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October 4, 2012

MARSHA KELMAN, SECRETARY AND CHIEF OF STAFF
REGENTS OF THE UNIVERSITY OF CALIFORNIA

RE: BOARS 2012 Report on Comprehensive Review

Dear Marsha:

I am forwarding BOARS 2012 Update on Comprehensive Review in Admissions at the University of California as required by the Board.

Sincerely,

A handwritten signature in black ink, reading "R.L. Powell".

Robert L. Powell

Encl. (1)

Cc: Academic Council Vice Chair William Jacob
BOARS Chair George Johnson
Provost Dorr
Vice President Sakaki
Executive Director Winnacker

Comprehensive Review in Admissions at the University of California: an Update

September 2012



**Board of Admissions and Relations with Schools
Systemwide Academic Senate
University of California
September 2012**

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EXECUTIVE SUMMARY

In 2010, BOARS submitted a report on Comprehensive Review that discussed the period 2003-2009. This report focuses on the years 2010-12, a period in which two substantial changes in Comprehensive Review policy were implemented: changes in eligibility that included an increased 9% local context guarantee and a 9% statewide guarantee as well as a new Entitled to Review (ETR) category; and implementation of single score individualized review at four more campuses (bringing the total to six.) At each campus, review and selection is based upon BOARS' *Guidelines for Implementation of Comprehensive Review*, which includes twelve Principles and fourteen Criteria that capture a broad view of applicants' talents—both inclusive of and beyond traditional measures of academic achievement—by examining the “full range of an applicant's academic and personal achievements and likely contributions to the campus community, viewed in the context of the opportunities and challenges that the applicant has faced.” The Principles and Criteria have been updated based upon the recommendations of the 2010 report.

BOARS works continually with divisional admissions committees and the Office of the President to analyze characteristics of the applicant, admit and yield pools and this report summarizes the findings. Over the past two years, as single score review has been implemented, collaboration among the campuses has increased substantially, including joint workshops and score sharing. However, each campus employs their own evaluation and selection methods based upon their values and needs, and brief descriptions of each campus approach are provided in this report. The past two years have shown that score sharing is helpful to campuses as they refine their review practices and in projecting yield, but that each campus needs to tailor their own evaluation rubrics to their needs. During 2010, the California Community Colleges and the California State University systems began implementation of Senate Bill 1440, and have created Associate of Arts and Associate of Science degrees for Transfer. BOARS and the Academic Senate have restructured UC's transfer requirements to accommodate applicants receiving these degrees and to emphasize major preparation in evaluation and selection. In addition, over the past two years BOARS has updated 'a-g' practices, restructuring the evaluation of online courses and updating areas 'b' (English) and 'c' (Mathematics) to align with California's adoption of the Common Core State Standards.

Key Findings:

- Implementation of the new eligibility policy went smoothly. Among California residents, more applicants than expected met the statewide guarantee (targeted at 9%) but did not meet the 9% Eligibility in the Local Context criteria. Almost half (49%) of applicants in the new Entitled to Review Category gained admission, and half of them were from underrepresented populations. A majority of California applicants (58%) chose not to complete two SAT subject tests, which became optional for 2012 admission.
- Over 13% of California public high school graduates gained admission to a campus to which they applied, showing UC is meeting its Master Plan obligation of providing access to the top 12.5% of high school graduates.
- The Eligibility in the Local Context (ELC) program remains an effective way for UC to attract students from high schools across the state, and many campuses use the ELC designation as a positive signal during evaluation and selection.

- The academic qualifications of UC applicants and admitted students remained stable during this period of significant change in eligibility, evaluation, and selection.
- Four more campuses successfully implemented single score (holistic) individualized review during this 2010-2012 period, and workshops and other assistance provided by the Berkeley and Los Angeles campuses were crucial to their success. Score sharing has been valuable for campuses, both in assisting selection and in predicting yields. Some campuses found they needed to modify the scoring rubrics from Berkeley and Los Angeles, and those who did not will do so in the coming years in order to better reflect the bands in which they make selection.
- With each successive year, there have been gains in diversity at most campuses among African-Americans and Chicano/Latinos, and the number of First Generation College students has also increased. Although it is too early to tell, it does not appear that the implementation of single score individualized review will play a significant role in increasing diversity. At some campuses there were gains, and in others very little or none. This will have to be studied in more detail in the coming years.
- Between 2010 and 2012, freshman applications grew 26% over two years, compared to a 27% increase in the six year period 2003 and 2009. Much of this growth was in domestic and international nonresidents, although California resident applications grew by 9.8% between 2011 and 2012 with the implementation of eligibility reform.
- UC admit numbers grew during 2010-2012, while the selectivity of all campuses increased. At this point, only UC Merced is admitting applicants from the referral pool. Merced has changed its referral process to an opt-in system where applicants who ignore the opt-in email are not admitted.
- The Eligibility in the Local Context pool of admits who were not statewide eligible is more diverse and has more first generation students than the Statewide Eligible pool. The same is true for the non-guarantee pool. A substantial number of these students secured admission and are enrolling. This is one indication that the eligibility reform is working as intended.
- Diversity in admission as measured by first generation status increased systemwide from 42.0% to 45.4% over the past two years and increased at most campuses, although it dropped at two. Low income admits dropped overall from 42.2% to 40.5% of admits, with gains in some campuses and declines in others. Admits from low API schools (bottom four deciles) increased from 22.5% to 24.7%, with gains at most campuses.
- Over the two-year period, Statements of Intent to Register (SIRs) increased slightly among African Americans (4.0% to 4.3%) and Asian Americans (40.9% to 41.3%), increased moderately among Chicano/Latinos (22.9% to 26.7%), and decreased slightly for American Indians (0.8% to 0.6%) and Whites (26.4% to 24.3%). There was gradual growth among underrepresented groups at the transfer level.

Recommendations:

It is too early to assess the impact of the eligibility and selection changes made in 2011-12, and both Berkeley and UCLA report that the first year of implementing single score review is a “learning year”

with steady improvements to follow; however, we recommend the following based on what we have learned so far:

1. Score sharing should continue, but its financial cost should be assessed to ensure the practice continues and campuses are not burdened. Moreover, score sharing should not be considered for the sole purpose of reducing the cost of evaluation or homogenizing UC selection, as each campus needs to fine tune its single score rubric in the region where selection boundaries are drawn.
2. The statewide guarantee index needs to be recalibrated. More students than anticipated when the eligibility reform policy was conceived were statewide eligible but not ELC eligible.
3. As Merced becomes increasingly selective, it is likely that the University of California will not be able to offer a referral admission guarantee in the near future, perhaps within one to two years. BOARS, and the UC leadership more generally, will have to contemplate what it will mean to eliminate the guarantee. Given the long history of the referral process, this conversation will not be easy.
4. African-American admit and yield numbers have not grown significantly over the past decade. BOARS should reconsider earlier studies and look at mechanisms to consider the impact that bimodal educational environments have on educational opportunity.

INTRODUCTION

The Academic Senate's Board of Admissions and Relations with Schools (BOARS) advises the President and Senate agencies about the admission of undergraduate students and the criteria for undergraduate status as provided under Regents Standing Order 105.2(a),¹ and as outlined in [Senate Bylaw 145](#). BOARS' last report to the Regents on Comprehensive Review was in September 2010². That report discussed admission outcomes as well as review/selection practices across the campuses for the period 2003-2009, when campuses were solidifying their comprehensive review practices to meet the Regents' 2001 policy on Comprehensive Review, described in the *Guidelines for Implementation of University Policy on Freshman Admission*³. The 2010 report also included 12 recommendations for improving practices (see its Executive Summary, included here as Appendix A).

In contrast to the relative stability in admission policy and practice between 2003 and 2009, the years 2010-2012 have been transitional on a number of fronts. UC implemented a new systemwide freshman eligibility policy for Fall 2012 admits. Many campuses also implemented new policies on individualized review and single-score holistic evaluation, and all have seen substantial increase in nonresident applications. BOARS also responded to new State policies that affect undergraduate admission by adding new transfer admission paths to accommodate Senate Bill 1440's mandate to Community Colleges to develop Transfer AA/AS degrees, and by updating "a-g" descriptions to align with the Common Core State Standards approved by the State Board of Education in 2010.

This report addresses Comprehensive Review outcomes in the context of these changes, and revisits the key issues discussed in the 2010 report. For details about the inner workings of Comprehensive Review, the 2010 Report remains a valuable resource and it is cited frequently in this report. There is one important caveat to keep in mind when reviewing the 2012 admissions outcomes in this report: several policies changed simultaneously this year in the midst of a challenging economic environment for California's colleges and universities and its families, making it difficult to determine, definitively, the precise reason for any change in admission outcomes. Moreover reported admit numbers went down because of Merced's changing to an opt-in system in 2011 for referrals and as the yield numbers are not final, for comparison purposes preliminary data from the same stage in prior years is used. Overall, however, BOARS does view the outcomes as positive and believes there is strong evidence that the new UC policies are meeting the faculty's original goals—shared by the Regents—of removing unnecessary barriers, broadening access, and opening UC to additional California students who might have been shut out in the past, while maintaining academic quality.

¹ <http://www.universityofcalifornia.edu/regents/bylaws/so1052.html>

² http://www.universityofcalifornia.edu/senate/reports/HP_MGYreBOARS_CR_rpt.pdf

³ http://www.ucop.edu/student-affairs/_files/GUIDELINES_FOR_IMPLEMENTATION_OF_UNIVERSITY_POLICY_on_UG_ADM_Revised_July2012.pdf

SECTION I. WHAT IS COMPREHENSIVE REVIEW? HOW HAS IT CHANGED OVER THE PAST TWO YEARS?

I.1. COMPREHENSIVE REVIEW

No UC campus can accommodate all applicants deemed eligible for admission to UC; therefore, each employs selective measures to meet its admissions goals and enrollment targets. Eligible applicants are guaranteed a Comprehensive Review of their application, and the resulting evaluation provides the basis for selection. BOARS defines Comprehensive Review as “the process by which students applying to UC campuses are evaluated for admission using multiple measures of achievement and promise while considering the context in which each student has demonstrated academic accomplishment”⁴.

Comprehensive review includes three main features: the use of multiple criteria to define merit; an evaluation of the applicant’s school context and/or the context of opportunity; and an individualized review. The *Guidelines for Implementation of University Policy on Freshman Admissions* require campuses to evaluate applicants using multiple measures that reflect a broad conception of merit based on both academic and personal accomplishments. Local campus faculty committees then have flexibility to establish selection criteria consistent with that campus’ distinctive mission, values, and goals for undergraduate education, insofar as they are also consistent with University-wide criteria. Thus, each applicant file is reviewed and rated, and selection proceeds based on the applicant pool and priorities for that particular campus. Further general information can be found in the 2010 report.

Campuses also have been implementing the Regents January 2011 resolution on *Individualized Review and Holistic Evaluation in Undergraduate Admissions*. The number of undergraduate campuses using single score (“holistic”) review has increased from two to six over the past two years. At these six campuses (Berkeley, Davis, Irvine, Los Angeles, San Diego, Santa Cruz) a trained evaluator or set of evaluators craft a single score for the applicant based upon a combination of the criteria.

Campus Comprehensive Review processes are expected to follow the *Guidelines*, and must include an evaluation of the applicant’s academic and personal accomplishments within the context of opportunity in their schools. Such context-sensitive review has long been regarded as a common-sense best practice among highly selective institutions across the country.⁵ Appendix B provides the 12 principles and 14 criteria from the *Guidelines for Implementation of University Policy on Undergraduate Admissions* that guide campus faculties in developing and implementing campus-level policies.⁶ These Guidelines were updated in 2011 to implement recommendations in the 2010 BOARS report.

Campus Comprehensive Review processes are highly data-driven and rely on a variety of academic and socioeconomic indicators that are available electronically to all campuses for each applicant via a “read sheet” provided for each applicant by the systemwide admissions office. Readers use the read sheet data to evaluate applicants. The read sheet lists high school specific data for California applicants, including how an applicant compares to other applicants from their high school to a particular campus, and a summary of application data. BOARS has reviewed and updated the format of the read sheets,

⁴ <http://www.universityofcalifornia.edu/regents/regmeet/nov01/302attach2.pdf>

⁵ Private selective colleges typically evaluate applicants based on academic and personal accomplishment criteria. The University of Washington abandoned an academic index in 2005, deciding the state was better served by comprehensive review processes that evaluated applicant files based on the merits of each case.

⁶ <http://www.ucop.edu/sas/adguides.html>

but local Faculty committees determine the weight each criterion has in selection. In all cases academic criteria are weighted most heavily.

BOARS found that at all campuses, review and selection processes are compatible with the 12 principles and 14 criteria; campuses have clearly defined admission criteria; they monitor the reliability and integrity of the process diligently; and they strive for maximum transparency by communicating admission criteria and processes through websites and other public information vehicles.

I.2. IMPLEMENTATION OF THE NEW FRESHMAN ADMISSIONS POLICY

In 2009, the Board of Regents approved changes to the eligibility and guarantee requirements for freshman admission⁷ that were implemented for the fall 2012 admissions cycle. Prior to 2012, California high school graduates who met an index based on grades and test scores designed to capture the top 12.5% of their class were deemed UC eligible and guaranteed admission to a UC campus, although not necessarily to a campus where they applied⁸.

The new policy adds an “Entitled to Review” (ETR) category of students who are guaranteed a review but not necessarily admission to any campus if they complete 11 of 15 required a-g courses with a (weighted, capped) Grade Point Average (GPA) of at least 3.0 by the end of junior year. The policy also expands the Eligibility in the Local Context (ELC) guarantee category from the top 4% to the top 9% of graduates in each high school, and gives the top 9% of graduates statewide a guarantee as determined by an index combining grades and test scores (commonly referred to as the “9x9” guarantee). Either the ACT plus Writing or the SAT Reasoning test remain a requirement for eligibility under the new policy, but the SAT Subject Tests became optional. The a-g requirements were left unchanged.

In the first year of the new policy, all qualifying applicants received a comprehensive review, and many received a single-score holistic review as discussed in Section III.

By January of 2012, UC received 126,299 on-time applications for Freshman admission (unduplicated count) for fall 2012, a 19.1% increase over 2011; including 93,298 applications from California residents, a 9.8% increase over 2011. See Table 1 below for a comparison of on-time applicants as of January for the past ten years. (Note: Subsequent tables include the number of applicants as of dates later in the cycle.)

80,289 of the total applicant pool were admitted to a campus to which they applied, of which 63,044 were California residents. Of the 93,418 California resident applicants (including late applicants), 56,614 met an admission guarantee through the new 9x9 policy, 27,292 were in the ETR pool, and the rest did not meet either eligibility criterion initially. See Table 8 below for a breakdown of applicants and admits by eligibility category.

The increase in overall applications in 2012 was due in part to significant increases in nonresident applications (50% domestic nonresident and 66% international); however, given the basically flat

⁷ <http://www.universityofcalifornia.edu/news/eligibilitychanges/>

⁸ The 2007 CPEC study showed the index at that time captured 13.4% of California High School Graduates. The index is periodically recalibrated to meet the targeted numbers.

California high school graduation rate, the new ETR category and reduced testing requirement also may have helped encourage more California residents to apply to UC.

Approximately 19.9% (79,373) of an estimated 399,050 California public high school graduates applied to UC in 2012. There was also a 68% overall admit rate among California public high school applicants. Among California applicants, 54,116 were admitted to a campus to which they applied (this number does not include referral admissions). These numbers indicate that UC is meeting, and in fact exceeding, its Master Plan obligation to select from the top 12.5% of California high school graduates. UC's ability to do this in these difficult financial times is testimony to its commitment to provide access to California high school graduates.

At the same time, when the policy was originally conceived, it was projected that the 9x9 structure would provide a guarantee to about 10.5% of the CA public high school graduating class, and that an additional 2% would be admitted under the ETR criteria, to bring UC to the 12.5% figure expected under the Master Plan. However, 13.6% of California public high school graduates (54,116 of 399,050) received an offer of admission to a campus to which they applied, a larger percentage than was anticipated when the policy was set. This outcome is the result of 24,953 applicants meeting the statewide 9% index but not belonging to the top 9% of their high school. A greater overlap between the statewide guarantee and the ELC guarantee was anticipated. BOARS will be reviewing options for recalibrating the statewide index during 2012-13, in light of the outcomes, to continue to better align UC with Master Plan expectations. As shown in Table 3 below, UC has served more than the top 12.5% in recent years, but the new policy has brought the University closer.

Overall, the pools of applicants and admitted students had a similar academic profile, and were slightly more diverse socioeconomically, compared to 2011. 49% of California applicants who were eligible through the ETR pathway were admitted, showing that applicants eligible for comprehensive review through the ETR path are successfully obtaining UC admission. Moreover, a large proportion of the underrepresented students admitted to UC were in the new ETR and ELC-only pools, particularly the new ELC 5-9% group. Of the 93,418 California resident applicants, 48,245 (51%) did not take any of the now-optional Subject Tests, indicating that this policy change resonated with students and probably attracted applications that UC would not have received in prior years. As anticipated, this group was substantially more diverse than the test-taking group (51% first generation as opposed to 36% for Subject test takers). See Table 4 below.

The policy's goal of bringing new talent to UC is perhaps most clearly manifested in the expanded ELC pool, and in the pool of students who are entitled to review but not part of the statewide or ELC guarantee. Campuses are being encouraged to select ELC students in the referral pool for admission or wait lists.

I.3. TRANSFER CHANGE ON THE HORIZON

In June 2012, the Assembly of the Academic Senate and BOARS approved a restructuring plan for the Comprehensive Review of advanced standing (transfer) students that will help clarify the transfer process for California Community College students interested in UC, and also improve their preparation for UC-level work. The policy will be fully implemented by Fall 2015. The comprehensive review of transfer applicants will now include an evaluation of lower division major preparation (about half of transfer applicants currently are reviewed for major preparation). In addition, the policy creates

two new transfer pathways, one is a UC Transfer Curricula for each major or program at each campus, and the second is the SB 1440 AA and AS transfer degrees recently implemented by the California Community Colleges. Over the next two years, the campus Faculty Committees and Admissions Offices will develop transfer admissions guidelines for each major or program. The new transfer policy is outlined in greater detail in Section 4.

