

Race and Ethnicity Code Transition Team Report and Recommendations

EXECUTIVE SUMMARY

The Race and Ethnicity Code Transition Team was created in January 2009 to develop recommendations and a plan for implementing the changes in race and ethnicity codes mandated by the federal government. The responsibilities of this team were defined as: to plan and lead the implementation of the new race and ethnicity code changes; and to develop the underlying policies, practices and standards that will guide the change to the new race and ethnicity codes on the University of Florida campus. Two teams were formed within the transition team – a policy team and an implementation team. The detailed charges for the teams are listed in Appendix A. The list of tasks and the timetable for the team's work is included as Appendix B.

The team has met monthly since February 2009 and has conducted research and reached out to the campus in gathering data, analyzing alternative strategies for the transition and generating the recommendations included in this document.

Impact Statement

It is easy to underestimate the impact of a single change in the way data are coded. However, race/ethnicity data are included in all the university's major administrative systems, such as the PeopleSoft Human Resources and Financial systems and our legacy Student Records System. Any change to these systems can involve coordination with external vendors and/or internal workload for modifications. Data changes in major administrative systems have cascading impacts on all the organizations that use the data to create reports, do studies, or support business processes.

The University of Florida Race and Ethnicity Code Transition Team has identified a variety of impacts beyond the major system changes themselves. These include many smaller systems or databases whose data structure will need to change and reports that will need to be reprogrammed before being sent to external agencies. In addition, a number of organizations have reported that they receive data from or exchange data with external sources that will change to the new data codes for race/ethnicity.

There will be a human impact on our campus from these changes. In order to comply with new federal regulations, most institutions are choosing to resurvey their current faculty, staff and students in addition to collecting the new code data from individuals new to an institution. This avoids having multiple versions of race/ethnicity codes for current and new faculty, staff and students.

Policies, communication, and training will be needed to support the resurveying effort. The forms and processes governing how new individuals enter the university will also need to change to capture their racial and ethnic identities with the new data codes. Based on the 2000 Census, we can expect approximately 2% of our population to change categories when presented with the new codes. These changes will need to be explained to all of our audiences.

Compliance Strategy

The transition team proposes a set of strategies that will achieve compliance with federal mandates. These strategies involve changes in processes and forms for new students and employees, converting existing codes (“mapping”) for current employees, and resurveying existing employees to provide a chance to self-identify using the new codes. Policies and practices are put forth that promote both accuracy of race/ethnicity data and respect for individual choice in compliance with federal guidelines and best practices. Finally, a communications plan is identified to ensure both internal and external audiences are fully informed of the changes in codes and the meaning of new data following initial collection, mapping and resurveying.

Transition Team Recommendations

1. University Relations should coordinate, implement, and monitor the communication plan for this project while working with the university’s various audiences and other units as appropriate.
2. The race/ethnicity categories specified in the federal guidelines should be used at the University of Florida without addition or elaboration.
3. All coding detail should be maintained in storing the race/ethnicity data so that additional analysis of results beyond what is required for official reporting can be made.
4. The existing admissions and PeopleSoft Human Resources systems should be modified to enable storage of data in the new formats for entering students and employees.
5. The University of Florida, like the vast majority of other institutions in the nation, should conduct comprehensive resurveys of staff and students.
6. Direct support organizations such as the University Athletic Association and the University of Florida Foundation should conduct a resurvey of their employees, even though they are not included in the core personnel system. Shands should be informed of the university’s process, but should determine its own compliance requirements and strategy.
7. All students and employees in the systems to be resurveyed should be “mapped” to values in the new formats using a standard scheme. To be ready for summer 2010 reporting, the university needs to begin the mapping and resurveying process in fall 2009.

8. The scope of technical work for the transition should be divided into two categories:
 - a. Enterprise systems, databases and reports; and,
 - b. Local systems, databases and reports.
9. Enterprise-wide solutions should be developed by the central computing / analytic support organizations that currently manage those systems on behalf of the university.
10. Organizations that have developed custom applications that are important to their missions but not enterprise-wide in nature should have responsibility for the conversion of their custom systems, databases, and reports. The Transition Team recommends that such units be apprised of the progress of the enterprise-wide effort to better coordinate their own program.
11. The following systems should be considered the authoritative sources of data on race/ethnicity:
 - a. Student Records System: Source for student race/ethnicity data
 - b. Admissions System: Source for applicants data
 - c. PeopleSoft Human Resources: Source for employee race/ethnicity data
 - d. PeopleSoft Financial System: Source for vendor race/ethnicity data
 - e. Division of Continuing Education: Source for some enrolled students
 - f. GatorJobs: Source for job applicant data
12. The above authoritative systems should be modified to enable storage of data in the new formats for students, employees and applicants. Admissions has already implemented modifications in its system for applicants and entering student data in fall 2008 for the incoming fall 2009 class.
13. Individual employees should be asked to self-identify on race/ethnicity status through the process of renewing GatorLink passwords. On renewal, employees should be redirected to a self-service web page for the PeopleSoft Human Resources System. Direct access to the self-service web page should also be possible. Students should self-identify through the Integrated Student Information System (ISIS), which is the primary system with which students interact for course registration and other functions. In addition, if technical issues can be resolved, students who have not yet self-identified may also be redirected to the ISIS race/ethnicity change page when renewing GatorLink passwords.
14. For both new and continuing employees, paper forms should be available to record race/ethnicity data where employees do not have access to computers or are in remote locations.
15. To promote access to race/ethnicity data, the team recommends a common data interchange format. In addition, data should be incorporated from the Student Records System into the Campus Community Module of PeopleSoft, which also houses the employee data on race/ethnicity. Those source data can then be

extracted into a database that Bridges should make available to other units of the university.

16. The Office of Institutional Planning and Research should take lead responsibility for assuring that official reporting programs and related databases are modified for the new codes. In discharging this responsibility, OIPR should also work with the different units of the university that produce reports to assure changes are made.
17. Human Resources Services should implement a comprehensive training strategy for employees and payroll administrators to ensure race and ethnicity data are collected accurately and consistently.
18. The Office of Institutional Planning and Research (OIPR) should prepare detailed analyses of any trend changes in race/ethnicity data suitable to support internal and external communication about the results of the new codes.

Organizational Responsibilities

Several organizations will have leadership roles in implementing the changes outlined in this report. These include:

Organization	Responsibility
Bridges	PeopleSoft Human Resources System changes; self-service module; password change modifications; enterprise reporting and data warehouse changes
Student Records Group	Student Records System and data warehouse changes; federal and state reporting changes
Institutional Planning and Research	Federal, state and other external reporting changes; data base and internal reporting changes
Institute of Food and Agricultural Sciences (IFAS)	IFAS various systems
Health Science Center (HSC)	HSC various systems
Human Resource Services	Training, support, equal employment opportunity reporting.
University Relations	Communications plan.
Office of the Registrar	Resurveying.
Office of Admissions	Code collection for new applicants/students.
Small Business and Vendor Diversity Relations	Minority business reporting.

Resources

The transition plan outlined in this report is not based on an influx of new resources. Much of the total cost to the university will be reflected in the additional workloads placed on existing staff to implement changes in systems, databases, programs, training, work processes, forms and policies.

However, as a consequence, the speed at which the changes can be implemented may be limited by the ability of the above organizations to manage the required tasks within current workloads.

Executive Approval

Implementation of this plan requires the support and approval of all executive areas. No area will be unaffected, although many changes will be managed at the enterprise level.

