier

A company that supplies goods / services for the Tier 1 company (primary company that is in contract). A Tier 2 company is typically smaller than a Tier 1 company.

## Total Procurement

The total dollar amount (\$) of all invoices paid out to all suppliers (diverse and non-diverse) reported by industry category. All procurement spend reported should only be procurement paid directly to the vendor.

This **excludes** payments including but not limited to: producers and/or agents and payments to policyholders/claimants.

This **includes** payments paid, including but not limited, to: body shops or other vendors whether or not in the company’s preferred network, ACH payments as long as the payment is paid directly to the vendor, and credit card and/or p-card purchases as long as the payment is paid directly to the vendor.

*Note:* Any paid invoices by suppliers that do not fall into the outlined categories should be reported as “other”. All reported procurement should include any kind of discount(s) being applied to the purchase; please report the actual amount paid.

**Veteran Business Enterprise or Veteran Owned Business Enterprise (VBE/VOBE)**

‘Veteran business enterprise’ or ‘Veteran owned business enterprise’ means a business enterprise physically located in the United States or its trust territories that is at least 51 percent owned by one or more veteran groups or, in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more veteran groups, and whose management and daily business operations are controlled by one or more of those individuals.

**Women Business Enterprise (WBE)**

‘Women business enterprise’ means a business enterprise physically located in the United States or its trust territories, that is at least 51 percent owned by a woman or women, or, in the case of any publicly owned business at least 51 percent of the stock of which is owned by one or more women, and whose management and daily business operations are controlled by one or more of those individuals.

--- END of GLOSSARY ---

# SECTION XI – INDUSTRY CATEGORIES

*The following descriptions of industry categories are based on the 2017 North American Industry Classification System (NAICS) definitions; with the exception of the language added in italics below.*

***These are provided as a guidance tool and as such are broad in their depictions; companies / groups are not limited to the confines of the descriptions listed here to provide data about the categories***

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## ADVERTISING / MARKETING

### ***Sector 54 Professional, Scientific, and Technical Services (the sector as a whole)***

- **541810 Advertising Agencies:** This industry comprises establishments primarily engaged in creating advertising campaigns and placing such advertising in periodicals, newspapers, radio and television, or other media. These establishments are organized to provide a full range of services (i.e., through in-house capabilities or subcontracting), including advice, creative services, account management, production of advertising material, media planning, and buying (i.e., placing advertising).
- **541613 Marketing Consulting Services:** This U.S. industry comprises establishments primarily engaged in providing operating advice and assistance to businesses and other organizations on marketing issues, such as developing marketing objectives and policies, sales forecasting, new product developing and pricing, licensing and franchise planning, and marketing planning and strategy.
- Illustrative Examples:
  - Customer services management consulting services
  - New product development consulting services
  - Marketing management consulting services
  - Sales management consulting services

## FINANCIAL / INVESTMENT SERVICES

### ***Sector 52 Finance and Insurance***

- **5231 Securities and Commodity Contracts Intermediation and Brokerage:** This industry group comprises establishments primarily engaged in putting capital at risk in the process of underwriting securities issues or in making markets for securities and commodities; and those acting as agents and/or brokers between buyers and sellers of securities and commodities, usually charging a commission.

## CLAIMS SERVICES

### **Sector 52 Finance and Insurance**

- **524291 Claims Adjusting:** Comprises establishments primarily engaged in investigating, appraising, and settling insurance claims.
  - *This may include: cause-of-loss investigators, claims adjusting, claims processing services, claims consultants, fire investigators, insurance claims investigation services, insurance settlement offices, and loss control consultants; as well as, auto body shops, general contractors, landscapers, remediation services, and other similar services related to the claims process.*

## FACILITIES

### **Sector 56 Administrative & Support and Waste Management and Remediation Services**

- **561210 Facilities Support Services:** This industry comprises establishments primarily engaged in providing operating staff to perform a combination of support services within a client's facilities. Establishments in this industry typically provide a combination of services, such as janitorial, maintenance, trash disposal, guard and security, mail routing, reception, laundry, and related services to support operations within facilities. These establishments provide operating staff to carry out these support activities; but are not involved with or responsible for the core business or activities of the client. Establishments providing facilities (except computer and/or data processing) operation support services and establishments providing private jail services or operating correctional facilities (i.e., jails) on a contract or fee basis are included in this industry.

## HUMAN RESOURCES

### **Sector 54 Professional, Scientific, and Technical Services (The Sector as a Whole)**

- **541612 Human Resources Consulting Services:** This U.S. industry comprises establishments primarily engaged in providing advice and assistance to businesses and other organizations in one or more of the following areas: (1) human resource and personnel policies, practices, and procedures; (2) employee benefits planning, communication, and administration; (3) compensation systems planning; and (4) wage and salary administration.
- Illustrative Examples:
  - Benefit or compensation consulting services
  - Employee assessment consulting services
  - Personnel management consulting services
  - Human resources consulting services

## INFORMATION TECHNOLOGY

### ***Sector 51 Information (The Sector as a Whole)***

The Information sector comprises establishments engaged in the following processes: (a) producing and distributing information and cultural products, (b) providing the means to transmit or distribute these products as well as data or communications, and (c) processing data.

