

EEO-1 Component 2 Resource Guide

SyncStream Solutions, LLC

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1. Component 2 Employer Notification

Description: This is a notice that was sent to all applicable employers on July 1st, 2019 to inform them that Component 2 is officially reinstated and to notify employers of their responsibilities related to filing.

2. EEO-1 Component 2 Fact Sheet

Description: A list of important deadlines and definitions provided by the EEOC to help companies successfully meet their Component 2 filing requirements.

3. Component 2 Sample Form

Description: Sample Component 2, or expanded EEO-1 Form, that includes data points for both wages and hours.

4. Component 2 FAQs

Description: Frequently asked questions about EEO-1 Component 2 filing requirements that address nuanced details and practical application of the new requirements.

5. EEO-1 Instruction Booklet

Description: Instruction booklet provided by the EEOC for employers to use when working on their Component 2 filing.



U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
Component 2 EEO-1 Data Collection

Office of Enterprise
Data and Analytics

July 1, 2019

Company Name
ATTN: DIRECTOR OF HUMAN RESOURCES
Address
City, State ZIP

**Initial Notice of Immediate Reinstatement of Revised EEO-1:
Pay Data Collection for Calendar Years 2017 and 2018**

Dear Employer:

EEO-1 filers must submit Component 2 data for calendar year 2017, in addition to Component 2 data for calendar year 2018, by September 30, 2019, as ordered by the court's recent decision in *National Women's Law Center, et al., v. Office of Management and Budget, et al.*, Civil Action No. 17-cv-2458 (D.D.C.). Please note: Although the Department of Justice filed a Notice of Appeal in this lawsuit, that notice does not stay the district court orders or alter EEO-1 filers' obligations to submit 2017 and 2018 Component 2 data. EEO-1 filers should begin preparing to submit Component 2 data.

The EEOC has contracted with NORC at the University of Chicago to collect the Component 2 data for 2017 and 2018. The web-based portal for the submission of the Component 2 EEO-1 reports for 2017 and 2018 will be active by July 15, 2019 via the Component 2 EEO-1 Online Filing System. Employers will be notified when this filing system is available. At this time, employers can find more information about the Component 2 EEO-1 Compensation Data Collection at <https://eoccomp2.norc.org>.

If you have other inquiries, please contact the Component 2 EEO-1 Help Desk by emailing EEOCcompdata@norc.org or calling 877-324-6214 toll free.

Sincerely,

The EEOC Component 2 EEO-1 Collection Team

For assistance filing Component 2 EEO-1 Compensation Data:
Call NORC at 1-877-324-6214, e-mail EEOCcompdata@norc.org or visit <https://EEOCcomp2.norc.org>

For more information about the Component 2 EEO-1 Compensation Data:
Visit <https://www.EEOC.gov>

Fact Sheet for Component 2 EEO-1 Compensation Data Filers

This fact sheet provides a list of important deadlines and reminders in order for your company to successfully submit Component 2 data for 2017 and 2018 calendar years.

1. Employers must **submit** and **certify** 2017 and 2018 Component 2 compensation data by **September 30, 2019**.
2. Please be advised that companies will receive their User ID from NORC via notification letter mailed through USPS and to the registered EEO-1 email address on record. Password will be setup during initial entry into the Component 2 EEO-1 Online Filing System and after User ID, FEIN, and email address is verified.
3. Employers will select a pay period between October 1 and December 31 of the reporting year as the “workforce snapshot period.”
 - a. **2017 Component 2 EEO-1 report** would be an employer-selected pay period between October 1, 2017, and December 31, 2017.
 - b. **2018 Component 2 EEO-1 report** would be an employer-selected pay period between October 1, 2018, and December 31, 2018.
4. Compensation and hours-worked data will only be reported for full- and part-time employees who were on the employer’s payroll during the workforce snapshot period.
5. Companies must provide Federal Employer Identification Number (FEIN) for all establishment locations.
6. Employee self-identification is the preferred method of identification for the race/ethnicity categorization of employment data. Employers are required to attempt to allow employees to use self-identification to complete the EEO-1. If any employee declines to self-identify, employers may consult with employee-provided information when on-boarded or the employer may use visual observation.
7. Component 2 EEO-1 job categories will be the same as on the most recent Component 1 EEO-1 report. They are:
 1. Executive/Senior Level Officials and Managers
 2. First/Mid-Level Officials and Managers
 3. Professionals
 4. Technicians
 5. Sales Workers
 6. Administrative Support Workers
 7. Craft Workers
 8. Operatives
 9. Laborers and Helpers
 10. Service Workers
8. 12 compensation bands will be collected within each job category and when selecting a band for an employee, refer to earnings reported in W-2 Box 1.
 1. \$19,239 and under
 2. \$19,240 - \$24,439
 3. \$24,440 - \$30,679
 4. \$30,680 - \$38,999
 5. \$39,000 - \$49,919
 6. \$49,920 - \$62,919

7. \$62,920 - \$80,079
 8. \$80,080 - \$101,919
 9. \$101,920 - \$128,959
 10. \$128,960 - \$163,799
 11. \$163,800 - \$207,999
 12. \$208,000 and over
9. The 100-employee threshold for reporting is for the employer as a whole, after totaling employees based at the headquarters and at all locations, or establishments. Multi-establishment companies must report compensation data for all its establishments, including those with fewer than 100 employees. Please note that the 100-employee threshold also applies to federal contractors. Unlike the requirements for Component 1, federal contractors with fewer than 100 employees are not required to file Component 2 data. If a multi-establishment employer has establishments with fewer than 50 employees, it may choose to file a Type 6 (Establishment List) or a Type 8 (Establishment Report) for those establishments, in addition to the Consolidated Report (Type 2) and Headquarters Report (Type 3). A Type 6 is a list for an establishment with fewer than 50 employees that includes only the establishment name, address and total employee count. However, the aggregated employee and hours-worked data by race/ethnicity and gender by job category and compensation band for all Type 6 establishments must be included in the Type 2 Consolidated Report. A Type 8 Establishment Report is a report for an establishment with fewer than 50 employees that includes the establishment name, address, race/ethnicity, gender, and hours-worked data by job category and by compensation band.
10. When you submit and certify 2017 and 2018 Component 2 EEO-1 compensation data, please do not forget to **save a copy** for your company's records.
11. Certification of the Component 2 EEO-1 report is **mandatory**. Without certifying your report, your company will receive a notification of **failure to file letter**.
12. The EEOC requires that Component 2 EEO-1 reports be submitted via the Component 2 EEO-1 Online Filing System (<https://eeocomp2.norc.org>) as an uploaded CSV data file. All data are encrypted, ensuring your security.

