

# California's Official Redistricting Database—2021

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## Summary

Redistricting in California requires the availability of a database that includes counts of the total and voting age population, race and ethnicity, voter registration, and electoral results to ensure compliance with federal and state law. The Federal Voting Rights Act (FVRA) is the most important of these, and caselaw interpreting that Act lays out criteria for determining whether a districting plan complies with the FVRA. To determine whether a plan will comply with the FVRA, it is necessary to look at voter registration and historic electoral returns.

Other legal criteria that state plans must satisfy in California were laid out in Propositions 11 (2008) and 20 (2010). In addition, the California Citizens Redistricting Commission (CRC) established under the procedures in Propositions 11 and 20 has wide latitude in making decisions on redistricting plans and requires data about communities of interest, defined by economic and social characteristics.

California law (Elections Code, section 21003) also requires the adjustment of the decennial census data which forms the baseline of the redistricting dataset, such that data about persons incarcerated and enumerated in a state correctional facility must be reassigned to their last known residential address. Additionally, data about individuals incarcerated in a federal correctional facility must be excluded. The CRC must determine whether to use the adjusted dataset.

Local jurisdictions including cities and counties are mandated to use the official redistricting database for their redistrictings. (Assem. Bill 849, 2019-2020, ch. 557, 2019 Cal. Stat)

The primary conceptual difficulties in creating this database are caused by the fact that the component datasets are provided in aggregate form and are from different and uncoordinated sources. Aggregate means that the data are not reported at the level of the individuals, but rather as an agglomeration over a (usually) contiguous geographic area. The different sources are California's 58 county registrars of voters offices and the United States Census Bureau. If all the data from these sources were available at the level of the individual, the creation of the database would be a relatively simple matter, but most data are not available at the individual level.

Breaking down the data into component sets, the first type is census data. Census data are collected at the individual level, but are only reported at certain levels of aggregation, the smallest level being the census block (census tracts are composed of census blocks, and counties are made up of census tracts). The census block is typically (in urban areas) a city block, though there are exceptions to this. The census dataset for redistricting (P.L. 94-171) is based at the level of the census block and has data on population, ethnicity, age, and housing.

The second type of data is registered voter data. Just as with the census data, although these data are collected at the individual level they are not reported

that way, and just as the Census Bureau does not report individual data, there are no data reported at the level of the individual in the statewide redistricting database. The registration data collected on individuals is maintained by the California county registrars of voters and county clerk offices in the 58 counties and is reported to the California Secretary of State's office (and is referred to as the statewide registered voter file). Data from this file that are used for the statewide database include the voter party preference (as declared when registering), date of birth (used to derive age), surname (used in ethnic surname matching), address (used for placing the voter into that voter's census block) and voter history. These collected statistics are reported at the census block level. In particular, the names of individual voters are not included in the statewide database.

The third type of data is election results, which is organized by election result precincts, called SOV (Statement of Vote) precincts. These data are collected from each of the 58 county elections offices and are used to analyze racially polarized voting under the VRA. SOV precincts are made up of one or more registered voter precincts, and so these precincts are sometimes called consolidated precincts by the California county registrars of voters and county clerk offices. These data are also collected individually (as are the census and registered voter information), but are only reported at the SOV precinct level. The data available are the votes on statewide constitutional offices, state legislative races, federal races, and statewide propositions.

The fourth type of data is on individuals incarcerated in state correctional facilities. The California Department of Corrections and Rehabilitation (CDCR) provided a list of persons incarcerated at state correctional facilities in the state of California and the last address of those persons prior to incarceration, if this address was available. The 2020 census enumerated incarcerated persons at the correctional facility in which they were incarcerated at the time of the scheduled census enumeration, so the CDCR data are also correlated with the 2020 census data from the census blocks of the correctional facilities.

These four types of data are thus reported by different geographic units. For redistricting purposes, the registration and electoral data need to be placed into census blocks. Dealing with the registration data first, these data are placed into the census blocks by several methods. The first method is geocoding, that is, determining the census block of an address by using an equivalency table between an address range and a census block. For example, in a particular city, 100 E Elm Street might be in census block 1003, which is itself within tract 203.01. The name for the database where these equivalencies can be found is called the TIGER system, where TIGER stands for Topologically Integrated Geographic Encoding and Referencing system, which contains not only these address- to-census block equivalencies, but also a complete topographic representation of all census geography.

Much as the Census Bureau can then take information collected from individuals and report it at the census block level, the data which are geocoded from the

registered voter file can then be aggregated to the census block level and reported at that level (say, the number of voters with Spanish surnames). Not all addresses in the registered voter file can be geocoded, however. Errors can occur due to the incompleteness of the Census Bureau equivalency tables, differences in spellings of street names between the two systems, differences in representations of street types or directions, or differences for a particular address range between the block given in the TIGER file for that street range and the block at which the Census Bureau actually reported the information.

These addresses unassigned through geocoding can be handled by a variety of methods. Differences in street names between the registered voter file and TIGER files can be adjusted with synonym tables; differences in street types can be handled by examining whether there are unique street types within both the TIGER and registered voter file; and so forth. When these methods do not result in an assignment, a geographic conversion is used to allow the conversion of registration precincts to census geography. This is done by creating map overlays between the geographies of the registered voter precincts and those of the census geography. Since the geographic representation of the precincts and Census Bureau come from different sources, the reconciliation of the two types of geography is a time-consuming process, and at times registered voter precincts must be combined to allow accurate mapping. These precinct overlays are then used to assign registered voters' addresses when geocoding does not work.

The electoral results can now be allocated to the census blocks with the following method. Every SOV precinct can be associated with one or more registration precincts. Since every registered voter's address in a precinct has now been assigned to a census block, it is now possible to assign, for every voter, a portion of the vote for any particular candidate or proposition. The assignment of this portion is done through the use of a common statistical practice known as ecological inference, which has been accepted widely in both litigation and academic research. This statistical procedure gives an overall rate of support for any particular candidate or proposition, and this overall rate is then adjusted for the actual results in a particular precinct. These adjusted levels of support are then used to allocate election results to the individual voters, and these individual vote propensities are then aggregated up to the census block level to produce electoral results at that level.

While this is the most complete and accurate methodology for merging data to the census geography, there are times when it is desirable to add other data to the database, such as the citizen voting age population (CVAP) data. In this case, the data are in the 2010 census geography and must be converted into the 2020 census geography. The CVAP data are reported at the 2010 census block group level (there are typically 10 to 20 blocks in a block group), and furthermore, they are estimated from the ACS surveys, which are samples rather than complete enumeration.

For redistricting purposes, census and CVAP data must also be adjusted to reallocate data from incarcerated persons back to their last known residential

addresses. A similar geocoding process to the one described above is used to remove data from census blocks containing state correctional facilities, and to reallocate that data to census blocks containing the last known addresses of incarcerated persons, or to the most restrictive geography available if full geocoding is not possible.

## Data Sources

### Census Data

Census data are data collected every ten years by the Census Bureau (this collection is mandated by the US Constitution). Both state and federal law requires that districts be of equal population. The Voting Rights Act, an act of legislation by Congress, contains additional requirements dealing with how new district lines affect minority populations which have been historically discriminated against.

P.L. 94-171 is the law under which population data are provided to the states for redistricting. The data in this law contain counts on population, both by age and by ethnicity and race. These data are reported by census block. A census block is typically a city block in urban areas (though not always--this is discussed in the section on geocoding) and in rural areas it can comprise a much larger geography. This is illustrated in , which is taken from the P.L. 94-171 documentation (it is referred to as Figure 3 in that documentation). The Census Bureau divides counties into census tracts which are made up of block groups which contain blocks (note that block groups are used in the CVAP [Citizen Voting-Age Population], which is discussed in the section on CVAP breakdown).

It should be noted that this is an idealized figure, as sometimes census blocks are not equal to city blocks. For example, in , the dark orange shaded part of the figure is a 2010 census block. It is also a city street rather than a city block (a full description of this particular city block and the type of problems it presents is in Appendix "Potential Geocoding Problems"). The same remained true for 2020 census blocks.

The P.L.94-171 data are reported in six tables and are documented in the 2020 Census Redistricting Data (Public Law 94-171) Summary File Technical Documentation prepared by the U.S. Census Bureau, 2021. The P.L. 94-171 file's six tables (one of which relates to housing) are displayed in table 1. The population tables are P1 through P5. In P1, individuals are broken down by race; in P2, individuals are broken down by Latino versus non-Latino by race; in P3, 18 and older individuals are broken down by race; in P4, 18 and older individuals are broken down by Latino versus non-Latino by race; and P5 contains counts for individuals in group quarters. This last table is used for adjustments to the P.L. 94-171 data (see section "Data from Incarcerated Persons and P.L. 94-171 Adjustments"). Only table P2 and P4 are adjusted, for reasons explained in that section.

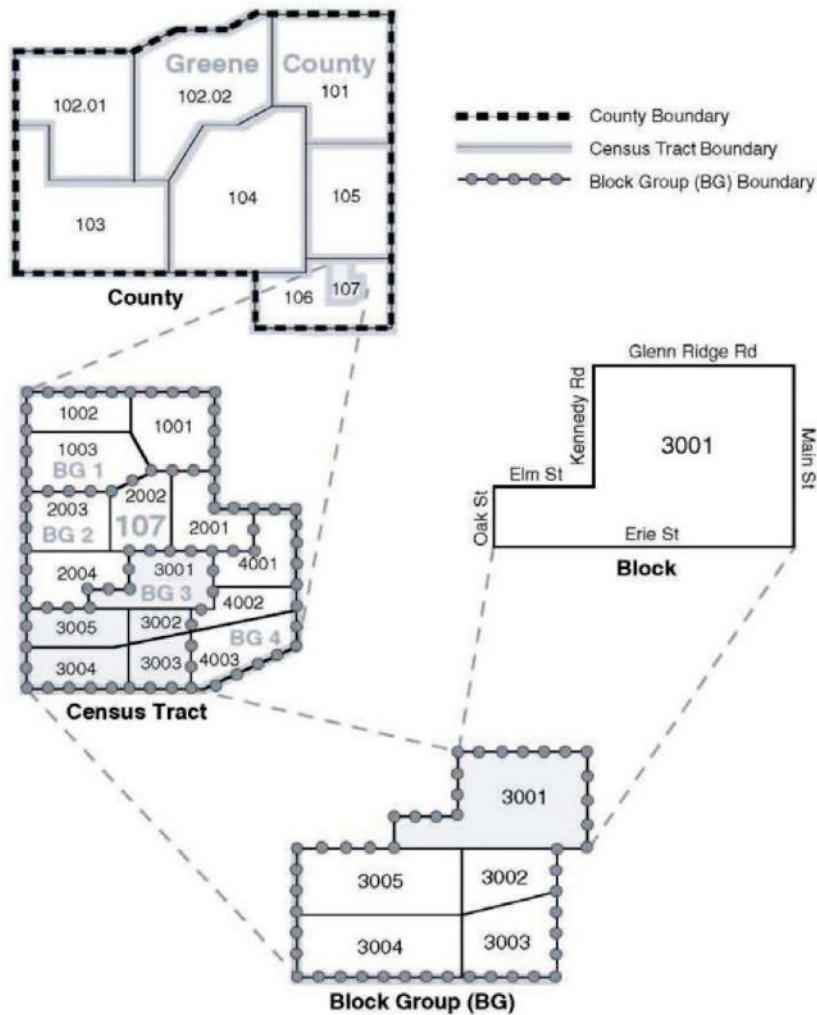


Figure 1: Geographic Relationships--Small Area Statistical Entities, County-Census Tract-Block Group-Block

There are various requirements for drawing districts. One is the requirement of nearly equal populations in each district. Thus each district should be near an "ideal" number, that is the total number of people in a political entity divided by the number of districts. In California, for example, with a California adjusted PL94-171 2020 total population of 39,523,437, the ideal population for each Assembly district is 494,041.5875 people. The race data are also used, in conjunction with political and registration data, to determine compliance with the Federal Voting Rights Act. In addition, a special tabulation of Citizen Voting Age Population (CVAP) is merged into the dataset. This dataset has unique

