Appendix A

REVISIONS TO THE STANDARDS FOR THE CLASSIFICATION OF FEDERAL DATA ON RACE AND ETHNICITY

The information provided below describes the reasoning for the change in the Race and Ethnicity Data Elements since the 1994 and 1995 print editions of the Student and Staff Handbooks and provides explanation on why these Handbooks elements differ from the categories required for reporting to the U.S. Department of Education (USED).

In 1997, the Office of Management and Budget (OMB) adopted new standards for classifying race and ethnicity and provided guidelines in 2000.[1] And in 2007, USED issued its own guidance on how education institutions and other recipients will collect and maintain race and ethnicity data on students and staff, as well as how these data will be aggregated and reported to USED.[2] Implementation of this new guidance will be required by fall 2010 in time to report data for the 2010–11 school year. In the interim, educational institutions and other recipients may continue to use the older standards set in Office of Management and Budget (OMB) Statistical Policy Directive No. 15.[3] For easy reference, a description of both sets of standards is provided below.

Directive 15: Presented in the 1995 Print Edition of the Staff Data Handbook

The *Standards for the Classification of Federal Data on Race and Ethnicity* (Statistical Policy Directive No. 15) was issued by OMB in 1977. They were designed to provide a standard classification for record keeping, collection, and presentation of data on race and ethnicity in federal program administrative reporting and statistical activities. As such, these are standards to which all federal agencies and programs must adhere.

Directive 15 required a minimum of five acceptable racial and ethnic categories be included in all federal data collection instruments. The categories and their definitions are as follow:

- **American Indian or Alaskan Native**: A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

- **Asian or Pacific Islander**: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.

- **Black**: A person having origins in any of the black racial groups of Africa.

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

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

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[1] *Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity* is available from the OMB website at http://www.whitehouse.gov/omb/fedreg/1997standards.html. *Provisional Guidance on the Implementation of the 1997 Standards for the Federal Data on Race and Ethnicity* with accompanying appendices (3) can be accessed from the OMB website at http://www.whitehouse.gov/omb/inforeg/statpolicy.html.

[2] *Final Guidance on Maintaining, Collecting and Reporting Racial and Ethnic Data to the U.S. Department of Education* is available from the USED at the Federal Register web site at http://edocket.access.gpo.gov/2007/E7-20613.htm.

[3] *Recommendations from the Interagency Committee for the Review of the Racial and Ethnic Standards to the Office of Management and Budget Concerning Changes to the Standards for the Classification of Federal Data on Race and Ethnicity, Appendix 1: Directive No. 15 Race and Ethnic Standards for Federal Statistics and Administrative Reporting* is available from the U.S. Census Bureau website at http://www.census.gov/population/www/socdemo/race/Directive_15.html.

2007 USED Guidance on Maintaining, Collecting, and Reporting Race and Ethnicity Data

In 1994, in response to the need to reflect the increasing diversity of the population of the United States, OMB began a comprehensive review of the current racial and ethnic categories in collaboration with the Interagency Committee for the Review of the Racial and Ethnic Standards.[4] OMB accepted the recommendations of the Interagency Committee in 1997 and released standards for federal data on race. In order to conform to the new guidelines, USED issued its own guidance in 2007 on how education institutions and other recipients will collect and maintain race and ethnicity data on students and staff, as well as how these data will be aggregated and reported to USED. These revised standards have two categories for data on ethnicity ("Hispanic or Latino" and "Not Hispanic or Latino) and five minimum categories for data on race, of which respondents will be allowed to select more than one. The new categories and their definitions are as follow:

Ethnic Categories ("Hispanic or Latino" and "Not Hispanic or Latino")

- **Hispanic or Latino**: An indication that the person traces his or her origin or descent to Mexico, Puerto Rico, Cuba, Central and South America, and other Spanish cultures, regardless of race.

Racial Categories

- **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.

- **Asian**: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent. This area includes, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

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

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

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

These new standards differ from the Directive 15 standards in several key ways. Major differences in the new standards include:

1) Ethnicity is required to be collected separately from race. Every individual is to be identified as either "Hispanic or Latino" or "Not Hispanic or Latino" irrespective of race. As follows, 'Hispanic or Latino Ethnicity' is a distinct element in the Handbooks.

2) Individuals are allowed to select one or more races. The detailed information on race and ethnicity reported for each individual must be maintained at the local level for each individual.

3) The older category, 'Asian or Pacific Islander' has been divided into two new categories, 'Asian' and 'Native Hawaiian or Other Pacific Islander.'

Additional racial and ethnic categories may be used at the local level, provided that these are more granular subcategories of the one ethnic and/or five primary racial groups (e.g., Cambodian, Chinese,

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[4] *Recommendations from the Interagency Committee for the Review of the Racial and Ethnic Standards to the Office of Management and Budget Concerning Changes to the Standards for the Classification of Federal Data on Race and Ethnicity* is available from the U.S. Census Bureau website at http://www.census.gov/population/www/socdemo/race/Directive_15.html.

and Indian might be collected as subcategories of Asian). See below for preparing aggregated reports for the USED, any additional categories should be aggregated to the ethnic and racial categories above.

Educational institutions and other federal funding recipients are required to implement this guidance by the Fall of 2010 in order to report data for the 20101-2011 school year.

Aggregating Individual Collection Categories into Federal Aggregate Categories

The Handbooks follow the 2007 USED guidance for collecting and maintaining data on ethnicity and race at the local level, now including the element 'Hispanic or Latino Ethnicity,' as well as new elements for each of the five racial categories. There is also an element, 'Race for Federal Reporting,' for reporting race and ethnicity to USED. The option set for this element includes one option for each of the ethnic and racial groups and one option for multi-racial. When aggregating local data for federal reporting, the race and ethnicity options in the previous section should be aggregated into the seven categories below[5]. The seven aggregate categories for reporting to USED are:

- **Hispanic/Latino of any race**;

- and, for individuals who are non-Hispanic/Latino only:

    o **American Indian or Alaska Native**,

    o **Asian**,

    o **Black or African American**,

    o **Native Hawaiian or Other Pacific Islander**,

    o **White**, and

    o **Two or more races**.

When reporting aggregated race and ethnicity data to USED, the following guidelines should be used:

1) Respondents who choose 'Hispanic or Latino' should be aggregated into the 'Hispanic or Latino' category regardless of their race selection(s).

2) Individuals who choose one race and are 'Not Hispanic or Latino' should be aggregated into the single race category they selected.

3) Individuals who choose more than one race and are 'Not Hispanic or Latino' should be aggregated into the 'Two or more races' category.

For further explanation on aggregating individuals into the seven USED categories, see the *Final Guidance on Maintaining, Collecting and Reporting Racial and Ethnic Data to the U.S. Department of Education* at http://edocket.access.gpo.gov/2007/E7-20613.htm, section I. B.

Additional information on implementing the new guidance was developed by the National Forum on Education Statistics called Managing an Identity Crisis: Forum Guide to Implementing New Federal Race and Ethnicity Categories and can be found at http://nces.ed.gov/pubs2008/rediguide.

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[5] Using only the two ethnic and five racial categories, a total of 62 possible race/ethnicity combinations are possible. Two additional possibilities may apply to individuals who do not select a race. For a full list of these combinations, see http://nces.ed.gov/statprog/2002/appendixa.asp. The USED guidance does not dictate any coding scheme for maintenance of these combinations.