Component 2 EEO-1 Online Filing System Sample Form

This sample form illustrates how the *Component 2 EEO-1 Online Filing System* is organized to collect compensation data for employers with 100 or more employees. Employers with 100 or more employees are required to report Component 2 EEO-1 Compensation Data for 2017 and 2018 by September 30, 2019. If employers have multiple establishments, this compensation data form needs to be completed for the employer in total, the headquarters, and each establishment with more than 50 employees. When an employer has establishments with 50 or fewer employees, the employer may choose to report compensation data in this detailed form, or report establishments with 50 or fewer employees in a list format.

Employers are required to report on all full- and part-time employees working during the workforce snapshot period. Compensation data includes the number of employees and the hours worked by gender, race/ethnicity, job category, and salary. In the *Component 2 EEO-1 Online Filing System*, blank cells in the form will be considered as zeros. The Instruction Booklet, Fact Sheet, and FAQs provide additional information regarding the reporting requirements. Please note: This is a sample of the Component 2 EEO-1 Online Filing System and is NOT the file upload specifications.

Job Categories	Salary Compensation Band	Number of Employees (Report employees in only one category)														Total Col. A-N
		Race/Ethnicity														
		Hispanic or Latino		Non/Hispanic or Latino												
		Male							Female							
		Male	Female	White	Black or African American	Native Hawaiian or Pacific Islander	Asian	Native American or Alaska Native	Two or more races	White	Black or African American	Native Hawaiian or Pacific Islander	Asian	Native American or Alaska Native	Two or more races	
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O		
1 Executive/ Senior Level Officials and Managers	1. \$19,239 and under															
	2. \$19,240 - \$24,439															
	3. \$24,440 - \$30,679															
	4. \$30,680 - \$38,999															
	5. \$39,000 - \$49,919															
	6. \$49,920 - \$62,919															
	7. \$62,920 - \$80,079															
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	9. \$101,920 - \$128,959															
	10. \$128,960 - \$163,799															
	11. \$163,800 - \$207,999															
	12. \$208,000 and over															

Job Categories	Salary Compensation Band	For each cell provide the TOTAL Number of Hours worked in last year														Total Col. A-N
		Race/Ethnicity														
		Hispanic or Latino		Non/Hispanic or Latino												
				Male				Female								
		Male	Female	White	Black or African American	Native Hawaiian or Pacific Islander	Asian	Native American or Alaska Native	Two or more races	White	Black or African American	Native Hawaiian or Pacific Islander	Asian	Native American or Alaska Native	Two or more races	
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O		
1 Executive/ Senior Level Officials and Managers	1. \$19,239 and under															
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	9. \$101,920 - \$128,959															
	10. \$128,960 - \$163,799															
	11. \$163,800 - \$207,999															
	12. \$208,000 and over															
2 First/Mid-Level Officials and Managers	1. \$19,239 and under															
	2. \$19,240 - \$24,439															
	3. \$24,440 - \$30,679															
	4. \$30,680 - \$38,999															
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	9. \$101,920 - \$128,959															
	10. \$128,960 - \$163,799															
	11. \$163,800 - \$207,999															
	12. \$208,000 and over															

Sample Form

EEO-1 Component 2 FAQs

Deadline

When must employers report 2017 and 2018 Component 2 compensation data?

Employers must file 2017 and 2018 Component 2 compensation data by September 30, 2019. As Ordered by the court's recent decision in *National Women's Law Center, et al., v. Office of Management and Budget, et al.*, Civil Action No. 17-cv-2458 (D.D.C.), EEO-1 filers must submit Component 2 data for calendar year 2017, in addition to Component 2 data for calendar year 2018, by September 30, 2019.

Filing Requirements

Who must submit Component 2 data?

Employers, including federal contractors, are required to submit Component 2 compensation data for 2017 if they have 100 or more employees during the 2017 workforce snapshot period (defined below). Employers, including federal contractors, are required to submit Component 2 compensation data for 2018 if they have 100 or more employees during the 2018 workforce snapshot period.

Federal contractors with 50-99 employees are not required to report Component 2 compensation data.

Federal contractors with 1-49 employees, and other private employers with 1-99 employees, are not required to file either EEO-1 Component 1 data or Component 2 data.

When do employers count their employees?

Employers will count their employees during the "workforce snapshot period." The "workforce snapshot period" is an employer-selected pay period between October 1 and December 31 of the reporting year. The workforce snapshot period for the 2017 EEO-1 report would be an employer-selected pay period between October 1, 2017, and December 31, 2017. Likewise, the workforce snapshot period for the 2018 EEO-1 report would be an employer-selected pay period between October 1, 2018, and December 31, 2018.

The only employees whose compensation and hours-worked data must be reported are those full- and part-time employees who were on the employer's payroll during the workforce snapshot period.

What date should be used to determine if you meet the threshold size requirements for filing?

To determine if they meet the 100-employee threshold for 2017 or 2018, employers will count the number of employees during the workforce snapshot period for the corresponding reporting year. Employers with 100 or more employees during the workforce snapshot period in 2018

will file 2018 Component 2 data with summary pay and hours-worked data. Employers with 100 or more employees on the payroll during the workforce snapshot period in 2017 must file Component 2 data with summary pay and hours-worked data for 2017 reporting year.

Are you required to use the same Workforce Snapshot date that you chose for Component 1 filings?

No. Employers are permitted to choose a different workforce snapshot period for reporting Component 2 data for each of these years, if they so choose.

Are you required to include employees in your count that were not actively employed by December 31st of the applicable reporting year?

Yes. Even if an employee resigned or was terminated before December 31 of that year, the employee should be counted if the employee was employed during the employer's chosen workforce snapshot period.

The employer is only reporting the total number of full and part-time employees the employer had *during the employer-selected workforce snapshot period*. If the employee is on board during the selected workforce snapshot period, then the employee must be counted. For example, if the employer chooses a payroll period in October 2017 as its workforce snapshot period, then all the employees on the payroll during that workforce snapshot period are counted, even employees who resign or are terminated in December 2017.

Do you include both full-time and part-time employees when determining employer size for filing purposes?

Yes. The full and part-time employees counted for the chosen workforce snapshot period represent the total number of employees the employer should include in Component 2 of the EEO-1: each employee will be reflected in one of the 12 compensation bands listed for the employee's job category.

Summary Compensation Data

What measure of compensation should be used to report Component 2 data?

To identify the compensation band in which to count an employee, employers are to use "Box 1 – Wages, tips, other compensation" of Internal Revenue Service (IRS) Form W-2 (hereafter "W-2 Box 1 income") as the measure of pay for Component 2. Employers then tally the total number of employees who fall into each compensation band by job category. If there is no employee in a compensation band, employers should leave the cell blank.

W-2 Box 1 income is the measure of compensation to include total taxable wages, tips, and other compensation that you paid to your employee during the calendar year, as instructed by the IRS: <https://www.irs.gov/pub/irs-pdf/iw2w3.pdf>. Employers can use the W-2 Box 1 income figure calculated for end-of-year tax reporting purposes.

Can employers reference gross annual earnings instead of W-2 Box 1 earnings because gross income does not include any deductions?