SECTION II. COMPREHENSIVE REVIEW OUTCOMES

II. 1. THE APPLICANT POOL

Freshman Applications. The University of California experienced steady growth in applications between 2009 and 2011 with a marked increase between 2011 and 2012 (19.1%). In 2009-10, UC had 98,002 freshman applicants, which represented a 27% increase in applicants over the six years since 2003-04, while UC received 126,299 applicants in 2011-12, a 26% increase over two years. This represented a 5.7% increase between 2010 and 2011 and a 19.1% increase between 2011 and 2012. (See Table 1)

Note: Table 1 compares on-time applicants from January of each year in question. Subsequent tables include all applicants as of a later date in the cycle.

Table 1: On-Time Freshman and Transfer Applicants (Fall 2003 through Fall 2012)

	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
Freshman										
California	65,087	63,097	65,435	70,494	73,825	79,489	80,730	81,991	84,975	93,298
- % increase		-3.1%	3.7%	7.7%	4.7%	7.7%	1.6%	1.6%	3.6%	9.8%
Out-of-State	9,263	8,462	8,061	9,264	9,684	11,074	11,299	11,524	12,759	19,128
- % increase		-8.6%	-4.7%	14.9%	4.5%	14.4%	2.0%	2.0%	10.7%	49.9%
International	2,581	2,500	2,656	3,083	3,704	4,638	5,973	6,805	8,336	13,873
- % increase		-3.1%	6.2%	16.1%	20.1%	25.2%	28.8%	13.9%	22.5%	66.4%
Total Freshman	76,931	74,059	76,152	82,841	87,213	95,201	98,002	100,320	106,070	126,299
- % increase		-3.7%	2.8%	8.8%	5.3%	9.2%	2.9%	2.4%	5.7%	19.1%
Transfer¹										
California	19,535	21,411	21,317	21,240	20,961	22,441	24,900	29,396	31,924	29,944
- % increase		9.6%	-0.4%	-0.4%	-1.3%	7.1%	11.0%	18.1%	8.6%	-6.2%
Out-of-State	1,129	987	718	795	804	845	779	827	845	1,018
- % increase		-12.6%	-27.3%	10.7%	1.1%	5.1%	-7.8%	6.2%	2.2%	20.5%
International	2,396	2,263	1,951	1,908	2,016	2,518	3,020	3,486	3,396	3,678
- % increase		-5.6%	-13.8%	-2.2%	5.7%	24.9%	19.9%	15.4%	-2.6%	8.3%
Total Transfer	23,060	24,661	23,986	23,943	23,781	25,804	28,699	33,709	36,165	34,640
- % increase		6.9%	-2.7%	-0.2%	-0.7%	8.5%	11.2%	17.5%	7.3%	-4.2%
Total										
California	84,622	84,508	86,752	91,734	94,786	101,930	105,630	111,387	116,899	123,242
Out-of-State	10,392	9,449	8,779	10,059	10,488	11,919	12,078	12,351	13,604	20,146
International	4,977	4,763	4,607	4,991	5,720	7,156	8,993	10,291	11,732	17,551
Total	99,991	98,720	100,138	106,784	110,994	121,005	126,701	134,029	142,235	160,939

Note: Data in this table represent in-progress figures from the same point in time. Source is the UC Application Processing file.

As dramatic as this sounds, a significant portion of the growth was in nonresident applications as shown in Table 1 above. The growth in freshman applications therefore cannot be attributed solely to the policy changes—it also reflects changes in nonresidents’ perception of the openness of UC to them as well as a general trend among college applicants towards increasing their number of backup applications (public universities across the US are also experiencing nonresident application growth). Nevertheless, it is worth noting that the increase in applications from California students (9.8%) was more than double that the previous year (3.6%). During this period, California high school graduation rates remained basically flat.

Staff in the admissions offices managed to keep pace with the demands of an increased applicant pool this year, but they also communicated to BOARS that they are finding it increasingly difficult to get the job done, particularly because of the additional time involved in evaluating international applications. In 2010-11, BOARS reviewed time demands on Admissions staff and learned that the review of a domestic application averages 5 to 8 eight minutes, while an international application can take up to one hour because of the complexities of interpreting transcripts. In the coming year, the Systemwide Strategic Admissions Taskforce will be developing a plan for greater collaboration among the campuses in the evaluation of international applications. BOARS will continue to monitor the personnel and funding situation of campuses and advocate for appropriate funding, as necessary.

Transfer Applicants. At the transfer level, a different picture emerges. As seen in Table 1 above, applications from California community college students rose significantly in each year between 2008 to 2011, but declined by 4.2% in 2012. The decline has informally been attributed to the effect of budget cuts—declining Community College course access and increased tuition. When viewed in this context, it appears more likely that the substantial increase in freshman applications for 2012 may indeed be due to the new admissions policy. As discussed below, the Senate and BOARS will be implementing Comprehensive Review reforms and adding two pathways for transfer admission effective 2015. The rise and fall of transfer applications between 2010 and 2012 was due mostly to California applicants, with modest increases in nonresident domestic and international applications.

II. 2. CALIFORNIA RESIDENT FRESHMAN APPLICANTS IN THE LIGHT OF THE ELIGIBILITY CHANGES

Of the 126,455 unduplicated applications for freshman admission (including late application) for fall 2012, 93,418 were from California residents, a 9.8% increase over 2011. Of these California resident applicants, 56,614 met the criteria for at least one admission guarantee according to the new “9x9” rule; 27,292 were in the Entitled to Review pool; and the rest were not in either category. The guarantee number is larger than anticipated when the policy was designed, largely because the statewide 9% index yielded more students than anticipated. BOARS will determine whether or not it needs to be recalibrated over the next few years.

The California resident applicant pool was also the most diverse ever; for California resident applicants, 36% were underrepresented minorities (African American, Chicano/Latino, American Indian) and 44% were First Generation College students. The average GPA was 3.44 with students averaging 48 semesters of “a-g” courses (30 is the minimum) and 12 semesters of honors courses.

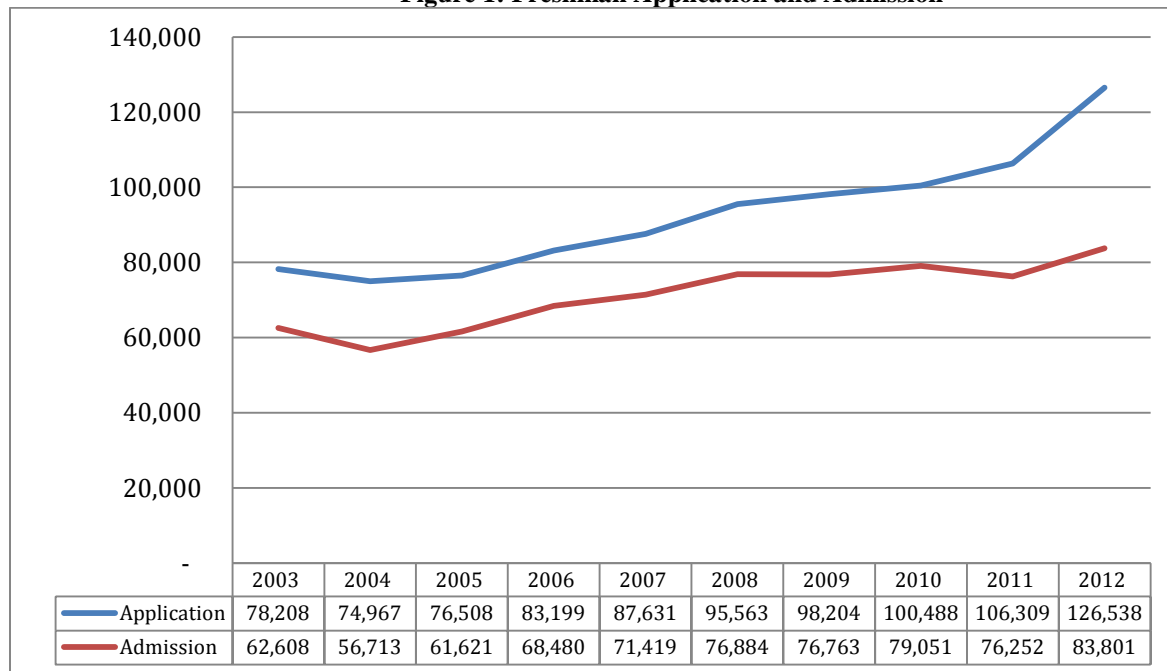
In 1998, the Regents approved the Eligibility in the Local Context (ELC) program, which provided an admissions guarantee to students ranked in the top 4% of their high school. It was first applied to the fall 2001 entering class. For the fall 2012 entering class, this ELC guarantee was increased from 4% to 9% as part of the eligibility changes (simultaneously, the statewide guarantee based upon an index of GPA and test scores was reduced from a target of 12.5% to 9%). The 2010 report noted that ELC has been an effective method of attracting the top students based on performance in a variety of high schools throughout the state. In addition, once ELC students are admitted, their yield rate has been stable at about 60%, indicating that this program remains one of the most significant pathways to UC for students across California. More details on yield are provided in section II.5.

During 2011-12, 1,388 California high schools participated in ELC by providing UC data on their graduating classes. Excluding high schools that do not have graduates, have accreditation issues, or lack a full set of “a-g” courses, this is a 95% participation rate. Of those schools that do not participate we have found that very few of their graduates apply to UC (the number is approximately 300 out of the 93,418 California applicants) showing that the ELC evaluation is widely available to California students.

II. 3. ADMISSION

For Fall 2012, UC admitted a record 80,289 applicants as freshmen. Figure 1 shows systemwide trends in the number of freshman applicants and admits since the implementation of Comprehensive Review in 2001-02. As is apparent from Figure 1, despite the worst financial crisis in recent history, UC has maintained admit numbers in the past two years, and as noted in section II.4, has continued to honor its Master Plan obligations to California students.

Figure 1: Freshman Application and Admission



Note: Data for admission rates for fall 2003 through 2011 are based on final data in the UCOP Corporate Student System. Data for fall 2012 are in-progress data from the UC Application Processing (UCAP) file dated May 25, 2012. Referral offers excluded for fall 2011 and 2012.

The campus data in Table 2 below illustrates the increased selectivity across the system, with Merced the only campus that accepts referrals at this point in time. It needs to be kept in mind that beginning 2011 Merced changed its referral practice and potential referrals have to respond to an email asking to indicate their interest in a referral offer, and those who do not respond to this email are no longer listed as admits. The drop in admit rates in 2012 is due to increased applications, particularly nonresident, but also residents.

Table 2. Admit Rates by UC Campus, Selected Years, All Freshman Applicants

Campus	Fall 2003	Fall 2005	Fall 2007	Fall 2009	Fall 2010	Fall 2011	Fall 2012
System	80.1%	80.5%	81.5%	78.2%	78.7%	71.7%	66.2%
Berkeley	29.8%	32.4%	28.6%	26.7%	25.8%	26.1%	21.5%
Davis	56.8%	60.8%	58.6%	47.4%	46.3%	48.3%	45.3%
Irvine	53.8%	60.4%	55.6%	44.2%	45.2%	47.5%	42.4%
Los Angeles	23.5%	26.9%	23.6%	21.9%	22.7%	25.5%	22.1%
Merced		86.4%	89.6%	91.3%	88.6%	80.0%	75.5%
Riverside	84.0%	79.8%	86.6%	83.8%	75.9%	68.2%	62.6%
San Diego	40.3%	43.8%	42.3%	37.4%	37.9%	35.3%	37.7%
Santa Barbara	50.0%	52.8%	54.4%	48.1%	45.5%	46.3%	44.6%
Santa Cruz	79.0%	74.3%	81.1%	63.6%	63.8%	67.3%	60.8%

Note: Data for admission rates for fall 2003 through 2011 are based on final data in the UCOP Corporate Student System. Data for fall 2012 are in-progress data from the UC Application Processing (UCAP) file dated May 25, 2012. Referral offers excluded for fall 2011 and 2012.

II.4. THE CALIFORNIA RESIDENT ADMIT POOL

In 2012, UC admitted 63,044 of 93,418 California resident applicants for freshman admission. 54,116 of 79,373 public high school applicants were admitted, or 13.6% of the total California public high school graduating class. The average GPA was 3.59 with students averaging 49 semesters of “a-g” courses (30 is the minimum) and 14 semesters of honors courses. 86% of the California admit pool were from public high schools.

A question arising in the public conversation about UC admissions is whether UC is meeting its Master Plan obligations to California residents. Table 3 below shows the best estimates that the University can provide of the percent of high school students admitted. It is an underestimate of eligibility given that it excludes qualified students who did not apply for fall 2012 admission at UC. All applicants who were guaranteed admission (statewide or ELC) and all admitted “ETR” students are included in the table.

54,116 California Public high school graduates were admitted to a UC campus to which they applied in 2012. This represents over 13% of California Public High School graduates. This demonstrates UC’s continuing commitment to the Master Plan.

Table 3: California Public High School Admissions Outcomes as a Percent of High School Graduates⁹, 2010-2012

	Fall 2010	Fall 2011	Fall 2012
CA Public HS Graduates	404,899	400,822	399,050 (estimated)
All CA Pub HS Applicants	70,458	71,952	79,373
% of CA Pub HS Graduates	16.5%	18.3%	19.9%
CA Pub HS Applicants Guaranteed Admission	55,981	60,912	48,120
% of CA Pub HS Graduates	13.8%	15.2%	12.1%
		Admitted "ETR" Students	11,459
		% of CA Pub HS Graduates	2.9%
		2012 Total Guaranteed PLUS ETR Admits	59,579
		% of CA Pub HS Graduates	14.9%
		2012 Total Admitted to Campus of Choice	54,116
		% of CA Pub HS Graduates	13.6%

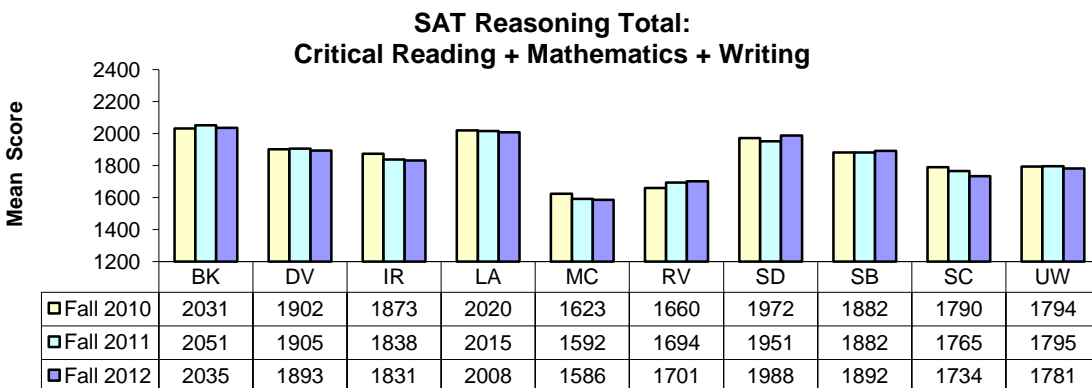
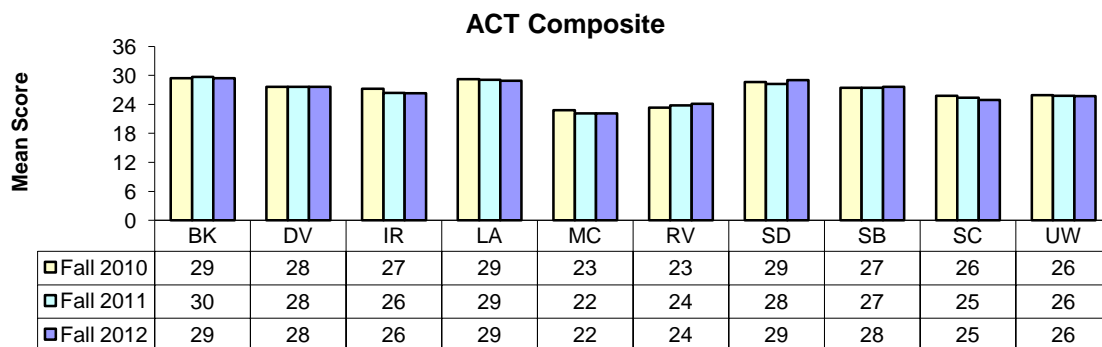
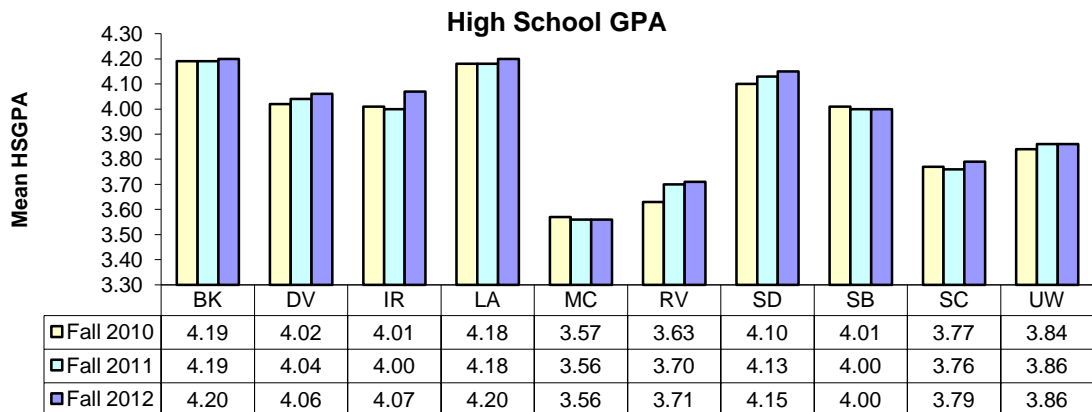
As in past eligibility studies conducted by the recently eliminated California Postsecondary Education Commission (CPEC), the University's guarantee structure appears to be accommodating more than the top 12.5 percent of California High School graduates. The public school applicants qualifying for the guarantee (48,120) constitute 12.1 percent of the total graduating class (399,050). The admitted ETR students (11,459) constitute 2.9 percent. Overall, the combination of these groups represents 14.9 percent. The changes in Eligibility reduced the referral pool from 12,059 in 2011 to 9,060 in 2012. It is important to note that 54,116 California Public high school graduates were admitted to a UC campus to which they applied. This represents over 13% of California Public High School graduates. This demonstrates UC's continuing commitment to the Master Plan.