Respectfully submitted,

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BACKGROUND

The final guidance from the U.S. Department of Education (USDOE) requiring changes in race/ethnicity collection and reporting was published in the Federal Register (72 FR 59266) in 2007. This guidance implemented a requirement for all federal agencies established by the Office of Management and Budget's (OMB) 1997 Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity. USDOE's guidelines are therefore consistent, for example, with those of the Equal Employment Opportunity Commission (see 70 FR 71294), the Census Bureau's reporting formats, and others. The Florida Board of Governors reporting requirements are being changed to comply with the new federal standards as well.

Collection

The university is required to collect race/ethnicity data from new students and employees using a two-part question. The first question is whether or not the respondent is Hispanic/Latino. The second question asks the respondent to select one or more races from five racial groups: American Indian or Alaska Native; Asian; Black or African American; Native Hawaiian or Other Pacific Islander; and/or White.

Respondents must be allowed to answer both questions and must be allowed to select multiple values for the second part of the question. The use of "one or more" is mandatory in the phrasing of the question.

The phrasing of the two-part question is up to the university, provided that it uses "one or more" in the second part and is otherwise compliant with the guidance.

Institutions have been told they should allow students and staff to self-identify their race and ethnicity unless self-identification is not practicable or feasible.

Institutions have been strongly encouraged to allow current students and staff to re-identify their race and ethnicity using the new standards.

The order of the race categories in the second part of the question is up to the university.

The university may provide more choices for either part of the two-part question provided that they aggregate to the required categories (e.g., the university could choose to ask for subcategories of Hispanic/Latino or Asian, consistent with definitions in the NCES statistical standards manual).

The university may not require individuals to self-identify; they must have the option of not responding.

The university may not add choices to the two-part question that do not fit within the required categories. The university may not, for example, include “None of the Above”, “Non-Resident Alien” or “Two or more races” as choices for self-identification.

Reporting

The university must aggregate the resulting data and report it in USDOE-required reports in nine categories:

1. Hispanic/Latino of any race; and, for individuals who are non-Hispanic/Latino,
2. American Indian or Alaska Native;
3. Asian;
4. Black or African American;
5. Native Hawaiian or Other Pacific Islander;
6. White, and
7. Two or more races.
8. Nonresident alien
9. Race/ethnicity unknown

“Race/ethnicity unknown” and “nonresident alien” are required to be used in reporting, although they are not allowable as choices in the two-part form.

The university may translate (“map” or “bridge”) race/ethnicity data from the prior categories to the new categories, provided that the scheme for doing so is published, consistent, and auditable.

Maintenance

The university must retain the details of individual responses collected to support the aggregate numbers reported to USDOE for three years. The university must also maintain the original responses under the old categories when an individual’s status is “mapped” to the new ones, and will also have to maintain the original responses for cohorts of students used in graduation rate calculations for three years.

Deadlines

The conversion to the new codes, including the resurvey process and the integration of the new data into functional systems, must be complete by the beginning of summer term 2010 for student data and by the beginning of August 2010 for personnel data. The reporting deadlines for the major files the university submits to state and federal governments are listed below. To meet the deadlines, the university will have to collect data in the new format much earlier.

IPEDS	
January/February 2011	Fall enrollment, human resources
October 2011	Completions, 12-month enrollment
March/April 2012	Graduation rates
Board of Governors	
August 2010	Salary Category Detail File
September 2010	Admissions File
October 2010	Student Instruction, College Prep Completions, Limited Access Programs Files
November 2010	University Employee File
April 2011	Retention (Student) Report
July 2011	Florida Educational Equity Report
July 2011	Certified Minority Spending (MBE) Report
October 2011	Financial Aid, Degrees Awarded Files
November 2011	Hours to Degree File
Office of Federal Contract Compliance	
October 2011	Affirmative Action Plan

COMMUNICATION AND MARKETING PLAN

It is imperative for the university to inform students, faculty and staff about the changes taking place and how they will be affected. Communications will also serve a marketing function by encouraging and reminding the university community to complete the resurveying and related activities. There will also be an educational effort needed to inform those who are managing local systems, databases, and reports of the changes being made in race and ethnicity codes. Likewise, for the external audience, the university can benefit from ensuring its various audiences know the university is complying with federal law and is staying consistent with the census and related documents.

The university should be proactive in studying and explaining any trend differences that emerge and should explain and communicate the results to external audiences. For instance, the university may appear to have fewer individuals in certain racial groups in the future, not because of changes in personnel, but as a result of the new definitions and reporting requirements.

Recommendation

University Relations should coordinate, implement, and monitor the communication plan for this project while working with the university's various audiences and other units as appropriate.

See Appendix C for the overall communication plan and timeline.

Appendix D includes the April 3, 2009 DDD memo to deans, directors, and department heads.

POLICY RECOMMENDATIONS

As the university begins to implement changes in the race/ethnicity codes, consistency will be important. Policy recommendations regarding questions, formats and content, code structures, initial surveying, resurveying, and mapping can help assure a smooth transition for the university.

Question Format and Content

The team reviewed federal guidelines on the format of the questions to be asked individuals for the purpose of establishing ethnicity and racial identity. The guidelines specify two separate questions for ethnicity and for race, as shown in Appendix E. No specific reporting or business requirements have been identified that create a need or advantage to having additional categories. Moreover, adopting a specialized approach to the codes might require continuing modification of existing administrative systems whenever vendor software updates are received.

Recommendation

The race/ethnicity categories specified in the federal guidelines should be used at the University of Florida without addition or elaboration.

Code Structure

The combination of the answers or blank responses to the two questions on ethnicity and race yields 64 unique combinations. Similar categories were used in the 2000 Census. The net result was an increase in the number of Hispanics in most reports and decreases in the numbers of individuals in the other categories. This was because in collapsing race and ethnicity into a single variable, no race is reported for individuals who select Hispanic/Latino ethnicity, even though the individual may have checked one or more of the race categories.

Under the federal guidelines, in essence, being “Hispanic” trumps all other categories for counting purposes. In recognition of the potential changes in counts that will occur, many organizations are coding the detailed responses of individuals (all 64 combinations) so that more data will be available for explaining results. For instance, if an institution “loses” 90% of its “American Indian or Alaska Native” counts when the new codes are implemented, it will be helpful to be able to also show the total number of individuals who checked “American Indian or Alaska Native” as part of their self identification.

Recommendation

All coding detail should be maintained in storing the race/ethnicity data so that additional analysis of results beyond what is required for official reporting can be made.

Initial Survey of New Students and Employees

Under federal guidelines, beginning in 2010, the university must ask all new students and employees to self-identify using the new race/ethnicity codes. With respect to new students, the university's Office of Admissions has already implemented the new codes in its online application so that all new applicants to the university are asked to answer the two questions. This change was made in fall 2008 for the incoming 2009 class.

Recommendations

The existing admissions and PeopleSoft Human Resources systems should be modified to enable storage of data in the new formats for entering students and employees.

The PeopleAdmin system should be modified to collect data about new applicants.

The Division of Continuing Education's system should be modified to collect information in the new format for students who do not come through the regular admission process.

The PeopleSoft Human Resources system should be the mechanism for entering new ethnicity data about new employees once the system has been modified by PeopleSoft to do so.

