

**A REPORT TO THE BERKELEY FACULTY ON UNDERGRADUATE
ADMISSION AND COMPREHENSIVE REVIEW: 1995-2002**

**SUBMITTED BY
THE COMMITTEE ON ADMISSIONS, ENROLLMENT,
AND PREPARATORY EDUCATION (AEPE)**

May 2002

**THIS REPORT IS DEDICATED TO THE MEMORY OF
PROFESSOR JENNY FRANCHOT, CHAIR OF AEPE, 1995-1998**

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EXECUTIVE SUMMARY

This report to the UC Berkeley faculty provides an account of the changes that have been made to the Berkeley undergraduate admissions process since 1995. In order fully to understand these changes and their rationales, and how they built on and grew out of the previous admissions practices, it is necessary to review the historical context beginning with the 1960 Master Plan for Higher Education.

The Master Plan defined the roles of the University, the State University and Community Colleges in California and specified the pool of eligible students for each segment -- for UC, eligibility meant the top 12.5% of high school graduates. Until the early 1970s Berkeley was able to accept all UC eligible applicants to the campus, but over time, applicant pressure grew, and now it vastly exceeds the capacity of the campus. In 2002, the campus was only able to accept about 24% of the freshman applicants, and Berkeley is more selective in freshman admissions than all but a small number of private universities. Increased selectivity and the need to select from among many highly qualified applicants suggested that simple formulas based on high school GPA and test scores used in the past were no longer sufficient. Rather what was required was the consideration and evaluation of much more information about the candidate and an in-depth review of many more aspects of the file, even just to evaluate properly the applicant's academic achievements, not to mention other aspects of candidate's achievement. The circumstances and the context in which the applicant learned and lived, and the barriers that the applicant overcame were important elements that shed light on our understanding of the applicant's achievement and on the applicant's prospects for success at Berkeley.

The desire for a deeper understanding of the applicant's achievements led the Office of Undergraduate Admissions (OUA), under the overall guidance of the Academic Senate Committee on Admissions, Enrollment, and Preparatory Education (AEPE), in the mid 1980s to begin reading and evaluating comprehensively portions of some freshman applicants files, including the applicants' essay, and the list of activities. At first, just a few hundred files near the boundary between accept and reject were read and evaluated in this limited way. But then over time, a much broader selection of files was read. In 1992, 6000 files were read, and eventually by 1997, over twenty thousand files were read and evaluated each year. Regental resolution SP-1 and later Prop 209 set a new context for Berkeley admissions in 1997. Resolution SP-1, while banning the use of race, ethnicity, sex, or national origin in the admissions process, also asked the campuses to develop criteria to give consideration to candidates who had overcome socio-economic and educational disadvantage. It was recognized that full comprehensive reading of the entire file was the best way to gather and evaluate such information about applicants.

In 1998, after several years of consideration, the campus, under the leadership of the AEPE committee, implemented a new freshman admissions review system which discarded all formulas and dropped the complex matrix system of classifying candidates that had been in use until then. The new review process mandated that every file must be read cover-to-cover (rather than just a portion of the file being read as before) and evaluated and scored comprehensively using established and well developed guidelines and procedures. Two readers read each file and each gave it two

scores -- the academic score -- was based on academic achievement including the educational context, and the other -- the comprehensive score--was based on all criteria and the full range of contextual factors.

It is worth noting that an admissions process that is based on human judgments, rather than formulas, requires a substantially larger degree of direct involvement by the faculty than would otherwise be needed. Each year AEPE reviewed the process and made needed adjustments. Faculty are involved throughout the process including policy development, oversight, monitoring, and review of the process and training of the readers. With a careful and well-designed implementation and continual oversight, the process has been found to be a highly reliable one. Such an admissions system is similar to the admissions review process that had been in use by selective private universities for many decades, except that Berkeley has more rigorous checks and balances to help respond to the intense scrutiny it receives as a highly selective public university.

However, the Berkeley process differed in one respect and that was the two-tier admissions construct that had been in effect for many years and which was embedded in regental policy as part of SP-1. This Regental policy required that between 50% and 75% of the students admitted be admitted on academic criteria (Berkeley chose 50%), while the balance were to be admitted on academic plus supplementary criteria. Based on four year's experience with this comprehensive review, the AEPE Committee came to the conclusion in the Spring of 2001 that the bifurcated scoring system just described that was necessitated by the two-tier construct hindered the understanding of the factors that would contribute to a student's success at Berkeley. In addition it interfered with the understanding of the linkage between applicant's personal qualities and life circumstances with their academic achievement as well as how they could contribute to the intellectual and cultural vitality of the campus. Consequently the Committee determined to move to a new system, which was otherwise very much the same and included double reads, but in which readers would give a single unitary score based on all of the criteria, and which would be used for admitting the entire class. The proposal would replace the existing two-tier comprehensive review process with a unitary comprehensive review process. The Divisional Council of the Berkeley Academic Senate endorsed this change, while recognizing that implementation would require a change in Regental policy regarding the two-tier policy construct.

In a complex sequence of events in 2001, the Regents repealed SP-1, and the Academic Senate developed a new University-wide policy concerning comprehensive review. The Regents then approved this policy in November 2001, thereby eliminating the two-tier construct. Berkeley was then able to implement the comprehensive unitary review policy for the 2002 admissions cycle. The new unitary scoring system worked as had been predicted in extensive preliminary studies. Readers found it to be simpler review process. The demography of the group of the admitted class was largely unchanged and academic indicators such as average high school GPA and average test scores were up from the previous year.

Comprehensive review, which has now been in place for five years for freshman admissions, has been a success. High school counselors tell the campus that the process is making better decisions from their perspective. From reading a sampling of files, it is

evident that the new review process is admitting many talented and outstanding applicants that the faculty want to have on the campus and who would have been missed by the previous review process. Traditional academic indicators are up, and for the last four years, the admit rate for underrepresented minorities has been nearly equal to the overall admit rate for all applicants. Thus, the group of students admitted does generally encompass the diversity of the applicant pool and also of the pool of UC eligible high school graduate. That the applicant pool and the pool of UC eligible high school graduates do not yet encompass the diversity of California high school graduates is a pressing and serious societal problem facing the State and the University.

In light of the emphasis that the 1960 California Master Plan for Higher Education places on the transfer function and a second pathway to UC through completion of two years work in a Community College, the review process for advanced standing admissions is of considerable importance. Moreover, advanced standing admissions have become almost as selective as freshman admissions. Based on five years of successful experience with comprehensive review for freshman admissions, the AEPE Committee has moved to convert the advanced standing admissions process to the full comprehensive review model that is now in place for freshman. Right now, a large fraction of the advanced standing files are read and scored comprehensively, but for 2003, the plan is, budget considerations permitting, that all applicant files will be read and scored in a comprehensive unitary process.

Comprehensive review based on a reading and evaluation of the file by professional staff is inherently less transparent to the various publics of the campus than a formula based process with well-defined cutoffs. Although readers are making subjective human judgements in their scoring, these scores have been demonstrated to be highly reliable. Two trained professional readers score each file independently and when scores are discrepant by a significant amount, an experienced third reader resolves the discrepancy. The percentage of freshman applicant files requiring a third read in 2002 was remarkably -- only low 1.3%. As a public university, UC Berkeley has a unique obligation, which is not fully shared by private universities, to articulate and explain its admission process to the public. This report is one such attempt, of many, to achieve this goal.

PREFACE

The Berkeley undergraduate admissions process and the context of that process have changed dramatically since 1995. Increased numbers of applications for admission and the need to select from among many highly qualified applicants set the stage for fundamental changes in the admissions process. The passage of SP-1 in 1995 by the Regents and the subsequent passage of Proposition 209 in 1996 by the California voters, both of which became effective in 1998, were important elements of the context of the changes and in subsequent events. Deliberations started in 1995 in the Senate Committee on Admissions, Enrollment and Preparatory Education (AEPE) to change from a more formulaic method of evaluation and to move to a process in which much more information was evaluated and multiple criteria were brought to bear comprehensively on the admissions decision. This comprehensive review process was implemented for the freshman admissions for the fall of 1998. The implementation of a unitary scoring process for the freshman admissions cycle for Fall 2002, and the elimination of the two-tier admissions process that had been mandated by SP-1 was another significant change. Finally, AEPE has determined to change the admissions review process for advanced standing applications to a full comprehensive unitary process beginning with the 2003 admissions cycle.

The AEPE Committee has issued a number of reports on these changes as they were occurring, including a Preliminary Report in January of 1999 shortly after the first admissions cycle was completed under comprehensive review, and a number of reports by the Chair of AEPE to the Divisional Council and at Divisional meetings. However, the time has come to issue a more complete and retrospective report to the faculty on these changes, which took place over the period from 1995 to 2002. Indeed until now, events have managed to outpace efforts to prepare such a report. The 1999 Preliminary Report and copies of periodic reports to the Division are included in Appendix I. Professor Jenny Franchot of the Department of English assumed the Chair of (AEPE) in 1995 and served as Chair, overseeing the changes until her sudden and unexpected death in October 1998. Professor Calvin Moore of the department of Mathematics then assumed the Chair position and served in that role until August 2002. This report is dedicated to the memory of Professor Franchot.

HISTORICAL BACKGROUND

The California Master Plan for Higher Education, passed by the Legislature in 1960, mandated the University of California to make eligible the top 12.5% of high school graduates in the State and to choose its entering freshman class from among these students. As implemented by the University, this provision of the Master Plan has become in effect a social contract between the University and the people of the State of California. Under its terms, every California high school graduate who is eligible for UC and who wishes to attend will be accommodated within the University, although not necessarily at the campus of choice or in the program of choice. Thus no UC eligible student will be denied a UC education.

The definition of UC eligibility has been left to the University to specify, and there are currently three pathways by which a high school student can become UC eligible. The first of these is by means of a statewide index. Students are required to take a specified pattern of UC approved college preparatory courses and are required to take certain standardized tests: the SAT I or the ACT plus three SAT II subject matter tests. A student is index-eligible if his or her grade point average in UC approved college preparatory courses and the standardized test scores, taken in combination, exceed a specified index level. This level is set so as to make the projected number of students that become eligible comport with the Master Plan. Details may be found in university publications or websites. The second route is called Eligibility in the Local Context (ELC -- also known as the 4% plan.) Students become eligible in this pathway at the end of their junior year if they are on track to complete the specified college preparatory course pattern and rank in the top 4% of their high school class on the basis of grades in these UC approved college preparatory courses. Many ELC students of course end up becoming index eligible as well. The third pathway is eligibility by test scores alone where sufficiently high test scores on the standardized tests qualify a student as eligible. Less than 1% of all UC eligible students qualify on this pathway alone.

For some years the Berkeley campus was able to accommodate all eligible freshman applicants who wished enroll on the campus, but beginning in the early 1970s, that was no longer possible. Several factors contributed to the change. The Berkeley campus had reached its physical capacity for enrollment; the population of the State had grown, and the proportion of high school graduates seeking a college education had increased. Finally, with the change in 1986 to an open filing system in which applicants could apply to as many UC campuses as they wished, application pressure on the campus increased substantially. The number of freshman applicants to Berkeley remained fairly steady from 1986 through 1994 at about 20,000 applicants of which about 40%, with some fluctuations, were accepted for admission. Then starting in 1995, the number of applicants began to rise steadily and steeply, reaching 36,500 in 2002. This increase is the result of what Clark Kerr has termed Tidal Wave II, and consists of the children of the post-war baby boom generation. This baby boom generation, which was termed Tidal Wave I, resulted in sharp increases in university enrollment in the mid-1960s, and Tidal Wave II is coming through, as predicted, just about 30 years later. The yield, or percentage of those admitted who subsequently enroll has averaged about 43% for a number of years, with some small fluctuations.

Overall, the change has been gradual, but over time, the end result is dramatic. In the Fall 2002 admissions cycle the campus was only able to admit only 24% of the freshman applicants (of 36,500 applicants, 8,700 will be admitted to fill 3,770 seats in the freshman class.) In one generation, Berkeley has gone from an institution that could accept all eligible applicants to one that is now as selective as all but a handful of private colleges and universities. There is every reason to believe that these trends will not change, and that enrollment pressure on the campus will continue to grow.

The corresponding evolution of admissions policies and practices accelerated after the mid-eighties when the onset of multiple filing sharply increased the number of applicants and hence increased the selectivity. In addition public policy discussion and debate about the ethnic and racial makeup of the entering class influenced the admissions process. Several AEPE reports helped shape this evolution, including the Karabel Report (1989), the Grubb Report (1992), and the Leonard Report (1993), and this report follows and builds on these prior reports.

The applicant pool to Berkeley is highly qualified. About 91% of the current freshman applicants are UC eligible, which means essentially that they have completed the UC approved college preparatory curriculum in high school, done well in it, and have taken and received good scores on the standardized admissions tests that are prescribed. Indeed, based on the experience of AEPE and the Admissions office, and the analysis of student achievement, it can be safely assumed that some 85-90% of the applicants are students who, if they were admitted to Berkeley, would very likely do well and thrive here, and would graduate and go onto successful careers. The choices in the admissions process are therefore not between qualified and unqualified applicants, but rather among highly qualified applicants.

The processes developed to select students to be admitted to Berkeley have evolved along with the change in the applicant pool and selectivity. Prior to the need to select from among eligible applicants, the admissions process was largely a clerical task of determining eligibility. In the early 1970s when campuses first began to select from among eligible applicants, Vice President Kidner issued a policy statement mandating that each campus select 50% of its class on the basis of academic criteria and the remaining 50% on the basis of academic and supplemental non-academic criteria. The apparent rationale for this policy was to spread out among all campuses the most academically qualified applicants and not have most or all of them concentrated at the only two selective campuses, Berkeley and UCLA. In 1988 this policy was modified in a Presidential policy statement to specify a range of 40-60% of the class to be admitted on academic criteria, and the rest on academic plus supplemental criteria.

In 1995, the Regents incorporated into SP-1 as Regental policy a prescription that each campus select from 50% to 75% of the freshman students it admits based on academic criteria with the balance on academic plus supplemental criteria. This policy superceded the previous presidential policy. It might be noted that the apparent rationale for this new policy seemed to invert the rationale for the 1971 policy. The policy in effect mandated a two-tier system, which consisted of tier-one applicants who had been admitted on academic criteria and tier-two students who had been admitted on academic plus other criteria. Berkeley opted for 50% of the admits to be selected on academic criteria.

Prior to 1998, the selection process for tier one was a formulaic one based on what became known as the Academic Index Score (AIS). This was computed by multiplying the High School GPA (including honors and AP bonus points, but with the GPA capped at 4.0) by 1,000 and then adding the scores on all five required standardized admissions tests. The maximum points possible on the AIS was 8,000, and tier-one admissions was done by lining up applicants by AIS and cutting off at the score needed to give the right number of tier-one admits.

The tier-two procedures were more complex and they evolved into a process whereby student were arranged into cells in a two dimensional matrix array with academic criteria along one axis and supplemental along the other axis. Many factors entered into the supplemental ranking, including extracurricular activities, excellence in athletics, low socio-economic status or evidence that the student had overcome disadvantage or obstacles; race and ethnicity played a role as one of the many supplemental criteria. The Bakke decision in the US Supreme Court (1978) permitted use of race and ethnicity as one criterion among many for university admissions, and this practice was also permitted under University policy and State law until 1998. In the mid-eighties, the admissions office staff as part of the tier-two admissions process began to read portions, including the personal statement and list of activities, of some applicants' files. The number of files read started out at several hundred, which were on the boundary between accept and reject. Over the years more and more files were read and evaluated – 6,000 in 1992, until ultimately all non-tier one files were read in 1997. All files in certain cells in the array described above were read in this manner. However until the end of this period, the cases to be read were still selected from a larger pool. The reading and scoring protocols had evolved over several years , but had not been the subject of systematic, structured, and in depth policy review and development by the AEPE Committee. Nevertheless, this reading process developed in the Office of Undergraduate Admission (OUA) invaluable expertise and experience with comprehensive review, and was a transition to what was to come.

