
University of California, Berkeley



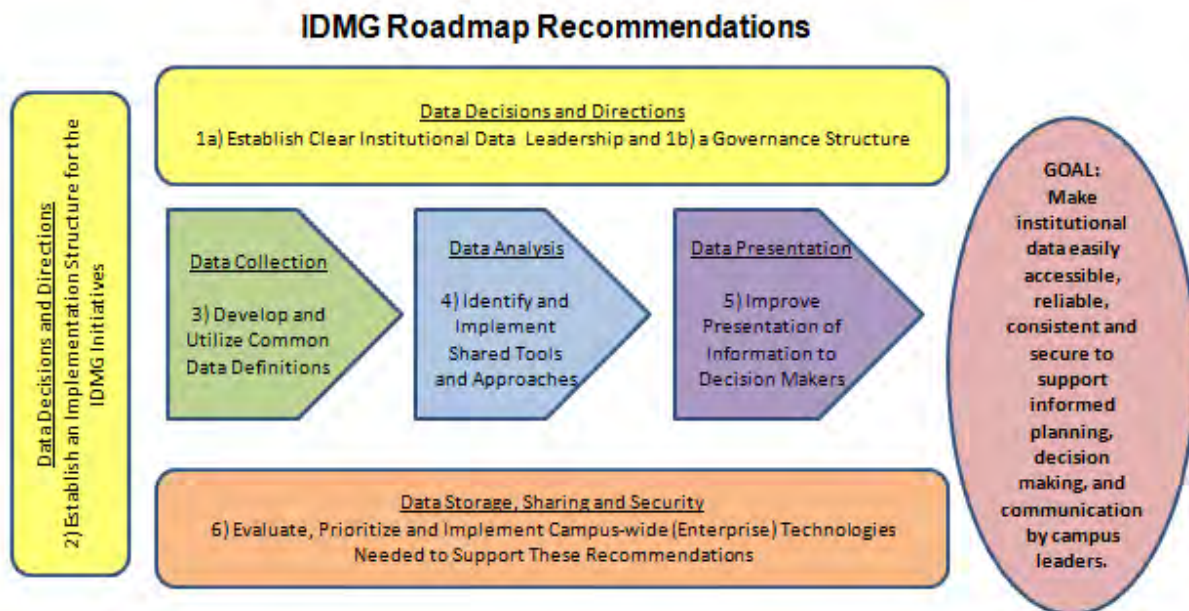
**RECOMMENDATIONS OF THE
ETHNICITY DATA TASK FORCE
ON DATA COLLECTION
AND REPORTING**

OFFICE OF THE VICE CHANCELLOR
EQUITY & INCLUSION
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OVERVIEW OF ETHNICITY DATA COLLECTION AND REPORTING

As part of the Institutional Data Management and Governance (IDMG) Initiative, the Institutional Data Council (IDC) charged Gibor Basri, Vice Chancellor for Equity & Inclusion, to examine current practices of collecting and reporting ethnicity data, with the goal of achieving consistency across campus.

This charge was driven by the IDMG Recommendation on Data Collection (Step 3 in the Figure below): Develop and Utilize Common Data Definitions. Additionally, the recommendations in this paper follow the guidelines set out in Step 6, regarding Data Storage, Sharing and Security, by ensuring that the recommendations on ethnicity below can be included in the development of the Enterprise Data Warehouse (EDW) under construction in Information Services and Technology (IS&T).



Ethnicity data on undergraduate students, graduate students, faculty, and staff are collected by different departments across campus: Undergraduate Admissions, Graduate Division, Faculty Equity, and Human Resources. The ethnicity data collected by different units were based on policies and needs of the individual units, and historically the data collected have been inconsistent, with different departments collecting different information on ethnicity. This differential data collection resulted in inconsistent ethnicity reporting, for example, some campus reports had four or eight ethnic categories and other reports had as many as fifteen ethnic categories.

To attain the IDMG goal of having “consistent” ethnicity data collection and reporting, Vice Chancellor Basri convened an Ethnicity Data Task Force in August 2010 to review current practices of data collection for undergraduate and graduate students, faculty, and staff. The Task Force was asked to consider three primary questions:

- 1) What ethnic data can be collected consistently across units?