II. 5. ACADEMIC INDICATORS OF ADMITTED STUDENTS

As noted in the 2010 Report, Academic indicators for admitted students show that, despite increases in the number of admits between 2003 and 2009 there were small but steady increases in the academic qualifications in admits. These same indicators are given here for freshman admits to the years 2010, 2011, 2012 in order to illustrate the impact of the Eligibility Changes for 2012.

⁹ Although students from both private and public high schools in California benefit from the structure of UC policies, the 12.5% Master Plan guarantee is measured by the proportion of public high school graduates.

Figure 2: Academic Profile of Admitted California Freshmen 2010-2012



Between 2010 and 2012 at all campuses the GPA of Freshman admits has increased slightly or remained flat. The GPA is the most significant academic indicator for admission and as noted in the 2010 report is the indicator that correlates most significantly with success in college courses. Test scores (ACT Composite and SAT Reasoning Total) were either flat or dipped slightly at the campuses. The two campuses where scores inched up (Riverside and Santa Barbara) both incorporate test scores as part of a point system for academic indicators whereas at five of the six campuses using single score “holistic” reviews test scores were flat or dipped a little bit. Among California applicants, the

following Table 8 below shows that admits who did not take the SAT Subject tests (26,728 of 63,044 or 42%) had lower test scores than those who did—one of the goals of the eligibility changes was to bring these students into UC. While there is no way to know how many might have taken the tests and applied to UC in a prior year, a reduced level of test preparation as well as the expansion of the pool likely contributed to the slight dip.

Table 4: Fall 2012 Preliminary Admits by Number of SAT Subject Exams

	Number of Exams							
	0		1		2 or More		Total	
	Appls	Admits	Appls	Admits	Appls	Admits	Appls	Admits
	48,245	26,728	6,276	4,306	38,897	32,010	93,418	63,044
Ethnicity								
Afr Am	8%	6%	5%	4%	4%	3%	6%	5%
Asian	24%	26%	40%	42%	42%	44%	33%	37%
Chic/Lat	35%	33%	23%	21%	25%	23%	30%	27%
White	29%	31%	29%	29%	26%	26%	28%	28%
1st Gen College	51%	50%	37%	36%	37%	36%	44%	42%
School Type								
Public	86%	87%	83%	83%	84%	85%	85%	86%
Low API	28%	28%	17%	16%	21%	20%	24%	23%
Discipline								
Engin/Comp Sci	17%	17%	19%	19%	27%	28%	22%	23%
Physical Sci	8%	9%	9%	9%	10%	10%	9%	9%
Mathematics	2%	3%	3%	3%	3%	3%	3%	3%
Biological Sci	21%	22%	21%	22%	23%	23%	22%	23%
Bus Adm/Soc Sci	33%	34%	34%	34%	27%	26%	30%	30%
All Other Disciplines	18%	16%	14%	13%	11%	10%	15%	13%
Academic Profile								
Ave GPA	3.52	3.73	3.66	3.81	3.86	3.96	3.67	3.85
Ave ACT	23	24	25	26	26	27	25	26
Ave SAT								
Reading	519	539	559	575	599	613	556	580
Math	537	559	589	607	632	646	581	608
Writing	523	545	572	591	614	629	566	592
AG Sem Courses	47	47	48	49	50	50	48	49
Honors Sem Courses	9	11	12	13	15	16	12	14

This table also shows that this group of admits that did not take the Subject Tests is considerably more diverse, has more first generation students, and more students from low API schools than the group that took the Subject tests. They are also less likely to be interested in studying STEM disciplines and more

likely to be interested in social sciences. This is consistent with the recommendations from disciplines (in particular Engineering) that recommend subject tests for applicants to their fields.

The number of semesters of “a-g” courses is the same in 2012 as in 2001 (49) as is the average number of honors semesters (14). However, the average number of honors courses varies greatly between those who take the subject tests and those who do not (which is entirely logical as many of these honors courses serve as the best possible preparation for the subject tests. Access to these courses is variable across the state, with students in low API schools typically having less access, which is consistent with the observation that the non Subject Test takers are more likely to come from low API schools. Comprehensive Review is designed to take into account the academic opportunities of students, and although the admit rate of non Subject Test takers is lower than that of applicants who take two Subject Tests (55.4% vs. 82.2%), they are still admitted in solid numbers. BOARS has decided to look at this issue more closely over the coming years to determine the influence of Test Taking on admission for comparable academic profiles, but this information is not yet available.

II. 6. YIELD

Freshman. Universitywide 42,753 Freshman admits submitted a Statement of Intent to Register (SIR) for Fall 2012, up from 38,098 in 2010 and 39,989 in 2011. This is an increase of 4,655 SIR’s over the two-year period, a 12.2% increase. The California Resident SIR’s were flat between 2010 and 2011 (35,056 and 35,064 respectively) so the growth that year was entirely due to nonresidents. But 2012 saw a slight increase of California residents SIRs, 1,076 out of 36,140 (3%). The remaining growth in SIRs was the 1688 additional nonresidents, the bulk of which (1376) were International students. The growth in International SIRs is the result of a concerted and collaborative effort on the part of the campuses and the Systemwide Strategic Admissions Taskforce (SSAT) will continue efforts to streamline nonresident application evaluation in the coming years.

Table 5.1: Universitywide Freshman Statement of Intent to Register (SIR) Unduplicated Count

	2010	2011	2012
California	35,056 92.0%	35,064 87.7%	36,140 84.5%
Out-of-State	1,522 4.0%	2,460 6.2%	2,772 6.5%
International	1,520 4.0%	2,465 6.2%	3,841 9.0%
Total	38,098 100.0%	39,989 100.0%	42,753 100.0%

Among the 63,044 2012 California resident admits, 36,140 submitted Statements of Intent to Register (SIR) for a yield of 57.3%. When restricted to public high school graduates, these numbers become 32,337 of 54,116, a yield of 59.7%.

Transfer. Universitywide 18,410 transfer admits submitted a Statement of Intent to Register (SIR) for Fall 2012, down from 18,935 in 2010 and 18,796 in 2011. The California Resident SIR’s also dropped over this period 16,826 in 2010, 16,651 in 2011 and 16,228 in 2012.

Table 5.2: Universitywide Transfer Statement of Intent to Register (SIR) Unduplicated Count

	2010		2011		2012	
California	16,868	89.1%	16,651	88.6%	16,228	88.1%
Out-of-State	99	0.5%	120	0.6%	116	0.6%
International	1,968	10.4%	2,025	10.8%	2,066	11.2%
Total	18,935	100.0%	39,989	100.0%	42,753	100.0%

Nonresident transfer SIR's increased by .9% to 11.8% over the past two years, nowhere near as dramatic as in Freshman SIRs where nonresidents have grown from 8% to 15.5%. Although nonresident enrollment at UC during 2011-12 was approximately 8.8%, if sustained, the current spurt in nonresident enrollment will move UC beyond the 10% target set earlier by the system in a few years.

II. 7. ATTRACTING AND ADMITTING DIVERSE STUDENTS

One measure of excellence relates to the traditional academic indicators, GPA, standardized test scores, numbers of "a-g" and honors courses, discussed in the prior section, but an important test of comprehensive review is whether selection processes fulfill the mission of a great public university: to provide access to diverse quarters of the state. It is critical to this mission for admission policies and practices to balance increasing selectivity while acknowledging persistent inequalities in California schools and other opportunity deficiencies that impede the ability of talented students to meet their potential. The extent to which UC is fulfilling this mission can be assessed by examining systemwide and campus-specific outcomes using a range of demographic indicators, and by placing the academic indicators discussed in the previous section in context. Several demographic and school indicators we examined include first generation to college, income levels, the high school's rank on the Academic Performance Index (API), residency, and the representation of racial/ethnic minority groups.

Freshman Applicants, Admits, SIRs and Diversity 2010-2012

Tables 6 and 7 summarize the diversity of UC's freshman applicant, admit, and SIRs over the past three years. Table 6 gives numbers and Table 7 gives percentage of the entire pool, except the last column, which shows the percent increase in each category. Table 7 is useful, because one can see how the diversity is impacted as the applicant pool flows through to admits and SIRs. Table 6 has actual numbers, which are necessary to look at when percentages are small. The last column in each year refers to SIR numbers, not enrollment numbers. This is done for comparison reasons and the SIRs are taken at comparable times in the process. Actual enrollments are lower. In 2010, although the table shows 35,056 SIRs and, 31,897 enrolled—there was a drop of 9.1%. For 2011 there were 35,064 SIRs while in the end 32,114 enrolled—a drop of 8.4%. A similar drop is anticipated this year, with one unknown whether or not the increased number of nonresidents will "melt" at a different rate than California residents.

**Table 6: University of California Applicants, Admits, Statement of Intent to Register (SIR) Counts
California Resident FRESHMEN by Race/Ethnicity
Fall 2010, 2011 and 2012**

	2010			2011			2012			2yr SIR change
	Appl.	Admit	SIR	Appl.	Admit	SIR	Appl.	Admit	SIR	
African American	4,736	2,450	1,391	4,843	2,411	1,402	5,692	2,720	1,537	146
American Indian	714	486	271	623	404	223	692	427	226	-45
Asian American	26,359	20,806	14,327	27,681	21,316	14,393	30,086	22,278	14,911	584
Chicano/Latino	20,323	13,699	8,029	23,976	15,418	9,096	28,054	16,775	9,651	1,622
Pacific Islander	260	149	79	253	151	90	336	175	90	11
White	25,180	18,003	9,251	25,562	18,123	9,123	25,911	17,301	8,771	-480
Other Missing	4419	3,184	1,708	2,037	1,465	737	2,527	1,767	954	-754
Total	81,991	58,777	35,056	84,975	59,228	35,064	93,298	61,443	36,140	1084

**Table 7: University of California Statement of Intent to Register (SIR) Percent of Total
California Resident FRESHMEN by Race/Ethnicity
Fall 2010, 2011 and 2012**

	2010			2011			2012			% increase 2 year SIR
	Appl.	Admit	SIR	Appl.	Admit	SIR	Appl.	Admit	SIR	
African American	5.8%	4.2%	4.0%	5.7%	4.1%	4.0%	6.1%	4.4%	4.3%	10.5%
American Indian	0.9%	0.8%	0.8%	0.7%	0.7%	0.6%	0.7%	0.7%	0.6%	-16.6%
Asian American	32.1%	35.4%	40.9%	32.6%	36.0%	41.0%	32.2%	36.3%	41.3%	4.0%
Chicano/Latino	24.8%	23.3%	22.9%	28.2%	26.0%	25.9%	30.1%	27.3%	26.7%	20.2%
Pacific Islander	0.3%	0.3%	0.2%	0.3%	0.3%	0.3%	0.4%	0.3%	0.2%	13.9%
White	30.7%	30.6%	26.4%	30.1%	30.6%	26.0%	27.8%	28.2%	24.3%	-5.2%
Other Missing	5.4%	5.4%	4.9%	2.4%	2.5%	2.1%	2.7%	2.9%	2.6%	
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	3.1%

The distribution of students in the California Freshman SIR's over the past three years is given as the third entry in each third column of Table 6 and as a percent of total SIRs in Table 7. Applications from underrepresented groups (African Americans, American Indian, Chicano/Latino, Pacific Islander) have grown as a percentage of the applicant pool over the past three years: 26,033 of 81,991 (31.8%) in 2010, to 29,695 of 84,975 (34.9%) in 2011, to 34,774 of 93,298 (37.3%) 2012. As this growth rate exceeds that of the California high school graduating class, it shows that diverse populations increasingly view UC as a serious option for their future. However, underrepresented minority representation at UC still falls short of their relative percentage in the graduating class. UC must continue to work to enhance this part of its public mission.

When the corresponding numbers are considered for the pool of admitted students, the underrepresented numbers are: 16,784 of 58,777 (28.6%) in 2010, to 18,384 of 59,228 (31.0%) in 2011, to 20,405 of 63,044 (32.4%) in 2012. These numbers do not include referral or waitlist offers, and therefore only include admission offers from campuses to which these students applied. This steady gain reflects the gain in applicant numbers.

During the past three years, the UC admit pool has also seen steady growth in the number of first generation students: they were 38.5% of admits in 2010, 41.3% of admits in 2011, and 42.3% of admits

in 2012. Among low family income students, there was a dip followed by some gains: 39.4% of admits in 2010, 36.9% of admits in 2011, and 38.1% of admits in 2012. There have been slow but steady gains in admits from low API Schools: 21.4% of admits in 2010, 22.8% of admits in 2011, and 23.6% of admits in 2012.

It is important to note that in all these categories, UC saw gains as the 2012 eligibility reform policies took effect, showing that concerns in this area expressed by some at the time the policy was adopted did not materialize. But it is still way too soon to determine the impact of the policies and BOARS will be monitoring the data closely over the next two years.

Transfer SIRs and Diversity 2010-2012

The corresponding growth in transfer applicant SIRs from underrepresented groups is more gradual: 7,584 of 29,396 (25.8%) in 2010, to 9,130 of 84,975 (28.6%) in 2011, to 8,789 of 29,944 (29.3%). As noted earlier, the drop in transfer applications in 2012 may be due to declining course access as a result to the financial crisis, which could particularly affect application rates for these populations. As discussed below, during 2010-12 BOARS (with Academic Assembly approval) restructured transfer selection beginning in 2015 to accommodate the new SB 1440 AA and AS degrees for transfer and to incorporate major based criteria more fully into the Comprehensive Review of transfer applicants. The proponents and authors of SB 1440 argued that these new degrees would simplify the transfer process for California Community College students and thereby increase UC/CSU access for a more diverse population. BOARS hopes these assertions turn out to be true, and is pleased that the Senate has agreed with its plan to align transfer admission processes with these new AA and AS degrees. Another possible factor noted by former Admissions Director Susan Wilbur is that underrepresented populations are more likely to choose a for-profit college as opposed to UC as are other populations. This is a point worthy of further study.

UC as a Vehicle of Social Mobility: The SIR Academic Profile in 2012

In this section, we pay close attention to data on Statements of Intent to Register (SIR), because the reporting of admit numbers has varied in recent years due to changes in the referral pool management. In Table 8 below, the distribution of applicants, admits, and SIRs according ethnicity and eligibility category is provided. This information is important because one of the goals of eligibility reform was to provide access to high school graduates who completed 'a-g' and had strong academic credentials, but fell short of the prior eligibility rules.

As just noted, more first-generation college students (defined as coming from families where *neither* parent had a bachelor's degree) are seeking and gaining admission to UC. Among California applicants, the 2011-12 admit pools grew substantially over prior years: 44% of 93,418 California applicants are first-generation, as are 42% of California admits and 45% of SIRs (which translates to 16,263 SIRs). It is important to note that among California applicants who meet the ETR criteria, but do not have a statewide or ELC guarantee, these numbers are 58%, 63% and 65% respectively (4,452 SIRs), and among the ELC-non-Index Eligible students 81%, 83%, 84% (2,123 SIRs), which means that 41% (6,665 of 16,423) of the First Generation SIRs for Fall 2012 were in the two new categories of eligibility created by the new policy.

A similar pattern emerges for SIRs from schools with Academic Performance Index (API) scores in the bottom two quintiles. 20% of 93,418 California applicants are from low API schools, as are 19% of California admits and 21% of SIRs (which translates to 7,734 SIRs). Among these California applicants, in the ETR–non guarantee group these numbers are 24%, 27% and 29% respectively (2,115 SIRs), and among the ELC-non-Index Eligible students 64%, 65%, 66% (1,674 SIRs), which means that 49% (3,789 of 7,734) of the First Generation SIRs for Fall 2012 were in the two new categories of eligibility created by the new eligibility policy.

Underrepresented minorities constitute 37% of California applicants, 32% of California admits, and 32% of SIRs (which translates to 11,414 SIRs). Among these California applicants, in the ETR–non guarantee group these numbers are 50%, 51% and 50% respectively (3,492 SIRs), and among the ELC-non-Index Eligible students 71%, 72%, 71% (1,803 SIRs), which means that 46% (5,295 of 11,414) of the underrepresented minority SIRs for Fall 2012 were in the two new categories of eligibility created by the new eligibility policy.