DEVELOPMENT OF COMPREHENSIVE REVIEW

In August 1995 Professor Jenny Franchot became Chair of AEPE, and the committee under her leadership engaged in a fundamental re-thinking of the freshman admissions process. First of all, there was considerable dissatisfaction with the algorithmic process for tier-one admissions. With many more applicants with a weighted GPA exceeding 4.0 (which was then capped at 4.0) than there were tier-one slots, the formulaic tier-one process was in effect making the admissions decision solely on the test scores. Small and likely insignificant differences in test scores, and in some cases, grades were the basis of decisions. In addition, a large amount of important and potentially useful information was not even incorporated into the review. This information included the actual transcript listing courses that were taken, and evidence that would have shown the extent to which the student challenged him or herself by taking difficult and rigorous courses. Trend patterns in the grades become evident only when the transcript is analyzed in detail. The file also contained information about AP tests, or other academic achievements and honors that had not been used in the formulaic approach. Finally significant information about how the student did relative to classmates, and contextual information about the educational climate in the high school could be available, but was not used. This information could only be extracted and used by a full reading and evaluation of the file along with school contextual information and data.

At the same time, the Regents had passed SP-1 in July 1995, which while banning the use of race, ethnicity etc. in admissions, also asked the campuses to design admissions criteria and processes that considered socio-economic and educational disadvantage. Section 4 of SP-1 specifically mandated development of criteria that give consideration "to individuals who, despite having suffered disadvantage economically or in terms of their social environment (such as an abusive or otherwise dysfunctional home or a neighborhood of unwholesome or antisocial influences), have nevertheless sufficient character and determination in overcoming obstacles to warrant confidence that the applicant can pursue a course of study to successful completion...." The campus had already been developing such processes and realized that the only way to extract and evaluate information about such circumstances was again by utilizing a cover-to-cover reading of the applicant's file. Moving away from the previous process to one that relied on broader array of socio-economic and educational indicators required more information about the applicant and the school context, and a much more complex, subtle, and multi-dimensional process has to be employed to meet the new circumstances.

Consequently the AEPE committee made the fundamental decision to move to a process of comprehensive review whereby every freshman applicant file would be read cover-to-cover and evaluated on the basis of a wide spectrum of criteria and information about the applicants -- their achievements, both academic and otherwise, their educational, socio-economic, family context, and their personal qualities. What they might contribute to the campus if they were admitted was also assessed. The criteria were fully laid out and systematized in guidelines prepared by the AEPE Committee in concert with the Office of Undergraduate Admissions (OUA) over a period of two years. The new guidelines were ready in the Fall of 1997 for use in the admissions cycle for admitting freshmen who would enter in the Fall of 1998.

The change in procedures was fundamentally driven by two circumstances: an increase in selectivity, which meant that the campus had to choose from among many highly qualified candidates, and the desire to bring much more information to bear on these important decisions. AEPE realized that this change to comprehensive review would impose additional workload on the admissions staff, a workload that would be concentrated and extraordinarily intense for periods of time. The new process would also entail investment of additional resources in the admissions office. But, it was believed that the benefits of such a new system would far outweigh these considerations, and increased resources were indeed made available to OUA to implement the new admissions system.

It is worth noting that an admissions process that is based on human judgments rather than formulas requires a substantially larger degree of direct involvement by the faculty than would otherwise be needed. Each year AEPE reviewed the process and made needed adjustments. Faculty are directly involved throughout the admissions process - in policy development, in oversight, monitoring, and review of the process, and in training of the readers. The process was not a static one. Rather the AEPE committee reviewed the process each year since its inception and has made changes each year based on the experiences in previous years. The committee also recognized that the freshman admissions process had to be grounded in fundamental principles that articulate institutional goals and objectives. The AEPE committee had from the start a sense of the nature of these principles, but only articulated them more precisely as the process evolved. The following Guiding Principles for Undergraduate Admission were developed and approved by the Committee:

1. The admissions process honors academic achievement and accords priority to students of exceptional academic accomplishment. At the same time, the decision-making process employs a broad and multifaceted definition of merit, including an assessment of contributions that a student will make to the intellectual, cultural, or other aspects of campus life.
2. Each applicant is judged individually and comprehensively and all achievements are evaluated in the context in which the student learned and lived, as well as the opportunities available to the student and how he or she responded to challenges. In keeping with Berkeley's status as a public institution, ability to pay fees and expenses is never a criterion in the admission decision.
3. 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.
4. The admissions process should further the Regents' Policy that each campus should enroll a "...student body... that encompasses the broad diversity of cultural, racial, geographic, and socio-economic backgrounds characteristic of California." The process must also comport with state law, including Proposition 209.
5. The admissions process should select only those students whose academic preparation ensures a strong likelihood that they will persist to graduation.

6. The process should consider each applicant fairly, given the information available to the campus, and should seek to be perceived as fair by the various publics of the campus.

TWO-TIER COMPREHENSIVE REVIEW: 1998-2001

As noted already, a system of comprehensive review as established by AEPE first of all requires substantial involvement of faculty in the process beginning with the development of the policy documents and guidelines. But then there is a corresponding involvement in overseeing and monitoring the process itself and then in making needed changes based on experience and observation of the process. The process in place for 1998 through 2001 was fairly stable and the policy document that guided the process did not undergo substantial change. One change mandated by the AEPE committee for the 1999 cycle was increased attention to the context of the student's educational achievement. Staffs in OUA were able simultaneously to design software that would provide readers a vastly increased amount of contextual data. Another change that was made was to reduce generally the amount of weight placed on standardized tests and to ask the readers to place relatively more weight on the SAT II achievement tests as opposed to the SAT I tests, a choice that reflected the weighting in the new UC eligibility index. Yet another change was to use both the weighted HSGPA (which includes the bonus grade point for AP and UC approved Honors courses, as well as the un-weighted HSGPA. Previously, only the weighted HSGPA had been used in the evaluation process. A copy of the 2001 policy document is attached in Appendix A, and a description of the process that was used for these four years follows below. The process did undergo a significant change for the 2002 cycle and that will be explained subsequently.

The admissions process in use for 1998-2001 was controlled by the two-tier admissions policy contained in SP-1. This two-tier policy construct dictated that the scoring be bifurcated so that each reader first scored the file based on academic criteria, which were laid out in an underlying policy document attached to this report. Readers were asked to consider the rigor and depth of the curriculum that the applicant undertook, including the total number of college preparatory courses, the number of honors and AP courses, the level of achievement in these courses, including how the GPA placed them in the total applicant pool and among all applicants from their high school, scores on standardized admissions tests, achievement in academic enrichment programs, and achievement in other academic activities (such as academic decathlon, mathematics and science competitions, and recognition, awards, or prizes for writing, artistic, or musical composition.)

The readers were asked to evaluate each applicant in the context of the educational environment -- the nature of the school, the number of honors and AP courses that are available, whether there is a culture in the school that supports and recognizes achievement and encourages students to prepare for and go on to a college education. The readers gave consideration to students who have achieved in spite of educational disadvantage, who have overcome obstacles in the school, who had challenged themselves, who had taken full advantage of the opportunities that were available, and who had shown intellectual independence and maturity. Students who have shown these academic characteristics are students who are likely to do well at Berkeley. Using these criteria, readers gave each file an academic score of one to seven (with one high).

The readers then took into account all criteria -- academic and non-academic and gave the file a Comprehensive score. The criteria for this score included all of the academic

criteria plus consideration of non academic criteria, such as participation in athletics, student government, musical or dramatic performances or productions, journalistic work such as with the school newspaper or yearbook, forensics, or community service activities. The readers were asked to look for signs of sustained involvement in such activities, achievement, especially achievement beyond the school level. They were also asked to consider evidence of leadership such as being elected team captain, success in league or regional competitions, selection to a city or regional orchestra, and selection as editor of publications. Consideration was given to personal characteristics such as determination and creativity, as these are signs of potential for success at Berkeley. Readers also gave consideration in their scoring to what the applicant might contribute to the intellectual and cultural life of the campus were they to be admitted and come.

Finally, readers were asked to consider in the comprehensive score a wider variety of contextual factor above and beyond those considered in the academic score. These factors could include socio-economic disadvantage and evidence that the applicant has made significant achievement in spite of such disadvantage. If the student had to work in order to help support the family or if they had significant responsibilities in the home for care of younger siblings, especially in single parent families or in families that are dysfunctional, these factors could be considered. The reader could evaluate how these circumstances affected the student's opportunities and how the student achieved in spite of these circumstances. The personal statement can be a rich source of information for reaching judgments concerning such matters. The personal statement is the one place where the readers can "hear the voice" of the applicant and gain insight into the context of the achievements. Using all of this evidence, the reader assigned a comprehensive score on a five-point scale (one high).

As decisions were explicitly based in part on the personal statement and other information in the file about extracurricular activities, the reliability of information becomes an issue. How does the faculty or OUA know that the personal statement is the applicant's own, and has not been downloaded from some internet site or has been written by someone else? It is the policy of the university that the personal statement fundamentally be authored by the applicant. It is understood that just as faculty members seek comments from colleagues on work in draft form, applicants may also seek comment and advice from teachers, counselors, or parents on their personal statement. Nevertheless, such advice and comment cannot go beyond generally accepted norms. Readers have found that it is very easy to spot essays where an adult went beyond proper bounds. The University will begin a process of random spot checks whereas a small number of randomly selected students will be asked to provide verification of all activities listed in the application. The fact that UC is doing this will become known and will tend to suppress fabrication. In general, self-reported data on application forms, when checked in the past, were almost completely free of major errors. OUA has come to the conclusion - based on years of experience - that the self-reported information in the applicant files, while not perfect, is highly reliable.

Beginning in 1998 each file was read and scored by two readers, where the second reader did not know the scores given by the first reader. If the scores given by the two readers differed by no more than one point, then they were averaged to form an aggregate score. If scores differed by more than one point, the file was referred to a third reader who was an experienced lead reader who then resolved the discrepancy.

Possible academic scores ran from 1.0 to 7.0 in steps of 0.5 and similarly comprehensive scores range from 1.0 to 5.0, again in 0.5 increments. The percentage of files requiring a third read for either an academic score or a comprehensive score difference of more than one point was a very respectably low 6% in 1998, the first year of the process, and it fell to less than 3% in 2001.

After the reading process was completed, the actual admissions process began. Freshman enrollment targets and then a freshman admissions targets were established by the Executive Vice Chancellor for each of the five undergraduate colleges that accepts freshmen (L&S, Engineering, Chemistry, CNR, and CED). The target in L&S was a single pool, but the Professional Colleges normally have set enrollment sub-targets for each individual major program. The tier-one target for each of these pools was 50% of the total admissions target, and applicants to these colleges or departments were arrayed by academic score and the top ones admitted up to the target. If all applicants with academic scores of up to certain level could be admitted within the target, but addition of the applicants with scores at the next level exceeded the target, then a tie-breaking process began. All the files with the cut academic score were then reread and reevaluated and the desired number of applicants were selected to fill out the target number.

These tier-one students were admitted and removed from the pool. Then the remaining students were arrayed by comprehensive score and the top ones were admitted up to a target, and again if the exact target did not correspond to a cut point in scores, a tie-breaking process ensued for each separate pool so the desired number of students would be admitted. The total target for admission on comprehensive score was less than 50% of the total target as some places were set aside for admission through the Augmented Review process (to be described shortly), for admission of recruited athletes, for admission of students with disabilities or special talents, and for appeals. Overall the campus has been admitting about 8,800 applicants (less than a quarter of the applicants) for the Fall to get an entering freshman class of approximately 3,800 students.

In Letters and Sciences and for a few Engineering applicants, the campus has had for a number of years a process of Spring admissions for students just below the accept line for Fall admission. The campus admitted 2,500 students for Spring, expecting to enroll about 900. Half of these were admitted on the academic score (tier one) and the other half on the basis of comprehensive score (tier-two) with tie breaking for each pool. These additional students could be accommodated by the campus because a certain number of students graduate in December, thus making room for additional students to enroll. About 600 of the students who accept Spring admission can be accommodated in the University Extension Fall program, where students can take, through Extension, a curriculum similar to that that they would have taken had they been admitted for the Fall. Thus their progress to a degree is not impeded by their being admitted only for the Spring. The Fall Extension Program is able to accommodate about 85-90% of the students who wish to enroll in it. Some students who accept Spring admission take advantage of the time during the fall for work, travel, or relaxation before beginning their college studies.

UNITARY COMPREHENSIVE REVIEW : 2002

During the 2000-01 academic year, the AEPE committee in its deliberations came to the conclusion that the elimination of the two-tier process and its replacement by a single-tier unitary process would be highly desirable. The committee debated various options and settled on a new process where each file would be read and evaluated as before by two readers, but where each reader would give the file a single score -- which came to be called the unitary score -- in which the reader would evaluate the applicant on the entire range of academic and non-academic criteria and would take account of all of the contextual factors, educational and otherwise in arriving at the score. The entire freshman class would be admitted on the basis of this unitary score, with the exception of a relatively small number of Augmented Review admits, as described below, and athletes.

There are many advantages to such an admissions process system over the process as it had existed. First of all, the academic and supplemental factors, including personal characteristics are often inextricably intertwined with each other in most individual cases and are very difficult to separate. The separation is artificial and it is as if one first reviews the file with one eye closed and then only opens the other eye for the comprehensive score. The separation creates constant ambiguity as which factors can be counted in which part of the review and is inconsistent with the basic idea of looking at the applicant as a whole person. Indeed the bifurcation almost always serves to narrow our understanding of the qualities that contribute to strong academic performance and to other kinds of success as an undergraduate.

Such a unitary process is more intellectually coherent, and in addition would be simpler and more intelligible to the readers to implement. Such practical considerations are not irrelevant when there are 36,000 files to be scored and evaluated. Moreover the selective private schools had used such a process without tiers successfully for many decades, and the two-tiered process that we had been using was rather an anomaly in selective institutions. Finally, even though no individual student knows whether he or she was admitted in tier one or tier two, the two-tier system tends to stigmatize a group of students as being somehow less worthy than the students who had been admitted in the first tier on academic grounds.

For all of these reasons, the Committee felt that a unitary reading and scoring process would be strongly preferable. Indeed looking back to the committee deliberations on comprehensive review in 1995, one sees that the same arguments were made at that time in favor of a unitary scoring system. During 2000-01, the Committee worked steadily to develop a policy document that would serve as the basis for such a new admissions process, and approved it unanimously. The policy document was forwarded to the Divisional Council where it was debated and then endorsed unanimously. The only problem was that such an admissions process was contrary to Regental policy as articulated in section 4 of SP-1, which mandated a two-tier system. Approvals of the proposed new policy were granted with the full understanding that either a change of Regental policy or an exception to existing policy would be required in order to implement it. It is natural to ask why then was the Committee willing to expend all of this effort to craft such a new admissions process that was in conflict with Regental policy? The reason was that there were unmistakable signs even in the early

Fall of 2000 that SP-1 might be in play in the Spring of 2001 and that there would likely be movements made to modify or repeal it at the May 2001 Regents meeting.

