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VOLUME I
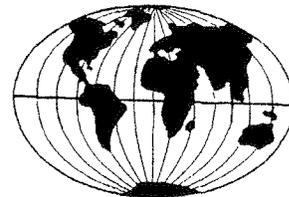# CENSUS 2003 PRETEST: EVALUATING SIX ALTERNATIVE FORMS

Submitted to:

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EXECUTIVE SUMMARY

This report is based on research conducted by Development Associates, Inc. between June, 2002 and September, 2002 in response to a Census Bureau task order requesting cognitive interviews to be conducted on six alternative mock decennial census forms.

The impetus for this study was the need to evaluate alternative approaches designed to increase accurate reporting in the 2010 census.

The study was designed to evaluate guides to several sub populations such as the addition of examples to the "Other Spanish, Hispanic, Latino group," "Other Asian," and "Other Pacific Islander" categories, directions to those of Hispanic origin not to use Hispanic origin-related terms in the race question, and the outcomes of eliminating the "Some other race" category from the race question. Other modifications to be evaluated were the removal of slashes between the terms Spanish, Hispanic, and Latino in the Hispanic ethnicity question and returning the term "origin" to that question stem.

These modifications were presented in five alternative versions of a mock decennial census form. The sixth form, designated the control or baseline form, included the revised Hispanic ethnicity question, with commas between Spanish, Hispanic, and Latino and the term "origin" added and the revised race question with the "Some other race" category removed. The control-baseline form did not have any examples in the Hispanic ethnicity or race questions and did not include any version of the additional instructions for those of Hispanic origin on answering the race question.

The six forms were to be tested using in person cognitive interviews which were audio tape recorded. Each version was to be evaluated by ten respondents. The respondents were to represent various Hispanic origins, Asians who did not have a separate category in the race question, Pacific Islanders who did not have a separate category in the race question, and those who used the "Some other race" category in the 2000 decennial census. Of the 60 cognitive interviews, 40 were to be conducted with persons of Hispanic origin, 10 with "Other Asians" and "Other Pacific Islanders" and 10 with those expected to prefer the "Some other race" category.

Cognitive interviews were conducted with 67 respondents reporting on 277 household members in three sites across the country: Contra Costa County, California, Charlotte, North Carolina, and the greater Washington, D.C. metropolitan area. According to Hispanic origin and race, the respondents included: 46 people with Hispanic origins (28 Mexican or Mexican American, 18 with origins in other countries), 9 Asians or Other Pacific Islanders (Cambodians, Laotians, and Hmong and Tongans, New Zealander-Fijians, and Micronesians), and 12 expected to prefer the "Some other race" category (Arabs, Ethiopians, Haitians, Kuwaitis, Nigerians, and Salvadorans). For analyses of responses to the Hispanic origin item, the Salvadorans were included with the 46 other persons of Hispanic origin.

Removing the slashes between Spanish, Hispanic, and Latino and returning the term "origin" to the Hispanic origin question encouraged respondents to equate Hispanic origin with birthplace. This interpretation raised questions for some respondents of Hispanic origin about whether their US born children should be reported as of Hispanic origin.

The examples added to the "Yes, another Spanish, Hispanic, or Latino group" did not discourage those whose groups were not included in the examples from reporting their group. These examples also helped non Hispanic respondents who were not familiar with the concept of Hispanic ethnicity to understand better which groups were expected to use one of the "Yes." categories.

Similarly, the examples added to the "Other Asian" and "Other Pacific Islander" categories helped those whose groups were included in these categories to locate the place to report.

Eliminating the "Some other race" category from the race question presented a dilemma to some respondents who did not initially feel that any of the race categories on the form were appropriate. They were unsure which nationalities were expected to include themselves in the larger categories. This was especially true for the "White" category.

Eliminating the "Some other race" category from the race question and adding either the "directive" or "informative" style of instructions that Hispanic origin-related terms were not to be used in the race question generated additional difficulties. Some respondents of Hispanic origin were confused when they sought, and did not find, a color category in between "White" and "Black." Other respondents of Hispanic origin, for whom origin and race are conceptually the same, were unsettled to find their countries listed as response options only in the Hispanic origin question and not in the race question.

Eliminating the "Some other race" category and adding the reporting restrictions on people with Hispanic origins resulted in increased reporting in the "White" category and increased missing data among respondents of Hispanic origin (about 4 in 10 did not answer the question.)

Eliminating the "Some other race" category resulted in complete enumeration for all of the respondents chosen as representative of those who used that category in the 2000 census (people from the Middle East, Africa, the Caribbean, and El Salvador). However, most of the respondents in this category were dissatisfied with the choices available and felt that they had not been able to give complete and accurate information.

The assertion in the "directive" instructions that: "In this survey, Hispanic origin is considered different from race." was considered simply incorrect by many respondents of Hispanic origin, and as evidence that the federal government is out of touch with Hispanic culture.

Respondents attempting to report a color (race) in between "White" and "Black" focused on their understanding of the skin color of the people included in the various categories and chose categories based on the skin color that they thought would be created by mixing several. This approach to selecting race categories undermines the conceptual integrity of the race question classification system.

Finally, many respondents found the form to be unnecessarily complicated and recommended revising Question 3 (selection of Person 1) and Question 1 (household count).

Recommendations on the experimental approaches include: implementing the addition of examples to both questions; pretesting both the "directive" and "informative" style of instructions to determine if one improves reporting by the subpopulations that underreported in the 2000

census and does not reduce reporting from others; and testing the "directive" or "hybrid" style of instructions presented in two parts, one above the Hispanic origin question, the other within the race item stem.

Other recommendations include: simplifying Questions 3 and 1 so that respondents arrive at Questions 7 and 8 (Hispanic origin and race) less fatigued; providing information on which nationalities OMB considered to be included in the five race categories; and consider adding a "Mestizo" race category for those of Hispanic origin who consider themselves to be racially a mixture of European Spanish and indigenous Indian (of Mexico, Central, and South America).

CHAPTER I.

INTRODUCTION

In this chapter we present the study's purpose and the research questions.

A.   PURPOSE OF RESEARCH

In preparation for the 2010 census, Census Bureau researchers are evaluating proposed modifications to improve reporting completeness and accuracy in the race and Hispanic origin questions. A field test of proposed 2010 census short form content is planned for 2003. In advance of the 2003 field test, Census researchers have agreed on six alternative approaches to modifications to the race and Hispanic origin items to be evaluated using cognitive interviews. The purpose of the present study is to conduct that evaluation. The modifications include changes to the Hispanic origin question, eliminating the "Some other race" response option from the race question, and adding more specific information in the instructions for the two items. The new information in the instructions is aimed at persons of Hispanic origin, and encourages them to give different answers in the Hispanic origin and race questions.   The six alternative approaches have been presented in six versions of a mock decennial census form, entitled *2003 Census Response Study*, produced using the format and colors of the 2000 census form. The results of this evaluation will assist Census researchers in deciding the content of the 2003 field test.

In planning for the next decennial census, Census Bureau researchers have developed a variety of approaches to addressing two reporting problems discovered in the 2000 census data. First, consistent with prior decennial censuses, persons of Hispanic origin did not always report a race using one of the response options provided. Some persons of Hispanic origin, notably many people with origins in Mexico,[1] either reported no race, or wrote an Hispanic origin sub-group in the race question.   Second, Census was permitted by the Office of Management and Budget (OMB) to use the residual race category, "Some other race," in the 2000 census only as a transitional measure. OMB, which establishes the race categories for the federal government, prefers that the 2010 census use only the five substantive race categories.[2]   Therefore, Census researchers have devised several approaches to re-directing groups who used the "Some other race" category in 2000.   In addition to some persons of Hispanic origin, e.g. Salvadorans, members of other groups who used this response option in 2000 are Arabs, and other people from the Middle East, people from some Caribbean Islands, such as Haitians, and people from Africa, especially northern Africa.

The approaches to encouraging more persons of Hispanic origin to use the race categories offered in the race question and re-directing those who used the "Some other race" category include: editing the Hispanic origin question stem for clarity, providing examples of groups that are expected to use the residual category in the Hispanic origin question, "*Yes, another Spanish, Hispanic, or Latino origin - Print origin,*" and providing examples of groups that are expected to

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[1] This is a significant sub-population. According to the 2000 census, people with origins in Mexico comprise 21 million of the 35.3 million persons of Hispanic origin in the US.
[2] These are: White; Black or African American; American Indian or Alaska Native; Asian; and Native Hawaiian or Other Pacific Islander.

use the *"Other Asian - Print race,"* and *"Other Pacific Islander - Print race,"* categories. In addition, Census researchers sought to reinforce OMB's conception of Hispanic origin as different from race by adding information to the directions preceding the Hispanic origin and race questions. These approaches include:

▶ "In this survey Hispanic origin is considered different from race. Please give different responses to Questions 7 and 8;"
▶ "People of Hispanic origin may be of any race." and
▶ In the race question: "NOTE: In this survey Hispanic origins should not be reported as races."

B. RESEARCH QUESTIONS

The evaluation of the six alternative forms was designed to consider the three aspects under revision: the Hispanic origin question, the race question response options, and the instructions for the two items. Altogether, there are 10 research questions at two levels of detail. First, Census researchers developed three overarching research questions as the study was planned. Next, during development of the cognitive interviewing protocol, our researchers, in collaboration with Census researchers, generated an additional seven related questions. Census' orienting questions included:

1. How effective are changes to the Hispanic Origin question?

   a. Does adding "origin" and removing slashes affect respondent interpretation or comprehension?
   b. Does the new wording of the Spanish response category elicit specific Hispanic groups?

2. How do respondents react to the lack of a "Some other race" category?

   a. Are respondents confused and frustrated when they can't find an "other" category?
   b. How does the lack of this category affect respondents' interpretation of the questions' intent and reporting?
   c. How are Hispanics and non-Hispanic groups that commonly use "Some other race" affected by the change?

3. How do respondents react to the extended instructions?

   a. Do they notice them and read them, are they in the right place?
   b. How do they respond to them, do they understand their intent, are they interpreted as consistent with the "consider yourself to be" language, and do they follow them?
   c. Do "informative" or "directive" instructions work better in terms of improving race item non-response?

The seven related questions that articulate the cognitive protocol's organizing themes are:

4. What is the general feeling of the form? Overall, what do respondents think is the purpose behind collecting data on the census short form?

5. What is the respondent's comprehension of the Hispanic origin item?

6. How does the respondent use the race item?

7. Do the examples provided with the residual categories <u>clarify</u> the response option, <u>restrict</u> the response option, <u>or have no effect</u> on use of the response category?

8. Do the instructions about race and Hispanic origin being different change how respondents think about their race/races?

9. Do the versions that include examples and directions seem "text heavy" or "wordy"?

10. In proxy reporting, how does the respondent decide what to report for other household members and do any of the features explored above affect those decisions?

CHAPTER II.
METHODOLOGY

In this chapter we present our approach to conducting the study including the research design and description of the study population. In addition, we discuss key methodological issues, certain aspects of the research design that may have affected the findings.

A.   RESEARCH DESIGN

Our research design was developed in collaboration with Census researchers to provide as much information as possible about the effectiveness of a series of modifications to the race and Hispanic origin questions in improving coverage and reducing the resources Census must use to clean data files. The study was entirely focused on how representatives of certain racial and ethnic groups would respond to these modifications. Key aspects of the research design include: the research questions, instrument versions, and the cognitive interviewing approach.

1.   RESEARCH QUESTIONS

Several modifications to the race and Hispanic questions, and to the directions preceding them, were developed by Census researchers to address some reporting problems that occurred on the 2000 decennial census, that were anticipated to occur on the 2010 census. These modifications involved reformatting and adding illustrative material to the Hispanic origin question, eliminating the race question response option "Some other race," adding examples to two race categories, and adding explanatory material to the directions preceding both questions and again in the race question to eliminate the use of terms related to Hispanic origin in the race question. Examples of the changes included:

Hispanic Origin Question[3]

From: **Is this person Spanish/Hispanic/Latino?** Mark x the **"No"** box if **not**
    Spanish/Hispanic/Latino.
    __ **No**, not Spanish/Hispanic/Latino   __ Yes, Puerto Rican
    __ Yes, Mexican, Mexican Am., Chicano   __ Yes, Cuban
    __ Yes, other Spanish/Hispanic/Latino - *Print group--*

To: **Is Person 1 of Spanish, Hispanic, or Latino origin?** Mark x
    "No" if **not** of Spanish, Hispanic, or Latino origin.
    __ **No**, not of Spanish, Hispanic, or Latino origin   __ Yes, Puerto Rican
    __ Yes, Mexican, Mexican Am., Chicano   __ Yes, Cuban
    __ Yes, another Spanish, Hispanic, or Latino origin - *Print origin, for example,*
    Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on

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[3] See Appendix A for copies of the first page of each form.

Race Question

From: **What is this person's race? Mark x one or more races** to
indicate what this person considers himself/herself to be.
__ White
__ Black, African Am., or Negro
__ American Indian or Alaska Native - *Print name of enrolled or principal tribe*

_____

__ Asian Indian	__ Japanese	__ Native Hawaiian
__ Chinese	__ Korean	__ Guamanian or Chamorro
__ Filipino	__ Vietnamese	__ Samoan
__ Other Asian - *Print race--*		__ Other Pacific Islander - *Print race--*

__ Some other race - *Print race--*

_____

To: **What is Person 1's race? Mark x one or more races** to
indicate what this person considers himself/herself to be.
__ White   __ Black, African Am., or Negro
__ American Indian or Alaska Native - *Print name of enrolled or principal tribe*

__ Asian Indian	__ Japanese	__ Native Hawaiian
__ Chinese	__ Korean	__ Guamanian or Chamorro
__ Filipino	__ Vietnamese	__ Samoan
__ Other Asian - *Print race, for example, Cambodian, Laotian, Pakistani, Thai, and so on --*		__ Other Pacific Islander - *Print race, for example, Fijian, Tongan, and so on --*

Instructions

From: **NOTE: Please answer BOTH Questions 5 and 6.**

To: [Version 13]
**NOTE: Please answer BOTH Question 7 about Hispanic origin
and Question 8 about race. In this survey, Hispanic origin is
considered different from race. Please give different responses
to Questions 7 and 8.**

[in the race question]
**NOTE: In this survey, Hispanic origins should not be
reported as races.**

To: [Version 14]

NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. People of Hispanic origin may be of any race.

To evaluate these changes Census researchers developed three main research questions, presented as questions 1-3 in Exhibit II. 1 below. During design of the cognitive interviewing protocol the remaining seven research questions were developed. The goals of the changes were: (1) to increase the number of persons of Hispanic origin who reported this in the Hispanic origin question, including those whose origins were not among the specific categories offered as response options, (2) to compel representatives of groups that used the "Some other race" category in 2000 to use one or more other categories, and (3) to encourage persons of Hispanic origin to answer the race item with one or more of the race response options presented and not a term indicating their Hispanic origin. Census researchers also wanted more information on the impression the forms made on respondents, how they understood the intent of the Hispanic origin question, how they thought about race in responding to the race item, if the examples were useful, if the instructions to persons of Hispanic origin changed their approach to race, and if proxy reporting was improved by any of the modifications.

2. INSTRUMENT VERSIONS

For this study, Census researchers developed five versions of a self-administered mock decennial census form incorporating one or more of the changes illustrated above, and added a sixth version that incorporated the modified text of the Hispanic origin question, and eliminated the "Some other race" race question response category, but otherwise included none of the enhanced examples or instructions, as a baseline or control version. The forms were identified by codes at the bottom of each page as versions 10 through 15. Each of there forms is briefly described below. The cover page of each is included in Appendix A.

Version 10: "Baseline-Control" included the new format for the Hispanic origin item and the race item minus the "Some other race" response option. Instructions were the same as for census 2000 ("NOTE: Please answer BOTH Questions 7 and 8.")

Version 11: "Examples Only:" adds examples to "another Spanish, Hispanic or Latino origin;" "Other Asian;" and "Other Pacific Islander."

Version 12. "Directive Instructions:" explains that Hispanic origin and race are different 'in this survey;' asks for different answers to questions 7 and 8 and include a note in question 8 not to give an Hispanic origin as a race.