Figure 3: Profile of Admitted California Freshmen 2010-2012

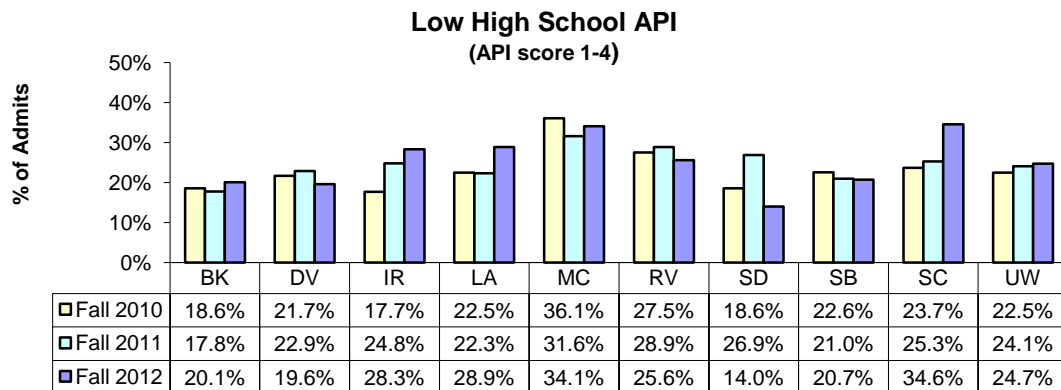
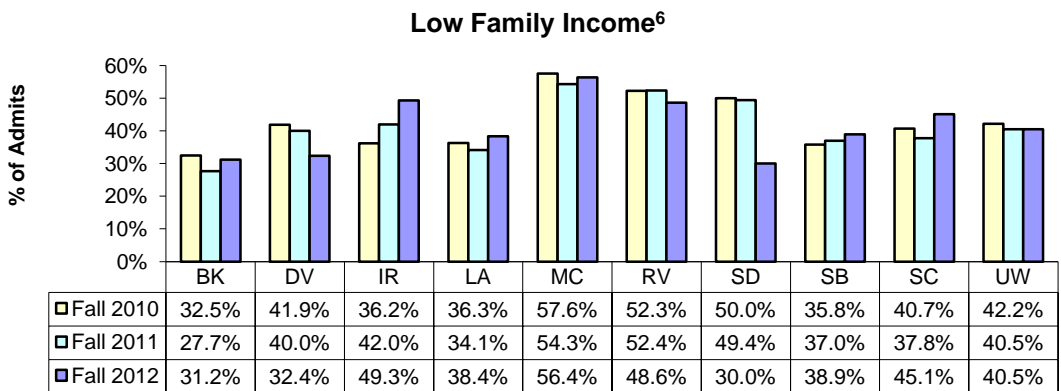
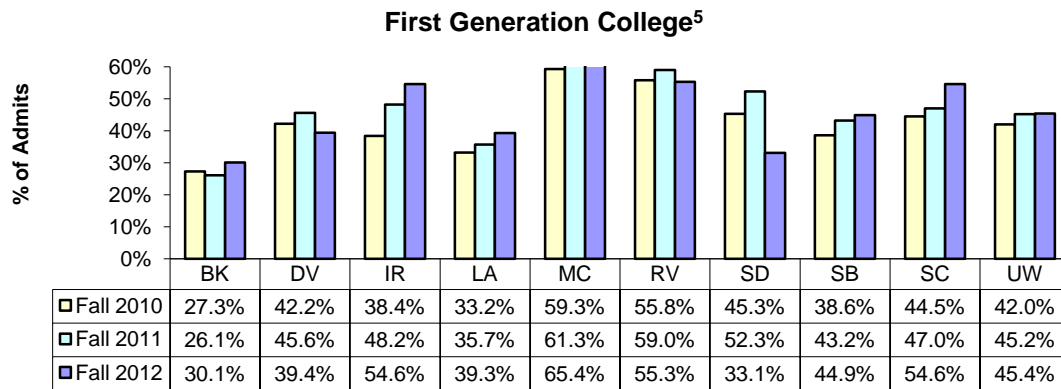


Table 8: Profile of Applicants, Admits, and SIRs for Fall 2012 by Admissions Eligibility Category

	Index Eligible Only					ELC Eligible Only					Index & ELC Eligible				
	Appls	Admits	Admit Rate	SIRs	Take Rate	Appls	Admits	Admit Rate	SIRs	Take Rate	Appls	Admits	Admit Rate	SIRs	Take Rate
Universitywide	24,960	19,387	78%	10,126	52%	5,535	4,341	78%	2,526	58%	26,119	24,704	95%	15,709	64%
Ethnicity															
Afr Am	835	645	77%	304	47%	394	274	70%	165	60%	799	734	92%	403	55%
Am Ind	195	146	75%	78	53%	19	14	74%	8	57%	198	180	91%	89	49%
Asian	9,652	8,175	85%	4,963	61%	1,044	823	79%	522	63%	10,139	9,781	96%	7,015	72%
Chic/Lat	3,394	2,511	74%	1,246	50%	3,512	2,831	81%	1,630	58%	6,164	5,827	95%	3,692	63%
White	10,027	7,247	72%	3,211	44%	462	320	69%	166	52%	8,001	7,410	93%	4,077	55%
Unkn	857	663	77%	324	49%	104	79	76%	35	44%	818	772	94%	433	56%
1st Gen College	5,451	4,464	82%	2,746	62%	4,489	3,595	80%	2,123	59%	9,972	9,489	95%	6,662	70%
School Type															
Public	18,881	14,889	79%	8,442	57%	5,359	4,209	79%	2,465	59%	23,880	22,611	95%	14,700	65%
Private	5,860	4,316	74%	1,579	37%	103	69	67%	30	43%	2,100	1,968	94%	928	47%
Unknown	219	182	83%	105	58%	73	63	86%	31	49%	139	125	90%	81	65%
Low API	887	740	83%	489	66%	3,521	2,826	80%	1,674	59%	4,967	4,774	96%	3,400	71%
	Entitled To Review					Do Not Meet The Other Criteria					Total				
	Appls	Admits	Admit Rate	SIRs	SIR Rate	Appls	Admits	Admit Rate	SIRs	SIR Rate	Appls	Admits	Admit Rate	SIRs	SIR Rate
Universitywide	27,292	13,252	49%	7,038	53%	9,512	1,360	14%	741	54%	93,418	63,044	67%	36,140	57%
Ethnicity															
Afr Am	2,365	1,053	45%	576	55%	1,326	128	10%	89	70%	5,719	2,834	50%	1,537	54%
Am Ind	201	92	46%	50	54%	79	6	8%	1	17%	692	438	63%	226	52%
Asian	7,324	3,912	53%	2,286	58%	2,283	398	17%	215	54%	30,442	23,089	76%	15,001	65%
Chic/Lat	11,100	5,552	50%	2,866	52%	3,898	412	11%	217	53%	28,068	17,133	61%	9,651	56%
White	5,762	2,397	42%	1,131	47%	1,706	368	22%	186	51%	25,958	17,742	68%	8,771	49%
Unkn	540	246	46%	129	52%	220	48	22%	33	69%	2,539	1,808	71%	954	53%
1st Gen College	15,912	8,335	52%	4,542	54%	5,741	656	11%	350	53%	41,565	26,539	64%	16,423	62%
School Type															
Public	23,276	11,459	49%	6,205	54%	7,977	948	12%	525	55%	79,373	54,116	68%	32,337	60%
Private	3,078	1,318	43%	568	43%	909	143	16%	82	57%	12,050	7,814	65%	3,187	41%
Unknown	938	475	51%	265	56%	626	269	43%	134	50%	1,995	1,114	56%	616	55%
Low API	6,621	3,567	54%	2,015	56%	2,661	298	11%	156	52%	18,657	12,205	65%	7,734	63%

Note: Eligibility statuses are based on self-reported academic information. Data are in-progress as of 05/24/12.

	Index Eligible Only			ELC Eligible Only			Index & ELC Eligible		
	Appls	Admits	SIRs	Appls	Admits	SIRs	Appls	Admits	SIRs
Universitywide	24,960	19,387	10,126	5,535	4,341	2,526	26,119	24,704	15,709
Demographic Profile									
Ethnicity									
Afr Am	3%	3%	3%	7%	6%	7%	3%	3%	3%
Asian	39%	42%	49%	19%	19%	21%	39%	40%	45%
Chic/Lat	14%	13%	12%	63%	65%	65%	24%	24%	24%
White	40%	37%	32%	8%	7%	7%	31%	30%	26%

1st Gen College	22%	23%	27%	81%	83%	84%	38%	38%	42%
School Type									
Public	76%	77%	83%	97%	97%	98%	91%	92%	94%
Low API	4%	4%	5%	64%	65%	66%	19%	19%	22%
	Entitled To Review			Eligibility not verified by UCOP			Total		
	Appls	Admits	SIRs	Appls	Admits	SIRs	Appls	Admits	SIRs
Universitywide	27,292	13,252	7,038	9,512	1,360	741	93,418	63,044	36,140
Demographic Profile									
Ethnicity									
Afr Am	9%	8%	8%	14%	9%	12%	6%	5%	4%
Asian	27%	30%	32%	24%	29%	29%	33%	37%	42%
Chic/Lat	41%	42%	41%	41%	30%	29%	30%	27%	27%
White	21%	18%	16%	18%	27%	25%	28%	28%	24%
1st Gen College	58%	63%	65%	60%	48%	47%	44%	42%	45%
School Type									
Public	85%	86%	88%	84%	70%	71%	85%	86%	89%
Low API	24%	27%	29%	28%	22%	21%	20%	19%	21%

Note: Eligibility statuses are based on self-reported academic information. Data are in-progress as of 05/24/12.

Overall these data indicate that many of the goals of the eligibility changes were met. Many students were admitted who met the ELC guarantee alone or were ETR students without the guarantee. Moreover, these groups of admitted and SIR students were more diverse and more likely to be first generation and/or from low API schools than students in the statewide eligible pool. Analyses by BOARS over the next few years will fill this out in greater detail as the new eligibility criteria and the new individualized review practices settle in.

SECTION III. THE REVIEW PROCESS: IMPLEMENTING INDIVIDUALIZED AND SINGLE SCORE REVIEW

The primary advantage of a Comprehensive Review process is that its multiple criteria allow campuses to consider a wide range of student achievements, understand discrepant information (e.g. high grades and low test scores), and evaluate student resilience and promise, in addition to standard indicators of achievement. It is up to applicants to make their case by providing detailed information about academic and personal accomplishments and answering essay questions to the best of their ability. All UC applicants submit a [personal statement](#) that provides additional information and insight for readers.

The 2010 Report described the principles of comprehensive review in detail and discussed its implementation at the nine undergraduate campuses. It outlined the different approaches in place at that time; including single score (“holistic”) evaluative approaches, two stage or multiple stage approaches, fixed weight methods, the role of supplemental review, and how each employs methods of quality assurance in their review processes. Most of the general information is still accurate and relevant; however, there have been substantial shifts in the approaches used in four campuses and the level of cross-campus collaboration has increased dramatically over the past two years, largely in response to the adoption by the Regents in their January 2011 [Resolution on Individualized Review and Holistic Evaluation in Undergraduate Admissions](#) (Regents Policy 2108).

III. 1. DESCRIPTION OF CAMPUS SELECTION PROCESSES USING COMPREHENSIVE REVIEW

In this section, we outline the review processes in place at each campus and indicate what, if any, changes have been implemented since the Regents adopted their January 2011 Resolution on Individualized Review. While local practices differ, all campuses incorporate both academic and contextual factors into their assessment of student talent and potential. At all campuses, Comprehensive Review processes incorporate a significant amount of quantitative information about student achievement.

It is too early to determine the overall impact of the change to holistic review, as campuses are learning to implement the new process, and will make adjustments over the next few years. BOARS found little change in the diversity of the admit pool after one year—in other words, moving to holistic review is not an instant panacea for diversity as some had hoped. In fact, while socio-economic diversity increased at several campuses using holistic review this year, it declined at others. As with the freshman admissions policy, diversity gains or losses are not

necessarily the result of specific policy changes, and should be considered in the context of the state's demographic changes and the larger resident and non-resident applicant pools. Campuses are implementing holistic review because they view it as a more equitable approach, although three have chosen not to implement a single-score review system because they believe that their current systems are producing solid outcomes using different strategies.

Berkeley

Berkeley's Holistic Review system has been in place for more than a decade, and served as the foundation for Holistic Review processes implemented at other campuses. The process has been most affected by the recent growth in domestic non-resident and international applicants and enrollments. In particular, the cost of administering holistic review at Berkeley is growing as a result of the larger non-resident applicant pool, the additional work involved in establishing meaningful school context information for domestic nonresident applicants compared to residents, and the specialized staffing required to review international applications, which often need manual intervention to calculate and calibrate grades as some students struggle to fit their international secondary school experience into the grid for "a-g" course work.

ELC has always been a plus factor in application review at Berkeley, but has never been a factor in selection. In the years when Berkeley's ratio of residents in the admit pool was closer to 90%, about 60% to 65% of students with ELC designation were admitted. This year with increase in ELC designation from 4% to 9% it was 40%.

Berkeley's Office of Undergraduate Admissions staff consulted with faculty and staff at most other UC campuses as holistic review was being implemented systemwide. The Berkeley admissions office also has taken on a greater portion of systemwide shared reviews by sharing read scores on overlap applicants with other campuses. Berkeley has made the process more efficient while ensuring a baseline level of quality in the application reviews. But continuing this kind of quality review, used by other campuses in selection, will require a level of resources that keeps up with the increase in applications.

Davis

Davis implemented a single score holistic review process for the first time in 2011-12, transitioning from a two-stage, multiple score process used the previous ten years. The campus was enthusiastic about moving to holistic review and an individualized evaluation with a human read of all applications that takes into account academic and non-academic achievements in the context of available opportunities.

The transition has been a success. Davis has worked to develop processes, procedures, and policies that enable fair, thorough and high-quality comprehensive review and that result in providing opportunity and access to a diverse high achieving admitted and enrolled freshman class. The Senate Committee on Admissions & Enrollment (CAE) established guiding principles and designed a process based on the Regents policy to ensure that all HR reads were of the highest quality and normed appropriately for consistency. The process incorporated new tools and processes such as training manuals; a new HR read profile; on-campus and off-campus training and monitoring logistics; a certification and norming system; the recruitment, screening, selection, hiring and training of external readers; the identification and training of HR Team

Leaders who also had to manage the normal daily responsibilities; the development, testing and implementation of a calibration and reliability system; establishment of an import and export system to receive, utilize and share HR scores; establishment and implementation of a new Supplemental Review process; and the development, testing and production of new reports and monitoring tools.

There were also issues identified in the transition to the new process including a) The time and effort involved in developing the new holistic review process b) The difficulty of achieving milestones within established timelines and meeting important deadlines c) Dependence on UCOP and CAE faculty to provide critical analytic support lacking within the Admissions Office, and d) Personnel changes and lack of staff expertise in certain areas.

Davis attracted more applications from low income, first generation, ELC, domestic and international non-resident, and CA resident students last year. However, as of fall 2012 UC Davis no longer guarantees admission to all ELC applicants, given that the ELC scope was expanded to 9%. The overall academic quality of the Davis applicant and admitted pools was comparable to last year, but the holistic review process did not result in the diversity gains hoped for relative to the increase in underserved applicants—Latino/Chicano (8.8%), first generation (9.5%), and low income (19.15) applicants. Davis expected that the admitted pool would reflect a similar pattern, but it did not.

Irvine

UCI has implemented single-score Holistic Review for the past two admissions cycles. In general, UCI found that holistic review has increased inclusiveness, flexibility, and efficiency. Holistic review allows the campus to consider the entire application within the context of all information provided by and about the applicant. In comparison, previous review procedures may have overly penalized applicants who were somewhat deficient in one or two areas, but exhibited extraordinary achievements in others. It helps meet the campus's goal to not disadvantage strong students from any group (low income, middle class, or financially-successful; educated parents or first-generation college) due to circumstances beyond their control. In addition, the Supplemental Review process allows readers to submit applications they believe to be “competitive” and worthy of a second review by one of the specially trained internal readers.

The total number of applications to UCI increased (up 3% in 2010-11, up 15% in 2011-12) on top of a longer-term trend of an increased number of applicants to UCI, which has been leading Irvine to become more selective in admissions. Applicant GPAs have held flat, SAT scores have trended slightly down, and first generation college and low-high-school API applications have risen. Students who were in the top 9% in both ELC and statewide categories fared exceptionally well as a cohort.

UCI has had to address the concern expressed by parents at a local high school that giving weight to overcoming challenges could disadvantage applicants because they attended a high API school, are not economically disadvantaged, or are not the first in their family to attend college. It is also a concern that students who do not express themselves well in the written form can disadvantage themselves; usually by not including critical information, not addressing the

personal statement prompts effectively, or with regard to general writing style. At Irvine the staff has emphasized that it is crucial for the ultimate success of Holistic Review that resource needs are met, and that there is constant monitoring to ensure that potential scoring biases are investigated and addressed.

Los Angeles

UCLA adopted a Holistic Review Process beginning with the fall 2007 freshman class. Berkeley Admissions faculty and staff worked closely with UCLA during that transition and UCLA adopted a similar five point scoring rubric to the one used by Berkeley. Since that time UCLA has provided training to the other campuses, particularly those in the southern region, and shares scores with campuses that use these scores as part of their reviews.

UCLA trains readers to review files and assign a single score to candidates on the basis of a review of the entire application. No single attribute or characteristic guarantees the admission of any applicant. The review is based on a wide range of both academic and non-academic achievements, which are considered in the context of the available high school and life opportunities, and how fully the student has taken advantage of those opportunities and resources. UCLA considers all Comprehensive Review factors except for location of the applicant's secondary school and residence. At UCLA, at least two readers review each file and UCLA devotes a significant amount of time to norming student ratings and crosschecking the ratings of readers. Additional reads are used in the case of discrepant scores or if readers flag the student's file for additional attention. These third reviews sometimes require obtaining additional information from the student to clarify their case. Third reads can also "break ties" on cases where there are similar ratings and fewer places for students in score ranges that are near the boundary of normally admissible ratings.

At the end of the process, several post-decision reviews determine if any decisions need to be reconsidered before admission offers are extended. This includes a By High School review, in which senior readers view an array of quantifiable academic data from applicants from the same high school to either validate decisions or identify apparent anomalies. This prompts a further review by the Director of Undergraduate Admissions for a final decision based upon criteria specified by the faculty admissions committee.