As is well known now, that is exactly what happened at the May Regents meeting although events took some unexpected turns. The campus sent forth in early May a request to President Atkinson and Academic Council Chair Cowan for an exception to section 4 of SP-1 in order to be able to implement the comprehensive unitary admissions process that had been crafted during the year. A copy of the fully developed policy describing the proposed unitary process accompanied the letter, and both of these documents are attached to this report in Appendix B. In this new process the admissions criteria, which previously had been bifurcated, were combined into a single list, but taken altogether remained the same, and the same elements in the file were used for making decisions. There would be the same protocol for double reading of each file and the same protocols for triggering a third read in case of discrepant scores. Enhanced contextual information would be made available to readers. Tie-breaking processes and Spring admissions would be continued as before.

The outcome of the May Regents meeting was that SP-1 was repealed but the Regents left their two tier policy construct in place temporarily, and asked the Academic Senate to make a recommendation to the Board on that issue. The Senate did develop a policy of comprehensive review, which eliminated the two-tier policy construct and presented it to the Board in November 2001. The Senate's recommendation was approved by the Regents, and Berkeley then had the green light to implement the new unitary review process for the Fall 2002 admissions cycle.

It was not anticipated that changing from a two-tier comprehensive review process to a unitary comprehensive review process would significantly change the number of underrepresented students admitted. Statistical studies of the academic and comprehensive scoring process and extrapolations from them to a unitary scoring process lent support to that conclusion. This was later confirmed by a direct beta test of the unitary scoring system during the Summer and early Fall of 2001. This beta test was also a key element in the preparation on the campus for implementation of unitary scoring as well as a key element in the Regental discussion on comprehensive review. The AEPE Committee had developed reader guidelines based on the policy document. The guidelines established a numerical scoring scale. The same provisions as before for averaging the scores of the two readers when they differ by no more than one point and for third reads in the case of discrepant scores were included.

Over the summer, a group of experienced readers was trained and normed on the proposed guidelines. Then a randomly selected group of 1000 freshman applications from the 2001 cycle was compiled and then read and scored by this group of readers. On the basis of this scoring, 24% of these applicants were "admitted", and the results compared with the actual outcomes the year before for these files. The results of this test are enclosed in Appendix D. The demographics of the unitary "admits" looked roughly the same as compared to the real admits, and the average academic indicators for the unitary "admits" was slightly higher than for the real admits the year before. As of this writing we now have the actual results of the 2002 freshman application cycle, and they are just as the beta test would have predicted.

The tie-breaking process under unitary review and scoring is much simpler to manage than under the two-tier system, which involved a tie-breaking for tier-one fall admits, a second tie-breaking for tier-two fall admits, then a tie-breaking for tier-one for Spring admits and a final tie-breaking for tier-two spring admits. In a unitary process there is a single tie-breaking with a trifurcated outcome -- accept Fall, accept Spring, or reject.

Over a period of several years the AEPE Committee has developed an additional component of the admissions process that came to be called Augmented Review (AR). In 2002, this Augmented Review process matured and is now an important component of the admission process. In essence it is a way of identifying a relatively small number of files which are particularly difficult cases, where information may be missing, or where there are special or unusual circumstances, and then focusing additional time and attention on these particularly difficult and complex cases. The readers are provided with guidelines drafted and approved by AEPE for referral to AR. These guidelines, which are attached as Appendix C list as criteria for referral evidence of unusual hardships that may not have not been fully described and that may have affected the student's achievement, evidence of unusual or special achievements in one area about which more information would be helpful, evidence of participation in outreach programs, but where evidence of achievement or the student's intellectual growth in these program is missing, or that the reader believes that additional information of some substantive kind is needed to reach a decision. Applicants indicating that they have some kind of disability are also referred to the AR process in order to obtain and analyze additional information about the disability.

The readers apply these criteria and make recommendations of cases to be referred to AR. If the lead reader agrees with the recommendation, the file is referred to AR and the applicant is sent a five-page questionnaire that requires paragraph length narrative answers. This questionnaire provides not only useful information but also provides additional samples of the student's writing. The applicant is asked to submit 7th semester grades and is invited to have letters of recommendation sent from teachers, counselors, or outreach counselors. The augmented file is the re-reviewed in an AR reading process and is scored independently by two readers. In 2002, nearly 2000 files were referred to Augmented Review, of which about 550 were admitted. These constitute about 6% of total applicants and 6% of admits. Just like the tie-breaking process this is an instance where additional effort and attention is focused on the most difficult cases. Only a handful of the applicants who are referred to AR or who are admitted through the AR process are UC ineligible.

In the course of its work the AEPE Committee has developed a policy on admission of out-of-state students which attempts to balance the responsibility of UC as a state supported institution to educate California students with the benefits which out of state and international students bring to the campus. The policy is attached in Appendix G. The Committee has also begun a review of the policies and practices concerning admission of athletes. This work is not yet complete, but a discussion and progress report on the work is included in Appendix H. The Committee has addressed the policy issues concerning Advanced Standing Admissions, which is discussed in the following section and in Appendix F.

ADVANCED STANDING ADMISSIONS

Policies and practices for admission of advanced standing transfer students to the Berkeley campus do not attract as much attention as those for freshmen, but they are of great significance to the campus, not least because of the role assigned to the California Community Colleges and the transfer function in the Master Plan. The 1960 California Master Plan for Higher Education established as one of its central features a second pathway into the University in addition to freshman admission, whereby students who successfully complete two years of work at a California Community College (CCC) can transfer to UC as advanced standing students. The Master Plan specifies a notion of eligibility for advanced standing applicants to UC from California Community Colleges, and the University has entered into a social contract, just as it has at the freshman level. All UC eligible advanced standing applicants from California Community Colleges will be admitted to UC, although not necessarily at their campus or program of choice. A CCC student is deemed UC eligible if he or she has successfully completed two years of work in transferable courses with a GPA of 2.4 (2.0 if the applicant was UC eligible upon graduation from high school) and has met appropriate lower division breadth and major preparation requirements.

The Master Plan goes on to specify quantitatively the expected role of the transfer function and sets as a goal for University of California (as well as the California State University) that at least 60 percent of the undergraduate enrollment should consist of upper-division students. One straightforward way to check conformity with the Master Plan 60:40 ratio would be by determining the number of units completed by each student. However, an alternative test for conformity that is more operational, and more closely linked to the admissions process, and which is likely closer to the intent of the Maser Plan is that there should be at least one new advanced standing transfer student entering UC for every two new freshmen entering. Not all transfer students come from the California Community Colleges, but in practice the overwhelming majority -- about 85% -- have come from the CCC. An additional quantitative expectation has been established more recently. In 1997, at the urging of the Governor and the Legislature, the University of California and the California Community Colleges entered into a formal Memorandum of Understanding, in which UC pledged to increase the yearly number of CCC transfers to UC (all campuses) from 10,900 in 1995-96 to 14,500 by 2005-06. In 1999, the agreement was renegotiated, and the target figure for 2005-06 was raised to 15,500.

Currently about 65% of Berkeley's undergraduate enrollment consists of upper division students, although this proportion is higher than what might be expected in light of enrollment numbers because of the substantial number of college credits from Advanced Placement Examinations that many freshman students bring with them--a phenomenon that was not anticipated in the 1960 Master Plan. Enrollments of new freshman and advanced standing students are close to, but fall a bit short of a 2 to 1 ratio; in Fall 2002 new freshmen enrollments are expected to be 3,770 while new advanced standing enrollments are expected to be 1830.

Advanced standing admissions process, just like the freshman admissions process, has become quite selective over time. In the 1970 s the campus was able to accept all UC eligible advanced standing applicants, but for 2002, there were about 9,100 applicants of

which about 2,600, or just under 29% could be accepted. The yield, or the percent of those accepted who enroll has been about 68%, which is rather higher than the yield on freshman admissions, which has run as noted at about 43% in recent years. The pool of applicants for advanced standing admissions has contained in most years a slightly about percentage of underrepresented minorities as compared to the pool of applicants for freshman admission. This year the advanced standing applicant pool follows this pattern with 19.0% underrepresented minorities versus 17.4% for the freshman pool.

Although the Academic Senate Committee on Admissions, Enrollment, and Preparatory Education has the responsibility for policy development and oversight of advanced standing admissions, the actual advanced standing admissions process is more decentralized than for freshman admissions. Advanced standing admissions for the Professional Schools and Colleges are handled in the Dean's offices of these Schools and Colleges. The AEPE Committee has met with representatives of all of the Deans, and has reviewed the advanced standing admissions policies and practices of these Schools and Colleges. In consultation with all the Deans, the AEPE Committee will develop general policy guidelines for advanced standing admissions for the campus. The Office of Undergraduate Admissions handles all of the advanced standing admissions for applicants to the College of Letters and Sciences. The Committee has drawn up a policy document for advanced standing admissions to L&S.

Currently, the Professional Schools and Colleges use a single-tier unitary process of evaluation in their admissions process. The process used for applicants to the College of Letters and Sciences is however a two-tier process. About 15% of the applicants with the highest GPA in their transferable work are admitted, although some review of whether major prerequisites have been satisfied enters into this review process. A middle group, again based on GPA of about 40% of the applicants have their files read comprehensively and scored independently by two readers, and the highest ranked applicants are admitted up to the target, just as in the freshman process. The bottom 45% of the files based on GPA are denied, although some kinds of files are reviewed individually. This process is not in accord with the general principles that AEPE has established for undergraduate admissions, and AEPE has drafted and approved a new comprehensive unitary review policy and process for advanced standing admissions to L&S that will be for implemented in the 2003 admissions cycle. This document is attached in Appendix F. This new unitary comprehensive review process for advanced standing admissions would have been implemented a year earlier, but was delayed by partial hiring freezes, and an inadequate amount of time to hire and train the additional corps of readers that would be necessary.

THE READERS

The readers who evaluate and score the individual files are key to the review process, and great care in the selection, the training, and the supervision of them is essential. While many private universities had done this kind of evaluation for decades, and hence provide a model for us, the number of files that have to be evaluated is much larger than any private university had handled, and the scaling problem was daunting.

Based on experience, a time budget of an average of 10-12 minutes per read was established. It was recognized that this as an average and that some cases might take less time, while other cases take more time. The test scores from the ETS or ACT and the applicants' files themselves are not available from the application processor until about January 1, and so the reading cannot start until then. Moreover, since the month of March is needed to complete the review process after the production reading is complete in order to have the decision letters in the mail by the end of March, the production reading has to take place during the two month period of January and February.

About half the readers are professional career admissions officers and outreach officers in the Office of Undergraduate Admissions (OUA). As these officers normally have other duties during this period they cannot generally devote more than half time to file reading. For instance, the Director and her management team of Associate and Assistant Directors all participate in file reading. This corps of career staff is supplemented by a group of temporary readers who are hired for the period of file reading, usually at about half time, so half the reading is done by internal career staff and half is done by the temporary readers.

These positions are advertised, applications are reviewed, and the best qualified candidates are selected, many of whom have read in previous years. Some have as many as 10 years experience. These temporary readers include retired or former career staff in OUA, current and retired high school college counselors, independent college counselors, retired high school teachers, retired high school principals, other student affairs and outreach officers on campus (perhaps working on partial released time from their regular job), and graduate students, usually in Education, but sometimes in other fields as well. On occasion a faculty member has stepped forward to serve as a reader, but the time commitment required would likely be prohibitive except for emeritus faculty members. Simple arithmetic (based on the number of applications) indicated that in 1998 slightly over 50 readers were required, while in 2002 nearly 80 were required. The mix of readers has remained about half career professionals and half temporary readers. The career staff in OUA has more than enough duties to occupy them full-time for the remainder of the year. Reading assignments are arranged so that each file receives at least one of its reads by a career staff person in OUA. No reader is allowed to evaluate and score the file of an applicant whom they know or have worked with in any capacity.

All readers, even those who have read files for 15 years, are required to undergo approximately 60 hours of training each year. First they are required to read and study an extensive reader training manual, and attend 12 hours of training sessions where the Reader Training Manual is discussed, questions answered and many points in it

expanded upon and explained. The Chair of AEPE makes a presentation at these training sessions and responds to questions. Then all readers are required to read a set of approximately 80 files from the previous years' cycle that have been carefully selected to include samples of nearly every type of file. These files have been analyzed in advance by a small group of experienced lead readers, the management team, and members of AEPE. The appropriate score for each file is agreed upon together with the rationale for this score. The AEPE members who participate in these meetings play a key role in setting the scores for these files and in interpreting the guidelines and AEPE policy statements. After the readers study these files and score them on their own, they are required to attend eight three-hour norming sessions where these files are discussed and analyzed in an interactive mode. The discussion, which is often quite lively, is structured so that all readers come to accept the score that has been established and the rationale for it. Many readers have to adjust their scoring during this process and gradually hone their skills. AEPE members also participate in these training sessions and contribute to the discussion.

During the eight week reading period for freshman applications, all readers are required to attend weekly norming exercises, which have the same format as the training sessions. These sessions concentrate on analyzing difficult and complex cases selected and scored by the lead readers and AEPE members from among applications in the current cycle. The readers are divided into teams with an experienced lead reader overseeing each team. Statistics on each reader are prepared weekly so that readers whose distribution of scores departs from the recommended distribution can be readily identified and corrective action taken by the team leaders. Also readers who produce an abnormally large number of third reads are identified and are provided help by the team leaders. The success of this training and supervision is evident from the third read rates. In 1998, less than 6% of the files had to go to a third read to resolve discrepant scores. This fell to under 3% by 2001, and in 2002 with the unitary scoring process, it fell to 1.3%.

The reading of advanced standing applicants begins in early March shortly after the production reading of the freshman applicants has been completed and continues on into April. Advanced standing reader training has to begin earlier. As already noted, the reading of advanced standing applicants will expand substantially in the 2003 cycle.

OUTCOMES

The demographic outcomes of the process have to be judged in the context of the applicant pool. The percentage of underrepresented minority students among the freshman applicant pool to Berkeley (excluding international applicants) had grown steadily from 1980 until 1995 when it reached 19.1% of the domestic applicants. Beginning in 1996, the percentage fell sharply, bottoming out at 14.0% in 1999. This drop can presumably be attributed to the passage of SP-1 and Proposition 209 although the drop began two years before either became effective in 1998. The percentage has rebounded since 1999, reaching 17.4% in 2002. Up through 1997 when race and ethnicity could be used as criteria along with others for selection, the percentage of underrepresented minorities among the admits exceeded the percentage among the applicant pool (e.g. 26.5% admits versus 19.1% applicants in 1995, 24.0% admits versus 17.7% applicants in 1996, and 23.0% admits versus 16.2% applicants in 1997).

In 1998, when SP-1 and Proposition 209 took effect, the percentage of underrepresented minorities among the admits dropped sharply to 11.2% as compared to 16.1% among the applicant pool. In the four years subsequent to 1998, the percentages of underrepresented students among the admits have been slightly less than the percentage among the applicants -- 13.5% vs. 14.0% in 1999, 15.3% vs. 15.7% in 2000, 16.4% vs. 16.6% in 2001, and 16.5% vs. 17.4% in 2002.) The gradual increase in the percentage of underrepresented minorities over these four years has apparently been largely the natural consequence of the increase of their percentage in the applicant pool. What this has meant is that in the last four years, underrepresented minority applicants have been admitted at close to the same rate as all applicants. These data represent an average over the different underrepresented groups, but when the groups are desegregated, the admission rates are different.

