

IDENTIFYING AND REPORTING INTERNATIONAL ACADEMIC APPOINTEES AT THE UNIVERSITY OF CALIFORNIA

During the last half century, the University of California (UC) has become increasingly international. Research collaborations and networks are regularly international in nature, educational programs include courses and curricula which train our students to understand and operate in multi-national, multi-cultural, and global environments, and our faculty and student populations include a host of international academics who are affiliated with UC on a temporary or permanent basis. Those who join us from other countries are an essential part of a world-class University.

The ongoing work of the University includes many discrete efforts to incorporate this international quality into policy and practice: a new policy for the Academic Personnel Manual (APM)—on international visitors—is currently under review; APM – 530, Nonresidents, policy governing the employment of international academic appointees, was revised and reissued in 2012; support for the systemwide International Students and Scholars Offices is reinvigorated; a new set of guidelines for international agreements is under review, guided by Compliance and Audit; the University is actively recruiting international undergraduate students; the systemwide Education Abroad Program and campus-based study-abroad programs send our UC students abroad and make it possible for international students to study here; and a large share of our faculty have international roots or training.

In fact, the global character of UC’s academic appointee population—faculty, postdoctoral scholars, researchers, and others—is well-recognized, yet has not been adequately represented in official reporting. Driven by concerns from the campus offices supporting international scholars as well as queries from the Faculty Senate, in the spring of 2012, UC reviewed the methodology for collecting demographic data on international faculty and other academic appointees. In fall 2012, the President and Provost agreed to a more nuanced methodology for reporting the data. The change in methodology will be summarized below; Appendix A includes a “Technical Report” with additional details on the change.

Identification of UC’s international academic appointee population is challenging given ambiguity in the higher education community in defining “international” status, coupled with a variety of relevant definitions of “international” statuses from the Department of Homeland Security, the Internal Revenue Service, and higher education data repositories (see Appendix B). Since our employees with international roots represent a variety of races and ethnicities, the reporting of international status is also connected to our government-mandated collection of data on race and ethnicity for all UC students, staff, and faculty. This intersection of international status and the reporting of race and ethnicity is further complicated by the fact that the two sets of data are collected separately: international status is derived from payroll tax records, while race and ethnicity is self-reported by employees.¹

This current review of and change in data methodology concerns only academic personnel appointees—faculty, postdoctoral scholars, researchers, academic administrators, etc-- since there are different conditions surrounding their relationship with UC than that of staff and students, particularly since UC recruits faculty from an international pool of talent and hires them, hopefully, for the long term, which may make them eligible for US citizenship later. For undergraduate student and graduate student

¹ National origin, immigration status, and race and ethnicity information is protected by Title VI of the Civil Rights Act. Executive Order 11246 requires federal contractors to collect race and ethnicity data for applicants and employees. However there is no such Executive Order carve-out allowing collection of immigration status or national origin information.

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populations, data on international status are collected in slightly different ways due to the need to determine California state residency for tuition purposes. Staff data is collected using what we have termed the *legacy method* below. See Appendix C.

Sections below summarize the change in data collection, from the *legacy method* and to the new *citizenship method*. Both methods are statistically robust. Methods for collecting information on race/ethnicity are not a part of this change but effects of the new methodology on this race/ethnicity information will be reviewed in the final section of the report.

The Change from the Legacy Method to the Citizenship Method

The *legacy method* (current method) identified the international academic appointee population using a narrow definition of international based on tax categories, essentially eliminating all immigrants and most non-immigrants from the “international” category. This resulted in identifying only 52 international ladder rank faculty systemwide in 2011. These 52 ladder rank faculty were reported separately from the race/ethnicity groups in the 2011 Accountability Report.

The new *citizenship method* identifies the international academic appointee population more broadly to include all immigrants and nonimmigrants, and makes a primary distinction between US citizens and non-US citizens, resulting in a much greater number of academic appointees who are international, for a total of 2,221 ladder rank faculty in 2011 (instead of the 52 noted in the *legacy method*). This greater number of ladder rank faculty matches more closely to the service and support levels reported by the UC International Students and Scholars Offices and the global experiences of the UC community as a whole.