In May 2012, UCLA released a report on Holistic Review in Freshman Admissions¹⁰ authored by UCLA Professor Robert Mare, which examined fall 2007 and 2008 holistic outcomes at that campus, where holistic review was first implemented in 2006. The report found that holistic scoring at UCLA is proceeding according to the criteria set by the UCLA Admissions Committee. In the Executive Summary Mare writes, "Academic achievement and other personal qualities that contribute to a stimulating, diverse campus environment govern holistic ranking. In Regular Review, which is carried out by qualified members of the education community in the southern California region in conjunction with UARS staff, the importance of academic merit is paramount and I find no important differences along lines that depart from the prescribed ranking criteria." Traditional academic indicators influence scoring most strongly, and achievement in the context of available opportunities and life challenges are also taken into account.

¹⁰ <http://www.senate.ucla.edu/committees/cuars/HolisticReviewReport.htm>

Merced

As the newest campus in the system, UC Merced's admissions policies are fluid, and should be viewed through the lens of progressive—rather than 'before and after'—change. UCM's comprehensive review 2012 was implemented with the goals of: (1) gaining experience in applying a comprehensive review; (2) developing models for implementing a comprehensive review—including creating a matrix of scores with input from our Faculty Admissions Committee; (3) setting up procedures, trainings, and norming sessions for the staff; (4) developing procedures to make greater use of available applicant data in the selection process (e.g., elements related to the students' extra activities, challenges, strengths of character, work or volunteer experiences, and context of the learning environment); and (5) ensuring that any applicants who were denied received a full comprehensive review prior to denial.

UC Merced's applicant pool continues to be among the most diverse in the system, with high percentages of underrepresented minorities, low income, low API, and first generation students. Admits are correspondingly diverse, and percentages in virtually all of these categories have increased over the past few years. There were modest increases in overall number of applicants and the number of non-resident and international applicants. UC Merced saw a major jump in ELC students in 2012: from ca. 5-6% to over 20% of applicants, and from 7-8% of admits to 26%.

For the fall 2012 cycle, UC Merced was able to accommodate and admit all eligible and guaranteed applicants without further review, but needed a method for selecting admits from the remaining applicants. Merced implemented a pilot comprehensive review based on traditional academic factors and the 14 criteria approved by BOARS. Merced's comprehensive review incorporated relevant academic factors (75%) together with socioeconomic factors, school context, and a human read score (25%); this process was applied to approximately 50% of the applicants—although a larger number of applicants received a human read and score for the purpose of collecting data across the entire applicant pool. This approach seems effective given the level of required selectivity (based on demand and capacity), the overall low number of applicants compared to other UC campuses, and the relatively small admissions staff. The staff met weekly to discuss the review process, discussed difficult decisions in detail, achieved consensus on scores, and referred some applicants for Admission by Exception review. Overall, the process was successful and was completed on schedule, and admissions will proceed in a similar way in 2012-13.

Merced is concerned about admitting ELC students in the lower ranges of their applicant pool due to the new minimum course requirements in a-g and the lack of historic outcomes. Merced admits the largest number of freshmen in the middle and lower ends of the applicant pool, which is a challenging and time-consuming effort due to the amount of work needed to carefully assess the academic preparation of these students. For students at the margin, even a slight drop in performance can have a substantial effect on the ability of these students to sustain the necessary level of achievement. For these reasons, Merced will implement comprehensive review for marginally eligible ELC applicants for 2013.

The admission process at UC Merced is used to adapting to change, however several issues have developed over the past few years while others will become evident in the near future. One issue

is the leveling off of freshman class sizes relative to past years: with delayed expansion and hiring plans, demand for classroom space and maintaining reasonable student faculty ratios present a challenge. While freshman class sizes grew markedly in the past, this is no longer the case. This has major implications for students that qualify for admission to the UC system and are referred to UC Merced by other campuses. These students constitute ~20% of the student body, but it will be difficult for UC Merced's available admissions spots to keep pace with the number of students that are UC-eligible and are referred to UCM in coming years.

Another issue is the implementation of admissions requirements for specific majors, especially for transferring students. There are a variety of reasons for these policies—especially unsustainable demand for introductory science and math courses—but they result in students that are otherwise qualified for admission not being accepted into their majors of choice. This issue may not be unique to UC Merced, but it does factor into admissions and has been a recent change.

Riverside

Admission to UCR is still based on a fixed-weight calculation, rather than a single score holistic review. However, UCR obtained holistic scores from UCI this year to study the level of overlap between admissions decisions based on its current system, and a holistic system. UCR found near perfect overlap for students with the highest HR scores and the highest fixed-weight scores, but also found a large subset of students with very high fixed weight scores but very low HR scores. These students would be among the top applicants and would almost certainly be admitted to UCR based on their fixed-weight scores. This means that each campus needs to use other campus scores carefully, given the differences between pools and local priorities.

In response to the changes in the UC eligibility construct, the Admissions Committee modified UCR's Comprehensive Review process by optimizing the weights to better identify students who will succeed at UCR, and by increasing the participation of the colleges in the reading and evaluation of student applications. The goals of these changes were to raise the academic profile of admitted students, to maintain the inclusiveness and diversity of the student body, and to maintain the transparency and integrity of the admissions process at UCR. The modifications assigned no weight to ELC status because the undergraduate admissions committee did not have sufficient data to know how changes in the definition of ELC would affect the composition of our applicant pool, or how it would be associated with academic success at UCR. The revision did not have a negative effect on the inclusiveness and diversity of the UCR student body. UCR admitted more African American students and more Latino/Chicano students than any other campus in the UC system.

Santa Barbara

UCSB has not implemented a holistic review procedure because it has consistently been meeting campus and systemwide goals. UCSB has had the highest percentage of underrepresented minority students in its incoming class after UCR and UCM, while also seeing a significant increase in the quality of the incoming class as measured by average test scores and GPA. The Comprehensive Review at UCSB is based on a blended system combining points from academic indicators with points from an individualized review as follows: half on GPA and test scores, one quarter on other indications of academic promise given by the read, and one quarter on socio-

economic criteria. Readers undergo extensive training (30 hours) to read files and rate student achievement in context of opportunity, employing quantitative data about the socioeconomic circumstances of each case and using all information regarding student activities. CAERS has identified four characteristics that readers should seek evidence for during the read: challenges, special circumstances, hardships, and persistence; leadership, initiative, service, and motivation; diversity of intellectual and social experience; and honors, awards, special projects, talents, creativity, and intellectual vitality. Additional files are flagged for supplemental review if the student appears ineligible but demonstrates special talents, were home-schooled or attended an unaccredited high school, missed a test, or had a high individualized review score. The eligibility check has helped identify students who could be contacted and become eligible for admission.

There was been an increase in applications due to the introduction of ETR. UCSB admitted very few applicants who were Entitled to Review but not in a guaranteed pool. UCSB admitted 79% of applicants designated as ELC (the new 9%). In previous years, UCSB offered a guarantee of admission to all ELC applicants (4%) but dropped this practice for 2012 due to the change, but the ELC designation was embedded in the comprehensive reading process. However to mitigate this, UCSB continues to use a unique school context process that compares California applicants only to other applicants from the same high school, and admits the top applicants from each school in numbers equal to 3% of the size of the graduating class. This process appears to play a key role in UCSB sustaining diverse admit and yield pools.

Santa Cruz

This year UC Santa Cruz transitioned to a holistic review process modeled after the Berkeley and Los Angeles 1 to 5 scale, with UCSC using scores from UCB and UCLA given their consistent correlation to UCSC admit decisions in previous years. Due to the drastically increased time/cost associated with holistic review, UCSC's holistic review only involved a single read, with random monitoring for conformity to the UCSC scoring guidelines. UCSC conducted its holistic review using the UCB reading tool, thus averting the need to develop a similar tool on the UCSC campus. The UCB reader training was invaluable (as was a previous session conducted by UCLA) in devising the UCSC reader training, which was required for all staff reading for the freshman holistic review. As a result, UCSC was well positioned to make the transition to holistic review, even with an increase of nearly 5,000 freshman applications.

The holistic review method appears to have served UCSC well; UCSC's admission decisions showed gains, both in number and percentage, in: first-generation students, low-income students, students coming from low API schools, African-American students, and Chicano/Latino students. The grade point average of the admitted students was on par with the previous year. There were several unanticipated problems that made the admissions cycle a challenge, however. Fewer applicants than expected received the high score of 1, 2, or 3 under the Berkeley system, with the majority receiving a score of 4. As there was no differentiation among the students who scored a 4, academically prepared students were grouped with students who had not even completed the a-g requirements. This meant that tiebreak review was required for nearly 20,000 applicants, nearly 2/3 of UCSC's freshman applicant pool. This resulted in increased workload, and reader fatigue. The UCSC Admission Committee, CAFA, will consider adjustments prior to the next cycle to resolve these issues, including finer subdivisions in the holistic rubric in the 4 range.

San Diego

UCSD moved to a fully holistic system this year after experimenting with a dual process in 2011 where half of applicants were evaluated using a system based upon the UCLA model and half of applicants were evaluated using the prior year's point system. UCSD found that the class of students it admitted under holistic review had a similar academic profile to prior classes and included more ELC-eligible admits, but was also less diverse socioeconomically, sparking concerns that holistic review could reverse past diversity gains. During 2012-13 the UCSD Admissions office personnel will be discussing how to return UCSD to a more balanced pattern of admission across the socioeconomic spectrum within the holistic framework.

Between the 2010 and 2012 applicant pools, ELC percentages in the applicant pool grew from 18.3% to 39% while ELC percentages among admitted students grew from 44% to 79%. ELC was used as a tiebreaker and the consensus from the Office of Admissions is that ELC and the other changes to the eligibility pool are a net positive and do not create a problem for UC San Diego. Campus admissions personnel reported that they received adequate funds and staffing to cover the increased cost associated with individualized review. Moreover, having had two years of holistic review, staff felt that the process had largely gone smoothly.

II.2 SCORE SHARING AND COLLABORATION

Beginning in summer 2010, campuses had the opportunity to attend sessions sponsored by Berkeley and UCLA on their single score individualized review processes. This paved the way for more rapid implementation of single score practices at other campuses following the Regents adoption of the Resolution on Individualized Review. These workshops included opportunities for faculty and staff to participate in training sessions for readers and to discuss all aspects of the process, including supplemental review and the use of holistic scores in selection. At that time, both Berkeley and UCLA made a commitment, backed by UCOP, to give all campuses access to their review scores. These scores were used by Irvine and San Diego in 2011 as they implemented single score review in 2010-11 (San Diego used single score review for half of its applicants on a trial basis that year.)

In the spring of 2011, BOARS adopted a policy that all campuses should share scores with all other campuses in an open manner, which campuses have found helpful. BOARS and the campuses have reviewed the relationship between scores in order to facilitate an evaluation of their use. This has proved to be somewhat problematic, largely because the different levels of selectivity mean that the score bands where fine-grained analysis for selection is critical, varies across campuses. Those campuses that tried to directly implement the rubrics and scores from other campuses had greater difficulty (Santa Cruz) while those campuses that modified the rubrics were more satisfied (Davis). Campuses have been able to gain some efficiency by using scores from other campuses at the high end of the spectrum where they are quite certain a positive admit decision would be forthcoming.

Campuses appreciate Berkeley's and UCLA's willingness to share scores and the process of all campuses sharing scores with others is expected to continue. Score sharing has been an important factor in the review process at some campuses, helping to define best practices,

validate reviews, and forecast yield. It can be used in a limited way at the extremes of the eligibility pool. Although some had expressed hope that score sharing might increase the efficiency of admission processing and would make it possible to implement a single systemwide UC score, BOARS found little evidence that score sharing can be used in this way. BOARS found that a single systemwide score is unworkable due to the differences in culture, selectivity, and scoring methodologies on each campus.

III.3 U.S. DEPARTMENT OF JUSTICE RECOMMENDATIONS

BOARS reviewed the US Department of Justice/US Department of Education document *Guidance on the Voluntary use of Race to Achieve Diversity in Postsecondary Education* to see if all possible avenues to achieve diversity that are consistent with Proposition 209 were being used. This document reviews *Grutter v. Bollinger* and notes that the Court held that before using race as a factor in individualized admissions decisions, a postsecondary institution must conduct a serious, good faith review of workable race-neutral alternatives to achieve the diversity that it seeks.

The document suggests that universities consider the following race-neutral options to achieve diversity in admissions:

1. An applicant's socioeconomic status, first-generation college status, geographic residency, or other race-neutral criteria.
2. Special consideration for students who have endured or overcome hardships such as marked residential instability (*e.g.*, the student moved from residence to residence or school to school while growing up) or enrollment in a low-performing school or district.
3. Implement a plan that guarantees admission to a top percentile of students graduating from all in-state high schools.
4. Select schools (including community colleges) based on their demographics (*e.g.*, their racial or socioeconomic composition), and grant an admission preference to all students who have graduated from those schools

The document also suggests development of pipeline programs and outreach programs.

BOARS noted that items 1, 2 and 3 are all used by all the campuses, with 1 and 2 being central to Comprehensive Review. Although most campuses use enrollment in a low API school as criteria in their Comprehensive Review this advantage may be lost on students who attend bimodal schools (those where there are two populations in a school whose populations have different opportunities, typically because of the differences between feeder schools.) In an earlier document on Inclusiveness Indicators BOARS noted evidence that this may be a problem for African Americans as well as other underrepresented groups, where “within school” differences are greater for African Americans than are “between school” differences. Finding a reliable statewide measure for the disadvantages students receive in bimodal schools has so far eluded BOARS, but this does not mean a mechanism might not be found in the future.

The success and expansion of ELC is consistent with suggestion 3, although the extent of using ELC as a guarantee at the campuses varies. Each campus will receive in its read sheet the ELC percentile (1 through 9) for each ELC applicant, so although a campus might not be able to guarantee admission to all ELC applicants, they could consider a guarantee for a subset of

applicants. The UCSB school context guarantee (to the top 3% of applicants to UCSB from each high school) is a variation on the ELC approach that could increase diversity at other campuses. Because of the selectivity of the UC, item 4 cannot be implemented as stated, but many UC campuses to have Transfer Admission Guarantees (TAG) with Community Colleges. Alongside the implementation of the SB 1440 AA and AS degrees for transfer it is possible that campuses might set up guarantees with Community Colleges that serve large underrepresented populations. So there are possibilities for BOARS to consider in the future.

The University of California has had and still does have substantial pipeline and outreach programs, although these are not part of BOARS purview. Participation in such programs can be considered as a plus in Comprehensive Review. Although these programs have lost resources during the recent financial crisis BOARS does hope they continue. One complexity in this work is the accountability and curricular change efforts launched state wide over the past fifteen years, which have consumed teacher time and pushed some college readiness efforts to the sidelines. However with the implementation of the Common Core State Standards and their being based upon College and Career Readiness Standards leaves BOARS more optimistic that greater collaboration between K-12 and higher education may be possible in the coming years.

SECTION IV. REVISION OF TRANSFER ADMISSION CRITERIA

Over the past two years, the California Community College system and the California State University have been implementing Senate Bill 1440, which requires them to create Associate of Arts and Associate of Science degrees with automatic transfer guarantees to CSU. These changes will significantly alter the transfer landscape. They also oblige UC to adapt and clarify its own admission criteria for prospective UC transfers, and to ensure that UC welcomes the most qualified Community College students who follow the new AA/AS pathways.

In June 2012, the Assembly of the Academic Senate approved changes to Senate Regulation 476 that formalize two additional pathways to transfer admission: (1) Completion of a UC Transfer Curriculum (in the relevant major) and (2) completion of an approved Associate Degree for Transfer (in the relevant major) from a California Community College. The existing transfer pathway specified in Senate Regulation 476 was retained, ensuring that campuses have the flexibility to meet their transfer targets and can continue to select students who have strong general education preparation but may not have completed a major-based path. A student who completes any of the three pathways with a GPA specified by the campuses to which they apply will be given a comprehensive review for admission at each campus. They will not be guaranteed admission to any campus.

Following Assembly approval, BOARS updated the UCOP Guidelines for Implementing University Policy on Undergraduate Admission and add the phrase, “choosing applicants with a high likelihood of timely graduation,” to the first sentence of the section on advanced standing applicants. The four existing criteria for selection of advanced standing students in the Guidelines will not be changed. Two of these already refer to major preparation, so the new policy does not change existing practice as much as it strengthens current policy and practice in transfer admission.

By developing its own Transfer Curriculum, UC will articulate its own vision of major preparation, rather than have CSU programs become the default advice. The policy does not alter the practice of using a referral pool for transfer students who meet the existing minimum eligibility requirements of SR 476. Comprehensive review remains in place for all transfer applicants and each campus will establish major-based criteria for evaluation of applicants.

Senate Regulations, Part II: Admission
Proposed Changes in Blue to SR 476 C

SR 476 C. An applicant who did not meet the requirements specified in (A) or (B) may be admitted to the University provided the applicant has completed 60 semester (90 quarter) units of transferable college course work, has maintained a grade-point average of at least 2.4 set by the campus in transferable college course work, and has completed all of the following transferable courses with a grade of C or higher, and has completed one of the following pathways:

(1) Completion of the UC Transfer Curricula for the applicant's chosen major along with 60 (90 quarter) transferrable units.

(2) Completion of an SB 1440 Associate Degree for Transfer in the applicant's chosen major at a California Community College.

(3) Completion of the minimum criteria of seven courses specified below along with 60 (90 quarter) transferrable units.

1. Two transferable college courses (3 semester or 4-5 quarter units each) in English Composition. One of the English Composition courses is to be equivalent in level to the transferable course which would satisfy (on some campuses only in part) the English Composition requirement at the University. The second course can be (but is not required to be) the 'English Composition/ Critical Thinking' course used to satisfy part of the English Communication requirement of the Intersegmental General Education Transfer Curriculum specified in SR 478. Courses designed exclusively for the satisfaction of remedial composition requirements as defined in SR 761 cannot be used to satisfy this requirement.