The average test scores and average high school GPA for underrepresented minority applicants are less than the averages for all applicants -- a pattern that has been true for many years. If the campus were to admit students just on the basis of these numerical indicia, say using the old AIS, there would be many fewer underrepresented minorities admitted than are currently admitted, and the average test scores and grades for underrepresented minorities would be less than the averages for all students admitted. But using just these data for the admissions decision would be basing admission decisions on inappropriately constricted and truncated vision of the student and his or her accomplishments. Such a process would not look at the rigor and depth of the curriculum undertaken, nor would the applicant be viewed in the context of what opportunities were available, and nor would the extent to which the student challenged themselves and took advantage of the opportunities available in the educational context of the school be considered. Such a process would not take account of a student's achievement and intellectual growth in outreach programs, nor would it take into account the full extent of the supplemental information that might be available especially if the applicant has been referred to Augmented Review. Further it would not take account of achievements in extracurricular activities, or indications of determination, creativity, or intellectual independence. Finally it would not take account of economic or social hardship, the necessity to work to help support the family, the need to care for younger siblings in the home, often a single parent home, and or the amount of social capital that the family has and can convey to the student.

These considerations do not amount to some kind of misery index, but attempt to gauge how and with what maturity and determination the student dealt with and overcame obstacles and achieved their goals.

Taking account of this wide variety of factors, many of them non-cognitive and some difficult or impossible to quantify, ends up having the effect of counterbalancing in the actual admissions process much of the impact of the group difference in the average grades and test scores. The factors are of course applied in a race blind manner. Applicants are evaluated on a broad and multi-faceted conception of merit and the process seeks to identify students who have shown the ability to succeed at Berkeley. The academic indicators for the admitted class have shown a steady rise since introduction of comprehensive review (with only a small dip in 2001 but with a recovery in 2002) as is indicated in the attached tables. The average freshman GPA at Berkeley has also risen each year. Data covering several years are included in Appendix E. Additional studies of the performance of the students admitted under comprehensive review are underway and will continue in the future. Cumulative GPA, GPA in upper division courses, selection of majors, and graduation rates will be analyzed as the data become available.

Advanced standing students who enter are highly qualified; the average GPA in their lower-division transferable work is about 3.67, and these students do very well once here. Their UC GPA in upper-division work is about 3.25, only 0.08 less than the GPA in upper-division work of the students who entered as freshmen. Well over 90% of them graduate within four years. In 2002, 19.0% of the advanced standing applicants were underrepresented minority student, and 17.3% of the admits were underrepresented minority students. In 2001, the corresponding numbers were 17.5% and 16.1%.

CONCLUSION

Comprehensive review, which has now been in place for five years, has been a success. High school counselors tell OUA that our process is making better decisions from their perspective. From reading a sampling of files, it is evident that the new review process is admitting many talented and outstanding applicants that the faculty would want to have on the campus, and who would have been missed by the previous review process. Traditional academic indicators are up, and for the last four years, the admit rate for underrepresented minorities has been nearly equal to the overall admit rate for all applicants. Thus the group of students admitted does generally encompass the diversity of the applicant pool and also of the pool of UC eligible high school graduate. That the applicant pool and the pool of UC eligible high school graduates do not yet encompass the diversity of California high school graduates is a pressing and serious societal problem facing the State and the University.

Comprehensive review based on a reading and evaluation of the file by professional staff is inherently less transparent to the various publics of the campus than a formula based process with well-defined cutoffs. Although readers are making subjective, human judgements in their scoring, these scores have been demonstrated to be highly reliable. Two trained professional readers score each file independently and when scores are discrepant by a significant amount, an experienced third reader resolves the discrepancy. The percentage of files requiring a third read in 2002 was a remarkably low 1.3%. As a public university, UC Berkeley has a unique obligation, which is not fully shared by private universities, to articulate and explain its admission process widely. This current report is one more such attempt, of many, (see Appendix I) to explain the process of comprehensive review to our faculty colleagues, to the Regents, to students and parents, and to the general public.

APPENDICES

APPENDIX A: ADMISSIONS POLICY FOR 2001

University of California, Berkeley Freshman Selection Criteria – Fall 2001

Background

The following selection criteria for freshman applicants to the Berkeley campus were originally developed by the Admissions, Enrollment, and Preparatory Education (AEPE) Committee of the Berkeley Division of the Academic Senate over the period September 1995 – October 1996. During the process of their development, they were discussed with and reviewed by the Divisional Council and the Committee on Educational Policy of the Berkeley Division, by the Undergraduate Admissions Coordination Board (chaired by the Vice Chancellor and Provost and including senior leaders of the Berkeley Division as well as other faculty and administrative representatives), and by the Chancellor. In May 1996, the AEPE Committee issued a progress report describing its key goals and concerns regarding the new criteria, the historical and educational context in which they were developed, and its recommendations for the criteria themselves; this report was also presented to and reviewed by Divisional Council, the Undergraduate Admissions Coordination Board, and the Chancellor.

Earlier versions of these final selection criteria were first officially adopted by the Committee in October 1996 and by the Undergraduate Admissions Coordination Board in November 1996. Subsequent to their approval on the campus, they were also reviewed and accepted by the Office of the President and the Board of Admissions and Relations with Schools of the University-wide Academic Senate. Since 1996, the criteria have been reviewed regularly by the AEPE Committee and updated on several occasions.

In developing these guidelines, the Committee strove to adhere to a philosophical approach that emphasized:

Comprehensive, qualitative review and analysis of each individual's academic and personal achievements and likely contribution to the Berkeley community, based on careful review of the full applicant file;

Continued refinement and expansion of academic criteria on which applicants should be judged;

Continued movement away from categorical approaches to the evaluation of academic and personal accomplishments and characteristics;

Avoidance of specific weights for particular criteria, in favor of a comprehensive assessment of each individual applicant's accomplishments and the context in which those accomplishments have been achieved (the exception to this is the assignment

of the first 50% of Berkeley's admit spaces based on academic criteria alone; this policy is necessary to comply with the Regents policy); and

Continues commitment to the goal of achieving academic excellence as well as diversity of personal experience and background in the members of the freshman class.

Previous versions of these criteria were used for the first time in the review of applicant for the Fall 1998 semester. The criteria below were most recently modified on May 4, 2000.

Academic Criteria

1. College preparatory courses completed and the level of achievement in those courses, including
 - college preparatory courses beyond the UC a-f minimums;
 - Honors, Advanced Placement, and the International Baccalaureate Higher Level (IBHL) courses;
 - college and university courses;
 - the senior year course load.
2. Uncapped UC grade-point average and un-weighted grade-point average (taken from the UC application), including the pattern of achievement reflected in grades over time and whether the applicant has been identified as among those applicants from his or her school who are Eligible in the Local Context.
3. Scores in the three required SAT II tests as well as the SAT I (or ACT).
4. Scores on Advanced Placement tests and IBHL examinations.
5. Other evidence of intellectual or creative achievement.

This criterion will recognize extraordinary, sustained achievement in any field of intellectual endeavor.

6. Achievement in academic enrichment programs.

This criterion will be measured by time and depth of participation, by the academic progress made by the individual during that participation, and by the intellectual rigor of the particular program.

Most of the academic score should be based on the first three criteria. The assessment of courses should include consideration of the specific high school's curriculum; the assessment of grades should consider the pattern of achievement over time. Test scores should be evaluated against all of the other academic information in the application. No specific weight would be assigned to any of the variables.

Personal Characteristics and Achievements Criteria

1. Likely contributions to the intellectual and cultural vitality of the campus. In addition to a broad range of intellectual interests and achievements, admission officers will seek diversity in personal background and experience.
2. Personal qualities of the applicant, including leadership ability, character, motivation, tenacity, initiative, and demonstrated concern for others and for the community.
3. Non-academic achievements, including accomplishments in the performing arts or athletics, employment, leadership in school or community organizations or activities and community service.

All achievements, both academic and non-academic, will be considered in the context of the opportunities an applicant has had, any hardships or unusual circumstances the applicant has faced, and the ways in which he or she has responded to them. In evaluating the context in which academic accomplishments have taken place, evaluators will consider the strength of the high school curriculum, including the availability of honors and advanced placement courses and the total number of college preparatory course available, among other items. When appropriate and feasible, they would look comparatively at the achievements of applicants in the same pool who attended the same high school and therefore might be expected to have similar opportunities and challenges.

Approved by the Admissions, Enrollment, and Preparatory Education (AEPE) Committee May 4, 2000.



APPENDIX B: ADMISSIONS POLICY FOR 2002 AND
LETTER

UNIVERSITY OF CALIFORNIA, BERKELEY

BERKELEY • DAVIS • IRVINE • LOS ANGELES •
RIVERSIDE • SAN DIEGO • SAN FRANCISCO

SANTA BARBARA
• SANTA CRUZ

May 9, 2001

President Atkinson
Academic Council Chair Cowan
Office of the President
University of California
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

Dear Dick and Michael:

We are writing to request an exception for the Berkeley campus to Regental policy contained in section 5 of SP-1. This provision directs each campus to select 50 to 75 percent of the entering class based on academic criteria alone with the remaining 25-50 percent to be selected using academic criteria plus supplemental criteria. Our goal in seeking this exception is to be able to implement a unitary admissions policy for the entering class of 2002 under which the entire class would be selected on the basis of a single set of academic and supplemental criteria. We request that this proposal be considered at the July 2001 Regents meeting so that there will be adequate time to implement the policy for the class entering in the Fall of 2002.

Attached is a proposed policy document detailing the selection criteria to be used in the new admissions process and the rationale for the policy choices. This document, which contains a statement of guiding principles for admissions to Berkeley provides the substantive framework of the new process. This policy document was developed by the Berkeley Academic Senate Committee on Admissions, Enrollment, and Preparatory Education (AEPE) over the course of many meetings during this academic year. It was endorsed by the Divisional Council of the Berkeley Academic Senate and by the Campus Undergraduate Admissions Coordinating Board. The proposed policy was also discussed in a report by Calvin C. Moore of the AEPE Committee to the Berkeley Division of the Academic Senate at its April meeting. In all of these deliberations and discussions it has been clearly understood that implementation of such a unitary admissions policy would require an exception to section 5 of SP-1. The proposed policy fully comports with all other provisions of SP-1 and with Proposition 209.

Four years ago, starting with the freshman class entering in 1998, the Berkeley campus made a major change in the freshman admissions process, moving away from formulas and numerical algorithms to a comprehensive review of all files. Every one of the applicant files is read comprehensively cover to cover, twice and independently, by

trained and professional readers. No individual criterion or group of criteria have fixed pre-assigned weights; rather the reader weighs and combines the different elements, academic and non-academic, to reach an overall evaluation. Underlying this evaluation is a complex and multifaceted concept of merit that goes far beyond grades and test scores. All achievements, academic and non-academic, are evaluated in the context of the student's circumstances, including the school environment, the home and socioeconomic environment, the opportunities available to the student and the challenges the student faced. Each reader assigns first an academic score (1 to 7) based on a prescribed set academic criteria approved by AEPE; the reader then assigns a comprehensive score (1 to 5) based on the approved set of academic criteria, plus an approved set of supplemental criteria. Both scores include consideration of the context of the student, but different aspects of the context enter into the two scores. Half the class (so called tier 1) is admitted on the basis of the academic score and the second half (so called tier 2) is admitted on the basis of the comprehensive score.

This process has been successful and has improved the quality of decision making. High school counselors have told us repeatedly that from their perspective we are making better decisions; moreover, we can see the same result from looking at files and contrasting the applicants that we accept now with those we have accepted using the previous process. Nevertheless, the system can be improved, and in particular we find the two-tier system described above less than optimal. The academic and supplemental factors are often inextricably intertwined with each other in most individual cases and they are very difficult to separate. Indeed, the separation into an academic and a comprehensive scoring process is an artificial separation. It is as if one first reviews the file with one eye closed and then only opens the other eye for the comprehensive score. It is in a way inconsistent with the concept of looking at the applicant as a whole person and evaluating all the achievements and promise. The separation into academic and supplemental criteria produces constant ambiguity as to what can be counted in which part of the review. For instance, demonstrated musical talent is normally a supplemental criterion, but development of this talent at its best usually involves some study of the history of music and of harmony, which are rightfully academic achievements. It should be added that our selective private university counterparts make no such distinction and have no artificial separation into tier 1 and tier 2.

We have therefore developed this year a modification of our current process where readers would read the entire file and score it on a single combined set of academic and supplemental criteria. We combined the two lists. There are no new criteria and none have been deleted. We call this a unitary process, and all students would be admitted on the basis of the single unitary score. This new process would address the problems identified with the current process, and it is a much more intellectually coherent process than the one we use now. Moreover, it is much better aligned with our broad, complex, and multifaceted conception of merit. Far from diminishing the quality of the students admitted, we feel the unitary admissions process would increase the overall quality of the admitted class as measured on our broad definition of merit. We have already done some modeling based on our comprehensive score, and we conclude that the racial and ethnic makeup of an entering class selected under a unitary process would be essentially unchanged from the current makeup. Finally, the Office of Undergraduate Admissions has conducted internal workflow analyses and predicts that the new process would also permit some savings in time and resources.

Each year over the past four years, the admission process has been refined and improved through a number of changes in policy and guidelines that are based on our experience in reading and scoring files. We see the move to a unitary process as a natural evolution of this process of refinement rather than a major change. That change was made in 1998 by dropping the formulaic process and moving to a comprehensive reading of all files.

Finally we wish to address the rationale for different admissions processes on different campuses. Each of the UC campuses has developed its own distinctive personality, and each attracts students with somewhat different characteristics. The campuses have different academic strengths and emphases. Ultimately, the admission policy and process on a campus represents an academic judgement of the faculty about which students they would like to see on campus and in their classes. The process should be informed by what kinds of students will do well and thrive on that particular campus and should be tailored to the nature and characteristics of the applicant pool and the degree of selectivity required. It is the academic judgement of the Berkeley faculty that the unitary process just described best meets these varied criteria for Berkeley and our applicant pool. We have four years experience with a process which involves comprehensive review of all files; the expertise, the staff, and the resources are all in place. Berkeley is uniquely poised to make this transition. We do not know whether other campuses will want to follow this example or not and if so on what timetable, or if they will move in some other direction. That is a decision that the faculty on each individual campus should make.

We ask the Regents for permission to proceed with this new process. As we have in the past, we will monitor it closely and make such adjustments as are indicated by experience. We would be happy to provide a comprehensive evaluation of the new process to the Regents after five years experience.

Sincerely,

Robert M. Berdahl
Chancellor

Calvin C. Moore
Chair AEPE

David Dowall
Chair Berkeley Division

Enclosure

cc: BOARS Chair Perry
Senior Vice President and Provost King
Executive Vice Chancellor and Provost Gray
Vice Chancellor Padilla
Associate Vice President Galligani
Assistant Vice Chancellor Black
Director Burnett
Director Ferri
Executive Director Robinson
Director Agronow
Members of AEPE

University of California, Berkeley Freshman Selection Criteria – Fall 2002

Background

The following selection criteria for freshman applicants to the Berkeley campus were developed by the Admissions, Enrollment and Preparatory Education Committee of the Berkeley Division of the Academic Senate during the winter and spring of 2001. They are based closely on criteria originally developed by the Committee between September 1995 and October 1996, formally adopted in October 1996, and modified annually for the Fall 1998 through Fall 2000 admissions cycles.