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- 2) How should the campus report ethnicity internally, as well as externally?
- 3) How should the campus report multiple race / ethnic individuals?

In examining these questions, the Task Force considered resource constraints, legal considerations, and the capacity of existing systems as well as potential gains with the emerging EDW – all with an eye toward data collection and reporting that is reasonable and meets the needs for consistent reporting.

Recognizing the different reporting requirements placed upon departments (campus reporting, federal reporting, state, etc.) – the **recommendations below apply only to standard campus reporting and not to externally required reporting or special ad hoc requests.**

Standard reporting includes information provided on publicly accessible campus / departmental web sites, press releases, facts-at-a-glance, and other regular internal and external reporting. This does not include special ad hoc requests or reporting for agencies that require specific ethnic information (e.g., IPEDS reporting, federal or private contracts and grants, state reporting requirements.)

In summary, the Task Force makes **three recommendations** for consideration by the IDC:

- 1) Ethnicity Data Collection: Effective for 2011-12 campus ethnicity reporting, departments should MINIMALLY collect fifteen (15) ethnic categories, based on the categories collected by the Graduate Division. (Details below.)
- 2) Standard Campus Ethnicity Data Reporting: Effective for standard 2011-12 campus ethnicity reporting, departments should report using fifteen (15) categories, based on categories used by the UC Office of the President. (Details below.)
- 3) Multi-racial / Ethnic Reporting: The Task Force proposes that: 1) decisions regarding multiple race reporting be postponed until more information becomes available, and 2) the Graduate Division, Undergraduate Admissions, and Human Resources undertake pilot analyses of multiple race for delivery and review in 2011-12.

Pending approval, the recommendations regarding data collection (Recommendation 1) and data reporting (Recommendation 2), would be included in the EDW, for more efficient standard reporting.

RECOMMENDATION 1: ETHNICITY DATA COLLECTION

Effective for 2011-12 campus ethnicity reporting, departments should MINIMALLY collect fifteen (15) ethnicity categories outlined below. The categories largely reflect the ethnicity data currently collected on the 2011-12 UC Berkeley Graduate Application for Admission.

Proposed Minimum Campus Ethnicity Data Collection*

Based on categories and category names collected by the Graduate Division
(Category names may differ across departments for collection purposes)

African American/Black
Mexican/Mexican American/Chicano
Latin American/Latino
Puerto Rican
Other Hispanic
American Indian/Alaska Native
Filipino/Filipino American
Vietnamese/Vietnamese American
Chinese/Chinese American
East Indian/Pakistani
Japanese/Japanese American
Korean/Korean American
Native Hawaiian/Other Pacific Islander
Other Asian/Asian American
White

* Departments may choose to collect more categories than the 15 listed.
These 15 categories represent the minimum that should be collected.

1.1 Minimum 15 Ethnic Categories for Collection: These 15 categories represent the minimum that should be collected. Departments may collect more detailed categories, as long as the 15 categories listed above are included. An example of collecting more than the minimum is the Undergraduate Application for Admissions, which collects a total of 37 categories.

Approval of Recommendation 1 on the collection of the minimum 15 categories will require Human Resources to collect an additional 3 ethnic categories. Both Graduate Division and Undergraduate Admissions are unaffected, as both currently collect the minimum 15 categories.

1.2 Naming Convention for Data Collection May Differ: The naming convention for ethnic categories may differ across departments for data collection purposes. For example, a department may choose to collect “Other Hispanic” or “Other Hispanic/Latino,” etc.

Allowing for different naming conventions in data collection does not affect current practices in Graduate Division, Undergraduate Admissions, and Human Resources. In Appendix 1, a translation between the different naming conventions currently collected provides definitions on how categories align.

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1.3 Effective for 2011-12 Reporting: The timeline for the recommended ethnicity data collection coincides with the individual department's schedule for standard ethnicity reporting on 2011-12 data. In many cases, 2011-12 reporting does not take place until Spring 2011 or later. Again, the recommendations apply only to standard campus reporting, not externally required reporting.

