# 2010 Research Analysis Workgroup

# Recommendations for the Standard Reporting of Multi-Race Data

# July 2010

# 2010 Research Analysis Workgroup Members

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**Background**

In an effort to present a more accurate picture of the nation's diversity, in 1997 the federal government developed a new series of racial and ethnic categories in which citizens would have the option of reporting multiple races and as being of Hispanic or non-Hispanic origin.  In the fall of 2007, the United States Department of Education (DOE) issued its Final Guidance[1] directing academic institutions to begin collecting race and ethnicity data on their students in accordance with Office of Management and Budget's (OMB) 1997 "Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity"[2].  These new data standards included an ethnicity option of Hispanic/Non-Hispanic and five race categories.  Students would be identified by both ethnicity and race, with the option of reporting more than one race.  For post-secondary institutions, the possibility also exists for students to forego reporting their ethnic and racial information (hereafter referred to as Unknown).

The mandatory submission of data in this new format is scheduled to begin with the collection period encompassing the 2010-2011 fiscal year.  In order to ensure the accurate reporting of student data under the new federal guidelines, in 2008 the Maryland Higher Education Commission (MHEC) convened an inter-segmental workgroup charged with establishing the guidelines[3] under which Maryland higher education institutions would submit their data to MHEC, which serves as the statewide coordinating agency for submitting federal data via the Integrated Post-secondary Education Data System (IPEDS).

Beyond clarifying how institutional IPEDS data would be submitted, representatives from Maryland's higher education institutions wanted to establish a set of recommendations for sharing the new multi-race data with the public.  A second inter-segmental workgroup was established in the summer of 2009, and was responsible for the following: developing a vocabulary and set of uniform definitions for use in discussing the new multi-race data, developing a uniform method for reporting data under the multi-race schema, and compiling a list of initiatives and programs to assist in educating both data practitioners and laymen alike in the use and implications of student data under the multi-race reporting requirements.

This document contains the recommendations of the second statewide inter-segmental workgroup: the 2010 Research Analysis Workgroup.

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[1] U.S. DOE Final Guidance:  http://www.ed.gov/legislation/FedRegister/other/2007-4/101907c.html
[2] OMB 1997 "Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity":
        http://www.doi.gov/diversity/doc/racedata.htm
[3] MHEC 2010 Reporting Revisions Statewide Workgroup Final Recommendations:
        http://data.mhec.state.md.us/MACInfo/Final%202010%20Workgroup%20Recommendations.pdf

**Ethnicity/Race Definitions**

*Ethnicity*

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

*Race*

Black or African American: A person having origins in any of the black racial groups of Africa.

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

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

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.

White: A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

*Ethnicity/Race*

Nonresident alien (foreign): A person who is not a citizen or national of the United States, who is in this country on a visa or temporary basis, and does not have the right to remain indefinitely.

Unknown: A person for whom there is no ethnicity/race data on file.

Total Minority: Any person whose ethnicity/race is *not*:
- White-only who did not indicate Hispanic/Latino
- Foreign/Non-Resident Alien
- Unknown

All other individuals should be included in the Total Minority category.

Under-Represented Minority: A person who indicates that their ethnicity/race includes Hispanic or Latino, or Black or African American. This includes persons who indicate multiple races as long as the Hispanic or Black ethnic/racial designations are selected.

### "Trumping Rules" for Ethnicity/Race Assignment

The assignment flow for mapping the individual respondent's submissions to the two-question format to the new federal aggregate categories for the 1997 ethnicity/race standards is displayed in the following table:

| Question | Response | Federal Aggregate Category Assignment |
|---|---|---|
| 1. U.S. Citizen or Resident Alien? | No → | **Non-resident Alien/ Foreign** |
| | Yes ↓ | (next question) |
| 2. Hispanic or Latino? | Yes → | **Hispanic** |
| | No ↓ | (next question) |
| 3. Which Races? | Single Race Selected | Single race category selected from: <ul><li>**Black or African-American,**</li><li>**American Indian or Alaskan Native,**</li><li>**Native Hawaiian or Other Pacific Islander,**</li><li>**Asian, or**</li><li>**White**</li></ul> |
| | Multiple Races Selected | **Two or More Races** |
| | No Response ↓ | (next question) |
| No Information Provided | | **Ethnicity/Race Unknown** |

### Ethnicity/Race Data Storage

At the unit record level, each student's individual ethnicity/race response(s) will be maintained by the enrolling institution and forwarded to the Maryland Higher Education Commission (MHEC) via the various standard reports collected at the statewide level. For each ethnicity and race option, the student record will include an individual "Y" or "N" entry field. The student record will therefore contain all of the race options voluntarily selected by the student, not aggregating into any pre-determined groups at the unit record level. This will provide both the institutions and the State with the flexibility and option of conducting customized research based on the unique needs of the data request and the end-user.

**Reporting Schedule**

The following table shows the reporting schedule for when the new race/ethnicity values will begin to be collected via MHEC's Maryland Annual Collection (MAC).

| System/Form | Segment | Revision Collection Year |
|---|---|---|
| Enrollment Information System (EIS) | Public 2yr Public 4yr Independents | 2010 |
| Enrollment reporting forms (S-1,S-4,S-8,S-9) | Independents | 2010 |
| Employee Data System (EDS) | Public 2yr Public 4yr | 2010 |
| Degree Information System (DIS) | Public 2yr Public 4yr Independents | 2011 |
| High School Graduate System (HGS) or form S-14 | Public 2yr Public 4yr Independents | 2011 |
| Financial Aid Information System (FAIS) | Public 2yr Public 4yr Independents | 2011 |

**Reporting Recommendations**

Due to the variety of missions and audiences served by the segments and institutions that comprise Maryland's higher education community, it is not possible to produce a single, unified reporting schema all race/ethnicity reporting. Further, the answer to a question such as, "Who should be included in the minority category?" may vary based on the institution from which the data originates (e.g. historically black institutions or traditionally white institutions). Ultimately, the needs of the institution, the question posed and the intended audience will dictate how data should be analyzed and presented to best answer any given query. The intent of the following recommendations, however, is to provide Maryland's colleges and universities with a standard approach for reporting ethnicity/race data, in consideration of the new multi-race requirements, for general use and public consumption. These standards are the recommendation of the 2010 Research Analysis Workgroup, which consists of representatives from all segments of higher education in the State, and the Maryland Higher Education Commission (MHEC).

Since their initial standardization in 1977, ethnicity and race were reported in five single-race categories plus a foreign "ethnicity" (based upon citizenship, not ethnic or racial heritage) and a category for unknown or other. These categories included:

- African-American
- Native American
- Asian or other Pacific Islander
- Hispanic
- White

- Foreign/Non-Resident Alien

- Unknown or other

Based on the new reporting requirements enacted in 2007, in 2010-11 institutions of higher education must begin collecting ethnicity and race data based upon an updated set of categories. Two ethnic categories now exist: foreign, which will still be based upon the respondent's citizenship, and Hispanic, based upon the student or staff member's self-identified heritage. Five single race categories will continue to be offered, although they differ slightly from the previous categories collected, as well as an unknown option. Beginning with the 2010-11 collection, the ethnicity/race categories will be as follows:

- Hispanic or Latino

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

- Multiple Races, but *not* Hispanic/Latino

- Foreign/Non-Resident Alien

- Unknown or other

While the list of races under the new reporting standards has been modified from the 1977 version, the most significant change lies not in the category modifications themselves, but in a respondent's ability to select multiple races by which to self-identify, instead of just one. Respondents will now have the option of selecting more than one race from the categories that are available in order to describe their ethnic and racial heritage. It is believed that allowing respondents to select more than one race will lead to a more accurate representation of the diversity that exists within the landscape of higher education.

It is important to note that the Workgroup's recommendations which are included in this document do not change the unit-record and/or aggregate reporting requirements already established by MHEC for the Maryland Annual Collection (MAC).  The MAC data collection is structured to meet all reporting requirements established by the Office of Management and Budget and to continue to allow MHEC to pre-load data to the IPEDS data system on behalf of Maryland's higher education institutions.  The recommendations included within are, instead, a series of suggested reporting structures that colleges and universities should use when publicly presenting routine data.  These recommendations are designed to provide background information regarding the reporting changes, and to allow data from various postsecondary segments, and from different institutions within those segments, to be presented in a uniform manner throughout the State.  The recommendations also help ensure that data from different entities can be easily compared.

# Reporting Recommendations:

Student enrollment

Degrees conferred

Financial Aid

Faculty and Staff

Retention/Graduation/Transfer reporting

Degree Progress Analysis
(community colleges only)

TERM-BASED REPORTING FROM:

Student Headcount Enrollment (EIS)
Degrees Conferred (DIS)
Faculty and Staff (EDS)
Financial Aid (S-5, FAIS)

It is the recommendation of the Workgroup that the federal aggregate standards as presented in the DOE Final Guidance document should be followed for routine reporting from the data sets listed above. While ethnic/race analyses are not normally conducted using the financial aid data sets, if such analyses are undertaken, it is recommended that ethnic/racial reporting follow these standards.

The reporting of data utilizing ethnic/racial breakdowns for individual time periods ("snapshot data" e.g. fall, fiscal year, academic year) beginning with the fall 2010 semester should include the following ethnic/racial categories:

- Total Population (this includes students of multiple races)

- Those of Hispanic/Latino ethnicity, regardless of any additional race(s) indicated

- Black/African American only who did not indicate Hispanic/Latino
- American Indian or Alaskan Native only who did not indicate Hispanic/Latino
- Native Hawaiian or Other Pacific Islander only who did not indicate Hispanic/Latino
- Asian only who did not indicate Hispanic/Latino
- White only who did not indicate Hispanic/Latino

- Those selecting Multiple Races who did *not* indicate Hispanic/Latino

- Foreign/Non-Resident Alien

- Unknown

Data collection using the new multi-race schema begins in earnest for the 2010-11 academic year at which time these reporting categories will become the new general standard for public ethnicity/race-based reporting. While some early pilot studies exist, in light of the general lack of historical data against which to compare these new analysis cohorts, the Workgroup recommends annually monitoring the race data for the next several years to determine if an alternate reporting schema, such as the individual reporting of any specific multi-race groupings, would better serve the needs of the institutions and the State in terms of accuracy or detail.

LONGITUDINAL (trend) REPORTING FROM:

Student Headcount Enrollment (EIS)
Degrees Conferred (DIS)
Faculty and Staff (EDS)
Financial Aid (S-5, FAIS)

It is the recommendation of the Workgroup that the separate Asian and Native Hawaiian/Pacific Islander race categories established by the new federal aggregate standards should be mapped back to the previous 1977 reporting schema.  This is in order to allow for meaningful trend reporting utilizing extant trend data.  Otherwise, the federal aggregate standards as presented in the DOE Final Guidance document should be followed.  Once again, while ethnic/racial analyses are not normally conducted using the financial aid data sets, if such analyses are undertaken, it is recommended that ethnic/racial reporting follow these recommendations.

The reporting of data utilizing ethnic/racial breakdowns for trend reporting beginning with the fall 2010 semester should include the following ethnic/racial categories:

- Total Population (this includes students of multiple races)

- Those of Hispanic/Latino ethnicity, regardless of any additional race(s) indicated

- Black/African American only who did not indicate Hispanic/Latino
- American Indian or Alaskan Native only who did not indicate Hispanic/Latino
- Native Hawaiian or Other Pacific Islander
- Asian only who did not indicate Hispanic/Latino
- White only who did not indicate Hispanic/Latino

- Those selecting Multiple Races who did *not* indicate Hispanic/Latino

- Foreign/Non-Resident Alien

- Unknown

These reporting categories will become the standard for ethnicity/race-based trend reporting for five years.  At the end of the five-year period, the multi-race categories should be reviewed to determine if any specific race combinations warrant individual reporting.  In addition, the multi-race student categories should be monitored annually to determine if any multi-race student group represents a significant enough portion of the overall population as to call for individual reporting either prior to or after the five-year review.

The mapping strategy from the current, 1977 ethnicity/race collection schema to the new 1997 revised multi-race schema for use in longitudinal reporting:

| 1977 Standard Categories (current) | | 2010 Reporting Categories (1997 revisions) |
|---|---|---|
| Hispanic | = | Hispanic of any race |
| Black | = | Black or African American only (non-Hispanic) |
| American Indian or Alaskan Native | = | American Indian or Alaskan Native only (non-Hispanic) |
| Asian/Pacific Islander | = | Asian only (non-Hispanic) |
| | | Hawaiian Native or other Pacific Islander only (non-Hispanic) |
| White | = | White only (non-Hispanic) |
| | | Two or More Races (non-Hispanic) – this will be a new trend line with no comparable previous data |
| Foreign/Non-Resident Alien | = | Foreign/Non-Resident Alien |
| Unknown/Other | = | Unknown/Other |

COHORT REPORTING:

Retention/Graduation/Transfer Analysis
Degree Progress Analysis

It is the recommendation of the Workgroup that, for reporting cohort data for retention, graduation and/or transfer rates for either the four-year institutions or the community colleges (via the more "traditional" retention/graduation/transfer rate reporting schema or the Degree Progress Analysis) that institutions utilize a modified version of the OMB guidelines for allocating multiple races for use in civil rights monitoring and enforcement[1] as defined below.

Beginning with the cohorts matriculating in the fall 2010 semester, standard public consumption retention/graduation/transfer and degree progress analysis reporting should include the following ethnic/racial categories:

- Total Cohort Population (this includes students of multiple races)

- Students of Hispanic/Latino ethnicity, regardless of any additional race(s) indicated

- Single-race students or multi-race students who selected *only two* (2) races, one of which must be White, and who did *not* indicate Hispanic/Latino:
  o Black/African American only or Black/African American & White
  o American Indian or Alaskan Native only or American Indian or Alaskan Native & White
  o Native Hawaiian or Other Pacific Islander only or Native Hawaiian or Other Pacific Islander & White
  o Asian only or Asian & White

- White only who did not indicate Hispanic/Latino

It is recommended that the following categories of students, while they can be tracked and analyzed based on the needs of the institution, *not* be reported in standard, public-consumption reporting. It is important to remember, however, that while these student groups should not be reported as individual categories, they *must* be included in the total cohort population count.

- Students of Multiple Races who did not indicate Hispanic/Latino:
  o Two (2) races, neither of which were White
  o Three (3) or more races

- Foreign/Non-Resident Alien

- Unknown

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[1] OMB Bulletin No. 00-02, "Guidance on Aggregation and Allocation of Data on Race for Use in Civil Rights Monitoring and Enforcement": http://www.whitehouse.gov/omb/bulletins_b00-02/

**User and Audience Education and Awareness**

The reporting of institutional data by ethnicity and race has become a very visible and contentious topic in recent years. Therefore, it is critical to ensure that respondents, data users and members of the public-at-large are aware of the changes that are quickly approaching in terms of ethnic and racial data collection and presentation.

The most important task at this juncture is to promote public awareness of the coming changes, especially concerning the role of respondents in updating their demographic data. Students, faculty and staff alike need to understand that they will be asked to update their ethnic and racial demographic data in a format that they likely have not previously seen. Whether it is via a student self-service page, in a pop-up prompt that appears during the registration process or in an all-staff e-mail directing individuals to update their ethnic/race demographics, it is important to prepare respondents for the multi-race formatting changes. Institutional research staff should inform respondents that the new collection period is approaching and prepare them for what to expect. For the overwhelming majority of the respondents, this will be treated as a perfunctory exercise; they will (hopefully) update their data and never give it a second thought. They are not the end users of the data and the nuances involved in analyzing the new ethnic/racial data structure are a non-issue. Consider this a public awareness campaign; "Changes are coming and they are coming soon. Please participate!" Of course, it is always helpful to have an explanation prepared for why these changes are occurring, but forewarning should handle much of this. Let potential respondents know that this process is in response to a federal mandate. Let them know that they now have the flexibility to identify themselves more accurately, if they so choose, and that you hope that they do! But most importantly, keep them well informed.

The next step in the process will concern educating data consumers about these changes. The education disconnect is most likely not going to occur with the data practitioners. Instead, it will involve those on the push-button side of a dashboard indicator screen who just want to know how many African American students are on campus. Educating the "layman" end-user will be a more daunting task, likely involving multiple meetings with committees, faculty and various levels of management. Once again, though, the key is in preemptively educating these end-users about the ensuing changes and their implications.

Ultimately, during the upcoming period of change, as the new ethnicity/race categories begin to replace the old, it is strongly recommended that any reports released including data in the new reporting formats employ generous use of footnotes to both draw attention to, and explain the differences in, the changes in the reporting format and categories. Audiences from multiple segments will soon be exposed to ethnicity and race data that does not match what they are used to seeing. Explanations via footnotes and explanatory introductory paragraphs are ardently encouraged.

**Resource and Reference Materials**

Maryland Higher Education Commission, "2010 Reporting Revisions Statewide Workgroup Final Recommendations": http://data.mhec.state.md.us/MACInfo/Final%202010%20 Workgroup%20Recommendations.pdf

Office of Management and Budget, "Guidance on Aggregation and Allocation of Data on Race for Use in Civil Rights Monitoring and Enforcement", OMB Bulletin No. 00-02: March 9, 2000: http://www.whitehouse.gov/omb/bulletins_b00-02/

Office of Management and Budget, "Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity", excerpt from Federal Register: October 30, 1997: http://www.doi.gov/diversity/doc/racedata.htm

U.S. Dept. of Education, "Final Guidance on Maintaining, Collecting, and Reporting Racial and Ethnic Data to the U.S. Department of Education", Federal Register: October 19, 2007 (Volume 72, Number 202): http://www.ed.gov/legislation/FedRegister/other/2007-4/101907c.html

U.S. Department of Education Institute of Education Sciences, "Resources for Implementing Changes to Race/Ethnicity Reporting in IPEDS": http://nces.ed.gov/ipeds/reic/resource.asp