No. Employers may not reference gross annual earnings instead of W-2 Box 1 earnings for Component 2 data.

Should employers calculate and report annual earnings for employees that did not work the entire calendar year?

No. Employers should *not* calculate and then report the annualized earnings for employees who did not work the full calendar year. Employers should use the information found in Box 1 on their employees' W-2 to assign the employees to the relevant Component 2 compensation bands. The employer in this example would report the July – December employee in the compensation band that corresponds with \$50,000, assuming that is the number in the employee's W-2 Box 1.

Hours Worked

What hours must be reported?

Component 2 has a second matrix to report hours-worked data. Each cell on the hours-worked matrix corresponds to a cell on the summary compensation data matrix. The hours worked during that year by all the employees counted in the cell on the summary compensation data matrix should be totaled and then recorded in the corresponding cell on the hours-worked matrix.

Are hours worked for part-time employees to be reported?

Yes. Hours-worked data are reported to account for part-time and partial year employment.

For *non-exempt* employees under the Fair Labor Standards Act (FLSA), employers must report actual hours worked.

How do employers report hours for FLSA exempt employees where hours are not tracked?

For FLSA-*exempt* employees, employers have the option to either:

1. report actual hours worked by the exempt employees if the employer already maintains accurate records of this information; or
2. report a proxy of 40 hours per week for full-time exempt employees and 20 hours per week for part-time exempt employees, multiplied by the number of weeks the employees were employed during the EEO-1 reporting year.

If an employer does not track hours for FLSA-exempt employees, the employer is permitted to report a proxy of 40 hours per week for full-time exempt employees and 20 hours per week for

part-time exempt employees, multiplied by the number of weeks the employees were employed during the EEO-1 Component 2 reporting year.

If exempt employees work a standard 35 hours a week, can the employer report these instead of the FLSA proxy hours?

Yes. The employer has the choice of whether to report actual hours or the designated proxy hours.

If the employer has an exempt employee that works a standard 30 hours per week, but the employer does not track the actual hours of service for other exempt employees, can the employer report only one exempt employees actual hours of service while using the proxy hours for all other exempt employees?

Yes. If the employer tracks the number of hours worked for its FLSA-exempt employees, the employer may report that number. Similarly, if the employer tracks hours worked for some, but not all, exempt employees, the employer may report the actual number of hours worked for the employees whose hours the employer tracks and use a proxy for the rest.

Will employers have to report hours worked or hours paid for Component 2? In other words, should employers count hours for paid time off, paid sick leave, paid holidays, etc.?

The Component 2 instructions adopt the Fair Labor Standards Act (“FLSA”) definition of hours worked. Therefore, the hours-worked data that employers will report for the EEO-1 Component 2 will be based on the same hours worked that employers record for FLSA purposes. FLSA hours worked generally do not include paid leave, such as sick leave, vacation leave, or paid holidays. Therefore, this approach will also be used for the 2017 and 2018 Component 2 reporting. Employers are encouraged to rely on the U.S. Department of Labor Wage and Hours Division resources for guidance on hours worked for FLSA purposes. See [Fact Sheet #22: Hours Worked Under the Fair Labor Standards Act \(FLSA\)](#).

For an employee who is exempt from the FLSA, employers have the option to report the designated proxy hours of 40 or 20 hours per week for each week the employee *worked* that year or, alternatively, to report actual hours worked, as defined by the FLSA, if the employer already maintains records of actual hours worked for that employee. The employer will not have to create or retain any new records of hours worked. The employer may refer to any records it already keeps for the purposes of calculating hours worked for Component 2 reporting.

Component 2 Online Filing System

How will employers report Component 2 data?

The Component 2 data is reported under “Section D – Employment Data.” Employers will report this data through the *Component 2 EEO-1 Online Filing System* or by creating a data file and inputting their data in the appropriate fields in accordance with the data file specifications.

Please note that when submitting a data file, the file layout must match the data file specifications exactly.

Will 2017 and 2018 Component 1 data be visible and available in the Component 2 filing system?

No. Employers will be unable to access their 2017 and 2018 Component 1 reports in the Component 2 EEO-1 Online Filing System.

Will the EEOC transfer the previously submitted 2017 and 2018 Component 1 data to the Component 2 filing system?

No. Data from previously filed 2017 and 2018 EEO-1 Reports will not be in the new online application for the reporting of Component 2 data. There will be no pre-population of historical data in the *Component 2 EEO-1 Online Filing System*.

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
COLLECTION OF 2017 AND 2018 EEO-1 COMPONENT 2 COMPENSATION DATA

INSTRUCTION BOOKLET

Pursuant to the District Court decision in *National Women's Law Center, et al., v. Office of Management and Budget, et al.*, Civil Action No. 17-cv-2458 (D.D.C.), covered employers must submit Component 2 EEO-1 W-2 and hours worked data for calendar years 2017 and 2018 by September 30, 2019. The Employer Information EEO-1 report (Standard Form 100) is collected annually under the authority of Title VII of the Civil Rights Act of 1964, 42 U.S.C. 2000e, et. seq., as amended. All employers with 15 or more employees are covered by Title VII and are required to keep employment records as specified by Commission regulations. Based on the number of employees and federal contract activities, certain employers are required to file an EEO-1 report on an annual basis under the Equal Employment Opportunity Commission (EEOC) and the U.S. Department of Labor Office of Federal Contract Compliance Programs (OFCCP) regulations.

See the Appendix for the applicable provisions of Title VII, Section 709(c) of Title VII, and the applicable EEOC regulations, Sections 1602.7-1602.14, Chapter XIV, Title 29 of the Code of Federal Regulations. State and local governments, public school systems and educational institutions are covered by other employment reports and are excluded from Standard Form 100, Employer Information Report EEO-1.

In the interests of consistency, uniformity and economy, Standard Form 100 has been jointly developed by the EEOC and OFCCP, as a single form which meets the statistical needs of both programs.

As stated above, the filing of Standard Form 100 is required by law; it is not voluntary. Under section 709(c) of Title VII, the Equal Employment Opportunity Commission may compel an employer to file this form by obtaining an order from the United States District Court.

Under Section 209(a) of Executive Order 11246, the penalties for failure by a federal contractor or subcontractor to comply may include termination of the federal government contract and debarment from future federal contracts.

1. WHO MUST FILE

Standard Form 100, Component 2, must be filed by --

(A) All private employers who are (1) subject to Title VII of the Civil Rights Act of 1964, as amended, with 100 or more employees EXCLUDING State and local governments, public primary and secondary school systems, institutions of higher education, American Indian or Alaska Native tribes and tax-exempt private membership clubs other than labor organizations; OR (2) subject to Title VII who have fewer than 100 employees if the company is owned or affiliated with another

company, or there is centralized ownership, control or management (such as central control of personnel policies and labor relations) so that the group legally constitutes a single enterprise, and the entire enterprise employs a total of 100 or more employees.