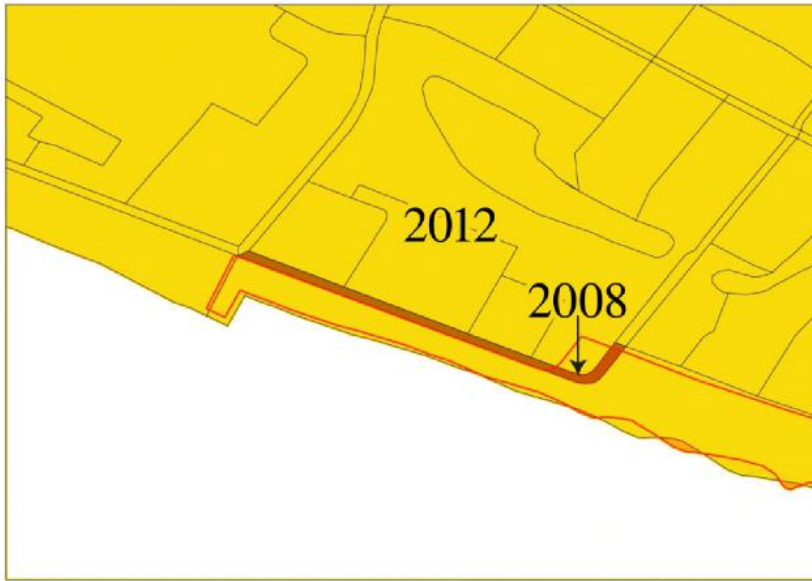


Figure 2: A 2010 Census Block Which is Not a City Block

Table 1: P.L. 94-171 Tables

|    |   |
|----|---|
| P1 | Race  |
| P2 | Hispanic or Latino, and not Hispanic or Latino by Race                                      |
| P3 | Race for the Population 18 Years and Over   |
| P4 | Hispanic or Latino, and not Hispanic or Latino by Race for the Population 18 Years and Over |
| P5 | Group Quarters Population by Major Group Quarters Type                                      |
| H1 | Occupancy Status (Housing)  |

characteristics and is described under the section "CVAP Data". Additional technical documentation on the Public Law 94-171 Summary File can be found on the Census Redistricting Data page.

## Registered Voter Data

Registered voter data are maintained by California county registrars of voters and county clerk offices on individuals who are registered to vote. All data reported under registered voter statistics are derive from the registered voter data, either directly or with additional procedures applied (described below). There are various legal requirements for voting and these legal requirements determine the information the registrar collects. Individuals are legally required to live in the districts they are voting in, so the registrar maintains the home address of every voter. Voters must also be 18 years old before they are eligible

to vote in an election, so the registrar maintains the date of birth. Information on the voter's declared party preference is kept so that the registrar may ensure that only voters who have declared a preference for a party may vote on party primary contests, as determined by political party rules. The voters' date of registration is also kept, as voters may reregister at any time (to change party preference, for example). Additionally, the voter's name is included on this record, which will be used for ethnic coding.

Statistics derived from the registered voter file consist of the following categorizations, either singly or combined: party preference, age, ethnicity, gender, and time since registration. These derived statistics are calculated at the level of the individual, and then reported at different levels of geographic aggregation: the census block, the registration precinct, and the aggregated voting precinct. Each categorization consists of two or more sub-categories, and for each categorization an individual is assigned to one and only one sub-category, with the value one for the assigned sub-categorization and zero for all others. This restriction ensures that aggregation from any geographic unit of the statistics to any other level (for example, from registration precinct to county) returns the correct values. In addition to these single categorizations, some combined categorizations (such as ethnicity by party preference) are reported, as described below.

Transformation of the registered voter file information into categorizations varies depending upon the information in the registered voter files. For the party preference categorization, subcategorizations are defined by the Republican, Democratic, Declined to State (also referred to as No Party Preference), Miscellaneous, and the "minor" parties with official recognition (California has a minimum registration number requirement for listing as an officially recognized party). The conversion is made by giving a voter with a Democratic preference an assignment to the Democratic sub-categorization, a voter with a Republican preference an assignment to the Republican sub-categorization, and so forth. Non-recognized parties are put into a miscellaneous sub-category and Declined to State voters are put into the Declined to State sub-categorization.

Gender is often not specified and so voter records which do not have a specified gender are assigned one through name matching. Because the concept of matching names is used also to provide an indication of ethnic or racial membership, gender is a good example of how the process of name matching occurs. Name matching requires a reference list to which the name can be matched and a characterization for the name returned. For gender, a "dictionary" (as lists of names with characterizations are typically called) was created by taking all names from the various counties' registered voter files that had a gender specified, and, if a name appeared more often as a female than a male, assigning that name as a female, and if it appeared less often assigning that name as a male.

Surname dictionaries for the creation of ethnic statistics work similarly. While the creation of a gender dictionary is relatively simple, ethnic surname dictionaries are much more complicated and require considerable effort to develop. The statewide database uses two such surname dictionaries, an Asian and a



Latino, which are published by the Census Bureau (a third dictionary, that of "Jewish" surnames, was developed by a political consulting firm in the late 1970s). Documentation on the Asian surname dictionary can be found in "Asian American ethnic identification by surname," Diane S. Lauderdale & Bert Kestenbaum, *Population Research and Policy Review* 19: 283-300, 2000. The Spanish-surnamed dictionary is referred to as the Passel-Word (PW) Spanish surname list, and is documented at: <https://www.census.gov/library/working-papers/1993/demo/POP-twps0004.html>

Matching with these surname dictionaries is similar in concept for that of a gender dictionary, but somewhat more complicated. For the Asian surname dictionary, for example, there are six different ethnicities a name can be assigned to (Korean, Japanese, Chinese, Indian, Vietnamese, and Filipino). For the Spanish surname dictionary, aside from direct last name to last name matching, various manipulations are made to surnames in order to fit them into the list.

The five basic categorizations of partisan affiliation, age, ethnicity, gender, and time since registration can be combined into multiple categorizations. For example, the various ethnic/ racial classifications are combined with partisan affiliation to create ethnicity by party. Age, gender, and partisan affiliation are combined to create counts by, say, Democratic males between 45 and 54 (inclusive). Partisan affiliations at the time of registration are used to create variables such as the number of Declined to State voters who registered after the second to last general election. Once again, when these multiple categorizations are created, an assignment of a voter is made to one and only one of the sub-categorizations of the multiple categorization set. For example, if a voter is a Democratic Chinese male, then only the sub-categorization Democratic Chinese would be assigned a value and all other sub-categorizations would be zero.

The complete list of variables derived from the registered voter lists is given in appendix "Registration data".

## **Election Data**

Election data in the statewide database include results from 22 statewide elections held in California over the last decade. These elections are the general elections in 2002, 2004, 2006, 2008, 2010, 2012, 2014, 2016, 2018, and 2020; the primary elections in 2004, 2006, 2008, 2010, 2012, 2014, 2016, 2018, and 2020; the presidential primary in 2008; the gubernatorial recall election in 2003; and the special election in 2005. General elections are referred to by the letter g and the last two digits of the year it occurred (so g02, g04, g06, g08, g10, g12, g14, g16, g18, g20), primary elections similarly (so p04, p06, p08, p10, p12, p14, p16, p18, p20), and the other elections have an s and the year (so s03 for the gubernatorial recall, s05 for the special statewide election called by Governor Schwarzenegger, and s08 for the presidential-only primary in February of 2008).

The contests contained in the database consist of those pertaining to statewide constitutional offices, federal offices, state and federal legislative districts, and

statewide propositions, initiatives, and referenda. Merging election results to census geography is complicated and is described in its own section ("Disaggregation of Precinct Voting Results into Census Geography").

Election results are reported by statement of vote (SOV) precinct. The nature of SOV precincts has changed over the last decade with respect to absentee voting (also known as mail voting), and an understanding of these changes is important for knowledge of how to use the database. One important trend in California has been the rise of absentee voting, so that in current elections, an absentee participation rate of fifty percent or above is not atypical. In recognition of this fact, the Legislature passed a law before the 2008 elections requiring that absentee voters in a particular physical precinct must also have their electoral results reported in a separate precinct associated with that physical precinct. Thus for every voting precinct with polling place results, there is an additional precinct with voting results for those voters in that voting precinct who voted absentee. Before 2008, these absentee voters were often lumped together into common "ballot group" precincts, that is, a precinct reporting the election results of a group of voters who all share the same type of ballot and consisting of absentee votes for multiple precincts. Thus for counties which did not have an associated absentee precincts for each polling place precinct, SOV data for absentees is not allocated to geography.

Although, some counties did report absentee results by precincts which corresponded with polling place precincts before 2008, the largest counties in the state (Los Angeles, Orange, San Diego) did not. This has an effect on the allocation of voting results to census geography, which will be discussed in the section on "Disaggregation of Precinct Voting Results to Census Geography". But as a consequence, the vote totals for state elections will be a poor match for these elections previous to 2008, as these ballot group absentees are not used in the disaggregation. Even the vote totals past 2008 will not be an exact match since absentee precincts still exist. A case would be federal voters, since federal law allows one to register to vote for federal elections seven days before the election, rather than the 15 days required in California. But these types of absentee precincts have many fewer voters than in the ballot group precincts and the totals will be much closer for post-2006 elections than pre-2008 elections.

## Creating a Common Geography

It is necessary to put the census, registration, and electoral data into a common unit of geography in order to use the database. These uses are varied: for example, census data at the census block level are used for redistricting, and election data at the voting precinct level are used for Voting Rights Act analysis along with ethnicity at the registration precinct level. And of course the Voting Rights Act analyses are also used in redistricting, so there must be a way of associating the results of the Voting Rights Act analysis to the census block.

This association of census, registration, and election results into units which can be used for redistricting is a central function of the statewide database. For redistricting purposes, this association is best done at the census block level, as various court cases have held that districts must meet certain population deviation requirements. These requirements are most easily met by performing redistricting by census blocks (and their aggregates, block groups and tracts), and associating other data, such as those used for Voting Rights Act compliance, to the census blocks.

The simplest manner of creating a dataset at the census block level would be to overlay the registration and voting precinct geographies on the census data. As the following figure makes clear, this will not produce a very accurate dataset. The figure shows a census block illustrated in dark orange and its intersection with various registration precincts (demarcated by red lines). As can be seen, any overlay of registration geography to census geography would result in large inaccuracies.

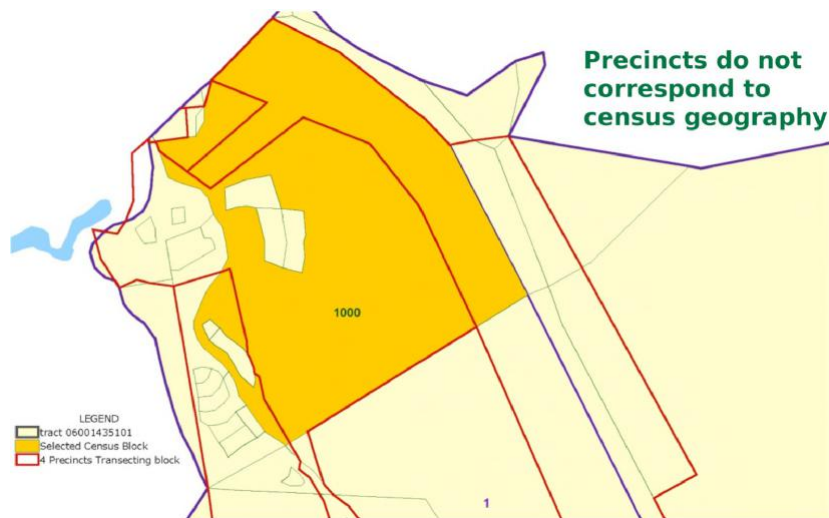


Figure 3: Precincts and Geography

To overcome the problem of using geographic overlays to create a merged dataset of census, registration and election data, then, the individual is treated as the unit of association. What all three types of geography have in common is that they describe individuals. For the census data, individuals are described only at the block level, and for electoral data, they are described at the voting precinct level. Only for the registration data are data on the individual available. The following sections explain, given these restrictions, how the merged dataset of census, registration and election data are constructed. The primary methods used are geocoding for registration data and ecological regression for election data, which are described in detail below.

## Placing of Precinct Registered Voters into Census Geography

Registered voters are placed in census blocks by the process known as geocoding. Geocoding is the process of using address files which cross-reference addresses to census geography to assign the address of a registered voter to a particular census block. This assignment is never perfect, and so there are registered voters who are unassigned through geocoding who must still be assigned to a census block.