2. One transferable college course (3 semester or 4-5 quarter units) in Mathematical Concepts and Quantitative Reasoning.

3. Four additional transferable college courses (3 semester or 4-5 quarter units each) chosen from at least two of the following subject areas: the Arts and Humanities; the Social and Behavioral Sciences; and the Physical and Biological Sciences.

The minimum grade point average must be at least 2.4, cannot exceed 3.0, and will be set each Division. The UC Transfer Curricula are developed by the departments and programs in each Division and approved by the appropriate divisional committee.

**Transfer Selection Criteria from Current
GUIDELINES FOR IMPLEMENTATION OF UNIVERSITY
POLICY ON UNDERGRADUATE ADMISSIONS**

Proposed Change in Blue

<http://www.ucop.edu/sas/adguides.html>

B. Advanced Standing Applicants

Advanced standing applicants shall be selected by each campus using the criteria listed below as well as criteria 11-14 listed above, **choosing applicants with a high likelihood of timely graduation**. Priority consideration for admission of advanced standing applicants shall be given to upper division junior transfers from California Community Colleges.

Criteria to Select Advanced Standing Applicants

1. Completion of a specified pattern or number of courses that meet breadth or general education requirements.
2. Completion of a specified pattern or number of courses that provide continuity with upper division courses in the major.
3. Grade point average in all transferable courses, and, in particular, grade point average in lower division courses required for the applicant's intended major.
4. Participation in academically selective honors courses or programs.

--- referenced items 11-14 are below---

11. Special talents, achievements, and awards in a particular field, such as in the visual and performing arts, in communication, or in athletic endeavors; special skills, such as demonstrated written and oral proficiency in other languages; special interests, such as intensive study and exploration of other cultures; or experiences that demonstrate unusual promise for leadership, such as significant community service or significant participation in student government; or other significant experiences or achievements that demonstrate the applicant's promise for contributing to the intellectual vitality of a campus.

12. Completion of special projects undertaken either in the context of the high school curriculum or in conjunction with special school events, projects or programs co-sponsored by the school, community organizations, postsecondary educational institutions, other agencies, or private firms, that offer significant evidence of an applicant's special effort and determination or that may indicate special suitability to an academic program on a specific campus.

13. Academic accomplishments in light of the applicant's life experiences and special circumstances. These experiences and circumstances may include, but are not limited to, disabilities, low family income, first generation to attend college, need to work, disadvantaged social or educational environment, difficult personal and family situations or circumstances, refugee status, or veteran status.

14. Location of the applicant's secondary school and residence. These factors shall be considered in order to provide for geographic diversity in the student population and also to account for the wide variety of educational environments existing in California.

SECTION V. UPDATES TO A-G POLICY

The “a-g” requirements are integral to UC Admission, and while most selective universities in the nation require a similar set of courses as specified in “a-g”, the University of California is unique in the U.S. in maintaining a course list, and in requiring California high schools to submit course information for evaluation in order for a course to be placed on the UC list. BOARS sets the policies for “a-g” course approval, and UC Admissions staff carry out the evaluation process using the guidelines set by BOARS. Completion of the “a-g” course pattern is not only required for freshman admission, but the particular a-g course program an applicant completes (including the GPA in these courses, the number of courses, and the number of honors “a-g” courses) is a critical component of comprehensive review. While essentially all California high schools do offer a full set of “a-g” courses necessary for admission to UC, access to advanced courses varies across the state. During the past two years, BOARS has engaged in several substantial a-g related revisions and projects summarized briefly below.

Revisions to area ‘c’ (Mathematics) and area ‘b’ (English) to Align with the Common Core State Standards

The California State Board of Education adopted the Common Core State Standards in Mathematics and Language Arts in August 2010. In response, during 2010-11 BOARS revised the area “b” (English) and “area c” (Mathematics) descriptions in the UC Freshman admissions requirements. The mathematics revision replaces citations to the 1998 California Math Standards with language referring to the Common Core Mathematics Standards and the Standards of Mathematical Practice in the Common Core. The ‘area b’ (English) description was revised to align with the Common Core English Language Arts Standards and to incorporate the Anchor Standards. In both Mathematics and English the templates that schools must complete when applying for UC approval were updated as well to align with the Common Core State Standards. Because all California High Schools will be updating their course outlines to align with the Common Core over the next few years it is anticipated that most schools will reapply in these areas. Helping K-12 Schools align curriculum and instruction with the Common Core State Standards is a high priority for the California Department of Education and BOARS felt it was critical to be engaged and supportive of this effort. Details of the changes can be found at <http://www.ucop.edu/a-gGuide/ag/welcome.html>.

New Policy for ‘a-g’ Review of Online Courses

In May 2012, BOARS approved a new [policy](#) for the approval of online courses and providers to satisfy the ‘a-g’ pattern required by high school students for UC eligibility. The policy replaces BOARS’ 2006 [policy](#), which had developed a large backlog of applications, and had been criticized as cumbersome and in need of change to adapt to the rapidly evolving world of K-12 online education. Under the new policy, online course publishers will submit their courses to the California Learning Resource Network ([CLRN](#)) for review against the California Content Standards or the Common Core State Standards, and a set of [Standards for Quality Online Courses](#) established by the International Association for K-12 Online Learning (iNACOL). A course meeting an 80% threshold, including 15 required “power standards,” can be submitted to UC Doorways for final ‘a-g’ review. In addition, virtual schools seeking to offer ‘a-g’ courses will be required to submit a new school survey with evidence of regional accreditation and alignment with iNACOL’s [Standards for Quality Online Programs](#). UC intends to implement the policy for the course update cycle beginning February 2013, after resolving a few additional

questions and details. The number of online high school course offerings has increased dramatically since the inception of the earlier policy and these changes should simplify the approval process greatly and increase access to high quality a-g courses for students across California. As part of this work BOARS also approved a *Statement on K-12 Online Learning*, which summarizes the committee's major concerns about online education and the quality measures BOARS is seeking in an online course or program – including access to content experts, instructor support, and proctored exams. Schools and districts will also be required to complete a Certification of Compliance indicating that they meet the quality measures articulated in the Statement.

SECTION VI. CONCLUSIONS AND RECOMMENDATIONS

Conclusions.

Two major changes in comprehensive review have been successfully implemented over the past two years: changes in eligibility and the use of single score individualized review. This occurred during the University's most serious financial downturn ever and was accompanied by substantial growth in applications, in particular nonresident applications. That the nine undergraduate campuses were able to carry this out without substantial increases in staffing is testimony to their dedication and diligence. Cross campus cooperation has increased significantly with the implementation of single score review although campuses continue to use review and selection methods that align with their individual needs. Diversity gains have been modest at best, but concerns expressed by some that the eligibility changes would harm diversity proved to be wrong. The University will need to continue to work on diversity.

Perhaps the big story is that in spite of the transitions and the financial crisis, more than 13% of California's public high school graduates were offered admission to a campus to which they applied. While the yield matches those of previous years (approximately 7% of California's high school graduates will attend UC), these numbers show the University continues to honor the Master Plan. Moreover, a significant number of these admits arrived through the new Entitled to Review pool and many students did not take two SAT subject tests, indicating that eligibility changes implemented for 2012 are opening doors as intended. Continued growth in the traditional academic indicators also demonstrates continued strength in the UC undergraduate population.

During the past two years BOARS has undertaken initiatives in updating a-g policies and has restructured selection criteria for transfers beginning 2015. So in these areas the University is keeping up with the rapidly changing K-14 landscape. In the coming years the University will likely see continued increases in nonresident applications, admission and yield. These pressures, along with the eminent elimination of the referral pool will require enrollment management decisions to ensure that the California high school graduates have access to UC. These will not be easy, but the success of the past two years gives reason to be optimistic that the University of California will continue as the number-one public system in the world.

Recommendations:

It is too early to assess the impact of the eligibility and selection changes made in 2011-12, and both Berkeley and UCLA report that the first year of implementing single score review is a “learning year” with steady improvements to follow; however, we recommend the following based on what we have learned so far:

1. Score sharing should continue, but its financial cost should be assessed to ensure the practice continues and campuses are not burdened. Moreover, score sharing should not be considered for the sole purpose of reducing the cost of evaluation or homogenizing UC selection, as each campus needs to fine tune their single score rubrics in the region where selection boundaries are drawn.
2. The statewide guarantee index needs to be recalibrated. More students than anticipated were statewide eligible but not ELC eligible when the eligibility reform policy was conceived.
3. As Merced becomes increasingly selective, it is likely that the University of California will not be able to offer a referral admission guarantee in the near future, perhaps within one to two years. BOARS, and the UC leadership more generally, will have to contemplate what it will mean to eliminate the guarantee. Given the long history of the referral process, this conversation will not be easy.
4. African-American admit and yield numbers have not grown significantly over the past decade. BOARS should reconsider earlier studies and look at mechanisms to consider the impact that bimodal educational environments have on educational opportunity.

APPENDIX A: EXECUTIVE SUMMARY FROM 2010 REPORT

Since their inception in 2001, the University of California's *Guidelines for Implementation of University Policy on Freshman Admissions* have helped UC campuses develop undergraduate admissions processes that adhere to the Regents' order to seek out and select the most academically or personally accomplished and diverse class of students for UC. The policy stipulates eight principles as guidelines for the use of 14 Comprehensive Review criteria that capture a broad view of applicants' talents—both inclusive of and beyond traditional measures of academic achievement—by examining the “full range of an applicant's academic and personal achievements and likely contributions to the campus community, viewed in the context of the opportunities and challenges that the applicant has faced.” In 2003, when the Board of Admissions and Relations with Schools (BOARS) last reported to the Regents about Comprehensive Review, only six campuses had developed procedures for incorporating the eight principles and 14 criteria outlined in the *Guidelines* into their local processes. Today, all of UC's undergraduate campuses use a form of Comprehensive Review that incorporates both multiple criteria and individualized student review to varying degrees in rating applicants before selection.

For this report, BOARS worked with local admissions committees and the Office of the President to analyze Comprehensive Review policies, practices, and outcomes between 2003 and 2009 to determine the impact of each campus' application of the criteria on the pool of applicants and admitted students. While campus practices differ, it is important to note that BOARS never expected campuses to employ identical processes or use all 14 criteria in the same way. Selectivity varies across UC's diverse system of excellent campuses, and each has different values and goals for undergraduate education that are brought to bear in selection decisions. As such, for this report BOARS focused on investigating whether each process functions effectively and fairly within the same normative framework of Comprehensive Review Guidelines. BOARS maintains that there are, and have been, multiple ways campuses achieve the Regents' goals of identifying talent among the state's aspiring young citizens, which fulfill the promise of a great public university committed to excellence that is also inclusive of diversity. The outcomes in this report document how, across the UC system, Comprehensive Review is capturing talent and diversity, helping UC continue to serve as an engine of social mobility for students with promise from modest backgrounds. At the same, several areas for improvement are identified.

UC's new eligibility policy, taking effect for fall 2012, provides a greater number of well qualified and diverse students the opportunity to apply to the University and have their applications reviewed comprehensively. It will require all campuses to apply individualized student review to larger applicant pools. As admission to most UC campuses becomes more selective, applicants must have confidence that the full breadth of their qualifications will be considered in admissions. Campuses are beginning to bring additional measures of school and home context into their review processes, and all campuses are looking at ways to address future challenges. The developments over the last seven years, and additional challenges in the future are addressed in this report.

Key Findings:

- Between 2003 and 2009, demand for access to UC increased on all campuses, and a rising admission rate has generally followed the rising applicant rate. This was expected. The UC system was projected to grow to accommodate the increasing size of the California high school graduate pool, assisted by the opening of UC Merced. The exception to this pattern occurred in years when enrollment constraints were imposed due to budget issues.
- Between 2003 and 2009, campuses became more selective, and today, six campuses admit less than 50% of their applicants.
- The Eligibility in the Local Context (ELC) program remains an effective way for UC to attract students from high schools across the state. Between 2003 and 2009, the percentage of ELC-eligible students applying to UC climbed steadily; now, 77.5% of ELC designated high school graduates apply to UC (or 3.2% of all California high school graduates) and over 62% attend UC. All campuses give priority to ELC students in Comprehensive Review, and six campuses nearly guarantee their selection.
- The academic qualifications of UC applicants and admitted students have improved. Admitted students have taken many more a-g courses and have higher high school grade point averages (HS-GPA) than the minimum eligibility requirements, which now serve as a modest floor. Standardized test scores and the number of semesters of honors courses have also increased among both applicants and admitted students.
- Academic accomplishments must be viewed within the context of opportunity, and Comprehensive Review helps campuses account for inequalities in California's educational system at the same time that they increase selectivity. Campuses have incorporated contextual factors in their review processes to varying degrees, and recent developments in campus practice and electronic information sharing will help broaden the use of school context factors in review processes.
- More first-generation college students (from families where neither parent had a bachelor's degree) are seeking and gaining admission to UC. The proportion of first-generation students in the applicant pool was 35% in 2009-10, nearly a two percent increase systemwide since 2003. However, declines during this period were evident among applicants and admits from the lowest API high schools. Recruiting applicants from low API high schools remains a critical challenge for UC and is directly linked to diversity outcomes.
- Nearly 93% of freshmen students are retained after their first year, indicating that campuses select students who are very likely to succeed. Retention rates range from 83% at Merced to 96.6% at UCLA, and although these rates can be improved, campuses do quite well considering the large number of low-income and first generation students they admit. Most campuses also show increases in four-year degree completion rates over this time period.
- While California residents declined as a proportion of the applicant pool between 2003 and 2009 (from 85.4% to 82.6%), they continued to have priority admission, comprising 90.2% of all admits in 2009-10.

- An increasing number of underrepresented minority (URM) students are becoming UC eligible; however, campuses vary in their ability to recruit and subsequently admit URM students. Most disturbing is the fact that the admit rate for African Americans remains substantially below the admission rates for other racial/ethnic groups on every UC campus. The African American rate ratio is below 80% at all but one campus, the guide established in Title VII of the federal Civil Rights Act to determine “disparate impact.” At four campuses, Chicano/Latino admit rates fall below this threshold. However, specific campuses that have seen substantial increases in admitted African-Americans and Chicano/Latinos, show that when the applicant pool becomes more diverse through recruitment, individualized review can lead to increases in diversity in admission and enrollment.
- Campuses are using three general models of Comprehensive Review for selection: a single-score “holistic” process; a two-stage process that assigns points and weights to academic and personal accomplishment criteria; and a fixed weight model with supplemental read based solely on academic criteria that employs internal readers to review files only before denying an applicant. Each campus employs a set of principles that guide selection.
- Comprehensive Review has become synonymous with the use of multiple criteria and individualized student review for the rating of applicants before a student is denied admission. In fact, all campuses also review applicants who may be “ineligible” to look for indications of promise in the case they may qualify for admission by exception. However, campuses differ in the weighing of criteria in selection and the value placed on reader ratings.
- Campuses have clearly defined criteria; the reliability and integrity of the process is diligently monitored; and campuses strive for transparency through communicating criteria for admission by providing public information about their processes. Those campuses that employ external readers also provide transparency through actual “public involvement” in the process.
- Over the last seven years, campuses have increased collaboration and shared best practices to better achieve their individual admission goals, create greater efficiencies in the review process, and effectively handle a growing number of applications.

Key Recommendations:

Campuses have made steady progress in refining their processes to meet the *Guidelines*; nevertheless, several important recommendations result from this review:

1. The 2002 Guidelines for Comprehensive Review stipulate that no applicant be denied admission without an individualized review; however, some campuses have used individualized review only at the border of denial. As all campuses become more selective, BOARS recommends that they implement individualized review of all applicants to ensure that the boundary is not defined by criteria that are too narrow.
2. Based on foreseeable future challenges, we recommend that additional resources be provided to admissions offices to train and retain external readers and experienced staff, and to handle the increased volume of applications. Each office will need access to more of the funds from

each application fee, and/or assistance in finding other sources of support. In addition, campuses should commit to making more of the admissions fee available to admissions offices to implement the other recommendations defined here. The Office of the President should investigate the current use of the application fees and other sources to support a quality review of students' files.

3. The *Guidelines* should be updated to reflect admissions policy to be implemented in 2012. BOARS recommends several changes for the *Guidelines*, including changes to Principles 3 and 8 to assure that campuses review all files comprehensively and do not use test scores without considering circumstances that impact test performance.
4. Four new principles to guide selection are recommended including: 1) Weighing academic accomplishments and personal achievements comparably in selection to identify students who strive for excellence in many areas, 2) Priority for ELC students in selection, 3) Evaluating standardized tests and academic indices in the context of other factors that affect performance, and 4) Steps taken to ensure the quality and integrity of the review process. These were identified through best practices employed in specific campus comprehensive review processes.
5. UC should begin to document and report outstanding accomplishments of admitted students. Currently, there is no uniform way to aggregate the personal accomplishments and talents of admitted students in areas such as leadership, community service, and creative pursuits, the consideration of which is a hallmark of a University striving for excellence and the advancement of the public good. Comprehensive Review processes include the evaluation of these criteria, and in the interest of transparency, UC should disseminate this information to inspire other students with unique talents and commitments.
6. A distinctive feature of UC Comprehensive Review is the attention paid to students' achievements in the context of their high school. This feature is employed differently across the campuses, but recent developments in central databases now allow campuses to consider school context factors more uniformly. Campuses should use this information in decision-making to assess students in the context of opportunity. As part of its ongoing work, BOARS will continue to clarify for campuses and the public what is meant by "*considering the context in which each student has demonstrated academic accomplishment*".
7. Standardized test scores and academic performance must be reviewed in the context of factors that impact test performance, including students' personal and academic circumstances (e.g. low-income status, access to honors courses, and the college-going culture of the school). Campuses should not employ test score "cut-offs" or grade point averages above 3.0 (the minimum score in the criteria for entitled to review) to disqualify students. Campuses should base an admission decision on the total information about achievement using multiple criteria in the applicant file.
8. BOARS will consider, in collaboration with the Admissions Processing Task Force, wider use of ratings and scores that capture many dimensions of talents among all applicants. Reader training across the system should be broadened to include and help readers identify criteria outside of the traditional academic indicators, including criteria listed in the holistic

scoring systems at Berkeley and UCLA. A common scoring method can also be explored, along with simulation studies to identify whether it increases both excellence and diversity at every campus.