Mapping

In order to minimize gaps in the data, all current students and employees should have race and ethnicity responses in the new system assigned ("mapped") based on how they are classified in the existing administrative system. When they respond in the resurvey process, these values should be overwritten by their response. Individuals who were coded as "unknown" (non-respondents) in the existing administrative systems should be "mapped" as non-respondents to both questions unless overridden by a new response.

In the resurvey process, individuals should be shown how their existing classification was "mapped" to the new format. They should be given the option to leave the responses in the new format unchanged, change them, or uncheck the boxes to leave the response blank. Once individuals have answered the questions in the new format, their responses should always take precedence over the old data. In cases where they change their self-identification using the new format, the most recent response should take precedence.

Recommendations

All students and employees in the systems to be resurveyed should initially be mapped to values in the new formats using a standard scheme:

<u>Current</u>	<u>New</u>
"Hispanic"	Q1 Hispanic Q2 Blank
"American Indian or Alaskan Native"	Q1 Non-Hispanic Q2 American Indian or Alaska Native
"Black, non-Hispanic"	Q1 Non-Hispanic Q2 Black or African American
"White, non-Hispanic"	Q1 Non-Hispanic Q2 White
"Asian or Pacific Islander"*	Q1 Non-Hispanic Q2 Asian
"Unknown"	Q1 Blank Q2 Blank

Two additional fields should be created to accompany the data: 1) an indicator of the data source—whether it represents the person’s own response, a mapped value, or something else; 2) the date it was last changed.

The values for individuals with data in the old formats should be retained indefinitely and should not be changed. The new format responses should be carried in new variable fields in the data systems.

Resurveying

Compliance with new federal guidelines requires the university to either “map” its old data to the new categories (and accept a high level of error in the process) or create a mechanism for resurveying existing students, faculty and staff.

Recommendations

The University of Florida, like the vast majority of other institutions in the nation, should conduct comprehensive resurveys of staff and students. The recommended resurvey should cover all existing students, faculty and staff in the PeopleSoft Human Resources and Student Records systems who previously made a single race/ethnicity selection on their admission or job applications, or who, for some reason, had not entered anything.

The online and paper resurvey forms should provide special instructions for the groups most impacted by the changes:

“Asians and Pacific Islanders should select a new category”

“Hispanic/Latinos should select a race”

“Non-resident aliens are now asked to complete the two questions”

When an individual leaves a question blank, the online survey form should prompt: “Did you mean to leave this item blank?”

The online resurvey form should allow users to select a single answer to the Hispanic/Non-Hispanic question, to leave it blank, or to uncheck a response to convert their answer to a non-response. It should not allow both responses to be checked.

Users should be allowed to check as many of the race categories as they choose (or none at all) and to uncheck all boxes to convert their answer to a non-response.

Observer identification should not be used. In the case of non-responses, mapped data should be used, or if that is not available, the questions should be left blank.

Multiple attempts to encourage people to respond to the resurvey should be made in order to minimize the use of mapped data.

Direct support organizations such as the University Athletic Association and the University of Florida Foundation should conduct a resurvey of their employees, even though they are not included in the core personnel system. Shands HealthCare should be informed of the university’s process, but should determine its own compliance requirements and strategy.

IMPLEMENTATION PLAN

Scope

As part of its work, the Race and Ethnicity Code Transition Team created a Deans, Directors and Department Heads (DDD) memo for the purpose of identifying systems, databases and reports that would be affected by the changes in race and ethnicity codes. The response to the DDD memo is summarized in Appendix F.

Recommendation

The scope of technical work for the transition should be divided into two categories:

- ♦ *Enterprise systems, databases and reports, and*
- ♦ *Local systems, databases and reports.*

Enterprise-wide systems, databases and reports are those that serve the entire university for operational, management, planning and reporting purposes. These include the following:

Enterprise Administrative Systems

- ♦ PeopleSoft Human Resources System: source for current employees
- ♦ PeopleSoft Financial Information System: minority business records
- ♦ Student Records System : enrolled students

- ◆ Admissions System: source for applicants and new students
- ◆ Division of Continuing Education: source for some enrolled students
- ◆ GatorJobs: source for job applicant data

Enterprise Reporting Systems/Databases

- ◆ Enterprise reporting system (cubes/pivots)
- ◆ Student data warehouse
- ◆ BOG and IPEDS core databases (and feeder files)
- ◆ Daily enrollment tracking system
- ◆ Student graduation and retention analysis tools
- ◆ Human resources September and October frozen files
- ◆ SERU and NSSE survey data systems
- ◆ Fact book files
- ◆ Equal opportunity databases and reports
- ◆ Certified Vendor Expenditure Report
- ◆ A-21 federal grant reporting

In addition, there are numerous “local” or division/unit specific systems, databases and reports. Some of these draw from the core enterprise-level data systems, and will need to be reprogrammed and refreshed to incorporate the new codes; others have their own data collection methods and may be subject to different collection or reporting requirements.

Examples of Local Reporting Systems/Databases

- ◆ College of Medicine systems
- ◆ IFAS 4H data system
- ◆ Research project databases
- ◆ College and department shadow systems

Responsibility for Technical Implementation

Bridges is the technical management support for the PeopleSoft Human Resources System and should have responsibility for identifying and implementing solutions for transition of the employee data. A description of its strategy for implementing and maintaining the race/ethnicity code changes is described in Appendix G.

The Chief Information Officer’s staff should coordinate and staff the transition for the Student Records System. Its plan for managing the implementation is described in Appendix H.

The Office of Institutional Planning and Research (OIPR) should have responsibility for all enterprise reporting systems and databases under its management. The OIPR conversion plan and priorities are shown in Appendix I. In addition, OIPR should work with other administrative units producing enterprise level reporting to assure programs are converted to handle the new codes structures.

Recommendation

Enterprise-wide solutions should be developed by the central computing / analytic support organizations that currently manage those systems on behalf of the university.

Numerous local systems, databases and reports were identified through the responses to the DDD. In addition, the Health Science Center and IFAS have responsibility for very complex systems, data and reporting requirements that will be impacted by the federal changes. The Health Sciences Center's approach to the transition to new race/ethnicity codes is contained in Appendix J. IFAS has also outlined its plan in Appendix K.

Recommendation

Organizations that have developed custom applications that are important to their missions but not enterprise-wide in nature would have responsibility for the conversion of their custom systems, databases, and reports. The transition team recommends that such units be apprised of the progress of the enterprise-wide effort to better coordinate their own program.

Authoritative Sources of Race/Ethnicity Data

There are five enterprise-wide points of collection of race/ethnicity data: the Student Records System, the Division of Continuing Education, the PeopleSoft Human Resources System, Gator Jobs, and the PeopleSoft Financials System. Student race/ethnicity data are recorded upon admissions and maintained in the Student Records System. Race/ethnicity data on faculty and staff are entered into the PeopleSoft Human Resources System. Minority vendor status is carried on the PeopleSoft Financials System.

There are many other databases on and off campus that contain race/ethnicity data. However, most of these data are either obtained directly from the above enterprise systems or from external sources to the university.

Recommendation

The following systems should be considered the authoritative sources of data on race/ethnicity:

- ♦ *Student Records System: Source for student race/ethnicity data*
- ♦ *Admissions System: Source for applicants' race/ethnicity data*
- ♦ *PeopleSoft Human Resources: Source for employee race/ethnicity data*
- ♦ *PeopleSoft Financial System: Source for vendor race/ethnicity data*
- ♦ *Division of Continuing Education: Source for some student enrollments*
- ♦ *GatorJobs: Source for job applicant data*

Each of the above systems should store the race/ethnicity data in ways that allow for data interchange among systems.