AND

(B) All federal contractors who (1) are not exempt as provided for by 41 CFR 60-1.5; (2) have 100 or more employees; (3) are prime contractors or first-tier subcontractors; and (4) have a contract, subcontract, or purchase order amounting to \$50,000 or more; or serve as depositories of Government funds in any amount; or are financial institutions which are issuing and paying agents for U.S. Savings Bonds and or savings notes.

Establishments located in the District of Columbia and the 50 states are required to submit Standard Form 100. No reports should be filed for establishments in Puerto Rico, the Virgin Islands, or other American Protectorates.

2. HOW TO FILE

(a) Component 2 EEO-1 Electronic Filing Requirement:

Component 2 EEO-1 reporting is an electronic, online application. The EEOC **requires** that EEO-1 reports be submitted via the *Component 2 EEO-1 Online Filing System*, or as an electronically transmitted data file.

Any employer who claims that the electronic submission of Standard Form 100 would create undue hardship may apply to the Commission for a special reporting procedure in accordance with the instructions set forth in Instruction 5.

(b) Single-establishment employers, i.e., employers doing business at only one establishment in one location must complete a single Component 2 EEO-1 online data record.

(c) Multi-establishment employers, i.e., employers doing business at more than one establishment must complete online: (1) a report covering the principal or headquarters office; (2) a separate report for **each** establishment employing 50 or more persons; and (3) a separate report (Type 8 record) for **each** establishment employing fewer than 50 employees, OR an Establishment List (Type 6 record), showing the name, address, and total employment for **each** establishment employing fewer than 50 persons. For the *Component 2 EEO-1 Online Filing System*, companies using Establishment List reports (Type 6), must enter all employment data into the Consolidated report (Type 2). For the *Component 2 EEO-1 Online Filing System*, all keyed employment data including data from the Type 8 reports will automatically transfer to populate the overall Consolidated Report.

The total number of employees indicated on the headquarters report, **PLUS** the establishment reports, **PLUS** the list of establishments employing fewer than 50 employees, **MUST** equal the total number of employees shown on the Consolidated Report. Employment data for multi-

establishment companies, including parent corporations and their subsidiary holdings, must report all employees working at each company establishment or subsidiary establishment. For purposes of this report, the term **parent corporation** refers to any corporation which owns all or the majority stock of another corporation so that the latter relates to it as a subsidiary.

3. WHEN TO FILE

Component 2 EEO-1 reports for calendar years 2017 and 2018 must be filed not later than September 30, 2019. Employment figures from any pay period in October through December in each calendar year may be used (workforce snapshot).

4. CONFIDENTIALITY

Title VII subjects the EEOC to strict confidentiality requirements, subject to criminal penalties. Title VII forbids the EEOC or any EEOC officer or employee from making public any information, including EEO-1 data, before a Title VII proceeding is instituted involving that information.¹ EEOC staff who violate this prohibition are guilty of a criminal misdemeanor and can be imprisoned. When the EEOC receives a FOIA request for EEO-1 data from the public, and when suit has not been filed on the investigated charge, it relies on FOIA Exemption 3 to withhold the EEO-1 data.² Additionally, Exemption 4 of FOIA may potentially be applicable. Exemption 4 protects privileged and confidential trade secrets and commercial or financial information.

5. REQUESTS FOR INFORMATION AND SPECIAL PROCEDURES

Where the employer claims undue hardship due to electronic submission or otherwise, the employer must submit in writing a detailed alternative proposal for compiling, reporting, or submitting information to: Employer Data Team, EEOC Office of Enterprise Data and Analytics, 131 M Street, NE, Room 4SW32J, Washington, DC 20507. In cases where the Commission approves written requests to submit paper EEO-1 forms, the paper EEO-1 report must be prepared in accordance with the directions set forth in the Commission's written approval. EEOC will generate a paper EEO-1 form only in extreme cases where internet access is not available to the employer. Only those special procedures approved in writing by the Commission are authorized. Paper reports may not be submitted after September 30, 2019.

¹ 42 U.S.C. 2000e-8(e). Section 709(e) of Title VII forbids “any [EEOC] officer or employee” from making “public in any manner whatever any information obtained by the Commission...prior to the institution of any [Title VII] proceeding...involving such information.”

² 5 U.S.C. 552 (b)(3). FOIA Exemption 3 covers information that is prohibited from disclosure by another federal law. In this case, it prohibits disclosure of information subject to Section 709(e) of Title VII.

6. BURDEN ESTIMATE

Comments regarding this collection of information, including suggestions for reducing burden, can be sent at any time to:

Employer Data Team
EEOC Office of Enterprise Data and Analytics
Room 4SW32J
131 M Street, N.E.
Washington, D.C. 20507

AND

Paperwork Reduction Project (3046-0007)
Office of Management and Budget
Washington, D.C. 20503

The full text of the OMB regulations on the Paperwork Reduction Act may be found at 5 CFR Part 1320.

EEO-1 TERMS

Type of Report (Status Code)

Single-Establishment company

1 Single-establishment company

Multi-establishment company

2 Consolidated Report (Required)

3 Headquarters Report (Required)

4 Establishment Report (50 or more employees)

6 Establishment List (less than 50 employees) (Option 1)

8 Establishment Report (less than 50 employees) (Option 2)

Special Report (See 29 CFR 1602.10)

Company Identification

Refers to the company name and address of the headquarters office of the multi-establishment company (Report Types 2 and 3); or the establishment name and address.

Employers Who Are Required To File

All employers required to file the Component 2 EEO-1 Report **MUST** answer these three questions:

1. Does the entire company have at least 100 employees in the payroll period for which you are reporting?
2. Is your company affiliated through common ownership and/or centralized management with other entities in an enterprise with a total employment of 100 or more?
3. Does the company or any of its establishments (1) have 100 or more employees; (2) is not exempt as provided for by 41 CFR 60-1.5; (3) are prime contractors or first-tier subcontractors; AND (4) have a contract, subcontract, or purchase order amounting to \$50,000 or more; or serve as depositories of Government funds in any amount; or are financial institutions which are issuing and paying agents for U.S. Savings Bonds and or savings notes?

Employment Data

Employment data must include **ALL** full-time and part-time employees **who were employed during the payroll period selected by the employer between October 1 and December 31 (workforce snapshot)**, except those employees specifically excluded as indicated in the Appendix. Employees must be counted by sex and race, and ethnicity, for each of the ten occupational categories. See Appendix for detailed explanation of job categories and race and ethnicity identification.

Every employee must be accounted for in only one race/ethnicity of the categories.