In developing these guidelines, the Committee strove to adhere to a philosophical approach that emphasizes:

- Continued redefinition and refinement of the concept of “merit” to reflect the full range of an applicant’s academic and personal achievements and likely contribution to the Berkeley community, viewed in the context of the opportunities and challenges that applicant faced.
- Individualized, qualitative review and analysis of each applicant’s full record of achievement, including all evidence contained in the application form, the total high school record, and the personal statement, as well as any supplementary information the campus may seek in order to clarify information provided in the application.
- Continued movement away from categorical approaches to the evaluation of academic and personal accomplishments and characteristics and avoidance of specific weights for particular criteria. In the criteria adopted in 1996, the Committee eliminated formulas and fixed weights. This year’s modification eliminates the distinction between students admitted on “academic criteria alone” and those admitted on “academic and other” criteria. All students admitted to Berkeley are to be selected on a combination of both academic and other criteria.
- Continued commitment to the goal of achieving academic excellence as well as diversity of talents and abilities, personal experience, and backgrounds in the members of the freshman class.

II. Guiding Principles For Undergraduate Admissions

Berkeley’s freshman selection criteria and process are based on the following fundamental principles, codified by the Admissions, Enrollment and Preparatory Education Committee in spring 2000.

1. The admissions process honors academic achievement and accords priority to students of exceptional academic accomplishment. At the same time, the decision-making process employs a broad and multifaceted definition of

merit, including an assessment of contributions that a student will make to the intellectual, cultural, or other aspects of campus life.

2. Each applicant is judged individually and comprehensively and all achievements are evaluated in the context in which the student learned and lived, as well as the opportunities available to the student and how he or she responded to challenges. In keeping with Berkeley's status as a public institution, ability to pay fees and expenses is never a criterion in the admission decision.

3. 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.

4. The admissions process should further the Regents' Policy that each campus should enroll a "...student body ... that encompasses the broad diversity of cultural, racial, geographic, and socioeconomic backgrounds characteristic of California." The process must also comport with state law, including Proposition 209.

5. The admissions process should select only those students whose academic preparation ensures a strong likelihood that they will persist to graduation.

6. The process should consider each applicant fairly, given the information available to the campus, and should seek to be perceived as fair by the various publics of the campus.

4. Freshman Selection Criteria

As described above, the purpose of the admissions process is to identify those applicants who, based on a qualitative review of all of the information—both academic and personal—presented in their applications, are most deserving of admission to Berkeley and will make the greatest contribution to Berkeley's intellectual and cultural community. All applications will be read in their entirety by at least two independent readers. The admissions evaluation will reflect the reader's thoughtful consideration of the full spectrum of the applicant's qualifications, based on all evidence provided in the application, and viewed in the context of the applicant's academic and personal circumstances and the overall strength of the Berkeley applicant pool. The criteria on which this evaluation will be based are as follows.

4. The applicant's full record of achievement in college preparatory work in high school, including the number and rigor of courses taken and grades earned in those courses. Consideration will be given to completion of courses beyond the University's A-G minimums; strength of the senior year course load; and performance in honors, college-level, Advanced Placement, and International Baccalaureate Higher Level (IBHL) courses, *to the extent that such courses are available to the applicant*. In assessing achievement levels, consideration will be given to individual grades earned, to the pattern of achievement over time, and to an

applicant's achievement relative to that of others in his or her high school, including whether he or she is among those identified as Eligible in the Local Context.

2. Personal qualities of the applicant, including leadership ability, character, motivation, tenacity, initiative, originality, intellectual independence, responsibility, insight, maturity, and demonstrated concern for others and for the community.
3. Likely contributions to the intellectual and cultural vitality of the campus. In addition to a broad range of intellectual interests and achievements, admission officers will seek diversity in personal background and experience.
4. Performance on standardized tests, including the three required SAT II tests, the SAT I (or ACT), and any Advanced Placement or IBHL examinations the applicant may have taken. Applicants who have not had the opportunity to take Advanced Placement or IBHL courses or who have chosen not to take the examinations for these courses will not be disadvantaged. Test scores will be evaluated in the context of all other academic information in the application and preference will be given to tests that show a demonstrable relationship to curriculum and to Academic Senate statements of competencies expected of entering college students. Under no circumstances does Berkeley employ minimum scores or "cut-offs" of any kind.
5. Achievement in academic enrichment programs, including but not limited to those sponsored by the University of California. This criterion will be measured by time and depth of participation, by the academic progress made by the applicant during that participation, and by the intellectual rigor of the particular program.
6. Other evidence of achievement. This criterion will recognize exemplary, sustained achievement in any field of intellectual or creative endeavor; accomplishments in the performing arts and athletics; employment; leadership in school or community organizations or activities; and community service.

All achievements, both academic and non-academic, will be considered in the context of the opportunities an applicant has had, any hardships or unusual circumstances the applicant has faced, and the ways in which he or she has responded to them. In evaluating the context in which academic accomplishments have taken place, evaluators will consider the strength of the high school curriculum, including the availability of honors and advanced placement courses and the total number of college preparatory course available, among other indicators of the resources available within the school. When appropriate and feasible, they would look comparatively at the achievements of applicants in the same pool who attended the same high school and therefore might be expected to have similar opportunities and challenges. They will also consider other contextual factors that bear directly on the applicant's achievement, including linguistic background, parental education level, and other indicators of support available in the home.

The admissions evaluation should also recognize a wide range of talent and creativity that is not necessarily reflected in traditional measures of academic achievement but which, in the judgement of the reader, is a positive indicator of the student's ability to succeed at Berkeley and beyond; to contribute meaningfully and uniquely to intellectual and social interchanges with faculty and fellow students, both inside and outside the classroom; and to make a special contribution to our society and culture. In applying the criteria above, readers should carefully consider evidence provided in the personal statement, as well as in the academic record and list of honors and achievements. For example, the essay may reveal a level of maturity and ability to reflect on one's life experience in relation to the larger world that indicates a high potential to benefit from and contribute to the richness of the intellectual life of the campus. Or it may reveal special qualities of leadership and initiative that indicate unique potential to contribute to the community and to society in an important way through political, social, or other forms of service.

Adopted by the Admissions, Enrollment and Preparatory Education Committee May 4, 2001.

APPENDIX C: AUGMENTED REVIEW POLICY

Reader Guidelines for Referral to the Augmented Review Pool Fall 2002

Background on the Augmented Review Process

The Augmented Review evaluation process is designed to provide additional review for applicants who are close to being competitive for admission, but whose applications are particularly challenging or lack essential information that would confirm for the reader that the applicant should receive a score likely to result in admission. Augmented Review was created in the spirit of the University of California's Admission-by-Exception process, which allows campuses to admit a very small number of students who are not UC-eligible, but who are for some other reason -- for example, special talents in particular areas or having achieved despite severe hardship -- particularly deserving of the opportunity for a UC education. However, Augmented Review is fundamentally different from Admission by Exception in that virtually all of the applicants admitted through this process will be UC-eligible and in fact most will far exceed minimum eligibility requirements. Consistent with the Guiding Principles the faculty has articulated for undergraduate admissions, applicants admitted through the Augmented Review process must demonstrate personal qualities and levels of academic preparation that indicate a strong likelihood that they will persist to graduation given the academic and personal support services available on campus.

Augmented Review candidates are identified by admissions readers during the regular reading process. Readers assign these applicants a unitary score, but also note that they recommend the candidates be referred to Augmented Review. Recommendations for referral to the Augmented Review pool are reviewed and confirmed by Team Leaders. Once a team leader confirms a reader's referral to Augmented Review, the applicant is sent a questionnaire that covers such topics as the school and home environment in which the applicant studied, the types of support that were available to him or her, and any extraordinary circumstances that the applicant believes bear on his or her high school performance. Applicants are also offered the opportunity to submit seventh-semester grades and letters of recommendations from high school teachers or outreach program counselors familiar with the applicants' work. When these materials are returned, they are reviewed by senior admissions readers in a process similar to the regular reading process: two readers review each file and each assigns a unitary score, scores that differ by one point are averaged, and files that receive scores more than one point apart are sent to a third reader. Depending on the size of the Augmented Review pool and the distribution of scores, Augmented Review candidates may be subject to a tie-breaking process which would again be similar to that of the regular reading process.

For fall 2002, the Admissions, Enrollment, and Preparatory Education Committee has set a target of roughly 1,800-2,000 applications for the Augmented Review pool, with roughly one-fourth of these applicants—between 400 and 500—admitted. These very

rough targets will be refined by the Committee after the Director of Admissions has assessed the size and strength of the Augmented Review pool.

Criteria for Referral to Augmented Review

Readers should use their professional judgment to evaluate each applicant on the full range of selection criteria, using all of the information available in the application and evaluating that information in the context of opportunity. Applicants whom the reader wishes to refer to Augmented Review should be given a unitary score that reflects the reader's judgment of the applicant's relative qualifications in comparison to the full range of the Berkeley applicant pool, based on the information available. If the reader believes, however, that this score is likely to result in a decision to deny an applicant whom the reader feels may in fact have a very strong claim on admission if questions about the application could be resolved, that applicant should be recommended for referral to Augmented Review. Because these cases are, by nature, particularly challenging, the referral must be reviewed and confirmed by a Team Leader.

The referral criteria listed below are designed to capture the most likely circumstances in which readers would wish to refer applicants to Augmented Review. They cannot, however, cover every circumstance in which referral is the right course of action. Therefore, readers evaluating applicants whose cases meet the spirit of the Augmented Review process, even if their circumstances are not covered by any of the guidelines below, should recommend referral to Augmented Review. Although many cases referred to Augmented Review will be applicants who have experienced hardship or limited academic opportunities, the Committee recognizes that some applicants who have not experienced hardship as that term is traditionally defined may nonetheless have encountered extraordinary circumstances of various types that make them appropriate candidates for Augmented Review. Finally, because Berkeley receives so many applications from low-income students, the fact that an applicant comes from a low-income family and/or has parents who did not graduate from college is not enough to warrant an applicant being referred to the Augmented Review pool.

In general, and noting the exceptions and qualifications in the paragraphs above, readers should use the following criteria when referring applicants to Augmented Review.

1. Evidence of great improvement in the academic record but not to a level that would be competitive for regular admission, accompanied by reasons for the initial poor performance that are in keeping with the intent of the policy.
2. Evidence of extraordinary talent in one area but lacking the overall balance that would be found in most applicants who are likely to be admitted through the regular review process.
3. Evidence of significant academic achievement or the potential for academic achievement at the University in spite of extraordinary or compound disadvantage (including disabilities) or other unusual circumstances.

4. Evidence of academic achievement at a level that may indicate the potential for success at Berkeley, but with missing or insufficient information in the application with which to fully gauge this—such that the reader feels the scoring would benefit from review of a completed Pre-Admission Questionnaire, seventh-semester grades, and letters of recommendation. Applicants referred based on missing information should have participated in outreach programs and/or demonstrate the ability to overcome substantial hardship. In cases where referral to Augmented Review is in doubt, participation in outreach programs is a sufficient ground in itself to refer the application.
5. Evidence of impassioned and continuing commitment or extraordinary talent or potential in a particular area (e.g., intellectual or creative activity, leadership, or community service).

Approved by the Committee on Admissions, Enrollment, and Preparatory Education October 19, 2001 (clerical edit, October 2003).

APPENDIX D: BETA TEST DATA

In June of 2001, the Office of Undergraduate Admissions (OUA) and the Academic Senate Committee on Admissions, Enrollment and Preparatory Education (AEPE) conducted a study and analysis of the unitary admissions system. The purpose was two-fold - first to gain experience with the system and gather information so that the campus would be prepared to implement the unitary selection process for the Fall 2002 entering class if the Regents approved the Senate proposal at their November meeting; and, second; to gather data and perform analyses that would inform the campus and the entire university about tierless comprehensive admissions.

The study was divided into three phases. In phase one, which began in June, OUA management team members, lead readers and AEPE members read and scored about 300 files from among the Fall 2001 applicants using the unitary criteria and guidelines that had been established by the Senate AEPE Committee. The purpose was to examine in detail how the criteria and guidelines would be applied to a substantial number of cases; to spot and correct bugs and fine tune the guidelines; and, finally, to train a small group of readers to use these selection criteria and guidelines. This phase was completed by mid-July, and AEPE approved the slightly revised guidelines.

In phase two, a random sample of 1,012 applicant files was selected from among the Fall 2001 admission cycle applications. These files were then read and scored by the readers trained in phase one, using unitary guidelines and following the usual double-read protocol, third-read protocols, and faculty oversight. This was termed a "beta test" of the unitary process. The object of the beta test was to conduct a mock mini-admissions cycle using the unitary (tierless) scoring process for this sample of applicants. It was not possible for a variety of reasons to replicate exactly what would happen in the real full-blown reading and admissions process, but it was close enough so that there were only relatively small differences at the margins. Fall term and spring term admit "targets" were set for this beta test of the unitary process to match as closely as possible the actual Fall 2001 and Spring 2002 outcomes of the two-tiered process. Approximately 240 of the beta sample applicants were "admitted" for the fall term and another 100 were "admitted" for spring term, almost exactly the same numbers from this sample that were actually admitted using the two-tier process for 2001. It was then possible to compare the actual outcomes last year with the unitary outcomes from this test and to do various analyses. The file reading in this phase was completed in September and the analysis in October. Results from it are summarized below. For simplicity, the beta sample was restricted to California residents who applied to the College of Letters and Science (L&S). This restriction avoided the complications that would be introduced into the mock process by special targets for out-of-state applicants and the detailed targets often set by individual major in the other colleges.

In phase three, during the fall term OUA management team members, lead readers and AEPE members in norming sessions read and scored additional files chosen to represent cases with unusual characteristics, so it could be determined whether the new process would work on these special kinds of files. Altogether, in all three phases in this study, some 1,400 files have been read and scored under the unitary process and guidelines, including files covering the full range of L&S and professional colleges. Another outcome of this analysis is the identification of a collection of applicant files

encompassing a wide range of cases that were used for the training of the full complement of readers during the Fall 2002 cycle.

Results of the Beta Test

The beta sample was 1,012 files (4.5%) of a total pool of 21,785 California Resident applicants. First the parameters (average HS GPA, average SAT scores, average number of honors courses taken, average parental income, geographical distribution, ethnic makeup, etc) of the sample were checked against these parameters for the total pool as a rough test for any sample bias. The parameters showed very substantial congruence between the sample and the total pool (e.g., 3.83 average HS GPA in the sample vs. 3.85 for the total pool, 1217 average SAT I in the sample vs. 1227 for the total pool, 1837 SAT II in the sample vs. 1857 in the pool. See Table 1).