While there are occasional inconsistencies among the above systems – i.e. a student recorded with one status in the Student Records System and another status in the PeopleSoft Human Resources System – such instances are too rare to necessitate a single source solution. The operational practice recommended here is to use codes from the Student Records System if the data being reported are about students and the PeopleSoft Human Resources System if the data are taken from an employee perspective. This is current practice at the university.

Current campus data warehouses and databases all refresh data periodically from the main enterprise systems. Local systems can be updated with authoritative race/ethnicity data from the enterprise systems as well.

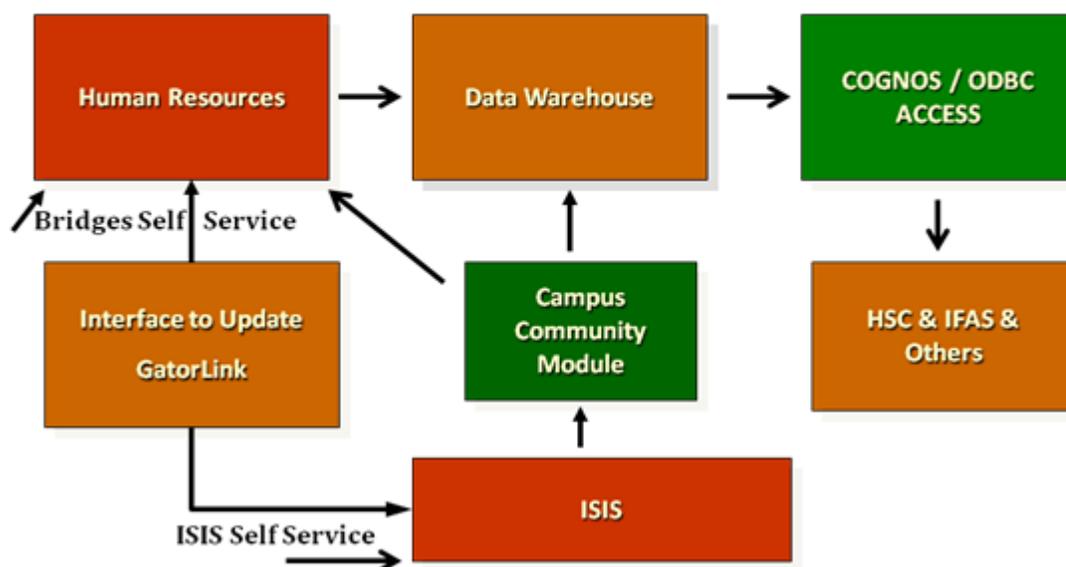
Recommendation

To promote access to race/ethnicity data, the team recommends a common data interchange format (Appendix L). In addition, data should be incorporated from the Student Records System into the Campus Community Module of PeopleSoft which should also house the employee data on race/ethnicity. Those source data should then be extracted into a database that Bridges should make available to other units of the university.

Overview of Technical Solution

Chart 1 shows the overall technical solution being proposed by the Transition Team. In this solution, race/ethnicity data on employees and students are collected and stored in the respective enterprise systems as occurs today. Gatorlink update is exploited as an opportunity

Chart 1: Overview of Data Collection and Storage



to redirect students and employees to self-service modules that feed the Human Resources and ISIS systems. In turn, data from ISIS and Human Resources is used to populate the Campus Community Module and Data Warehouse so that other university entities such as the Health Science Center and IFAS can update their respective race/ethnicity data.

Capturing Race/Ethnicity Data for New Students and Employees

The Federal Government mandates that data for all new students and employees be captured in the new formats to enable reporting by summer 2010.

The Office of Admissions made changes in fall 2008 to begin collecting data using the new two question format. No new action is needed at this time.

PeopleSoft has not yet released a modification to the Human Resources or Financial systems to record and present data in the new categories. The team has been monitoring the conversation at PeopleSoft and has contributed feedback and participated in several phone conference calls on the topic. PeopleSoft is releasing a modification to collect the race/ethnic group information in the two question format, but it is uncertain whether it will meet the university's business needs in a timely manner.

Bridges intends to create a "UF specific" self-service module to collect the employee information.

There are also a number of areas which the team identified which will still require use of a paper form for the collection of data from new employees. A recommended form is included as Appendix M.

Data from vendors will need to be entered into the PeopleSoft Financial System once PeopleSoft has created a solution for capturing the data. In the interim, a separate vendor database will have to be maintained.

Resurveying Current Students and Employees

The university should combine mapping and resurveying to enable existing students and employees to identify their race/ethnicity using the new categories. To be ready for summer 2010 reporting, the university needs to begin the mapping and resurveying process in fall 2009.

Recommendation

The mechanism for resurveying current students and employees should be through self-service web pages – one developed for the PeopleSoft Human Resources System and one developed in ISIS.

Bridges should create a myUFL self-service page – displaying the mapped data for each employee – that should be accessible to all staff and employees that have a human resources

self-service role. Respondents should be able to change the mapped data or do nothing and exit the module.

Similarly, the CIO's Office should create a self-service capability from ISIS that will enable students to self-identify in the new race/ethnicity categories. The mapped data for each student should be loaded so that, as with employees, students will be able to make changes or to exit without designating a new race/ethnicity category.

The recommended online survey form is included in Appendix N.

A paper form will also be required for those employees without direct computer access or in some remote locations. See Appendix M.

Encouraging Employees and Students to Resurvey

A marketing and communications effort is needed to encourage response to the resurvey. The challenge is identifying points of contact with current students and employees to provide opportunity for them to choose a new race/ethnic code. Another concern is not to affect production on the enterprise systems. The solution proposed is to redirect students and employees who are completing the process of renewing Gatorlink passwords to self-service sites to also update their race/ethnicity codes.

Recommendation

Individual students and employees should be asked to self-identify on race/ethnicity status through different processes. Employees should self-identify through the process of renewing GatorLink passwords. Bridges should develop a one-time redirect from the password change page and employees should be redirected to the human resources race/ethnicity identification page. Students should self-identify through ISIS, which is the primary system with which students interact for course registration and other student-related functions. In addition, if technical issues can be resolved, students who have not yet self-identified may also be redirected to the ISIS race/ethnicity change page when renewing GatorLink passwords. This strategy will enable the majority of the university community to make a change in their race/ethnicity status.

Report Modification

Changes in the underlying data structure for race/ethnicity data will require that all programs using the new race/ethnicity data be modified. In order to minimize the amount of reprogramming, the core sources for enterprise data (enterprise systems, data warehouses, and related databases) should contain both the detailed data structure with the two questions and a field summarizing how the response will be summarized for purposes of federal reporting. Otherwise, hundreds of different programs will have to be changed to read all the new fields and reconstruct the summary field. Inconsistencies in reporting could result.

All enterprise level reports should be reprogrammed by the central organization managing the report and related data system. Local reports should be the responsibility of the organization which created the report for its specific purposes.

Recommendation

The Office of Institutional Planning and Research (OIPR) should take lead responsibility for assuring that official reporting programs and related databases are modified for the new codes. In discharging this responsibility, OIPR should also work with the different units of the university that produce reports to assure changes are made.

Evaluating Changes

After the university community has been resurveyed, the race/ethnicity profile of the institution will likely have shifted, and there will be a need for analytical tools and reports to communicate the effect of the new federal requirements.

