

# Data Requirements

*Affirmative Action Plans*

*EEO-1/VETS-4212 Reporting*

**Prepared with**



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## Using this Data Requirements Guide

This *Data Requirements* guide is designed to help BALANCEaap users (and their colleagues) prepare applicant and employee data for import into the application as part of preparing an Affirmative Action plan (AAP).

For those who are also preparing Equal Employment Opportunity (EEO-1) and Veterans Employment Training Service (VETS-4212) reports, instructions are provided for including the necessary establishment information in the data set.

This guide will:

- Describe the file formats and types of tables that are required
- Describe optional data that may be included in the data set
- Explain how the date range for records correlates to plan effective date
- Display and describe sample tables
- Cover how certain data fields will be used for plan calculations and reporting

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### *Fall 2015 Regulatory Changes:*

#### **Compensation Fields on the Roster**

In accordance with the OFCCP Scheduling letter, individual-level compensation fields appear on the [Roster table](#); these fields are highlighted in yellow. Use the table as a reference for reviewing your HR information system for the 2016 plan year.

#### **AAP Data Collection for Individuals with Disabilities and Veterans**

In this guide, corresponding columns and fields for Individual with Disability (IWD) and protected Veteran status (True or Yes) are highlighted with blue shading.

To accommodate Veterans metrics, a protected Veteran status (True or Yes) column should be used on all [Data tables](#) where Veteran information appears. However, BALANCEaap will continue to accept [Veteran code](#), if a corresponding Reference table has been imported.

#### **VETS-4212**

The VETS-4212 form counts all protected Veterans. As stated above, BALANCEaap will count these Veterans, using a column for either status (recommended) or Veteran code.

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## Considerations for Preparing the Data Set

### Compatible File Formats


BALANCEaap will accept files in Excel, Access, or comma-/tab-delineated format. The data set may be compiled in one file (recommended), or separate files may be imported into the system.

### Data Set File Structure

When the data set is imported, BALANCEaap looks for two types of tables—**Data tables**, which form the bulk of the data set, and **Reference tables**, cataloguing how the data are coded and organized.

Although the length and format of certain data fields may be limited (e.g., ZIP code, date), most fields are alphanumeric and accept entries of up to 20 characters.

#### *Templates and Additional Resources*

Additional file structure details (including field descriptions and character limits) and Excel workbook templates can be found in **BALANCEaap**  **Help** under: *Help for the AAP Data Import*.

**Privacy Requirements**—Do not include personally identifiable information for employees, such as Social Security numbers and home addresses.

### Six-month Update Plan Data

For an update plan that is prepared to measure progress during the plan year, the Reference tables will transfer from the annual plan, but new Data tables, reflecting the update period, are required.

### Master Plans for Employers with Multiple Locations

If your organization has several locations, your AAP may be comprised of a Master plan and multiple sub-plans. Plan codes are required to identify these plan locations, or establishments.

### Optional Data

Optional data may be included to:

- Enhance or expand reporting results. *Examples:*
  - Salary or grade fields
  - Requisition-number field to reconcile hired applicants with new hires
  - Promotion and termination pool codes for Adverse Impact reporting
- Aid in plan calculations. *Examples:*
  - ZIP code, for use in building recruitment areas to support External Availability calculations
  - Requisition number to support disability and Veteran data collection
- Filter data for organization-specific reports, such as drilldowns or rollups (described below).

### **Drilldown and Rollup Reporting**

With *BALANCEaap*, employers may run more granular analyses on data within a plan, and employers with multiple plans may run aggregate analyses across plans.

*Drilldowns*—To run optional reports that “drill down” into plan data, using non-standard variables, a Reference table must be provided for each drilldown, defining the variable. Include the Drilldown column and corresponding data entries on all Data tables.

*Rollups*—To run optional reports that “roll up” above plan level or extend across plans, a separate Reference table is not required. However, the Data tables should include a column and corresponding data entries that can be used to create the rollup.

