

Contact: Director	Department: Office of Institutional Research	Phone: 277-5115	Referral Date: 2/22/2008	IA #: 61	Assessment Prepared by: name
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Title: Race & Ethnicity Code Changes

Background (Note Current State Considerations)

In October 2007, the U.S. Department of Education (ED) issued final guidelines for how institutions will implement the Office of Management and Budget’s (OMB) 1997 Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity. These guidelines define how institutions collect and maintain race and ethnicity data for students and employees, and how those data will be aggregated for reporting to the Integrated Postsecondary Education Data System (IPEDS), maintained by the National Center for Education Statistics (NCES). The NCES, part of the ED, defines how institutions report data to IPEDS.

The Office of Institutional Research (OIR) approached Customer Services & Solutions to help UNM prepare for a Race & Ethnicity Code Change Project. This project is required in order to implement the federally mandated changes to race & ethnicity data collection. Therefore UNM has no choice but to move to the new coding structure.

Current State Considerations

- ERP structure requires coordinated implementation of new codes
- Institutional level reporting requires coordination between ERP & approved Stand Alone systems
- Shadow databases cannot be included within project scope due to lack of time & resources
- Race & ethnicity codes are used by a broad range of areas/departments across UNM
- Race & ethnicity codes encompass admissions, student records, financial aid, human resources, affirmative action, institutional research & information technology

Product Description (Request)

Revise Race & Ethnicity code tracking & reporting within all approved database of record systems, i.e. ERP systems and approved Stand-Alone systems.

Purpose Statement (Why?)

Per the NCES at <http://surveys.nces.ed.gov/ipeds/> :

“The completion of all IPEDS surveys, in a timely and accurate manner, is **mandatory** for all institutions that participate or are applicants for participation in any Federal financial assistance program authorized by Title IV of the Higher Education Act of 1965, as amended. The completion of the surveys is mandated by 20 U.S.C. 1094, Section 487(a)(17).

The collection and reporting of racial/ethnic data are **mandatory** for all institutions that receive, are applicants for, or expect to be applicants for Federal financial assistance as defined in the Department of Education (ED) regulations implementing Title VI of the Civil Rights Act of 1964 (34 CFR 100.13), or defined in any ED regulations implementing Title IX of the Education Amendments of 1972. The collection of racial/ethnic data in vocational programs is mandated by Section 421(a)(1) of the Carl D. Perkins Vocational Education Act.

The Fall Staff section of the Human Resources component is also **mandated** by P.L. 88-352, Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972 (29 CFR 1602, subparts O, P, and Q), in odd-numbered years (i.e., 2007-08, 2009-10, etc.), for institutions with fifteen (15) or more full-time employees.”

Customer Requirements Identified During Initial Assessment

- ITS assistance with project coordination & research
- Collect current data from existing population of students & employees (NCES does not require this, but “encourages” institutions to resurvey populations)
- Define how ERP & Stand-Alone data will be aggregated for IPEDS reporting
- Determine whether a crosswalk strategy is appropriate, i.e. legacy to new codes
- Determine how historical data will be reported
- Determine how trend analysis will be reported
- Revise all paper & web forms that collect race & ethnicity data
- Identify how to capture new race & ethnicity data within the ERP & approved Stand-Alone systems
- Test & implement new data structure within the ERP & approved Stand-Alone systems
- Revise any existing report using race & ethnicity data output from the ERP & approved Stand-Alone systems
- Include all UNM departments using race & ethnicity data for information dissemination &/or implementation
- NCES requirement: keep detailed information on student & employee responses for at least three years or, if needed for litigation, a claim or an audit, until the completion of the action
- NCES requirement for 2010-2011 collection year: report IPEDS Fall Enrollment & Human Resources aggregate race & ethnicity using nine categories:
 - 1. Hispanics of any race
 - For Non-Hispanic/Latino Individuals only:
 - 2. American Indian or Alaska Native
 - 3. Asian
 - 4. Black or African American
 - 5. Native Hawaiian or Other Pacific Islander
 - 6. White
 - 7. Two or more races
 - Plus
 - 8. Race & ethnicity unknown
 - 9. Non-Resident Alien (or any race or ethnicity)
- NCES requirement for 2011-2012 collection year: use new IPEDS racial/ethnic categories for all relevant components - Fall Enrollment, Human Resources, Completions, 12-Month Enrollment & Graduation Rates
- NCES recommendation: maintain the legacy data for race/ethnicity, especially for the IPEDS Graduation Rate Survey (GRS) cohorts. Students who graduated or withdrew since the initial data were collected cannot be resurveyed.
- NCES requirement: new race/ethnicity reporting categories apply to students, faculty & staff

Concerns if request does not move forward

UNM would be in violation of federally mandated regulations regarding race & ethnicity reporting, potentially resulting in a loss of federal funding and, possibly, sustaining fines. If UNM fails to implement these federally mandated changes to how race and ethnicity data are collected, maintained and reported, UNM could also incur an audit by the Office of Federal Contract Compliance Programs (OFCCP).