Analysis of Data on Academic Personnel Populations in the change to a new method

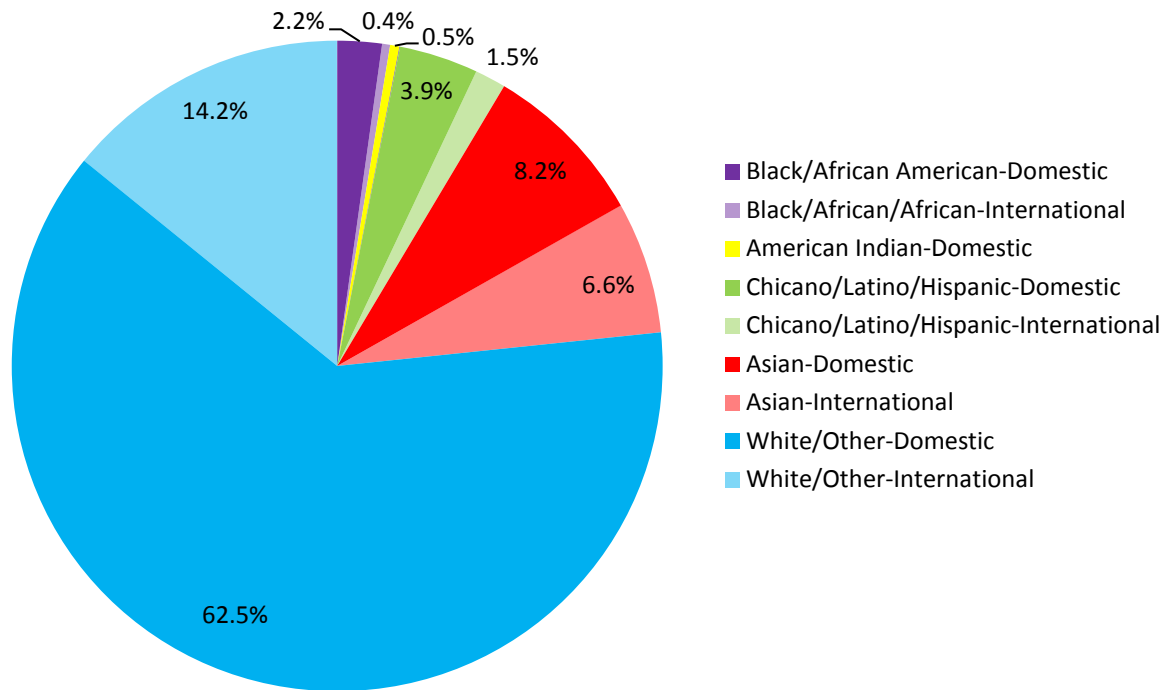
The change to the *citizenship method* allows the university to understand more clearly the presence and impact of faculty and academic personnel at UC who have citizenship outside of the US. Appendix D contains detailed information on these populations in both the legacy method and the citizenship method. Here are some highlights of this data:

- International ladder rank faculty have grown from 1,666 (19.3%) to 2,221 (22.7%) over the past ten years
- 11.9% (551 of 4,651) of other faculty appointees are international
- International non-faculty academics, a group which includes the professional research, specialist, and postdoctoral scholar series, account for 43.7% (6,763 of 15,476) of the entire non-faculty academic population at UC
- When looking at all UC faculty and academics, international appointees represent 30.2% (10,402 of 34,422) of all UC academic appointees, a figure which increased by three percentage points since 2001, from 27.2% (7,663 of 28,166).

The two figures below summarize additional information on international faculty. Figure 1 shows the domestic and international populations in UC reporting on race and ethnicity. Figure 2 shows how these populations are present in the most recent faculty hiring.

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Figure 1: Ladder- and equivalent-rank faculty by race and ethnicity and citizenship, Universitywide, Fall 2011