Recommendation

The Office of Institutional Planning and Research (OIPR) should prepare detailed analyses of any trend changes in race/ethnicity data suitable to support internal and external communication about the results of the new codes. These should include the numbers of employees and students who changed classification or made selections that were not previously available, as well as any other information that may help explain the impact of the changes.

Training

Human Resource Services' Office of Training & Organizational Development (T&OD) should develop a comprehensive training plan to describe training support for this effort. Expected modalities include overview sessions (complemented by online tutorials as needed) and job aids. System toolkits also will be updated, as needed, to reflect the changes.

A web site in support of this effort should also be designed and added to HR web site (to which other areas also may link), which should include:

- ◆ Guidance on data collection and reporting
- ◆ Federal Register (Volume 72, Number 202)
- ◆ Frequently asked questions
- ◆ PowerPoint presentation slides (Dr. Zeglen)
- ◆ Resurvey form (hard copy)
- ◆ Schedule of training seminars, webinars & poly-conferences
- ◆ Links to relevant sites

Recommendation:

The transition team recommends that Human Resource Services implement a comprehensive training strategy for employees and payroll administrators to ensure that race and ethnicity data is collected accurately and consistently. Additional support from the Human Resource Services communications team also should be provided.

Impact on University Organizations

The recommended implementation plan for the change in race/ethnicity codes will require extensive programming support from several organizations, including: Bridges, Chief Information Officer, Health Science Center, Institute for Food and Agricultural Sciences, and the Office of Institutional Planning and Research. Enterprise systems, databases, and numerous report programs will need to be changed to accommodate the new codes. While no additional positions are being requested to support the effort, the workloads of these offices will be adversely affected.

In addition, Human Resources Services will be impacted by the need to organize and present training for guidance for the process. During the resurveying process, support will be needed to answer questions from individuals trying to resurvey.

University Relations should have responsibilities for coordinating and producing marketing and communication materials during all phases of the implementation.

The Office of the Registrar should have responsibility for managing the implementation of resurveying the current student population while the Office of Admissions should have the charge to collect initial race/ethnicity data for applicants and newly admitted students. These responsibilities will impact workloads on both technical and functional staff within these two offices.

Other units and offices of the university will be affected because local systems, databases and reports will require modification. Data from university enterprise systems and warehouses, the sources for many local systems, will change and need to be accommodated for use in the downstream system. External data may also force change in local systems for the same reason.

Appendix A: Charge to the Race and Ethnicity Code Transition Team

POLICY/PRACTICES TEAM (“P” TEAM)

Charge

The role of the “P” Team is to develop the underlying policies, practices and standards that will guide the change to the new race and ethnicity codes on the University of Florida campus. The team will:

1. Recommend the level of coding detail to be used for the new race/ethnicity codes;
2. Establish policies on retention and storage of the race ethnicity data in compliance with federal rules;
3. Recommend business practices to support compliance with the federal rules;
4. Review mapping and resurveying options and recommend how and when to use each option in collecting or transforming data;
5. Establish policies for collection of the new race/ethnicity codes;
6. Provide analysis of results of mapping and resurveying activities;
7. Recommend a reporting strategy for internal university data use, and;
8. Develop a communications approach for presentation of changes resulting from the new race/ethnicity codes.

IMPLEMENTATION TEAM (“I” TEAM)

The charge of the “I” Team is to plan and lead the implementation of the new race and ethnicity code changes. The team will:

1. Develop and carry out a communication plan to build awareness on campus about the race/ethnicity code changes;
2. Identify all university systems, databases, programs and reports that will be affected by the changes in race/ethnicity codes;
3. Determine the timeframes when external data providers will begin sending new race/ethnicity data to the university;
4. Recommend priorities for implementing changes to the affected systems, databases, programs and reports;

5. Implement all system and database changes ahead of collecting or accepting data in the new code format;
6. Implement storage strategies for the new race/ethnicity data;
7. Monitor the collection of the race/ethnicity data based for new faculty, staff and students;
8. Carry out any resurveying or mapping actions for continuing faculty, staff, students, and alumni;
9. Develop and conduct training of staff involved in data collection or reporting; and,
10. Complete updates of programs and reports ahead of BOG and federal reporting requirements.

Appendix C: Race/Ethnicity Codes Transition Team Communications Plan

RESOURCES FOR PUBLICIZING NEW RACE AND ETHNICITY CODES

DDD memo – Used for initial communications about the issue. Issued April 3, 2009.

Web page – A web page devoted solely to this issue. Created April, 2009.

InsideUF – Both online (<http://insideuf.ufl.edu>) and hard copy as a weekly insert in the Alligator. Editor: Susan Stewart.

News releases – Sent by UF News Bureau to local media, including the Gainesville Sun, the Alligator, TV-20, WUFT-TV, Classic 89 and AM 850. Releases are also posted on the UF News Web site at www.news.ufl.edu.

InfoGator – Online Human Resources newsletter.

E-mails – Can be sent to all students, faculty and staff when resurveying begins.

Gator Times – Weekly newsletter for students sent via e-mail by Student Affairs.

MyUFL splash page – Can be used to communicate information to faculty and staff.

Public speaking engagements – Delivering the message to gatherings of key campus groups

TIMELINE

Mid-February 2009 – Create web page that will include an introduction, basic information, FAQs

Early April – DDD memo goes out; global message goes out to students, faculty and staff, news release is sent.

July – Communication is sent via e-mail to parties that will need to do their own work, e.g. BEBR, UPD

September /October – Big-push public awareness campaign begins with goal of letting everyone know the surveys are going out. News release sent; Race and Ethnicity team leaders speak at deans' breakfast meetings, HR Forum, APA meeting, Faculty Senate meeting; announcement placed on MyUFL splash page and in Alligator New Student Edition, InsideUF, paycheck notifications.

September 2009 – April 2010 – Resurvey activity begins

September 2010 – University communicates survey results

Appendix D: DDD Memo on Federal Changes in Reporting Race and Ethnicity of Faculty, Staff and Students

4/3/2009

Paula Varnes Fussell, Interim Vice President for Human Resource Services

As you may already know, the federal government has issued guidelines for changes in the reporting of race and ethnicity status of individuals. Unlike in previous years, respondents will be able to select more than one race descriptor. The goal is to capture a more accurate picture of diversity of the U.S. population. The 2000 U.S. Census was the first experiment with the new coding structure. Beginning in 2010, federal and state data reporting will include new choices to describe race and ethnicity. As a result of these changes, we are asking you to provide us with certain information as described below by May 22, 2009.

The Federal Government requires that the new race/ethnicity codes be reported by 2010. This will require the University of Florida to change many of our systems, databases, and computer programs well ahead of that date. These changes will impact the type of information we collect, store and ultimately report to various regulating bodies. Examples of data that will be impacted include employee information, student data, and law enforcement statistics, among others. Organizations with which we do business or exchange information will also be changing their data on race and ethnicity and we will need to accommodate their data changes.

In order to prepare for these changes, the university has created the Race and Ethnicity Codes Transition Team, a group of university staff members that operates under the auspices of the university's Office of Human Resource Services. The team's mission is to help guide the university through this change so we are able to comply properly with the new federal guidelines.

The transition is expected to take about two years. Beginning in the fall of 2009, the university will resurvey individual faculty, staff, and students to give them the opportunity to identify their race and ethnicities using the new codes.