Version 13. "Directive Instructions and Examples:" combines the treatments in Versions 11 and 12.

Exhibit II. 1
Research Questions

Three orienting questions:

1. How effective are changes to the Hispanic Origin question?

    a. Does adding "origin" and removing slashes affect respondent interpretation or comprehension?
    b. Does the new wording of the Spanish response category elicit specific Hispanic groups?

2. How do respondents react to the lack of a "Some other race" category?

    a. Are respondents confused and frustrated when they can't find an "other" category?
    b. How does the lack of this category affect respondents' interpretation of the questions' intent and reporting?
    c. How are Hispanics and non-Hispanic groups that commonly use "Some other race" affected by the change?

3. How do respondents react to the extended instructions?

    a. Do they notice them and read them, are they in the right place?
    b. How do they respond to them, do they understand their intent, are they interpreted as consistent with the "consider yourself to be" language, and do they follow them?
    c. Do "informative" or "directive" instructions work better in terms of improving race item nonresponse?

Seven questions central to the cognitive protocol:

4. What is the general feeling of the form? Overall, what do respondents think is the purpose behind collecting data on the census short form?

5. What is the respondent's comprehension of the Hispanic origin item?

6. How does the respondent use the race item?

7. Do the examples provided with the residual categories <u>clarify</u> the response option, <u>restrict</u> the response option, <u>or have no effect</u> on use of the response category?

8. Do the instructions about race and Hispanic origin being different change how respondents think about their race/races?

9. Do the versions that include examples and directions seem "text heavy" or "wordy"?

10. In proxy reporting, how does the respondent decide what to report for other household members and do any of the features explored above affect those decisions?

Version 14. "Informative Instructions:'" adds the view that "people of Hispanic origin may be of any race" to the request to answer both questions 7 and 8. No instructions in the race question and no examples are provided.

Version 15. "Hybrid Instructions and Examples: "same instructions as in Version 13, minus the note in the race question, but includes the examples.

3.   COGNITIVE INTERVIEWING APPROACH

Our cognitive interviewing used a retrospective think-aloud approach with scripted and unscripted probes. After a brief introduction to the study, completing the consent and honorarium receipt form, and getting permission to tape the interview, the respondent was asked to complete the first page of the form and stop. In most cases the respondent was Person 1. Cognitive questions here focused on overall feeling of the form, and specifics on the Hispanic origin and race questions, instructions, examples, and reporting. When all respondent topics were exhausted, the respondent completed the form for the remaining household members and then answered final questions on proxy reporting on Hispanic origin and race.

(a) Self-reporting: There were four sets of questions for respondents: (1) on all versions (after completing the first page) a series of probes on the Hispanic origin and race questions; (2) questions on the versions with examples (forms 11, 13, 15); (3) questions on the versions with instructions, (forms 12, 13, 14, 15); and (4) questions on versions 13 and 15, which contained both examples and directions.

Example probes included[4]:

▶   Based on the page that you have just finished, what is the purpose of this form? How do you think the information will be used?

▶   Hispanic origin: What is question 7 about? Is there a word (you'd rather use/is better than) "origin" here? Looking at some of the other parts of this question, what does 'Chicano' mean to you? What about 'Spanish'? And 'Hispanic'? And 'Latino'? And where it says 'Yes, another Spanish, Hispanic or Latino origin - Print origin' what is it asking for?

▶   [For Hispanics]: How did you decide which answer(s) to mark? What were you thinking when you were deciding which answer(s) to mark? How long did it take you to decide which answer(s) to mark? Was there an answer you considered marking or writing, but decided not to? Was there an answer or answers you thought about but did not use?

▶   Race: Now looking at question 8, in your own words, what is question 8 about? [If necessary]: What does "race" mean to you in this question?

▶   [In versions with no new instructions, 10, 11, 14, and 15]: What does it mean here when it says "consider himself/herself to be?"

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[4] The full protocol is included in Appendix B.

▶ Was there an answer you considered writing, but decided not to? Was there an answer or answers you thought about but did not use? What would you do if you did not find an appropriate answer in Q. 8?

▶ Do "race" and "origin" seem to mean the same thing or different things in this questionnaire?

▶ Hispanic - examples: Did you happen to notice the examples of other Spanish, Hispanic, or Latino origin groups in this question? [If yes, noticed the examples]: What were you thinking when you saw those other Spanish, Hispanic, or Latino origin groups? Did seeing those other origin groups change your mind about what answers to mark?

▶ Did you happen to notice the examples of other Asian and Other Pacific Islander race groups in this question? If yes, noticed the examples: What were you thinking when you saw those other Asian and Other Pacific Islander race groups? Did seeing them change your mind about what answers to mark?

▶ Did you see these instructions before Question 7? In your own words, what are they about? What were you thinking when you saw those instructions the first time?

▶ [Versions 12, 13, 15]: What does "In this survey Hispanic origin is considered different from race" mean here? What is the part about "different responses" asking you to do?

▶ [Version 14]: What does "people of Hispanic origin may be of any race" mean to you in this question?

▶ Did you agree or disagree with the instructions about the difference between race and Hispanic origin? [Agree]: Was it helpful for the instructions to say that there is a difference? [Disagree]: Did you/would you still follow the instructions on giving different answers for race and Hispanic origin on this form, or would you not follow them?

▶ Did you notice the instructions in Question 8 where it says NOTE? In your own words, what are they about? [If necessary] Did you think that most people are supposed to answer both questions, or is it ok to only answer one? Why/Why not?

▶ Did the instructions help explain why both the Hispanic origin and race questions are asked? If yes, what did the instructions explain? Did you consider not marking an answer in Q.7 or Q. 8 or both questions? Why or why not?

▶ Looking back over this page, how do you feel about the amount of instructions and examples included with the questions - would you say there is not enough helpful information, too much helpful information, or is the amount of helpful information about right?

▶ On a form like this, some people read all of the instructions and examples and some people do not. What parts of the instructions and examples did you read the first time through? (What did you ignore? and why?)

(b) Proxy reporting: There were three sets of questions on proxy reporting: (1) a general set for all versions; (2) questions on the versions with examples (forms 11, 13, 15); and (3) the versions with instructions (forms 12, 13, 14, 15). Example probes included:

▶ For Hispanics: How did you decide which answer to mark for Person (2-5)? What were you thinking when you were deciding which answer to mark? How long did it take you to decide which answer to mark? Was there an answer you considered marking or writing, but decided not to for Person (2-5) ? Was there an answer or answers you thought about but did not use?

▶ [If more than one origin group]: How did you decide which answers to mark for Person (2-5)? What were you thinking when you were deciding which answers to mark? How long did it take you to decide which answers to mark?

▶ All respondents: You chose (RACE/RACE 1 AND RACE 2/etc.) for Person (2-5) What were you thinking when you were deciding which answer(s) to mark? How long did it take you to decide which answers to mark for Person (2-5)? How easy or hard was it to find the best answers for yourself? Was there an answer you considered writing, but decided not to for person (2-5)? Was there an answer or answers you thought about but did not use?

▶ Examples: Did seeing those other[Hispanic] origin groups change your mind about what answers to mark for Person (2-5)? If yes: How was your mind changed - did they help you to choose that answer or persuade you not to choose that answer?

▶ Examples: Did seeing the examples in the Other Asian and Other Pacific Islander answers change your mind about what answers to mark for Person (2-5)? If yes: How was your mind changed - did they help you to choose that answer or persuade you not to choose that answer?

▶ Instructions: Did those instructions make you change the answer or answers you were going to mark in Question 7 for Person (2-5)? What about in Question 8 - did you change the answer or answers you were going to mark in Question 8 for Person (2-5) when you saw those instructions? If yes, changed answer/s - How? Why?

▶ Instructions: Did you change the answer or answers you were going to mark in Question 8 for Person (2-5) when you saw those instructions? If yes, changed answer/s: How? Why?

Unscripted probes included "Tell me more." "So---" "Tell me about [concept introduced by respondent]" and so forth.

In closing, respondents were asked if there was anything that they would like to say about the Hispanic origin or race questions that they did not have a chance to say during the formal interview.

B.   STUDY POPULATION

The goal of the study was to conduct a minimum of 10 cognitive interviews per alternative version of the form on six variations of the race and Hispanic origin questions, or a total of 60 interviews. The respondents were to represent three groups expected to be most affected by the question variations: persons of Hispanic origin, those who would be likely to use the write-in line shared by the Other Asians and Other Pacific Islanders and those who had used the "Some other race" category in the 2000 census. In the sections below we present the required characteristics of the study population, the rationale for assigning respondent groups to form versions, and the final distribution of respondents.

1.   REQUIRED CHARACTERISTICS

The study was designed to focus on persons of Hispanic origin; therefore 40 of the 60 interviews were to be conducted with respondents of this ethnicity. The majority of these were to have origins in Mexico, reflecting the desire to have this group experience the several approaches to the distinction between Hispanic origin and race groups. The emphasis on people with Mexican origins is based on their relative proportions in the US population and their propensity to report in the race question using Hispanic origin terms. According to the 2000 census, people with origins in Mexico are the largest sub-population of those with Hispanic origin.[5] Many persons with origins in Mexico also have a mixture of Spanish and Indian background that further complicates their use of the race question categories. In recruiting study participants, it was also desirable if at least half of this group had some Indian, "mixed," or mestizo background. The remainders of the 40 interviews were to be conducted with people whose Hispanic origins were in countries other than Mexico.

The remaining 20 interviews were to be conduced with respondents from two groups: those who would be likely to use the write-in line shared by the Other Asians and Other Pacific Islanders, a minimum of 10 interviews, and those who would be likely to use the "Some Other race" category, the remaining minimum of 10 interviews.

2.   RESPONDENT SUB-POPULATIONS AND VERSION ASSIGNMENT

The planned distribution of respondent groups by form versions is presented in Table II. 1 below. The rationale for the assignment strategy was to have at least 5 respondents with Mexican origins in each major modification. However, the total number of respondents included only 40 for all persons of Hispanic origins and some meaningful number of them had to be of non-Mexican origins. Therefore we used the following strategy:

▸   Version 10 Control/Baseline. Mexican-Hispanic and others: to establish Hispanic-Mexican baseline;

▸   Version 11 Examples Only. Non Mexican-Hispanic and others.;

▸   Version 12 Strong Instructions. Mexican and Non Mexican-Hispanics: how both Hispanic groups respond to strong instructions only;

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[5] According to the 2000 census 70 percent of the persons of Hispanic origin in this country are of Mexican origin.

The respondents of Hispanic origin included 28 people with origins in Mexico and 18 with origins in countries other than Mexico, such as Argentina, Colombia, Ecuador, Guatemala, Honduras, Nicaragua, Peru, Puerto Rico, and Spain.

The Other Pacific Islands[6] represented included Tonga, Fiji, and the Federated States of Micronesia. The Other Asian countries[7] represented included Cambodia and Laos; one Laotian was a Hmong.

Respondents likely to use the 'Some Other Race'[8] category included those from El Salvador, Haiti, Kuwait, Nigeria, Ethiopia and one person who identified only as an Arab from the Middle East. A respondent from Pakistan, who recruiters thought to be from the Middle East, was included in this group.

Table II. 1
Cognitive Interview Respondent Types,
Planned and Achieved by Version

Version	Mexican		Not Mexican		Other Asian/OPI		SOR		Total	
	Planned	Achieved	Planned	Achieved	Planned	Achieved	Planned	Achieved	Planned	Achieved
10	5	5	NA	3	0/5	2/2	NA	NA	10	12
11	NA	NA	5	4	NA	1/0	5	6	10	11
12	5	5	5	4	NA	NA	NA	1	10	10
13	5	4	NA	4	5/0	2/2	NA	NA	10	12
14	5	9	5	3	NA	NA	NA	NA	10	12
15	5	5	NA	NA	NA	NA	5	5	10	10
Total	25	28	15	18	10	9	10	12	60	67

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[6] "OPI" indicates respondents from the Pacific Islands other than Samoa and Guam, and excludes Native Hawaiians.
[7] Asian respondents eligible for this study included those most likely to record their race in the "Other Asian" category, such as Southeast Asians.
[8] "SOR" indicates respondents most likely to record their race in the "Some Other Race" category on the census 2000 short form, such as Arabs and others from the Middle East , Haitians and others from the Caribbean islands, and some Africans. Also some Salvadorans are included in the "SOR" respondent group.

▶ Version 13 Strong Instructions Plus Examples. Mexican-Hispanic and others: how each of these responds to the most forceful version;

▶ Version 14 Informative Instructions Only. Mexican and non Mexican-Hispanics: how both Hispanic groups respond to this less forceful style; and

▶ Version 15 Hybrid Instructions and Examples. Mexican-Hispanics: how Mexicans respond to this style.

By respondent group the planned assignments were: Mexican Hispanics, (5 in each of 5 conditions, N=25); Non Mexican Hispanics, (5 in each of 3 conditions, N=15), Other Asians and Other Pacific Islanders (N=10) and respondents representative of groups using the "Some other race" category in the 2000 census ("SORs"), N=10. Table II.1 below presents the planned and achieved number any type of respondents by Version.

The respondents were required to be adults between the ages of 18 and 65. While Census set no specifications for education and income levels, we sought variety, again to reflect the general population. We did require that the respondent be able to understand and speak English well enough to complete the interview in English and to engage in some reflective analysis about their reporting behavior. We did not require that English be the respondent's first language.

We planned to interview respondents for households of at least 3 members and 2 generations. This requirement was one we imposed to maximize the richness and amount of information on race and Hispanic origin reporting from each interview.

3.   DISTRIBUTION OF RESPONDENTS

The interviews were conducted in Charlotte, North Carolina, Contra Costa County, California, and the greater Washington, D.C. metropolitan area by five experienced cognitive interviewers: Drs. Diana K. Davis, Blair A. Rudes, and Kellina Craig, and Ms. Carol Ann Baker and Ms. Nadra Garas. The respondents were paid a $35 honorarium and the interviews were audiotape recorded.

We completed 67 interviews as distributed in Table II. 1 below. Since one goal was to have at least 5 respondents with origins in Mexico for five of the six versions of the form, additional interviews were required. The respondents were recruited from local organizations. It is not always possible to ensure that a specific distribution of respondent characteristics will be accommodated within a specified number of interviews since we cannot be sure what racial and ethnic categories a respondent will choose until the interview is conducted. In particular the climate of the times when participants were being recruited was one of heightened surveillance of people from the Middle East and potentially illegal immigrants which affected two target groups: Arabs and persons of Mexican origins.

The respondents were between the ages of 19 and 71. Six in 10 were women, 4 in 10 were men. Household size ranged from 2 to 13, with a mean of 3. One in four respondents was between the ages of 19 and 29, 32.8 percent were in their 30s, 19.4 percent were in their 40s and the remaining 8.0 percent were age 50 and over. Table II. 2 presents the distribution of respondent groups over the versions.

C.   METHODOLOGICAL ISSUES

In survey methods research we are always concerned with the extent to which our findings are influenced by the study design. Generally when we observe similar findings over several interviews and interviewers, we tend to believe we can have an appreciation for the extent of this influence. The following conditions may have had some influence on respondents' behavior. In some interviews these effects were clear. They include:

▸   Paying study participants a $35 honorarium for their assistance, the presence of the interviewer in the face-to-face interview, and not assigning cognitive interviewers to population groups in any systematic fashion.

The honorarium may have had the effect of encouraging respondents to be more persistent in completing the form and more careful in thinking about answers than they would have been if completing the form in their own homes. The presence of the interviewer may also have encouraged respondents to make extra efforts. While the interviewers were a mixture of races, ages, and sexes[9], no attempt was made to match interviewers with respondents to facilitate the interview.

▸   Describing the study as helping the Census Bureau to refine their instruments in preparation for the 2010 census and entitling the study forms the "2003 Census Response Study."

While a setting labeled as "helping the Census Bureau" is effective in gaining participants, all other things being equal, we expect volunteers to be more cooperative than the general public.

▸   Distributing the respondents over age categories, generations in the US, proficiency with English and completed education level.

Distributing the respondents across the age, US generation, English proficiency, and education spectrum would be expected to mediate or diminish any problems encountered by those less able to work with the form effectively, such as the less well educated, less English proficient, and so forth.