This is done in the following manner. First, equivalencies of precincts to census geography are created. This process involves taking precinct geography and overlaying it on the census geography. This overlaying is done on Geographic Information Systems (GIS) and adjustments to the two mapping systems due to different coordinate systems, different base maps, and various other factors are made by hand.

This overlay between precinct geography and census geography provides a list, for every precinct, of the census blocks which totally or partially fall into the precinct. These lists can then be used to assign registered voters to a census block, for registered voters who were not assigned through geocoding. This assignment is done through the criteria of attempting to equate for all blocks, as closely as possible, the ratio of registration to population.

This can be reformulated as a constrained optimization problem as follows. Let  $b$  be a census block in a unit of geography being balanced (one way to think of this problem is as balancing the ratios of registration to population among the blocks), and let there be  $B$  blocks. Let  $s$  be a precinct, and let  $a_{sb}$  be the assigned registration through geocoding of precinct  $s$  in block  $b$ , and let  $u_{sb}$  be the unassigned registration in precinct  $s$  and block  $b$ . The  $u_{sb}$  are the unknowns to be solved for, and they satisfy

$$r_s = \sum_{b \in r} (a_{sb} + u_{sb}), \quad u_{sb} > 0,$$

where  $r_s$  is the registration in precinct  $r$ . This says simply that all of the registration, either assigned through geocoding or through equating ratios, must sum to the total registration in the precinct. Given this constraint, then, the optimization problem becomes to find a set of  $u_{rb}$  such that

$$\frac{\sum_{r \in b} (a_{rb} + u_{rb})}{p_b} = \frac{\sum_{r \in c} (a_{rc} + u_{rc})}{p_c}, \quad \text{for all } b, c \in B$$

Such a set may not exist but then a formulation such as

$$\min \sum_{b,c} \left[ \frac{\sum_{r \in b} (a_{rb} + u_{rb})}{p_b} - \frac{\sum_{r \in c} (a_{rc} + u_{rc})}{p_c} \right]^2, \quad \text{for all } b, c \in B$$

can be adopted.

Table 2: Assignment of Unassigned Registration to Equate Registration/Population Ratios

|            | Assigned by Geocoding |        |        | Unassigned Allocations |        |        |
|------------|-----------------------|--------|--------|------------------------|--------|--------|
|            | Prec A                | Prec B | Prec C | Prec A                 | Prec B | Prec C |
| Block 2001 | 100                   | .      | .      | 50                     | .      | .      |
| Block 2002 | 50                    | 150    | .      | 25                     | 75     | .      |
| Block 2003 | .                     | 150    | .      | .                      | 30     | .      |
| Block 2004 | .                     | 100    | 60     | .                      | 25     | 20     |
| Block 2005 | .                     | .      | 125    | .                      | .      | 25     |

A simple example will illustrate this process. Suppose there are three precincts, A, B and C. There are five census blocks, 2001, 2002, 2003, 2004 and 2005. Block 2001 is totally contained within precinct A, 2002 is split between A and B, 2003 is totally within B, 2004 is split between B and C, and 2005 is totally within precinct C. There are 225 registered voters in precinct A, 535 in B, and 230 in C. Of those registered voters in A, 150 are assigned through geocoding and 75 are unassigned, for B, 400 are assigned through geocoding and 135 are unassigned, and in C, 185 are assigned through geocoding and 45 are unassigned. The population of block 2001 is 200, that of 2002 is 400, that of 2003 is 240, that of 2004 is 280, and that of 2005 is 200.

The above optimization equations can then be written as:

$$\begin{aligned}
 t_1 &= \frac{a_{A1} + u_{A1}}{p_1} \\
 t_2 &= \frac{a_{A2} + a_{B2} + u_{A2} + u_{B2}}{p_2} \\
 t_3 &= \frac{a_{B3} + u_{B2}}{p_3} \\
 t_4 &= \frac{a_{B4} + a_{C4} + u_{B4} + u_{C4}}{p_3} \\
 t_5 &= \frac{a_{C5} + u_{C5}}{p_5},
 \end{aligned}$$

where the  $t_i$  are the ratios of block 200*i*. Equating all of these gives a solution where the ratio of registration to population is for all blocks .75. The actual assignments are given in Table 1.

## Converting Registration and Electoral Data to census geography

The counties have registration (RG) and Statement of Vote or consolidated (SOV) precincts as well as ballot groups for each election. Registration statistics are reported by RG precinct and election results are reported by SOV precinct and/or ballot group (ABSPREC). The counties also report the grouping of RG

precincts in SOV precinct and Ballot group (although the ballot group reporting is inconsistent and incomplete).

The counties also provide maps or GIS files showing registration precinct geography, but the geographic representations do not necessarily match the RG precincts for one or more of the following reasons:

1. Zero-voter precincts not included in tabular data.
2. County has precinct and subprecinct RG precincts and consolidations, but maps don't show subprecinct geography.
3. County has alpha-split precincts, separate RG precincts with common geography; voters separated alphabetically.
4. Unexplained inconsistency or incomplete maps from the counties.

We create map precincts (MPREC) to reflect the geography as consistently as possible. RR precincts are aggregations of RG precinct (tabular data) into MPRECs (geographic). (Generally speaking, Map Precincts are RR precincts.)

Because the resulting RR precincts may include RG precincts that are consolidated into different SOV precincts, we create a geographic consolidation known as SR precincts to contain whole RR and SOV precincts. These precinct conversions are used in database construction to estimate probabilities of voter propensities (see next section on "Disaggregation of Precinct Voting Results to Census Geography"). They can also be used by database users to perform analyses of racially polarized voting.

## Disaggregation of Precinct Voting Results to Census Geography

The method of allocating (or breaking down, or disaggregating) votes to census geography is done by assigning an individual probability to each voter who voted in the election and aggregating these probabilities to the census geography (the block, at the lowest level), to obtain a total vote for the block. This is done with the following methodology.

- Partition voters into groups. There are technical reasons why these groups should be "homogeneous," which is a statistical concept for how well the voting behavior fits a statistical law (in this case the multinomial distribution—see below). In general, in California, we use Democrat/Republican/Independent as the groups, with provisions for the variation of minorities and economic status (see next item). If there are  $P$  precincts, then  $X_{gi}$  is the number of voters in group  $g$ ,  $g = 1, \dots, G$  in precinct  $i$ ,  $i = 1, \dots, P$ .
- Estimate the overall voting probabilities in the state/district. The probability of a member of group  $g$  voting for a candidate in precinct  $i$  is denoted

by  $p_{gi}$ , and if  $v$  is the votes for that candidate, an equation similar to the following is used to estimate  $p_{gi}$ :

$$\operatorname{argmin} \sum_{i=1}^P (v_i - \sum_g X_g p_{gi})^2,$$

where the argmin is taken over the  $p_{gi}$  (in actual fact a more complicated optimization is used but it will produce results close to this equation—at times a suitable estimate is used rather than performing this estimation, depending upon the contest and the difficulty of estimating).

There are too many  $p_{gi}$  to estimate each individual  $p_{gi}$ , so an average  $p_{gi}$  is estimated instead. The average used here is of the form  $p_{gi} = p_g(z_i, \tau)$ , where  $\tau$  is a conformable vector to a set of characteristics  $z_i$  for precinct  $i$  (which is how one would include variations in minorities or economic status). Note that for a district contest, each estimation should be done for each district by itself (or suitably modified, with the use of dummy variables), whereas statewide contests can usually be estimated with all precincts.

- Adjust estimated probabilities to the precinct. The method of estimation described above does not ensure that the estimated precinct totals equal the actual precinct totals on a precinct by precinct basis (though the overall estimation is done so that the estimated district/state totals do match the overall district/state totals). The standard statistical methodology for adjusting estimations is followed, where a  $\tilde{p}$  is estimated such that  $v_i = \sum_g X_{gi} \tilde{p}_{gi}$ . This  $\tilde{p}_i$  (which is a  $G$  by 1 vector) is estimated by

$$\tilde{p}_i = E[\hat{p}_i | v_i] \approx p(z_i, \hat{\tau}) + \operatorname{Cov}[K_i | v_i] [\operatorname{Var}[v_i]]^{-1} [v_i - \sum_g X_{gi} p(z_i, \hat{\tau})],$$

where the  $K_i$  is the response count of the groups for the  $i^{\text{th}}$  precinct, with the  $(K_{1i}, \dots, K_{Gi})$  being distributed multinomially (some distributional assumptions must be made in order to estimate the covariance of  $K_i$  with  $v_i$ ).

These  $\tilde{p}_i$ 's allocate all of the votes for a candidate in each precinct to the individual voters in that precinct. Thus the sums of these votes by census block by all census blocks will equal the sum of the vote for the candidate. For a census block split between precincts (say precinct A and B), those voters in precinct A will have an assigned voting propensity of  $\tilde{p}_A$  and those in precinct B will have an assigned voting propensity of  $\tilde{p}_B$ .

As an example, consider a two-precinct district as described in table 3 (in this table, quantities are suppressed for units in which they do not make sense). The two precincts in the district, A and B, each have a block wholly contained in the precinct (1001 for A and 1003 for B) and share a block, 1002. There are two groups in the electorate,  $X_1$  and  $X_2$ . Through geocoding, it is known how

Table 3: Example of Disaggregation in a Two-precinct District

| Precinct | $v$ | $\hat{v}$ | Block | $X_1$ | $\hat{p}_1$ | $\tilde{p}_1$ | $\hat{v}_1$ | $X_2$ | $\hat{p}_2$ | $\tilde{p}_2$ | $\hat{v}_2$ |
|----------|-----|-----------|-------|-------|-------------|---------------|-------------|-------|-------------|---------------|-------------|
| A        |     | 150.0     | 1001  | 100   |             | .2            | 20.0        | 200   |             | .65           | 130.0       |
| A        |     | 80.0      | 1002  | 50    |             | .2            | 15.0        | 100   |             | .65           | 65.0        |
| A        | 230 | 230.0     |       | 150   |             | .2            | 35.0        | 300   |             | .65           | 195.0       |
| B        |     | 56.5      | 1002  | 100   |             | .34           | 34.0        | 50    |             | .45           | 22.5        |
| B        |     | 73.5      | 1003  | 150   |             | .34           | 51.0        | 50    |             | .45           | 22.5        |
| B        | 130 | 130.0     |       | 250   |             | .34           | 85.0        | 100   |             | .45           | 45.0        |
| District | 360 | 360.0     |       | 400   | .3          |               | 120.0       | 400   | .6          |               | 240.0       |

many voters of each group is within each block and what precinct each voter is in, which is known through the registered voter rolls. The number of votes cast for a candidate ( $v$ ) is known at the precinct level.

Estimated quantities are an overall probability of each group to vote for the candidate ( $\hat{p}_1$  for group  $X_1$  and  $\hat{p}_2$  for group  $X_2$ ) and then the adjusted probabilities ( $\tilde{p}_1$  for group  $X_1$  and  $\tilde{p}_2$  for group  $X_2$ ) chosen by the method described above in "Adjust estimated probabilities to the precinct". This then gives, for each precinct/block combination, an estimated vote by group ( $\hat{v}_1$  for  $X_1$  and  $\hat{v}_2$  for  $X_2$ ). Finally, the sum of  $\hat{v}_1$  and  $\hat{v}_2$  can be calculated, providing a  $\hat{v}$  for each precinct/block combination and a check that, indeed, the allocated (or disaggregated) vote does equal the actual vote for each precinct.

For a block split between two (or more) precincts, these estimated totals can be added up across precinct/block combinations which contain that block to obtain totals for the block. For example, in block 1002 in Table I, there are 49 votes from group 1 for the candidate, 87.5 from group 2 for the candidate, for a total of 146.5 votes for the candidate.

## Summary of P.L. 94-171 and CVAP Adjustments

For the 2020 Census, California is required to adjust the P.L. 94-171 data by allocating data from individuals incarcerated in state correctional facilities back to their last known residential address, as well as by excluding data from individuals incarcerated in federal correctional facilities. For purposes of this documentation, a "state correctional facility" means a facility under the control of the Department of Corrections and Rehabilitation. In addition, the Statewide Database (SWDB) has also been requested to allocate as best as possible the Citizen's Voting Age Population (CVAP) to the 2020 census geography. The processes used to create both datasets are discussed below.