Table 1. Beta Sample "Applicant" Pool Compared to Entire L&S Applicant Pool (California Residents Only)

	L & S Total= 21,785		Sample Total= 1,012	
<i>Applicant Education Variables</i>	Mean	Std D.	Mean	Std D.
Uncapped High School GPA	3.85	0.48	3.83	0.47
SAT1 Composite (Total)	1227	177	1217	177
SAT2 Composite (Total)	1857	263	1837	268
Number of Honors Courses	13	7.3	13	7.3
<i>Parent Income</i>	Frequency	Percent	Frequency	Percent
Under \$30,000	3515	16.1%	173	17.1%
\$30,000 or Higher	13413	61.6%	634	62.6%
Not Given on Application	4857	22.3%	205	20.3%
<i>First Generation College</i>	Frequency	Percent	Frequency	Percent
First Generation	6485	29.8%	303	29.9%
Parents Have 4-Yr Degree	14106	64.8%	650	64.2%
Not Given on Application	1194	5.5%	59	5.8%
<i>Geo-Location Distribution</i>	Frequency	Percent	Frequency	Percent
San Francisco Bay Area	6454	29.6%	292	28.9%
Los Angeles County	6923	31.8%	313	30.9%
Other Northern California Counties	2902	13.3%	153	15.1%
Other Southern California Counties	5405	24.8%	249	24.6%
Living Elsewhere	101	0.5%	5	0.5%
<i>Gender Distribution</i>	Frequency	Percent	Frequency	Percent
Female	12633	58.0%	573	56.6%
Male	8985	41.2%	428	42.3%
Not Given	167	0.8%	11	1.1%
<i>Ethnic Distribution</i>	Frequency	Percent	Frequency	Percent
African American	1077	4.9%	54	5.3%
Asian/Pacific Islander	8305	38.1%	367	36.3%
Chicano Latino	2937	13.5%	131	12.9%
White	7041	32.3%	341	33.7%
Other	2425	11.1%	119	11.8%

Source: UCB Office of Admissions

Then the characteristics of the group of students who were actually admitted for Fall 2001 using the two-tier process were compared with the characteristics of the group "admitted" in the beta test of the unitary process. Average numerical academic indicators for the beta test "admits" were just about the same (actually marginally higher) as compared to the two-tier admits – HS GPA of 4.27 (unitary) vs. 4.24 (two-tier); SAT I of 1319 (unitary) vs. 1305 (two-tier); SAT II of 2019 (unitary) vs. 1998 (two-tier). Finally, the percentage of unitary admits whose parental income is less than \$30,000 and who are first generation college students is roughly the same for respective categories of two-tier admits. The ethnic and racial makeup of the unitary "admits" is very similar to that of the two-tier admits, but the numbers here are small so that statistics become somewhat unreliable. None of the differences in any parameters are

statistically significant, but it can be said on the basis of this beta test that there is unlikely to be a decline in academic quality of the admits under a unitary process. If anything, the data show that admits under a unitary system will have somewhat higher average GPAs and test scores. (See Table 2.)

Table 2. Academic Profile of Actual Admits Compared to Unitary Admits in the Beta Sample

	<i>Fall 2001 Admits-Actual Outcome of Two-Tiered Method</i>						Unitary Admits	
	<i>Tier 1</i>		<i>Tier 2</i>		<i>Tier 1 & 2 Combined</i>		<i>n = 243</i>	
	<i>n =108</i>		<i>n =131</i>		<i>n =239</i>			
	<i>Mean</i>	<i>Std.D.</i>	<i>Mean</i>	<i>Std.D.</i>	<i>Mean</i>	<i>Std.D.</i>	<i>Mean</i>	<i>Std.D.</i>
Uncapped HS GPA	4.45	0.20	4.07	0.37	4.24	0.36	4.27	0.32
SAT1 Composite	1396	125	1229	173	1305	174	1319	161
SAT2 Composite	2126	184	1890	269	1998	261	2019	237
Number of Honors Courses	20.5	6.1	15.2	6.9	17.6	7.0	17.5	6.9
% Under \$30,000	8.3%		26.0%		18.0%		18.5%	
% First Generation	14.8%		38.2%		27.6%		27.2%	

Source: UCB Office of Admissions

Another comparison of the two processes is to look at the overlap (students admitted under both unitary and two-tier) and those admitted for the Fall under one but not the other. The overlap was 70%; therefore 30% of the actual two-tier admits last year were not "admitted" in the beta test and, conversely, 30% of the unitary beta test "admits" would not have been admitted in the actual two-tier process last year. The average numerical academic characteristics of the admitted in the new process exceeded those of the group admitted in the previous year (see Table 3). For example, 4.09 vs. 4.01 for HSGPA; 1268 vs. 1218 for SAT I; and 1929 vs. 1855 on SAT II. All of these comparisons are consistent with the overall comparison of unitary and two-tier admits in the previous paragraph.

When the spring term admits are included as well, the overlap in fall term plus spring term admits for the two processes increases to about 78%. When one looks at the basic decision to admit (in fall term vs. spring term) as opposed to deny, the two processes yielded the same result in 84% of all cases in the beta test.

Table 3. Academic Profile of the Subset of Non-Overlapping Cases from Two-Tier and Unitary Processes

	<i>Admitted Fall 2001 under Two-Tier but denied Fall under new Unitary</i>		<i>Admitted Fall under new Unitary but denied Fall under Two-Tier</i>	
	<i>Mean</i>	<i>Std.D.</i>	<i>Mean</i>	<i>Std.D.</i>
Uncapped HS GPA	4.01	0.42	4.09	0.35
SAT1 Composite	1218	167	1268	147
SAT2 Composite	1855	271	1929	227
Honors Courses	14.6	7.3	14.5	6.6
<hr/>				
% Under \$30,000	18.7%		20.3%	
% First Generation	34.7%		32.9%	

Source: UCB Office of Admissions

One final point of significant interest is to determine what happened to the actual Tier 1 admits in the two-tier process in the unitary beta test. There were 108 Tier 1 admits in the sample (these constitute a bit less than half of the 240 total because out-of-state applicants are admitted almost entirely in Tier 1. If out-of-state applicants had been included in the sample, the Tier 1 and Tier 2 numbers would have been equal, except for statistical fluctuations). Of the 108 Tier 1 applicants, 97 (90%) were admitted for fall term under the unitary process, and another 7 were admitted for spring term, and 4 (less than 4% of the total) were denied. (See Table 4.) Individual review of these 11 files indicated that their academic qualifications placed them near the bottom of the Tier 1 admits last year. *The conclusion is that Tier 1 applicants continue to do well in the unitary process, and all the data obtained in the beta test indicate no decline in overall academic qualification of the admitted students would result from use of a unitary process.*

Table 4. Crosstabulation of Two Processes for Fall and Spring, Admit and Deny

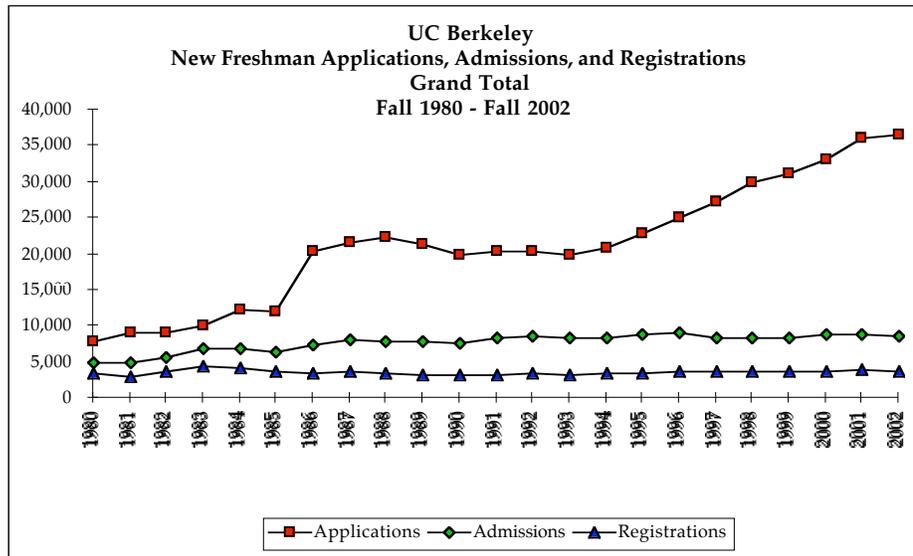
	UNITARY WAY			Totals	
	Unitary Fall	Unitary Spring	Unitary Deny		
TWO-TIERED WAY					
Tier 1 Fall	97	7	4	108	239
Tier 2 Fall	67	22	42	131	
Two-Tiered Spring	35	41	35	111	
Two-Tiered Deny	44	32	586	662	
Totals	243	102	667	1012	

Fall 2001 admits via Tiered process
 Admit 90% Tier 1 to Fall via Unitary
 Admit 96% Tier 1 to Fall or Spring

Source: UCB Office of Admissions

APPENDIX E: TABLES OF OUTCOMES

Table 5.



New Freshman Applications, Admissions, and Registrations:						
Fall 1980 - Fall 2002						
Grand Total						
Fall	Applications	Admissions	% Admit	Registrations	% Register of Admits	
1980	7,790	4,787	61.5%	3,373	70.5%	
1981	9,006	4,886	54.3%	3,064	62.7%	
1982	9,175	5,663	61.7%	3,560	62.9%	
1983	10,118	6,910	68.3%	4,368	63.2%	
1984	12,381	6,900	55.7%	4,168	60.4%	
1985	11,913	6,329	53.1%	3,772	59.6%	
1986	20,291	7,398	36.5%	3,315	44.8%	
1987	21,661	8,146	37.6%	3,625	44.5%	
1988	22,439	7,731	34.5%	3,533	45.7%	
1989	21,321	7,865	36.9%	3,312	42.1%	
1990	19,946	7,574	38.0%	3,128	41.3%	
1991	20,367	8,231	40.4%	3,221	39.1%	
1992	20,281	8,700	42.9%	3,420	39.3%	
1993	19,873	8,252	41.5%	3,215	39.0%	
1994	20,814	8,419	40.4%	3,344	39.7%	
1995	22,811	8,837	38.7%	3,406	38.5%	
1996	25,104	9,033	36.0%	3,708	41.0%	
1997	27,142	8,453	31.1%	3,572	42.3%	
1998	30,035	8,440	28.1%	3,735	44.3%	
1999	31,101	8,445	27.2%	3,618	42.8%	
2000	33,245	8,787	26.4%	3,735	42.5%	
2001	36,100	8,912	24.7%	3,842	43.1%	
2002	36,469	8,703	23.9%	3,652	42.0%	

(Note: Fall 2002 is "preliminary", statistics collected on 7/19/02. Fall enrollment is estimated from July SIRs.)

Sources: Office of Student Research, Office of AVC-Admissions & Enrollment

Table 6.
University of California, Berkeley

New Freshman Applicants by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary* Fall 2002
American Indian	204	169	139	175	157	172	207	200
African American	1,204	1,221	1,159	1,250	1,134	1,311	1,446	1,557
Chicano/Latino	2,723	2,824	2,852	3,139	2,815	3,438	3,980	4,247
Asian American	8,395	9,324	10,317	10,320	11,536	12,249	13,324	13,523
White	7,728	8,427	9,100	8,891	10,739	10,885	11,403	11,769
Other	411	529	659	431	547	613	631	616
Not Given	994	1,358	1,366	4,135	2,492	2,699	2,902	2,626
Subtotal-Citizens and Immigrants	21,659	23,852	25,592	28,341	29,420	31,367	33,893	34,538
International	1,152	1,252	1,550	1,694	1,681	1,878	2,207	1,931
TOTAL	22,811	25,104	27,142	30,035	31,101	33,245	36,100	36,469
Subtotal-American Indian, African American, Chicano- Latino	4,131	4,214	4,150	4,564	4,106	4,921	5,633	6,004
	*Fall 2002 applicants as of 7/19/02							
Percentage Distribution of New Freshman Applicants by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary* Fall 2002
American Indian	0.9%	0.7%	0.5%	0.6%	0.5%	0.5%	0.6%	0.6%
African American	5.6%	5.1%	4.5%	4.4%	3.9%	4.2%	4.3%	4.5%
Chicano/Latino	12.6%	11.8%	11.1%	11.1%	9.6%	11.0%	11.7%	12.3%
Asian American	38.8%	39.1%	40.3%	36.4%	39.2%	39.1%	39.3%	39.2%
White	35.7%	35.3%	35.6%	31.4%	36.5%	34.7%	33.6%	34.1%
Other	1.9%	2.2%	2.6%	1.5%	1.9%	2.0%	1.9%	1.8%
Not Given	4.6%	5.7%	5.3%	14.6%	8.5%	8.6%	8.6%	7.6%
Subtotal-Citizens and Immigrants	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Subtotal-American Indian, African American, Chicano, Latino	19.1%	17.7%	16.2%	16.1%	14.0%	15.7%	16.6%	17.4%
	*Fall 2002 applicants as of 7/19/02							
	<i>Sources: Office of Undergraduate Admissions, Office of AVC-Admissions & Enrollment</i>							

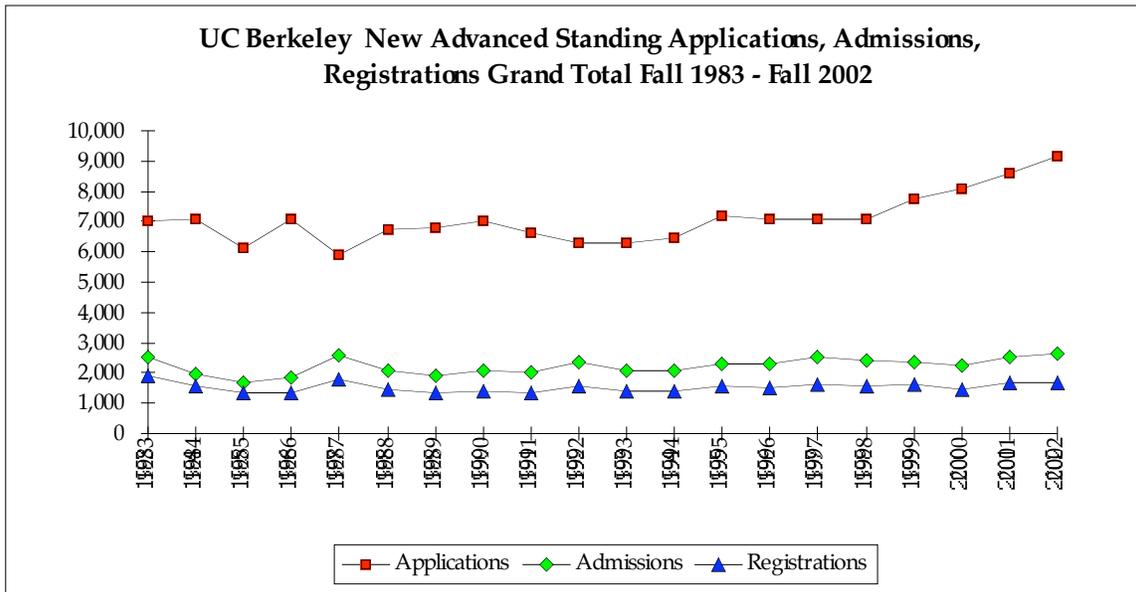
Table 7.
University of California, Berkeley