▸   Permitting interviewers to assist respondents bogged down in questions not germane to our study e.g. determining the number of people in the household, how the residence is held, and determining the identity of Person 1, even though the form was self-administered.

Respondents have to navigate through six items to reach the Hispanic origin and race questions that are the subject of this study. The first three questions, determining household size, how the residence is held ("owned by you or... with a mortgage or loan; owned by you or ...free and clear; rented for cash rent; occupied without payment of cash rent"), and determining who to choose as

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[9] The cognitive interviewers included four women and one man. Two of the women were white, one was African American, and one was Middle Eastern (from Egypt). The man was white in appearance but with some American Indian heritage.

Person 1 (four sentences that frequently yield the landlord's name),[10] are very difficult and frustrating for some respondents. To ensure that the respondent was fresh to tackle the Hispanic origin and race questions, the interviewers were encouraged to help those who became confused while working with the first six questions. Therefore we do not have an accurate appreciation of the level of fatigue and frustration that some respondents would have reached had they had to navigate the first six items alone before reaching the Hispanic origin and race questions.

▶   Requiring sophisticated analytical and verbal skills to participate effectively in the cognitive interview, doubly difficult for respondents performing these tasks in a second language with which they may not have had full proficiency.

As in any cognitive interview, the cognitive probes used in this study required an ability to reflect on one's behavior and thoughts, to become self-conscious in a way that is not common for everyone. For some respondents it was a new experience to report on their thoughts minutes after having them and to attempt to identify their rationale for assigning race categories, for example. Several respondents, not fully fluent in English, were unable to understand either what they were asked to do, or were unable to frame it in English, or both.

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[10] See the first page of each form, in Appendix A.

CHAPTER III.
FINDINGS

In this chapter we present the findings organized around the three main research questions and the seven sub-questions.

A.   THE HISPANIC ORIGIN QUESTION

How effective are changes to the Hispanic Origin question?

▸   Does adding "origin" and removing the slashes affect respondent interpretation or comprehension?
▸   Does the new wording of the Spanish response category elicit specific Hispanic groups?

1.   FORMAT CHANGES

Two versions of the Hispanic origin question were tested on the six forms. Both test versions had the same wording and format for the question stem. They differed in the content of the final response category "Yes, another Spanish, Hispanic, or Latino origin - *Print origin.*" In one version this category included examples of other Hispanic origin groups, in the second version no examples were provided. The longer version was:

Is Person 1 of Spanish, Hispanic, or Latino origin? Mark x
    "No" if **not** of Spanish, Hispanic, or Latino origin.
    __ **No**, not of Spanish, Hispanic, or Latino origin   __ Yes, Puerto Rican
    __ Yes, Mexican, Mexican Am., Chicano   __ Yes, Cuban
    __ Yes, another Spanish, Hispanic, or Latino origin - *Print origin, for example,*
    Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.

The short version is identical to the question above, but ends at "*Print origin.*"

Since all versions of the question employed the new devices, removing the slashes between Spanish, Hispanic, and Latino, and adding the term "origin," we cannot say if interpretation or comprehension was improved by the changes. However, we encountered no respondent of Hispanic origin who did not understand the Hispanic origin question well enough to provide a positive and decisive reply. Removal of the slashes probably makes the question stem easier to read on this self-administered form. In discussing their comprehension of the question, most respondents of Hispanic origin suggested that the Hispanic origin question was "clearer" than the race question.

Cognitive probing on this question yielded new information on interpretations of the terms *origin, Hispanic, Spanish, Latino,* and *Mexican* or *Mexican-American.*

"Origin" in this context was most often identified with the person's country of birth, or birthplace, and was also viewed as referring to ancestry and "roots."[11] One outcome of this concept of origin often led respondents to interpret the response options as country names e.g. *Cuba*, rather than *Cuban*.[12] Some respondents equated origin with ethnicity group and nationality, others saw it as the same as race or color. The birthplace definition led some Hispanic respondents to report their US-born children as not Hispanic.

Hispanic: Some respondents identified this term as one created by the government as an umbrella term, but were not in agreement as to whether those under this umbrella would be all those with origins in Spanish-speaking countries, or all new world countries south of the US, which would include countries where Spanish is not spoken. Views of the application of Hispanic also differ on if Hispanics may be born in the US and if it applies to people in or from Mexico. Some respondents noted that his label is applied to them by others, and that they do not use it among themselves. Comments that illustrate these differing views on the meaning of Hispanic include:

> *"It means Mexican."*

> *"I'm not sure, but it has to do with being Mexican."*

> *"A Mexican originally living in the California area."*

> *"Those are people born of Mexican parents."*

> *"Those are people other than those from Mexico."*

> *"An issue. People conquered by the Spaniards, the term of choice for people in*
>   *Puerto Rico and Cuba; not exactly Latin Americans."*

> *"People who live in Central and South America."*

> *"That's the same as from Latin America."*

> *"First generation born in the US."*

Spanish: Generally the respondents agreed that this term applies to people born in Spain and also to people who speak Spanish. It is viewed by some people of Mexican origins as a derogatory term for them and by others, especially non-Mexicans, as not derogatory.
Examples of these views include:

From respondents of Mexican origins:

> *"A semi-derogatory term for Mexican."*

> *"It's people from Spain, but it can be derogatory by referring to the Spanish*
>   *Inquisitors."*

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[11] As in "Where are you from?"
[12] In Spanish Mexican is *Mejicano*, Cuban is *Cubano*, and Puerto Rican is *Puertorrequeno*. It is not clear if these respondents were confusing English and Spanish spellings of these terms.

> *"People more identified with Spain; different from Mexicans and Mexican Americans who are not a pure race, they are mixed, Spanish and "natives."*

> *"Someone from Spain. I welcome this term because it describes my father."*[13]

From respondents with origins in Spanish-speaking countries other than Mexico:

> *"That's people who speak Spanish."*

> *"...someone who talks that language or is that race."*

> *"Born in a Spanish-speaking country."*

> *"Someone whose first language is Spanish."*

Latino: The respondents agreed that this term applies to people born in Latin America, or Central and/or South America. Some respondents do not include people with origins in Mexico in the Latino category. This term also evoked a skin color, "brown."

Mexican or Mexican-American: The respondents agreed that this term is for people with origins in Mexico. Mexicans or Mexican Americans may not consider themselves to be of Spanish, Hispanic or Latino origin. It is common for respondents with Mexican origins to reject the use of the terms "Spanish," "Hispanic," and "Latino" as not including them, possibly because many Mexicans focus on their "mixed" heritage of native Indian people and the Spanish conquistadores. Therefore, in the Hispanic origin question as structured in this study, they may mark two answers: both "**No**, not of Spanish, Hispanic, or Latino origin" and "Yes, Mexican, Mexican Am., Chicano." Illustrative comments include:

> *"My mother was Aztec Indian from Mexican and my father was from Spain. I considered writing in "American of Mexican descent," because I am an American with Spanish and Mexican culture."*

It is also very important for many parents from Mexico to indicate that their children were born in the US. Therefore, they insist on the term "Mexican-American" to indicate their children's' origins. Comments include:

> *"I want my daughter to use "Mexican American." I was born in Mexico and am a US citizen."*
> *"I am happy to see a place for Americans born in Mexico."* [referring to the "Mexican Am." part of the category]

2. EXAMPLES AND MORE REPORTING.

It was hoped that providing examples of other Hispanic origin groups in addition to those named in the previous response options (Mexican or Mexican Americans, Cubans, and Puerto Ricans) would encourage people from the other Spanish-speaking countries to write their nationality in

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[13] This respondent implied that others of Mexican descent might not like having this term applied to them, but he was the exception, hence "welcoming" the term.

this category. Among the respondents with Hispanic origins were 23 with origins in countries other than Mexico,[14] of whom about half (12) were interviewed using a version of the Hispanic origin question that included examples with the "Yes, another Spanish, Hispanic, Latino origin - Print origin" response option, and half (11) were interviewed using a version that did not. The distribution of these 23 respondents by form version is presented in Table III. 1 below.

<table>
<tr><td colspan="4">**Table III. 1**
Frequency of Non-Mexican Respondents of Hispanic Origin
by Version of Hispanic Origin Question
(With Examples and Without)</td></tr>
<tr><td>**Version**</td><td>**Hispanic Non-Mexican**</td><td>**Salvadorans (SOR)**</td><td>**Total**</td></tr>
<tr><td>Examples: Versions 11, 13, 15</td><td>8</td><td>4</td><td>12</td></tr>
<tr><td>No Examples: Versions 10, 12, 14</td><td>10</td><td>1</td><td>11</td></tr>
<tr><td>**Total**</td><td>18</td><td>5</td><td>23</td></tr>
</table>

Of the 12 Non-Mexican Hispanic respondents interviewed using forms that included examples, 3 (25 percent) did not write in their group. These included a respondent from El Salvador and respondents two with two groups they wanted to report in this question: one with origins in El Salvador and Mexico and one respondent with one parent with origins in Honduras and one "White" parent. None of the three respondents failed to write in their group because they believed the category was limited to the groups included among the examples.

Of the 11 Non-Mexican Hispanic respondents interviewed using forms without examples, one did not write in a group (Argentinean - Latina) and a second, a Guatemalan who is a Mexican citizen,[15] preferred "Latino" or "Mexican," and marked "No, not of Spanish, Hispanic or Latino origin" (2 of 11 is 18 percent). The groups written in included: Peruvian, Puerto Rican, and New Mexican. Country names written in include: Peru, Colombia, Bolivia, Nicaragua, Guatemala, and El Salvador.

With both small numbers of respondents and small differences in reporting[16] between forms with and without examples, we cannot conclude that the use of examples results in more complete reporting. As noted above, none of the respondents who failed to write in their origin group in the version that provided examples failed to do so because they interpreted the examples as limiting which groups should use the category.

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[14]This number includes five Salvadorans who were classified by racial category as those likely to use the "some other race" category in the race question. Their data were included in the analysis of responses to the Hispanic origin question since they are ethnically of Hispanic origin.

[15] This respondent struggled with proper reporting, not identity. He felt that he needed to give the country where he is a citizen, Mexico, as well as his origins, which are in Guatemala.

[16] The difference between the respondents of other Hispanic origins who did not write their group in a question that offered examples (25 percent) and the respondents of other Hispanic origins who did not write their group in a question that did not have examples (18 percent) is one respondent.

Finally, among the 28 respondents of Hispanic origin with origins in Mexico, three wrote something in this category ("Hispanic Indian," "American Mexican," and "half Dominican half Mexican"). The remaining respondents of Hispanic origin with origins in Mexico said they understood that this was the space for writing other origins.

Given the similar results between those whose form included examples and those whose form did not, we cannot conclude that adding examples encourages respondents to write in the other Hispanic origin groups. The reasons for writing in groups on this response option are more complex than simply being able to read and understand the response option. The phenomena of being "of Hispanic origin" in the US has a number of different dimensions and what is reported and how it is reported apparently depends on a series of factors that we have not conclusively tapped in this small study.

A critical reporting problem that we can describe in regard to reporting Hispanic origin group is the dilemma for the person with more than one Hispanic origin group. As we detailed above, three respondents with Hispanic origins in more than one group had difficulty using the response options. They included a person who wanted to report both Salvadoran and Mexican origins, one wishing to report both Honduran and "White"[17] origins and one wanting to report both Dominican and Mexican origins. In addition, these changes to the Hispanic origin question do not address reporting problems for respondents with mixed Spanish and Indian origins, who make up a large part of the Hispanic population. Some respondents from Mexico, Guatemala, Peru, and so forth noted that they had difficulty in answering the Hispanic origin and race questions because of their mixed heritage. A more detailed discussion of this problem is presented in the discussion of our findings on changes to the race question below.

B.   RACE QUESTION, DROPPING "SOME OTHER RACE"

How do respondents react to the lack of a "Some other race" category?

▶   Are respondents confused and frustrated when they can't find an "other" category?
▶   How does the lack of this category affect respondents' interpretation of the questions' intent and reporting?
▶   How are Hispanics and non-Hispanic groups that commonly use "Some other race" affected by the change?

1.   CONFUSION AND FRUSTRATION

When most respondents who expected to use the "Some other race" category did not find it on the forms in this study, they were "confused" and "frustrated." One major reaction was the position that the government just doesn't understand [our culture]. A number of respondents, primarily those with Hispanic origins, but not limited to this group, expressed this view when they (correctly) interpreted the lack of the "some other race" category as indicating that they should be able to use the categories provided. Their opinion was that "the government" was just wrong and short-sighted, "probably because of all of the White people in it."

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[17] This respondent wanted to give a full account of his identity in the Hispanic origin question, so included "White," which is not an Hispanic group.

The respondents' expressions of frustration and confusion in using the revised race question center on two themes. First, predictably, many respondents could find no suitable category. Second, among some respondents of Hispanic origin the interpretation of the response options in the Hispanic origin and race questions as the names of countries compounded their confusion. Each of these themes is described below.

a.   *Lack of Appropriate Category(ies)*

There were three approaches to the search for appropriate categories. Many respondents of Hispanic origin looked for categories that were labeled with suitable colors. Other respondents explained that either they knew that their group did not belong in any of the categories offered in the question or that they were unclear which groups the Census Bureau considers to be included in the categories as presented on the form. Finally, some respondents understood the question to have only three response options: "White;" "Black, African Am. or Negro;" or "American Indian or Alaska Native," and were confused about which of these was appropriate for their group.

(1) Color Categories for Hispanics: Many people of Hispanic origin routinely use at least three categories of skin colors to designate race: light, medium, and dark. In Spanish these are *blanco*, *meztizo*, and *negro* or white, medium, and black. The medium color category is often called "mixed" in English and *mestizo* or *meztizo* in some forms of Spanish. In addition, there are other Spanish terms for these color categories. In Puerto Rico, for example, the middle skin tone is called *trigueño*. To many respondents of Hispanic origin the first two response options in the race question were skin color categories, and indicated that skin color was the chief trait used to define race. The first two response options in the race question were:

▸   White
▸   Black, African Am,. or Negro

However, the third response option was not a color category:

▸   American Indian or Alaska Native- *Print name of enrolled or principal tribe*
   __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ \

This response option was followed by a series of boxes forming a line in which to print the enrolled or principal tribe. For many respondents this format signaled the end of the response options, and they believed that they were expected to use these three categories to report "what they consider themselves to be."   Other respondents scanned below the line and saw the remaining response options:

__ Asian Indian	__ Japanese	__ Native Hawaiian
__ Chinese	__ Korean	__ Guamanian or Chamorro
__ Filipino	__ Vietnamese	__ Samoan
__ Other Asian - *Print race*		__ Other Pacific Islander - *Print race*

   __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ \

While these additional response options provided variety, there was still no category that respondents with Hispanic origins could associate with the middle skin color response option

that they preferred to use. Among the respondents with Hispanic origins, five respondents who left the race question blank made the following comments, in part:

"Hispanics are a race; I'm not Black and not White and there is no in between color here."

"I looked for some sort of Brown."

"I'm not Black or White, I'm Yellow; I looked for a "mixed" category."

"Mexicans, Koreans, and Filipinos all have nearly the same skin color."

Finally, one respondent with Hispanic origins attempted to use a combination of response options to convey her color. She marked three categories (Black, African Am. or Negro, American Indian or Alaska Native, and Guamanian or Chamorro), and considered a fourth (printing "Cambodian" under Other Asian). During the cognitive interview she explained that she was trying to match her skin color to some of the categories, and thought that these, combined (like mixing paint), would approximate her color.

(2) Category Definitions: The second main aspect of confusion and frustration in using the race question without the "Some other race" category concerned interpretations of which sub-populations or ethnic groups were supposed to be included in the broader categories. Some respondents did not feel that they accurately understood this. Others believed that they understood where their group was expected to be placed, but disagreed with that. The categories that most respondents who voiced this concern considered unclear or otherwise problematical were White and American Indian/Alaska Native.

Comments from respondents with questions and concerns about who should use "White:"

"I was thinking about "White" [for the children] *but thought that it would mean "Caucasian culture,"* [and we are of Hispanic culture], *so I didn't.*

"What about Arabs, what category should they mark?"