RECOMMENDATION 2: STANDARD CAMPUS ETHNICITY DATA REPORTING

Effective with 2011-12 standard campus ethnicity reporting, departments should report using the fifteen (15) categories outlined below. The categories largely reflect reporting used by the UC Office of the President (UCOP). Categories are ordered according to the hierarchy for assigning a single ethnicity when an applicant chooses more than one.

| Proposed Campus Standard Ethnicity Data Reporting |
|---|
| <u>(Category names should be the same across departments for reporting purposes)</u> |
| African American/Black |
| Mexican American/Chicano |
| Other Hispanic/Latino |
| Native American/Alaskan Native |
| Filipino |
| Vietnamese |
| Chinese |
| South Asian |
| Japanese |
| Korean |
| Pacific Islander |
| Other Asian |
| White |
| Decline to State* |
| International** |
| * "Decline to State" is a derived category, and assumed when the individual does not provide information. |
| ** "International" category applies only to student ethnicity reporting. The ethnicity may be known, but for reporting purposes, identified as "International". |

It is proposed that the 15 reporting categories above become the standard ethnicity reporting categories for all regular campus reports. This would include information provided on publicly accessible campus / departmental web sites, press releases, facts-at-a-glance, and other regular internal and external reporting. This does not include special ad hoc requests or reporting for agencies that require specific ethnic information (e.g., IPEDS reporting, federal or private contracts and grants, state reporting requirements.)

In addition to the standard 15 reporting categories, it is proposed that departments be allowed to display ethnic data in fewer categories, as long as the full standard 15 categories are also displayed, or can be immediately and easily retrieved by a user, such as through a drill-down menu on an interactive website. (See section on Additional Reporting Categories below.)

2.1 Data Collection and Data Reporting Categories Are Not Identical: Note that the recommended categories for data collection and data reporting are not identical, although both have 15 categories. The “Latin American/Latino” and “Puerto Rican” categories from the data collection categories should be rolled into the “Other Hispanic/Latino” data reporting category. (See section on Data Collection and Data Reporting Translation below.) Additionally, “International” and “Decline to State” reporting categories are derived, and are not explicitly collected as ethnic categories. (See sections on International and Decline to State below.)

2.2 Data Collection and Data Reporting Translation: The following translation between the proposed standard data collection and data reporting categories is proposed.

Proposed Translation between Data Collection and Reporting

| Data Collection: Naming conventions may differ across units | Standard Reporting: Naming convention should be the same across units |
|---|---|
| Proposed Minimum Standard Data Collection | Proposed Standard Reporting |
| African American/Black | African American/Black |
| Mexican/Mexican American/Chicano | Mexican American/Chicano |
| Latin American/Latino Puerto Rican Other Hispanic | Other Hispanic/Latino |
| American Indian/Alaska Native | Native American/Alaskan Native |
| Filipino/Filipino American | Filipino |
| Vietnamese/Vietnamese American | Vietnamese |
| Chinese/Chinese American | Chinese |
| East Indian/Pakistani | South Asian |
| Japanese/Japanese American | Japanese |
| Korean/Korean American | Korean |
| Other Asian/Asian American | Other Asian |
| Native Hawaiian/Other Pacific Islander | Pacific Islander |
| White | White |
| | Decline to State* |
| | International** |

* Decline to State is a derived field and is assumed when the individual does not provide ethnicity information.

** International is a derived field and applies only to student ethnicity reporting.

Additional proposed translations between the data collected by Undergraduate Admissions and Human Resources are found in Appendices 2 and 3.

2.3 General “Other” Ethnicity Category: A general “Other” ethnic category is no longer collected by Undergraduate Admissions, Graduate Division, or Human Resources, although there may be specific “other” categories, such as “Other Asian” or “Other Hispanic”. Since a general “Other” category has been collected in the past, and recognizing that historical or trend reporting is frequently requested, it is proposed that beginning with 2011-12 standard reporting, any historical or trend reporting include “Other” as a separate category for any years prior to 2011-12, however, with appropriate notation that the category is no longer used beginning with 2011-12. An example is listed below:

Sample Reporting with a General "Other" Category

| Proposed Standard Reporting | Fall 2009 | Fall 2010 | Fall 2011 |
|------------------------------------|------------------|------------------|------------------|
| African American/Black | 100 | 120 | 130 |
| Mexican American/Chicano | 400 | 425 | 450 |
| Other Hispanic/Latino | 100 | 120 | 130 |
| Native American/Alaskan Native | 40 | 50 | 60 |
| Filipino | 100 | 120 | 130 |
| Vietnamese | 100 | 120 | 130 |
| Chinese | 200 | 225 | 250 |
| South Asian | 100 | 120 | 130 |
| Japanese | 100 | 120 | 130 |
| Korean | 200 | 225 | 250 |
| Other Asian | 100 | 120 | 130 |
| Pacific Islander | 50 | 60 | 70 |
| White | 200 | 225 | 250 |
| Other* | 50 | 60 | |
| Decline to State | 100 | 100 | 80 |
| International | 100 | 120 | 130 |

* Note: Beginning with Fall 2011, the University no longer collects ethnicity data under a general "Other" category.

2.4 Decline to State Category: The “Decline to State” reporting category is a derived field and is not an ethnic category that is collected. “Decline to State” is assumed when the individual does not provide ethnicity information.

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2.5 International Category: The International reporting category is a derived field and is not an ethnic category that is collected. International students may have provided their ethnicity to the campus, but for reporting purposes, they are classified as International.

The International category would only apply to student reporting, where it is a standard industry designation. It will not apply to faculty and staff reporting. Any permanent campus faculty and staff, who are on work visas, are presumed to be working towards permanent US residency.

2.6 Additional Reporting Categories (under certain circumstances): In addition to the standard 15 ethnic reporting categories identified above, departments may report ethnicity in fewer “rolled-up” categories – **as long as the standard 15 categories are also on the report**, or the user is able to immediately and easily access the standard 15 categories, such as a drill-down menu on an interactive website.

The proposed additional reporting categories follow:

Proposed Additional Reporting Categories

Allowed only when the standard 15 reporting categories are also presented †

Ethnic 9 Rollup

African American
Chicano/Latino
Native American/Alaskan Native
Asian
Pacific Islander
White
Other*
Decline to State**
International***

Ethnic 4 Rollup

Underrepresented Minority
Asian/Pacific Islander
White/Other
International***

† Departments may report ethnicity in fewer “rolled-up” categories – as long as the standard 15 categories are also on the report, or the user is able to immediately and easily access the standard 15 categories, such as a drill-down menu on an interactive website.

* "Other" was a category that was previously used, although no unit currently collects this category. For historical or trend reporting, it is proposed to retain the "Other" category until which time it is no longer applicable.

** Decline to State is assumed when the individual does not provide ethnicity information.

*** International applies only to student ethnicity reporting.

A translation between the standard 15 reporting categories and the “Ethnic 9” and “Ethnic 4” Rollups is in Appendix 4.

2.7 Effective for 2011-12 Reporting: The timeline for the recommended ethnicity data reporting coincides with the individual department's schedule for standard ethnicity reporting on 2011-12 data. In many cases 2011-12 reporting does not take place until Spring 2011 or later. Again, the recommendations apply only to standard campus reporting, and not externally required reporting.

RECOMMENDATION 3: MULTI-RACIAL / ETHNIC REPORTING

Due to the complex nature of multiple race reporting, and because complete data is not yet available, it is proposed that decisions regarding reporting be postponed until more information becomes available. Systemwide UC will not publish any official multiple race reports in 2010-11 and agreed that no changes will be made to ethnicity reporting in 2010-11. Systemwide and campuses are expected to report ethnicity as it has historically for 2010-11. Systemwide data on multiple race for students is not yet available for review, and no guidance is currently forthcoming.

Proposed Pilot Study on Multi-Racial / Ethnic Reporting: Until further guidance from UC Systemwide is forthcoming, the Task Force proposes that the Graduate Division, Undergraduate Admissions, and Human Resources undertake pilot analyses of multiple race, to be delivered in 2011-12, based on the federal IPEDS five (5) race categories PLUS Hispanic/Latino. The Office of Planning and Analysis will coordinate the pilot study in conjunction with the Division of Equity & Inclusion. Formats and deliverables will be developed separately.

- Hispanic/Latino
- African American/Black
- American Indian/Alaska Native
- Asian
- Native Hawaiian/Pacific Islander
- White

Institutional Data Management & Governance (IDMG) / Enterprise Data Warehouse (EDW)

These recommendations for ethnicity data collection and data reporting directly support Step 3 (Data Collection) in the IDMG Roadmap, by obtaining agreement on common methods of collecting and reporting ethnicity data across campus departments. This effort also advances Step 6 of the IDMG Roadmap (Data Storage, Sharing and Security), by institutionalizing any approved recommendations through the EDW. In 2010, the Division of Equity & Inclusion invested in the EDW by providing funding for the development of new ethnicity tables for reporting. With this investment, any approved ethnic data collection and reporting requirements proposed by the Task Force would be included in the

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development of the EDW, thereby simplifying, centralizing, and promoting consistent ethnicity reporting.

Re-Surveying Faculty and Staff on Ethnicity

During deliberations on ethnicity collection and reporting, the issue of re-surveying faculty and staff on their racial / ethnic identification arose. Historical collection on the racial / ethnic identification of faculty and staff has been inconsistent, and sometimes dependent on individual offices to provide ethnicity information. If the recommended ethnicity data collection and data reporting applies only to new faculty and staff, campus reports may still yield an incomplete and inaccurate picture of the racial / ethnic make-up of campus employees for decades to come, because the turnover of faculty and staff is slow in comparison to student populations.

While the undergraduate and graduate student populations on campus largely turn over in a six-to-ten year period, faculty and staff populations may stay in place for decades. While outside the scope of this set of recommendations on ethnicity data collection and reporting, re-surveying campus employees on their racial / ethnic identification is a prudent action. Any re-survey of employee ethnicity could be part of a larger survey that gathers additional or more updated information that the campus would like to receive.

APPENDIX 1

Different Naming Conventions Used by Departments in Ethnicity Collection

The naming convention for ethnic categories may differ across departments for data collection purposes. A translation between the different names currently collected follows, which may be used in determining how categories align.

Different Naming Conventions Used by Departments in Collecting Ethnicity Data

| UNDERGRADUATE | GRADUATE | HUMAN RESOURCES / FACULTY* |
|--------------------------------|----------------------------------|----------------------------------|
| African American | African American or Black | Black/African American |
| Caribbean | | |
| African | | |
| Other Black | | |
| Mexican/Chicano | Mexican American/Chicano | Mexican/Mexican-American/Chicano |
| Latin American | Latin American/Latino | Latino American/Latino |
| Puerto Rican | Puerto Rican | |
| Cuban | | |
| Other Spanish Latino | Other Hispanic | Other Spanish/Spanish American |
| American Indian/Alaskan Native | American Indian/Alaskan Native | American Indian/Alaskan Native |
| Filipino | Filipino/Filipino American | Filipino/Pilipino |
| Vietnamese | Vietnamese/Vietnamese American | |
| Chinese | Chinese/Chinese American | Chinese/Chinese-American |
| Asian Indian | East Indian/Pakistani | East Indian/Pakistani |
| Pakistani | | |
| Japanese | Japanese/Japanese American | Japanese/Japanese-American |
| Korean | Korean/Korean American | |
| Taiwanese | | |
| Bangladeshi | | |
| Cambodian | | |
| Hmong | | |
| Indonesian | | |
| Laotian | | |
| Malaysian | | |
| Sri Lankan | | |
| Thai | | |
| Other Asian | Other Asian/Asian American | Other Asian |
| Fijian | | |
| Guamanian | | |
| Hawaiian | | |
| Samoan | | |
| Tongan | | |
| Other Pacific Islander | Native Hawaiian/Pacific Islander | Native Hawaiian/Pacific Islander |
| White/Caucasian | White | White (Non-Hispanic) |
| Middle Eastern | | |
| North African | | |
| Other White | | |
| Decline to State** | Decline to State** | Decline to State** / Unknown |

* Faculty applicant data is collected separately from Human Resources. When a faculty member becomes a new employee, s/he provides new information, which is collected by Human Resources.