## **P.L. 94-171 Adjustments Summary**

Public Law 94-171 data consist of six "tables", with multiple entries for each table, including tabulations for total population, race, and ethnicity. These data are available at the level of the census block and can also be aggregated to larger units of analysis, such as the census tract. The California Department of Corrections and Rehabilitation (CDCR) has provided the SWDB with a list of persons incarcerated at state correctional facilities in the state of California and the last address of those persons prior to incarceration, if this address is available.

Election Code Section 21003 describes how data from persons enumerated at state correctional facilities are to be allocated to census geography at the level of the census block. The 2020 census enumerated these persons at the correctional facility in which they were incarcerated at the time of the scheduled census enumeration, and they are hence tallied in the census block of the correctional facility. Section 21003 specifies how these persons are to be removed from the census block associated with their place of incarceration and placed in the census block of their last known place of residence. This is done using the census address/block conversion system (the TIGER files) when a sufficiently complete address is available. When a sufficiently complete address is not available, this is done through random assignment to a census block that is part of the most restrictive level of census geography that can be determined from the incomplete address.

Adjustments are also made to account for persons who reside in census blocks that are associated with state correctional facilities but who are not themselves incarcerated, and also for persons in federal custody in facilities in California (this is described in the section "P.L. 94-171 Adjustments"). The final total population counts (pre and post adjustments) are as follows:

Table 4: Population counts for California

| Source                | Population |
|-----------------------|------------|
| US Census P.L. 94-171 | 39,538,223 |
| Adjusted P.L. 94-171  | 39,523,437 |

## **CVAP adjustments summary**

The Citizen's Voting Age Population (CVAP) special tabulation derives from a census product known as the American Community Survey (ACS), located at URL <https://www.census.gov/programs-surveys/acs>. These surveys ask for information on the citizenship of the respondent, albeit for a different time period than the P.L. 94-171 enumeration (CVAP data derive from survey responses over the period 2015-2019 as compared to one day for the P.L. 94-171). The surveys are also a subset of the population, being a survey, while the P.L. 94-171

attempts a complete enumeration of the population on a particular date.

Aside from the incompatibility of time periods and collection periods, the survey data are reported by units of the 2010 census geography whereas the P.L. 94-171 data are reported by units of the 2020 census geography. While the Census Bureau provides a conversion table, geographic conversions are typically inaccurate. Finally, as is demonstrated in the body of this documentation, even when errors cannot be ascribed to difficulties of geographical conversion, there are still fairly significant discrepancies between the CVAP figures and the P.L. 94-171 figures (see section "Creating 2010 Block Group to 2020 Block Conversions").

Similar to the P.L. 94-171 adjustment, CVAP adjustments are made for incarcerated persons. The final CVAP total citizen population counts in California (as well as P.L. 94-171 counts) are given in table 5 The following sections ("Data

Table 5: P.L. 94-171 and ACS Population counts

| Source                                   | Population |
|--|------------|
| P.L. 94-171 Population                   | 39,538,223 |
| Adjusted P.L. 94-171 Population          | 39,523,437 |
| ACS Population Estimate                  | 39,283,495 |
| ACS Citizen Population Estimate          | 34,187,375 |
| Adjusted ACS Citizen Population Estimate | 34,188,096 |

from Incarcerated Persons and P.L. 94-171 Adjustments" and "CVAP Data") explain how these numbers are obtained.

## Data from Incarcerated Persons and P.L. 94-171 Adjustments

### Input Data

A list of incarcerated persons was obtained from the California Department of Corrections and Rehabilitation (CDCR), this list being current on or about April 1, 2020. The data fields in this list were as follows: There are 122,730 unique ids in this list, from a total of 159,111 records. Ethnicities were provided and were recoded to approximately fit census categories, as indicated in table 7. It is assumed that all the incarcerated individuals in state facilities are 18 or older. Thus the same modifications made to table P2 are made in the same manner to table P4. Table 8 has the counts for the ethnicities of incarcerated persons, recoded to fit the census P.L. 94-171 categories.

### Geocoding Procedure

All incarcerated persons in state facilities (represented by unique ids) were to be placed in the most restrictive geography available. Ideally, each incarcerated

Table 6: Data fields of incarcerated person data

Unique ID  
GQ Name  
ETHNICITY  
Race  
Address Number  
Street Name  
Apt/Unit  
Rural Route Address  
City  
State  
ZipCode  
Effective Date  
Location Description  
Lifer  
County Of Last Legal Residence

person would have a sufficient address to be able to be placed in a census block using the Census Bureau's address block equivalency files (the TIGER files). As an (idealized) example, such a conversion file would have entries of the form: Thus an address of 124 N Elm St would be placed in census block 061170001002001 (the census block format is given in table 10) Addresses are unique within counties so a "complete" address would have an address number, a street name, and a county (street type and direction can also be specified—note that city and/or zip is not necessary for a complete address). The success rate of this geocoding is given in table 11.

### **Procedure for addresses unable to be geocoded**

The criteria for obtaining the most restrictive geographical area were implemented as follows in the following order for the 53,688 incarcerated persons who were not geocoded. The 59 who were geocoded to their place of incarceration were assigned to the State Match pool (see below).

- Extending the Address:

If an address was "complete" (street number, street name, county), but the street number did not have a block conversion (but the street name did and the county could be ascertained), then an attempt was made to match the address by finding the block closest to the street number. This was done in the following two steps:

- Address Match County

If an address had an address number, street name and county, a match was attempted on the closest TIGER conversion file entry of

Table 7: Counts by ethnicity of incarcerated persons with recoded census category

| ethnicity        | count(*) | recoded  |
|------------------|----------|----------|
| Filipino         | 412      | asian    |
| White            | 25322    | white    |
| Other            | 4828     | other    |
| Hispanic         | 38918    | latino   |
| Black            | 34718    | black    |
| Mexican          | 15428    | latino   |
| American Indian  | 1403     | amIndian |
| Vietnamese       | 239      | asian    |
| Pacific Islander | 163      | pacific  |
| Salvadorian      | 99       | latino   |
| Laotian          | 56       | asian    |
| Korean           | 57       | asian    |
| Other Asian      | 368      | asian    |
| Puerto Rican     | 98       | latino   |
| Thai             | 18       | asian    |
| Chinese          | 104      | asian    |
| Cuban            | 57       | latino   |
| Hawaiian         | 40       | pacific  |
| Japanese         | 25       | asian    |
| Samoan           | 148      | pacific  |
| Cambodian        | 89       | asian    |
| Guatemalan       | 61       | latino   |
| Guamanian        | 22       | pacific  |
| Indian           | 33       | asian    |
| Jamaican         | 4        | black    |
| Columbian        | 6        | latino   |
| Nicaraguan       | 11       | latino   |
| Unknown          | 3        | other    |

Table 8: Ethnicity recoding for compatibility with P.L. 94-171

| ethnicity | number | P2 variable | P4 variable |
|-----------|--------|-------------|-------------|
| latino    | 54678  | P0020002    | P0040002    |
| black     | 34722  | P0020006    | P0040006    |
| white     | 25322  | P0020005    | P0040005    |
| other     | 4831   | P0020010    | P0040010    |
| amIndian  | 1403   | P0020007    | P0040007    |
| asian     | 1401   | P0020008    | P0040008    |
| pacific   | 373    | P0020009    | P0040009    |

Table 9: Example of idealized address to census block conversion

| start | stop | street | type | direction | parity | block           |
|-------|------|--------|------|-----------|--------|-----------------|
| 100   | 198  | Elm    | St   | N         | even   | 061170001002001 |

Table 10: Census block code format

| digits | field description   |
|--------|---|
| 1-2    | State (06 for California)                                     |
| 3-5    | County (FIPS code–Federal Information Processing System code) |
| 6-11   | Tract   |
| 12-12  | Block Group   |
| 12-15  | Block   |

address to block. This could fail if the street was not in the TIGER conversion file.

If this was not successful, then the following was tried:

- Address Match City

If an address had an address number, street name and no county, but did have a city, the city was placed in a county and the procedure under "Address Match County" was followed. Once again, the street needed to be valid.

- City Match:

If the proceeding two steps under Extending the Address failed, and if the city was present and valid, assignment was made to a randomly selected block within the city. This randomization was proportional to the population of the block—that is, if block A has twice the population of block B, then block A has twice the probability of being selected as the block of the incarcerated person as block B. Formulaically,

$$\text{Pr [block A being chosen]} = \frac{\text{Population of block A}}{\sum \text{Population of all blocks in city}}$$

- County Match:

Table 11: Geocoding status of addresses for incarcerated persons

|         |                                    |
|---------|------------------------------------|
| 69,042  | successfully geocoded              |
| 53,688  | not geocoded                       |
| 122,730 | total                              |
| 59      | geocoded to place of incarceration |

Table 12: Incarcerated person assignments by succeeding steps

| Street | Specification |     |        | Initial | Address Match |       | City Match | County Match |
|--------|---------------|-----|--------|---------|---------------|-------|------------|--------------|
|        | City          | Zip | County |         | County        | City  |            |              |
| N      | N             | N   | N      | 6034    | 6034          | 6034  | 6034       | 6034         |
| N      | N             | N   | Y      | 32342   | 32342         | 32342 | 32342      | 122          |
| N      | Y             | N   | N      | 20      | 20            | 20    | 20         | 20           |
| N      | Y             | N   | Y      | 19      | 19            | 19    | 15         | 0            |
| N      | Y             | Y   | N      | 3       | 3             | 3     | 2          | 2            |
| N      | Y             | Y   | Y      | 77      | 77            | 77    | 14         | 0            |
| Y      | Y             | N   | N      | 399     | 399           | 399   | 366        | 366          |
| Y      | Y             | N   | Y      | 1539    | 1172          | 1167  | 601        | 36           |
| Y      | Y             | Y   | N      | 859     | 859           | 859   | 459        | 459          |
| Y      | Y             | Y   | Y      | 12396   | 7806          | 7737  | 603        | 6            |

\*A field being specified does not mean that it is valid

If the proceeding steps failed to make an assignment, an assignment to a county was attempted if the county was specified. The randomization method is the same as with city, but here the probability of a block in the county was calculated using the population of the entire county.

$$\Pr [\text{block A being chosen}] = \frac{\text{Population of block A}}{\sum \text{Population of all blocks in county}}$$

- State Match:

If the proceeding steps failed to make an assignment, an assignment was made to all blocks in the state. The randomization method is the same as with city or county, but here the probability of a block in the state was calculated using the population of the entire state.

$$\Pr [\text{block A being chosen}] = \frac{\text{Population of block A}}{\sum \text{Population of all blocks in state}}$$

The 59 incarcerated persons geocoded to the census block of their incarceration were allocated by this method.

It should be noted that city, county, and state match are randomly assigning the address to the most restrictive geography.

Incarcerated person assignments remaining to be made after each succeeding step of the algorithm, by input address specification:

In this table, the initial column provides the breakdown of the 53,688 who could not be geocoded. For the first step (Extending the Address: Address Match County), 4,597 are assigned [(12396-7806) + (1539 - 1172)]. Relatively few are

Table 13: Geographical assignment type counts for incarcerated persons

| type     | number |
|----------|--------|
| geocoded | 68983  |
| street   | 5031   |
| city     | 8183   |
| county   | 33411  |
| state    | 7122   |

assigned using the city in place of the county (74 in Extending the Address: Address Match City). Note the zip code field is in the specification but corrections based on the zip code substitution are not made part of the algorithmic process, as there were so few specified and the Address Match City returned so few matches. Finally, the City Match part of the algorithm has thousands of matches and the County Match has tens of thousands. Any unassigned incarcerated persons after the County Match (and the 59 with correctional facility geocoded addresses) are handled by the State Match part of the algorithm, so that all incarcerated persons are placed in a census block. The 122,730 incarcerated persons are assigned to 81,648 blocks.

The final totals for all the categories of assignments are given in table 13 (in this table, street combines Address Match County and Address Match City): The state pool, having the least geographic specificity, was the pool chosen when incarcerated persons were removed due to the CDCR reporting more incarcerated persons than were enumerated by the census (see section "P.L. 94-171 Adjustments").

## Allocation

Data on incarcerated persons obtained from the California Department of Corrections and Rehabilitation (CDCR) included an address (with varying levels of completeness) and an ethnicity. The P.L. 94-171 census data for population come in five tables. Tables P1 and P3 are organized by race and are not suited for updating with incarcerated populations, who are classified in the CDCR data with a combined race/ethnicity variable. Tables P2 and P4 are of a form that lend themselves to a straight-forward conversion from the CDCR race/ethnicity variable and these are the tables that are updated. Table P5 deals with population in group quarters and while this table is not adjusted, it is used in the adjustment process.

