

ABA MODEL DIVERSITY SURVEY

PURPOSE:

The American Bar Association has designed this Model Diversity Survey to assist law firms and clients in analyzing the role of minorities, women, LGBT, and disabled lawyers in law firms and on client matters. As firms and clients track information over time, the Model Diversity Survey can become a vehicle for benchmarking the diversity of lawyers providing legal services as well as regular discussions between clients and their outside counsel on the topic of diversity.

To provide the broadest possible base of information about diverse lawyers at all levels of practice, we have included firms of all sizes in this survey.

You may be assured of complete confidentiality.

Your firm, name, and address will not be connected with the findings, which will be released aggregated and in statistical or summary form. All of your firm's responses to the ABA Model Diversity Survey – and indeed, any information you provide the American Bar Foundation – will be kept strictly confidential. By this, we mean several things: the responses you provide us will be reported only in aggregated form; your firm's name will not appear on any document that reports results from the study; and we will not report results in categories small enough to allow any participant's identity to be inferred. There will be strict measures to ensure confidentiality is kept by research analysts working on this project that will be overseen by the American Bar Foundation. Your return of a completed questionnaire will be taken by the American Bar Association and American Bar Foundation as consent by you to participate in this process under the confidentiality terms just described.

INSTRUCTIONS

1. Only numerical data may be entered in charts. When completing charts, please enter "0" where the number is zero. Please enter "N/A" if the question is not applicable to your firm.
2. Unless otherwise stated, all answers should reflect **U.S. lawyers only**. Do not include temporary or contract attorneys in your responses.
3. The information you provide should be correct **as of December 31, 2016**.
4. The "Client Matters" section is intended to be submitted to individual clients and not uploaded onto the ABA portal.
5. Where a lawyer fits more than one diversity category, that lawyer may be counted in all applicable categories (e.g., an African-American female, disabled lawyer may be counted as a minority lawyer, a female lawyer and a disabled lawyer).

PLEASE USE THE FOLLOWING DEFINITIONS TO ANSWER ALL QUESTIONS:

6. For purposes of this survey, **diversity** is limited to ABA Goal III entities and is defined as race/ethnicity, gender, LGBT status, and disability status. If you wish more information about Goal III entities, please see <http://www.americanbar.org/groups/diversity/diversitycommission/goal3.html>.
7. For purposes of this survey, **minorities** are defined as: those whose race is other than White/Caucasian and include the following categories designated by the Equal Employment Opportunity Commission: African-American/Black (not Hispanic/Latino); Hispanic/Latino; Alaska Native/American Indian; Asian; Native Hawaiian/Other Pacific Islander; and Multiracial (those who identify with two or more of the above races). PLEASE NOTE: no attorney can be counted in more than one minority category.
8. **Equity partner** receives a Form K-1 tax form from their law firm and receives no more than half their compensation on a fixed-income basis. **Non-equity partner** receives more than half their compensation on a fixed basis, though they may have voting rights in firm matters.
9. **Counsel** means a lawyer known as of course, senior counsel, or special counsel, or senior attorney, and is neither an associate, nor a partner. He/she is a permanent salaried employee of the firm and not a temporary or contract attorney.
10. **Other lawyer** means a lawyer who is not a counsel, associate or partner. He/she is a permanent salaried employee of the firm and not a temporary or contract attorney.
11. **Lead lawyer** means having the primary role and responsibility for directing the firm's work for the client on a particular matter or matters.
12. **Reduced Hours Schedule** means the schedule of a lawyer who works less than full-time hours and remains eligible for partnership, including equity partnership.
13. **"Minority-owned firm"** means a firm that is at least 51 percent owned, operated and controlled by minority group members, as described in the above definition of "minorities."
14. **"LGBT-owned firm"** means a firm that at least 51 percent owned, operated and controlled by individuals who are self-identified as LGBT.
15. **"Women-owned firm"** means a firm that is at least 51 percent owned, operated and controlled by women.
16. **"Disabled-owned firm"** means a firm that at least 51 percent owned, operated and controlled by one or more individuals with disabilities.

QUESTIONNAIRE:

1. Firm Name: _____
2. Head of Firm/CEO/Firm-wide Managing Partner: _____
3. Date of Survey Completion: _____
4. Survey Contact Name: _____ Title: _____ Email: _____
5. Total number of lawyers firm-wide, as of December 31, 20____: _____
6. Total number of U.S. lawyers, as of December 31, 20____: _____

6A. Based on your answer to Question 6, please check the size category that fits your firm:

- ☐ Sole Practitioner - 1 attorney
- ☐ Small Firm - 2-20 attorneys
- ☐ Medium Firm - 21 to 100 attorneys
- ☐ Large Firm - 101-300 attorneys
- ☐ Big Firm - 301+ attorneys

7. Is your firm women-owned, minority-owned, disabled-owned or LGBT-owned? ☐ Yes ☐ No

7A. If yes, what is the category of ownership? _____

7B. If yes, is the firm certified? _____

7C. Please name the certifying entity: _____

8. Please provide your firm's demographic profile for all U.S. offices on December 31, 2016 (numbers only).

	Overall Firm Demographics					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
American Indian/Alaska Native						
African American						
Asian						
Hispanic/Latino						
Multiracial						
White						
LGBT						
Disabled						

9. Please provide your firm's demographic profile for all U.S. offices on December 31, 2016. (numbers only).

	Overall Firm Demographics					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
Women						
Men						

10. Please identify your firm's demographic profile for lawyers in leadership positions in 2016 . If your firm does not have such positions, indicate with a "N/A" (not applicable). The information requested here might not be applicable to smaller firms.