** Decline to State is assumed when the individual does not provide ethnicity information.

APPENDIX 2

Proposed Translation between Undergraduate Ethnic Categories and the Proposed Standard 15 Reporting Categories

It is proposed that departments report ethnicity in 15 standard categories. The proposed translation between the Undergraduate ethnic categories and the standard 15 categories follows:

| <u>UNDERGRADUATE</u> | <u>Proposed 15 Reporting Categories</u> |
|---|---|
| African American Caribbean African Other Black | African American/Black |
| Mexican/Chicano | Mexican American/Chicano |
| Latin American Puerto Rican Cuban Other Spanish Latino | Other Hispanic/Latino |
| American Indian/Alaskan Native | Native American/Alaskan Native |
| Filipino | Filipino |
| Vietnamese | Vietnamese |
| Chinese Taiwanese | Chinese |
| Asian Indian Pakistani Bangladeshi Sri Lankan | South Asian |
| Japanese | Japanese |
| Korean | Korean |
| Cambodian Hmong Indonesian Laotian Malaysian Thai Other Asian | Other Asian |
| Fijian Guamanian Hawaiian Samoan Tongan Other Pacific Islander | Pacific Islander |
| White/Caucasian Middle Eastern North African Other White | White |
| | Decline to State* |
| | International** |

* Decline to State is a derived field and is assumed when the individual does not provide ethnicity information.

** International is a derived field and applies only to student ethnicity reporting.

APPENDIX 3

Proposed Translation between Human Resources Ethnic Categories and
the Proposed Standard 15 Reporting Categories

It is proposed that departments report ethnicity in 15 standard categories. The proposed translation between the Human Resources ethnic categories and the standard 15 categories follows:

| Data Collection: Naming conventions may differ across units | Standard Reporting: Naming convention should be the same across units |
|---|---|
| Human Resources Ethnicity Data Collection | Proposed Standard Reporting |
| Black/African American | African American/Black |
| Mexican/Mexican American/Chicano | Mexican American/Chicano |
| Latin American/Latino | |
| Puerto Rican (TO BE COLLECTED by HR) | Other Hispanic/Latino |
| Other Spanish/Spanish American | |
| American Indian/Alaska Native | Native American/Alaskan Native |
| Filipino/Pilipino | Filipino |
| Vietnamese (TO BE COLLECTED by HR) | Vietnamese |
| Chinese/Chinese American | Chinese |
| East Indian/Pakistani | South Asian |
| Japanese/Japanese American | Japanese |
| Korean (TO BE COLLECTED by HR) | Korean |
| Other Asian | Other Asian |
| Native Hawaiian/Other Pacific Islander | Pacific Islander |
| White (Non-Hispanic) | White |
| | Decline to State* |
| | International** |

* Decline to State is a derived field and is assumed when the individual does not provide ethnicity information.

** International is a derived field and applies only to student ethnicity reporting.

APPENDIX 4

Proposed Translation between Proposed Standard 15 Reporting Categories and Additional Reporting Categories (Ethnic 9 and Ethnic 4)

It is proposed that departments may report ethnicity in fewer “rolled-up” categories – **as long as the standard 15 categories are also on the report**, or the user is able to immediately and easily access the standard 15 categories, such as a drill-down menu on an interactive website. The proposed translation between the standard 15 categories and “rolled-up” categories follows:

| <u>Proposed 15 Reporting Categories</u> | <u>Proposed additional reporting categories</u> | |
|---|---|---------------------------|
| | <u>Ethnic 9 Rollup</u> | <u>Ethnic 4 Rollup</u> |
| African American/Black | African American | Underrepresented Minority |
| Mexican American/Chicano Other Hispanic/Latino | Chicano/Latino | |
| Native American/Alaskan Native | Native American/Alaskan Native | |
| Filipino Vietnamese Chinese South Asian Japanese Korean Other Asian | Asian | Asian/Pacific Islander |
| Pacific Islander | Pacific Islander | White/Other |
| White | White | |
| Decline to State* | Decline to State* Other** | |
| International | International | International |

* Decline to State is assumed when the individual does not provide ethnicity information.

** "Other" was a category that was previously used, although no unit currently collects this category. For historical or trend reporting, it is proposed to retain the "Other" category until which time it is no longer applicable.