"It is difficult to identify myself as an Arab on this questionnaire as there is no category for Arab. I do not really fit under White or any other group.

"I marked White for each of us. My wife is Anglo Saxon [northern European ancestry] *and I am Caucasian* [part Spanish ancestry]. *The word "White" has some bad associations, it would be better to use other words* [for the category label], *like Caucasian and Anglo Saxon."*

Comments from respondents with questions and concerns about who should use "American Indian or Alaska Native:"

"There is no place for Peruvian Indians."

"I have some Puerto Rican native Indian, but that doesn't go there [in the American Indian/Alaska Native category].

> *"I marked Indian because I have two languages. In my country the Indians have their own language and Spanish, so since I have two languages [Spanish and English] here I must be Indian."*

> *"Are American Indians really a race?"*

In disagreeing with their perceptions of who should be included in the "White" category, some respondents focused on the qualification of being "full" or "completely" White, while others were sure that certain origins only were associated with use of this category. Representative comments included:

> *"I wrote "Caucasian;" I'm not completely 'White'."*

> *"White" is not really the truth. I'm more Brown than "White."*

> *"I am closest to White, I have Spanish, French and Mexican ancestry; but I'm not completely White."*

> *"White" is for Europeans."*

> *"White" is for the Western World [not the East, such as Pakistan]."*

> *"White" is for North Americans."*

> *"White" is OK for my husband, he is half German and half Irish."*

> *"White" is the closest to my skin color, but my high school English teacher said that White is for Anglos only."*

Finally, after scanning all of the response options, and finding nothing appropriate, one respondent said:

> *"I don't identify with any of those cultures. I don't know what race Mexicans are using these categories."*

(3) Only Three Response Options: Finally, some respondents stopped reading the question at the visual barrier created by the tribal affiliation write-in line. For them the form offered just three race categories: "White;" "Black, African Am. or Negro;" "American Indian or Alaska Native." For some of these respondents, there was confusion about what to do. Comments include:

> *"There were only three categories and I don't think I'm Black, African American, Negro, or Indian, so I marked White and wrote "El Salvador."*

> *"I don't know what to write because in America there are a lot of people from many countries, not just White and Black. I am not White or Black, so I put American Indian. This question is very difficult to answer, as I don't know what I am here and what to mark with X."*

One result of the respondents' confusion and frustration was feeling "forced" to choose an inappropriate race category. This concerned respondents in two ways. First, some respondents were very worried about giving misinformation to the federal government. Second, some respondents were unhappy on a personal level about using race categories that were not appropriate.

> *"I marked White. It says White on my birth certificate, but I consider myself to be a Latina, not White."*

> *"I marked White because I am not Black."*

> A respondent who identified himself only as an Arab chose White: *"the best of bad choices."*

b. *Response Options as Countries*

A second aspect of the Hispanic origin and race questions that confused and frustrated respondents was the choice of response options for each question. Many respondents of Hispanic origins, and others, understood the response options in both questions to be the names of countries (e.g. Mexico, Cuba, Puerto Rico, China, Japan, Korea, Vietnam, Samoa, and so forth) rather than recognizing that they were the terms for the people of certain countries (Mexican, Cuban, Puerto Rican, Chinese, Japanese, Korean, Samoan, and so forth). The heart of their confusion was not understanding the rationale for including some countries as "countries of origin" in the Hispanic origin question and other countries as "races" in the race question. As an Ethiopian respondent put it:

> *"Those are not races; they are just a list of places."*

This circumstance, listing the people of some countries as response options in the Hispanic origin question and the people of other countries as response options in the race question, compounded the confusion of some respondents of Hispanic origin who used the forms with instructions. The instructions, which will be discussed in Section C below, focused on encouraging respondents with Hispanic origins to answer both the Hispanic origin and race questions and <u>to give different answers in each</u>. Some respondents with Hispanic origins were able to comply. Others attempted to, but found that the response options that they would naturally use were not available. For example, one respondent would have reported herself as having origins in Guatemala and as being of the Latina race.[18] Further, these answers were specifically described as inappropriate on the forms containing the additional instructions being tested in this study. Finally, many respondents with Hispanic origins consider their origins and their race to be the same. They would prefer to use the same term in both questions, however this was prohibited by the instructions and upon reading the questions, these respondents found that their Hispanic origin terms were included as response options in the Hispanic origin question but not in the race question. They argued:

> *"Other people have origins and race the same, for example, the Chinese and Filipinos."*

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[18] Terms directly related to Hispanic identity as a racial group, such as Latino, Spanish, or Hispanic are not included among the race question response options.

Finally, this perceived redundancy or overlap between the response options in the two questions further called into question the intent of the questions. Specifically, some respondents of Hispanic origin questioned their separation from people with other origins.[19]

> *"Why are Cubans or Colombians placed in Question 7 and the Chinese and Vietnamese are in Question 8?"*

They maintained that since origin and race both are about countries that one unified question is "enough."

One outcome of these various problems with the Hispanic origin and race questions is that just over 1 in 4 respondents, 19 of 67 or 28.36 percent, did not answer the race question. Table III. 2 below presents the frequency and percent of respondents by whether or not they answered the race item by respondent group (Hispanic with origins in Mexico, Hispanic with origins in countries other than Mexico, Asians and Pacific Islanders other than those given separate categories, and representatives of groups that made frequent use of the "Some other race" category in the 2000 census). Looking at respondent groups, we see that those with origins in Mexico had the highest rate of failure to answer the race question: 46.43 percent, or 13 of 28. Hispanic respondents with origins in countries other than Mexico had the second highest rate of failure to answer the race question at just over 1 in 4: 5 of 18 or 27.78 percent. Just 1 of the 12 (8.33 percent)[20] respondents whose groups frequently used the "Some other race" category in the 2000 census failed to answer the race question. Finally, all 9 respondents of other Asian and other Pacific Islander groups answered the race question.

Table III. 2
Frequency and Percent of Respondents
by Answer to Race Item
by Respondent Group

Respondent Group	Answered Race Item			Total	%
	Yes	%	No	%		
Hispanic-Mexican	15	53.57	13	46.43	28	100.00
Hispanic-Non-Mexican	13	72.22	5	27.78	18	100.00
Other Asian/OPI	9	100.00	0	00.00	9	100.00
SOR	11	91.67	1	08.33	12	100.00
Total	48	71.64	19	28.36	67	100.00

Finally, while just over 7 in 10 respondents answered the race question, 5 respondents used only written terms which referred to Hispanic origins (Hispanic (twice), Latino, Mexican, and Meztizo[sic]). Two other respondents combined a printed race category with a written term, one

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[19] This is the first time in five years of conducting cognitive interviews on these questions with respondents of Hispanic origin that they have raised the question of the use of the questions to discriminate against them, or otherwise to single them out from other US population sub-groups. In previous studies non-Hispanic respondents have expressed a conviction that the purpose of the two questions is to track, or otherwise monitor, this group.

[20] This person was Hispanic with origins in El Salvador.

referring to Hispanic origins (El Salvador and White and "American" and White). Thus the net percentage of usable answers to the race question provided by respondents for themselves was 43 of 67 or 64.18 percent.

2.   CHANGES IN INTERPRETATION OF QUESTION INTENT AND REPORTING

All of the versions of the race question that we tested lacked the "Some other race" category. To determine if there was evidence of change in the respondent's interpretation of the question or in their reporting, we compared the race question answers on the five versions of the form (Versions 11, 12, 13, 14, and 15) that included examples, new instructions, or both examples and new instructions, with Version 10, which included no examples and the same instructions as on the 2000 census form, as a control or baseline.[21] In the sections below we compare the five forms including various modifications with the baseline instrument on three dimensions of race reporting. These are: (1) whether or not the respondent answered the race question, (2) if the answer was one or more of the five race categories or something written in the question that was codeable into them, and (3) comments made during the cognitive portion of the interview that indicate changes in question interpretation or reporting due to the lack of the "Some other race" category.

a.   *Answers to the Race Question*

The frequency of answering the race question did vary by the version of the instrument used in the respondent's interview. Although the number of interviews using each version was very limited, from 10 to 12, those using some versions, such as Versions 11, 15, and 14, did have higher rates of answering the race question than those using other versions, such as Version 12. Table III. 3 below presents the frequency and percent of answers to the race question by questionnaire version. Notice that the questionnaire versions have been arranged in order by percentage of respondents who answered the race question.

Table III. 3
Frequency and Percent of Respondents by Answer to Race Item
by Questionnaire Version

Questionnaire Version	Answered the Race Item				Total
	Yes	%	No	%	
11 Examples Only	11	100.00	0	00.00	11
15 Hybrid Inst., Examples	9	90.00	1	10.00	10
14 Informative Inst.	9	75.00	3	25.00	12
13 Directive Inst., Examples	8	66.67	4	33.33	12
10 Baseline, Control	7	58.33	5	41.67	12
12 Directive Instructions	4	40.00	6	60.00	10

All 11 respondents (100 percent) interviewed using form Version 11, which had added examples, answered the race question. The respondent groups for this version were six people who represented groups using the "Some other race" category on the 2000 census (five with Hispanic

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[21] This was consistent with Census researchers' designation of this version of the form as the control or baseline.

origins in El Salvador), one person whose Asian category was included in the "Other Asian," and four people with Hispanic origins in countries other than Mexico. (See Table II. 2 in Chapter II Methodology, for the respondent group composition of those interviewed for each questionnaire version.) Nine of the 10 (90 percent) respondents interviewed using the form that included a hybrid version of the instructions and examples, Version 15, answered the race question. The respondents for this version included five with Hispanic origins in Mexico and five representing groups that used the "Some other race" category in the 2000 census.

Nine of the 12 (75 percent) respondents interviewed using Version 14, which included only the "Informative" instructions, answered the race question. The respondents for this version included 9 with Hispanic origins in Mexico and 3 with Hispanic origins in countries other than Mexico. Eight of the 12 (66.67 percent) respondents interviewed using Version 13, which included both "Directive" instructions and examples, answered the race question. These respondents included 4 with Hispanic origins in Mexico, 4 with Hispanic origins in countries other than Mexico, and 4 respondents from countries included in the "Other Asian" category (2) and in the "Other Pacific Islander" category (2).

Seven of 12 (58.33 percent) respondents interviewed using Version 10, the baseline or control version, answered the race question. The respondents for this version included 5 with Hispanic origins in Mexico, 3 with Hispanic origins in countries other than Mexico, and 4 from countries included in the "Other Asian" category (2) and in the "Other Pacific Islander" category (2). Finally just 4 of 10 (40 percent) of those interviewed using Version 12, which included only the "Directive" instructions, answered the race question. These respondents included 5 with Hispanic origins in Mexico, 3 with Hispanic origins in countries other than Mexico, and 4 respondents from countries included in the "Other Asian" category (2) and in the "Other Pacific Islander" category (2).

b.   **Usable Answers**

While one goal of the modifications to the Hispanic origin and race questions was to encourage complete reporting, the ultimate goal was to encourage respondents to report races using the framework provided in the question as modified by the instructions, i.e. to give race item answers that either use the existing categories or that can be coded into them. Therefore another important question is the proportion of race item answers that were usable.

Table III. 4 below present the data. Notice that the versions are presented in the table by the percentage of respondents who gave usable answers for themselves. Among those using Version 11, all respondents answered the race question and all answers were usable.[22] Similarly, all 9 of the 10 respondents answering the question who were interviewed using Version 15 gave usable answers, as did the 7 of 12 who were interviewed using Version 10. A few respondents who were interviewed using versions 13 and 14 gave unusable answers, such as "Latino," "Mexican," "Hispanic," or "Meztizo," therefore the net percent of respondents giving usable race data for each of these versions is 50 percent, or 6 of the 12 respondents interviewed using each version.

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[22] Two respondents gave two races: White and El Salvador and White and American (marked Yes, Mexican, Mexican Am., or Chicano in the Hispanic origin question). While "El Salvador" and "American" are not usable alone, when taken together with the other information provided, marking White and El Salvador and White and American with Mexican origins, Census Bureau staff would be able to categorize these two respondents using the existing categories.

Finally, all 4 of 10 respondents answering the race question interviewed with a Version 12 form gave usable answers.

Table III. 4
Frequency and Percent of Respondents Giving Usable Race Item Answers by Questionnaire Version

Questionnaire Version	Usable Answers		Total Interviews
	Yes	%	
11 Examples Only	11	100.00	11
15 Hybrid Instructions, Examples	9	90.00	10
10 Baseline, Control	7	58.33	12
13 Directive Instructions, Examples	6	50.00	12
14 Informative Instructions	6	50.00	12
12 Directive Instructions	4	40.00	10

c.   Comments Indicating Interpretation or Reporting Change

A review of respondents' comments related to the lack of the "Some other race" category revealed one change in interpretation of the question and two types of changes in reporting.

(1) Changed Question Interpretation: Most respondents believed that they understood what "race" was and had a view on whether race and origin were the same or different. Their difficulty in interpreting the race question as presented lacking a "some other race" category was a perceived disjuncture between the free choice implied in the question stem "consider yourself to be" and the limited response options provided to do so. This view was a persistent complaint. The stem seemed to permit the respondent considerable latitude, then offers a "limited," "stale" and "bureaucratic" set of response categories from among which to choose. Comments included:

> *"I am a mixture of "White" and other things, some "native Puerto Rican Indian." I looked for another category* [a "middle" color category] *to go with "White," but there wasn't one, so I left the question blank. I understood that "considers himself/herself to be" is your subjective view, who you think you are, but I couldn't find the right categories."*

> Version 12. *"The instructions for question 8 don't make sense. I was asked to describe myself, and I thought I could use any words I wanted, but the groups in the question are narrow and I could only choose one of them."*[23] [She interpreted the question as asking for only one category.]

> Version 10. *"It* ["consider yourself to be"] *means "choose who you are" rather than "categorize yourself." I left question 8 blank because there was nothing there that defined me* ["Mexican Indian"], *and the categories for "other" were only for other Asians and Pacific Islanders."*

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[23]She recommended adding "White and Mexican American" and "Brown and Mexican American" to the race categories.

Version 14. "*I couldn't find any single one* [category] *for me, so I wrote "Caucasian." I am not "White" like the American-born people, I have Hispanic and Indian culture in my background. It* ["consider yourself to be"] *means "What I am," but there aren't any options* [race categories] *that I can use.*"

Version 14. "*It* ["consider yourself to be"] *gives me permission to choose each category I want, rather than what an agency might think I am. I left the question blank because I do not identify with any of the cultures there. I don't know what race Mexicans are and "White" is for Europeans." On other forms I write in "Mexican," or mark "White" if there is no place to write "Mexican.*"

When probed on the notion of being able to "Mark one or more races" one respondent said:

"*It doesn't matter how many categories you are permitted to choose if none of them is appropriate.*"

(2) Changed Reporting: Two types of reporting changes were potentially the most damaging. One was an increase in failing to answer the question. This would result in more missing data on race. The second was an approach to answering that focused on indicating skin color, rather than group membership or identity. This would result in artificially inflated totals and likely fewer blanks. Of these two reporting changes, the first was the most prevalent. The main consequence of the lack of the "some other race" category was for respondents of Hispanic origin who were accustomed to reporting an Hispanic origin related term in this space. Lacking the "Some other race" category in which to write their preferences, most of these respondents did not answer the race question. One respondent said:

"*I usually write "part Mexican" but since there was no place to do it, I left it blank.*"

Other respondents who preferred an intermediate color term between white and black also failed to answer the question since they had no place to indicate this. As noted above, some of these respondents were looking for colors such as brown or yellow, or places to record terms such as "mixed."

A new and surprising finding involved the used of the race categories to indicate color. One respondent carefully explained that the several races she chose were not her races, per se, but groups of people with skin color similar to hers. Choosing several of these was her way of indicating that her skin was similar to what you would get if the several groups were merged, like mixing paint using several colors until the correct tone is achieved.

