Report and Suggestions from IPEDS Technical Review Panel #17
Implementing New Race/Ethnicity Standards

NOTICE CONCERNING THIS SUMMARY:

The Department of Education issued the **Final Guidance on Maintaining, Collecting, and Reporting Racial and Ethnic Data to the U.S. Department of Education**, on October 19, 2007. The Final Guidance required the revision of the implementation timeline from that suggested in this summary to the following:

2008-09 and 2009-10	Use of new R/E categories optional for all IPEDS components
2010-11	Use of new R/E categories mandatory for Human Resources and Fall Enrollment, but optional for Completions, 12-month Enrollment, and Graduation Rates
2011-12	Use of new R/E categories mandatory for all IPEDS components

The Final Guidance can be found in the Federal Register, Volume 72, Number 202, pp. 59266-59279, at http://edocket.access.gpo.gov/2007/pdf/E7-20613.pdf.

PROPOSAL SUMMARY: The U.S. Department of Education (ED) is proposing changes in how racial/ethnic data are reported. The IPEDS Technical Review Panel (TRP) met to discuss the preliminary guidance issued by ED and to propose an implementation schedule. The TRP suggests that reporting under the new categories be optional beginning in the 2008-2009 collection year. Mandatory reporting using the new categories for the Fall Enrollment and Human Resources components would begin the 2009-10 collection year. Mandatory reporting for the Completions, unduplicated full-year headcount, and Graduation Rates components would begin the 2010-2011 collection year. Institutions will want to review the proposed guidelines, but should not make any changes in their data collection forms and computer programs until ED has issued final guidance and the final implementation plan for IPEDS is released.

Background:

On August 7, 2006, the U.S. Department of Education (ED) posted to the Federal Register the "Proposed Guidance on Maintaining, Collecting and Reporting Data on Race and Ethnicity to the U.S. Department of Education." (Full details on the Department's proposed guidance, issued on August 7, 2006 can be found in the Federal Register (Volume 71, Number 151, pp. 44865-44871):
http://a257.g.akamaitech.net/7/257/2422/01jan20061800/edocket.access.gpo.gov/2006/pd

.) The proposed changes are necessary for the department to implement the Office of Management and Budget's (OMB) 1997 Standards for Maintaining, Collecting and Presenting Federal Data on Race and Ethnicity. Because the collection and reporting of racial/ethnic data for students and staff are mandatory for all Title IV institutions, IPEDS will need to adopt new aggregate categories for reporting racial/ethnic data in accordance with the final guidance when it is issued by ED.

The IPEDS Technical Review Panel (TRP) met on November 13-14, 2006, to discuss some of the issues that NCES and institutions must face with the implementation of the 1997 Race/Ethnicity Standards under the proposed guidelines. The panel members included 64 individuals representing federal government, state government, institutions, national data users, association representatives, and others. **Because ED's guidelines are not final, the proposed IPEDS implementation schedule is considered preliminary and will be reviewed once final guidelines are available.**

Current and Proposed Racial/Ethnic Reporting Categories:

IPEDS collects racial/ethnic data in four of its components: Fall Enrollment (including unduplicated headcount), Human Resources, Completions, and Graduation Rates. Currently, aggregate racial/ethnic data are reported using 5 categories: Hispanics of any race, American Indian or Alaskan Native, Asian or Pacific Islander, Black not-Hispanic, and White not-Hispanic. Additionally, 2 categories are available for reporting non-resident aliens and for reporting counts when race/ethnicity is unknown.

ED's preliminary guidance requires separating the category "Asian or Pacific Islander" into two separate categories, one for "Asian" and one for "Native Hawaiian or Other Pacific Islander." Additionally, a category will be provided for reporting two or more races. This results in 7 categories for reporting aggregate racial/ethnic data: Hispanics of any race, American Indian or Alaska Native, Asian, Black not-Hispanic, Native Hawaiian or Other Pacific Islander, White not-Hispanic, and two or more races. IPEDS would also continue to use the 2 categories for reporting non-resident aliens and for reporting counts when race/ethnicity is unknown.

