

## Demographic Detail Transmittal Form (U5605)

In order to comply with the federal reporting requirements, the University of California uses the demographic data transmittal form (U5605) to record the race/ethnicity, disabled status, and veteran status of employees. At UC Berkeley, that data is input into HCM.

The new form invites employees to share their race/ethnicity in two ways:

- 1) In section 1A of the form, employees may make multiple selections to satisfy new US Department of Education, Integrated Post Secondary Education Data System (IPEDS) requirements.
- 2) In section 1B the employee is asked to make a single ethnicity selection for Affirmative Action Program reporting.

New employees are asked to complete the U5605 “Demographic Data Transmittal” on which they are asked to self-identify their ethnicity and race by completing Sections 1A and 1B of the form.

**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 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 (C) – 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**

Chinese/Chinese American (2) – A person having origins in any of the original peoples of China.  
 Filipino/Philippino (L) – A person having origins in any of the original peoples of the Philippine Islands.  
 Japanese/Japanese American (B) – A person having origins in any of the original peoples of Japan.  
 Native Hawaiian or Other Pacific Islander (Z) – A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Island.

Pakistani/East Indian (R) – A person having origins in any of the original peoples of the Indian subcontinent (e.g., India and Pakistan).  
 Other Asian (X) – 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) (A) – A person having origins in any of the Black racial groups of Africa.

**Hispanic/Latino**

Mexican/Mexican American/Chicano (E) – 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 (W) – A person of Spanish culture or origin, not included in any of the Hispanic categories listed above.  
 White (not of Hispanic origin) (F) – A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

Figure 1-U5605 Demographic Data Transmittal form

Information from the U5605 is entered into the “Demographic Details” tab on Personal Information page in HCM.

Data entry to record Section 1A responses based on the form

Data entry to record Section 1B responses based on the form

Figure 2-HCM Personal Information-Demographic Details page for data entry

For more background and details about this form, visit the following UCOP website

[http://atyourservice.ucop.edu/administrators/employment/emp\\_dmo.html](http://atyourservice.ucop.edu/administrators/employment/emp_dmo.html). Remember that implementation at UC Berkeley is different since we make entries via HCM rather than directly into PPS.

## ***Questions and Answers***

### **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. 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 .

### **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. 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.

### **5. 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](http://www.dol.gov/dol/allcfr/title_41/Part_60-2/toc.htm)

### **6. 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.

### **7. 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.

### **8. Do all employees have to complete the Demographic Data Transmittal Form (U5605), including temporary employees and student employees?**

Yes, all employees must be given the opportunity to respond to the race and ethnicity, disability status, and veteran status questions on the form. This includes permanent and temporary employees, academics and non-academics and students.

The only exceptions to this are people who are input as “Contingent Workers” and “Person of Interest” in HCM. They are distinguished with title codes that start with the letter “N” (e.g. “N3255”).

### 9. 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.

### 10. 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.

### 11. Can employees update their own race/ethnicity in HCM?

UC Berkeley employees can use self-service in the Blu portal to update their race/ethnicity data. To access self-service, log into Blu. Find the “Self-Service” section on the left side of the screen and click on “Ethnic Groups.” A new window will pop up for the employee to input her/his race/ethnicity.

*Note: If the employee wants to change her/his disabled or veteran status, this cannot be changed using self-service. The employee should complete the U5605 form and submit it to departmental HR for input into HCM.*

#### Ethnic Groups

##### Employee Name

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.

**Ethnicity and Race**

Hispanic, Latino or Other Spanish Origin?

In addition, please select one or more of the following categories:

<input type="checkbox"/> American Indian or Alaska Native?	<input checked="" type="checkbox"/> Asian?	<input checked="" type="checkbox"/> Black/African-American?
<input type="checkbox"/> Native Hawaiian/Pacific Island	<input type="checkbox"/> White?	

**Ethnic Group** View All 1 of 1

Ethnic Group:

Figure 3-Self-Service race/ethnicity changes possible in Blu

### 12. Who can I contact if I have further general questions?

Staff EEO Compliance  
Human Resources  
University of California, Berkeley  
Email: staffeeo@berkeley.edu

#### For more Questions and Answers

Visit the following UCOP website [http://atyourservice.ucop.edu/administrators/docs/e\\_demographic/e\\_demograph-faq.pdf](http://atyourservice.ucop.edu/administrators/docs/e_demographic/e_demograph-faq.pdf). Remember that implementation at UC Berkeley is different since we make entries via HCM rather than directly into PPS.