Assign Employees to Pay Bands: Report W-2 Box 1 earnings for the year for all employees identified in the workforce snapshot by assigning them to the appropriate pay band. If an employee is not included in the workforce snapshot, his or her W-2 Box 1 earnings are not tallied. If an employee is included in the workforce snapshot, his or her W-2 Box 1 earnings are tallied, even if he or she is no longer employed at the end of the year. Note that income earned after the conclusion of the last full pay period in December is often paid to employees in the next calendar year. For Component 2 EEO-1 purposes, that income would be counted in the next year, **when it is reported on the W-2.**

Employee Report – Report total employees in the workforce snapshot for each job category and pay band. Every employee identified in the workforce snapshot must be accounted for in one of the twelve pay bands for an EEO-1 job category.

Hours Worked Report – Report hours worked for all employees in the snapshot in their job category and pay band. Hours worked are reported as an aggregate value for each job category and pay band, representing the total of all hours worked that year by all employees reported in that job category and pay band. If wages are actually paid in the next calendar year for work done in the last days of the past calendar year, these hours are counted in the next year, **because that is when the pay is reported on the W-2.**

For employees who are not exempt from the minimum wage and/or overtime provisions of the Fair Labor Standards Act (FLSA), count the "hours worked" as recorded for FLSA

purposes during the reporting year.

For employees who are exempt from the minimum wage and/or overtime provisions of the FLSA, either (1) report a proxy of 40 hours per week for full-time exempt employees and 20 hours per week for part-time exempt employees, multiplied by the number of weeks the individuals were employed during the EEO-1 reporting year; or (2) provide actual hours of work by exempt employees if the employer already maintains records of this information. See also "6. Description of Compensation-Related Terminology" in the Appendix for related information.

Occupational Data

Employment data must be reported by job category. Report each employee in only one job category. In order to simplify and standardize the method of reporting, all jobs are considered as belonging in one of the broad job categories shown in the EEO-1. To assist in determining where to place jobs within these categories, consult the description of job categories in the *EEO-1 Job Categories to Job Titles Classification Guide* or the EEO-1-Census Codes Cross Walk web site (<https://www.census.gov/topics/employment/industry-occupation/guidance/code-lists.html>) For further clarification, consult the Alphabetical and Classified Indices of Industries and Occupations (2010 Census) published by the U.S. Department of Commerce, Census Bureau.

Establishment Information

The major activity should be sufficiently descriptive to identify the industry and product produced or service provided. If an establishment is engaged in more than one activity, describe the activity at which the **greatest** number of employees work.

The description of the major activity indicated on the Headquarters Report (Type 3) must reflect the dominant economic activity of the company in which the greatest numbers of employees are engaged.

Remarks

Include in this section any remarks, explanations, or other pertinent information regarding this report.

Certification

Once all reports have been completed for the company, the authorized official should certify that the information reported is accurate and prepared in accordance with the instructions. In the *Component 2 EEO-1 Online Filing System*, this is done on the Certification page by (a) providing the name and contacting information for the certifying official and the person to contact regarding the report, (b) selecting the box next to this statement that the report is accurate, and (c) then selecting the "Certify" button to finish filing.

APPENDIX

1. DEFINITIONS APPLICABLE TO ALL EMPLOYERS

- a. **"Commission"** refers to the Equal Employment Opportunity Commission
- b. **"OFCCP"** refers to the Office of Federal Contract Compliance Programs, U.S. Department of Labor, established to implement Executive Order 11246, as amended.
- c. **"Employer"** under Section 701(b), Title VII of the Civil Rights Act of 1964, as amended, means a person engaged in an industry affecting commerce who has 15 or more employees for each working day in each of 20 or more calendar weeks in the current or preceding calendar year, and any agent of such a person, but such term does not include the United States, a corporation wholly owned by the government of the United States, American Indian or Alaska Native tribes, or any department or agency of the District of Columbia subject by statute to procedures of the competitive service (as defined in section 2102 of Title 5 of the United States Code), or a bona fide private membership club (other than a labor organization) which is exempt from taxation under Section 501(c) of the Internal Revenue Code of 1954; OR any person or entity subject to Executive Order 11246 who is a federal government prime contractor or subcontractor at any tier (including a bank or other establishment serving as a depository of federal government funds, or an issuing and paying agent of U.S. Savings Bonds and savings notes, or a holder of a federal government bill of lading) or a federally-assisted construction prime contractor or subcontractor at any tier.
- d. **"Employee"** means any individual on the payroll of an employer who is an employee for purposes of the employer's withholding of Social Security taxes except insurance sales agents who are considered to be employees for such purposes solely because of the provisions of 26 USC 3121 (d)(3)(B) (the Internal Revenue Code). Leased employees are included in this definition.
- e. **"Leased Employee"**, for EEO-1 reporting only, means a permanent employee provided by an employment agency for a fee to an outside company for which the employment agency handles all personnel tasks including payroll, staffing, benefit payments and compliance reporting. The employment agency shall include leased employees in its EEO-1 report. **For EEO-1 reporting purposes only**, the term "employee" shall not include persons who are hired on a casual basis for a specified time, or for the duration of a specified job (for example, a person at a construction site whose employment relationship is expected to terminate with the end of the employee's work at the site); persons temporarily employed in any industry other than construction, such as temporary office workers, mariners, stevedores, lumber yard workers, etc., who are hired through a hiring hall or other referral arrangement, through an employee contractor or agent, or by some individual hiring arrangement, or persons (**EXCEPT** leased employees) on the payroll of an employment agency who are referred by such agency for work to be performed on the premises of another employer under that employers direction and control. These definitions are only for purposes of clarifying who reports these individuals on

the EEO-1 and do not have legal ramifications as to the analysis of whether a particular individual is an employee or an independent contractor. That is done under the factors enumerated by the Supreme Court in *Nationwide Mutual Ins. Co. v. Darden*, 503 U.S. 318 (1992).

- f. **"Commerce"** means trade, traffic, commerce, transportation, transmission, or communication among the several States; or between a State and any place outside thereof; or within the District of Columbia, or a possession of the United States; or between points in the same State but through a point outside thereof.
- g. **"Industry Affecting Commerce"** means any activity, business or industry in commerce or in which a labor dispute would hinder or obstruct commerce or the free flow of commerce and includes any activity or industry affecting commerce within the meaning of the Labor Management Reporting and Disclosure Act of 1959. Any employer of 15 or more persons is presumed to be in an industry affecting commerce.
- h. **"Establishment"** is generally a single physical location where business is conducted or where services or industrial operations are performed (e.g., factory, mill, store, hotel, movie theater, mine, farm, airline terminal, sales office, warehouse, or central administrative office (definition adapted from the *North American Industry Classification System, 2012*).

Units at different physical locations, even though engaged in the same kind of business operation, must be reported as separate establishments. For locations involving construction, transportation, communications, electric, gas, and sanitary services, oil and gas fields, and similar types of physically dispersed industrial activities, however, it is not necessary to list separately each individual site, project, field, line, etc., unless it is treated by you as a separate legal entity. For these types of activities, list as establishments only those relatively permanent main or branch offices, terminals, stations etc., which are either: (a) directly responsible for supervising such dispersed activities (where employees work from home, they should be reported as if working at the establishment where their supervisor is reported to work); or (b) the base from which personnel and equipment operate to carry out these activities. (Where these dispersed activities cross State lines, at least one such establishment should be listed for each State involved.)