The census geography from which incarcerated persons are to be reallocated is as follows.

- Census blocks were designated as state correctional facility blocks, primarily on the basis of actual state correctional facility locations but with some additions of blocks that had incarcerated individuals who were not in

Table 14: Assignment of incarcerated persons to census block type

| All incarcerated persons |        | Incarcerated persons minus deleted |        | Difference |
|--------------------------|--------|------------------------------------|--------|------------|
| type                     | number | type                               | number |            |
| geocoded                 | 68983  | geocoded                           | 68983  | 0          |
| street                   | 5031   | street                             | 5031   | 0          |
| city                     | 8183   | city                               | 8183   | 0          |
| county                   | 33411  | county                             | 33411  | 0          |
| state                    | 7122   | state                              | 6785   | 337        |

county facilities (P.L. 94-171 Table 5, variable 3 (P0050003)). Thus each correctional facility had one or more census blocks associated with it (see section "Correctional Facility Census Block Adjustment" for the blocks modified).

- If there was a greater population (P.L. 94-171 Table P2, variable 1 (P0020001) than group quarters (P0050003) the population of that block was set to P0020001 minus P0050003.
- Allocations of ethnicity for this remainder population was done on the basis of the underlying census categories for the entire census block.
- There were 337 additional incarcerated persons in the CDCR list compared with the census enumeration, defined as the total from the CDCR list (122,730) minus the group quarters variable P0050003 (122,393). These additional incarcerated persons were randomly removed from the type referred to as "state" in the below table (and described under "State Match" in section "Allocation of Incarcerated Persons"), as this "state" assignment was randomly made (exact procedures for the allocation of incarcerated persons to the most restrictive geographic area are described in section "Allocation of Incarcerated Persons").
- Due to the lack of data on last known residential address, individuals in federal custody who lived in group quarters (P0050003) were removed from the adjusted P.L. 94-171 data. The non-group quarters population in the federal facility blocks (see section "Correctional Facility Census Block Adjustment") was kept in the adjusted P.L. 94-171 (there were 67 such people).
- The adjusted population total for California is thus equal to
 

P0020001 - Persons in Federal Custody

 and the additions and subtractions to obtain this figure are as follows:
  - There were two versions of the adjusted P.L. 94-171 released by the SWDB— one on September 20 and another on September 27. There were two differences—first, adjustments were made to tables 2 and 4 of the adjusted



Table 15: Calculation of final P.L. 94-171 population figures

|            |  |
|------------|--|
| 39,538,223 | Original P.L. 94-171 Count for P0020001  |
| 122,393    | Group Quarters in state correctional facility blocks (removed from P.L. 94-171)              |
| <hr/>      |  |
| 39,415,830 | P.L. 94-171 Count after group quarters removed   |
| 122,730    | Number of incarcerated persons   |
| 122,393    | Group Quarters in state correctional facility blocks   |
| <hr/>      |  |
| 337        | Additional incarcerated persons from CDCR list (to be removed randomly from the allocated in |
| 39,538,223 | P.L. 94-171 Count with incarcerated persons added  |
| 14,786     | Group Quarters in federal correctional facility blocks (removed from P.L. 94-171)            |
| <hr/>      |  |
| 39,523,437 | Final P.L. 94-171 count  |

Table 16: Incarcerated person ethnicity breakdown before and after deletions

| All incarcerated persons |         | Incarcerated persons minus deleted |         |            |
|--------------------------|---------|------------------------------------|---------|------------|
| Classification           | Number  | Classification                     | Number  | Difference |
| latino                   | 54,678  | latino                             | 54,527  | 151        |
| black                    | 34,722  | black                              | 34,638  | 84         |
| white                    | 25,322  | white                              | 25,270  | 52         |
| other                    | 4,831   | other                              | 4,795   | 36         |
| amIndian                 | 1,403   | amIndian                           | 1,396   | 7          |
| asian                    | 1,401   | asian                              | 1,395   | 6          |
| pacific                  | 373     | pacific                            | 372     | 1          |
| total                    | 122,730 | total                              | 122,393 | 337        |

data so the equated quantities in the unadjusted P.L. 94-171 for these tables were maintained in the adjusted data (for example, P0020001 = P0020002 + P0020003). Second, the random selection of additional incarcerated persons, to account for the CDCR reporting 337 more incarcerated persons than the census, was a different random selection than the previous. These additional incarcerated persons were selected from the randomized assignment pool (the state match pool—see section "Allocation of Incarcerated Persons").

- The race/ethnicity breakdowns from the incarcerated person data (before and after deletions) are given in the table below. This is a condensation of the reported categories from the CDCR to fit tables P2 and P4 from the P.L. 94-171 data (the condensation is described in section "Ethnicity of Incarcerated Persons").

## Correctional Facility Census Block Adjustment

The procedure for allocating data about incarcerated persons to their last known residential address requires identifying census blocks that have adults incarcerated in correctional facilities (P.L. 94-171 Table P5, variable number 3 – P0050003). All blocks with non-zero P0050003 are included in the allocation procedure. The correspondence between the physical location of correctional facilities as reported by the CDCR and the location of non-zero P0050003 census blocks is not exact, but in general there is a relatively close geographic agreement between them. Some non-zero P0050003 census blocks were reported at a greater distance, however, making locating and matching them a nontrivial task. The count of incarcerated persons reported by the CDCR likewise did not exactly match the count reported in the Census P.L. 94-171 Table P5. The reasons for this are likely due to the Census Bureau's new privacy methodologies, in particular the use of Differential Privacy, in addition to Census Bureau errors in geocoding and with group quarters data reporting in general. Where this was the case, the reallocation procedure relied on the reported data in Table 5 of the P.L. 94-171 to make the adjustments.

Tables 17, 18, and 19 list census blocks associated with state correctional facilities. There are two facilities that have a "null" block of 0000000000000000: PRMCCF-Golden State and the "Legal Processing Unit". These are facilities which may have incarcerated persons in the list provided by the CDCR but do not have specified physical locations (PRMCCF-Golden State is the Female Community ReEntry Facility).

## CVAP Data

The latest CVAP (Citizen Voting Age Population) data available from the Census Bureau were from the 2015-2019 ACS. These data are reported by the block group from 2010 census geography. There are 14 data "lines" for each block group (displayed in table 21).

A "line" is the Census Bureau's description of the four data, displayed in table 22. The two data that are of primary interest are the `cit_est` and the `cvap_est`.

In the ACS there are 23,212 block groups. These block groups are in 2010 geography. To convert between 2010 and 2020 geography, a conversion file provided by the Census Bureau is used. Certain block groups in the 2010 ACS exist under different designations than in this 2010 to 2020 conversion file. A conversion is made between these designations for the 2010 ACS and then the converted block designations are treated the same as all other blocks in the 2010 data.

where the replacement block group is in the 2010 to 2020 conversion file while the replaced block group is what is in the ACS. A full list of 2010 replaced blocks in the ACS is below. Once these blocks are renamed, they can then be used as

Table 17: Census blocks adjusted due to state correctional facilities-1

| Census block    | Prison  |
|-----------------|---|
| 060319818001000 | Avenal State Prison                           |
| 060855120052006 | Avenal State Prison                           |
| 060290065002618 | California City Correctional Facility         |
| 060372035001009 | California City Correctional Facility         |
| 060372971101013 | California City Correctional Facility         |
| 060350404002006 | California Correctional Center                |
| 060290060021000 | California Correctional Institution           |
| 060014340003003 | California Correctional Institution           |
| 060770051311007 | California Health Care Facility - Stockton    |
| 060710005041028 | California Institution for Men                |
| 060710122021007 | California Institution for Men                |
| 060710122012012 | California Institution for Men                |
| 060710122021003 | California Institution for Men                |
| 060710019071004 | California Institution for Women              |
| 060710098001017 | California Institution for Women              |
| 060952530001001 | California Medical Facility                   |
| 060170312001028 | California Medical Facility                   |
| 060290016002083 | California Medical Facility                   |
| 060790114001000 | California Men's Colony                       |
| 060372312201007 | California Men's Colony                       |
| 060650466011001 | California Rehabilitation Center              |
| 060375307001034 | California Rehabilitation Center              |
| 060319801001002 | California State Prison, Corcoran             |
| 060379010031002 | California State Prison, Los Angeles County   |
| 060374822011009 | California State Prison, Los Angeles County   |
| 060679883001003 | California State Prison, Sacramento           |
| 060375780004010 | Folsom State Prison                           |
| 060952530001007 | California State Prison, Solano               |
| 060730100053003 | California State Prison, Solano               |
| 060319801001004 | California Substance Abuse Treatment Facility |
| 060250101011274 | Calipatria State Prison                       |
| 060250101011115 | Calipatria State Prison                       |
| 060375331083002 | Calipatria State Prison                       |
| 060150002031222 | CCC-Alder Camp                                |
| 060350404002002 | CCC-Antelope Camp                             |
| 060871202002042 | CCC-Ben Lomond Camp                           |
| 060871224021016 | CCC-Ben Lomond Camp                           |
| 060450103005066 | CCC-Chamberlain Creek Camp                    |
| 060930007012059 | CCC-Deadwood Camp                             |
| 060952535013187 | CCC-Delta Camp                                |

Table 18: Census blocks adjusted due to state correctional facilities-2

| Census block    | Prison                              |
|-----------------|-------------------------------------|
| 060490003001326 | CCC-Devils Garden Camp              |
| 060230115012058 | CCC-Eel River Camp                  |
| 060330006023071 | CCC-Eel River Camp                  |
| 060230111003084 | CCC-High Rock Camp                  |
| 060350401001126 | CCC-Intermountain                   |
| 060372324021001 | CCC-Intermountain                   |
| 061030001001291 | CCC-Ishi Camp                       |
| 060710121014108 | CCC-Ishi Camp                       |
| 060330009012016 | CCC-Konocti Camp                    |
| 060450103005097 | CCC-Parlin Fork Camp                |
| 061030003003220 | CCC-Salt Creek Camp                 |
| 060890126061146 | CCC-Sugar Pine Camp                 |
| 061050001021118 | CCC-Trinity Camp                    |
| 060375990002007 | CCC-Trinity Camp                    |
| 060030100001048 | CCC-Trinity Camp                    |
| 060210103001010 | CCC-Valley View Camp                |
| 060570008012037 | CCC-Washington Ridge Camp           |
| 060250123012161 | Centinela State Prison              |
| 060390002011025 | Central California Women's Facility |
| 060371133012014 | Central California Women's Facility |
| 060390002011024 | Central California Women's Facility |
| 060659810001001 | Chuckawalla Valley State Prison     |
| 060659810001003 | Ironwood State Prison               |
| 060659810001002 | Ironwood State Prison               |
| 060378004061009 | CIW-Malibu Camp                     |
| 060375436011003 | CIW-Malibu Camp                     |
| 060730209033065 | CIW-Puerta La Cruz                  |
| 060730190021001 | CIW-Rainbow Camp                    |
| 060371959031002 | Community Prisoner Mother Program   |
| 060530109001002 | Correctional Training Facility      |
| 060372347004000 | Correctional Training Facility      |
| 060371064071000 | Correctional Training Facility      |
| 060375780004011 | Correctional Training Facility      |
| 061110075131001 | Correctional Training Facility      |
| 060372088012000 | Correctional Training Facility      |
| 060530109001006 | Correctional Training Facility      |
| 060779800001000 | Deuel Vocational Institution        |
| 060770031161004 | Deuel Vocational Institution        |
| 060290047032003 | Female Community ReEntry Facility   |
| 000000000000000 | PRMCCF-Golden State                 |
| 060350404002001 | High Desert State Prison            |