To help you navigate this process, the transition team has created a web page that includes some basic information about the change, a list of frequently asked questions and answers, a timeline for the transition process, as well as other resources. The web site is located at http://www.ir.ufl.edu/OIRApps/ethnicity_code_changes/start.aspx.

On this web page, you will be asked to identify all of the systems, databases and computer programs on campus that will need to be changed to accommodate the new race and ethnicity codes. To this end, the web site contains a set of online forms for you to use in reporting. You will need a GatorLink ID to enter the data. You are asked only to report those systems, databases, or computer programs for which you have ownership or responsibility. The university's main administrative systems are being inventoried separately.

Please complete your online reporting by May 22, 2009.

Further communications regarding the transition of this project will be forthcoming. In the meantime, please take a few minutes to visit the web site, familiarize yourself with the transition, and determine how these changes may affect you.

If you have any questions, please contact either Marie Zeglen, Assistant Provost for Institutional Planning and Research, at zeglenm@ufl.edu or Larry T. Ellis, Director of Administration and Equal Employment Opportunity, at larry-ellis@ufl.edu.

Appendix E: Two-Part Question for Employees and Students

1. Are you Hispanic or Latino? (A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.)

No, not Hispanic or Latino

Yes, Hispanic or Latino

The above part of the question is about ethnicity, not race. No matter what you selected above, **please continue to answer the following, if applicable**, by marking one or more boxes to indicate what you consider you race to be.

2. How would you describe yourself? (Choose one or more from the following racial groups)

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 a 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 including, 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 – includes Caribbean Islanders and others of African origin.)

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.)

Appendix F: Inventory of Systems, Databases, and Reports (Reported in Response to DDD Memorandum)

ENTERPRISE ADMINISTRATIVE SYSTEMS

- ◆ PeopleSoft Human Resources System
- ◆ PeopleSoft Financial Information System
- ◆ Student Records System
- ◆ Admissions System
- ◆ Gator Jobs
- ◆ Division of Continuing Education System

ENTERPRISE REPORTING SYSTEMS/DATABASES

- ◆ Enterprise Reporting System (cubes/pivots)
- ◆ Student data warehouse
- ◆ BOG and IPEDS core databases (and feeder files)
- ◆ Daily Enrollment Tracking System
- ◆ Graduation and retention analysis tools
- ◆ Human Resources September and October frozen files
- ◆ SERU and NSSE Survey Data Systems
- ◆ Fact Book files
- ◆ Equal opportunity databases and reports
- ◆ Certified Vendor Expenditure Report
- ◆ A-21 federal grant reporting

LOCAL REPORTING SYSTEMS/DATABASES

- ◆ College of Medicine systems
- ◆ IFAS 4H Data System
- ◆ Graduate Information Management System (Graduate School)
- ◆ UF Foundation Human Resources System
- ◆ UF Athletics Human Resources System
- ◆ EEO Complaint Log
- ◆ UF Police Department Seat Belt Stop compliance report (anti-profiling law)
- ◆ Research studies involving human subjects
- ◆ Patient/client databases or data systems
- ◆ Department of Obstetrics and Gynecology
 - Maternal Fetal Medicine Database
 - Healthy Families Database

- ◆ Area Health Education Centers (AHEC)
 - AHECData
 - AHECTobacco
- ◆ BEBR (Bureau of Economic and Business Research) Population Estimates/Projections (contract with Legislature)
- ◆ BEBR Center for Survey Research
- ◆ College/Departmental Recruiting (e.g. Agricultural Biological Engineering Prospective Graduate Student Database)
- ◆ College/Departmental Special Programs (e.g. College of Engineering summer Programs)
- ◆ College/Departmental Student/Alumni Surveys (some may match to core systems data, while others may ask race/ethnicity question as part of survey, e.g. a routine PPHP graduation survey conducted via SurveyMonkey)
- ◆ College/Department-level parallel student/personnel record systems
- ◆ Professional School Application Service Databases
 - Law
 - Pharmacy
 - Veterinary
 - Medicine
- ◆ Career Resource Center “CareerLink” Program
- ◆ Disability Resource Center accommodation registration

Appendix G: Human Resources and Financial System Recommendations:

BRIDGES SYSTEM ANALYSIS AND RECOMMENDATIONS

Identification of Collection and Storage Points

This process started by researching and identifying the collection and storage points for any race/ethnicity information stored across the various Bridges enterprise systems. The following systems and related collection points were discovered:

- ◆ **Job Applicants (Human Resources Function)**

For non-faculty positions, the first recording of race information occurs during the job application process. This data is collected by our third party vendor, PeopleAdmin (through the website jobs.ufl.edu), and provided to the Human Resource Services office for applicant reporting purposes. This information is not shared electronically with any other enterprise systems (data warehouse, PeopleSoft, etc.).

For faculty, the Faculty Compliance Report (FCR) is prepared by the department and serves as a record of the composition of the applicant pool. This report includes race and gender information. The data entry for the FCR is accomplished via custom developed pages in the PeopleSoft Human Resources System. The data is also uploaded into the enterprise data warehouse for reporting functions. It should be noted that this data, although it is in the PeopleSoft Human Resources System, is stored and maintained independently of all other employment records in that system and in the data warehouse.

- ◆ **Hiring (Human Resources Function)**

The hiring process is used as the primary collection point of race information for all staff and faculty. As such, it is generally seen as the most authentic source for race data as well. The hiring department, through EPAF, records a primary race, which, after various levels of approval, is entered into the PeopleSoft Human Resources System and propagates to the enterprise data warehouse for reporting purposes.

- ◆ **Vendors (Financials/Purchasing Function)**

In order to comply with minority business reporting requirements, when a vendor is setup in the PeopleSoft Financials System, information can be recorded pertaining to any of several federal/state/local classifications. These classifications may identify the business as a minority but are not limited to recording race and ethnicity information.

- ◆ **Projects (Sponsored Research Function)**
Every sponsored research project that is recorded in the PeopleSoft Financials System provides the option to record race and ethnicity information for each team member on that project. As it is an option, it is not required and data entered here is managed independently from other data such as the team member's employee record. This data is not currently propagated into the enterprise data warehouse.
- ◆ **Directory (Identity Management Function)**
Directory administrators in any given department have the ability to record race information for directory contacts that they are managing in their department. This capability is largely unused and optional. It is not seen as an authentic source of data for any business function nor is it propagated into the enterprise data warehouse.
- ◆ **Enterprise Data Warehouse (Research/Analysis/Reporting Functions)**
The enterprise data warehouse contains a copy of race and ethnicity data from several different source systems as mentioned above. This data is used primarily to meet reporting and analysis needs. Data is never modified directly in the data warehouse – all modifications to the data should always be accomplished through the appropriate source system.

PLANNED SYSTEM MODIFICATIONS

This section details the planned changes to the Bridges enterprise systems identified above. In some cases, further discussion with the university is needed to determine the final path that each system will take regarding the federal race/ethnicity changes.

- ◆ **Job Applicants (Human Resources Function)**
PeopleAdmin has notified the university that it expects to have the ability to record race/ethnicity data in the new format in the near future (within the next few months). It is not clear yet how this change will be implemented, how the new data will be transferred to the university or how this information may be retained.

For the Faculty Compliance Report (FCR), the direction and timeline for accommodating the new race/ethnicity changes is unknown here as well. Further discussions with the group responsible for this application are needed to determine the path forward.