3. EFFECTS ON USERS

As noted above in Chapter II, Methodology, the research design included 10 respondents as representatives of population sub-groups that frequently reported their race in the "Some other race" category on the 2000 census. These included Arabs, Haitians, and Salvadorans. Our research found that people from several Middle Eastern countries and parts of Africa also used this category in 2000. At the close of data collection, we had interviewed 12 respondents who were members of sub-groups frequently using the category. They included:

▸   5 Salvadorans;
▸   2 Arabs;
▸   3 Africans (from Nigeria and Ethiopia);
▸   1 Haitian; and
▸   1 Pakistani (recruited as Middle Eastern).

Their reporting was affected by the lack of the "Some other race" category in two ways: some respondents chose among the existing categories, others left the question blank. Some respondents were able to choose a category only after explaining that it was <u>not</u> "what they consider themselves to be."

a.   Non-Hispanic Respondents

All seven of the respondents of non Hispanic origin who usually report their race in the "Some other race" category were able to choose one or more of the response options offered. Six of the seven used existing categories and one wrote "Arab" on the Other Asian line.[24]

While they were able to use the question despite the elimination of the category many of their cohorts used in the 2000 census, they were not completely satisfied with the available response options. Five of the six who used an existing category were unhappy about their choices, since the chosen option was not their first choice, or "what they consider themselves to be." Examples include:

• One of the two respondents who identified as Arab "*considered writing Middle Eastern or Arabic speaking*" but chose White: "*the best of bad choices.*"

• *"It is difficult to identify myself as an Arab on this questionnaire as there is no category for Arab. I do not really fit under white or any other group. The examples helped me to mark "Other Asian" and then write "Arab," as my father is from Kuwait and that is in Asia."*

• A woman from Ethiopia looked for the category "Africa" or an "Other" category where she could write in her country. She marked Black, African Am. or Negro because this category describes her skin color, not because she felt any kinship with "American born Blacks."

• Another Ethiopian marked Black, African Am. or Negro, also. She prefers to write in her tribe, and if there is no space for this she usually leaves the race question blank. Looking at the race question categories she noted:

   'Those are not races, they are just a list of places.'

• A Haitian chose the Black, African American or Negro category, "*I am not African American, but this is the closest.*" He looked for "Caribbean," and considered writing "Haitian American," but was able to mark an existing category.

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[24] This respondent believed that her father's country, Kuwait, was in Asia.

b.   *Hispanic Respondents*

Among the 5 Salvadorans, representatives of a sub-population that often used the "Some other race" category in the 2000 census, there was no agreement on how to report their race in the absence of the category. Their reports included:

▸   American Indian, with no tribe indicated, 2
▸   White, and "El Salvador," written on the tribal affiliation line, 1
▸   Black, African Am. or Negro and American Indian, with no tribe indicated, 1
▸   blank, 1

Comments included:

> *"There were only three categories and I don't think I'm Black, African American, or Negro, or Indian, so I marked White and wrote "El Salvador."*

> *"I don't know what to write because in America there are a lot of people from many countries, not just White and Black. I am not White or Black, so I put American Indian. This question is very difficult to answer, as I don't know what I am here and what to mark with X."*

C.   NEW INSTRUCTIONS AND DIRECTIONS

How do respondents react to the extended instructions?

a. Do they notice them and read them, are they in the right place?
b. How do they respond to them, do they understand their intent, are they interpreted as consistent with the "consider yourself to be" language, and do they follow them?
c. Do "informative" or "directive" instructions work better in terms of improving race item nonresponse?

The instructions ("Directive" as presented in Version 12 and "Informative" as presented in Version 14) are presented in Figure III.a below.

1.   INSTRUCTIONS NOTICED, READ, POSITIONED APPROPRIATELY

Most respondents noticed the directions, however not all read them. Some suggested that the instructions about race be moved closer to that question.

a.   *Noticed the Instructions*

Just 5 of the 44 respondents (11.36 percent) interviewed using one of the four questionnaire versions that included enhanced instructions said that they did <u>not</u> notice the instructions before questions 7 and 8.[25] Most respondents said that they "saw" them. Many were observed by their

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[25] There would seem to be a strong social desirability aspect to questions about reading the instructions. We attempted to ameliorate this by asking: "Did you happen to notice......[the instructions]" and "On a form like this, some people read all of the instructions and examples and some people do not. What parts of the instructions and examples did you read the first time through? ...and What did you ignore?"

interviewer as they read the instructions. It was especially noticeable when the respondent re-read the instructions more than once.

b. Read the Instructions

Most respondents skimmed the instructions, if they read them at all. The respondents reported at least three distinctive styles of approaching the instructions.

▶ Quickly skim the instructions, then read the questions;
▶ Read the question first. Only read the instructions if unable to readily answer; and
▶ Read the instructions carefully proceeding only when you think you understand what to do.

Very few respondents reported carefully reading the instructions. The dominant style seemed to be quickly skimming them, then reading the questions. The notion that this was a Census form did not seem to concern the respondents unduly or make them overly cautious.[26] They seemed to consider this just another government form, and expected to be able to complete it. They also had expectations about the kinds of answers that would be acceptable (Hispanic as a race, for an obvious example).

While skimming the instructions was a common approach, some respondents recalled reading and re-reading them. This was most likely to be the approach of respondents for whom English was a second language who were not completely fluent readers. Respondents of Hispanic origin who firmly believed that Hispanic was an official race category, i.e. held a belief contrary to the position in the instructions, often mentioned that they read the instructions carefully, or more than once, and were frequently observed by the interviewer as doing so. For example, one respondent read the instructions 3 timers, using his pen as a pointer. Careful reading or repeated reading does not mean that these respondents understood the instructions, or followed them.

Respondents did return to instructions when confused by the question and/or response options, for example, many respondents mentioned that they re-read Question 3 (choosing Person 1), quite a few re-read it more than once.

c. Positioned Appropriately

Five respondents with Hispanic origins (5 of 35 or 14.29 percent) spontaneously commented that the instructions for question 8 (the race question) were "in the wrong place." All suggested that they be moved closer to the question. Three of these respondents noted that the instructions as presented led them to expect that question 7 (Hispanic origin) would have two parts. When it had only one part, they weren't quite sure what to do, because the instructions clearly had two different things in mind. Only by going on to question 8 (the race question) did these respondents solve their dilemma.

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[26] Of course, the respondents were recruited to participate in a study "to know more about how people fill out a questionnaire," so we expected them to be fairly confident of their ability to complete the form.

2. RESPONSE; UNDERSTOOD; SEEN AS CONSISTENT WITH "CONSIDER YOURSELF TO BE;" FOLLOWED

a. *Response*

Most respondents considered the instructions a routine part of any form and attempted to comply with them. Two respondents, both with Hispanic origins, had strong negative reactions to them:

> "*I think they are kind of racist.*" [Ecuadorian]

> "[The instructions are] *trying to get me to say something I am not.*" [Mexican-Dominican]

A third respondent, also with Hispanic origins, explained a fundamental difficulty that those with Hispanic origins would have in following the instructions:

> "*The main problem in all of this is that Spanish, Hispanic, and Latino is all confusing. People can be more than one of those. The instructions are not helpful as they deal with a confusing issue, but do not explain it.*"

b. *Understood*

Generally the respondents with Hispanic origins understood that different answers were to be given in the two questions, but were unsure how to accomplish this.

(1) Overall Comprehension: Among the respondents with Hispanic origins, there were two common responses to the instructions. One group understood what was wanted and was able to comply (even if the available answers were not their first choice in terms of 'consider yourself to be'). For the most part, these respondents reported using the White and/or American Indian categories. For example, one respondent from the Southwest was delighted to have the opportunity to set the record straight on how his group, people of Spanish and Southwest American Indian origins from New Mexico, was consistently misunderstood and misrepresented on such forms. Another agreed with the instructions:

> "*Hispanic is not related to skin color.*"

A Puerto Rican respondent failed to understand how there could be a problem:

> "*The answer categories in questions 7 and 8 are different. How could you give the same answer?*"

The other group among respondents with Hispanic origins viewed the instructions as wrong due to the designers of the form misunderstanding Hispanic culture. A few respondents were offended.

> "*If race isn't color, what is it?*" [A Mexican for whom "Hispanic" is a color.]

More respondents with Hispanic origins were less annoyed and explained how the instructions represented a misperception of their culture, or their view of their culture.

> *"Race is different for Mexicans and Americans."*
>
> *"Latino/a is a race. Guatemala is a country of origin."*
>
> *"There are three races: Black, White, Mexican."*

For those who considered their Hispanic origin to be their race, the instructions did, indeed, contradict the 'consider yourself to be' part of the race question. These were the respondents who either left the race question blank, or wrote in answers related to Hispanic origins, such as "Hispanic," "Mexican," or "Meztizo [sic]."

Respondents <u>lacking</u> Hispanic origins more or less understood the instructions:

> *"I know that they are there to help Hispanics, but I'm not sure what they are getting at."* [Pakistani]
>
> *"They tell me that some people have had a problem in the past with answering the questions."* [Haitian]

Finally, at least one respondent without Hispanic origins, a Laotian, had concerns about others' ability to comprehend the instructions:

> *"Some people will be able to read the* [individual] *words, but will not understand the meaning of the whole instruction."*

(2) Reading Level and Comprehension: Some respondents stumbled on one or more words in the instructions because they were terms and constructions not used in everyday discourse. These were even more difficult for respondents with a limited ability to read English.

▶ "survey" was not in the everyday vocabulary of most respondents of any origins (*"In this survey,..."*).

▶ "responses" was more difficult to read/understand than its more common synonym "answers" (*"Please give different responses..."*).

▶ the sense of "reporting" was an uncommon usage (*"... Hispanic origins should <u>not be reported</u> as races."*)

▶ "is considered" was a difficult construction (*"Hispanic origin is considered different from race."*)

c.   *Consistent with "Consider yourself to be"*

As noted above, one reaction to the instructions was that they were wrong, that Hispanic origin is race. Therefore, some respondents were left with no suitable categories. As two respondents expressed it:

"There was no option that let me say who I consider myself to be. It is important for people to know their identity and stick to it."

"You should be able to give the same answers in questions 7 and 8 if that is what you consider yourself to be."

Further more, at least one respondent felt unfairly treated:

"Other people have origins and race the same, for example, the Chinese and Filipinos.

d. Followed

Most of the respondents of Hispanic origin understood that they should answer the two questions differently, but were unsure how to do so. Their inability to follow the instructions was based on two circumstances. First, many respondents interpreted the instructions as one-sided, telling them only what <u>not</u> to do. Second, when they set out to follow the instructions in the race question, they were baffled by the lack of appropriate response options. Therefore, it was not possible to <u>follow</u> the directions.

(1) One-sided instructions: the notion of <u>not</u> answering in a certain way was new for some respondents.

"They [the instructions] *confuse you because they both say something about <u>not</u> answering if you are Hispanic."*

Some respondents understood what <u>not</u> to do, but were unclear about what <u>to</u> do.

"What is included in the "White" category?"

"How <u>should</u> Hispanics record their race?"

"What <u>is</u> the definition of "race?""

"If race is not color, what is it?"

(2) Appropriate response options: The respondents struggled with the race question response options. While in discussion they might "see" how race and origin are different, ("*Race and origin are the same thing at different levels.*") about half were unable to implement it, i.e. answer the race question using only the printed categories available in the question. Their comments included:

"I don't identify with any of those cultures. I don't know what race Mexicans are using these categories."

"There is no way for me to honestly answer it. Race to me is skin color and there are no answers for Brown or Yellow."

"I know what I am, but I can't put it [using available categories] *on US forms."*

> *"Nothing applies to me. My mother is Mexican-Olmec and my father is Caucasian. Her parents were Olmec and his were English, Scottish and Irish."*

> *"Pacific Islander might work because of my skin color, but I feel more connected to American Indians. There is no "American" category. Race is color of skin and physical makeup."*

> *"For me, Hispanic and Spanish automatically include Brown skin color. Race is skin color."*

> *"Latina is a race. Guatemala is a country of origin."* [Yet Latino is not an acceptable answer for the race question.]

> *"I guess you can write in "Hispanic" for race and for Hispanic origin, say what Hispanic origin you are."*

As a consequence, many respondents answered the questions as they were "used to." For example, in the race question respondents frequently mentioned that:

▸ "This [response] is what I "usually" do" (regardless of instructions or categories or format);
▸ The races they "usually" see are Black, White, and Hispanic;
▸ They "usually" are expected to give only one race, and so forth.

3. INFORMATIVE V DIRECTIVE INSTRUCTIONS AND IMPROVING NONRESPONSE

It was hoped that providing additional clarifying instructions would decrease race item nonresponse, i.e. enable respondents who either deliberately did not answer the race question or gave an answer that was not readily reclassified into the existing categories, to provide usable race data. In this study two versions of the questionnaire, Version 12 and Version 14, included only revised instructions. Therefore, to evaluate the effectiveness of the instructions independent of the effects of other study variables, we compared the respondents' behavior on these two forms. Two versions of the instructions were developed for this study. One, labeled "Directive" instructions, explained that Hispanic origin and race were considered different for the purposes of "this survey" and included a reminder in the race question to avoid using "Hispanic origins" as races. The second approach was labeled "Informative." These directions made a statement about the relationship between Hispanic origins and race. The text for each version is presented in Figure III a. below.

Comparing the race data for the respondents interviewed using the two versions, we see that more respondents answered the question under the Informative Instructions approach than the Directive Instructions approach. Also, the Informative approach produced more usable data than the Directive approach. Table III. 5 below presents the frequency and percent of respondents' answers to the race question (for themselves) by version and respondent group. Overall, 4 of the 10 (40 percent) respondents interviewed using the Directive Instructions version (Version 12) answered the race question. These 4 also all gave codeable or usable answers. However, 9 of the

12 (75 percent) respondents answered the question under the Informative Directions (Version 14)[27] and 6, 50 percent, gave usable answers.[28]

Figure III a.
Version 12 and Version 14 Text

Version 12, directive instructions only (no examples)

Printed above Question 7:

> **Note: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. In this survey, Hispanic origin is considered different from race. Please give different responsesin Questions 7 and 8.**

Printed after the question stem and above the response options in the race question:

> **Note: In this survey, Hispanic origins should not be reported as races.**

Version 14, informative instructions only (no examples)

Printed above Question 7:

> **Note: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. People of Hispanic origin may be of any race.**

While the response rate for Directive Instructions -Version 12, at 40 percent, was lower than the response rate for Informative Directions -Version 14,[29] (75 percent), Version 12 had no unusable answers (such as "Hispanic") and Version 14 had 3, or 33.3 percent of the 9 answers. Therefore, the response rates net of unusable answers, were 50 percent for the Informative Directions and 40 percent for the Directive Instructions. Although the number of interviews for each form is quite small, we can say that the Informative Instructions were more effective than the Directive Instructions in encouraging usable answers to the race question.

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[27] Six respondents marked White or American Indian-Alaska Native for their race, 3 gave other races.

[28] The uncodeable/unusable answers, labeled "Other " in Table III. 5, were "Hispanic," (twice), and "Meztizo" (once).

[29] Version 12 also had the lowest response rate of all six forms tested. See Table III. 3. above.

Table III. 5
Frequency and Percent of Respondents, by Group,
And Choice of Race
for Versions 12 and 14

Resp. Grp.	Version 12 Directive Instructions			Version 14 Informative Instructions			
	W/AI %	Blank %	Total %	W/AI %	Othr %	Blank	Total
Hisp/Mex.	3 30.0	2 20.0	5 50.0	4 33.3	2 16.7	3 25	9 75.0
Hisp/Non-Mex.	1 10.0	3 30.0	4 40.0	2 16.7	1 08.3	0 0.0	3 25.0
SOR	0 00.0	1 10.0	1 10.0	0 0.00	0 00.0	0 0.0	0 00.0
Total	4 40.0	6 60.0	10 100	6 50.00	3 25.0	3 25	12 100

D.   THE SEVEN COGNITIVE INTERVIEW THEMES

1. What is the general feeling of the form? Overall, what do respondents think is the purpose behind collecting data on the census short form?

The respondents were very unfocused in thinking abut the form. Most repeated some of the items on the first page in response to questions about what the form was about. The purpose of collecting the data was also very vague. Three or four respondents said something about counts or statistics, but nothing coherent. Nine respondents said something about social services and funding, three mentioned using the data to track people and "contact them if something goes wrong." There were also indications that some respondents felt that it was politically incorrect, or impolite to ask about race.