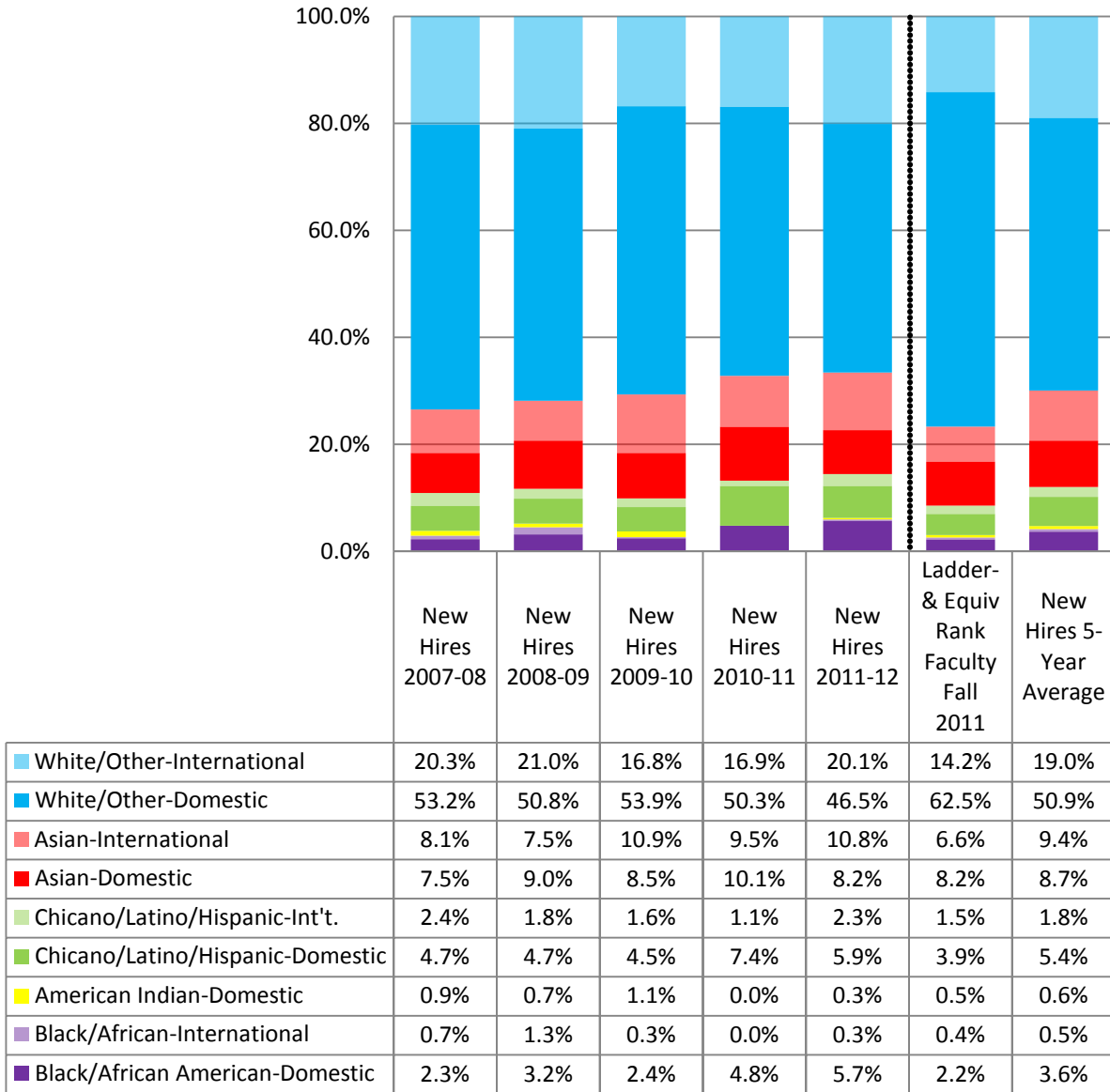


Source: UC Payroll Data (CPS)

Note: American Indian-International faculty represented less than 0.1 percent of faculty and are not displayed.

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Figure 2: New ladder- and equivalent-rank faculty hires by race and ethnicity and citizenship, Universitywide, 2007-2012



Source: UC Academic File and Payroll data.

Note: American Indian-International faculty represent less than 0.1 percent of faculty and are not displayed.

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We believe the new citizenship method will allow UC to report on its academic employees in a way that clarifies the richness of the people involved in the University's core missions of research and teaching. In the future, reports on faculty and academic personnel data will include recognition of the important international component of the populations.

Appendices

A: Technical Report: Identifying and Reporting International Academic Appointees at the University of California

B: Definitions

C: Current Methods for Identifying and Reporting UC's International Student and Staff Populations

D: UC Faculty/Academic Headcount: Comparison Between Citizenship Method and Legacy Method

January 2013

APPENDIX A TECHNICAL REPORT

Background

The global character of UC's academic appointees is well-recognized, yet has not been adequately represented in official reporting of the diversity of UC's faculty and academic employees. In the spring of 2012, UC recognized the need to review the methodology for collecting demographic data on international faculty. An *ad hoc* working group comprised of Academic Personnel and Institutional Research staff was formed to devise a new method for collecting and reporting a more accurate profile of UC's international academic appointees. In fall 2012, the President and Provost agreed to the more nuanced methodology for reporting data.

