

FAQ on New Race and Ethnicity Categories

1. Why are the changes taking place?

The University of California is required to provide race and ethnicity of 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 education institutions will collect and maintain race and ethnicity data on students and employees, and how those data will 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.

The IPEDS changes to the standards have introduced new codes, increased the number of data elements to be collected, changed the manner in which responses on demographic forms are to be recorded, and modified the categories in which aggregated data is to be submitted. Institutions must be in compliance with the new race and ethnicity data collection and reporting requirements by the fall of 2010.

2. How were the new standards developed?

In 1997, OMB published new standards for Federal agencies on the collection of racial and ethnic data, after which the DE carefully examined its options for implementation of these new standards. These new standards revise how data has been collected since 1977 by now allowing respondents to self-identify their race and ethnicity and to select more than one racial or ethnic designation.

The new standards require the use of a two-part question, focusing first on ethnicity and second on race when collecting the data from individuals. The DE's October 2007 guidance addressed how racial and ethnic data should be collected and reported to the department under programs administered by the DE. The department's guidance also explains how education institutions and other department grantees should modify their data collection and reporting systems to respond to the OMB standards. (72 Fed. Reg. 59266 (Oct. 19, 2007), at <http://edocket.access.gpo.gov/2007/pdf/E7-20613.pdf>,

For more detailed background information, visit the IPEDS Race and Ethnicity Info Center Web page at <http://nces.ed.gov/IPEDS/reic/resource.asp>

3. How does the U.S. Department of Education define 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. Race is defined as a human population considered distinct based on physical characteristics.

4. What are the new race and ethnicity categories and how are individuals asked to provide this information?

Individuals are asked to first designate ethnicity as:

- **Hispanic or Latino:** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race; **or**
- **Not Hispanic or Latino.**

Second, individuals are asked to indicate one or more races that apply among the following:

- **American Indian or Alaska Native:** A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment.;
- **Asian:** 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.;
- **Black or African American:** A person having origins in any of the black racial groups of Africa;
- **Native Hawaiian or Other Pacific Islander:** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.;
- **White:** A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

5. **How will race and ethnicity data be collected and reported with the introduction of the new standards?**

For collection purposes, the guidance requires 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.

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.

6. **How was race and ethnicity data collected and reported before the introduction of the new standards?**

Prior to the new standards, the University reported data to IPEDS according to five race and ethnicity categories. The race categories previously used were: (1) American Indian or Alaska Native; (2) Asian or Pacific Islander; (3) Black, Not Hispanic; (4) Hispanic; (5) White, Not Hispanic. These categories were used to comply with the previous federal reporting guidelines. Each employee was identified by one and only one category.

7. Is the use of the two question format to collect race and ethnicity mandatory?

Yes. The two question format must be used in the collection process.

8. Does the question on ethnicity have to be asked first?

Yes.

9. In the race and ethnicity data collection process, can the University use the wording “choose all that apply” for the race categories?

No. The wording “select one or more” must be used for collecting race categories.

10. Can the University include categories of “Two or more races”, and “Unknown”, in the collection process?

No. These are valid reporting categories, but they cannot be used in data collection.

11. Can the University include a “No response” or “Refuse to answer” option on the collection form?

No. The guidelines do not allow for this option.

12. Can the University collect race and ethnicity data using the same format that will be reported to IPEDS?

No. Race and ethnicity data must be collected using the two question format.

13. How long is the University required to keep the original individual responses from employees?

Institutions are required to keep the individual responses for a minimum of three years.

14. Are other agencies and organizations such as the Equal Employment Opportunity Commission (EEOC) and the National Collegiate Athletic Association (NCAA) adopting the same categories?

The recent guidelines only apply to the DE. Other governmental agencies have adopted similar reporting standards in recent years (all of which are based on the 1997 OMB standards). For information about other specific data collection efforts, the agency or organization conducting the data collection should be contacted directly.

15. Is the University required to report ethnicity and race data to other federal agencies?

Yes. The University of California, as a federal contractor, is required to maintain and analyze data on the gender, race and ethnicity of employees in compliance with the provision of Executive Order 11246 to the Office of Federal Contract Compliance Programs (OFCCP), as required under the Code of Federal Regulations, Title 41, Part 60-2. http://www.dol.gov/dol/allcfr/title_41/Part_60-2/toc.htm

16. Is the OFCCP making the use of the new standards mandatory for federal contractors?

No. In August 2008, OFCCP announced that it would not make mandatory the use of the new standards on the collection and reporting of race and ethnicity data for affirmative action programs. Therefore, the University will continue to meet its reporting responsibility to OFCCP based on the previous federal reporting guidelines. The race and ethnicity categories to be used are: (1) American Indian or Alaska Native; (2) Asian or Pacific Islander; (3) Black, Not Hispanic; (4) Hispanic; (5) White, Not Hispanic.

17. How does the University collect and store ethnicity and race information for its employees?

The University collects race and ethnicity data from employees using the “Demographic Data Transmittal Form (U5605) which individuals complete at the time their employment with the University begins. This form allows individuals to voluntarily self-identify their race and ethnicity, disabled status, as well as veteran status. The data collected from individuals who chose to complete the form is later entered into the Payroll Personnel System (PPS) by approved UC personnel. The June 2010 revisions to the form ensure that the data is collected in a manner which allows the University to meet the new reporting requirements and maintain the current reporting demands for campus affirmative action programs and internal workforce reporting.

18. How will the University implement changes in the way it collects and stores ethnicity and race data for employees?

Employees hired after August 1, 2010 should complete the revised version of the Demographic Data Transmittal Form (U5605 R6/10) to self-identify their race and ethnicity, disabled status, as well as veteran status.

Changes to the Demographic Data Form, the Payroll Personnel System (PPS), Employee Data Base (EDB), Web New Hire Application, Corporate Personnel Systems, and Corporate Data Warehouse were implemented to accommodate the new race and ethnicity data elements. A payroll release to execute the appropriate systems modifications was distributed in early July 2010 and should be ready for systemwide implementation by August 1, 2010.

19. What are the changes made to the Demographic Data Transmittal Form (U5605)?

The form was divided into three separate sections identified by numbers. Section 1 collects the race and ethnicity information, which is broken down into two subsections: Section 1A collects the information as required by IPEDS and allows for multiple race and ethnicity selections and Section 1B preserves the collection of the information for 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.

20. How can the most current version of the form be identified?

The title and number of the form will appear in the upper left corner of the form. Additionally, a parenthetical reference containing the month and year in which the form was last revised will be included. The most recent revisions to the form that incorporate the new collection requirements for ethnicity and race data were completed in June 2010. Therefore, the (R6/10) parenthetical reference on the upper left corner of the form will identify the appropriate version for use after August 1, 2010.

21. When are campuses required to implement the use of the revised form?

Campuses should ensure that employees hired after August 1, 2010 complete the latest version of the form revised in June 2010 to self-identify their ethnicity and race, disabled status, and veteran status. This will allow the ethnicity and race data to be collected in a manner that ensures the University's compliance with the new reporting requirements while concurrently maintaining the current reporting demands for campus affirmative action programs. The revised form will be available for ordering through KP Corporation by mid July 2010 and available for download online on At Your Service.

22. How do I know if staff member refused to answer the race question, rather than just overlooking it?

Presenting the data collection form to the respondent is sufficient to ensure that individuals have had the opportunity to respond to the race and ethnicity questions. It is not necessary to prompt the respondent to complete one or both questions if they have been left unanswered.

23. Can the University require employees to self-identify their ethnicity and race, or disclose their status as disabled individuals or veterans?

No. This information can only be requested.

24. When individuals select more than one race in Section 1A of the form how are they reported to IPEDS?

When individuals select the "Hispanic, Latino or Other Spanish" ethnicity they will be reported as Hispanic or Latino regardless of the number of races they select. If they select "not Hispanic, Latino or Other Spanish" and select two or more races, they will be reported in the "Two or more races" category. However, the University must keep all of their individual responses.

25. When individuals do not answer the Hispanic, Latino or Other Spanish origin question in Section 1A but do answer the Race question, how are they reported to IPEDS?

Individuals are reported based on their response to the race question, which by default assumes a No response to the "Hispanic, Latino or Other Spanish origin" question.

26. What will happen to records of current employees?

The University will transition the race and ethnicity information of current employees into the new categories using the recommendations of the newly created conversion table.

27. When individuals select two or more of the five racial categories in Section 1A, how are they reported to IPEDS?

Individuals who self identify in two or more of the five racial categories must be reported as “Two or more races” only if they do not self-identify as “Hispanic, Latino or Other Spanish”. If they self-identify as “Hispanic, Latino or Other Spanish”, the University is required to report them as Hispanic/Latino and should not report them in any of the five racial categories or the “Two or more races” category.

28. When individuals self-identify as “Hispanic, Latino or Other Spanish” and self identify in one or more of the five racial categories, will they be reported to IPEDS as “Two or more races”?

No. If individuals self-identify as Hispanic, Latino or Other Spanish, the University should only report them as Hispanic/Latino, and should not report employees in any of the five racial categories or the “Two or more races” category.

29. When individuals self-identify as “Non-Hispanic, Latino or Other Spanish” and self-identify in two or more of the five racial categories, should those individuals be reported to IPEDS as “Two or more races” only?

Yes. Individuals who self identifies as “Non-Hispanic, Latino or Other Spanish” and self-identify in two or more of the five racial categories must be reported as “Two or more races” only.

30. How does the University handle non-response of one part of the question in Section 1A, but not both?

If one of the two questions contains a response, that information should be used in the reporting of ethnicity and race.

31. What does the University report to IPEDS if the ethnicity question in Section 1A is not answered, but the race question is answered?

If ethnicity is blank (missing), the University should report any racial information that is provided by the individual.

32. When will the University be required to report to IPEDS under the new race and ethnicity categories?

The IPEDS data submission window for the human resources survey in which these changes are required opens in early December 2010 and closes mid January 2011. Data available as of November 1, 2010 is required for the submission of this survey. Under IPEDS no extensions are granted to the deadlines for data submission.

33. What are the consequences for noncompliance with IPEDS?

The completion of all IPEDS surveys, in a timely and accurate manner has been mandated by the federal government for institutions that participate in or are applicants for participation in any federal student financial aid program (such as Pell grants and federal student loans) authorized by Title IV of the Higher

Education Act of 1965, as amended (20 USC 1094, Section 487(a) (17) and 34 CFR 668.14(b)(19)). Penalties for non-compliance with completion of all surveys may include fines and temporary loss of Title IV funding .

34. Who can I contact if I have technical questions?

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35. Who can I contact if I have further general questions?

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