Table 19: Census blocks adjusted due to state correctional facilities-3

| Census block    | Prison                           |
|-----------------|----------------------------------|
| 060290046011001 | Kern Valley State Prison         |
| 060290046031000 | North Kern State Prison          |
| 060290019023020 | North Kern State Prison          |
| 000000000000000 | Legal Processing Unit            |
| 060050003012002 | Mule Creek State Prison          |
| 060050003012007 | Mule Creek State Prison          |
| 060150002013066 | Pelican Bay State Prison         |
| 060190079032083 | Pleasant Valley State Prison     |
| 060290050051016 | PUMCCF-Delano                    |
| 060290040011038 | PUMCCF-Shafter                   |
| 060290033043168 | PUMCCF-Taft                      |
| 060730100161015 | RJ Donovan Correctional Facility |
| 060730123021013 | RJ Donovan Correctional Facility |
| 060670020001001 | Sacramento Control Office        |
| 060670052051025 | Sacramento Control Office        |
| 060670006001011 | Sacramento Control Office        |
| 060670053011046 | Sacramento Control Office        |
| 060530109001001 | Salinas Valley State Prison      |
| 060411212002004 | San Quentin State Prison         |
| 060411220001007 | San Quentin State Prison         |
| 060379108153144 | SCC-Acton Camp                   |
| 061090052011010 | SCC-Baseline Camp                |
| 060650444071025 | SCC-Bautista Camp                |
| 060379304003047 | SCC-Fenner Camp                  |
| 060379200501181 | SCC-Francisquito Camp            |
| 060530109001015 | SCC-Gabilan Camp                 |
| 060170306062038 | SCC-Growlersburg Camp            |
| 060379304002183 | SCC-Holton Camp                  |
| 060379304003187 | SCC-Julius Klein Camp            |
| 060730209021044 | SCC-La Cima Camp                 |
| 060730209021092 | SCC-La Cima Camp                 |
| 060730211021027 | SCC-McCain Valley Camp           |
| 060190064102039 | SCC-Miramonte Camp               |
| 061070027011022 | SCC-Mountain Home Camp           |
| 060430001014058 | SCC-Mt. Bullion Camp             |
| 060710115001114 | SCC-Oak Glen Camp                |
| 060270002001117 | SCC-Owens Valley Camp            |
| 060710108061000 | SCC-Pilot Rock Camp              |
| 060710122021006 | SCC-Prado Camp                   |
| 060090001223038 | SCC-Vallecito Camp               |
| 061110093002111 | SCC-Ventura Conservation Camp    |
| 061070020091000 | SHS-Atascadero State Hospital    |
| 060190011002042 | SHS-Coalinga State Hospital      |
| 060710041032019 | SHS-Patton State Hospital        |
| 061099852021000 | Sierra Conservation Center       |
| 060390002011026 | Valley State Prison              |
| 060290043021001 | Wasco State Prison               |
| 060290005043008 | Wasco State Prison               |
| 060371902012004 | Wasco State Prison               |
| 060371895022000 | High Desert State Prison         |
| 060375042002035 | SCC-Holton Camp                  |

Table 20: Census blocks adjusted due to federal correctional facilities

| Census block    | Prison              |
|-----------------|---------------------|
| 060014501021046 | FCI Dublin          |
| 060190083041101 | FCI Mendota         |
| 060350406002032 | FCI Herlong         |
| 060372074001029 | MDC Los Angeles     |
| 060379800311015 | FCI Terminal Island |
| 060470005031174 | USP Atwater         |
| 060719802001033 | FCI Victorville     |
| 060730053021025 | MCC San Diego       |
| 060730053021030 | MCC San Diego       |
| 060839804001008 | FCI Lompoc          |
| 060839804001011 | USP Lompoc          |
| 060290033043171 |                     |

Table 21: ACS/CVAP ethnic breakdowns

| Line | Description  |
|------|--|
| 1    | Total  |
| 2    | Not Hispanic or Latino:  |
| 3    | American Indian or Alaska Native Alone                         |
| 4    | Asian Alone  |
| 5    | Black or African American Alone                                |
| 6    | Native Hawaiian or Other Pacific Islander Alone                |
| 7    | White Alone  |
| 8    | American Indian or Alaska Native and White                     |
| 9    | Asian and White  |
| 10   | Black or African American and White                            |
| 11   | American Indian or Alaska Native and Black or African American |
| 12   | Remainder of Two or More Race Responses                        |
| 13   | Hispanic or Latino   |

Table 22: ACS/CVAP data fields

| Field name | Description  |
|------------|--|
| CIT_EST    | The rounded estimate of the total number of United States citizens for that geographic area and group                          |
| CIT_MOE    | The margin of error for the total number of United States citizens for that geographic area and group                          |
| CVAP_EST   | The rounded estimate of the total number of United States citizens 18 years of age or older for that geographic area and group |
| CVAP_MOE   | The margin of error for the total number of United States citizens 18 years of age or older for that geographic area and group |

Table 23: Block Groups: 2010/2020 Block Conversion vs. 2010 ACS Geography

| replacement_bg | replaced_bg  | nblks |
|----------------|--------------|-------|
| 060378002043   | 060371370002 | 29    |
| 060379304011   | 060371370001 | 25    |
| 060379304011   | 060371370002 | 5     |

other 2010 blocks are used in the breakdown procedure.

Rather than refer to the CVAP line numbers, we use the names given in table 25

### CVAP adjustments

To adjust the CVAP data to the P.L. 94-171, it is necessary to create a conversion between the P.L. 94-171 tables and the CVAP lines. The relevant P.L. 94-171 variables are given in table 26.

The equivalencies between the CVAP data and the P.L. 94-171 data are given in the following table:

Table P2 is used because the CVAP data splits its sample between Hispanic or Latino and Not Hispanic or Latino, as does table P2.

A similar comparison can be made for citizen voting age population and over 18 by substituting in the appropriate tables (table P3 for P1 and table P4 for P2 for the P.L. 94-171, and cvap\_est for cit\_est for the ACS). These categories are used for breaking down the ACS data to the census block by first estimating an overall proportion for the entire block group for each of the CVAP variables (26 in total: 13 for citizen, 13 for citizen voting age) to the equivalent block group variables or combination of variables in the P.L. 94-171 data, and then using this estimated proportion for each census block within the block group, or, formulaically,

$$\begin{aligned} \text{estimated\_ratio} &= \text{cvap variable/pl94 variable at block group level} & (1) \\ \text{block\_cvap\_variable} &= \text{estimated\_ratio} * \text{pl94\_block\_variable} & (2) \end{aligned}$$

This procedure usually results in a close allocation of the CVAP to the 2020 census block geography. The closeness metric is defined with the following algorithm:

- Obtain the original CVAP population (line 1) at the 2010 block group level
- Create 2010 block group to 2020 block conversions from census files (geographic)

Table 24: 2010 Blocks Replaced in the ACS

| replacement_bg                | replaced_bg     |
|-------------------------------|-----------------|
| 060379304011000               | 060371370001001 |
| 060379304011001               | 060371370001002 |
| 060379304011002               | 060371370001003 |
| 060379304011003               | 060371370001004 |
| 060379304011004               | 060371370001005 |
| 060379304011005               | 060371370001006 |
| 060379304011007               | 060371370001007 |
| 060379304011008               | 060371370001008 |
| 060379304011009               | 060371370001009 |
| 060379304011010               | 060371370001010 |
| 060379304011011               | 060371370001011 |
| 060379304011012               | 060371370001012 |
| 060379304011016               | 060371370001013 |
| 060379304011017               | 060371370001014 |
| 060379304011019               | 060371370001015 |
| 060379304011020               | 060371370001016 |
| 060379304011021               | 060371370001017 |
| 060379304011022               | 060371370001018 |
| 060379304011023               | 060371370001019 |
| 060379304011024               | 060371370001020 |
| 060379304011025               | 060371370001021 |
| 060379304011026               | 060371370001022 |
| 060379304011027               | 060371370001023 |
| 060379304011028               | 060371370001024 |
| 060379304011029               | 060371370001025 |
| 060378002043001               | 060371370002001 |
| 060378002043002               | 060371370002002 |
| 060378002043003               | 060371370002003 |
| 060378002043004               | 060371370002004 |
| 060378002043005               | 060371370002005 |
| 060378002043006               | 060371370002006 |
| 060378002043007               | 060371370002007 |
| 060378002043008               | 060371370002008 |
| 060378002043009               | 060371370002009 |
| 060378002043010               | 060371370002010 |
| 060378002043011               | 060371370002011 |
| 060378002043012               | 060371370002012 |
| 060378002043013               | 060371370002013 |
| 060378002043014               | 060371370002014 |
| 060378002043015               | 060371370002015 |
| 060378002043016               | 060371370002016 |
| 060378002043017               | 060371370002017 |
| 060378002043018               | 060371370002018 |
| 060378002043019               | 060371370002019 |
| 060378002043020 <sub>32</sub> | 060371370002020 |
| 060378002043021               | 060371370002021 |
| 060378002043022               | 060371370002022 |
| 060378002043023               | 060371370002023 |
| 060378002043024               | 060371370002024 |
| 060378002043025               | 060371370002025 |
| 060378002043026               | 060371370002026 |
| 060378002043027               | 060371370002027 |
| 060378002043028               | 060371370002028 |



Table 25: ACS/CVAP variable names

| Line field      | Variable name    |
|-----------------|------------------|
| line1.CIT_EST   | ctot             |
| line2.CIT_EST   | cnonhisp         |
| line3.CIT_EST   | camIndian        |
| line4.CIT_EST   | casian           |
| line5.CIT_EST   | cblack           |
| line6.CIT_EST   | cpacific         |
| line7.CIT_EST   | cwhite           |
| line8.CIT_EST   | camIndian_white  |
| line9.CIT_EST   | casian_white     |
| line10.CIT_EST  | cblack_white     |
| line11.CIT_EST  | camIndian_black  |
| line12.CIT_EST  | cother_two       |
| line13.CIT_EST  | clatino          |
| line1.CVAP_EST  | cvtot            |
| line2.CVAP_EST  | cvnonhisp        |
| line3.CVAP_EST  | cvamIndian       |
| line4.CVAP_EST  | cvasian          |
| line5.CVAP_EST  | cvblack          |
| line6.CVAP_EST  | cvpacific        |
| line7.CVAP_EST  | cvwhite          |
| line8.CVAP_EST  | cvamIndian_white |
| line9.CVAP_EST  | cvasian_white    |
| line10.CVAP_EST | cvblack_white    |
| line11.CVAP_EST | cvamIndian_black |
| line12.CVAP_EST | cvother_two      |
| line13.CVAP_EST | cvlatino         |

Table 26: Relevant P.L. 94-171 variables

| P.L. 94-171 | P.L. 94-171 Description                                      |
|-------------|--|
| P0020001    | Total  |
| P0020003    | Not Hispanic or Latino:                                      |
| P0020007    | American Indian and Alaska Native alone                      |
| P0020008    | Asian alone  |
| P0020006    | Black or African American alone                              |
| P0020009    | Native Hawaiian and Other Pacific Islander alone             |
| P0020005    | White alone  |
| P0020014    | White; American Indian and Alaska Native                     |
| P0020015    | White; Asian   |
| P0020013    | White; Black or African American                             |
| P0020018    | Black or African American; American Indian and Alaska Native |
| P0020002    | Hispanic or Latino   |
| P0020012    | Population of two races                                      |
| P0020014    | White; American Indian and Alaska Native                     |
| P0020015    | White; Asian   |
| P0020013    | White; Black or African American                             |
| P0020018    | Black or African American; American Indian and Alaska Native |
| P0020028    | Population of three races                                    |
| P0020049    | Population of four races                                     |
| P0020065    | Population of five races                                     |
| P0020072    | Population of six races                                      |

Table 27: CVAP and P.L. 94-171 equivalencies

| ACS variable    | P.L. 94-171 conversion |
|-----------------|------------------------|
| ctot            | P0010001               |
| cnonhisp        | P0020003               |
| camIndian       | P0020007               |
| casian          | P0020008               |
| cblack          | P0020006               |
| cpacific        | P0020009               |
| cwhite          | P0020005               |
| camIndian_white | P0020014               |
| casian_white    | P0020015               |
| cblack_white    | P0020013               |
| camIndian_black | P0020018               |
| clatino         | P0020002               |
| cother_two      | P0020012               |
|                 | - P0020014             |
|                 | - P0020015             |
|                 | - P0020013             |
|                 | - P0020018             |
|                 | + P0020028             |
|                 | + P0020049             |
|                 | + P0020065             |
|                 | + P0020072             |

Table 28: Comparison of original ACS population and reassembled by 2010 block groups

| difference | number |
|------------|--------|
| -5 <, < 5  | 22003  |
| > 5        | 623    |
| <-5        | 586    |

- Break down original CVAP population (step 1) at the 2010 block group level to the 2020 census block level, using the census conversions (step 2)
- Reassemble these data by summing the broken down CVAP 2020 census block data (step 3) to the 2010 census block group, using the census conversions (step 2)
- Compare original CVAP at the 2010 block group level (step 1) to the reassembled data (step 4)

Breaking down the data and reassembling them in this manner to make a comparison creates error in both steps. However, the accuracy of the conversion appears to be good: the difference in allocation between these two quantities is essentially equivalent in about 95% of the cases, as displayed in table 28.