"I do not care about those things"

2. What is the respondent's comprehension of the Hispanic origin item?

Respondents of Hispanic origin focused on place, birthplace and "background," as ways of explaining Hispanic origins. "Race" and "ethnic background" were frequently included in discussions of Hispanic origin. Culture and language were less frequently included. For most recently arrived respondents there was an important distinction made between people born in the US and those born in the country of origin.

Non Hispanic respondents also mentioned race and language as a part of what this question was seeking to find out. "Ethnicity" was a frequently used term in these discussions. There was a secondary theme of discrimination in singling out Hispanics in this way and genuine questions as to why this should be so. Most often the Hispanic origin question was interpreted by respondents not of Hispanic origin as a way of tracking illegal immigrants.

3. How does the respondent use the race item?

Race was about physical appearance and specifically skin color for most respondents. It is not clear if this was their personal belief, or was cued by the colors used in the first two response

options in the question (White; Black, African Am. or Negro). Some respondents mentioned culture as somehow related to race, and a few, usually Asians, mentioned geography. Comments on using the color categories included:

"I look White."

"He looks White."

"My mother is Hispanic, my father is Caucasian; I don't mark White because I don't feel all White."

Most respondents with Hispanic origins used the White category under duress because the color was "too light," and in their minds referred only to those of [northern] "European" background, also called "Anglos," "Anglo Saxons," and "Americans." Nine used "White," commenting that they were "close" to this color. Seven refused to use it because they were "not (completely, entirely, 100 percent, all) White." Eight respondents with Hispanic origins volunteered that the "White" category was for "Anglos," people with "European" background, and "Americans."

"Caucasian" was a better term for light skinned Hispanics and was used by three respondents with Hispanic origins, whereas "White" meant "Anglo" - a non-Hispanic person.[30] Three noted that they used "Caucasian" rather than "White," even if white was the category on their birth certificate. From a skin color perspective only two colors were offered among the response options in the race question: the extremes of White and Black, and most Hispanics believe they were best described by a color between those extremes. Many suggested that the White category be better defined to explain what sorts of people were considered to be White.

Respondents with no Hispanic origins used both skin color and geography to decide which categories to mark. For example, a Pakistani first marked Asian Indian, because it was the only category to mention Asia, then saw "Pakistani" in the examples for "Other Asian" and wrote it on that line. The person from the Micronesian state of Yap wrote "Yapese (The State)" on the Other Pacific Islander line.

Roughly half of the Hispanic and non Hispanic respondents viewed race and origin as the same and half as different. Those who viewed them as the same mentioned "ethnicity group" or "background" most often. Those who viewed them as different distinguished skin color (race) from country of birth (origin).

4. **Do examples provided with the residual categories clarify the response option (by helping the respondent to choose answers), restrict the response option (by limiting the Hispanic origin groups or races perceived as appropriate for the category), or have no effect on use of the response category (neither encouraging the choice of the category nor limiting it)?**

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[30] Many residents of Hawaii who are of mixed race also prefer Caucasian to white. They will write specific European terms, such as Irish and German, but not white; they will, however, use the term Caucasian to refer to their Irish and German stock.

Version 11
The discussions of four Salvadorans and one Guatemalan illustrated how the examples in Question 7 assisted them to provide what they believed to be the most accurate answers. One Guatemalan felt that the examples were restrictive. They had no effect on a Peruvian and a "Spanish" respondent.

Version 13
A Laotian, a Cambodian, and the person from Yap (Micronesia) found the examples in Question 8 to be helpful in choosing the right category. The Yapese also found the examples in Question 7 to be helpful as he had not encountered such a question before. The examples in Questions 7 and 8 had no effect on two limited English proficient Hispanics of Mexican origins, a Honduran, and a Micronesian.

Version 15
The Pakistani and the respondent who considers herself to be half Arab were assisted by the examples in Questions 7 and 8. These examples had no effect on five Hispanics of Mexican origins, the Nigerian, the Haitian, and the respondent who identified himself only as an Arab.

5. Do the instructions about race and Hispanic origin being different change how respondents think about their race/races?

Forty-four respondents used versions 12 to 15 where new instructions were placed before Question 7. One respondent, an Hispanic of Mexican origins, felt that they 'confined' her, 'almost forcing' her to choose from the options listed rather than simply identifying 'who she is [Mexican].' Other respondents either gave the opinion that the instructions were just wrong (most Hispanics) or described them as confusing (non-Hispanics, such as a Pakistani, and Hispanics, such as a Peruvian, and a Mexican).

6. Do the versions that include examples and directions seem "text heavy" or "wordy" to respondents?

There were pervasive concerns about the ability of people with limited English to manage the form. As noted earlier, many respondents were fatigued by the time they reached Question 7. At Question 7 they were confronted by another large bolded paragraph of vague and confusing instructions.

Respondents using all versions were asked about the:

"....amount of instructions and examples included with the questions - Would you say there is not enough helpful information, too much helpful information, or is the amount of helpful information about right?"

They frequently singled out Question 3, identifying Person 1, as being too long and complicated. Question 3 was mentioned most often as needing to be edited and clarified.

Concerning the Hispanic origin and race questions, 3 respondents suggested eliminating Questions 8 as redundant, 10 suggested more clarification of Question 8, and 4 suggested also clarifying Question 7.

7. In proxy reporting, how does the respondent decide what to report for other household members and do any of the features explored above affect those decisions?

For the most part proxy reporting was affected first by the discussion of Hispanic origin and race held with the respondent and second by the respondent's own views of household members' situations. For the most part the other person's views were recorded, or reported as being unknown, except when the other person was the respondent's child. Reporting on children usually followed the races of the children's natural parents, occasionally noting that the child preferred one or another categories. The respondents seemed to report candidly situations when they gave a race or races for their child that that child would not prefer to use or gave the child's preferences when they conflicted with the parents'.

CHAPTER IV.
SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

The main focus of this study was to evaluate the effectiveness of several proposed modifications to the race and Hispanic origin questions, and to the instructions concerning them, in improving decennial census reporting. The improvements sought were: (1) increasing the reporting of race among those of Hispanic origin, (2) increasing the use of the race categories provided as response options by those of Hispanic origin and others who used the "Some other race" category in the 2000 census, (3) decreasing the use by those of Hispanic origin of Hispanic origin-related terms as races in the race question, (4) increasing the specificity of reporting in the race question by those whose Asian and Pacific Islander countries are not allocated separate response option categories, and (5) increasing the specificity of reporting in the Hispanic origin question by those whose countries of origin are not allocated separate response option categories. In addition to overall effectiveness of the several proposed modifications, a goal of the study was to determine if some appeared to be more effective than others and what refinements might increase the effectiveness of certain modifications.

The experimental modifications were presented for testing in six versions of a mock decennial census form, entitled "2003 Census Response Study" and were identified as Versions 10 through 15. Version 10 was the most similar to the census 2000 form, since it included none of the enhanced directions for the Hispanic origin and race questions and no examples of groups to be included in the "other" Hispanic origin group, "Other Asian" and "Other Pacific Islander" groups, and was considered the "baseline" or "control" version. The remaining five versions included various presentations of additional examples in the Hispanic origin and race questions and enhanced instructions for them.

In this chapter we present a summary of the findings, our conclusions, and recommendations.

A.   SUMMARY

The study was guided by three main research questions and seven auxiliary ones. In this section we present a summary of the findings for each question.

1.   HISPANIC ORIGIN QUESTION: EFFECTIVENESS OF CHANGES

The respondents of Hispanic origin all felt that this question was more clear than the race question, regardless of form version (experimental treatment) used in their interview. All were able to provide an answer. There were differences in understanding and answering the question based on several interpretations or beliefs. The most common were:

▸   Mexicans are not Spanish, Hispanic, or Latino. Many people with origins in Mexico do not see themselves as included among those labeled "Spanish, Hispanic, or Latino" but only as Mexican or Mexican American. This can lead them to mark two answers in this question, "*No, not of Spanish, Hispanic, or Latino origin*" and "*Yes, Mexican, Mexican Am. Chicano*."

▶ <u>US born means US origins</u>. According to the respondents, the term "origin" generally means "country of birth." Therefore some respondents with Hispanic origins have difficulty deciding if their US born children are "of Hispanic origin." This is especially noticeable among people with origins in Mexico who greatly prize US birth. This interpretation leads some of them <u>not</u> to report their children as of Hispanic origin, despite the Hispanic origins of both parents, for example.

In terms of increasing reporting among persons of Hispanic origin whose countries are not allocated separate response option categories, who, therefore are included in the "*Yes, another Spanish, Hispanic or Latino group,*" the examples did not have a limiting effect. None of these respondents reported that they failed to write in their other Hispanic group because it was not listed among the examples. There were some reporting difficulties for this group however:

▶ A Salvadoran/Mexican wanted to report both of these groups;
▶ A Honduran wanted to report both Honduran and "White;" and
▶ A Salvadoran wanted to indicate Indian origins too.

Finally, some respondents with origins in Mexico wanted to give a more accurate and complete answer then only marking that category. Therefore they also wrote on the "*Yes another Spanish, Hispanic or Latino group*" line: "Hispanic Indian," "half Dominican half Mexican," and "American Mexican."

The reasons for writing in groups in this response option are more complex than simply being able to read and understand the response option and the intent of the examples. The phenomena of being "of Hispanic origin" in the US has a number of different dimensions beyond the birthplace of the respondent or his or her parents. What is reported as Hispanic origins and how it is reported apparently depends on a series of factors that we have not conclusively tapped in this small study.

2.   RACE QUESTION: RESULTS OF DROPPING "SOME OTHER RACE"

As expected, eliminating the "Some other race" category did confuse and frustrate respondents who believed that none of the printed race categories, alone or in combination, were appropriate to report "what they consider themselves to be." The respondents expressed four kinds of difficulties with the existing response options:

▶ <u>Lack of knowledge of which nationalities are expected by the Census Bureau to place themselves into which existing categories</u>.

▶ <u>Interpreting the question as offering only three response categories</u>. The American Indian tribal affiliation line appears to signal the end of the question. Therefore, some respondents believe that they are offered only three response options: "White," "Black, African Am. or Negro," and "American Indian or Alaska Native."

▶ <u>Not finding a "middle" color category between "White" and "Black."</u> This is most salient for those of Hispanic origin.

▶   Not finding their countries listed as response options. Some persons of Hispanic origin interpreted the response options in the Hispanic origin and race questions as being a series of countries. They did not understand why their countries were included only in the Hispanic origin question and not listed again in the race question. Among those who considered their Hispanic origin to also be their race ("consider themselves to be Hispanic/Latino/a") finding their countries of origin not included among the race question answers was confusing. Respondents of Hispanic origin who used the experimental versions of the forms with instructions telling them not to use Hispanic origin terms in the race question were also confused by the lack of appropriate country name categories there.

Also as expected, some of the experimental modifications appear to have facilitated increased reporting.[31] In order of percent answering the race question, Versions 11 (Examples Only), 15 (Hybrid Instructions), 14 (Informative Instructions) and 13 (Directive Instructions plus Examples) out performed the baseline-control form (Version 10) and Version 12 (Directive Instructions). When we reviewed these answers and counted only the usable answers, i.e. those that unambiguously can be placed into one of the race categories printed on the form, only Version 11 (Examples Only) and Version 15 (Hybrid Instructions, Examples) performed better than the control form (Version 10).

Finally, among the 12 respondents chosen for the study as representatives of those groups that used the "Some other race" category in the 2000 census, all were able to answer the question. Six of the seven non-Hispanic members of this group used the existing categories and one wrote in a unusable response ("Arab"). Among the three members of this group with Hispanic origins (Salvadorans), all used the American Indian tribal affiliation line.

Most of these 12 respondents were dissatisfied with the categories they chose. Both Arabs were not sure which categories to mark. The Africans looked for a way to indicate Africa, to name their tribe, or otherwise indicate that they were not "American-born Blacks" (African Americans). The Haitian looked for "Caribbean or Haitian." The Salvadorans looked for ways to indicate their mixed Spanish and Central American Indian background.

3.   ENHANCED INSTRUCTIONS AND DIRECTIONS: MORE, ACCURATE REPORTING

Most respondents noticed the instructions appearing before the Hispanic origin and race questions, and skimmed them. They referred back for careful reading only if they could not confidently answer a question. Some respondents skimmed the instructions due to fatigue produced by difficulties in reading and interpreting Questions 1, 2, and 3. Others had "learned" to skim the instructions and attempt an answer, rather than reading them carefully in their entirety, from working through Questions 1, 2, and 3.

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[31] We say "appear" because we could not meaningfully cross tabulate version by composition of respondent group to determine whether the experimental condition or the composition of the respondent group, or both, and to what extent, supported increased reporting because of the very small numbers of respondents per version (10 to 12) and the presence of 2-3 different respondent groups among the 10-12 respondents.

Most respondents of Hispanic origin agreed that the instructions for them about how to answer the race question should be placed closer to, if not within the question stem of, the race question, and not at their present location above the Hispanic origin question.

Respondents of Hispanic origin understood that they should give different answers in the two questions, however this was not always possible due to their difficulties with the response options provided, as noted above.

The instructions were interpreted as inappropriate and as indicating ignorance on the part of the federal government by both respondents of Hispanic origin and those not of Hispanic origin. For example, some respondents of Hispanic origin explained that the instructions were: "just wrong; [the Census Bureau/federal government][32] does not understand our culture." Another explained: [the form is] "trying to get me to say something I am not." Respondents not of Hispanic origin found the instructions "racist."

Some respondents had difficulty reading and understanding the instructions because of the advanced reading level of some terms and constructions: "survey" [meaning "form"], "responses" [answers], "be reported as," and "is considered."

Finally, the "informative" instructions appear to be somewhat more effective in reducing nonresponse than the "directive" instructions by a difference of 10 percent, or two respondents. Half of the respondents who used form with the informative instructions answered the race question with usable answers compared to 40 percent of those who used the form with the directive instructions.

4. THE SEVEN COGNITIVE INTERVIEW THEMES

(a) Feeling of the form, purpose: after completing the first page of the form, most respondents could not articulate what it was about or how the data would be used.

(b) Comprehension of the Hispanic origin item: for most of those of Hispanic origin, this question was about their birthplace, or the birthplaces of their parents. Non-Hispanics[33] were concerned that the purpose of this question was to obtain data to be used to discriminate against Hispanics or to be used by law enforcement officials in the Immigration and Naturalization Service (INS) to enforce laws about illegal immigration.

(c) Using the race item: race is skin color, culture, or geography, depending on the respondent group. Race and ethnicity were not perceived as different attributes by all respondents.

(d) The effects of the examples: the examples in the Hispanic origin question in Version 13 made it more clear for a Pacific Islander who had never seen such a question before. About half of the respondents believed that the examples did not influence them.

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[32] Throughout this and previous studies with similar populations, we have found that many study participants do not distinguish between the Census Bureau and the entire federal government.
[33] Respondents of Hispanic origin may share this concern, but none expressed it to an interviewer. The respondents were not directly asked about this.

(e) Instructions changing how respondents think about race: only one respondent obviously was unnerved by the instructions: "If race isn't color, what is it?" [a respondent who viewed his Hispanic origin as conveying a color, i.e. his race, too]. Most respondents believed that they knew what race(s) they were and that the task was to use the categories on the form to indicate this. Some respondents wondered if the answer to the race question had to be absolute, or if you could choose what seemed "closest" to your race from among the categories offered.

(f) Wordy or text-heavy experimental forms: Question 3 was most frequently mentioned as too wordy or text heavy or long and confusing, also Question 1. The interviewers noticed that some respondents were tired by the time they arrived at questions 7 and 8 (Hispanic origin and race) because of the level of difficulty of questions 1, 2, and 3.[34] Some respondents suggested that Hispanic origin and race questions were redundant and that one could be eliminated, to reduce the number of questions on the form.

(g) Experimental features' effects on proxy reporting: The most obvious difficulty for respondents reporting on their children was the question of whether US born children of two parents of Hispanic origin were also of Hispanic origin in the revised Hispanic origin question. The difficulties and issues in answering the Hispanic origin and race questions were otherwise the same for two or more generations. Respondents who followed the experimental features when reporting on themselves usually did the same when reporting on their children or other household members. Those who did not follow the experimental features for themselves usually did not when reporting for others.