The main components of this sector are the publishing industries, including software publishing, and both traditional publishing and publishing exclusively on the Internet; the motion picture and sound recording industries; the broadcasting industries, including traditional broadcasting and those broadcasting exclusively over the Internet; the telecommunications industries; Web search portals, data processing industries, and the information services industries.

- **541513 Computer Facilities Management Services:** This U.S. industry comprises establishments primarily engaged in providing on-site management and operation of clients' computer systems and/or data processing facilities. Establishments providing computer systems or data processing facilities support services are included in this industry.

## OFFICE SUPPLIES

### ***Sector 44-45 Retail Trade (4532 Office Supplies, Stationery, and Gift Stores)***

- **453210 Office Supplies and Stationery Stores:** This industry comprises establishments primarily engaged in one or more of the following: (1) retailing new stationery, school supplies, and office supplies; (2) retailing a combination of new office equipment, furniture, and supplies; and (3) retailing new office equipment, furniture, and supplies in combination with selling new computers.

## PRINT SERVICES

### ***Sector 31-33 Manufacturing***

- **323 Printing and Related Support Activities:** Industries in the Printing and Related Support Activities subsector print products, such as newspapers, books, labels, business cards, stationery, business forms, and other materials, and perform support activities, such as data imaging, platemaking services, and bookbinding. The support activities included here are an integral part of the printing industry, and a product (a printing plate, a bound book, or a computer disk or file) that is an integral part of the printing industry is almost always provided by these operations.

Processes used in printing include a variety of methods used to transfer an image from a plate, screen, film, or computer file to some medium, such as paper, plastics, metal, textile articles, or wood. The printing processes employed include, but are not limited to, lithographic, gravure, screen, flexographic, digital, and letterpress. In contrast to many other classification systems that locate publishing of printed materials in manufacturing, NAICS classifies the publishing of printed products in Subsector 511, Publishing Industries (except Internet). Though printing and publishing are often carried out by the same enterprise (a newspaper, for example), it is less and less the case that these

distinct activities are carried out in the same establishment. When publishing and printing are done in the same establishment, the establishment is classified in Sector 51, Information, in the appropriate NAICS industry even if the receipts for printing exceed those for publishing. This subsector includes printing on clothing because the production process for that activity is printing, not clothing manufacturing. For instance, the printing of T-shirts is included in this subsector. In contrast, printing on fabric (or grey goods) is not included. This activity is part of the process of finishing the fabric and is included in the Textile Mills subsector in Industry 31331, Textile and Fabric Finishing Mills.

## PROFESSIONAL SERVICES

### **Sector 54 Professional, Scientific, and Technical Services (The Sector as a Whole)**

The Professional, Scientific, and Technical Services sector comprises establishments that specialize in performing professional, scientific, and technical activities for others. These activities require a high degree of expertise and training. The establishments in this sector specialize according to expertise and provide these services to clients in a variety of industries and, in some cases, to households. Activities performed include: accounting, bookkeeping, and payroll services; architectural, engineering, and specialized design services; computer services; consulting services; research services; advertising services; photographic services; translation and interpretation services; veterinary services; and other professional, scientific, and technical services. **Actuarial services should be included in this section.**

This sector excludes establishments primarily engaged in providing a range of day-to-day office administrative services, such as financial planning, billing and recordkeeping, personnel, and physical distribution and logistics. These establishments are classified in Sector 56, Administrative and Support and Waste Management and Remediation Services.

*For the purposes of this survey, **legal services** will be counted in a separate category and should not be reported here.*

## TELECOM

### **Sector 51 Information**

- **517 Telecommunications:** Industries in the Telecommunications subsector group establishments that provide telecommunications and the services related to that activity (e.g., telephony, including Voice over Internet Protocol (VoIP); cable and satellite television distribution services; Internet access; telecommunications reselling services). The Telecommunications subsector is primarily engaged in operating, and/or providing access to facilities for the transmission of voice, data, text, sound, and video. Transmission facilities may be based on a single technology or a combination of technologies.

Establishments in the Telecommunications subsector are grouped into three industry groups. The first two are comprised of establishments that operate transmission facilities and infrastructure that they own and/or lease, and provide telecommunications services using those facilities. The distinction between the first two industry groups is the type of infrastructure operated (i.e., wired and/or wireless, or satellite). The third industry group is comprised of establishments that provide support activities, telecommunications reselling services, or many of the same services provided

by establishments in the first two industry groups, but do not operate as telecommunications carriers. Establishments primarily engaged as independent contractors in the installation and maintenance of broadcasting and telecommunications systems are classified in Sector 23, Construction.