The more extreme differences (the absolute value of the difference being more than five) come about in cases where 2020 blocks are split geographically between multiple 2010 block groups, and the geographic assignments are suspect. These differences (which are a relatively small in number—a few thousand in a 35 million or so citizen total population) are handled by assigning differences to geography within the county, so that county totals for CVAP data by 2010 block groups and 2020 blocks agree at this stage of the allocation process. The next step will be to reallocate data from persons who were incarcerated in state correctional facilities at the time of the census to their last known residential address. When that is done, there will no longer be an agreement between the county totals for the CVAP on 2010 census geography and the CVAP allocated to the 2020 census geography.

The above discusses agreement of the data allocated from the CVAP by the 2010 census block group geography to the 2020 census block geography. There is another type of agreement, which we will term constraints, that some census products contain. For example, P.L. 94-171 data typically obeys certain constraints within a block group, that is, a set of variables summed equals another variable (for example, total population is equal to the sum of a certain number of P.L. 94-171 data variables in table P1).

The CVAP data, however, does not in general honor any particular set of

constraints. For example, the following equation should always hold:

$$0 = \text{ctot} - (\text{camIndian} + \text{casian} + \text{cblack} + \text{cpacific} + \text{cwhite} + \text{camIndian\_white} \\ + \text{casian\_white} + \text{cblack\_white} + \text{camIndian\_black} + \text{cother\_two} + \text{clatin})$$

But in actual fact the distribution of the right-hand side of (3) among the CVAP 2010 block groups is often different, as shown in table 29.

A comparison of (3) with the CVAP allocated to the 2020 census geography (summed up to the block groups for comparison with the above) shows a close equivalency, as displayed in 30. So about 87% of the 2020 block groups are within plus or minus 20 people of the constraint. Thus the constraint bounds are somewhat looser with the CVAP data allocated to the 2020 census blocks compared to the unallocated data, but still comparable.

## CVAP for Incarcerated Persons

Since the P.L. 94-171 data are adjusted for the correctional facilities, the CVAP data also must be adjusted (see the "Allocation" section of "Data from Incarcerated Persons and P.L. 94-171 Adjustments"). There are 130 state correctional facility blocks (see tables 17, 18, and 19). All incarcerated persons were treated as citizens and were allocated to their assigned geocoded blocks, their ethnicity being converted to CVAP variables by the calculus in table 31. 111,820 incarcerated persons were allocated using this rule. Each incarcerated person was treated as a citizen and as 18 and over.

Adjustments to the census blocks that were associated with correctional facilities were also made. The vast majority (118,820) of the population of the correctional facility census blocks (122,730) were reallocated using this method. The citizenship data for the remainder of the population was handled following the algorithm set out in P.L. 94-171 adjustments. If there was a greater population (P.L. 94-171 Table 2, variable 1 (P0020001) than group quarters (P0050003) the population of that census block was set to P0020001 minus P0050003, and citizen data was assigned in the following manner. First, if P0020001 minus P0050003 were zero, no citizen data was assigned to that block. If this quantity were positive (it can never be negative), multiple normalizations and adjustments were made (there were 55 such blocks).

The algorithm that was then used for allocation of ACS citizenship data to census blocks was as follows (CIT is citizenship, CVAP is Citizen Voting Age Population):

- Calculated percent remaining based on P.L. 94-171 (P0010001 - P0050003)/P0010001
- Multiplied all CIT, CVAP variables by that percentage, giving a total citizenship number of 11,116 non-incarcerated persons in those blocks, and 111,820 incarcerated persons (total CIT was 122,936 in the correctional facility blocks)

Table 29: Differences of ACS total population from subcategories

| diff | n     |
|------|-------|
| -17  | 1     |
| -16  | 1     |
| -15  | 1     |
| -14  | 4     |
| -13  | 5     |
| -12  | 3     |
| -11  | 2     |
| -10  | 158   |
| -9   | 121   |
| -8   | 94    |
| -7   | 31    |
| -6   | 7     |
| -5   | 3748  |
| -4   | 1036  |
| -3   | 318   |
| -2   | 75    |
| -1   | 11    |
| 0    | 10401 |
| 1    | 2136  |
| 2    | 414   |
| 3    | 75    |
| 4    | 12    |
| 5    | 3343  |
| 6    | 811   |
| 7    | 181   |
| 8    | 27    |
| 9    | 3     |
| 10   | 118   |
| 11   | 58    |
| 12   | 11    |
| 13   | 3     |
| 14   | 1     |
| 15   | 2     |

Table 30: Differences of allocated 2020 ACS total population from sub categories

| diff                            | n block groups |
|---------------------------------|----------------|
| $< -20$                         | 1447           |
| $> 20$                          | 1972           |
| $[-20, 20]^*$                   | 22188          |
| * $[\ ]$ is the closed interval |                |

Table 31: Translation of incarcerated person data to CVAP data

| ethnicity condition                         | Operation | CVAP variable     |
|---|-----------|-------------------|
| incarcerated_persons.ethnicity = any        | add 1     | bctot             |
| incarcerated_persons.ethnicity != "latino"  | add 1     | bcnonhisp         |
| incarcerated_persons.ethnicity = "amIndian" | add 1     | bcamIndian        |
| incarcerated_persons.ethnicity = "asian"    | add 1     | bcasian           |
| incarcerated_persons.ethnicity = "black"    | add 1     | bcblack           |
| incarcerated_persons.ethnicity = "pacific"  | add 1     | bcpacific         |
| incarcerated_persons.ethnicity = "white"    | add 1     | bcwhite           |
| incarcerated_persons.ethnicity = any        | add 0     | bcamIndian_white  |
| incarcerated_persons.ethnicity = any        | add 0     | bcasian_white     |
| incarcerated_persons.ethnicity = any        | add 0     | bcblack_white     |
| incarcerated_persons.ethnicity = any        | add 0     | bcamIndian_black  |
| incarcerated_persons.ethnicity = "other"    | add 1     | bcother_two       |
| incarcerated_persons.ethnicity = "latino"   | add 1     | bclatino          |
| incarcerated_persons.ethnicity = any        | add 1     | bcvtot            |
| incarcerated_persons.ethnicity != "latino"  | add 1     | bcvnonhisp        |
| incarcerated_persons.ethnicity = "amIndian" | add 1     | bcvamIndian       |
| incarcerated_persons.ethnicity = "asian"    | add 1     | bcvasian          |
| incarcerated_persons.ethnicity = "black"    | add 1     | bcvblack          |
| incarcerated_persons.ethnicity = "pacific"  | add 1     | bcvpacific        |
| incarcerated_persons.ethnicity = "white"    | add 1     | bcvwhite          |
| incarcerated_persons.ethnicity = any        | add 0     | bcvamIndian_white |
| incarcerated_persons.ethnicity = any        | add 0     | bcvasian_white    |
| incarcerated_persons.ethnicity = any        | add 0     | bcvblack_white    |
| incarcerated_persons.ethnicity = any        | add 0     | bcvamIndian_black |
| incarcerated_persons.ethnicity = "other"    | add 1     | bcvother_two      |
| incarcerated_persons.ethnicity = "latino"   | add 1     | bcvlatino         |

- Allocated the 111,820 incarcerated persons to their geocoded blocks, not allocating 10,910 incarcerated persons. Incarcerated persons were removed on the basis of their assignment category, with state assignment types being removed completely and then county assignment types to make up the difference.

The earlier September 20th release utilized random matching on the L1 norm of the difference between the P2 variables (1 through 10) for census blocks associated with the correctional facilities and all other blocks, choosing the block that minimized that norm. This methodology produced some counter-intuitive results for a few blocks. The September 27th release utilized the final methodology described in this section, which produced fewer anomalous results. Some counter-intuitive results are to be expected with any adjustment methodology for these blocks, because two separate data sources (CVAP and P.L. 94-171) are being combined to produce the adjustment.

### **Creating 2010 block group to 2020 block conversions**

The conversion file between the 2010 census geography for the CVAP data and the 2020 census geography is constructed from the Census Bureau conversion between 2010 and 2020 census blocks. The conversion between blocks need not be exact—that is, there can be multiple 2010 blocks in a 2020 block and vice versa.

A conversion file for a block group from the 2010 geography is simply the aggregation of all of the conversions from the 2010 blocks that constitute a block group to the 2020 blocks that are associated with the 2010 blocks (note that a block group GEOID is simply the block GEOID without the last three digits specified—see table 10).

An example of how conversions need not be exact is given in table 32. This table shows block group conversions for county 121 (Yuba is the highest county in California with a FIPS code of 115, so this is a fictional example). In this table, there are three 2010 block groups: 061210001001, 061210001002, 061210003001, and two equivalence classes: one consisting of block group 061210001001 and the other consisting of block groups 061210001002 and 061210003001. A class (or equivalence class) is a set of block groups which share one or more blocks (they do not have to be the same block). Thus block group 061210001001 forms its own class because it has no shared blocks, while the other two block groups have one shared block (061210003003212). Classes are typified by the number of block groups in them, referred to as the degree of the class. For the two equivalence classes mentioned above, the first (consisting of block group 061210001001) has a degree of one while the second (consisting of block groups 061210001002 and 061210003001) has a degree of two.

It is useful to distinguish between those classes which have only one block group in them and those that have multiple block groups in them. This is because when there is only one block group in a class, a non-statistical comparison of the total



Table 32: 2010 block group conversion to 2020 blocks

| 2010 block group | 2010 block      | 2020 block      | Percent |
|------------------|-----------------|-----------------|---------|
| 061210001001     | 061210001001001 | 061210001002001 | 100.00  |
|                  | 061210001001002 | 061210001002003 | 100.00  |
|                  | 061210001001003 | 061210001002015 | 100.00  |
|                  | 061210001001004 | 061210001003002 | 100.00  |
| 061210001002     | 061210001002003 | 061210003002003 | 100.00  |
|                  | 061210001002008 | 061210003002005 | 100.00  |
|                  | 061210001002016 | 061210003002017 | 100.00  |
|                  | 061210001002024 | 061210003003212 | 50.00   |
| 061210003001     | 061210003001002 | 061210003003212 | 50.00   |
|                  | 061210003001004 | 061210003003213 | 100.00  |

citizen population from the CVAP data can be made to the total population from the P.L. 94-171 data.

If there are more citizens from the CVAP than total population from the P.L. 94-171 in the exact matching of a 2010 block group to 2020 geography (no split blocks between the 2010 block group and the 2020 geography), this indicates a mismatch of data between the two sources. To examine this, all 23,212 2010 block groups are classified by their equivalence class. The distribution of classes (by number of block groups) is given in table 33. As can be seen in this table, the vast majority (73.4%) of classes have only one block group in them. We can thus compare directly, without any statistical adjustments, the total population from the 2020 P.L. 94-171 and the citizen population from the 2015-2019 ACS.

For block groups with an equivalence class degree of one, then, we obtain (table 34) that nearly a quarter have more citizens from the ACS dataset than there are people in the block group, an impossibility. A further breakdown by the magnitudes (letting  $r = \text{citizens/pop}$ ,  $\text{pop} = .000000001$  when  $\text{pop} = 0$ ), as displayed in table 35. There are also five block groups with a number of citizens greater than zero and zero population from the P.L. 94-171, and 16 with the zero citizens and non-zero population from the P.L. 94-171.

Recall that these are only 2010 block groups that are in a class by themselves (that is, there are no 2020 blocks split between that block group and another 2010 block group). Given the discrepancies between the ACS and P.L. 94-171, a straight-forward geographic allocation is made for those block groups which share one or more blocks with other block groups (the geographic allocation is based on proportion of the block falling within a block group). A very few adjustments are made to this geographic allocation method, but almost universally the geographic proportion is used for 2020 blocks split between 2010 block groups.