Implementation Proposal:

Based on ED's preliminary guidance, the TRP suggested the following timeline for reporting data under the new categories to IPEDS:

- **2007-08 (Development year)** — continue to report current race/ethnic categories: Keep all IPEDS components in current (5+2) format to allow sufficient time for software development and testing.
- **2008-09 (Optional year)** — voluntary reporting of new race/ethnic categories: All four relevant IPEDS components (Fall Enrollment, Human Resources, Completions, and Graduation Rates) would allow a combination of current and new race/ethnic submissions, and therefore IPEDS components would have five

current race/ethnic categories plus seven new race/ethnic categories plus two remaining categories ("Unknown" and "Non-resident alien")—a combined "5+7+2 format"; although the desire is that institutions will be able to collect and report the new race/ethnic data at this time, institutions would have the option to submit data using any of the following approaches:

1) new race/ethnic categories for everyone at the institution
2) current race/ethnic categories for everyone at the institution
3) "mixed reporting" - old categories for some individuals and new categories for others. The anticipation is that few institutions would select this option since it will be the most complex.

- **2009-10 (Mandatory year**—mandatory reporting of new race/ethnic categories for Fall Enrollment and Human Resources; and **2ⁿᵈ Optional year**—voluntary for Completions, unduplicated full-year headcount, and Graduation Rates): Fall Enrollment and Human Resources would have only the new categories; Completions, unduplicated full-year headcount, and Graduation Rates would collect using the 5+7+2 format.
- **2010-11 and after**: (**Mandatory for All IPEDS components**)—institutions would report using only the new race/ethnic categories.

In the years with components that have optional reporting, institutions can report one way for one IPEDS component and another for other IPEDS component. The expectation is that most will report using new race/ethnic categories for Completions and full-year unduplicated headcount the year after they report using new race/ethnic categories for Fall Enrollment and Human Resources. The following table summarizes the proposed reporting timeline.

Proposed Timeline for Reporting Race/Ethnicity Data to IPEDS

IPEDS Collection Year	Fall Enrollment and Human Resources	Completions, Unduplicated full-year headcount, and Graduation Rates
2007-08	current format (5+2)	current format (5+2)
2008-09	mixed format (5+7+2)	mixed format (5+7+2)
2009-10	new format (7+2) only	mixed format (5+7+2)
2010-11 and beyond	new format (7+2) only	new format (7+2) only

Additionally the panel discussed how IPEDS will make the data collected using the combined 5+7+2 format available through the various IPEDS reporting tools. The panel made the following suggestions:

- **College Opportunity Online Locator (COOL):** report only "selected race/ethnic categories" (Hispanic, American Indian or Alaskan Native, Black non-Hispanic, White non-Hispanic, Asian or Pacific Islander) since data for other categories would not be comparable across institutions.

- **Peer Analysis System (PAS)**: provide aggregated variables using the selected categories reported in COOL as well as the raw data submitted plus a flag indicating whether data were submitted using the old, new, or mixed categories.

- **Data Feedback Reports and Executive Peer Tool (ExPT):** use new race/ethnic categories when available and selected COOL categories during years when combined format is used.

- **Data Analysis System (DAS) and First Look (formerly E.D. Tab):** report data as they are displayed in COOL.

What are the implications of this proposal?

New race/ethnic reporting on IPEDS will be required in the near future. Although final regulations have not been released, institutions are encouraged to begin internal and system level discussions regarding how and when to collect race/ethnic data under the new formats to allow for reporting to IPEDS under the proposed timeline. Consideration should be given to what categories are needed for collecting data from students and employees, how the data will be stored and whether any mapping or bridging strategy is appropriate, and how the data will be aggregated for reporting to IPEDS. Institutions need to determine whether to, and if so, when they will re-survey students and employees, including whether this will be a one-time re-survey or make it part of all future registrations. They will need to determine procedures for maintaining and updating their files, as well as how to handle any missing data for students and employees who may not be at the institution at the time of the survey. Institutions are encouraged to make the transition to the new racial categories for the 2008-09 IPEDS Collection Year in conjunction with their state reporting systems, as appropriate.

Comments Requested by January 31, 2007:

We encourage interested parties to send any comments or concerns about this proposal to Elise Miller, IPEDS Program Director, at Elise.Miller@ed.gov, by January 31, 2007. **Please include the following in the email subject line: IPEDS New Race/Ethnicity Standards Implementation - Proposal Comments**.