Identification of UC's international academic appointee population is challenging given the difficulty of defining "international," the complexities of the US Department of Homeland Security (USDHS or Immigration) and Internal Revenue Service (IRS) classification systems, the use of the same or similar terms defined differently by Immigration and the IRS,¹ and anti-discrimination law protecting immigration status information.

This report describes past practice, or the *legacy method*, and the new *citizenship method* which will be used in the future to identify and report UC's academic personnel, including faculty.²

The Legacy Method

Historically, UCOP has identified the international component of the academic appointee population by following Integrated Postsecondary Education Data System (IPEDS) reporting instructions and then selecting the population from IRS tax categories maintained in the UC payroll system (PPS). This methodology has been used to report international appointee data to IPEDS and in the UC Accountability Reports.

Definition in IPEDS

The IPEDS instructions define "international" as "nonresident alien" or "a person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely." In IPEDS, nonresident aliens are reported separately from the remaining academic appointees who are reported in IPEDS-defined racial/ethnic categories. The IPEDS definition of nonresident alien conforms to the Immigration definition of nonresident alien.

Further, IPEDS instructs UC and other universities to eliminate "resident aliens" from the "international" population ultimately reported. IPEDS defines "resident aliens" as persons "who are not citizens or nationals of the United States and who have been admitted as legal immigrants for the purpose of

¹ See Appendix B, Definitions

² See Appendix C, Current Methods for Identifying and Reporting UC's International Student and Staff Populations

obtaining permanent resident alien status..." "Resident aliens" as defined by IPEDS are reported along with United States citizens in the IPEDS-defined racial/ethnic categories. The IPEDS definition of resident alien conforms to the IRS definition but only in part to the Immigration definition of resident alien.

Collection of Data in the UC Payroll System (PPS)

To collect the nonresident alien population data at UC for the purpose of reporting to IPEDS, Institutional Research staff selected the IRS nonresident alien tax classification maintained in PPS. This definition has been used for IPEDS as well as for UC's other reporting of faculty demographics.

International academic appointees are coded in PPS according to IRS classifications for the purpose of accurate tax withholding and IRS reporting compliance. Nonresident aliens, by IRS definition, are individuals who do not meet the IRS standards of "Green Card Test" or the "Substantial Presence Test," e.g., those who have been present in the US for less than 31 days in the current year and less than 183 days during the current year and two years immediately preceding the current year. Under the *legacy method*, this is a small fraction of the faculty; in Fall 2011, only 52 or over 9400 ladder-rank and equivalent faculty fit this definition.

Most of the international academic appointees at UC who are classified as nonresident aliens according to the Immigration definition meet the "Substantial Presence Test" for purposes of tax classification status, and thereby shift in IRS classification and in PPS from *nonresident alien* to *resident alien* tax status. Thus, most of the international population, including those who met the IRS standards of the "Green Card Test," had been deselected as international for reporting purposes.

The Citizenship Method

The 2012 *ad hoc* working group sought to develop a new method of collecting data to account for a more inclusive definition of "international," e.g., accounting for all nonresident aliens and resident aliens among academic personnel.

The new method, named the *citizenship method*, selects all those coded in PPS as non-US citizen (v. US citizen) in the PPS citizenship status field. This method identifies *all* nonresident aliens (not just those who do not meet "Green Card Test" or the "Substantial Presence Test") and all resident aliens (including those classified as permanent resident aliens and those pending permanent residency). This new method results in a more accurate representation of the international academic appointee community at UC.³

As UC adopts the new UCPath payroll system, this new *citizenship method* will be standard. PPS records have also allowed staff to use the new citizenship method to analyze academic personnel populations through the last 10 years. This review confirms that the 2011 numbers under the *citizenship method* have been roughly the same for the last decade.

³ See Appendix D, UC Faculty/Academic Headcount: Comparison Between Citizenship Method and Legacy Method

APPENDIX B DEFINITIONS

The US Department of Homeland Security (DHS or Immigration) and the US Internal Revenue Service (IRS) publish definitions of various international populations. These two agencies use the same or similar terms yet apply different definitions to those terms. The US Department of Homeland Security posts definitions on their web site <http://www.dhs.gov/definition-terms>. The Internal Revenue Service publishes definitions in IRS Publication 519, US Tax Guide for Aliens.

Alien

Any person who is not a citizen or national of the United States. Aliens are classified by DHS as nonresident or resident aliens.

Immigrant

See Permanent Resident Alien

Nonimmigrant

An alien who seeks temporary entry to the US for a specific purpose. The alien must have a permanent residence abroad (for most classes of admission) and qualify for the nonimmigrant classification sought.