B. CONCLUSIONS

The several proposed modifications to the race and Hispanic origin questions should produce more reporting, but this has to be balanced against at least three unintended undesirable consequences:

▶ More missing data. If confused or made to feel unsure about how to answer a question, respondents' concerns about the accuracy of the information they supply to the federal government will lead them to skip the problematic question(s). Respondents would rather return a federal form with missing data than with data they do not believe is completely accurate.

▶ Increased alienation from the federal government. To the extent that respondents of Hispanic origins feel compelled to choose race categories that they do not believe are appropriate for their unique racial makeup, they will feel that "the government does not understand our culture." This is true of other sub populations, as well.

▶ Breakdown of the conceptual integrity of the race categories. Race reporting by respondents who believe that they are expected to provide a color who attempt to do so by marking several categories, which combined would approximate the color the respondent would like to report, destroys the conceptual integrity of the race item response options.

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[34] Questions 4, 5 and 6 asked Person 1's telephone number, sex, and age.

In view of the respondents' confusion about which nationalities are expected to use the various race categories, the Census Bureau should consider giving more information.[35]

Finally, the current format for the race question, where the line for recording American Indian tribal affiliation appears to end the question, continues to confuse respondents who therefore believe that they are offered just three race categories: "White," "Black, African Am. or Negro," and "American Indian or Alaska Native."

1. HISPANIC ORIGIN QUESTION CHANGES

Some respondents among the current cohorts of adults with origins in Mexico will continue to mark more than one answer in the Hispanic origin question - both "No, not Spanish, Hispanic, or Latino" and "Yes. Mexican, Mexican American, Chicano," since they do not believe that the terms "Spanish, Hispanic, or Latino" refer to them.

Some respondents with origins in Mexico will contribute to the undercount by reporting their US born children as not Hispanic, due to heightened sensitivity to birthplace as a result of including "origin" in the Hispanic origin question.

Persons of Hispanic origin who wish to report their Indian heritage[36] in the Hispanic origin question will do so by writing this on the line for "other" Hispanic origin groups.

Reporting more than one Hispanic origin group is a continuing problem that is not addressed in the current structure of the question or in any of the experimental treatments tested here.

2. ELIMINATING THE "SOME OTHER RACE" RESPONSE OPTION

There is a disjuncture between the stem and the response options of the race question when the "Some other race" category is not offered for a subset of respondents. This category provided a place for respondents to answer "what [race] they considered themselves to be" when the printed categories were not appropriate. Permitting respondents to choose more than one printed category is not a solution for those who find none of the categories suitable.

Some respondents do not know what nationalities are officially included in the five race categories.

There will be both increased numbers of "Whites" and more missing race data since respondents with origins in Mexico are divided in their response to this change. Other groups who used this

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[35] Other entities provide this, which may contradict the Census Bureau's intent for the decennial census form. For example, a September 19, 2002 memo from the California Department of Housing and Community development announces a policy change that "conforms to the definitions and data collection standards established by the U.S. Census Bureau and apply (sic) to all Federal Agencies and their programs" offering 10 race categories (five single race categories, four double race categories, and an "other"). The definitions for these categories include: White. "A person having origins in any of the original people of Europe, North Africa, or the Middle East." American Indian/Alaskan (sic) Native. "A person having origins in any of the original peoples of the North American Continent, and who maintains cultural identification through tribal affiliations or community recognition."

[36] For the most part, respondents do not give specific tribal affiliations for this heritage, but rather use only generic terms such as "Indian" or "native." Their Indian heritage may be derived from tribes in the Southwestern US, in Mexico, in Central America, or in South America.

category in the 2000 census will, for the most part, report a race using one of the printed categories, but their misgivings will also result in feelings that "the government doesn't understand our culture."

3.   ENHANCED INSTRUCTIONS

The informative instructions seem to be more effective in encouraging reporting than the directive instructions.

The enhanced instructions, both directive and informative, will be skimmed, but not read thoroughly.

The reading level of the instructions prevents some respondents from understanding what is expected. Even those who may be able to read each word may not understand what is intended by all of them together.

4.   THE SEVEN COGNITIVE INTERVIEW THEMES

Respondents recruited to "help the Census Bureau test a census form" cannot articulate what the form is for and what the data are used for after they have completed the first page. Most draw a complete blank.

Some respondents not of Hispanic origin suspect that the Hispanic origin question is used to track members of this sub population and that the data are given to federal law enforcement officials.

The terms "race" and "ethnicity" refer to the same attributes for some respondents.

The daunting complexity of the questions appearing on the form before the Hispanic origin and race questions reduces the respondent's patience available to tackle the Hispanic origin and race questions.

C.   RECOMMENDATIONS

We present our recommendations in two parts. The first section includes recommendations on further testing of the approaches evaluated here. The second section includes recommendations about other aspects of the race and Hispanic origin questions and the form itself that should be addressed based on the findings of this study.

1.   RECOMMENDATIONS ON THE EXPERIMENTAL APPROACHES TESTED

(a)   Pretest the directive and informational instructions to determine if one approach improves reporting net of problems it causes (increases reporting from underreporting groups but does not confuse others to the point where they make mistakes or leave it blank).

(b)   Implement the examples in both the Hispanic origin and race questions.

(c) Consider breaking up the experimental enhanced instructions and moving those pertaining to the race question into that question. See Appendix C. for examples.

2. RECOMMENDATIONS ON OTHER ASPECTS OF THE QUESTIONS AND THE FORM

(a) Simplify Questions 1, 2, and 3 so that respondents are less fatigued when they arrive at the Hispanic origin and race items.

(b) Provide information on which nationalities OMB considers to be included in the five race categories.

(c) Reconsider adding a category or categories that address this population's race reporting dilemmas - acknowledging their Indian heritage and/or providing a color category between White and Black. For example, the category "Mestizo" would address one of the main problems described above, that of respondents with origins in Mexico, Central or South America who consider themselves to be a combination of "native" or Indian people and the Spanish conquistadores, or "Spanish and Indian."[37]

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[37]Since this term is specific to these sub populations, it would not be used in error by other mixed race people who can use the existing categories, such as those who are Asian and White. Using a color term, such as brown, which was frequently mentioned by Hispanic origin sub populations, runs the risk of erroneous use by others who can use the existing categories.

APPENDICES

2003 Census Response Study

Control-Baseline

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

This is the official form for all the people at this address. It is quick and easy, and your answers are protected by law. Complete the Census and help your community get what it needs — today and in the future!

Start Here

Please use a black or blue pen.

1. How many people were living or staying in this house, apartment, or mobile home on February 6, 2003?

Number of people

INCLUDE in this number:
- foster children, roomers, or housemates
- people staying here on February 6, 2003 who have no other permanent place to stay
- people living here most of the time while working, even if they have another place to live

DO NOT INCLUDE in this number:
- college students living away while attending college
- people in a correctional facility, nursing home, or mental hospital on February 6, 2003
- Armed Forces personnel living somewhere else
- people who live or stay at another place most of the time

2. Is this house, apartment, or mobile home — *Mark* ☒ *ONE box.*

☐ Owned by you or someone in this household with a mortgage or loan?

☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?

☐ Rented for cash rent?

☐ Occupied without payment of cash rent?

3. Please answer the following questions for each person living in this house, apartment, or mobile home. Start with the name of one of the people living here who owns, is buying, or rents this house, apartment, or mobile home. If there is no such person, start with any adult living or staying here. We will refer to this person as Person 1.

What is this person's name? *Print name below.*

Last Name

First Name   MI

0607-0725   8/31/04
OMB No. XXXX-XXXX: Approval Expires XX/XX/XXXX

Form DA-1(CC-10)

4. What is Person 1's telephone number? *We may call this person if we don't understand an answer.*

Area Code + Number

5. What is Person 1's sex? *Mark* ☒ *ONE box.*
☐ Male   ☐ Female

6. What is Person 1's age and what is Person 1's date of birth?
Age on February 6, 2003

Print numbers in boxes.
Month   Day   Year of birth

→ **NOTE: Please answer BOTH Questions 7 and 8.**

7. Is Person 1 of Spanish, Hispanic or Latino origin? *Mark* ☒ *"No" if not of Spanish, Hispanic or Latino origin*

☐ No, not of Spanish, Hispanic or Latino origin
☐ Yes, Mexican, Mexican Am., Chicano
☐ Yes, Puerto Rican
☐ Yes, Cuban
☐ Yes, another Spanish, Hispanic or Latino origin — *Print origin* ⬈

8. What is Person 1's race? *Mark* ☒ *one or more races to indicate what this person considers himself/herself to be.*
☐ White
☐ Black, African Am., or Negro
☐ American Indian or Alaska Native — *Print name of enrolled or principal tribe* ⬈

☐ Asian Indian   ☐ Japanese   ☐ Native Hawaiian
☐ Chinese   ☐ Korean   ☐ Guamanian or Chamorro
☐ Filipino   ☐ Vietnamese   ☐ Samoan
☐ Other Asian — *Print race* ⬈   ☐ Other Pacific Islander — *Print race* ⬈

→ **If more people live here, continue with Person 2.**

2003 Census Response Study

Examples Only

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

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- Armed Forces personnel living somewhere else
- people who live or stay at another place most of the time

2. Is this house, apartment, or mobile home —
Mark ☒ *ONE box*

- ☐ Owned by you or someone in this household with a mortgage or loan?
- ☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?
- ☐ Rented for cash rent?
- ☐ Occupied without payment of cash rent?

3. Please answer the following questions for each person living in this house, apartment, or mobile home. Start with the name of one of the people living here who owns, is buying, or rents this house, apartment, or mobile home. If there is no such person, start with any adult living or staying here. We will refer to this person as Person 1.

What is this person's name? *Print name below*

Last Name

First Name   MI

0607-0725   8/31/04
OMB No. XXXX-XXXX Approval Expires XX/XX/XXXX

Form **DA-1(CC-11)**

4. What is Person 1's telephone number? *We may call this person if we don't understand an answer*

Area Code + Number

5. What is Person 1's sex? *Mark* ☒ *ONE box*
- ☐ Male   ☐ Female

6. What is Person 1's age and what is Person 1's date of birth?
Age on February 6, 2003

Print numbers in boxes
Month   Day   Year of birth

→ NOTE: Please answer BOTH Questions 7 and 8.

7. Is Person 1 of Spanish, Hispanic or Latino origin? *Mark* ☒ *"No" if not of Spanish Hispanic, or Latino origin.*

- ☐ **No,** not of Spanish, Hispanic or Latino origin
- ☐ Yes, Puerto Rican
- ☐ Yes, Mexican, Mexican Am., Chicano
- ☐ Yes, Cuban
- ☐ Yes, another Spanish, Hispanic or Latino origin — *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on* ↗

8. What is Person 1's race? *Mark* ☒ *one or more races to indicate what this person considers himself/herself to be.*

- ☐ White
- ☐ Black, African Am., or Negro
- ☐ American Indian or Alaska Native — *Print name of enrolled or principal tribe* ↗

- ☐ Asian Indian
- ☐ Japanese
- ☐ Native Hawaiian
- ☐ Chinese
- ☐ Korean
- ☐ Guamanian or Chamorro
- ☐ Filipino
- ☐ Vietnamese
- ☐ Samoan
- ☐ Other Asian — *Print race, for example, Cambodian, Laotian, Pakistani, Thai, and so on* ↗
- ☐ Other Pacific Islander — *Print race, for example, Fijian, Tongan, and so on* ↗

→ If more people live here, continue with Person 2.

2003 Census Response Study

Strong Instructions

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

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- ☐ Owned by you or someone in this household with a mortgage or loan?
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What is this person's name? *Print name below*

Last Name

First Name   MI

0607-0725   8/31/04
OMB No. XXXX-XXXX Approval Expires XX/XX/XXXX

Form **DA-1(CC-12)**

4. What is Person 1's telephone number? *We may call this person if we don't understand an answer*

Area Code + Number

5. What is Person 1's sex? *Mark* ☒ *ONE box.*
- ☐ Male   ☐ Female

6. What is Person 1's age and what is Person 1's date of birth?
Age on February 6, 2003

Print numbers in boxes.
Month   Day   Year of birth

→ **NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. In this survey, Hispanic origin is considered different from race. Please give different responses to Questions 7 and 8.**

7. Is Person 1 of Spanish, Hispanic or Latino origin? *Mark* ☒ *"No" if not of Spanish, Hispanic or Latino origin.*

- ☐ No, not of Spanish, Hispanic or Latino origin
- ☐ Yes, Mexican, Mexican Am., Chicano
- ☐ Yes, another Spanish, Hispanic or Latino origin — *Print origin* ⬎
- ☐ Yes, Puerto Rican
- ☐ Yes, Cuban

8. What is Person 1's race? *Mark* ☒ *one or more races to indicate what this person considers himself/herself to be*

→ **NOTE: In this survey, Hispanic origins should not be reported as races.**

- ☐ White
- ☐ Black, African Am., or Negro
- ☐ American Indian or Alaska Native — *Print name of enrolled or principal tribe* ⬎

- ☐ Asian Indian   ☐ Japanese   ☐ Native Hawaiian
- ☐ Chinese   ☐ Korean   ☐ Guamanian or Chamorro
- ☐ Filipino   ☐ Vietnamese   ☐ Samoan
- ☐ Other Asian — *Print race* ⬎   ☐ Other Pacific Islander — *Print race* ⬎

→ **If more people live here, continue with Person 2.**

2003 Census Response Study

Strong Instructions and Examples

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

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☐ Owned by you or someone in this household with a mortgage or loan?
☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?
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What is this person's name? Print name below.

Last Name
| | | | | | | | | | | | | |

First Name   MI
| | | | | | | | | | | |

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No. XXXX-XXXX: Approval Expires XX/XX/XXXX

Form **DA-1(CC-13)**

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4. **What is Person 1's telephone number?** *We may call this person if we don't understand an answer.*
Area Code + Number
| | | — | | | — | | |

5. **What is Person 1's sex?** *Mark* ☒ *ONE box.*
☐ Male   ☐ Female

6. **What is Person 1's age and what is Person 1's date of birth?**
Age on February 6, 2003
| |

Print numbers in boxes.
Month   Day   Year of birth
| | | | | | | | |

→ **NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. In this survey, Hispanic origin is considered different from race. Please give different responses to Questions 7 and 8.**

7. **Is Person 1 of Spanish, Hispanic or Latino origin?** *Mark* ☒ *"No" if not of Spanish, Hispanic or Latino origin.*

☐ No, not of Spanish, Hispanic or Latino origin   ☐ Yes, Puerto Rican
☐ Yes, Mexican, Mexican Am., Chicano   ☐ Yes, Cuban
☐ Yes, another Spanish, Hispanic or Latino origin — *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on.* ↘
| | | | | | | | | | | | | | | | | | |

8. **What is Person 1's race?** *Mark* ☒ *one or more races to indicate what this person considers himself/herself to be.*
→ **NOTE: In this survey, Hispanic origins should not be reported as races.**

☐ White   ☐ Black, African Am., or Negro
☐ American Indian or Alaska Native — *Print name of enrolled or principal tribe.* ↘
| | | | | | | | | | | | | | | | | | |

☐ Asian Indian   ☐ Japanese   ☐ Native Hawaiian
☐ Chinese   ☐ Korean   ☐ Guamanian or Chamorro
☐ Filipino   ☐ Vietnamese   ☐ Samoan
☐ Other Asian — *Print race, for example, Cambodian, Laotian, Pakistani, Thai, and so on.* ↘   ☐ Other Pacific Islander — *Print race, for example, Fijian, Tongan, and so on.* ↘
| | | | | | | | | | | | | | | | | | |

→ **If more people live here, continue with Person 2.**

2003 Census Response Study

Informative Instructions

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

This is the official form for all the people at this address. It is quick and easy, and your answers are protected by law. Complete the Census and help your community get what it needs — today and in the future!

Start Here

Please use a black or blue pen.