- i. **"Major Activity"** means the major product or group of products produced or handled, or services rendered by the reporting unit (e.g., manufacturing airplane parts, retail sales of office furniture) in terms of the activity at which the greatest number of all employees work. The description includes the type of product manufactured or sold or the type of service provided. "Major Activity" is based on the industrial definitions developed by the federal government as adopted by the EEOC (For example, the *North American Industry Classification System, 2012*).

It is the opinion of the Commission that Section 702 of Title VII of the Civil Rights Act of 1964, as amended, does not authorize a complete exemption of religious organizations from the coverage of the Act or of the reporting requirements of the Commission. The exemption for religious organizations applies to their employment of individuals of a particular religion to perform work connected with the organization's activities. Therefore, since the Standard Form 100 does not provide for information as to the religion of employees, religious organizations must report all information required by this report.

2. DEFINITIONS APPLICABLE ONLY TO GOVERNMENT CONTRACTORS SUBJECT TO EXECUTIVE ORDER 11246

- a. **"Order"** means Executive Order 11246, as amended.
- b. **"Contract"** means any government contract or any federally-assisted construction contract.
- c. **"Prime Contractor"** means any employer having a government contract or any federally-assisted construction contract, or any employer serving as a depository of federal government funds.
- d. **"Subcontractor"** means any employer having a contract with a prime contractor or another subcontractor calling for supplies or services required for the performance of a government contract or federally assisted construction contract.
- e. **"Contracting Agency"** means any department, agency and establishment in the executive branch of the government, including any wholly-owned government corporation, which enters into contracts.
- f. **"Administering Agency"** means any department, agency and establishment in the executive branch of the government, including any wholly-owned government corporation, which administers a program involving federally-assisted construction contracts.

3. RESPONSIBILITIES OF PRIME CONTRACTORS

- a. At the time of an award of a subcontract subject to these reporting requirements, the prime contractor shall inform the subcontractor of its responsibility to submit annual EEO-1 employment data in accordance with these instructions.
- b. If prime contractors are required by their Contracting Officer or subcontractors by their prime contractors, to submit notification of filing, they shall do so by ordinary correspondence. However, such notification is not required by and should not be sent to the EEOC.

4. RACE, ETHNIC, AND SEX IDENTIFICATION

Self-identification is the preferred method of identifying the race and ethnic information necessary for the EEO-1 report. Employers are required to attempt to allow employees to use self-

identification to complete the EEO-1 report. Self-identification is the preferred method of identifying the sex information necessary for the EEO-1 report.

As to the method of collecting data, the basic principles for ethnic and racial self-identification for purposes of the EEO-1 report are:

- (1) Offer employees the opportunity to self-identify
- (2) Provide a statement about the voluntary nature of this inquiry for employees. For example, language such as the following may be used (employers may adapt this language):

"The employer is subject to certain governmental recordkeeping and reporting requirements for the administration of civil rights laws and regulations. In order to comply with these laws, the employer invites employees to voluntarily self-identify their race or ethnicity. Submission of this information is voluntary and refusal to provide it will not subject you to any adverse treatment. The information obtained will be kept confidential and may only be used in accordance with the provisions of applicable laws, executive orders, and regulations, including those that require the information to be summarized and reported to the federal government for civil rights enforcement. When reported, data will not identify any specific individual. "If an employee declines to self-identify his or her race and/or ethnicity, employment records or observer identification may be used. Where records are maintained, it is recommended that they be kept separately from the employee's basic personnel file or other records available to those responsible for personnel decisions.

Where records are maintained, it is recommended that they be kept separately from the employee's basic personnel file or other records available to those responsible for personnel decisions. Self-identification is the preferred method of identifying the sex information necessary for the EEO-1 report.

Race and ethnicity designations as used by the Equal Employment Opportunity Commission for the EEO-1 do not denote scientific definitions of anthropological origins. In addition, such designations do not control who is protected by Title VII's prohibitions against employment discrimination based on race or national origin.

Definitions of the EEO-1 race and ethnicity categories are as follows:

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

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

Black or African American (Not Hispanic or Latino) - A person having origins in any of the black racial groups of Africa.

Native Hawaiian or Pacific Islander (Not Hispanic or Latino) - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Asian (Not Hispanic or Latino) - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Native American or Alaska Native (Not Hispanic or Latino) - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.

Two or More Races (Not Hispanic or Latino) - All persons who identify with more than one of the above five races.

Instructions for assigning employees into the race/ethnic categories:

Hispanic or Latino - Include all employees who answer YES to the question, Are you Hispanic or Latino. Report all Hispanic males in Column A and Hispanic females in Column B.

White (Not Hispanic or Latino) - Include all employees who identify as White males in Column C and as White females in Column I.

Black or African American (Not Hispanic or Latino)- Include all employees who identify as Black males in Column D and as Black females in Column J.

Native Hawaiian or Pacific Islander (Not Hispanic or Latino) - Include all employees who identify as Native Hawaiian or Other Pacific Islander males in Column E and as Native Hawaiian or Other Pacific Islander females in Column K.

Asian (Not Hispanic or Latino) - Include all employees who identify as Asian males in Column F and as Asian females in Column L.

Native American or Alaska Native (Not Hispanic or Latino) - Include all employees who identify as Native American or Alaska Native males in Column G and as Native American or Alaska Native females in Column M.

Two or More Races (Not Hispanic or Latino) - Report all male employees who identify with more than one of the above five races in Column H and all female employees who identify with more than one of the above five races in Column N.

5. DESCRIPTION OF JOB CATEGORIES

The major job categories are listed below, including a brief description of the skills and training required for occupations in that category and examples of the job titles that fit each category. The examples shown below are illustrative and not intended to be exhaustive of all job titles in a job category. These job categories are primarily based on the average skill level, knowledge, and responsibility involved in each occupation within the job category.

The Officials and Managers category as a whole is to be divided into the following two subcategories: Executive/Senior Level Officials and Managers, and First/Mid-Level Officials and Managers. These subcategories are intended to mirror the employers own well established hierarchy of management positions. Small employers who may not have two well-defined hierarchical steps of management should report their management employees in the appropriate categories.