Time Line Requirements

NCES requires institutions to submit IPEDS reports with the new codes by the Fall term 2010. In order to comply with this federal deadline, the new codes should be implemented across UNM in time for Fall term 2009.

Stakeholder Analysis

⇒ For Stakeholders, see **Appendix A: Stakeholder Analysis**

Organizational & System Impact Analysis

⇒ For organizational impact, see **Appendix A: Stakeholder Analysis**

⇒ For system impact, see **Appendix B: Scope Definition**

*ITS Impact Matrix

⇒ For ITS Impact, see **Appendix A: Stakeholder Analysis**

Constraints

- Possible resource availability issue for campus-wide implementation within one year
- Organizing a synchronized campus-wide roll-out
- Achieving stakeholder accord amongst such a sizeable group

Next Step Recommendations

1. OIR will identify & confirm an executive sponsor. The sponsor will:
 - a. Announce OIR project & lead
 - b. Provide direction for deliverable #7: are reporting outcomes guidelines or policies?
 - c. Provide direction as to whether to survey or not to survey the current population?
2. Next, OIR & I will meet w/ BPO stakeholders to get input & approval on:
 - a. Scope definition of the project
 - b. Work team members for their respective areas
3. Once scope is approved, OIR & I will schedule work team meetings to:
 - a. Define functionality & data details that fall within scope
 - b. Verify correct resources (did we miss someone that needs to do some specific task?)
 - c. Request that resources give time estimates for work
4. OIR builds project plan, communication plan & risk plan; publish for executive sponsor & stakeholders
5. Project team executes plan



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Initial Assessment**

Appendix A: Stakeholder Analysis

Area	Department	Contact	Title	Role	Notes/Responsibilities
Alumni	Advancement Services	Name	Associate Director	Customer Sponsor/BPO Mgmt	Responsibility: technical & functional implementation of Advancement office's systems
Branches	Gallup	Name	Manager, Enrollment Services Gallup	Project Team Member - Functional	Responsibility: Gallup functional implementation
Branches	Gallup	Name	need answer from Suzette as to BPO	Customer Sponsor/BPO Mgmt	LM for Suzette on 4/30
Branches	Los Alamos	Name	Branch/Division Registrar	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for branch related processes & systems
Branches	Los Alamos	Name	Branch/Division Institutional Researcher	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for branch related reporting
Branches	Taos	Name	Inst. Planning & Development	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for branch related reporting
Branches	Taos	Name	Student Enrollment Director	Project Team Member - Functional	Responsibility: Taos functional implementation
Branches	Valencia	Name	Branch Registrar	Project Team Member - Functional	Responsibility: Valencia functional implementation
Branches	Valencia	Name	Associate Director, Student Services	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for branch related processes & systems
Colleges & Schools	N/A	Dean's Council	Dean	FYI Notification from Exec Project Lead	Responsibility: disseminate information to respective colleges/schools as/if needed
Health Sciences	College of Nursing	Name	System Administrator	Project Team Member - Technical	Responsibility: SON Systems technical implementation
Health Sciences	College of Nursing	Name	Acting Sr Associate Dean	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for CON student services related processes & systems
Health Sciences	College of Nursing	Name	College Administrator	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for CON student services related processes & systems
Health Sciences	College of Nursing	Name	Operations Manager	Project Team Member - Functional	Responsibility: CON functional implementation



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Health Sciences	College of Pharmacy	name	Associate Dean	Customer Sponsor/BPO	Mgmt	Responsibility: Decision-maker/delegator for COP student services related processes & systems
Health Sciences	HS Library & Informatics Center	name	Manager, Systems & Programming	Project Technical Lead - HSC Systems		Responsibility: Technical implementation lead for all HSC systems
Health Sciences	HS Library & Informatics Center	name	A/P 3	Project Team Member - Technical		Responsibility: HSC Systems technical implementation
Health Sciences	HS Library & Informatics Center	name	Manager, Systems & Programming	Project Team Member - Technical		Responsibility: HSC Systems technical implementation
Health Sciences	School of Medicine	name	SOM Registrar	Customer Sponsor/BPO	Mgmt	Responsibility: Decision-maker/delegator for SOM student services related processes & systems
Health Sciences	SOM Academic Affairs	name	Manager, Academic Affairs	Customer Sponsor/BPO	Mgmt	Responsibility: Decision-maker/delegator for Academic Affairs related processes & systems
Health Sciences	SOM Academic Affairs	name	Electronic Resources Specialist	Project Team Member - Technical		Responsibility: Academic Affairs systems technical implementation
Human Resources	Employee Organizational Development	name	Senior HR Development Consultant	Project Team Member - Functional		Responsibility: Implementing Training material, CBT, & SOP Revisions
Human Resources	Graduate Medical Education	name	Senior Program Manager	Customer Sponsor/BPO	Mgmt	Responsibility: Decision-maker/delegator for GME processes
Human Resources	HR Finance Tech & Business Svcs	name	ERP Functional Support Manager	Project Team Member - Functional		Responsibility: HR functional implementation
Human Resources	HR Finance Tech & Business Svcs	name	Associate Vice President	Customer Sponsor/BPO	Mgmt	Responsibility: Decision-maker/delegator for HR related processes & systems
Human Resources	HR Finance Tech & Business Svcs	name	HR Project Specialist	Project Team Member - Functional		Responsibility: HR functional implementation
Human Resources	HR Finance Tech & Business Svcs	name	Manager, Information Services	Project Team Member - Technical		Responsibility: Implement HR report revisions
ITS	Computing Services - Applications	name	Data Warehouse App Mgr	Project Team Member - Technical		Responsibility: ODS implementation & Report Steering Team Lead
ITS	Computing Services - Applications	name	Executive Project Director	Customer Sponsor/BPO	Mgmt	Responsibility: Decision-maker/delegator for ERP related processes & systems



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ITS	Computing Services Applications -	name	Analyst/Programmer 2	Project Team Member - Technical	Responsibility: General Person & Shared Components technical implementation
ITS	Computing Services Applications -	name	Financial Aid App Manager	Project Team Member - Technical	Responsibility: SFAO technical implementation
ITS	Computing Services Applications -	name	Analyst/Programmer 3	Project Team Member - Technical	Responsibility: General Person & Shared Components technical implementation
ITS	Computing Services Applications -	name	Student Application Manager	Project Team Member - Technical	Responsibility: Enrollment Mgmt Division technical implementation
ITS	Computing Services Applications -	name	Shared Components App Manager	Project Technical Lead - ERP Systems	Responsibility: Technical implementation lead for all ERP systems & General Person Operations Team lead
ITS	Computing Services Applications -	name	HR Application Manager	Project Team Member - Technical	Responsibility: HR technical implementation
ITS	Computing Services Customer Service -	name	Computing Support Center Manager	Project Team Member - Functional	Responsibility: Assess impact on support centers, implement any changes at ITS support center & notify other centers
OEO	Office of Equal Opportunity	name	Sr EEO Compliance Specialist	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for GP & HR related processes & systems
Office of the Provost	Faculty Contracts	name	Faculty Affairs & Services Director	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for Faculty Contracts related processes & systems
Office of the Provost	Faculty Contracts	name	Applications Support Specialist	Project Team Member - Technical	Responsibility: Faculty Contracts systems technical implementation
Office of the Provost	Office of Institutional Research	name	Institutional Researcher	Project Lead	Responsibility: Manage the project
Office of the Provost	Office of Institutional Research	name	Director	Executive Sponsor	Responsibility: Final authority for decisions, champion of project
School of Law	Administration	name	Manager, Student Adm & Financial Support	Customer Sponsor/BPO Mgmt	Responsibility: Decision-maker/delegator for SOL processes & systems
Student	Admissions	name	Associate Director	Project Team Member -	Responsibility: Int'l Admissions functional