New Freshman Admits by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary* Fall 2002
American Indian	142	113	69	31	40	48	57	46
African American	623	605	562	247	309	349	338	329
Chicano/Latino	1,510	1,387	1,263	646	765	915	1,031	1,028
Asian American	2,879	2,996	2,926	3,121	3,245	3,316	3,389	3,384
White	2,921	3,032	2,726	2,779	2,973	2,969	2,947	2,892
Other	123	131	186	107	148	140	137	104
Not Given	402	525	498	1,291	742	824	819	728
Subtotal-Citizens and Immigrants	8,600	8,789	8,230	8,222	8,222	8,561	8,718	8,511
International	237	244	223	218	223	226	194	192
TOTAL	8,837	9,033	8,453	8,440	8,445	8,787	8,912	8,703
Subtotal-American Indian, African American, Chicano- Latino	2,275	2,105	1,894	924	1,114	1,312	1,426	1,403
*Fall 2002 admits as of 7/19/02								
Percentage Distribution of New Freshman Admits by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary* Fall 2002
American Indian	1.7%	1.3%	0.8%	0.4%	0.5%	0.6%	0.7%	0.5%
African American	7.2%	6.9%	6.8%	3.0%	3.8%	4.1%	3.9%	3.9%
Chicano/Latino	17.6%	15.8%	15.3%	7.9%	9.3%	10.7%	11.8%	12.1%
Asian American	33.5%	34.1%	35.6%	38.0%	39.5%	38.7%	38.9%	39.8%
White	34.0%	34.5%	33.1%	33.8%	36.2%	34.7%	33.8%	34.0%
Other	1.4%	1.5%	2.3%	1.3%	1.8%	1.6%	1.6%	1.2%
Not Given	4.7%	6.0%	6.1%	15.7%	9.0%	9.6%	9.4%	8.6%
Subtotal-Citizens and Immigrants	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Subtotal-American Indian, African American, Chicano, Latino	26.5%	24.0%	23.0%	11.2%	13.5%	15.3%	16.4%	16.5%
*Fall 2002 admits as of 7/19/02								
<i>Sources: Office of Undergraduate Admissions, Office of AVC-Admissions & Enrollment</i>								

Table 8.
University of California, Berkeley

New Freshman Enrolled by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Estimated* Fall 2002
American Indian	63	52	23	14	22	20	22	16
African American	222	233	257	126	126	148	143	141
Chicano/Latino	531	549	472	271	330	320	388	395
Asian American	1,268	1,432	1,468	1,565	1,583	1,629	1,688	1628
White	1,018	1,090	1,018	1,090	1,111	1,122	1,134	1073
Other	47	60	76	48	61	63	54	32
Not Given	152	196	187	540	294	341	343	277
Subtotal-Citizens and Immigrants	3,301	3,612	3,501	3,654	3,527	3,643	3,772	3,561
International	105	96	72	81	91	92	70	91
TOTAL	3,406	3,708	3,573	3,735	3,618	3,735	3,842	3,652
Subtotal-American Indian, African American, Chicano-Latino	816	834	752	411	478	488	553	551
*Fall 2002 are estimated enrollments based on SIRs received by 7/19/02								
Percentage Distribution of New Freshman Enrolled by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Estimated* Fall 2002
American Indian	1.9%	1.4%	0.7%	0.4%	0.6%	0.5%	0.6%	0.4%
African American	6.7%	6.5%	7.3%	3.4%	3.6%	4.1%	4.0%	4.0%
Chicano/Latino	16.1%	15.2%	13.5%	7.4%	9.4%	8.8%	10.9%	11.1%
Asian American	38.4%	39.6%	41.9%	42.8%	44.9%	44.7%	47.4%	45.7%
White	30.8%	30.2%	29.1%	29.8%	31.5%	30.8%	31.8%	30.1%
Other	1.4%	1.7%	2.2%	1.3%	1.7%	1.7%	1.5%	0.9%
Not Given	4.6%	5.4%	5.3%	14.8%	8.3%	9.4%	9.6%	7.8%
Subtotal-Citizens and Immigrants	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	105.9%	100.0%
Subtotal-American Indian, African American, Chicano, Latino	24.7%	23.1%	21.5%	11.2%	13.6%	13.4%	14.7%	15.5%
*Fall 2002 are estimated enrollments based on SIRs received by 7/19/02								
<i>Sources: Office of Undergraduate Admissions, Office of AVC-Admissions & Enrollment</i>								

Table 9.



New Advanced Standing Applications, Admissions, and Registrations:						
Fall 1983 - Fall 2002						
Grand Total						
Fall	Applications	Admissions	% Admit	Registrations	% Register of Admits	
1983	7,018	2,542	36.2%	1,903	74.9%	
1984	7,090	1,960	27.6%	1,571	80.2%	
1985	6,101	1,690	27.7%	1,372	81.2%	
1986	7,054	1,833	26.0%	1,361	74.2%	
1987	5,902	2,561	43.4%	1,782	69.6%	
1988	6,738	2,069	30.7%	1,469	71.0%	
1989	6,778	1,921	28.3%	1,357	70.6%	
1990	7,010	2,064	29.4%	1,386	67.2%	
1991	6,616	2,020	30.5%	1,345	66.6%	
1992	6,268	2,383	38.0%	1,549	65.0%	
1993	6,300	2,089	33.2%	1,380	66.1%	
1994	6,471	2,106	32.5%	1,417	67.3%	
1995	7,204	2,310	32.1%	1,550	67.1%	
1996	7,078	2,279	32.2%	1,504	66.0%	
1997	7,061	2,516	35.6%	1,632	64.9%	
1998	7,078	2,391	33.8%	1,574	65.8%	
1999	7,750	2,371	30.6%	1,602	67.6%	
2000	8,081	2,253	27.9%	1,484	65.9%	
2001	8,580	2,553	29.8%	1,671	65.5%	
2002	9,158	2,632	28.7%	1,702	64.7%	

(Note: Fall 2002 is "preliminary", statistics collected on 7/19/02. Fall enrollment is estimated from July SIRs.)

Excludes those seeking a second degree.

Sources: Office of Student Research, Office of AVC-Admissions & Enrollment

Table 10.
University of California, Berkeley

New Advanced Standing Applicants by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary * Fall 2002
American Indian	93	64	70	64	52	60	71	78
African American	349	324	269	226	240	246	270	315
Chicano/Latino	870	822	724	685	759	805	961	1,109
Asian American	1,993	2,007	2,007	1,732	2,022	2,160	2,327	2,457
White	2,582	2,552	2,524	2,168	2,769	2,762	2,760	2,909
Other	158	172	217	176	177	215	219	239
Not Given	388	374	364	1,129	722	787	837	779
Subtotal-Citizens and Immigrants	6,433	6,315	6,175	6,180	6,741	7,035	7,445	7,886
International	771	763	885	897	1,006	1,048	1,135	1,272
TOTAL	7,204	7,078	7,060	7,077	7,747	8,083	8,580	9,158
Subtotal-American Indian, African American, Chicano- Latino	1,312	1,210	1,063	975	1,051	1,111	1,302	1,502
	*Fall 2002 applicants as of 7/19/02							
Percentage Distribution of New Advanced Standing Applicants by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary * Fall 2002
American Indian	1.4%	1.0%	1.1%	1.0%	0.8%	0.9%	1.0%	1.0%
African American	5.4%	5.1%	4.4%	3.7%	3.6%	3.5%	3.6%	4.0%
Chicano/Latino	13.5%	13.0%	11.7%	11.1%	11.3%	11.4%	12.9%	14.1%
Asian American	31.0%	31.8%	32.5%	28.0%	30.0%	30.7%	31.3%	31.2%
White	40.1%	40.4%	40.9%	35.1%	41.1%	39.3%	37.1%	36.9%
Other	2.5%	2.7%	3.5%	2.8%	2.6%	3.1%	2.9%	3.0%
Not Given	6.0%	5.9%	5.9%	18.3%	10.7%	11.2%	11.2%	9.9%
Subtotal-Citizens and Immigrants	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Subtotal-American Indian, African American, Chicano, Latino	20.4%	19.2%	17.2%	15.8%	15.6%	15.8%	17.5%	19.0%
	*Fall 2002 applicants as of 7/19/02							
	<i>Sources: Office of Undergraduate Admissions, Office of AVC-Admissions & Enrollment</i>							

Table 11.
University of California, Berkeley

New Advanced Standing Admits by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary * Fall 2002
American Indian	31	29	34	16	10	14	27	20
African American	145	134	125	68	75	76	89	88
Chicano/Latino	331	316	301	208	226	200	263	313
Asian American	624	622	670	590	630	604	690	756
White	827	844	955	814	890	862	919	931
Other	38	53	76	58	51	63	81	80
Not Given	117	119	125	395	239	236	279	252
Subtotal-Citizens and Immigrants	2,113	2,117	2,286	2,149	2,121	2,055	2,348	2,440
International	213	197	241	248	248	202	208	192
TOTAL	2,326	2,314	2,527	2,397	2,369	2,257	2,556	2,632
Subtotal-American Indian, African American, Chicano- Latino	507	479	460	292	311	290	379	421
	*Fall 2002 admits as of 7/19/02							
Percentage Distribution of New Advanced Standing Admits by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Preliminary * Fall 2002
American Indian	1.5%	1.4%	1.5%	0.7%	0.5%	0.7%	1.1%	0.8%
African American	6.9%	6.3%	5.5%	3.2%	3.5%	3.7%	3.8%	3.6%
Chicano/Latino	15.7%	14.9%	13.2%	9.7%	10.7%	9.7%	11.2%	12.8%
Asian American	29.5%	29.4%	29.3%	27.5%	29.7%	29.4%	29.4%	31.0%
White	39.1%	39.9%	41.8%	37.9%	42.0%	41.9%	39.1%	38.2%
Other	1.8%	2.5%	3.3%	2.7%	2.4%	3.1%	3.4%	3.3%
Not Given	5.5%	5.6%	5.5%	18.4%	11.3%	11.5%	11.9%	10.3%
Subtotal-Citizens and Immigrants	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Subtotal-American Indian, African American, Chicano, Latino	24.0%	22.6%	20.1%	13.6%	14.7%	14.1%	16.1%	17.3%
	*Fall 2002 admits as of 7/19/02							
	<i>Sources: Office of Undergraduate Admissions, Office of AVC-Admissions & Enrollment</i>							

Table 12.
University of California, Berkeley

New Advanced Standing Enrolled by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Estimated * Fall 2002
American Indian	21	16	23	10	7	13	15	14
African American	111	90	89	41	57	51	63	64
Chicano/Latino	215	188	172	133	144	123	172	191
Asian American	426	418	468	422	444	413	468	524
White	526	542	584	495	571	535	566	562
Other	26	33	36	36	33	42	49	43
Not Given	80	76	88	262	159	147	195	171
Subtotal-Citizens and Immigrants	1,405	1,363	1,460	1,399	1,415	1,324	1,528	1,569
International	145	141	172	175	185	160	143	133
TOTAL	1,550	1,504	1,632	1,574	1,600	1,484	1,671	1,702
Subtotal-American Indian, African American, Chicano- Latino	347	294	284	184	208	187	250	269
<i>NOTE: Excludes students seeking second degree.</i>								
*Fall 2002 are estimated enrollments based on SIRs received by 7/19/02								
Percentage Distribution of New Advanced Standing Enrolled by Ethnicity Fall 1995 through Fall 2002								
Ethnicity	Final Fall 1995	Final Fall 1996	Final Fall 1997	Final Fall 1998	Final Fall 1999	Final Fall 2000	Final Fall 2001	Estimated * Fall 2002
American Indian	1.5%	1.2%	1.6%	0.7%	0.5%	1.0%	1.0%	0.9%
African American	7.9%	6.6%	6.1%	2.9%	4.0%	3.9%	4.0%	4.1%
Chicano/Latino	15.3%	13.8%	11.8%	9.5%	10.2%	9.3%	11.0%	12.2%
Asian American	30.3%	30.7%	32.1%	30.2%	31.4%	31.2%	29.8%	33.4%
White	37.4%	39.8%	40.0%	35.4%	40.4%	40.4%	36.1%	35.8%
Other	1.9%	2.4%	2.5%	2.6%	2.3%	3.2%	3.1%	2.7%
Not Given	5.7%	5.6%	6.0%	18.7%	11.2%	11.1%	12.4%	10.9%
Subtotal-Citizens and Immigrants	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	97.4%	100.0%
Subtotal-American Indian, African American, Chicano, Latino	24.7%	21.6%	19.5%	13.2%	14.7%	14.1%	16.4%	17.1%
<i>NOTE: Excludes students seeking second degree.</i>								
*Fall 2002 are estimated enrollments based on SIRs received by 7/19/02								
<i>Sources: Office of Undergraduate Admissions, Office of AVC-Admissions & Enrollment</i>								

Table 13.

Academic Profile of UC Berkeley Freshman Admits, and Grades Persistence after 1 After 1 Year at Berkeley: Total vs. Underrepresented Minority

Academic Characteristics of Fall Freshman Admits (California Residents Only)												Grades, Persistence for Enrolled Freshmen (CA Residents)	
GROUP	Entering Class	Uncapped High School GPA	SAT I Total	SAT I Verbal	SAT I Math	SAT II Writing (English Comp.)	SAT II Math	Third SAT II Achievement Test	SAT II Total	A-F Courses Taken	Honors Courses Taken or Planned	Fall Freshmen UCB GPA after 1 Year	UCB 1 Year Persistence at Census or End-of- Term
TOTAL	Fall 2002	4.28	1323	644	679	666	680	686	2032	47.2	17.9	Data Not Available	Data Not Available
	Fall 2001	4.24	1316	641	675	655	673	676	2005	47.0	17.2	3.14 (Note: excludes Summer '02 grades)	Data Not Available
	Fall 2000	4.27	1329	649	680	659	674	676	2010	46.8	17.9	3.14	97.3%
	Fall 1999	4.23	1336	656	680	661	673	681	2015	46.3	17.3	3.10	96.8%
Post-Comp Review	Fall 1998	4.19	1352	663	689	644	677	685	2006	46.3	16.6	3.10	97.2%
Pre-Comp Review	Fall 1997	4.12	1323	651	673	634	664	677	1976	Data Not Available	15.4	3.10	97.2%
	Fall 1996	4.09	1314	645	669	623	656	670	1951	Data Not Available	12.7	3.05	97.1%
	Fall 1995	4.07	1236	575	661	565	657	631	1856	Data Not Available	12.5	3.03	95.8%
Underrepresented Minorities	Fall 2002	4.13	1172	576	596	593	590	662	1845	43.9	15.7	Data Not Available	Data Not Available
	Fall 2001	4.09	1163	573	590	577	580	648	1806	43.9	15.0	2.84 (Note: excludes Summer '02 grades)	Data Not Available
	Fall 2000	4.11	1186	588	598	593	585	649	1826	44.3	15.7	2.90	95.9%
	Fall 1999	4.03	1186	591	595	589	582	646	1817	43.1	14.2	2.80	93.6%
Post-Comp Review	Fall 1998	4.01	1212	603	609	577	594	659	1830	43.2	14.0	2.87	95.2%
Pre-Comp Review	Fall 1997	3.86	1164	581	583	554	569	633	1757	Data Not Available	11.9	2.85	96.7%
	Fall 1996	3.82	1168	585	583	556	568	629	1755	Data Not Available	10.4	2.81	95.2%
	Fall 1995	3.77	1068	502	566	490	558	570	1619	Data Not Available	10.0	2.76	92.6%

Table 14.