- ◆ **Hiring (Human Resources Function)**
The application and resulting data recorded as part of the hiring process will be modified to support the new race/ethnicity requirements. In addition, the new data will be uploaded into the enterprise data warehouse and will also be available to other authorized units via the standardized data interchange format.

- ◆ **Vendors (Financials/Purchasing Function)**
This application and its data will also be modified to support the new race/ethnicity format. It is not clear how PeopleSoft plans to address this need so the final solution is still in flux but it is expected to still be addressed well within expected timelines.
- ◆ **Projects (Sponsored Research Function)**
This application will be updated so that it is compliant with the new format. Employees that are on projects might be able to draw their race/ethnicity data from the PeopleSoft hiring system data to ensure consistency. This will need to be further analyzed as part of this implementation.
- ◆ **Directory (Identity Management Function)**
It is recommended that the ability to enter and maintain race/ethnicity data in the directory be disabled. Maintaining this functionality will be confusing at best and could cause misreporting of data.
- ◆ **Enterprise Data Warehouse (Research/Analysis/Reporting Functions)**
The focus here will be to collect copies of authentic data from both the PeopleSoft hiring system records and the ISIS student system records. This will allow users of the data warehouse to develop reports and queries that can uniquely refer to employee or student race/ethnicity data as the situation dictates.

METHODOLOGY FOR CONVERSION AND VALIDATION OF RACE/ETHNICITY INFORMATION

The following methods will be used to varying degrees in all systems where a change to the race/ethnicity data format is expected. These activities will ensure more complete and accurate data being collected and maintained in the systems.

Mapping

For the PeopleSoft hiring system, a mapping process is already underway to convert the existing data into the standard suggested by the committee. This will be presented to the user during the resurvey process and subsequent updates. Mapping plans for race/ethnicity data in all other Bridges systems are still undetermined.

Resurvey

The PeopleSoft hiring system data will be resurveyed to ensure that it is current and accurate. In order to maximize participation during the resurvey period, it was suggested by the committee that the Gatorlink password reset process be utilized as a prompt to take the survey. The concept of allowing students who change their passwords to be directed to the ISIS system has also been discussed but the handling of combined student/employee individuals will need to be discussed further.

Self-Service Page

In addition to the re-survey prompting, the user will be able to change their declaration at any time via the Employee Self-Service module, commonly used to review benefits and payroll information. The screen page will default what the user already has recorded in PS and enable them modify accordingly.

Appendix H: CIO Implementation, Student Records System Recommendations

OVERVIEW

This document describes the current state of student systems and work to be done to bring the student systems into compliance with new requirements for capturing and reporting on ethnicity and race data.

ADMISSIONS

The admissions application is the point of origin for capturing ethnicity and race data for entering students. For the past two admissions cycles (about 2 years), the Office of Admissions has used the two-question survey approach prescribed by law in all web applications (undergraduate, graduate and professional), so there is no need to make major changes to admissions applications. There may be a few minor changes to the wording or accompanying text to comply with the recommendations of this committee on presentation style.

There are three other sources that need to be addressed, however: paper applications, non-degree and special program applications, and FACTS applications: There are still some paper applications in use and these are being changed to include the two question survey format. The two question survey also needs to be added to the online non-degree application. FACTS is a state-wide system that allows for a common application that can be sent to multiple institutions and the university is a participating institution.

STUDENT RECORDS

There is a process in place that pulls the application ethnicity and race survey information into the Student Records System from the application when an applicant is admitted. Two years of student record data are already in compliance with new requirements since that data was pulled from the application. Student records that are not in compliance will need to be resurveyed. The resurvey plan is described below.

The student records data structure (see attachment 2) allows for retention of historical data so changes can be tracked over time. It also includes a term code so that changes can be entered in advance. An administrative interface will be provided so administrators can make changes to ethnicity and race when necessary. Original student reported data collected before the new survey format was implemented is retained.

When ethnicity race data change for a student in the Student Records System the Bridges Student Financials system will also need to be updated. The current method for syncing student data between the Student Records System and the Student Financials system is a pull process

that Student Financials owns and controls. Our recommended solution is that this process needs to be modified by Bridges to include the ethnicity race data.

RESURVEY PLAN

Our current plan is to resurvey students through ISIS which is the primary system students interact with for course registration and related Registrar functions. This will require a development effort on our part. The resurvey will use the same two question format the application uses (see attachment 1) and current ethnicity race data will be mapped to the new format to present to the student on the resurvey. All students will have the option to complete the resurvey process but cannot be compelled to do so. Flags or holds on student records will not be used to force compliance. Marketing will be the primary method for encouraging students to resurvey, so a marketing plan will need to be developed.

DATA WAREHOUSE

Ethnicity and Race data will need to be added to the Current Student Record Table (CSTAT) in the Student Data Warehouse. The fields will need to be defined to comply with the data structure recommend for exchanging ethnicity and race data. Older race ethnicity codes will be retained and will be mapped to the new format.

Appendix I: Office of Institutional Planning and Research (OIPR)

The Office of Institutional Planning and Research is charged with coordination of the university's official state and federal reporting. The head of the office is also the official university data administrator to the Board of Governors and is responsible for assuring data integrity and accuracy of all official files and analyses sent to the BOG. In discharging this responsibility, OIPR works in partnership with many other organizations such as Bridges, the CIO's Office, the Registrar's Office, the Admission's Office, the CFO's Office, the University Controller, the Office of Grants and Contracts, the Office of Facilities and Space Planning and the Office of Student Financial Aid to coordinate and produce official data files and reports for the university.

In addition, the OIPR creates databases and systems to serve enterprise wide needs such as the Revenue Cube, Daily Enrollment Tracking System, Enrollment Cube, student graduation and retention analysis tools, Fact Book and other smaller systems/databases that support management and planning needs of the university. Many of the databases, cubes, and other data structures underlying these systems contain race/ethnicity data drawn from the Student Records System and PeopleSoft Human Resources System.

OIPR maintains literally hundreds of active computer programs that produce official reports for the university. Some examples include federal IPEDS reporting, state BOG files and analyses, Equal Opportunity databases and annual reports, student credit hour reporting, student and employee headcount reporting, faculty effort and activity reporting, and faculty/employee salary reporting.

OIPR will prioritize work on programmatic changes to its systems and reports as follows:

- ◆ Top priority –
 - Critical management and planning databases – enrollment, graduation and retention, human resources, financial
 - Federal and state reporting requirements – ordered by deadline
- ◆ Second priority –
 - Fact Book and descriptive data
 - Survey data such as SERU
 - Important external reports such as CSRDE, CDS – by deadline
 - College data feeds and special analyses
- ◆ Third priority –
 - Regular ad hoc requests that contain race/ethnicity data
 - Public information requests and other non essential requests that contain race/ethnicity data

Finally, OIPR expects to produce a number of new analytic reports throughout the transition period for this project that will help track and explain trend changes in the emerging race/ethnicity data.

Appendix J: Health Science Center Recommendations

The University of Florida's Health Science Center (HSC) actively supports Federal race and ethnicity reporting requirements. Because institutional-level data is actively managed by specific authoritative units within the university, HSC-affiliated Colleges and units recognize the need to accommodate changes involving enterprise systems and processes. HSC units operate in particularly data-rich and complex environments. When presented with a need to acquire race and ethnicity data with the intent of reporting to the university or other organizations, everyone is encouraged to do everything possible to conform to Federal requirements. HSC units are always encouraged to contact representative University of Florida offices with questions or concerns.