Nonresident Alien

For IRS/Tax purposes: A person who is not a US citizen and who does not meet either the “green card” test or the “substantial presence” test described in IRS Publication 519, US Tax Guide for Aliens.

For DHS/Immigration purposes: A person who is not a citizen or permanent resident of the US and who has been admitted to the US on a visa (or visa waiver program) for a temporary stay that will end when the purpose of that stay has been met.

Permanent Resident Alien

An alien admitted to the US as a lawful permanent resident. Permanent residents are also referred to as immigrants. However, the Immigration and Nationality Act (INA) broadly defines an immigrant as any alien in the United States, except one legally admitted under specific nonimmigrant categories (INA Section 101 (a)(15)).

Resident Alien

A person who is not a US citizen or national who is residing in the US legally. For the IRS, to be classified as a resident alien, the individual must meet one of the two tests described in IRS Publication 519, US Tax Guide for Alien:

- **Green Card Test:** If an individual is a Lawful Permanent Resident of the US at any time during the calendar year, this is known as the “green card” test. An individual is a lawful Permanent Resident of the US at any time if the individual has been given the privilege, according to Immigration law, of residing permanently in the US as an immigrant. The individual has this status if the US Citizenship and Immigration Services (USCIS) has issued the individual an alien registration card, Form I-551, also known as a “green card.”
- **Substantial Presence Test:** A nonresident alien is classified as a resident alien for tax purposes if they were physically present in the US for 31 days during the current year and 183 days during a three-year period that includes the current year and the two years immediately before the current year.

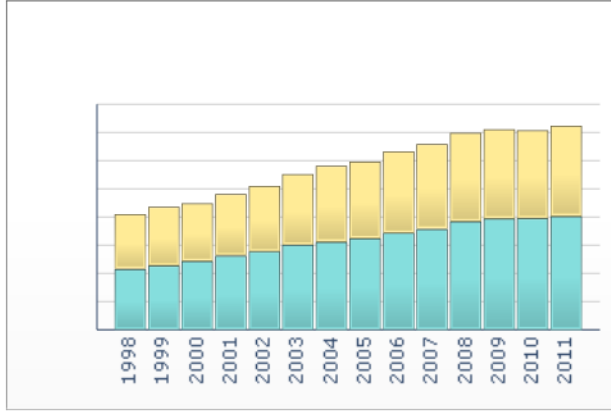
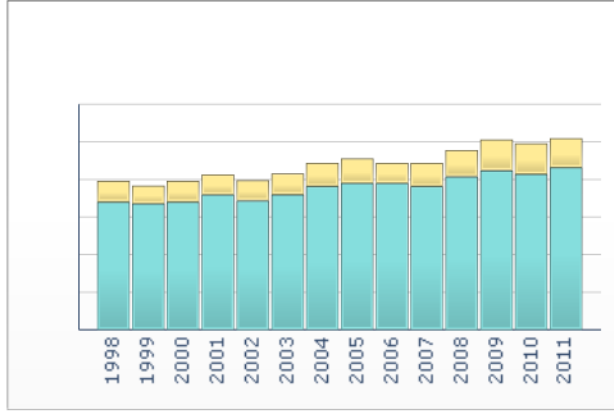
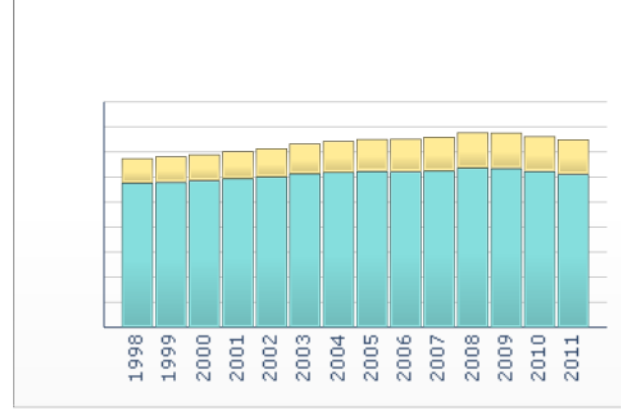
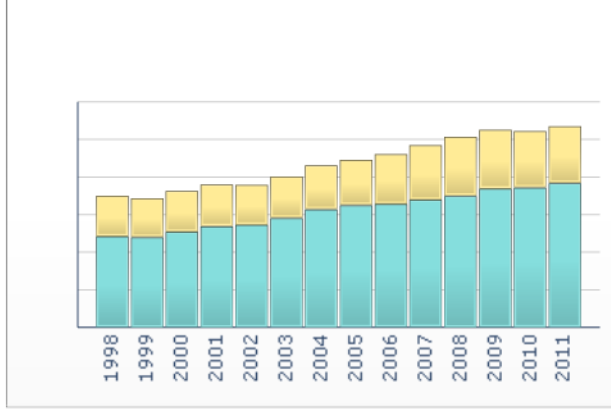
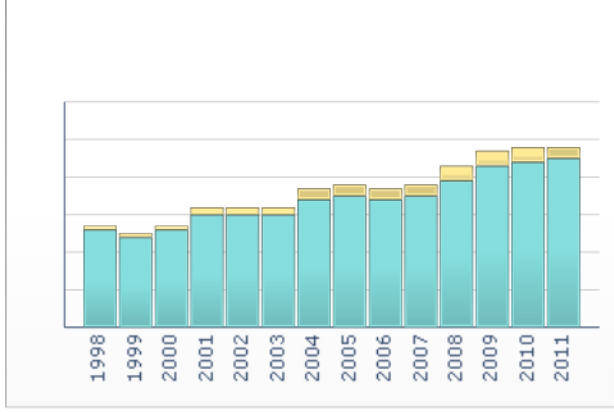
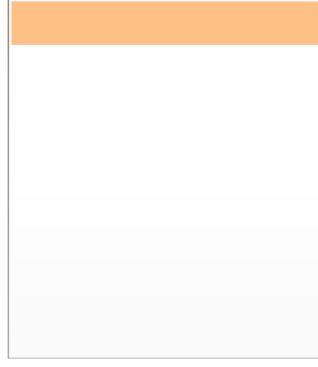
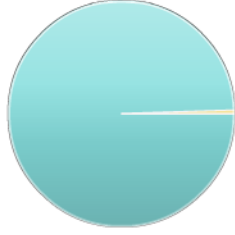
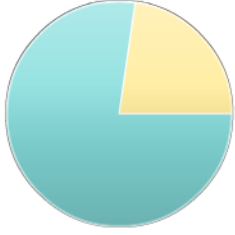
APPENDIX C
CURRENT METHODS FOR IDENTIFYING AND REPORTING UC'S INTERNATIONAL
STUDENT AND STAFF POPULATIONS