	Firm Leadership/Management Demographic Profile						
	Total	Minority Female	Minority Male	White Female	White Male	LGBT	Disabled
Number of attorneys who serve on the highest governance committee of the firm							
Number of lawyers who lead offices							
Number of lawyers who lead Firm-wide practice groups or departments							
Number of lawyers who lead local office practice groups or departments.							
Number of lawyers who lead Firm-wide committees							
Number of attorneys on the Partner Review Committee or the equivalent							
Number of lawyers who serve on the Firm-wide compensation committee							
Number of hiring partners or equivalent							

11. Please identify the demographic profile of "Homegrown Partners" in the past year," i.e., those associates in all U.S. offices who were promoted to partner in 2016. 2016—Number of Promotions from Associate to Partner.

	Promoted					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
American Indian/Alaska Native						
African American						
Asian						
Hispanic/Latino						
Multiracial						
White						
LGBT						
Disabled						

12. Please identify the demographic profile of "Homegrown Partners" in the past year, " i.e., those associates in all U.S. offices who were promoted to partner in 2016. 2016—Number of Promotions from Associate to Partner.

	Promoted					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
Women						
Men						

13. Please identify the number of lawyers who left the firm in 2016. 2016 Attrition Lawyers who left the firm (include voluntary and involuntary)

	Outgoing Lawyers					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
American Indian/Alaska Native						
African American						
Asian						
Hispanic/Latino						
Multiracial						
White						
LGBT						
Disabled						

14. Please identify the number of lawyers who left the firm in 2016. 2016 Attrition Lawyers who left the firm (include voluntary and involuntary)

	Outgoing Lawyers					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
Women						
Men						

15. Please identify the number of lawyers who joined the firm in 2016. 2016 Hires.

	2016 Hires					
	Equity Partners	Non-Equity	Associates	Counsel	Other Lawyers	Totals
American Indian/Alaska Native						
African American						
Asian						
Hispanic/Latino						
Multiracial						
LGBT						
Disabled						

16. Please identify the number of lawyers who joined the firm in 2016. 2016 Hires.

	2016 Hires					
	Equity Partners	Non-Equity Partners	Associates	Counsel	Other Lawyers	Totals
Women						
Men						

17. Please identify the number of lawyers who worked a reduced hours schedule in 2016

	Lawyers Working Reduced Hours Schedule					
	Non-Equity	Equity Partners	Associates	Counsel	Other lawyers	Totals
Men						
Women						
Minorities						
LGBT						
Disabled						

18. Please provide the demographics of the top 10% highest compensated partners in the firm. The information requested in this question might not be applicable to smaller firms.

	Men	Women
American Indian/Alaska Native		
African American		
Asian		
Hispanic/Latino		
Multiracial		
White		
LGBT		
Disabled		
TOTALS		

19. Please provide the demographics of the top 10% highest compensated partners in the firm. The information requested in this question might not be applicable to smaller firms.

Women	
Men	

20. Please indicate whether your firm has undertaken the following initiatives or actions. Include any comments or explanations in the comments column. We recognize that the information requested below might not be applicable to smaller firms. Please use the comments column to provide additional explanation as needed.

Number	Initiative	"X" if yes	Comments
A.	Firm has a written diversity strategy that has been communicated to all firm attorneys.		
B.	Firm gives billable credit for work that is directly related to diversity efforts (but is not pro bono work).		
C.	Firm ties a component of partner compensation to diversity efforts.		
D.	Firm has a diversity committee that includes senior partners and that reports to the firm's highest governing body.		
E.	Firm has a full or part-time diversity professional who performs diversity-related tasks.		
F.	Firm has affinity or employee resource groups for its women and diverse attorneys, which meet at least quarterly.		
G.	Firm has a succession plan that specifically emphasizes greater inclusion of women and diverse lawyers.		
H.	Firm mandates and monitors that minority and women attorneys have equal access to clients, quality work assignments, committee appointments, marketing efforts and firm events.		
I.	Firm requires inclusion of at least one diverse candidate in all hiring decisions.		
J.	Firm policy specifically prohibits discrimination based on sexual orientation, gender identity and gender expression.		
K.	Firm provides opportunity for attorneys to voluntarily disclose their sexual orientation or gender identity and expression through Firm data collection procedures.		
L.	Firm policy specifically provides for paid maternity leave.		
M.	Firm policy specifically provides for paid paternity leave.		
N.	Firm has a formal, written part-time policy that permits partners to be part-time.		
O.	Firm has a flex-time policy.		
P.	Firm provides for or mandates diversity training for all lawyers and staff.		
Q.	Firm has a supplier diversity program.		

CLIENT MATTERS:

This section of the survey is intended to be submitted to individual clients and not uploaded on the ABA portal

1. Name of Relationship/Client Partner: _____
2. Pursuant to ABA Goal III definition, is this individual diverse? _____
3. If yes, what is the category of diversity: _____
4. What are the demographics of the lawyers working on [Company name] matters as well as total fees billed in 2016? The information requested here might not be applicable to smaller firms.

		Equity Partners	Non-Equity	Associates	Counsel	Other Lawyers	Total
American Indian/ Alaska Native	Number of hours						
	Total Fees						
African American	Number of hours						
	Total Fees						
Asian	Number of hours						
	Total Fees						
Hispanic/Latino	Number of hours						
	Total Fees						
Multiracial	Number of Hours						
	Total Fees						
White	Number of hours						
	Total Fees						
Women	Number of hours						
	Total Fees						
Men	Number of hours						
	Total Fees						
LGBT	Number of hours						
	Total fees						
Disabled	Number of hours						
	Total Fees						

5. What are the demographics of lead lawyers on [name of client] matters in 2016?

	Men	Women
American Indian/Alaska Native		
African American		
Asian		
Hispanic/Latino		
Multiracial		
White		
LGBT		
Disabled		

Comments: