Philip Garcia, Senior Director
Analytic Studies Division
401 Golden Shore, 6th Floor
Long Beach, CA 90802-4210
Phone 562-951-4764/Fax 562-951-4837
pgarcia@calstate.edu

M E M O R A N D U M   Code: AA-2009-07

To: **CMS Directors, SAUG Directors,**   **Date: April 29, 2009**
                 Institutional Research Directors and
                 Deans/Directors, Admissions and Records

From: **Philip Garcia, Analytic Studies Senior Director**

Subject: **Implementing New Ethnicity & Race Codes**

The mandated deadline for reporting to IPEDS outcomes with the new federally-defined ethnic and race codes is fall 2010. Full compliance will require that all new CSU applicants respond to the prescribed two-question format on ethnicity and race and that all continuing or returning CSU students be given an opportunity to self-identify themselves using the same two-question format. What follows is an overview of how the new race and ethnicity codes eventually will be merged into the CSU Enrollment Reporting System (ERS) and a brief report on how the full transition will be completed.

The New Data

New ERS File on Ethnicity and Race
The release of the *CSU Graduate and Undergraduate 2009-10 Application* on October 1, 2008, marked the beginning of the transition to a new data collection process for ethnic and race data. The new *CSU Application* asks all prospective students whether they are Hispanic/ Latino or not (i.e., the first prong of the two-question format). Next it asks just those that responded they were Hispanic/Latino to self-identify a specific ethnic subgroup (e.g., Mexican, Puerto Rican, or Cuban). Then the application asks all prospective students to self-identify their racial identity (i.e., the second prong of the two-question format).

The racial codes listed on the CSU Application are organized around five super categories of race that were designated by federal guidelines: 1) White, 2) Black or African American, 3) American Indian and Alaska Native, 4) Asian, and 5) Native Hawaiian and Other Pacific Islander. Respondents are informed that they may self-identify with multiple race categories. When self-identifying racial affiliations, prospective students can select one specific subcategory from each of the five super categories of race denoted on the *CSU Application*. For example, a prospective student could self-identify with all five race categories by selecting the following

responses: European, Haitian, Chumash, Samoan, and Chinese. The *CSU Application* also allows students to indicate that they decline to self-identify as Hispanic/Latino and/or decline to self-identify as belonging to any racial groups.   Prospective students who decline to state Hispanic/Latino status and any racial affiliation will be reported as unknown observations in all derived or summary measures of ethnicity and race.

All of the information gathered from the new *CSU Application* will be archived annually at the Chancellor's Office in a new system-wide file that will be labeled ERSR (i.e., ERS Race/Ethnicity). For CMS campuses, the campus-file extracts will be generated using a new system-wide CMS solution.   The goal is for campuses to submit an ERSR file each term.   At this time, the first submission for summer 2009 and fall 2009 ERSR files is tentatively scheduled for mid-January 2010. This should allow enough time to create and test all the new programming, including new edits.

Field Name	Description	Source
Hispanic/Latino Status	Yes/No/Declined to State	The 3 CSU codes were derived from the 1997 Standards published in the *Federal Register* 62 FR 58789 (issued October 30, 1997).
Hispanic/Latino Ethnic	Hispanic/Latino Ethnic Subcategory	The 23 CSU codes were derived from subcategories published in selected reports by the US Census Bureau (see, e.g., *The Hispanic Population, Census 2000 Brief*, Table 1; issued May2001).
Race Status	Declined to State or not to race question	For those that explicitly mark "decline to state" in the application, the values for Race Code 1 to Race Code 5 are blank.
Race Code 1	White	The 4 CSU codes match the 1997 Standards published in the *Federal Register* 62 FR 58789 (issued October 30, 1997).
Race Code 2	Black or African American	The 4 CSU codes match the subcategories listed in the question on race for Census 2000 (see, e.g., *The Black Population 2000, Census 2000 Brief*, Figure 1; issued August 2001).
Race Code 3	American Indian and Alaska Native	The 33 CSU codes were derived from the Directory of California Tribes (http://boxer.senate.gov/nah/tribe_listing.cfm).
Race Code 4	Asian	The 25 CSU codes match the categories listed the following *Census 2000 Brief*: *The Asian Population: 2000* (issued February 2002)
Race Code 5	Native Hawaiian and Other Pacific Islander	The 24 CSU codes match the categories listed the following *Census 2000 Brief*: *The Native Hawaiian and Other Pacific Islander Population: 2000* (issued December 2001)

The matrix above summarizes how the new data on ethnicity and races will be arranged in ERSR and it cites the sources for how individual codes were determined for each new element.

The first set of attachments contains facsimiles of the data definition pages that will be inserted into the *2009 ERS Operations Manual* for the 8 new ethnic and race elements along with the Record Design for ERSR.

The data captured in the CSU Application exceed the minimum federal requirement for reporting on ethnicity and race because the corresponding requirements for the State of California and for the CSU Board of Trustees are more demanding. For example, the CSU has always regularly reported separate enrollments for Filipinos and Mexican Americans. Moreover, the expanded response options listed in the *CSU Application* will accommodate any future mandates for more comprehensive reporting. In 2007, for example, the California Assembly drafted legislation requiring state agencies to observe separate collection for the following specific categories: Bangladeshi, Fijian, Hmong, Indonesian, Malaysian, Pakistani, Sri Lankan, Taiwanese, Thai, Tonga, other Asian, and other Pacific Islander. If similar bills pass during subsequent legislative sessions, there will be no need to alter the *CSU Application* or ERS files.

Federal guidelines state that the minimum duration for keeping the data entered onto ERSR files is three years.

Existing ERS Files
When the new ethnic and codes are entered into ERSR, five new summary elements will be added simultaneously to the existing six system-wide ERS files. The matrix below identifies the five new summary elements and describes their placement across the six ERS files.

Element Name	Column Specification					
	ERSA	ERSD	ERSO	sERSS	ERSS	ERST
1. Hispanic/Latino Status	251	86	99	225	225	35
2. Hispanic/Latino Ethnic Category	252-253	87-88	100-101	226-227	226-227	36-37
3. Multiple Race Combinations	254-255	89-90	102-103	228-229	228-229	38-39
4. IPEDS Race/Ethnicity Reporting Category	256	91	104	230	230	40
5. CSU Race/Ethnicity Reporting Category	257	92	105	231	231	41

The first two elements represent a straight transfer of the two Hispanic/Latino elements located in ERSR. The third element will contain summary responses that specify whether

students self-identified with one racial group or with multiple racial groups. The 31 unique combinations of single and multiple racial groups associated with this element will be derived from the responses to Race Code 1 to Race Code 5 found in ERSR. The fourth element will be the home for the summary categories that IPEDS requires for its reports.   These summary categories will be derived from the first and third elements listed above. As prescribed by federal guidelines, Hispanic/Latino self-identification trumps any single or multiple race self-identifications.

The fifth element is an in-house indicator of ethnicity and race. Data for this element will come directly from the *CSU Application*. The summary categories are the same as those associated with the fourth element; however, in this case responses are generated from just a single question. Students are directed to select the one self-identification they would choose as their ethnic or racial affiliation. In short, it simulates the ethnic query of older CSU applications. The responses from this element will be used to analyze preferences among students who marked multiple group identities.

Attached are facsimiles of the new data element definition pages that will describe the five new elements in the *2009 ERS Operations Manual*. In all cases, the race codes that will be placed in existing ERS files will reflect the five super categories of race designated by federal guideline. Students who self-identify with multiple racial groups will be categorized as students with "two or more races."

The column specifications listed in the above matrix denote file placement. Except for ERSA, the existing record format for each ERS file can accommodate the addition of the five new elements. By summer 2009, the record length for ERSA will be expanded to meet the new data requirements. Attached are facsimiles of the new Record Design pages that will appear in the *2009 ERS Operations Manual*. Full implementation of the new elements across all existing ERS files will be completed during the 2009-10 college year. More information will be shared as it becomes available.

Data Collection: 2009-10

Since all CSU applicants for the 2009-10 college year will have responded to the two-question format via the new *CSU Application*, campuses already have in hand application data that contain valid responses to the new ethnic and race questions. And when the fall 2009 census date arrives, at least 25 percent of all enrollment records will contain valid responses to the new ethnic and race questions. In term of CMS data processing, the necessary changes are in development. The June 2009 release of the next version of CMS will contain programming that 1) generates an ERSR file, 2) creates all five new ethnic and race elements found in existing ERS files, and 3) includes them in each of the required ERS extracts. *The current ERS logic and mapping does not accommodate analysis of the multiple responses to race/ethnicity questions*

responses received via the CSU Mentor admissions application or the Race/Ethnicity Student Resurvey tool.

In October 2007, the Department of Education "encourage (d) educational institutions and other recipients to allow all students and staff the opportunity to re-identify their race and ethnicity under the 1997 Standards." In response to the request, CMS delivered to the campuses on January 23, 2009, a common solution (MP 2.03) for re-surveying continuing and returning students about their ethnic and racial self-identification, so these campuses can already begin the process of re-surveying their continuing and returning students.   Because the mandated deadline for reporting the new information is fall 2010, campuses have one entire fiscal year to execute the re-survey. The start date for administering the re-survey should be summer 2009 or fall 2009, at the latest. If you want, you can offer access to the re-survey now. What still needs to be created are ERS edits for the new elements. The Chancellor's Office will have the new edits up and running by summer 2009. As usual, summer ERSA and ERSS files will be transmitted during the fall term.

The old CSU Ethnic Code element found in ERS files (see *2008 ERS Operations Manual*, pp. 165-169) will not be repopulated after spring 2009. Campuses should maintain the discontinued ethnic information from their data systems. Over time the old element will evolve into a null set of responses (i.e., blank columns).

Data Reporting: 2009-10

The most important thing to remember for the next fiscal year is that all the official statistical reports the Chancellor's Office will prepare in 2009-2010 for IPEDS, the State, and the Board of Trustees will use data located in the old CSU Ethnic Code element. That means all the new ethnic and race information that is collected and placed in 2009-10 ERS files will not be the source of any 2009-10 ethnic reports. This also means the ethnic and race data collected for new students who entered after spring 2009 will have to be altered to resemble the old CSU Ethnic Code. This conversion will be done by the Chancellor's Office, not the campuses.

The Chancellor's Office is now working on a system-wide solution to convert new ethnic and race codes into the old ethnic codes. The expectation is that Chancellor's Office staff will alter certified campus files after they have been placed in CARINA and then provide campuses with copies of the new files so they can see the results of the conversion. The cross-over table for the new and old codes will be disseminated before the creation of summer 2009 and fall 2009 ERS master files. The key decision rule is that all non-Hispanics who are identified as "two or more races" will be recoded to "Other." The new-to-old conversion will be required only for the creation of 2009-10 ERS files.

Data Collection: 2010-11

Beginning in summer 2010, the new ethnic and race elements must be fully populated in all ERS files. Data for new students, naturally, will come from the *CSU Application*. The data collected from the re-survey for ethnicity and race should be used to populate records for the remaining continuing and returning students.   To complete the data collection, any enrolled students who matriculated before summer 2009 but did not respond to the re-survey must have new ethnic and race codes mechanically entered into their ERS records. This conversion will be done by the Chancellor's Office. The new codes, of course, will be based on their old ethnic codes. Attached is a display of the recoding scheme for converting old ethnic codes into new ethnic codes.

Data Reporting 2010-11

In 2010-11, the Chancellor's Office will generate all its spring IPEDS reports on applications and enrollments based on the new ethnic and race codes. Similarly, cohort-based numbers for the IPEDS-Graduation Rate Survey will be based on the new ethnic and race codes. The fall IPEDS report, which will focus on 2009-10 degrees conferred, will still be based on the old ethnic codes. Regardless of whether new or old codes are being used, the Chancellor's Office will observe the IPEDS guideline that treats non-resident aliens as a separate group. So whenever there is aggregate reporting of ethnic and racial information, non-resident alien status will trump any ethnic and racial information provided by international students.

Contacts

Marv Lindsey (mlindsey@calstate.edu), in Analytic Studies, is the contact person for any questions about the new ERS elements. Monica Malhotra (mmalhotra@calstate.edu), also in Analytic Studies, is the contact person for any questions about ERS edits and submissions. Darlene Daclan (ddaclan@calstate.edu), in ITS-CMS, is the contact person for CMS related questions. Non-CMS campuses should contact the Chancellor's Office about their status.

Summary of Key Events

1. In summer/fall 2009, existing ERSA and ERSS files will contain five new ethnicity and race variable for new students; there will be a system-wide CMS solution for creating the required elements.

2. In summer 2009, the Chancellor's Office will install new ERS edits for the new elements.

3. In summer/fall 2009, campuses should begin to re-survey continuing and returning students regarding their ethnic and racial self identification using the required two-question format. There will be a system-wide CMS solution.

4. In January 2010, campuses will start to submit new term files for ERSR; there will be a system-wide CMS solution for creating the required extract. ERS edits for the new file will be created by the Chancellor's Office.

5. All existing ERS term files for 2009-10 will be altered by the Chancellor's Office, so that new students will have old CSU ethnic codes entered on to their records.

6. By summer 2010 and thereafter, ERS records for all continuing and returning students who did complete the re-survey instrument, should have their new ethnic and race elements mechanically populated; the code will be derived by the Chancellor's Office using students' old ethnic codes.

7. Full implementation of the new elements across all existing ERS files will be completed during the 2009-10 college year; this means accommodating ERSD, ERSO, sERSS, and ERST. Initially, the process will be one of the Chancellor's Office mechanically converting old ethnic codes to the new ethnic and race codes. More details are forthcoming.

CC: **(Without attachments)**
                                           Presidents
                                           Enrollment Planning & Resources Officer
                                           Vice Presidents/Provosts, Academic Affairs
                                           Vice Presidents/Administration
                                           Vice Presidents/Deans, Student Affairs
                                           Deans, Extended Education
                                           Chief Budget Officers
                                           Chief Facilities Planners/Executive
                                           Chief Enrollment Management Officer
                                           Chief Academic Programs Planner
                                           Executive Vice Chancellor / CAO Gary W. Reichard
                                           Associate Vice Chancellor, Jeri Echeverria
                                           Chancellor's Office Staff: **(With attachments)**
                                           Marsha Hirano-Nakanishi
                                           Jim Blackburn
                                           Analytic Studies