Establishments known as Internet cafes, primarily engaged in offering limited Internet connectivity in combination with other services such as facsimile services, training, rental of on-site personal computers, game rooms, or food services are classified in Subsector 561, Administrative and Support Services, or Subsector 722, Food Services and Drinking Places, depending on the primary activity.

## REAL ESTATE

### ***Sector 53 Real Estate and Rental and Leasing***

**531 Real Estate:** Industries in the Real Estate subsector group establishments that are primarily engaged in renting or leasing real estate to others; managing real estate for others; selling, buying, or renting real estate for others; and providing other real estate related services, such as appraisal services.

This subsector includes equity Real Estate Investment Trusts (REITs) that are primarily engaged in leasing buildings, dwellings, or other real estate property to others. Mortgage REITs are classified in Subsector 525, Funds, Trusts, and Other Financial Vehicles.

Establishments primarily engaged in subdividing and developing unimproved real estate and constructing buildings for sale are classified in Subsector 236, Construction of Buildings. Establishments primarily engaged in subdividing and improving raw land for subsequent sale to builders are classified in Subsector 237, Heavy and Civil Engineering Construction.

## TRAVEL / ENTERTAINMENT

### ***Sector 71 Arts, Entertainment, and Recreation (The Sector as a Whole)***

The Arts, Entertainment, and Recreation sector includes a wide range of establishments that operate facilities or provide services to meet varied cultural, entertainment, and recreational interests of their patrons. This sector comprises (1) establishments that are involved in producing, promoting, or participating in live performances, events, or exhibits intended for public viewing; (2) establishments that preserve and exhibit objects and sites of historical, cultural, or educational interest; and (3) establishments that operate facilities or provide services that enable patrons to participate in recreational activities or pursue amusement, hobby, and leisure-time interests.

Some establishments that provide cultural, entertainment, or recreational facilities and services are classified in other sectors. *Excluded* from this sector are: (1) establishments that provide both accommodations and recreational facilities, such as hunting and fishing camps and resort and casino hotels are classified in Subsector 721, Accommodation; (2) restaurants and night clubs that provide live entertainment in addition to the sale of food and beverages are classified in Subsector 722, Food Services and Drinking Places; (3) motion picture theaters, libraries and archives, and publishers of newspapers, magazines, books, periodicals, and computer software are classified in Sector 51, Information; and (4) establishments using transportation equipment to provide recreational and entertainment services, such as those operating sightseeing buses, dinner cruises, or helicopter rides, are classified in Subsector 487, Scenic and Sightseeing Transportation.

### ***Sector 72 Accommodation and Food Services (The Sector as a Whole)***

The Accommodation and Food Services sector comprises establishments providing customers with lodging and/or preparing meals, snacks, and beverages for immediate consumption. The sector includes both accommodation and food services establishments because the two activities are often combined at the same establishment.

*Excluded* from this sector are civic and social organizations; amusement and recreation parks; theaters; and other recreation or entertainment facilities providing food and beverage services.

## **LEGAL SERVICES**

### ***Sector 54 Professional, Scientific, and Technical Services***

- **5411 Legal Services / 541110 Offices of Lawyers:** This industry comprises offices of legal practitioners known as lawyers or attorneys (i.e., counselors-at-law) primarily engaged in the practice of law. Establishments in this industry may provide expertise in a range or in specific areas of law, such as criminal law, corporate law, family and estate law, patent law, real estate law, or tax law.
- **541120 Offices of Notaries:** This industry comprises establishments (except offices of lawyers and attorneys) primarily engaged in drafting, approving, and executing legal documents, such as real estate transactions, wills, and contracts; and in receiving, indexing, and storing such documents.
- **541199 All Other Legal Services:** This U.S. industry comprises establishments of legal practitioners (except offices of lawyers and attorneys, settlement offices, and title abstract offices). These establishments are primarily engaged in providing specialized legal or paralegal services.

Illustrative Examples:

- Notary public services
- Patent agent services (i.e., patent filing and searching services)
- Paralegal services
- Process serving services

**Examples of services and their industry categories (also found in FAQ):**

The categories and their descriptions are provided as a guidance tool and as such are broad in their depictions. Please use “other” for those that you are unable to fit into the outlined categories.

- **Underwriting expenses** – Claims Services
- **Employee benefits** – report only if your company is doing business with a firm that provides services  
related to employee benefits - Professional Services
- **Sponsorships or contributions** – report only if your company is doing business with a firm that provides services related to sponsorships/contributions - Professional Services
- **Reporting agencies** (ex. Standard & Poor’s) – Professional Services
- **Third party administrator handling new business and claims processing** – Claim Services
- **Attorney fees directly to the law firm** – Legal Services
- **Staffing/Temp Help** – report only if your company is doing business with a firm that provides services – Human Resources
- **Placement/Recruiter fees (to place permanent employees) report only if your company is doing business with a firm that provides services** – Human Resources