1. How many people were living or staying in this house, apartment, or mobile home on February 6, 2003?

Number of people

INCLUDE in this number:
- foster children, roomers, or housemates
- people staying here on February 6, 2003 who have no other permanent place to stay
- people living here most of the time while working, even if they have another place to live

DO NOT INCLUDE in this number:
- college students living away while attending college
- people in a correctional facility, nursing home, or mental hospital on February 6, 2003
- Armed Forces personnel living somewhere else
- people who live or stay at another place most of the time

2. Is this house, apartment, or mobile home —
Mark ☒ *ONE box.*
- ☐ Owned by you or someone in this household with a mortgage or loan?
- ☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?
- ☐ Rented for cash rent?
- ☐ Occupied without payment of cash rent?

3. Please answer the following questions for each person living in this house, apartment, or mobile home. Start with the name of one of the people living here who owns, is buying, or rents this house, apartment, or mobile home. If there is no such person, start with any adult living or staying here. We will refer to this person as Person 1.

What is this person's name? *Print name below.*

Last Name

First Name   MI

0607-0725   8/31/04
OMB No. XXXX-XXXX: Approval Expires XX/XX/XXXX

Form **DA-1(CC-14)**

4. What is Person 1's telephone number? *We may call this person if we don't understand an answer.*

Area Code + Number

5. What is Person 1's sex? *Mark* ☒ *ONE box.*
- ☐ Male   ☐ Female

6. What is Person 1's age and what is Person 1's date of birth?
Age on February 6, 2003

Print numbers in boxes.
Month   Day   Year of birth

→ **NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. People of Hispanic origin may be of any race.**

7. Is Person 1 of Spanish, Hispanic or Latino origin? *Mark* ☒ *"No" if not of Spanish, Hispanic or Latino origin.*
- ☐ No, not of Spanish, Hispanic or Latino origin
- ☐ Yes, Mexican, Mexican Am., Chicano
- ☐ Yes, another Spanish, Hispanic or Latino origin — *Print origin.* ↗
- ☐ Yes, Puerto Rican
- ☐ Yes, Cuban

8. What is Person 1's race? *Mark* ☒ *one or more races to indicate what this person considers himself/herself to be.*
- ☐ White
- ☐ Black, African Am., or Negro
- ☐ American Indian or Alaska Native — *Print name of enrolled or principal tribe.* ↗

- ☐ Asian Indian
- ☐ Chinese
- ☐ Filipino
- ☐ Other Asian — *Print race.* ↗
- ☐ Japanese
- ☐ Korean
- ☐ Vietnamese
- ☐ Native Hawaiian
- ☐ Guamanian or Chamorro
- ☐ Samoan
- ☐ Other Pacific Islander — *Print race.* ↗

→ **If more people live here, continue with Person 2.**

2003 Census Response Study

Hybrid Instructions and Examples

U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

This is the official form for all the people at this address. It is quick and easy, and your answers are protected by law. Complete the Census and help your community get what it needs — today and in the future!

Start Here

Please use a black or blue pen.

1. How many people were living or staying in this house, apartment, or mobile home on February 6, 2003?

Number of people

INCLUDE in this number.
- foster children, roomers, or housemates
- people staying here on February 6, 2003 who have no other permanent place to stay
- people living here most of the time while working, even if they have another place to live

DO NOT INCLUDE in this number.
- college students living away while attending college
- people in a correctional facility, nursing home, or mental hospital on February 6, 2003
- Armed Forces personnel living somewhere else
- people who live or stay at another place most of the time

2. Is this house, apartment, or mobile home — Mark ☒ ONE box.

☐ Owned by you or someone in this household with a mortgage or loan?

☐ Owned by you or someone in this household free and clear (without a mortgage or loan)?

☐ Rented for cash rent?

☐ Occupied without payment of cash rent?

3. Please answer the following questions for each person living in this house, apartment, or mobile home. Start with the name of one of the people living here who owns, is buying, or rents this house, apartment, or mobile home. If there is no such person, start with any adult living or staying here. We will refer to this person as Person 1.

What is this person's name? *Print name below.*

Last Name

First Name   MI

0607-0725   8/31/04
OMB No. XXXX-XXXX Approval Expires XX/XX/XXXX

Form **DA-1(CC-15)**

4. What is Person 1's telephone number? *We may call this person if we don't understand an answer*

Area Code + Number

5. What is Person 1's sex? *Mark ☒ ONE box.*
☐ Male   ☐ Female

6. What is Person 1's age and what is Person 1's date of birth?
Age on February 6, 2003

Print numbers in boxes.
Month   Day   Year of birth

→ **NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. In this survey, Hispanic origin is considered different from race. Please give different responses to Questions 7 and 8.**

7. Is Person 1 of Spanish, Hispanic or Latino origin? *Mark ☒ "No" if not of Spanish, Hispanic or Latino origin.*

☐ No, not of Spanish, Hispanic or Latino origin   ☐ Yes, Puerto Rican

☐ Yes, Mexican, Mexican Am., Chicano   ☐ Yes, Cuban

☐ Yes, another Spanish, Hispanic or Latino origin — *Print origin, for example, Argentinean, Colombian, Dominican, Nicaraguan, Salvadoran, Spaniard, and so on*

8. What is Person 1's race? *Mark ☒ one or more races to indicate what this person considers himself/herself to be*

☐ White   ☐ Black, African Am., or Negro

☐ American Indian or Alaska Native — *Print name of enrolled or principal tribe*

☐ Asian Indian   ☐ Japanese   ☐ Native Hawaiian
☐ Chinese   ☐ Korean   ☐ Guamanian or Chamorro
☐ Filipino   ☐ Vietnamese   ☐ Samoan
☐ Other Asian — *Print race for example, Cambodian, Laotian, Pakistani, Thai, and so on*   ☐ Other Pacific Islander — *Print race, for example, Fijian, Tongan, and so on*

→ If more people live here, continue with Person 2.

APPENDIX B
COGNITIVE INTERVIEW PROTOCOL

I.   General feeling of the form:

Based on the page that you have just finished, what is the purpose of this form? How do you think the information will be used?

II.   Q. 7 Hispanic origin

1.   Looking at question 7, in your own words, what is question 7 about?

2.   [If not mentioned already] : What does this word 'origin' mean to you in this question? (If necessary) Is there a word (you'd rather use/is better than) "origin" here?

3.   [If not discussed already]: And looking at some of the other parts of this question, what does 'Chicano' mean to you? What about 'Spanish'? And 'Hispanic'? And 'Latino'? And where it says 'Yes, another Spanish, Hispanic or Latino origin - Print origin' what is it asking for?

4.   [No Example versions -10, 12, 14] :   Where it says: 'Yes, another Spanish, Hispanic or Latino origin - Print origin' what is it asking for?

5.   [For Hispanics]: How did you decide which answer(s) to mark? What were you thinking when you were deciding which answer(s) to mark? How long did it take you to decide which answer(s) to mark?

6.   [For Hispanics]: Was there an answer you considered marking or writing, but decided not to? Was there an answer or answers you thought about but did not use?

7. [For Hispanics giving more than one origin group]: How did you decide which answers to mark? What were you thinking when you were deciding which answers to mark? How long did it take you to decide which answers to mark?

8. [For non-Hispanics]: How did you decide which answer to mark? How long did it take you to decide which answer to mark? What were you thinking when you were deciding which answer to mark?

9. Forms 11, 13, 15 - examples

    (a) Did you happen to notice the examples of other Spanish, Hispanic, or Latino origin groups in this question?

    • [If yes, noticed the examples]: What were you thinking when you saw those other Spanish, Hispanic, or Latino origin groups? Did seeing those other origin groups change your mind about what answers to mark?

    If yes: How was your mind changed - did they help you to choose that answer or persuade you not to choose that answer?

    • [If no, did not notice examples]: Do you think that it would have helped you to decide which answers to mark if you had noticed the other origin groups there?

    (b) What are the examples trying to tell you - why are they there?

III. **Q.8 Race**

1. Now looking at question 8, in your own words, what is question 8 about? [If necessary]: What does "race" mean to you in this question?

2. [In versions with no new instructions, 10, 11, 14, 15]: What does it mean here when it says "consider himself/herself to be?"

3. And you chose (RACE/RACE 1 AND RACE 2/etc.) What were you thinking when you were deciding which answer(s) to mark?

4. How easy or difficult was it to find a category to mark?

5. Was there an answer you considered writing, but decided not to? Was there an answer or answers you thought about but did not use?

6. `What would you do if you did not find an appropriate answer in Q. 8?

7. When you read the instructions about marking your answer, did you feel that you could mark as many races as you wanted, or did you feel that you were supposed to mark only one race?

8. Do "race" and "origin" seem to mean the same thing or different things in this questionnaire?

9. Forms 11, 13, 15 -examples

   (a) Did you happen to notice the examples of other Asian and Other Pacific Islander race groups in this question?

   • If yes, noticed the examples: What were you thinking when you saw those other Asian and Other Pacific Islander race groups? Did seeing them change your mind about what answers to mark?

      If yes: How was your mind changed - did they help you to choose that answer or persuade you not to choose that answer?

- If no, did not notice examples: Do you think that it would have helped you to decide which answers to mark if you had noticed the other groups there? Why/Why not?

IV. Instructions before the Hispanic origin question, Versions 12, 13, 14, 15.

1. Did you see these instructions before Question 7? In your own words, what are they about?

2. What were you thinking when you saw those instructions the first time?

3. [Versions 12, 13, 15]: What does "In this survey Hispanic origin is considered different from race" mean here? What is the part about "different responses" asking you to do?

4. [Version 14] "What does "people of Hispanic origin may be of any race" mean to you in this question?

5. Did those instructions make you change the answer or answers you were going to mark in Question 7? [If yes, changed answer/s]: How? Why?

6. What about in Question 8 - did you change the answer or answers you were going to mark in Question 8 when you saw those instructions? [If yes, changed answer/s]: How? Why?

7. Did you agree or disagree with the instructions about the difference between race and Hispanic origin?

   - [Agree]: Was it helpful for the instructions to say that there is a difference?

- [Disagree]: Did you/would you still follow the instructions on giving different answers for race and Hispanic origin on this form, or would you not follow them?

V. Instructions in the race question, Versions 12 and 13 only (*"NOTE: In this survey, Hispanic origins should not be reported as races."*)

1. Did you notice the instructions in Question 8 where it says NOTE? In your own words, what are they about?

2. If necessary] Did you think that most people are supposed to answer both questions, or is it ok to only answer one? Why/Why not?

3. Did you change the answer or answers you were going to mark in Question 8 when you saw those instructions? If yes, changed answer/s: How? Why?

4. What does "considers himself/herself to be" mean in this question?

5. And what does "race" mean in this question?

6. Summary on Instructions

   (a) Did the instructions help explain why both the Hispanic origin and race questions are asked? If yes, what did the instructions explain?

   (b) Did you consider not marking an answer in Q.7 or Q. 8 or both questions? Why or why not?

VI. Examples and Directions

1. [Final question on the Respondent-Person 1 page]
    Looking back over this page, how do you feel about the amount of instructions and examples included with the questions - would you say there is not enough helpful information, too much helpful information, or is the amount of helpful information about right?

    - If too much - What should we consider leaving out? Why?

    - If not enough - Where should there be more helpful information? What should it say or explain?

    - If about right - In your opinion, what is the most helpful information on this page? Why?

2. On a form like this, some people read all of the instructions and examples and some people do not. What parts of the instructions and examples did you read the first time through? (What did you ignore? and why?)

VII. Proxy Reporting

1.   Positive answers to the Hispanic origin question:

(a)   [For Hispanics]: How did you decide which answer to mark for Person (2-5)? What were you thinking when you were deciding which answer to mark? How long did it take you to decide which answer to mark?

(b)   [For Hispanics]: Was there an answer you considered marking or writing, but decided not to for Person (2-5) ? Was there an answer or answers you thought about but did not use?

(c) [For Hispanics giving more than one origin group]: How did you decide which answers to mark for Person (2-5)? What were you thinking when you were deciding which answers to mark? How long did it take you to decide which answers to mark?

(d). Examples (forms 11, 13, 15) : Did seeing those other origin groups change your mind about what answers to mark for Person (2-5)?

- If yes: How was your mind changed - did they help you to choose that answer or persuade you not to choose that answer?

(e.1) Instructions (forms 12, 13, 14, 15): Instructions before the Hispanic origin question:
Did those instructions make you change the answer or answers you were going to mark in Question 7 for Person (2-5)?

(e.2) What about in Question 8 - did you change the answer or answers you were going to mark in Question 8 for Person (2-5) when you saw those instructions?

- If yes, changed answer/s - How? Why?

2. **Race question:**

(a) You chose (RACE/RACE 1 AND RACE 2/etc.) for Person (2-5) What were you thinking when you were deciding which answer(s) to mark?

(b) How long did it take you to decide which answers to mark for Person (2-5)? How easy or hard was it to find the best answers for yourself?

(c) Was there an answer you considered writing, but decided not to for Person (2-5)? Was there an answer or answers you thought about but did not use?

(d) With Examples (forms 11, 13, 15): Did seeing the examples in the Other Asian and Other Pacific Islander answers change your mind about what answers to mark for Person (2-5)?

- If yes: How was your mind changed - did they help you to choose that answer or persuade you not to choose that answer?

(e) With Instructions (forms 12, 13): Did you change the answer or answers you were going to mark in Question 8 for Person (2-5) when you saw those instructions?

- If yes, changed answer/s: How? Why?

CLOSING

Is there anything that you would like to say about the Hispanic origin or race questions that you have not had a chance to say?

Thank you for your help.

APPENDIX C
ALTERNATIVE APPROACHES TO THE THREE
FORMATS USING INSTRUCTIONS

1.   **Directive Instructions - Version 12**

NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. In this survey, Hispanic origin is considered to be different from race. Please give different responses to Questions 7 and 8.

(in race question)

NOTE: In this survey, Hispanic origins should not be reported as races.

Critique:
1.   The instructions above both questions are too long. They include three different ideas, two of which may be confusing for people who believe that their Hispanic origin is their race.
2.   The NOTE in the race question adds visual clutter to an already visually cluttered page. It distracts as much as informs.

Possible alternative to Version 12's approach:

NOTE: Please answer BOTH Question 7 about Hispanic origin and Question about race. Please give different responses to Questions 7 and 8.

7.   **Is Person 1 of...**

8.   **What is Person 1's race? Mark [x] one or more races** to indicate what this person considers himself/herself to be. Please do not give Hispanic origins as races.

Discussion:
1.   The two ideas included in the instructions above question 7 and question 8 are more closely related than the three in Version 12 - answer both questions and give different answers.
2.   Directions specific to the race question are now contained within it.
3.   'Please' is less directive than just 'Note' and perhaps better conveys that "the government" views people with Hispanic origins as being of more than one race. A less directive approach also may play better with this culture which is a bit more polite/formal than the culture of most forms.
4.   I have some reservations about the use of the verb "report." "Mark" is best, because it is exactly what the respondent does, however, for those who write in, we need something else, maybe "give" is that verb.

5.   <u>However</u>, many respondents only read the bolded part of the question. Many respondents do not "see" the 'Mark [x] one or more' instructions, so they may also may not see the Hispanic origin-race instructions.

2.   **Informative instructions - Version 14**

NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race. People of Hispanic origin may be of any race.

7.   Is Person 1 of...

Possible alternative to Version 14's approach:

NOTE: Please answer BOTH Question 7 about Hispanic origin and Question 8 about race.

7.   Is Person 1 of...

8.   What is Person 1's race? Mark [x] one or more races to indicate what this person considers himself/herself to be. Please note that people with Hispanic origins may be of any race.

Discussion:
1.   Some respondents suggested that the directions for race be placed in the race question or that the race question be revised to be "more clear."

2.   The instruction above both questions remains the same and gives just one direction: please answer both questions.

3.   Placing instructions specific to answering the race question in the question brings these closer together and makes it easier to understand that this direction applies here, to race.

4.   'Please' is less directive than just 'Note' and perhaps better conveys that "the government" views people with Hispanic origins as being of more than one race. A less directive approach also may play better with this culture which is a bit more polite/formal than the culture of most forms.

5.   It may be that the phrase "of Hispanic origin" would be better expressed as "with Hispanic origins." This should be tested. It might make the difference between