1. **Executive/Senior Level Officials and Managers.** Individuals who plan, direct and formulate policies, set strategy and provide the overall direction of enterprises/organizations for the development and delivery of products or services, within the parameters approved by boards of directors or other governing bodies. Residing in the highest levels of organizations, these executives plan, direct or coordinate activities with the support of subordinate executives and staff managers. They include, in larger organizations, those individuals within two reporting levels of the CEO, whose responsibilities require frequent interaction with the CEO. Examples of these kinds of managers are: chief executive officers, chief operating officers, chief financial officers, line of business heads, presidents or executive vice presidents of functional areas or operating groups, chief information officers, chief human resources officers, chief marketing officers, chief legal officers, management directors and managing partners.
2. **First/Mid-Level Officials and Managers.** Individuals who serve as managers, other than those who serve as Executive/Senior Level Officials and Managers, including those who oversee and direct the delivery of products, services or functions at group, regional or divisional levels of organizations. These managers receive directions from the Executive/Senior Level management and typically lead major business units. They implement policies, programs and directives of executive/senior management through subordinate managers and within the parameters set by Executive/Senior Level management. Examples of these kinds of managers are: vice presidents and directors, group, regional or divisional controllers; treasurers; human resources, information systems, marketing, and operations managers. The First/Mid-Level Officials and Managers subcategory also includes those who report directly to middle managers. These individuals serve at functional, line of business segment or branch levels and are responsible for directing and executing the day-to-day operational objectives of enterprises/organizations, conveying the directions of higher level officials and managers to subordinate personnel and, in some instances, directly supervising the activities of exempt and non-exempt personnel. Examples of these kinds of managers are: first-line managers; team managers; unit managers; operations and production managers; branch managers; administrative services managers; purchasing and

transportation managers; storage and distribution managers; call center or customer service managers; technical support managers; and brand or product managers.

3. **Professionals.** Most jobs in this category require bachelor and graduate degrees, and/or professional certification. In some instances, comparable experience may establish a person's qualifications. Examples of these kinds of positions include: accountants and auditors; airplane pilots and flight engineers; architects; artists; chemists; computer programmers; designers; dietitians; editors; engineers; lawyers; librarians; mathematical scientists; natural scientists; registered nurses; physical scientists; physicians and surgeons; social scientists; teachers; and surveyors.
4. **Technicians.** Jobs in this category include activities that require applied scientific skills, usually obtained by post-secondary education of varying lengths, depending on the particular occupation, recognizing that in some instances additional training, certification, or comparable experience is required. Examples of these types of positions include: drafters; emergency medical technicians; chemical technicians; and broadcast and sound engineering technicians.
5. **Sales Workers.** These jobs include non-managerial activities that wholly and primarily involve direct sales. Examples of these types of positions include: advertising sales agents; insurance sales agents; real estate brokers and sales agents; wholesale sales representatives; securities, commodities, and financial services sales agents; telemarketers; demonstrators; retail salespersons; counter and rental clerks; and cashiers.
6. **Administrative Support Workers.** These jobs involve non-managerial tasks providing administrative and support assistance, primarily in office settings. Examples of these types of positions include: office and administrative support workers; bookkeeping; accounting and auditing clerks; cargo and freight agents; dispatchers; couriers; data entry keyers; computer operators; shipping, receiving and traffic clerks; word processors and typists; proofreaders; desktop publishers; and general office clerks.
7. **Craft Workers** (formerly Craft Workers (Skilled)). Most jobs in this category include higher skilled occupations in construction (building trades craft workers and their formal apprentices) and natural resource extraction workers. Examples of these types of positions include: boilermakers; brick and stone masons; carpenters; electricians; painters (both construction and maintenance); glaziers; pipelayers, plumbers, pipefitters and steamfitters; plasterers; roofers; elevator installers; earth drillers; derrick operators; oil and gas rotary drill operators; and blasters and explosive workers. This category also includes occupations related to the installation, maintenance and part replacement of equipment, machines and tools, such as: automotive mechanics; aircraft mechanics; and electric and electronic equipment repairers. This category also includes some production occupations that are distinguished by the high degree of skill and precision required to perform them, based on clearly defined task specifications, such as: millwrights; etchers and engravers; tool and die makers; and pattern makers.
8. **Operatives** (formerly Operatives (Semi-skilled)). Most jobs in this category include intermediate skilled occupations and include workers who operate machines or factory-related processing equipment. Most of these occupations do not usually require more than several

months of training. Examples include: textile machine workers; laundry and dry cleaning workers; photographic process workers; weaving machine operators; electrical and electronic equipment assemblers; semiconductor processors; testers, graders and sorters; bakers; and butchers and other meat, poultry and fish processing workers. This category also includes occupations of generally intermediate skill levels that are concerned with operating and controlling equipment to facilitate the movement of people or materials, such as: bridge and lock tenders; truck, bus or taxi drivers; industrial truck and tractor (forklift) operators; parking lot attendants; sailors; conveyor operators; and hand packers and packagers.

9. **Laborers and Helpers** (formerly Laborers (Unskilled)). Jobs in this category include workers with more limited skills who require only brief training to perform tasks that require little or no independent judgment. Examples include: production and construction worker helpers; vehicle and equipment cleaners; laborers; freight, stock and material movers; service station attendants; construction laborers; refuse and recyclable materials collectors; septic tank servicers; and sewer pipe cleaners.
10. **Service Workers**. Jobs in this category include food service, cleaning service, personal service, and protective service activities. Skill may be acquired through formal training, job-related training or direct experience. Examples of food service positions include: cooks; bartenders; and other food service workers. Examples of personal service positions include: medical assistants and other healthcare support positions; hairdressers; ushers; and transportation attendants. Examples of cleaning service positions include: cleaners; janitors; and porters. Examples of protective service positions include: transit and railroad police and fire fighters; guards; private detectives and investigators.

6. DESCRIPTION OF COMPENSATION-RELATED TERMINOLOGY

- a. **"Hours Worked"** means the annual sum of hours (1) a nonexempt employee worked within the meaning of the Fair Labor Standards Act (FLSA) during the EEO-1 reporting year; or (2) an exempt employee worked during the EEO-1 reporting year based on either (a) a proxy of 40 hours per week for a full-time exempt employee, and 20 hours per week for a part-time exempt employee, multiplied by the number of weeks the individual was employed during the EEO-1 reporting year; or (2) actual hours worked by an exempt employee if the employer already maintains accurate records of this information.
- b. **"Compensation"** or **"Pay"** means an employee's W2 earnings, specifically those reported in Box 1 of the W2 form-Wages, tips, other compensation. IRS directions for that entry are "Show the total taxable wages, tips, and other compensation that you paid to your employee during the year. However, do not include elective deferrals (such as employee contributions to a section 401(k) or 403(b) plan) except section 501(c)(18) contributions." Employers are expected to use payroll reports for the previous four quarters to generate the necessary data. Please refer to the IRS website for specific examples <https://www.irs.gov/pub/irs-pdf/iw2w3.pdf>.

- c. **“Compensation band” or “Pay band”** means a range of salaries with a minimum and maximum value into which employee pay data is organized. There are twelve pay bands shown in the table below.