### **EEO-1/VETS-4212 Reports**

The AAP data set can be used to complete EEO-1 and VETS-4212 forms, with the following considerations:

- Consider how to best meet the requirements for roster “snapshot” dates: For example, a plan date may be established to coincide with EEO-1 requirements; or a separate AAP may be created to produce the EEO-1 report.
- The AAP Roster will provide race, gender, protected Veteran status, and employee counts.
- Minimum/maximum numbers of employees are calculated from employee hire dates and termination data.
- Protected Veteran status must be included in the New Hire data table.
- Supplemental establishment information may be provided in the data set or entered in *BALANCEaap* later.

*See BALANCEaap’s inline documentation for information on tools you can use to enter establishment information.*

## 1. Reference Tables

Codes are used in a data set to represent bits of information and tie that information together. BALANCE<sup>aap</sup> relies on the Reference tables to identify and organize those codes. Although not required by the system, the Reference table’s second column (from the left) typically describes what each code represents.

All codes used in the Data tables must be included in the Reference tables. For organizations with multiple plans, the master set of Reference tables must encompass all codes used in the associated sub-plans. To see where a code is used, please review the sample Data tables in this guide thoroughly.

### Sample Reference Tables

*Note:* Disability and protected Veteran status do not require Reference tables.

#### Gender Code (Table not required)

#### Race Code (Table optional)

On import, the gender and race codes entered in the Data tables can be matched with those used by the system.

The system’s race categories are:

American Indian/Native Alaskan	Pacific Islander/Native Hawaiian
Asian	White
Black/African-American	Two or More
Hispanic/Latino	

#### Plan Code (Master Plan)

For a Master plan, the Plan Code table is required; and plan code is a required field. By providing a ZIP code for each plan code, you can use them to build recruitment areas and perform required External Availability analyses. The ZIP code is also required for full operation of the dashboard in BALANCE<sup>hub</sup>’s report distribution system.

As long as each location is covered by its own plan code, the plan code may be mapped in BALANCE<sup>aap</sup> to the establishment code for EEO/VETS reporting.

Plan Code	Company	Establishment	City	State	Zip Code
CMD	Acme	Columbia	Columbia	MD	21045
ARL	Acme	Arlington	Arlington	VA	22240
NY	Acme	New York	New York	NY	10017

### Job Group

As the basic unit of analysis for Affirmative Action planning, a job group comprises a set of jobs within the same EEO category that have a similar level, opportunity, or content. Some organizations may use the EEO category for both job group and EEO category.

Job Group	EEO Category	Group Name
1A	1.1	Executives / Senior Management
1B	1.2	First / Mid-level Management
2A	2	Professionals
5A	5	Senior Level Office & Clerical
5B	5	Entry Level Office & Clerical

### Job Code

Job codes identify the job titles within the organization. A job code must be unique for each job title and belong to only one job group (and one salary grade, if applicable). Include 2006-2010 census occupation codes for use in determining External Availability (or the system can assign them for you later).

Job Code	Job Group	Job Title	Grade	Census Code	Job Family
ACC I	2A	Accountant I	B	0800	Accounting & Finance
ACC II	2A	Accountant II	C	0800	Accounting & Finance
SECY	5A	Secretary	A	5400	Administration
HRMGR	1C	Human Resource Mgr	C	0136	Administration

### Department Code

Department codes identify the various departments within an organization and are necessary for completion of the organizational profile. If you chose the Organizational Display as the organizational profile for the AAP, include entries for Reports to.

Department Code	Department Name	Reports to (Department Code)
ACCT	Accounting	EXE
MKTG	Marketing	EXE
EXE	Executive	

### Applicant Disposition Code

Disposition Code	Reason
1	Hired
2	Declined position
3	Does not meet qualifications
4	Withdrew application
5	Internal successful

**Termination Code**

Termination Code	Reason	Voluntary
CAU	Terminated for cause	No
DEC	Deceased	Yes
LAY	Lay-off	No
RES	Resigned	Yes

**AAP Supplemental Tables**

*Veteran Code (Legacy)*

Veteran codes may be captured on the Roster and New Hires Data tables.

Veteran Code	Type of Veteran
DV	Disabled Veteran
AFSM	Armed Forces Service Medal Veteran
ADV	Active Duty Wartime or Campaign Badge Veteran
RSV	Recently Separated Veteran (3 years)

*Grade Code*

If salary grades are established within your organization, they should be included, as well as the salary midpoint. For those who choose the Workforce Analysis as the AAP's organizational profile, grade and salary midpoint are helpful for sorting job titles.

Grade	Salary Midpoint
A	25,000
B	43,000
C	57,000

*Promotion Code*

Type of promotion may be helpful during an OFCCP audit.

Promotion Code	Reason
CP	Competitive
NP	Natural Progression

*Transfer Code*

Transfer Code	Reason
LAT	Lateral Transfer
FAC	Facility Transfer



## 2. Data Tables

Data tables are comprised of the Roster and accompanying tables for personnel actions.

### Date Parameters for Pulling Employee Records

Type of record or plan	Date or range of records	Plan date example	Record pull example
Roster	Plan date	January 1, 2014	January 1, 2014
Personnel action data	Year preceding the plan date	January 1, 2014	January 1, 2013 to December 31, 2013
Applicants	Requisitions that closed in the year preceding the plan date*	January 1, 2014	January 1, 2013 to December 31, 2013
6-month update plan	6-month period between annual plan and update plan dates	July 1, 2014	January 1, 2014 to June 30, 2014

*\*If your applicants are not tracked by requisition number, using individual application dates will suffice.*

### Race and Gender Data Entry Requirements

All records on the Roster and personnel action Data tables should have race and gender; these fields should not be left blank or entered as “unknown.”

On the Applicants table, include race and gender for those applicants who have voluntarily self-identified. If an applicant declined to fill out a Self-identification form, race and gender should be left blank.

### IWD and Protected Veterans Data Entry Requirements

Data on disability and protected Veteran status will be collected from applicants who voluntarily choose to self-identify. However, because disability status may change for employees over time, the Roster will reflect further employee data collection at regular intervals.

An entry of “Yes” or “True” will indicate an employee belongs to the class. A blank cell should indicate that the person is either not a member of these two classes or chose not to self-identify.

*Sample Data Tables*

*Notes:* For a complete list of available fields and their parameters, please refer to **BALANCEaap Help**, at: *File Structure Details*.  
Plan code, highlighted in aqua, is only required for a Master plan.

**Roster**

<b>Emp. ID</b>	Last Name	First Name	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Job Code</b>	<b>Dept. Code</b>	Veteran Code or Status	Disability Status	Hire Date	Work Location	Home Zip Code	Work Zip Code	Annual (ized) Salary	Wage Rate	Hours/Week	Other Comp.	Status
92598	Watts	Peter	W	M	CMD	ACC I	ACCT	AFSM or True		01/23/08	Columbia	21210	21045	\$54,995	\$26.43	40	0	FT
03645	Price	Janet	B	F	ARL	SECY	MKTG		True	10/06/09	DC	20011	22240	\$28,745	\$26.92	20	\$745	PT
09685	Amick	Kathy	A	F	CMD	ENG	RD			11/24/10	New York	21211	21045	\$75,982	\$36.53	40	0	FT

By providing a comprehensive Roster, you can make the most efficient use of BALANCEaap’s features and produce the most accurate plan results.

Annualized salary (decimal number) is used to run compensation analyses. For data sets without grades, annualized salary will be helpful for sequencing the Workforce Analysis report, if this report is chosen as the organizational profile. ZIP code information is useful for generating recruitment areas, which are used for calculating the External Availability of qualified candidates for jobs at your organization. If the Organizational Display report has been chosen for the organizational profile, optional fields for supervisor (yes/no) and supervisor’s employee ID are helpful.

“Other Comp.”(decimal number) captures additional compensation, such as bonuses, incentives, commissions, merit increases, locality pay, or overtime earnings. “Status,” a text field, includes codes for such descriptions as full-time, part-time, contract, temporary, seasonal, or per diem.

The Roster fields for race, gender, job group, and plan/establishment code are also required for EEO-1 reporting, and the column for Veteran status supports VETS reporting.

**For Master Plans:** Work location is useful for determining employees who are Annotation Only, Reports In, or Reports Out when preparing the AAPs.

### Applicant

<b>Job Code</b>	Applicant ID*	Last Name*	First Name*	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Applicant Disposition Code</b>	Veteran Status	Disability Status	Date Applied	Hire Date	Requisition # (Number)	Source
ACC I	A87546	Jefferson	William	W	M	NYC	1	True		05/25/13	06/01/13	1525	HireVets
SECY	A14859	Archer	Samantha	B	F	NYC	3			03/17/13		2897	BMBAA
ENG	A05897	Lee	Yan	A	M	CMD	1		True	11/15/12	12/15/12	3332	Co. Website
ENG	A56846	Hollandale	Rachel		F	ARL	2			11/18/12		4578	SWE

\*Either Applicant ID and last/first name must be supplied for the system to distinguish between applicant records.

If the Requisition # column is populated, the system can calculate the number of openings, a statistic that is required for disability and Veteran status data collection. Later in the process, Requisition # also provides a common identifier for reconciling the Applicant table with the New Hire table to ensure clean data.

The Applicant Disposition Code, designating each “hired” applicant, supports the disability and Veteran analyses. In addition, the Disposition column forms the basis for tallying the applicant pool when Adverse Impact reports are run for monitoring purposes. Refer to sample Disposition codes [here](#).

If available, please include hire date (if hired), application date, and referral source. Applicant home ZIP code is useful as an option for generating the recruitment areas for the External Availability calculation.

### New Hire

<b>Employee ID</b>	Last Name	First Name	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Job Code</b>	Veteran Code or Status	Disability Status	Department Code	Hire Date	Requisition #
15859	Smith	Brian	W	M	CMD	ACC I			ACCT	05/04/13	1124
42557	Henson	Sandy	B	F	CMD	SECY		True	MKTG	02/24/13	1358
26545	Hernandez	Maria	H	F	NY	ENG	ADV or True		RD	05/09/13	2247

Hire date is required by the system if information is to be included in file consistency checks. The hire date is also used to determine the minimum/maximum number of employees for VETS reporting.

**Promotion**

<b>Employee ID</b>	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Old Job Code</b>	<b>New Job Code</b>	Last Name	First Name	Promotion Date	Promotion ID
58295	W	F	CMD	HRREP	HRM	Jones	Kelly	01/16/13	HRMPOOL
01382	B	M	ARL	MKGREP	MKGSPE	Archer	Paul	03/20/13	MKGPOOL
08325	H	M	NY	ENG IV	ENG V	Solis	John	08/03/13	ENGPOOL

Promotion date is required by the system if information is to be included when the system runs file consistency checks. Promotions data are useful in determining the Internal Availability of personnel for jobs within your organization. The Promotion table may be augmented with an optional promotion ID column, so Adverse Impact reporting can be run by pool for monitoring; see “Promotion Pool” below.

**Termination**

<b>Employee ID</b>	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Job Code</b>	<b>Term Code</b>	Last Name	First Name	Termination Date	Termination ID
45232	W	M	CMD	HRREP	CAU	Hess	Steven	08/01/13	
03556	B	F	ARL	SECY	DEC	Brooks	Nancy	04/14/13	
05645	A	F	ARL	ENG	LAY	Smith	Chan	02/22/13	LAY1POOL

Termination date is required by the system if information is to be included when running file consistency checks. Termination date is also used to calculate the minimum/maximum number of employees for VETS reports. The Termination table may be augmented with an optional Termination ID, so Adverse Impact reporting can be run by pool; see “Termination Pool” below.

**Transfer**

<b>Employee ID</b>	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Old Job Code</b>	<b>New Job Code</b>	Last Name	First Name	Transfer Date
12456	W	M	CMD	CLK	SECY	Bell	Peter	03/04/13
09867	B	F	CMD	ENG	ENG	Bailey	Janet	07/01/13
78556	W	M	NYC	PROG	SYSAD	Arnick	James	08/24/13

**Pools (Adverse Impact)***Promotion Pool*

<b>Employee ID</b>	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Old Job Code</b>	<b>New Job Code</b>	Last Name	First Name	<b>Promotion ID</b>
58295	W	F	CMD	HRREP	HRM	Jones	Kelly	HRMPOOL
43221	B	M	CMD	HRADM	HRREP	Smith	James	HRREPOOL
10326	H	F	CMD	HRADM	HRREP	Worth	Donna	HRREPOOL

*Termination Pool*

<b>Employee ID</b>	<b>Race</b>	<b>Gender</b>	<b>Plan Code</b>	<b>Job Code</b>	Last Name	First Name	<b>Termination ID</b>
10566	W	M	ARL	ENG	Sellers	Lloyd	LAY1POOL
32987	B	F	ARL	ENG	Barker	Stella	LAY2POOL
05645	A	F	ARL	ENG	Smith	Chan	LAY1POOL

### 3. EEO/VETS Reporting—Establishment Data for Multiple Locations

While demographic data can be pulled directly from the AAP data set, the following supplemental information should be provided for each employer establishment:

- DUNS number
- NAICS code (North American Industry Classification System)
- FEIN/Tax ID (Federal Employer Identification Number)

This information may be included in the data set or provided separately for import/entry into the system.

Multi-establishment employers should:

- Ensure that all locations are identified by code (In many cases, AAP plan codes can be used for establishment codes.)
- Determine how to indicate and report statistics for locations with less than 50 employees

#### Sample Data Tables

##### Establishment Information (EEO-1 Report)

Each location <50 employees should have a unique establishment code.

Unit Code (from Agency, repeat filer)	Establishment Code	Unit Name	Unit Address	Unit Address 2	State	Zip Code	County	EEO Report Type	FEIN/ Tax ID	DUNS	NAICS	Filed Last Year?
T000000	CMD	Acme	12 Porter Street		MD	21045	Howard	3	11-1111111	888888888	541512	True
T000000	ARL	Acme	10 Duke Street		VA	22240	Arlington	4	11-1111111	888888888	541512	True
T000000	NY	Acme	7 Fifth Avenue	Suite 200	NY	10017	New York	8	11-1111111	888888888	541512	True

##### Establishment Information (Vets-4212 Report)

It is recommended that locations <50 employees be rolled up by state into MSCs, and a column may be added for the number.

Company No. (from Agency, repeat filer)	Establishment Code	Unit Name	Unit Address	Unit Address 2	State	Zip Code	County	Type of establishment	FEIN/ Tax ID	DUNS	NAICS
<i>Enter number into software screen</i>	CMD	Acme	12 Porter Street		MD	21045	Howard	HQ	11-1111111	888888888	541512
	VA	Acme	10 Duke Street		VA	22240	Arlington	MSC	11-1111111	888888888	541512
	NY	Acme	7 Fifth Avenue	Suite 200	NY	10017	New York	HL	11-1111111	888888888	541512

HQ = Headquarters; HL = Hiring Location; MSC = Multiple-establishment State Consolidated

Locations reporting for the first year will not have have Unit Code or Company No., respectively.