9. Although campuses will retain their autonomy in admissions decisions, more faculty guidance is needed in terms of principles to guide selection processes to ensure that campuses achieve excellence inclusive of diversity. Increased faculty involvement is also important as committees charged with developing admissions policy.
10. Selective campuses should consider using a single-score holistic review process in selection, which relies on reader ratings that incorporate all information from the file. Some campuses that use Two-stage and Fixed Weight review methods make variable use of these ratings, presumably because they value criteria such as personal accomplishment and talents less in their processes.
11. Individual campuses should conduct disparate impact analyses to monitor the differential impacts of their admissions criteria, identify factors causing disparate impact, and implement intervention strategies to address the underrepresentation of specific populations in both the admitted and enrolled classes. It is important that campus intervention strategies and actions focus both on the next admission cycle as well as longer term interventions.
12. This report details a disturbing drop in African American admits across UC campuses, which now is affecting the educational climate. The University should invest in a new strategic outreach campaign to increase the identification, recruitment, and academic preparation of underrepresented students with the help of distinguished alumni, local communities, and schools. In addition, campuses should develop admission policies that place value on the importance of diversity to enhancing the learning environment as they prepare students to enter a diverse workforce. Finally, we recommend the formation of a new study group to assess the situation in California high schools and determine how UC can use its expertise to diminish barriers for African Americans and other under-represented groups.

APPENDIX B

GUIDELINES FOR IMPLEMENTATION OF UNIVERSITY POLICY ON UNDERGRADUATE ADMISSIONS

I. OVERVIEW

On May 20, 1988, The Regents of the University of California adopted a University of California Policy on Undergraduate Admissions. The Policy states in part that:

"Mindful of its mission as a public institution, the University of California...seeks to enroll, on each of its campuses, a student body that, beyond meeting the University's eligibility requirements, demonstrates high academic achievement or exceptional personal talent, and that encompasses the broad diversity of cultural, racial, geographic, and socio-economic backgrounds characteristic of California."

In December 1995, following passage the previous July of Regents Resolution SP-1, a task force convened by the President of the University reviewed existing *Guidelines for the Implementation of University Policy on Undergraduate Admissions* and recommended substantive changes. The revised *Guidelines* were issued in July 1996 and revised in May 2000 to reflect the University's newly adopted Eligibility in the Local Context (ELC) policy.

In May 2001, The Regents adopted Resolution RE-28, which rescinded Resolution SP-1 and reaffirmed the goals of the 1988 Policy as follows:

"the University shall seek out and enroll, on each of its campuses, a student body that demonstrates high academic achievement or exceptional personal talent, and that encompasses the broad diversity of backgrounds characteristic of California."

Following the passage of RE-28, the President asked the Academic Senate to consider the adoption of evaluation procedures that would look at applicants in a comprehensive manner and would utilize a variety of measures of achievement.

The present revision of the *Guidelines* follows extensive deliberation on the part of the Academic Senate, its Board of Admissions and Relations with Schools (BOARS), and its individual campus divisions and faculty admissions committees undertaken during the summer of 2001. The work of the Academic Senate built on themes already developed by the 1995 Task Force. For example, the report of the Task Force commented on the "need for a comprehensive review of the methods used for assessing academic performance, beyond utilizing criteria such as GPA and standardized test scores" and suggested that "the selection process could be altered in the future to include a more comprehensive approach to reviewing students' academic accomplishments and personal backgrounds." The work of the Academic Senate should be

considered as yet another step in the continuing evolution of undergraduate admissions practices and policies.

Effective with applicants seeking admission for the fall 2002 term and thereafter, the following revised guidelines and procedures shall be followed for implementation of the 1988 University of California Policy on Undergraduate Admissions and RE-28, adopted in May 2001.

These selection guidelines apply to campuses that have to select from a pool of eligible applicants, and to students who have met the established UC eligibility requirements for admission. These eligibility requirements are established by the University in conformance with the specifications outlined in the California Master Plan for Higher Education, which specifies that the top one-eighth of the State's public high school graduates, as well as those community college transfer students who have successfully completed specified college work, be eligible for admission to the University of California.

These guidelines provide the framework within which campuses shall establish specific criteria and procedures for the selection of undergraduate applicants to be admitted when the number of eligible applicants exceeds the places available.

II. GUIDING PRINCIPLES FOR COMPREHENSIVE REVIEW

Campus admissions procedures should involve a comprehensive review of applications. BOARS defines comprehensive review as:

The process by which students applying to UC campuses are evaluated for admission using multiple measures of achievement and promise while considering the context in which each student has demonstrated academic accomplishment.

In designing campus procedures, campus admissions committees should adhere to the following guiding principles:

1. The admissions process honors academic achievement and accords priority to students of high academic accomplishment. At the same time, merit should be assessed in terms of the full range of an applicant's academic and personal achievements and likely contribution to the campus community, viewed in the context of the opportunities and challenges that the applicant has faced.
2. Campus admissions procedures should involve a comprehensive review of applications using a broad variety of factors to select an entering class.
3. No fixed proportion of applicants should be admitted based solely on a narrow set of criteria.
4. Campus policies should reflect continued commitment to the goal of enrolling classes that exhibit academic excellence as well as diversity of talents and abilities, personal experience, and backgrounds.

5. Faculty on individual campuses should be given flexibility to create admission policies and practices that, while consistent with Universitywide criteria and policies, are also sensitive to local campus values and academic priorities.
6. The admission process should select students of whom the campus will be proud, and who give evidence that they will use their education to make contributions to the intellectual, cultural, social, and political life of the state and the nation.
7. The admissions process should select those students who demonstrate a strong likelihood that they will persist to graduation.
8. Campus selection policies should ensure that no applicant will be denied admission without an individualized review of his or her application.
9. When distinguishing between competitive applications, final decisions should consider the entire application, including academic accomplishments in context, as well as other personal achievements in order to identify students who strive for excellence in many areas.
10. Campus selection criteria should give priority to applicants who are eligible in the local context (ELC).
11. Standardized tests and academic indices as part of the review process must be considered in the context of other factors that impact performance, including personal and academic circumstances (e.g. low-income status, access to honors courses, and college-going culture of the school).
12. Reviewers involved in individualized student review must undergo training and ratings should be reviewed for consistency to make the most of expert judgments in taking into account context, special circumstances and rating of personal accomplishment criteria. Reader review processes should also entail oversight and post-review analyses to ensure the quality and integrity of the review.

Faculty takes their responsibilities for admission and selection very seriously. BOARS anticipates that campuses will design campus-specific policies and processes that are consistent with Universitywide policies and guidelines. BOARS will continue to monitor campus policies and work with faculty to continuously improve the processes and outcomes.

III. SELECTION CRITERIA

Campuses receiving applications in excess of the number required to achieve their enrollment target for a specific term shall select students for admission as follows:

A. Freshman Applicants

The following criteria provide a comprehensive list of factors campuses may use to select their admitted class. Based on campus-specific institutional goals and needs, admissions decisions will

be based on a broad variety of factors to ensure attainment of the goals set forth in the 1988 University of California Policy on Undergraduate Admissions and RE-28.

1. Academic Grade Point Average (GPA) calculated on all academic courses completed in the subject areas specified by the University's eligibility requirements (the a-f subjects), including additional points for completion of University certified honors courses (see 4, below). It is recommended that the maximum value allowed for the GPA shall be 4.0.
2. Scores on the following tests: the Scholastic Assessment Test I or the American College Test, and the College Board Scholastic Assessment Test II: Subject Tests.
3. The number, content of, and performance in courses completed in academic subjects beyond the minimum specified by the University's eligibility requirements.
4. The number of and performance in University approved honors courses, College Board Advanced Placement courses, International Baccalaureate courses, and transferable college courses completed. It is recommended that caution be exercised in order not to assign excessive weight to these courses, especially if considerable weight already has been given in the context of 1, above. Additionally, in recognition of existing differences in availability of these courses among high schools, it is recommended that reviewers assess completion of this coursework against the availability of these courses at the candidate's secondary school.
5. Being identified as eligible in the local context, by being ranked in the top 4% of the class at the end of the junior year, as determined by academic criteria established by the University of California.
6. The quality of the senior year program, as measured by type and number of academic courses (see 3 and 4, above) in progress or planned.
7. The quality of academic performance relative to the educational opportunities available in the applicant's secondary school.
8. Outstanding performance in one or more specific academic subject areas.
9. Outstanding work in one or more special projects in any academic field of study.
10. Recent, marked improvement in academic performance, as demonstrated by academic grade point average and quality of coursework (see 3 and 4, above) completed and in progress, with particular attention being given to the last two years of high school.
11. Special talents, achievements, and awards in a particular field, such as in the visual and performing arts, in communication, or in athletic endeavors; special skills, such as demonstrated written and oral proficiency in other languages; special interests, such as intensive study and exploration of other cultures; or experiences that demonstrate unusual promise for leadership, such as significant community service or significant participation in student government; or other

significant experiences or achievements that demonstrate the applicant's promise for contributing to the intellectual vitality of a campus.

12. Completion of special projects undertaken either in the context of the high school curriculum or in conjunction with special school events, projects or programs co-sponsored by the school, community organizations, postsecondary educational institutions, other agencies, or private firms, that offer significant evidence of an applicant's special effort and determination or that may indicate special suitability to an academic program on a specific campus.

13. Academic accomplishments in light of the applicant's life experiences and special circumstances. These experiences and circumstances may include, but are not limited to, disabilities, low family income, first generation to attend college, need to work, disadvantaged social or educational environment, difficult personal and family situations or circumstances, refugee status, or veteran status.

14. Location of the applicant's secondary school and residence. These factors shall be considered in order to provide for geographic diversity in the student population and also to account for the wide variety of educational environments existing in California.

B. Advanced Standing Applicants

Advanced standing applicants shall be selected by each campus using the criteria listed below as well as criteria 11-14 listed above. Priority consideration for admission of advanced standing applicants shall be given to upper division junior transfers from California Community Colleges.

Criteria to Select Advanced Standing Applicants

1. Completion of a specified pattern or number of courses that meet breadth or general education requirements.
2. Completion of a specified pattern or number of courses that provide continuity with upper division courses in the major.
3. Grade point average in all transferable courses, and, in particular, grade point average in lower division courses required for the applicant's intended major.
4. Participation in academically selective honors courses or programs.

(Refer to items 2 through 6 in Section A above for additional criteria to consider.)

IV. APPLICATION PROCEDURES

A common filing period for submission of applications shall be established by the Office of the President in consultation with the campuses. These dates shall be observed by all campuses and may be extended only if a campus determines that additional applications are required to meet

enrollment targets. All applications submitted during the prescribed dates shall receive equal consideration for admission.

Applicants shall file one application on which they shall indicate all the campuses where they wish to be considered for admission.

Campuses shall observe and publish a common notification period for notifying applicants of their admission status.

V. ACCOMMODATION OF UC ELIGIBLE APPLICANTS

UC eligible resident applicants, who have not been admitted at any of the campuses of their choice shall be offered a space at other UC campuses where space is available. This process, called referral, reaffirms the long-standing University commitment to provide a place for every eligible California applicant who wishes to enroll.

In addition to the referral process, campuses may choose to offer other enrollment alternatives to UC eligible applicants. Examples of such alternatives may include:

1. Fall term admission to a different major,
2. Deferred admission to another term; or,
3. Enrollment at a community college with provision for admission at a later time, if a stated level of academic achievement is maintained (for freshman applicants only).

University of California: Issued 2001; Revised 2010
Last updated October 21, 2011.

APPENDIX C

Regents Policy 2108: RESOLUTION REGARDING INDIVIDUALIZED REVIEW AND HOLISTIC EVALUATION IN UNDERGRADUATE ADMISSIONS

Approved January 20, 2011

WHEREAS, the University of California is committed to achieving excellence and inclusiveness in its undergraduate student body; and

WHEREAS, in May 1988, the Regents adopted a Policy on Undergraduate Admissions that states in part that “Mindful of its mission as a public institution, the University of California...seeks to enroll, on each of its campuses, a student body that demonstrates high academic achievement or exceptional personal talent and that encompasses the broad diversity of...backgrounds characteristic of California;” and

WHEREAS, in 2002, the University, acting on the recommendation of the Academic Senate, implemented an application evaluation procedure that calls for campuses to utilize a broad range of criteria to assess each applicant’s academic and personal achievement in the context of opportunities; and

WHEREAS, proper evaluation of applicants’ achievements in the context of opportunity requires that information about their schools and community be available in a uniform manner, and several campuses have made considerable progress in accomplishing this through the use of extensive school-based information; and

WHEREAS, evaluation of applicants’ achievements in the context of opportunities and challenges requires that a trained reader examine the entire application in considering personal achievements, challenges, leadership, and contributions to applicants’ communities alongside context information; and

WHEREAS, a form of Comprehensive Review in which the reader produces a single holistic score based on all information in the applicant’s file has been shown to thoroughly evaluate each applicant’s achievement in relation to opportunities and challenges; and

WHEREAS, the Regents expect the Office of the President, in consultation with the Academic Senate and local admissions committees, to exercise leadership in the realization of best practices in undergraduate admissions;

NOW, THEREFORE, BE IT RESOLVED that the Regents direct the President, in consultation

with the Academic Senate and campus admissions professionals, to ensure that all applicants receive an individualized review that ensures trained readers examine applicants' full files to evaluate their accomplishments in the context of opportunity;

BE IT RESOLVED that the Regents direct the President, in consultation with the Academic Senate and campus admissions professionals, to continue to research and develop a database to be used with the human read of every application that provides background on the available opportunities and challenges faced by the applicant within his or her school and community;

BE IT RESOLVED that the Regents direct the President, in consultation with the Academic Senate, to affirm that single-score holistic evaluation is the expected implementation of Comprehensive Review, while allowing flexibility for campuses that can demonstrate that alternate approaches employed by their campuses are equally effective in achieving campus and University goals;

BE IT RESOLVED that University of California campuses must remain committed to recruiting students from the full range of California high schools and regions in order to achieve the potential of the University's admission policy for California's students;

AND BE IT FURTHER RESOLVED that the Regents direct the President to annually report to the Board on the progress of these initiatives on each campus.



U.S. Department of Justice
Civil Rights Division



U.S. Department of Education
Office for Civil Rights

GUIDANCE ON THE VOLUNTARY USE OF RACE TO ACHIEVE DIVERSITY IN POSTSECONDARY EDUCATION

Introduction

The United States Department of Education (ED) and the United States Department of Justice (DOJ) (collectively, the Departments) are issuing this guidance to explain how, consistent with existing law, postsecondary institutions can voluntarily consider race to further the compelling interest of achieving diversity. This guidance replaces the August 28, 2008 letter issued by ED's Office for Civil Rights (OCR) entitled "The Use of Race in Postsecondary Student Admissions." Ensuring that our nation's students are provided with learning environments comprised of students of diverse backgrounds is not just a lofty ideal. As the Supreme Court has recognized, the benefits of participating in diverse learning environments flow to an individual, his or her classmates, and the community as a whole. These benefits greatly contribute to the educational, economic, and civic life of this nation.

Learning environments comprised of students from diverse backgrounds provide an enhanced educational experience for individual students.¹ Interacting with students who have different perspectives and life experiences can raise the level of academic and social discourse both inside and outside the classroom; indeed, such interaction is an education in itself. By choosing to create this kind of rich academic environment, educational institutions help students sharpen their critical thinking and analytical skills.

These skills not only enhance academic progress, but also prepare students to succeed in the professional world. The skills students need for success in "today's increasingly global marketplace can only be developed through exposure to widely diverse people, cultures, ideas, and viewpoints."² Moreover, postsecondary institutions play a unique role in opening doors for "all segments of American society, including people of all races and ethnicities."³ As a result, "attaining a diverse student body is at the heart of [a university's] proper institutional mission."⁴

For all these reasons, the Departments recognize the compelling interest that postsecondary institutions have in obtaining the benefits that flow from achieving a diverse student body.⁵ This

¹ *Grutter v. Bollinger*, 539 U.S. 306, 330 (2003).

² *Id.*

³ *Id.* at 331-32.

⁴ *Id.* at 329.

⁵ The Departments also recognize the compelling interest in remedying the vestiges of past racial discrimination, which is not the focus of this guidance. Some postsecondary institutions are required to consider race pursuant to

guidance addresses the degree of flexibility that postsecondary institutions have to take proactive steps, in a manner consistent with principles articulated in Supreme Court opinions, to meet this compelling interest. As the Supreme Court has made clear, such steps can include taking account of the race of individual students in a narrowly tailored manner, as described below.

Section I of this guidance describes the relevant legal framework for considering race to further the compelling interest in achieving diversity in postsecondary institutions. Section II sets forth considerations for postsecondary institutions in their voluntary use of race to achieve diversity. Section III summarizes key steps for institutions seeking to achieve diversity. Section IV provides examples of ways that, in light of this guidance, postsecondary institutions may choose to advance this compelling interest.