UC's International Undergraduate and Graduate Student Population

The UC international student population is reported by following the IPEDS definitions and instructions. The campuses report citizenship or visa codes in the Corporate Student System. Students with a US (US citizen), PR (permanent resident), RF (refugee), AS (asylee), AP (petitioner), or 'blank' code are domestic. Students with any valid temporary visa code are counted as international.

UC's International Staff Population

The UC international staff population is reported by following the IPEDS definitions and instructions and uses the legacy method by selecting only the IRS-defined nonresident aliens coded in PPS. The current number of international staff using the legacy method is 287 and 100,667 domestic. The number of international staff using the citizenship method is 302.



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APPENDIX D

UC FACULTY/ACADEMIC HEADCOUNT: COMPARISON BETWEEN CITIZENSHIP METHOD AND LEGACY METHOD

Data Notes:

Data Source

UCOP Corporate Personnel System, October Snapshot Payroll File, 1998-2011

Selection Criteria and Headcount

- Includes individuals with Gross Earnings greater than 0 in an Academic title; excludes those with Graduate Student titles
- Individuals holding more than one title are counted only once, according to the title associated with the highest profile appointment. For example, an individual with both a Tenured Professor and a Professional Research appointment will be counted as Ladder-Rank and Equivalent.

Series Groupings:

- Ladder-Rank and Equivalent: Professorial (including Recalls); Supervisor of Physical Education; Acting; Senate Lecturers (including Recalls)
- Lecturers: Non-Senate Lecturers (Unit 18)
- Adjuncts/Visitors: Adjunct, Visiting, and Instructional Assistant
- Other Faculty (primarily Health Sciences): In Residence; Professor of Clinical__ ; Health Sciences Clinical Professor
- Other Academics: Agronomists, Astronomers and other Professional Researcher titles, including Postdocs; Librarians; Academic Administrators; other academic titles (Cooperative Extension, University Extension, etc.)

Determination of “International” status:

- Citizenship: coded in PPS as not a U.S. Citizen
- Legacy: coded in PPS as non-resident alien for tax purposes

UCOP Institutional Research January 2013