Table 33: 2010 block group conversion to 2020 block

| block groups<br>in class | number<br>of classes | number<br>of block groups |
|--------------------------|----------------------|---------------------------|
| 1                        | 17045                | 17045                     |
| 2                        | 1161                 | 2322                      |
| 3                        | 344                  | 1032                      |
| 4                        | 169                  | 676                       |
| 5                        | 80                   | 400                       |
| 6                        | 64                   | 384                       |
| 7                        | 31                   | 217                       |
| 8                        | 17                   | 136                       |
| 9                        | 16                   | 144                       |
| 10                       | 4                    | 40                        |
| 11                       | 5                    | 55                        |
| 12                       | 7                    | 84                        |
| 13                       | 3                    | 39                        |
| 14                       | 6                    | 84                        |
| 15                       | 4                    | 60                        |
| 16                       | 2                    | 32                        |
| 17                       | 1                    | 17                        |
| 18                       | 4                    | 72                        |
| 19                       | 3                    | 57                        |
| 20                       | 4                    | 80                        |
| 21                       | 1                    | 21                        |
| 22                       | 2                    | 44                        |
| 23                       | 3                    | 69                        |
| 29                       | 1                    | 29                        |
| 32                       | 1                    | 32                        |
| 41                       | 1                    | 41                        |

Table 34: ACS Citizens versus P.L. 94-171 Population by unsplit block groups

| classification | number |
|----------------|--------|
| Citizens < Pop | 12982  |
| Citizens > Pop | 4063   |

Table 35: ACS Citizens versus P.L. 94-171 Population by unsplit block groups,  $r$   
= citizens/pop

| $r > 10$ | $10 \geq r > 5$ | $5 \geq r > 2$ | $2 \geq r > 1$ | $1 \geq r > .9$ | $.9 \geq r > .8$ | $r \geq .8$ |
|----------|-----------------|----------------|----------------|-----------------|------------------|-------------|
| 8        | 12              | 22             | 4021           | 3240            | 3633             | 6109        |

It should be noted that if an exact matching of block groups from 2010 to 2020 census geography (no geographic splitting of blocks) were desired, one could allocate the entire equivalence class at once and avoid the split blocks and geographical conversion. This would, however, make the geographic correspondence much worse for equivalence classes containing more than one block group, because the allocation would take place over a much larger geographic area. Given the many sources of uncertainty in these data sets already (as illustrated above), geographic splitting was chosen as the method of allocation for census blocks with multiple 2020 block groups listed in the conversion, rather than allocating an equivalence class in its entirety and avoiding split geography.

## Appendices

### Potential Geocoding Problems

For an illustration of potential geocoding problems, consider , reproduced in .



Figure 4: A 2010 Census Block Which is Not a City Block

The dark orange shaded portion is block 2008. Block 2008 is essentially Shoreline Drive (in Alameda). By the Census Bureau's criteria, the double lines that roughly form a square in the middle of this figure (which are Shoreline, Park, Broadway and Otis--see map below), should have been treated as a single block (with a water block in the middle--also see map below).

Now consider the address 2465 Shoreline Drive, Alameda, CA, which is an apartment complex that Google Maps puts at location A on the map below. The

Census Bureau's TIGER address/block equivalency files put that address into block 2008. The population, however, has actually been assigned to block 2012 in P.L. 94-171, so that geocoding has created a block with large registration (over 500 registered voters) and no population. On the other hand, block 2012 has a large population and no registered voters. This problem occurs because the address ranges released in the **TIGER** files do not agree with the Census Bureau's internal assignment files (which are not released). The primary source of block registration/population errors (zero population blocks with registration, blocks with population and no registration) come about from this type of mismatch.

## Registration data

Statistical categories

Party

dem Party Democrat

rep Party Republican

aip Party American Independent

paf Party Peace and Freedom

misc Party Miscellaneous

lib Party Libertarian

nlp Party Natural Law

green Party Green

ref Party Reform (no longer recognized by state)

dcl Party Declined to State (that is, non stated at registration)

*\* Parties which are not Democrat, Republican or Declined to State are Other*

Gender

male Male

female Female

Ethnicity

hispdem Latino Dems

hisprep Latino Reps

hispdcl Latino No Party

hispoth Latino Other Party

jewdem Jewish Dems

jewrep Jewish Reps

jewdcl Jewish No Party

jewoth Jewish Other Party

kordem Korean Dems

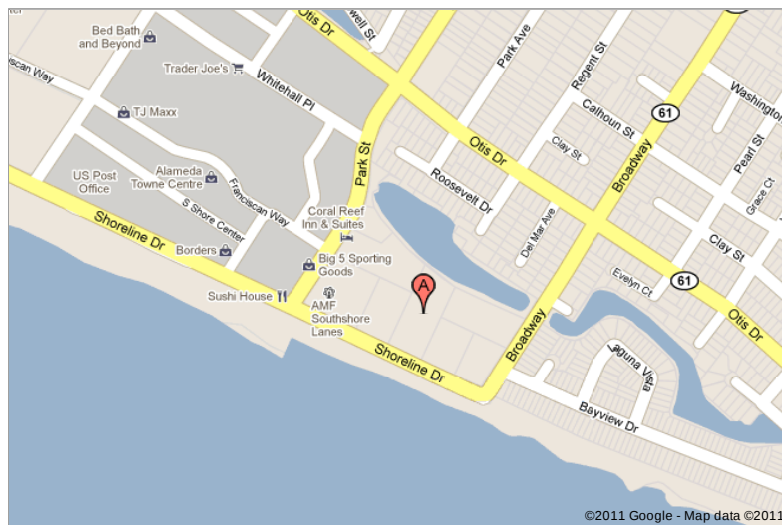
korrep Korean Reps

kordcl Korean No Party

koroth Korean Other Party



To see all the details that are visible on the screen, use the "Print" link next to the map.



jpndem Japanese Dems  
jpnrep Japanese Reps  
jpncl Japanese No Party  
jpnother Japanese Other Party

chidem Chinese Dems  
chirep Chinese Reps  
chidcl Chinese No Party  
chioth Chinese Other Party

inddem Indian Dems  
indrep Indian Reps  
inddcl Indian No Party  
indoth Indian Other Party

vietdem Vietnamese Dems  
vietrep Vietnamese Reps vietdcl Vietnamese No Party  
vietoth Vietnamese Other Party

fildem Filipino Dems  
filrep Filipino Reps  
fildcl Filipino No Party  
filoth Filipino Other Party

Gender/Party/Age

male\_dem\_ageunk males dem birth date not listed on registered voter file  
male\_dem\_age1824 males dem age between 18-24  
male\_dem\_age2534 males dem age between 25-34  
male\_dem\_age3544 males dem age between 35-44  
male\_dem\_age4554 males dem age between 45-54  
male\_dem\_age5564 males dem age between 55-64  
male\_dem\_age65pl males dem age between 65 or older

female\_dem\_ageunk females dem age birth date not listed on registered voter file  
female\_dem\_age1824 females dem age between 18-24  
female\_dem\_age2534 females dem age between 25-34  
female\_dem\_age3544 females dem age between 35-44  
female\_dem\_age4554 females dem age between 45-54  
female\_dem\_age5564 females dem age between 55-64  
female\_dem\_age65pl females dem age between 65 or older

male\_rep\_ageunk males rep age birth date not listed on registered voter file  
male\_rep\_age1824 males rep age between 18-24  
male\_rep\_age2534 males rep age between 25-34  
male\_rep\_age3544 males rep age between 35-44  
male\_rep\_age4554 males rep age between 45-54  
male\_rep\_age5564 males rep age between 55-64  
male\_rep\_age65pl males rep age between 65 or older

female\_rep\_ageunk females rep age birth date not listed on registered voter file  
female\_rep\_age1824 females rep age between 18-24  
female\_rep\_age2534 females rep age between 25-34  
female\_rep\_age3544 females rep age between 35-44

female\_rep\_age4554 females rep age between 4554  
female\_rep\_age5564 females rep age between 5564  
female\_rep\_age65pl females rep age between 65 or older

male\_dcl\_ageunk males dcl age birth date not listed on registered voter file  
male\_dcl\_age1824 males dcl age between 1824  
male\_dcl\_age2534 males dcl age between 2534  
male\_dcl\_age3544 males dcl age between 3544  
male\_dcl\_age4554 males dcl age between 4554  
male\_dcl\_age5564 males dcl age between 5564  
male\_dcl\_age65pl males dcl age between 65 or older

female\_dcl\_ageunk females dcl age birth date not listed on registered voter file  
female\_dcl\_age1824 females dcl age between 1824  
female\_dcl\_age2534 females dcl age between 2534  
female\_dcl\_age3544 females dcl age between 3544  
female\_dcl\_age4554 females dcl age between 4554  
female\_dcl\_age5564 females dcl age between 5564  
female\_dcl\_age65pl females dcl age between 65 or older

male\_oth\_ageunk males oth age birth date not listed on registered voter file  
male\_oth\_age1824 males oth age between 1824  
male\_oth\_age2534 males oth age between 2534  
male\_oth\_age3544 males oth age between 3544  
male\_oth\_age4554 males oth age between 4554  
male\_oth\_age5564 males oth age between 5564  
male\_oth\_age65pl males oth age between 65 or older

female\_oth\_ageunk females oth age birth date not listed on registered voter file  
female\_oth\_age1824 females oth age between 1824  
female\_oth\_age2534 females oth age between 2534  
female\_oth\_age3544 females oth age between 3544  
female\_oth\_age4554 females oth age between 4554  
female\_oth\_age5564 females oth age between 5564  
female\_oth\_age65pl females oth age between 65 or older

### **Registration trends**

dem\_reg\_cohort\_1 Dems Registered after last general election  
dem\_reg\_cohort\_2 Dems Registered after 2nd to last general election  
dem\_reg\_cohort\_3 Dems Registered after 3rd to last general election  
dem\_reg\_cohort\_4 Dems Registered after 4th to last general election  
dem\_reg\_cohort\_5 Dems Registered after 5th to last general election  
dem\_reg\_cohort\_6 Dems Registered after 6th to last general election  
dem\_reg\_cohort\_7 Dems Registered after 7th to last general election  
dem\_reg\_cohort\_8 Dems Registered after 8th to last general election  
dem\_reg\_cohort\_9 Dems Registered anytime after 8th to last general election  
rep\_reg\_cohort\_1 Reps Registered after last general election

rep\_reg\_cohort\_2 Reprs Registered after 2nd to last general election  
 rep\_reg\_cohort\_3 Reprs Registered after 3rd to last general election  
 rep\_reg\_cohort\_4 Reprs Registered after 4th to last general election  
 rep\_reg\_cohort\_5 Reprs Registered after 5th to last general election  
 rep\_reg\_cohort\_6 Reprs Registered after 6th to last general election  
 rep\_reg\_cohort\_7 Reprs Registered after 7th to last general election  
 rep\_reg\_cohort\_8 Reprs Registered after 8th to last general election  
 rep\_reg\_cohort\_9 Reprs Registered anytime after 8th to last general election  
  
 dcl\_reg\_cohort\_1 DCLs Registered after last general election  
 dcl\_reg\_cohort\_2 DCLs Registered after 2nd to last general election  
 dcl\_reg\_cohort\_3 DCLs Registered after 3rd to last general election  
 dcl\_reg\_cohort\_4 DCLs Registered after 4th to last general election  
 dcl\_reg\_cohort\_5 DCLs Registered after 5th to last general election  
 dcl\_reg\_cohort\_6 DCLs Registered after 6th to last general election  
 dcl\_reg\_cohort\_7 DCLs Registered after 7th to last general election  
 dcl\_reg\_cohort\_8 DCLs Registered after 8th to last general election  
 dcl\_reg\_cohort\_9 DCLs Registered anytime after 8th to last general election  
  
 oth\_reg\_cohort\_1 Oths Registered after last general election  
 oth\_reg\_cohort\_2 Oths Registered after 2nd to last general election  
 oth\_reg\_cohort\_3 Oths Registered after 3rd to last general election  
 oth\_reg\_cohort\_4 Oths Registered after 4th to last general election  
 oth\_reg\_cohort\_5 Oths Registered after 5th to last general election  
 oth\_reg\_cohort\_6 Oths Registered after 6th to last general election  
 oth\_reg\_cohort\_7 Oths Registered after 7th to last general election  
 oth\_reg\_cohort\_8 Oths Registered after 8th to last general election  
 oth\_reg\_cohort\_9 Oths Registered anytime after 8th to last general election

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