I. LEGAL FRAMEWORK

Under the Civil Rights Act of 1964, the Departments are responsible for enforcing federal laws that bar public colleges and universities, as well as private colleges and universities that receive federal financial assistance, from discriminating on the basis of race, color, or national origin. See 42 U.S.C. §§ 2000(c)-(d) (Title IV and Title VI).⁶ Racial discrimination by institutions that violates the Equal Protection Clause of the Fourteenth Amendment to the Constitution also violates Titles IV and VI.⁷ Accordingly, the Departments here consider not only federal statutory law, but also case law interpreting the Equal Protection Clause, particularly the Supreme Court's decisions in *Grutter v. Bollinger*⁸ and *Gratz v. Bollinger*.⁹

desegregation orders, compliance plans, or other legal mandates to remedy discrimination. This guidance does not address the remedial use of racial classifications in these or other circumstances; nothing in it should be read to imply any limitations on remedial orders by courts or administrative agencies. In addition, nothing in this guidance addresses other claims of compelling interests justifying the consideration of race, which the Departments will consider on a case-by-case basis. See *Parents Involved in Cmty. Sch. v. Seattle Sch. Dist. No. 1*, 551 U.S. 701, 720 (2007) (stating that the Court's opinion was issued "[w]ithout attempting in these cases to set forth all the interests a school district might assert").

⁶ Throughout this guidance, references to "race" includes race, color, and national origin. When evaluating efforts to promote diversity that fall within the scope of Title VI (and Title IV in the case of DOJ), the Departments will apply this guidance.

⁷ See *Alexander v. Sandoval*, 532 U.S. 275, 280-81 (2001) (citing *Regents of Univ. of Cal. v. Bakke*, 438 U.S. 265, 287 (1978) (opinion of Powell, J.)).

⁸ 539 U.S. 306 (2003).

⁹ 539 U.S. 244 (2003). This guidance is also informed by *Parents Involved*, which discussed the use of race in student assignment in the K-12 context. Further information on the *Parents Involved* decision is contained in the Departments' "Guidance on the Voluntary Use of Race to Achieve Diversity and Avoid Racial Isolation in Elementary and Secondary Schools."

A. *Grutter v. Bollinger*

In *Grutter*, the Court evaluated the University of Michigan Law School's admissions program under the strict scrutiny standard of review, requiring that the Law School demonstrate that its program was narrowly tailored to serve a compelling government interest. The Court has repeatedly emphasized that the application of strict scrutiny, in and of itself, is "not fatal in fact." *Grutter*, 539 U.S. at 327 (quoting *Adarand v. Peña*, 515 U.S. 200, 237 (1995)). Applying that standard, the Court held that postsecondary institutions have a compelling interest in the benefits that flow from a diverse student body. In reaching this result, the Court followed its tradition, grounded in the First Amendment, of "giving a degree of deference to a university's academic decisions, within constitutionally prescribed limits." *Grutter*, 539 U.S. at 328. As described further below, the Court also held that the Law School's program was narrowly tailored to meet its compelling interest.

1. The Law School Had a Compelling Interest in Achieving Diversity.

The Court recognized that the benefits of student body diversity in institutions of higher education are "substantial," as well as "important and laudable." *Id.* at 330. One aspect of such student body diversity, the Court recognized, can be racial diversity. The Court accepted the Law School's goal to achieve broad diversity where race was "only one element in a range of factors a university properly . . . consider[ed] in attaining the goal of a heterogeneous student body." *Id.* at 324 (quoting *Bakke*, 438 U.S. at 314 (opinion of Powell, J.)).

The Court also held that the Law School could permissibly seek a "critical mass" of students of underrepresented groups — a concept "defined by reference to the educational benefits that diversity is designed to produce" — as part of its efforts to achieve student body diversity. *Id.* at 330. The Court recognized that a critical mass is necessary to dispel stereotypes about minorities, including assumptions that minorities share the same characteristic viewpoints, as well as to ensure that there are enough members of underrepresented minority groups for those students to participate in the classroom without feeling isolated or feeling like spokespersons for their race. *Id.* at 318-19.¹⁰

2. The Law School's Admissions Program Was Narrowly Tailored.

The Court looked to several criteria in concluding that the Law School's admissions program was narrowly tailored: whether the Law School had considered workable race-neutral

¹⁰ The Court also recognized that the concept of critical mass could involve "some attention to numbers": "[t]here is of course 'some relationship between numbers and achieving the benefits to be derived from a diverse student body, and between numbers and providing a reasonable environment for those students admitted.'" *Id.* at 336 (quoting *Bakke*, 438 U.S. at 323 (opinion of Powell, J.)). Indeed, "some attention to numbers," without more, does not transform a flexible admissions system into a rigid quota." *Id.* Such consideration of numbers is distinct from setting impermissible quotas, which exist where an institution: (1) imposes a fixed number or percentage that must be attained or that cannot be exceeded; and (2) insulates particular categories of individuals, based on their race, from comparison with all other candidates for the available openings within its schools or programs. *Id.* at 335.

alternatives; whether the admissions program provided for flexible and individualized review of applicants; whether it unduly burdened students of any racial group; and whether the consideration of race was limited in time and subject to periodic review. *See id.* at 334-43.

Consideration of Workable Race-Neutral Alternatives

The Court held that before using race as a factor in individualized admissions decisions, a postsecondary institution must conduct a serious, good faith review of workable race-neutral alternatives to achieve the diversity that it seeks. *Id.* at 339. An institution may deem unworkable a race-neutral alternative that would be ineffective or would require it to sacrifice another component of its educational mission. *Id.* at 339-40. Applying this standard, the Court found that the Law School “adequately considered race-neutral alternatives currently capable of producing a critical mass without forcing the Law School to abandon the academic selectivity that is the cornerstone of its educational mission.” *Id.* at 340.

Flexible and Individualized Review

The Court concluded that the Law School’s admissions program provided for a “highly individualized, holistic review of each applicant’s file, giving serious consideration to all the ways an applicant might contribute to a diverse educational environment.” *Id.* at 337. Under the Law School’s program, race was not an applicant’s “defining feature” across the board, *id.* at 337; race played no role in some admissions decisions while in others it was the “determinative” factor. *Id.* at 319.

Effect on Other Students

The Law School did not unduly burden members of any racial group because it allowed each applicant to compete with every other applicant for every available opening, and made decisions based on individualized consideration of “all pertinent elements of diversity.” *Id.* at 341 (citing *Bakke*, 438 U.S. at 319 (opinion of Powell, J.)). The Court noted that the Law School’s program also resulted in the admission of certain “nonminority applicants who have greater potential to enhance student body diversity over underrepresented minority applicants.” *Id.* (quoting *Bakke*, 438 U.S. at 317 (opinion of Powell, J.)).

Limited in Time and Subject to Periodic Review

The Court held that admissions programs must be limited in time and subject to periodic review “to determine whether racial preferences are still necessary to achieve student body diversity.” *Id.* at 342. The Court accepted the Law School’s assurances that it would “terminate its race-conscious admissions program as soon as practicable.” *Id.* at 343.

B. Gratz v. Bollinger

In *Gratz*, the Court — for the reasons set forth in *Grutter* — accepted that the University of Michigan had a compelling interest in achieving diversity, including racial diversity, in its undergraduate student body. *Gratz*, 539 U.S. at 268. The Court struck down the University’s undergraduate admissions program, however, because the University used a point system that automatically awarded 20 points, one-fifth of the points required to guarantee admission, to every “underrepresented minority” applicant solely because of race. *Id.* at 270. The Court explained that this policy was not sufficiently flexible and had “the effect of making ‘the factor of race ... decisive’ for virtually every minimally qualified underrepresented minority applicant.” *Id.* at 272 (quoting *Bakke*, 438 U.S. at 317 (opinion of Powell, J.)). The Court also faulted the University for failing to provide an individualized review of applicants, and dismissed the argument that the sheer volume of applications for admission made individualized review impossible.

II. APPLICATION TO POSTSECONDARY EDUCATION

This Section sets out considerations for postsecondary institutions in their voluntary use of race to achieve diversity. The discussion in this and the following sections assumes that postsecondary institutions are acting to achieve diversity; institutions should be prepared to explain how this objective fits within their overall mission. Nothing in this guidance should be understood to suggest that race, or racial impact, may be considered in furtherance of an invidious purpose.¹¹

The institution should, based on its particular educational objectives and unique needs, determine how it will achieve the desired benefits it is pursuing. An institution may permissibly aim to achieve a critical mass of underrepresented students, as described in Section I(A)(1) above.

In implementing its program, an institution should consider whether it can meet its compelling interest in diversity by using race-neutral approaches. An institution using a race-neutral approach for the purpose of achieving diversity may consider the impact a given approach might have on students of different races,¹² and thus may take into account how employing the approach would help achieve diversity. Race-neutral mechanisms can be used for decisions made about individual students, such as admissions decisions, as well as for decisions made on an aggregate basis, such as selecting partner schools that would serve as pipelines to the institution.¹³

¹¹ See, e.g., *Parents Involved*, 551 U.S. at 788-89 (Kennedy, J., concurring in part and concurring in the judgment) (clarifying that the leeway to “devise race-conscious measures” to achieve diversity or avoid racial isolation extends only to circumstances where entities “pursue the goal of bringing together students of diverse backgrounds and races”); cf., e.g., *Vill. of Arlington Heights v. Metro. Hous. Dev. Corp.*, 429 U.S. 252, 264-68 (1977); *Washington v. Davis*, 426 U.S. 229, 239-42 (1976).

¹² *Parents Involved*, 551 U.S. at 789 (Kennedy, J., concurring in part and concurring in the judgment).

¹³ See Section IV(B) below (describing pipeline programs).

Institutions are not required to implement race-neutral approaches if, in their judgment, the approaches would be unworkable. In some cases, race-neutral approaches will be unworkable because they will be ineffective to achieve the diversity the institution seeks. Institutions may also reject approaches that would require them to sacrifice a component of their educational mission or priorities (e.g., academic selectivity).¹⁴

When an institution is taking an individual student's race into account in an admissions or selection process, it should conduct an individualized, holistic review of all applicants. That is, the institution should evaluate each applicant's qualifications in a way that does not insulate any student, based on his or her race, from comparison to all other applicants. An institution may assign different weights to different diversity factors based on their importance to the program. Race can be outcome determinative for some participants in some circumstances. But race cannot be given so much weight that applicants are defined primarily by their race and are largely accepted or rejected on that basis.

Conducting an individualized review will help to ensure that the institution considers the impact of its decision-making on all its applicants. Finally, the institution should periodically review its programs to determine whether the use of racial classifications remains necessary and should modify its practices as needed.

III. KEY STEPS FOR IMPLEMENTING PROGRAMS TO ACHIEVE DIVERSITY

Based on the foregoing, here is a checklist of key steps for colleges and universities seeking to achieve diversity:

Identifying the Reason for Your Plan

- Determine how this compelling interest relates to your institution's mission and unique circumstances.
- Evaluate how you will know when your compelling interest has been achieved.

Implementing Your Plan

- Consider whether there are race-neutral approaches that you can use, such as looking at socioeconomic status or the educational level attained by parents. In selecting among race-neutral approaches, you may take into account the racial impact of various choices.
- If race-neutral approaches would be unworkable to achieve your compelling interest, you may then consider approaches that take into account the race of individual students. When taking into account an individual student's race among other factors to achieve diversity, evaluate each student as an individual and do not make the student's race his or

¹⁴ See *Grutter*, 539 U.S. at 340.

her defining characteristic. Periodically review your program to determine if you continue to need to consider the race of individual students to achieve your compelling interest. It is important to ensure that race is used to the least extent needed to workably serve your compelling interest.

- It would be helpful to maintain documents that describe your compelling interest, and the process your institution has followed in arriving at your decisions, including alternatives you considered and rejected and the ways in which your chosen approach helps to achieve diversity. These documents will help you answer questions that may arise about the basis for your decisions.

IV. APPROACHES TO ACHIEVING DIVERSITY

This Section provides practical examples of actions that postsecondary institutions may consider, consistent with prior Supreme Court opinions and the principles set forth in the previous Sections, as necessary to achieve diversity. In choosing among options, postsecondary institutions should keep in mind the framework discussed above. We encourage institutions to contact us for technical assistance in applying this guidance to their particular situations. These examples are intended to be illustrative, not exhaustive. Institutions may choose to pursue more than one of these options (*e.g.*, a combination of recruiting and pipeline programs as well as admissions procedures) or may design other options that are consistent with this guidance.

A. Admissions

Postsecondary institutions may develop admissions procedures designed to achieve diversity.

Examples

Example 1: An institution could consider an applicant's socioeconomic status, first-generation college status, geographic residency, or other race-neutral criteria if doing so would assist in drawing students from different racial backgrounds to the institution.

Example 2: An institution could include in its admissions procedures special consideration for students who have endured or overcome hardships such as marked residential instability (*e.g.*, the student moved from residence to residence or school to school while growing up) or enrollment in a low-performing school or district.

Example 3: An institution could implement a plan that guarantees admission to a top percentile of students graduating from all in-state high schools.

Example 4: An institution could select schools (including community colleges) based on their demographics (*e.g.*, their racial or socioeconomic composition), and grant an admission preference to all students who have graduated from those schools, regardless of the race of the individual student.

Example 5: An institution could consider an individual student's race among other factors in its admissions procedures; in so doing, an institution should follow the legal guidelines concerning the individualized use of race that are set forth above.

B. Pipeline Programs

Institutions of higher education may develop pipeline programs to promote diversity at the undergraduate or graduate levels. Pipeline programs include partnerships between postsecondary institutions and school districts (or specific schools), as well as other programs to introduce potential applicants to the institution. For example, a postsecondary institution might invite students from the partner school or program to the institution's campus for informational visits, mentoring or tutoring, summer classes, and workshops on academic, career, and other interests. The postsecondary institution might also send its own volunteers or staff to the partner school or program. The institution typically selects its partner (*e.g.*, a school, district, or community college) and in some programs, the institution may select individual students to participate in its program.

Pipeline programs can foster student body diversity at a postsecondary institution by increasing potential applicants' awareness of the institution and by assisting a diverse group of potential applicants to be better prepared to qualify for admission. In addition, pipeline programs are often used as a means to connect an institution to the local community.

Examples

Example 1: An institution could select high schools for partnership based on one or more of the following: school-wide performance on standardized tests, school-wide socioeconomic characteristics, geographic proximity to the institution, racial composition of the school's student body, or the similarity of academic or programmatic themes between the institution and the school with which it is partnering. In selecting schools using such criteria, a college or university may take into account the impact of those criteria on the diversity of its programs.

Example 2: An institution could form partnerships with other institutions of higher education, such as Historically Black Colleges and Universities (HBCUs), other minority-serving institutions, or community colleges to help the institution increase diversity.

Example 3: An institution that selects individual students for participation in programs could consider race among a range of factors, such as socioeconomic status, parental education level, work experience, or personal essays, to help the institution to achieve its interest in diversity. When taking account of an individual student's race as a factor, an institution should follow the legal guidelines concerning the individualized use of race that are set forth above.

C. Recruitment and Outreach

Postsecondary institutions may develop recruitment and outreach initiatives in an attempt to further diversity by broadening their applicant pools and thereby increasing the number of

applicants from underrepresented groups. While recruitment and outreach efforts do not guarantee or increase the likelihood of admission for any applicant, efforts that are more inclusive can assist postsecondary institutions to increase the diversity of their applicant pools.

Examples

Example 1: An institution's recruitment and outreach procedures could target school districts or high schools that are underrepresented in the institution's applicant pool by focusing on geographic underrepresentation (*e.g.*, schools in the Midwest, or urban or rural communities) or other characteristics (*e.g.*, low-performing schools or schools with high dropout rates). Such targeting may also assist the institution in achieving racial diversity.

Example 2: An institution could target districts or schools that enroll students who are predominantly from low-income households to help the institution achieve its interest in racial diversity.

Example 3: As part of its overall recruitment efforts, a postsecondary institution could target geographic areas, specific districts or schools, or colleges (*e.g.*, community colleges, or, at the graduate level, HBCUs or other minority-serving institutions), that have a significant number of potential applicants who are of races underrepresented in the institution's applicant pool.

Example 4: An institution could consider other recruitment and outreach tools to increase diversity in its applicant pool, such as, as part of its overall recruitment efforts, direct mail and other outreach efforts to potential applicants — including the use of advertising in media aimed at specific racial groups, participation by admissions staff in community-sponsored events aimed at informing underrepresented groups about the institution, and encouraging individual students to apply.

D. Mentoring, Tutoring, Retention, and Support Programs

Many institutions operate mentoring, tutoring, retention, and support programs for enrolled students who may need additional assistance in academic or other areas to succeed at the institution. The Departments recognize that a postsecondary institution seeking the educational benefits of diversity not only must enroll a diverse group of students, but also must retain those students.

Examples

Example 1: An institution could provide mentoring, tutoring, or other academic support to all enrolled students who are at risk of not completing their programs.

Example 2: A college could sponsor a selective mentoring program in which there are a limited number of spaces for student participants. In selecting participants for the program, the college could consider race among a range of attributes, such as grade point averages, community service and faculty recommendations. When taking account of an individual student's race as a

factor, an institution should follow the legal guidelines concerning the individualized use of race that are set forth above.

Example 3: An institution could sponsor retention or support programs open to all students that offer content that the institution believes might be of particular interest to a group targeted for retention. Such programs could, for example, hold motivational lectures (*e.g.*, highlighting the accomplishments of Latino business leaders or the artistic achievements of Pacific Islanders), and could include small group follow-up workshops with mentors.

Conclusion

This document provides guidance and examples of approaches that postsecondary institutions can voluntarily use to further their compelling interests in achieving diversity, consistent with case law under Title IV, Title VI, and the Equal Protection Clause of the Fourteenth Amendment to the Constitution.

The issues discussed herein relate to a complex area of the law, and the Departments encourage postsecondary institutions to contact us with questions or for further assistance in applying the guidance to a specific situation. To contact the OCR regional office for your state or territory, please visit <http://wdcrobcolp01.ed.gov/CFAPPS/OCR/contactus.cfm>, or contact OCR's Customer Service Team at:

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