The HSC plans to create an inventory of systems and processes that collect, store, and maintain race and ethnicity information. The identified systems and processes will be changed to accommodate the new race and ethnicity information format.

Whenever a system or process serves as the intake for race and ethnicity information, the two-question format will be used:

1. The first question asks whether the respondent is Hispanic/Latino
2. The second offers the respondent an opportunity to choose one or more races from the following list: American Indian or Alaska Native; Asian; Black or African American; Native Hawaiian or Other Pacific Islander; White.

Existing systems and processes should enable individuals to re-identify themselves, or permit designated personnel to apply changes on behalf of others within their sphere of authority.

Systems that receive the race and ethnicity information from authoritative systems will be modified to allow for race and ethnicity information to be stored appropriately.

Training will be made available to train and communicate the new race and ethnicity information values, and collection means to pertinent faculty, staff and students.

Appendix K: Institute of Food and Agricultural Sciences (IFAS)

The University of Florida's Institute of Food and Agricultural Sciences (IFAS) has the unqualified intention of conforming to Federal race and ethnicity reporting requirements as required by law. This will involve adaptation of current local database schemas to accommodate the change in recording data as passed from university enterprise systems, and the modification of data collection processes for local systems to include the new ethnicity and race selection choices. IFAS Office of Information Technology plans to implement the changes required in a three-step process:

1. Develop an inventory of all systems using ethnicity and race data.
2. Plan for and implement the modification of the data structures and collection systems to accommodate the changes needed for the new reporting format. This plan will include training of those involved in collecting, storing, and reporting the data about the new ethnicity and race reporting requirements, using information provided by the university for this purpose.
3. Plan for and implement methods of resurveying those personnel not included in information passed from university enterprise systems.

Appendix L: Office of the CIO Proposed Data Interchange Structure, Proposed Data Interchange Structure

The proposed structure is for exchanging ethnicity and race data via messaging or stored in a data warehouse and should not be considered a recommendation for storing data in operational data bases. Where values allow blanks, blank can be interpreted as missing or null. Some abbreviations are used in field names: e.g. American Indian or Alaskan Native (AIAN), Native Hawaiian or Pacific Islander (NHPI).

Valid Field Values

UFID University Identifier of person being reported

ONFILE_FLAG Y/N (race/ethnicity data exists for person)

SOURCE_TYPE_CODE How collected (survey, mapping, remote source, other, blank)

SOURCE_ORG Who collected (org code, or coding for externals, blank)

SOURCE_TIMESTAMP When collected Date and Time (nulls allowed)

ETHNICITY_HISPANIC Y/N/blank

RACE_AIAN Y/blank (American Indian or Alaskan Native)

RACE_ASIAN Y/blank

RACE_BLACK Y/blank (Black/African American)

RACE_NHPI Y/blank (Native Hawaiian or Pacific Islander)

RACE_WHITE Y/blank

TWO_OR_MORE_RACES Y/N/blank (derived data)

NON_RES_ALIEN Y/N/blank (other race ethnicity values may be listed)

UNKNOWN Y/blank (respondent did not self identify)

NOTE: The non-resident alien attribute is optional and we may want to exclude it from the recommended interchange data structure. It is included here only because it is one of the new IPEDS reporting categories educational institutions will be required to report for the 2010-2011 school year. Here are the IPEDS reporting requirements as detailed in the FAQ from the State Higher Education Executive Officers (SHEEO) web site. www.sheeo.org/ipeds/race-eth/race-eth-faq.htm.

DATA REPORTING

How will postsecondary institutions report data under the new ethnicity/race categories?

Postsecondary institutions will be required to report aggregated ethnic and racial data in seven categories:

1. Hispanic/Latino/Spanish Origin of any race

For respondents who are non-Hispanic/Latino/Spanish origin only,

2. American Indian or Alaska Native,
3. Asian,
4. Black or African American,
5. Native Hawaiian or Other Pacific Islander,
6. White, and
7. Two or more races.

Plus,

8. Non-Resident Alien (of any ethnicity or race), and
9. Ethnicity/Race Unknown (if the respondent does not self identify).

Appendix M: Paper Resurvey Form Template

The U.S. Department of Education has changed the questions the university must use to collect race and ethnicity information for students and employees. There are now two questions instead of one. Please review and respond to both questions.

In particular, the changes mean that:

- ◆ If you are Hispanic or Latino, you should also select a race in the second question
- ◆ If you are Asian or Pacific Islander, you need to select a new category
- ◆ If you are a nonresident alien, you are also asked to respond these questions

If you would like more information about the new questions and how the information will be used, please visit http://www.ir.ufl.edu/OIRApps/ethnicity_code_changes/ethnicityinformation.html or contact the office listed at the end of this form.

Name: _____

UFID Number (8-Digit Number): _____

Department or Unit: _____

1. Are you Hispanic or Latino? (A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.)

- No, not Hispanic or Latino
- Yes, Hispanic or Latino

The above part of the question is about ethnicity, not race. No matter what you selected above, **please continue to answer the following, if applicable**, by marking one or more boxes to indicate what you consider you race to be.

2. How would you describe yourself? (Choose one or more from the following racial groups)

- 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 a 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 including, 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 – includes Caribbean Islanders and others of African origin.)
- 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.)

Please return this form to the person who gave it to you, or to: UF Human Resources/EEO, 903 West University Avenue, Gainesville, FL 32601-5117. Fax: (352) 392-7094. Phone: (352) 392-2477. E-mail: EEO@ufl.edu.

Appendix N: Online Resurvey Form Template

The U.S. Department of Education has changed the questions the university must use to collect race and ethnicity information for students and employees. There are now two questions instead of one. Please review and respond to both questions. When possible, the university has pre-filled answers based on your existing information. These show how you would be classified if you make no changes, but you can change the answers if you believe another choice is more appropriate for you. In particular, the changes mean that:

- ◆ If you are Hispanic or Latino, you should also select a race in the second question
- ◆ If you are Asian or Pacific Islander, you need to select a new category
- ◆ If you are a nonresident alien, you are also asked to respond these questions

If you would like more information about the new questions and how the information will be used, please visit http://www.ir.ufl.edu/OIRApps/ethnicity_code_changes/ethnicityinformation.html.

PROGRAMS MUST ALLOW USER TO SELECT EITHER OPTION, OR TO LEAVE BLANK, BUT NOT TO SELECT BOTH.

IF BLANK, USER WILL BE PROMPTED: "DID YOU MEAN TO LEAVE THIS QUESTION BLANK?" AND WILL HAVE TO ANSWER "YES" OR "NO."

1. Are you Hispanic or Latino? (A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.)

- No, not Hispanic or Latino
- Yes, Hispanic or Latino

The above part of the question is about ethnicity, not race. No matter what you selected above, **please continue to answer the following, if applicable**, by marking one or more boxes to indicate what you consider you race to be.

2. How would you describe yourself? (Choose one or more from the following racial groups)

- 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 a 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 including, 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 – includes Caribbean Islanders and others of African origin.)

- 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.)

PROGRAMS MUST ALLOW USER TO SELECT ANY OR ALL OPTIONS OR TO LEAVE BLANK.

IF BLANK, USER WILL BE PROMPTED: "DID YOU MEAN TO LEAVE THIS QUESTION BLANK?" AND WILL HAVE TO ANSWER "YES" OR "NO."