Pay Band	Pay Band Label
1	\$19,239 and under.
2	\$19,240 - \$24,439
3	\$24,440 - \$30,679
4	\$30,680 - \$38,999
5	\$39,000 - \$49,919
6	\$49,920 - \$62,919
7	\$62,920 - \$80,079
8	\$80,080 - \$101,919
9	\$101,920 - \$128,959
10	\$128,960 - \$163,799
11	\$163,800 - \$207,999
12	\$208,000 and over.

7. LEGAL BASIS FOR REQUIREMENTS

SECTION 709(c), TITLE VII, CIVIL RIGHTS ACT OF 1964, AS AMENDED

Execution, retention, and preservation of records; reports to Commission; training program records; appropriate relief from regulation or order for undue hardship; procedure for exemption; judicial action to compel compliance.

Every employer, employment agency, and labor organization subject to this subchapter shall: (1) make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed, (2) preserve such records for such periods, and (3) make such reports therefrom as the Commission shall prescribe by regulation or order, after public hearing, as reasonable, necessary, or appropriate for the enforcement of this title or the regulations or orders thereunder. The Commission shall, by regulation, require each employer, labor organization, and joint labor-management committee subject to this subchapter which controls an apprenticeship or other training program to maintain such records as are reasonably necessary to carry out the purposes of this subchapter, including, but not limited to, a list of applicants who wish to participate in such program, including the chronological order in which applications were received, and to furnish to the Commission upon request, a detailed description of the manner in which persons are selected to participate in the apprenticeship or other training program. Any employer, employment agency, labor organization, or joint labor-management committee which

believes that the application to it of any regulation or order issued under this section would result in undue hardship may apply to the Commission for an exemption from the application of such regulation or order, and, if such application for an exemption is denied, bring a civil action in the United States District Court for the district where such records are kept. If the Commission or the court, as the case may be, finds that the application of the regulation or order to the employer, employment agency, or labor organization in question would impose an undue hardship, the Commission or the court, as the case may be, may grant appropriate relief. If any person required to comply with the provisions of this subsection fails or refuses to do so, the United States District Court for the district in which such person is found, resides, or transacts business, shall, upon application of the Commission, or the Attorney General in a case involving a government, governmental agency or political subdivision, have jurisdiction to issue to such person an order requiring him to comply.

TITLE 29, CHAPTER XIV CODE OF FEDERAL REGULATIONS

Subpart B -- Employer Information Report

§1602.7 Requirement for filing of report.

On or before March 31 of each year, every employer that is subject to Title VII of the Civil Rights Act of 1964, as amended, and that has 100 or more employees, shall file with the Commission or its delegate executed copies of Standard Form 100, as revised (otherwise known as "Employer Information Report EEO-1"), in conformity with the directions set forth in the form and accompanying instructions. Notwithstanding the provisions of §1602.14, every such employer shall retain at all times at each reporting unit, or at company or divisional headquarters, a copy of the most recent report filed for each such unit and shall make the same available if requested by an officer, agent, or employee of the Commission under the authority of section 710 of Title VII. Appropriate copies of Standard Form 100 in blank will be supplied to every employer known to the Commission to be subject to the reporting requirements, but it is the responsibility of all such employers to obtain necessary supplies of the form from the Commission or its delegate prior to the filing date.

§1602.8 Penalty for making of willfully false statements on report.

The making of willfully false statements on Report EEO-1 is a violation of the United States Code, Title 18, section 1001, and is punishable by fine or imprisonment as set forth therein.

§1602.9 Commissions remedy for employers failure to file report.

Any employer failing or refusing to file Report EEO-1 when required to do so may be compelled to file by order of a U.S. District Court, upon application of the Commission.

§1602.10 Employers exemption from reporting requirements.

If an employer claims that the preparation or filing of the report would create undue hardship, the employer may apply to the Commission for an exemption from the requirements set forth in this part, according to instruction 5. If an employer is engaged in activities for which the reporting unit criteria described in section 5 of the instructions is not readily adaptable, special reporting procedures may be required. If an employer seeks to change the date for filing its Standard Form 100 or seeks to change the period for which data are reported, an alternative reporting date or period may be permitted. In such instances, the employer should so advise the Commission by submitting to the Commission or its delegate a specific written proposal for an alternative reporting system prior to the date on which the report is due.

§1602.11 Additional reporting requirements.

The Commission reserves the right to require reports, other than that designated as the Employer Information Report EEO-1, about the employment practices of individual employers or groups of employers whenever, in its judgment, special or supplemental reports are necessary to accomplish the purposes of Title VII, the ADA, or GINA. Any system for the requirement of such reports will be established in accordance with the procedures referred to in section 709(c) of Title VII, section 107 of the ADA, or section 207(a) of GINA and as otherwise prescribed by law.

Subpart C--Recordkeeping by Employers

§1602.12 Records to be made or kept.

The Commission has not adopted any requirement, generally applicable to employers, that records be made or kept. It reserves the right to impose recordkeeping requirements upon individual employers or groups of employers subject to its jurisdiction whenever, in its judgment, such records (a) are necessary for the effective operation of the EEO-1 reporting system or of any special or supplemental reporting system as described above; or (b) are further required to accomplish the purposes of Title VII, the ADA, or GINA. Such record-keeping requirements will be adopted in accordance with the procedures referred to in section 709(c) of Title VII, section 107 of the ADA, or section 207(a) of GINA, and otherwise prescribed by law.

§1602.13 Records as to racial or ethnic identity of employees.

Employers may acquire the information necessary for completion of Section D of the EEO-1 either by visual surveys of the work force, or at their option, by the maintenance of post-employment records as to the identity of employees where the same is permitted by State law. In the latter case, however, the Commission recommends the maintenance of a permanent record as to the racial or ethnic identity of an individual for purpose of completing the report form only where the employer keeps such records separately from the employees basic personnel form or other records available to those responsible for personnel decisions, e.g., as part of an automatic data processing system in the payroll department.

§1602.14 Preservation of records made or kept.

Any personnel or employment record made or kept by an employer (including but not necessarily limited to requests for reasonable accommodation, application forms submitted by applicants and other records having to do with hiring, promotion, demotion, transfer, lay-off or termination, rates of pay or other terms of compensation, and selection for training or apprenticeship) shall be preserved by the employer for a period of one year from the date of the making of the record or the personnel action involved, whichever occurs later. In the case of involuntary termination of an employee, the personnel records of the individual terminated shall be kept for a period of one year from the date of termination. Where a charge of discrimination has been filed, or an action brought by the Commission or the Attorney General, against an employer under Title VII, the ADA, or GINA, the respondent employer shall preserve all personnel records relevant to the charge or action until final disposition of the charge or the action. The term "personnel records relevant to the charge," for example, would include personnel or employment records relating to the aggrieved person and to all other employees holding positions similar to that held or sought by the aggrieved person and application forms or test papers completed by an unsuccessful applicant and by all other candidates for the same position as that for which the aggrieved person applied and was rejected. The date of *final disposition of the charge or the action* means the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated.