



University of California

**Changes to Race and Ethnicity Categories
For IPEDS Compliance
August 2010**

Hello and welcome to this webinar.

My name is Katya Rivas and today I will be discussing the implementation of changes to the race and ethnicity categories that the University of California collects and reports to the Integrated Postsecondary Education System, known as IPEDS. The implementation of these changes will go into effect on August 1, 2010.

Why We Are Making the Changes

- The University of California is required to provide data regarding race and ethnicity of its employees to the US Department of Education (DE) through the Integrated Post Secondary Education Data System (IPEDS) on a regular basis, in a specified format using specified codes.
- In October 2007, the DE provided final guidance on how postsecondary educational institutions would collect and maintain race and ethnicity data on students and employees, and how the data would be aggregated for reporting to IPEDS. The standards for the classification of race and ethnicity data are the same as those issued by the Office of Management and Budget (OMB) in 1997.
- Institutions must be in compliance with the new race and ethnicity data collection and reporting requirements by the fall of 2010.

The University of California is required to provide **data** regarding the race and ethnicity of its employees to the US Department of Education (DE) through the Integrated Post Secondary Education Data System (IPEDS) on a regular basis, in a specified format and using specified codes.

In October 2007, the DE provided final guidance on how postsecondary educational institutions would collect and maintain race and ethnicity data on students and employees, and how the data would be aggregated for reporting to IPEDS. The standards for the classification of race and ethnicity data are the same as those issued by the Office of Management and Budget (OMB) in 1997.

Institutions must be in compliance with the new race and ethnicity data collection and reporting requirements by the fall of 2010.

What Are the Major Changes

- The Department of Education requires educational institutions to use a two-part question. The first question is whether the respondent is Hispanic or Latino. The second question asks the respondent to select one or more races with which he or she identifies. Currently, the University collects information using a one-part question and does not give individuals the opportunity to identify with more than one race.
- ED's final guidance requires separating the category "Asian or Pacific Islander" into two separate categories, one for "Asian" and one for "Native Hawaiian or Other Pacific Islander" and broadens the definition for "Native American and Alaska Native" to include original peoples of North and South America (including Central America).
- **The University will implement the new standards for the collection and reporting of race and ethnicity data beginning August 2010.**

The Department of Education requires educational institutions to use a two-part question format. The first question is to identify whether the respondent is Hispanic or Latino. The second question asks the respondent to select one or more races with which he or she identifies. Currently, the University collects information using a one-part question format and does not give individuals the opportunity to identify with more than one race.

DE's final guidelines also require separating the category "Asian or Pacific Islander" into two separate categories, one for "Asian" and one for "Native Hawaiian or Other Pacific Islander" and broadens the definition for "Native American and Alaska Native" to include original peoples of North and South America (including Central America).

The University will implement the new standards for the collection and reporting of race and ethnicity data beginning August 2010.

IPEDS Requirements

Collection Requirements

For collection purposes, the new standards require the use of a two-question format. The first question must ask if the respondent is Hispanic or Latino, and the second question must ask the respondent to select one or more races. The race categories to be used are:

- (1) American Indian or Alaska Native;
- (2) Asian;
- (3) Black or African American;
- (4) Native Hawaiian or Other Pacific Islander;
- (5) White.

Reporting Requirements

The new standards require that race and ethnicity data are reported to IPEDS according to the following seven ethnicity and race categories:

- (1) Hispanic or Latino (of any race);
- (2) American Indian or Alaska Native;
- (3) Asian;
- (4) Black or African American;
- (5) Native Hawaiian or Other Pacific Islander;
- (6) White;
- (7) Two or more races.

The guidance issued by the department of education covers two separate issues, the collection of race and ethnicity data by institution and the reporting of aggregate data to Department of Education. The new categories are not a one to one corresponding between collection and reporting, which is why these two issues are separated.

For the collection of the data, the two question format is required by the final guidance. The first question is, is the respondent Hispanic or Latino? That's a yes no question. The second question, after the first question is answered (either with a yes answer or a no answer) requires that the respondent selects one or more races from the following five categories:

- (1) American Indian or Alaska Native;
- (2) Asian;
- (3) Black or African American;
- (4) Native Hawaiian or Other Pacific Islander;
- (5) White

The final standards call for the voluntary self identification of race and ethnicity information.

For reporting purposes there are seven race and ethnicity categories.

- (1) Hispanic or Latino (of any race);
- (2) American Indian or Alaska Native;
- (3) Asian;
- (4) Black or African American;
- (5) Native Hawaiian or Other Pacific Islander;
- (6) White;
- (7) Two or more races.

For persons who indicate in the first part of the two part question that they are Hispanic or Latino no additional race information will be reported. For non-Hispanics, racial identity is reported according to the race category selected. For those non-Hispanic individuals who elect more than one race category they are reported under the two or more races category.

Ethnicity and Race Definitions

Ethnicity

- Ethnicity: social groups with a shared history, sense of identity, geography and cultural roots which may occur despite racial difference.
- New Ethnic Categories:
 - Hispanic or Latino
 - Non-Hispanic or Latino

Race

- Race is defined as a human population considered distinct based on physical characteristics.
- New race categories:
 - American Indian or Alaska Native
 - Asian
 - Black or African American
 - Native Hawaiian or Other Pacific Islander
 - White

The guidelines issued by the department of Education provide specific definitions for the terms ethnicity and race. According to the U.S. Department of Education, ethnicity is a term which represents social groups with a shared history, sense of identity, geography and cultural roots which may occur despite racial difference. As a result, individuals can identify their ethnicity as either of Hispanic or Latino origin or Non-Hispanic or Latino origin.

The department of education defines Race as a human population considered distinct based on physical characteristics. As a result, individuals can identify their race based on the following five racial categories:

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White

UC Implementation Schedule

- Revisions to collection form U5605-June 2010
- Systems Modifications -July 2010
 - Payroll Personnel Systems (PPS)
 - Employee Data Base (EDB)
 - Corporate Personnel System (CPS)
 - Corporate Data Warehouse (CDW)
 - Web New Hire
- Collection of data for new hires-August 2010
- Data extract for IPEDS reporting-November 2010
- HR survey due to IPEDS-December 2010

In order to prepare for the August 2010 implementation of the new race and ethnicity standards the following steps were taken:

The revisions required to the Demographic data transmittal form used to collect race and ethnicity data for new hires were completed in June 2010.

The corresponding systems modifications, to allow for the collection and reporting of race and ethnicity data based on the new standards were completed and distributed via payroll release in early July 2010. Programming changes were rolled out by IR&C to modify the

- Payroll Personnel Systems (PPS)
- Employee Data Base (EDB)
- Corporate Personnel System (CPS)
- Corporate Data Warehouse (CDW)
- Web New Hire

These changes will allow the University to collect race and ethnicity data for new hires based on the new standards effective August 2010.

The Human Resources survey capturing race and ethnicity data for staff will be reported to IPEDS using the new standards and will use data available as of November 2010.

The IPEDS data submission window for the HR survey opens in early December 2010 and closes mid January 2011. No extension to this submission period will be granted.

UC Changes

Demographic Data Form (U5605) modifications

- The form was divided into three separate sections identified by numbers.
- Section 1 collects the race and ethnicity information:
 - Section 1A collects the information as required by IPEDS and allows for multiple race and ethnicity selections.
 - Section 1B preserves the collection of the information for the OFCCP Affirmative Action program and reporting and allows for a single race and ethnicity selection;
- Section 2 collects disability information; and
- Section 3 collects responses for individuals who wish to self-identify their veteran status.

Systems Modifications

- New elements were added to the Payroll Personnel System (PPS), Employee Data Base (EDB) and to associated PPS screens, online help, and documentation.
- Corresponding new elements were incorporated into the Corporate Personnel System (CPS) and the CPS interface.
- One new code was added to the existing Ethnic ID element.
- Queries or reports used to aggregate data for submission to IPEDS were modified.

In order to comply with the new requirements, the Demographic Data Transmittal form U5605 and the Payroll Personnel System (PPS) have been modified.

The form was divided into three separate sections identified by numbers.

Section 1 collects the race and ethnicity information. This section is broken down into two subsections: Section 1A collects the information as required by IPEDS and allows for multiple race and ethnicity selections. Section 1B preserves the collection of the information for Affirmative Action program reporting and allows for a single race and ethnicity selection. Section 2 collects disability information, and Section 3 collects responses for individuals who wish to self-identify their veteran status.

Release of the Payroll Personnel System (PPS) modifications included the addition of new elements to the Payroll Personnel System (PPS), Employee Data Base (EDB) and to associated PPS screens, online help, and documentation. Corresponding new elements were incorporated into the Corporate Personnel System (CPS) and the CPS interface. Additionally, One new code was added to the existing Ethnic ID element. Queries or reports used to aggregate data for submission to IPEDS were modified.

The scope of the modifications is limited to those activities that directly support meeting the IPEDS reporting obligations.

New employees hired in August 2010 should complete the revised form U5605 in order to collect the race and ethnicity data in a manner which allows the University to meet the new requirements, and maintain the current reporting demands for campus affirmative action programs.

Data Collection and Record Keeping

Demographic Data Form U5605

I. ETHNICITY AND RACE

Please complete Sections 1A and 1B below. The information must be collected in both sections in order for the University to comply with U.S. Department of Education requirements for the collection and reporting of ethnicity and race data as well as Affirmative Action program reporting requirements. The University of California will not be able to accurately report your information if both sections are not completed.

1. Are you of Hispanic, Latino or Other Spanish origin? YES NO

In addition, please select one or more of the racial categories that are applicable to you.

American Indian or Alaska Native Asian Black/African American Native Hawaiian or Other Pacific Islander White

New race and ethnicity indicators were added to the EPD 1 screen in PPS to collect responses in Section 1A of the form in a manner required by IPEDS

Multiple race and ethnicity selections can be made on the form and PPS will accept the multiple selections

PPS-Employee Personal Data 1 Screen (EPD1)

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PPEPD10-ERRRR      EDB Entry/Update      HIRE 06/17/10 12:50:42
Employee Personal Data 1      Userid: RBPKE5
ID: 101010101 Name: LIGHT, GREEN      Emp Stat:      Pri Pay:

Date of Birth: 070154
Sex:
Hispanic:
American Indian or Alaska Native: Asian: Black/African American:
Native Hawaiian or Other Pacific Islander: White:
Primary Ethnic/Race:
Disabled Status:

Veteran Status Codes - Vietnam: War/Campaign: Disability: Serv Medal:
Recently Separated Veteran Date:
Citizenship:
Student Status: No. of Reg. Units:

Next Func: ID: Name: SSN:

+++
F: 1=Help 2=Cancel 4=Print 5=Update
F: 8=Jump 10=PrevFunc 11=NextFunc
08/017
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New employees hired in August 2010 will be required to complete the revised U5605 (R6/10) "Demographic Data Transmittal" form on which they are asked to self-identify their ethnicity and race by completing Sections 1A and 1B of the form. For Section 1A it is necessary to record all checkboxes as required by IPEDS. The two-part question in section 1A complies with the requirements for the collection of race and ethnicity data established by the Department of Education.

Data entry in PPS does not restrict the combination of responses that can be recorded even if it suggests that instructions on the Demographic Data Transmittal Form were not followed or the combination is self-contradictory.

Data Collection and Record Keeping

Demographic Data Form (U5605)

1. ETHNICITY AND RACE

Please complete Sections 1A and 1B below. The information must be collected in both sections in order for the University to comply with U.S. Department of Education requirements for the collection and reporting of ethnicity and race data as well as Affirmative Action program reporting requirements. The University of California will not be able to accurately report your information if both sections are not completed.

A. Are you of Hispanic, Latino or Other Spanish origin? YES NO

In addition, please select one or more of the racial categories that are applicable to you.

American Indian or Alaska Native Asian Black/African American Native Hawaiian or Other Pacific Islander White

B. For Affirmative Action program reporting, the University of California is required to provide only ONE racial/ethnicity description for its employees. Please place an "X" in the box that best identifies the single option from Section 1B that you want us to report for you.

American Indian or Alaska Native (C) - A person having origins in any of the original peoples of North and South America (excluding Central America) who maintains cultural identification through race affiliation or community attachment.

Asian (D) - A person having origins in any of the original peoples of China.

Chinese/Chinese American (E) - A person having origins in any of the original peoples of the Philippine Islands.

Filipino/Filipino (F) - A person having origins in any of the original peoples of Japan.

Japanese/Japanese American (G) - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Native Hawaiian or Other Pacific Islander (H) - A person having origins in any of the original peoples of the Indian subcontinent (e.g., India and Pakistan).

Pakistani/East Indian (I) - A person having origins in any of the original peoples of the Far East or South East Asia (including Cambodia, Korea, Malaysia, Thailand, and Vietnam).

Other Asian (J) - A person having origins in any of the Black racial groups of Africa.

Black/African American (not of Hispanic origin) (K) - A person of Mexican culture or origin regardless of race.

Mexican/Mexican American/Chicano (L) - A person of Latin American (e.g. Central American, South American, Cuban, Puerto Rican) culture or origin regardless of race.

Latin American/Latino (M) - A person of Spanish culture or origin, not included in any of the Hispanic categories listed above.

Other Spanish/Spanish American (N) - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

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

The Primary Ethnicity/Race Field records responses entered in Section 1B of the form. This field can only record a single response.

EPD1 Screen

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PPEP10-ERRRR      EDB Entry/Update      HIRE 06/17/10 12:50:42
Employee Personal Data 1      Userid:  RBPBS
ID: 101010101 Name: LIGHT, GREEN      Emp Stat:      Pri Pay:

Date of Birth: @T0154
Sex:
Hispanic:
American Indian or Alaska Native: Asian: Black/African American:
Native Hawaiian or Other Pacific Islander: White:
Primary Ethnic/Race:
Disability-Status:

Veteran Status Codes - Vietnam: War/Campaign: Disability: Serv Medal:
Recently Separated Veteran Date:
Citizenship:
Student Status: No. of Reg. Units:

Next Func: ID: Name: SSN:

***
F: 1-Help 2-Cancel 4-Print 5-Update
F: 8-Jump 10-PrevFunc 11-NextFunc
06/017
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New employees hired in August 2010 complete the revised U5605 (R6/10) "Demographic Data Transmittal" on which they are asked to self-identify their ethnicity and race by completing Sections 1A and 1B of the form.

For Section 1B, it is necessary to record only one checkbox (single selection), for Affirmative Action Program reporting. Checking multiple selections in Section 1B checkboxes invalidates the section.

Data entry in PPS does not restrict the combination of responses that can be recorded even if it suggests that instructions on the Demographic Data Transmittal Form were not followed or the combination is self-contradictory.

Data Entry General Scenarios

When more than one race has been marked in Section 1A of the form and the new employee is not of Hispanic, Latino or Other Spanish origin all individual responses should be captured in the payroll system.

Selections From U5605

1. ETHNICITY AND RACE
Section 2 and/or Section 3 of this form as applicable to you.

Please complete Sections 1A and 1B below. The information must be collected in both sections in order for the University to comply with U.S. Department of Education requirements for the submission and reporting of activity and race data as well as Affirmative Action program reporting requirements. The University of California will not be able to accurately report your information if both sections are not completed.

A. Are you of Hispanic, Latino or Other Spanish origin? YES NO
In addition, please select one or more of the racial categories that apply to you.

American Indian or Alaska Native Asian Black/African American Chinese/Hawaiian or Other Pacific Islander White

B. For Affirmative Action program reporting, the University of California requires respondents to select one or more race/ethnicity descriptions for employees. Please place an "X" in the box that best identifies the single option from Section 1B that you most closely identify with.

American Indian or Alaska Native (C) - A person having origins in any of the original peoples of North and South America (including Central America) who maintains a tribal identification through blood affiliation or community attachment.

Asian

Chinese/Chinese American (D) - A person having origins in any of the original peoples of China.

Filipino/ Filipino American (E) - A person having origins in any of the original peoples of the Philippine Islands.

Japanese/Japanese American (F) - A person having origins in any of the original peoples of Japan.

Korean/Korean American (G) - A person having origins in any of the original peoples of Korea.

Native Hawaiian or Other Pacific Islander (H) - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

Pakistani/East Indian (I) - A person having origins in any of the original peoples of the Indian subcontinent (e.g., India and Bangladesh).

Other Asian (J) - A person having origins in any of the original peoples of the Far East or South East Asia (including Cambodia, Korea, Malaysia, Thailand, and Vietnam).

Black/African American (K) - A person having origins in any of the Black racial groups of Africa.

Hispanic/Latino/Other Spanish Origin

Mexican/Mexican American/Chicano (L) - A person of Mexican culture or origin regardless of race.

Latin American/Latino (M) - A person of Latin American (e.g., Central American, South American, Cuban, Puerto Rican) culture or origin regardless of race.

Other Spanish/Spanish American (N) - A person of Spanish culture or origin, not included in any of the Hispanic categories listed above.

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

3. DISABILITY STATUS

PPS Data Entry

PREPID-ERRRR EDB Entry/Update 07/07/10 11:25:41
07/07/10 11:25:12 Employee Personal Data Userid: RDPKBS
ID: 33332078 Name: ANNA, POLLY Exp Stat: A Pri Pay: NO

Date of Birth: 01/01/88
Sex: _____
Hispanic:
American Indian or Alaska Native: Black/African American:
Native Hawaiian or Other Pacific Islander: White:
Primary Ethnic/Race: A
Disabled Status: _____

Veteran Status Codes - Vietnam: Mer/Campaign: Disability: Serv Medal:
Recently Separated Veteran Date: _____
Citizenship: C
Student Status: No. of Reg. Units: _____

Next Func: ID: _____ Name: _____ SSN: _____

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F: i-help 3-Frm Menu 4-Print 9-Update
F: 9-Jump 12-Exit
10/054

When more than one race has been marked in Section 1A of the form and the new employee is not of Hispanic, Latino or Other Spanish origin, all individual responses should be captured in the payroll system.

For example, the individual who completed the sample form to the left of the screen indicated that he or she was not of Hispanic, Latino or Other Spanish origin, but he or she chose the Black/African American and white racial categories.

When asked to identify a single race and ethnicity category, this person chose to be identified as Black/African American when he or she entered a response in section 1B of the form.

The sample PPS screen to the right, shows how all these responses should be captured in the payroll system.

Data Entry General Scenarios

When a single response has been marked in Section 1A of the form (such as Hispanics-Y) and Section 1B is left blank, the system will automatically derive code "O" for Hispanic (derived from Section 1A of U5605) to auto-populate the Primary Ethnic/Race field.

Selections From U5605

Section 2 and/or Section 3 of this form as applicable to you.

1. ETHNICITY AND RACE

Please complete Sections 1A and 1B below. The information must be collected in both sections in order for the University to comply with U.S. Department of Education requirements for the collection and reporting of ethnicity and race data as well as Affirmative Action program reporting requirements. The University of California will not be able to accurately report your information if both sections are not completed.

A. Are you of Hispanic, Latino or Other Spanish origin? YES NO

In addition, please select one or more of the racial categories that best describe you.

American Indian or Alaska Native Asian Black/African American Native Hawaiian or Other Pacific Islander White

B. For Affirmative Action program reporting, the University of California is required to provide only ONE race/ethnicity description for its employees. Please place an "X" in the box that best identifies the single option from Section 1B that you want us to report for you.

American Indian or Alaska Native (X) - A person having origins in any of the original peoples of North and South America (including Central America) who maintain cultural identification through tribal affiliation or community attachment.

Asian

Chinese/Chinese American (2) - A person having origins in any of the original peoples of China.

Filipino/Filipino (3) - A person having origins in any of the original peoples of the Philippine Islands.

Japanese/Japanese American (4) - A person having origins in any of the original peoples of Japan.

Native Hawaiian or Other Pacific Islander (2) - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Island.

Hawaiian/East Indian (5) - A person having origins in any of the original peoples of the Indian subcontinent (e.g., India and Pakistan).

Other Asian (6) - A person having origins in any of the original peoples of the Far East or South East Asia (including Cambodia, Korea, Malaysia, Thailand, and Vietnam).

Black/African American (not of Hispanic origin) (4) - A person having origins in any of the Black racial groups of Africa.

Hispanic/Latino

Mexican/Mexican American/Chicano (3) - A person of Mexican culture or origin regardless of race.

Latin American/Latino (5) - A person of Latin American (e.g. Central American, South American, Cuban, Puerto Rican) culture or origin regardless of race.

Other Spanish/Spanish American (6) - A person of Spanish culture or origin, not included in any of the Hispanic categories listed above.

White (not of Hispanic origin) (7) - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

2. DISABILITY STATUS

PPS Data Entry

PPS010-ENR08 EDB Entry/Update 08/25/10 09:38:33
08/25/10 09:38:33 Employee Personal Data 1 User ID: RPPK22
ID: 00000076 Name: ANNA, POLLY Exp Stat: A P-1 Paj: 40

Date of Birth: 010180
Sex: F
Hispanic: Y
American Indian or Alaska Native: Asian: Black/African American: Native Hawaiian or Other Pacific Islander: White: Disabled Status: Veteran Status Codes - Vietnam: War/Campaign: Disability: Serv Medal: Recently Separated Veteran Date: Citizenship: C Student Status: No. of Reg. Units: Next Form: ID: Name: SSN: U000? Update process complete
F-1-Help 3-PrevMenu 4-Print 5-Update
F- 9-Jump 12-Exit
20/013

When a single response has been marked in Section 1A of the form and Section 1B is left blank, the system will automatically derive a code (derived from Section 1A of U5605) to auto-populate the Primary Ethnic/Race field.

For example, the individual who completed the sample form to the left of the screen indicated that he or she was of Hispanic, Latino or Other Spanish origin. When asked to identify a single race and ethnicity category, this person did not enter a response for Section 1B of the form. Based on this scenario, the 'Y' response will be entered for the Hispanic field and the system will automatically derive code "O" for Hispanics will auto-populate the Primary Ethnic/Race field. The sample PPS screen to the right, shows how all these responses should be captured in the payroll system.

The listing of the rest of the derived codes includes:

Data Entry General Scenarios

When a single response has been marked in Section 1A of the form but multiple responses were marked for Section 1B, the multiple selections marked in Section 1B will not be validated. The applicable 'Y' response will be entered for the appropriate field to capture the category marked for Section 1A and code 'U' should be entered in the Primary Ethnic/Race field.

Selections From U5605 PPS Data Entry

The image displays two side-by-side screenshots. The left screenshot is a '1. ETHNICITY AND RACE' form. In Section 1A, 'Hispanic/Latino' is selected with a red circle. In Section 1B, 'Japanese/Japanese American' and 'White (not of Hispanic origin)' are both selected with blue circles. The right screenshot is a PPS Data Entry screen for employee 'RNNR, POLLY'. The 'Primary Ethnic/Race' field is set to 'U'. A red arrow points from the 'White' selection on the form to the 'U' in the PPS system.

When a single response has been marked in Section 1A of the form but multiple responses were marked for Section 1B, the multiple selections marked in Section 1B will not be validated. The applicable 'Y' response will be entered for the appropriate field to capture the category marked for Section 1A and code 'U' should be entered in the Primary Ethnic/Race field.

For example, the individual who completed the sample U5605 form to the left of the screen indicated that he or she was of Hispanic, Latino or Other Spanish origin but he or she left blank the second part of Section 1A and self-identified as Japanese/Japanese American and White in section 1B of the form.

Because Section 1B of the form does not conform to the collection requirements set by the Department of Education, multiple responses in Section 1B of the form can not be validated in the system. In this case, code 'U' for unknown race and ethnicity should be entered in the Primary Ethnic/Race field. The sample PPS screen to the right, shows how all these responses should be captured in the payroll system.

Questions

For General Questions Contact

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Please refer any general questions regarding the implementation of the new standards to me or my colleague Ms. Rachael Jones-Lindsay. Our contact information is listed here for your reference. For any technical questions, you can contact Ken Smith, whose contact information is also listed here.