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				Functional	implementation	
Student	Admissions & Recruitment Services	name	Interim Director of Admissions & Recruitment	Customer Sponsor/BPO	Mgmt Responsibility: Decision-maker/delegator for Admissions & Recruitment processes & systems	
Student	ASM Administration	name	Coordinator for Student Admissions	Project Team Member - Functional	Responsibility: ASM implementation & EMBA liaison	
Student	ASM Administration	name	Manager, Academic Advisement	Customer Sponsor/BPO	Mgmt Responsibility: Decision-maker/delegator for ASM processes & systems	
Student	Enrollment Management Division	name	Interim Vice President	Customer Sponsor/BPO	Mgmt Responsibility: Overall decision-maker/delegator for Enrollment Mgmt processes & systems	
Student	Extended University	name	Programs Director, Operations Extended University	FYI List	Keep informed, but will not participate	
Student	Office of Graduate Studies	name	Graduate Manager	Contracts	Customer Sponsor/BPO	Mgmt Responsibility: Decision-maker/delegator for OGS processes & systems
Student	Office of Int'l Programs & Studies	name	International Advisement Specialist	Project Team Member - Functional	Responsibility: Admissions functional implementation	
Student	Office of the Registrar	name	Associate Registrar	Project Team Member - Functional	Responsibility: Registration report revisions	
Student	Office of the Registrar	name	Registrar	Customer Sponsor/BPO	Mgmt Responsibility: Decision-maker/delegator for Registration processes & systems	
Student	Office of the Registrar	name	Data Manager	Project Team Member - Functional	Responsibility: Registration functional implementation	
Student	Recruitment Services	name	Data Entry Operator 3	Project Team Member - Functional	Responsibility: Recruitment functional implementation	
Student	Recruitment Services	name	Coordinator, Database	Project Team Member - Technical	Responsibility: Recruitment tech/func implementation & report revisions	
Student	Student Financial Aid Office	name	Associate Director	Project Team Member - Functional	Responsibility: SFAO functional implementation	
Student	Student Financial Aid Office	name	Manager	Project Team Member - Functional	Responsibility: SFAO functional implementation	
Student	Student Financial Aid Office	name	Director	Customer Sponsor/BPO	Mgmt Responsibility: Decision-maker/delegator for SFAO processes & systems	

Appendix B: Scope Definition

Define Deliverables:

1. Project Management – IN
 - 1.1. Project Definition or Plan
 - 1.2. Communication Plan
 - 1.3. Risk Plan
2. Bi-weekly Project Status Report – IN
3. Project Decision Approval Process – IN
4. Functionality & Data Specifications (See Below for Details) – IN
5. Data & Documentation Revisions Related to Race & Ethnicity Codes for:
 - 5.1. ERP Suite of Systems – IN
 - 5.2. Approved Stand-Alone Database Systems – IN
 - 5.3. Unapproved Stand-Alone Databases - OUT
6. Data & Documentation Unrelated to Race & Ethnicity Codes - OUT
7. UNM (guidelines or policies?) related to code changes – IN
 - 7.1. Reporting to External Entities
 - 7.2. Reporting Historical Data
 - 7.3. Reporting Trend Analysis
8. Survey for Current Population - IN

Define Functionality & Data Specifications as pertains to Deliverable #5:

Assuming the following *do* use R&E codes...if not, remove from list!! Need to define details with respective project team members:

1. Banner – IN
 - 1.1. Modify Validation Tables
 - 1.2. Modify Rules Tables
 - 1.3. etc.....
2. ODS – IN
3. FAD, Academic Affairs – IN
4. FIBCI, Academic Affairs – IN
5. FCO, Faculty Contracts – IN
6. Faculty Applicant Tracking, OEO - IN
7. PeopleAdmin &/or eHire, HR – IN
8. Admit-M/ACES, Law – IN
9. Pathways, Med – IN
10. MEDS, Med – IN
11. UG Medical Education Student Research DB, Med – IN
12. PharmAdmit/PHARMCAS, COP – IN
13. PEMS, COP – IN
14. Paper Applications – IN
 - 14.1. Undergraduate
 - 14.2. Graduate... et al.....
15. Web Applications populating above systems – IN
16. Reports using data from above systems – IN

The following Stand-Alones are listed as “in progress” or “S-A Request Not Required”. Do any use R&E codes?

- GME Database – In Progress
- Staff Contract Database, Compensation – In Progress
- Office of Academic Affairs – In Progress
- Employee Relations Database – Not Required
- Several OEO Training Logs – Not Required
- Form 5, OEO – Not Required
- Several OEO Hiring DBs – Not Required
- Employee Count, OIR – Not Required
- Fulltime Faculty, OIR – Not Required
- SOLAR, Law – Not Required

The following Stand-Alones have no status. Do any use R&E codes?

- STROLS, Med – Unknown
- Several ASM DBs – Unknown

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