Academic Profile of UC Berkeley Freshman Admits and Grades and Persistence after 1 Year at Berkeley: TIER 1 vs. TIER 2 admits

Academic Characteristics of Fall Freshmen Admits (California Residents Only)												Grades and 1 Year Persistence for Enrolled Freshmen (CA Residents Only)		Demographic Characteristics of Fall Freshmen Admits (California Residents Only)			
TIER	Entering Class	Uncapped High School GPA	SAT I Total	SAT I Verbal	SAT I Math	SAT II Writing	SAT II Math	Third SAT II Achievement Test	SAT II Total	A-F Courses Taken	Honors Courses Taken or Planned	Fall Freshmen UCB GPA after 1 Year	UCB 1 Year Persistence at Census or End-of-Term	Mean Parent Income	% Under \$30,000 Income	% First Generation College Students	% LOW SES <Income LT 30,000 - 1st Generation College>
TIER 1	Fall 2001	4.43	1392	682	710	696	712	710	2119	48.5	19.8	3.38 (Note: excludes Summer '02 grades)	Data Not Available	\$102,449	15.3%	16.6%	7.1%
	Fall 2000	4.46	1411	693	718	705	718	712	2135	48.6	20.7	3.38	98.2%	\$101,514	14.4%	18.2%	6.3%
	Fall 1999	4.42	1419	700	719	708	716	720	2145	48.0	20.1	3.32	97.8%	\$99,407	15.2%	15.4%	6.7%
	Post-Comp Review Fall 1998	4.38	1429	705	724	690	715	721	2127	47.6	19.4	3.31	97.9%	\$95,643	16.1%	12.9%	5.8%
	Pre-Comp Review Fall 1997	4.32	1440	710	731	698	727	729	2154	Data Not Available	18.5	3.32	97.3%	\$103,954	12.3%	10.3%	3.6%
	Fall 1996	4.29	1427	701	727	682	717	721	2121	Data Not Available	14.7	3.27	98.5%	\$94,812	13.9%	11.9%	4.3%
	Fall 1995	4.28	1353	635	719	625	720	686	2032	Data Not Available	14.5	3.28	97.5%	\$92,656	13.4%	10.1%	3.6%
TIER 2	Fall 2001	4.10	1255	608	647	622	641	649	1914	45.8	15.1	3.00 (Note: excludes Summer '02 grades)	Data Not Available	\$83,078	26.8%	27.7%	16.8%
	Fall 2000	4.13	1269	617	652	624	642	649	1916	45.5	15.7	3.02	96.8%	\$79,103	27.4%	36.9%	16.3%
	Fall 1999	4.08	1269	620	649	622	638	649	1910	44.9	14.9	2.98	96.3%	\$76,079	26.7%	26.5%	15.9%
	Post-Comp Review Fall 1998	4.06	1297	633	664	611	650	660	1921	45.4	14.5	2.99	96.8%	\$81,509	22.7%	23.7%	12.1%
	Pre-Comp Review Fall 1997	3.96	1231	603	628	582	614	636	1833	Data Not Available	13.0	2.97	97.2%	\$70,608	28.7%	29.6%	19.5%
	Fall 1996	3.91	1217	597	620	570	602	626	1799	Data Not Available	11.0	2.91	96.3%	\$66,482	31.7%	33.3%	21.5%
	Fall 1995	3.87	1122	516	606	506	596	578	1681	Data Not Available	10.6	2.85	94.5%	\$61,348	33.9%	36.5%	24.7%

Table 15.
Academic Profile of Freshman Applicants by Academic and Comprehensive Score
FALL 2000 (California Residents Only)

ACADEMIC CHARACTERISTICS FOR APPLICANTS												
Score / Group	N (Applicants)	Uncapped High School GPA	SAT I Total	SAT I Verbal	SAT I Math	SAT II Writing (English Comp.)	SAT II Math	Third SAT II Achievement Test	SAT II Total	A-F Courses Taken	Honors Courses Taken or Planned	Unweighted High School GPA (4.00 max)
ACADEMIC SCORE DISTRIBUTION (Regular Admission)												
1.0	476	4.60	1514	749	765	759	772	762	2294	51.5	24.0	3.97
1.5	581	4.51	1456	715	741	730	742	731	2203	49.8	22.1	3.95
2.0	1538	4.45	1403	689	714	702	714	708	2123	48.5	20.6	3.91
2.5	1591	4.36	1355	661	694	673	691	686	2050	46.9	18.9	3.86
3.0	2601	4.25	1318	640	677	649	669	666	1985	46.3	17.0	3.80
3.5	2397	4.14	1289	623	666	629	656	651	1937	45.6	16.0	3.71
4.0	3613	4.01	1254	605	649	608	636	633	1877	45.2	14.4	3.62
4.5	3052	3.83	1222	587	634	586	619	614	1820	45.0	12.6	3.49
5.0	4561	3.62	1166	561	605	556	586	587	1729	44.1	10.2	3.35
5.5	1399	3.45	1116	536	580	528	557	566	1650	42.8	8.9	3.21
6.0	408	3.29	1082	521	561	503	540	554	1597	42.1	7.0	3.10
6.5	215	3.04	1075	510	565	501	548	584	1627	43.2	6.6	2.87
7.0	2020	3.04	1034	498	536	499	524	553	1579	43.2	5.6	2.90
Total	24452	3.90	1243	601	642	606	631	631	1870	45.3	13.6	3.53
COMPREHENSIVE SCORE DISTRIBUTION (Regular Admission)												
1.0	480	4.56	1485	735	750	743	755	746	2244	51.0	23.1	3.96
1.5	784	4.48	1428	700	728	717	729	723	2169	49.3	21.8	3.92
2.0	1790	4.38	1369	672	697	684	694	697	2076	47.8	19.1	3.87
2.5	2242	4.28	1325	646	679	656	672	672	2000	46.7	17.9	3.81
3.0	2970	4.17	1294	630	665	638	655	655	1949	45.9	16.3	3.73
3.5	3106	4.03	1263	610	652	615	641	638	1894	45.4	14.7	3.63
4.0	4238	3.88	1232	595	637	595	623	620	1839	45.0	13.2	3.52
4.5	3583	3.68	1184	568	616	563	598	594	1755	44.3	10.9	3.39
5.0	5259	3.35	1111	531	580	528	565	573	1669	43.3	7.9	3.13
Total	24452	3.90	1243	601	642	606	631	631	1870	45.3	13.6	3.53
APPEALS, AUGMENTED REVIEW, OTHER												
Total	1704	3.77	1139	557	582	561	568	613	1744	43.9	12.1	3.45
ALL CALIFORNIA RESIDENT APPLICANTS												
GRAND	26156	3.89	1236	598	638	603	627	630	1862	45.2	13.5	3.53

Table 16.
Academic Profile of Freshman Admits and Outcomes for Enrolled Freshmen by Academic and Comprehensive Score
FALL 2000 (California Residents Only)

ACADEMIC CHARACTERISTICS FOR ADMITS													OUTCOMES FOR ENROLLED FRESHMEN			
Score / Group	N (Admits)	Uncapped High School GPA	SAT I Total	SAT I Verbal	SAT I Math	SAT II Writing (English Comp.)	SAT II Math	Third SAT II Achievement Test	SAT II Total	A-F Courses Taken	Honors Courses Taken or Planned	Unweighted High School GPA (4.00 max)	N (Enroll)	Fall Freshmen UCB GPA after 1 Year	Percent with UCB GPAs Less than 2.00 after 1 Year	UCB 1 Year Persistence (at Census or EOT)
ACADEMIC SCORE DISTRIBUTION (REGULAR ADMISSION)																
1.0	465	4.60	1514	749	765	759	772	761	2293	51.4	24.0	3.97	134	3.54	0.0%	96.3%
1.5	569	4.51	1456	716	741	730	742	731	2203	49.8	22.1	3.95	211	3.47	0.9%	99.1%
2.0	1513	4.45	1403	689	714	702	714	707	2123	48.5	20.6	3.91	591	3.34	1.7%	98.6%
2.5	1387	4.37	1355	661	693	673	690	686	2050	46.8	19.0	3.86	576	3.23	2.5%	98.3%
3.0	1460	4.26	1308	636	672	645	662	663	1970	46.2	17.0	3.81	615	3.07	4.8%	97.4%
3.5	700	4.13	1270	616	654	624	643	651	1918	45.3	15.3	3.72	310	3.01	4.2%	97.4%
4.0	580	4.03	1215	587	627	593	614	627	1834	44.7	14.0	3.66	313	2.94	4.2%	97.1%
4.5	170	3.87	1168	559	609	563	599	616	1778	45.1	11.6	3.56	93	2.69	13.5%	92.5%
5.0-5.5	76	3.72	1107	531	575	529	544	591	1657	42.8	10.4	3.44	52	2.72	10.4%	88.2%
Total	6920	4.32	1347	658	689	668	684	683	2035	47.2	18.5	3.83	2895	3.17	3.4%	97.5%
COMPREHENSIVE SCORE DISTRIBUTION (REGULAR ADMISSION)																
1.0	469	4.56	1484	735	750	743	754	745	2242	50.8	23.1	3.96	132	3.52	0.8%	97.0%
1.5	778	4.48	1427	700	727	717	728	722	2168	49.2	21.7	3.92	293	3.41	0.7%	97.6%
2.0	1769	4.38	1369	672	697	684	694	697	2075	47.7	19.1	3.87	720	3.26	2.0%	98.2%
2.5	2192	4.28	1325	646	679	656	671	671	1999	46.6	17.9	3.81	951	3.15	3.8%	97.7%
3.0	1217	4.21	1282	624	658	632	648	652	1932	45.4	16.3	3.77	545	3.05	5.0%	97.4%
3.5	380	4.09	1264	601	662	608	654	644	1908	45.5	14.5	3.71	198	2.89	5.7%	96.0%
4.0	99	4.02	1296	612	683	605	669	639	1913	45.3	13.9	3.66	49	2.61	12.5%	98.0%
4.5	16	3.83	1204	553	651	577	649	638	1864	43.1	10.0	3.60	7	2.53	14.3%	71.4%
Total	6920	4.32	1347	658	689	668	684	683	2035	47.2	18.5	3.83	2895	3.17	3.4%	97.5%
APPEALS, AUGMENTED REVIEW, OTHER																
Total	632	3.77	1144	558	585	561	566	594	1722	43.3	11.3	3.47	458	2.95	6.1%	95.4%
ALL CALIFORNIA RESIDENTS																
GRAND TOTAL	7552	4.27	1330	649	680	659	674	676	2010	46.9	17.9	3.80	3353	3.14	3.8%	97.3%

Table 17.
Correlations/Regressions of Fall 2000 Academic and Comprehensive Scores, SAT I, SATII, and Uncapped High School LGPA with Freshman GPA after 1 Year at Berkeley

Correlations: Fall 2000 - Regular Admits - California Residents Only						
	GPA After 1 Year at UCB	Academic Score*	Compre. Score*	SAT I Total	SAT II Total	Uncapped HS GPA
GPA After 1 Year at UCB	-	0.35	0.29	0.27	0.31	0.28
Academic Score*	0.35	-	0.69	0.57	0.57	0.68
Compre. Score*	0.29	0.69	-	0.37	0.38	0.45
SAT I Total	0.27	0.57	0.37	-	0.85	0.34
SAT II Total	0.31	0.57	0.38	0.85	-	0.33
Uncapped HS GPA	0.28	0.68	0.45	0.34	0.33	-

N=2821

*Note: Correlations with Academic and Comprehensive Score have had their signs (+/-) reversed to improve interpretation since "low" scores (i.e., 1, 2) are actually indicative of "high" rankings.

STEPWISE MULTIPLE REGRESSIONS (Predicting GPA after 1 Year at UCB)						
STEP	Predictor Variables	Multiple Correlation [R]	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics
1	Academic Score	0.355	0.126	0.126	0.523	0.126
2	Compre. Score	0.361	0.131	0.130	0.522	0.005

STEP	Predictor Variables	Multiple Correlation [R]	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics
1	SAT II Total	0.309	0.096	0.095	0.531	0.096
2	Uncapped HS GPA	0.362	0.131	0.131	0.520	0.035

NOTES: SAT I was tested in above equation but added no additional variance Beyond the two variables (SAT II and Uncapped HS GPA) already in the equation. Analyses are for Fall 2000 enrolled students admitted through regular two-tier comprehensive review process.

APPENDIX F: ADVANCED STANDING ADMISSIONS POLICY FOR 2003

University of California, Berkeley
Advanced Standing Selection Criteria
College of Letters and Science

I. Background

The following selection criteria for advanced standing applicants to the Berkeley campus College of Letters and Science were developed by the Admissions, Enrollment, and Preparatory Education (AEPE) Committee of the Berkeley Division of the Academic Senate. Given the widely held regard for the freshman admission selection criteria developed by the Committee in 1998, and the successful evolution the freshman selection process planned for 2002 to one which utilizes a unitary scoring process, it is the logical the next step for the Committee to implement a similar policy and criteria for advanced standing admission.

This policy is based upon the same principles which govern the freshman policy. The process for advanced standing applicants presently employed divides applicants into three groups based on their self-reported grade point average. Applicants in the top group of about 15% of the applicants are admitted, and thus constitute half of those to be admitted. For the middle group, consisting of about 40% of the applicants, all files are read and scored comprehensively as at the freshman level, and the remaining half of the admitted class is selected from this group. The bottom group, with a few exceptions, receives no further review. The current policy and procedures differ from the freshman process where every file is read and evaluated comprehensively.

Additionally, the current Memorandum of Understanding between the California Community Colleges and the University of California challenges UC to admit more transfer students by 2005-2006. While it is unclear how many additional students the Berkeley campus can accommodate, it is clear that if the advanced standing applicant pool continues to increase, it will be crucial that the campus have a sound and equitable selection policy in place.

II. Guiding Principles

The guidelines for the advanced standing selection criteria and process move away from the quantitative numerical approach currently used to select part of the class and avoid specific weights for particular criteria in favor of a comprehensive assessment of each individual applicant's accomplishments and the context in which those accomplishments have been achieved. The following principles underlie the selection process:

1. The admissions process honors academic achievement and accords priority to students of exceptional academic accomplishment. At the same time, the decision-making process employs a broad and multifaceted definition of merit, including an assessment of contributions that a student will make to the intellectual, cultural, or other aspects of campus life.
2. Each applicant is judged individually and comprehensively and all achievements are evaluated in the context in which the student learned and lived, as well as the opportunities available to the student and how he or she responded to challenges. In

keeping with Berkeley's status as a public institution, ability to pay fees and expenses is never a criterion in the admission decision.

3. 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.
4. The admissions process should further the Regents' Policy that each campus should enroll a "...student body ... that encompasses the broad diversity of cultural, racial, geographic, and socio-economic backgrounds characteristic of California." The process must also comport with state law, including Proposition 209.
5. The admissions process should select only those students whose academic preparation ensures a strong likelihood that they will persist to graduation.
6. The process should consider each applicant fairly, given the information available to the campus, and should seek to be perceived as fair by the various publics of the campus.

III. Advanced Standing Selection Criteria

As described above, the purpose of the admissions process is to identify those applicants who, based on a qualitative review of all of the information—both academic and personal—presented in their applications, are most deserving of admission to Berkeley and will make the greatest contribution to Berkeley's intellectual and cultural community. All applications will be read in their entirety by at least two independent readers. The admissions evaluation will reflect the reader's thoughtful consideration of the full spectrum of the applicant's qualifications, based on all evidence provided in the application, and viewed in the context of the applicant's academic and personal circumstances and the overall strength of the Berkeley applicant pool. The criteria on which this evaluation will be based are as follows.

1. The applicant's full record of achievement in transferable college courses, including the completion of courses that satisfy lower division breadth requirements for the College; prerequisite courses for the intended major, the grade point average, including the pattern of achievement reflected in grades over time and level of achievement and the number of transferable units completed per term within the context of the applicant's personal circumstances.
2. Personal qualities of the applicant, including leadership ability, character, motivation, tenacity, initiative, originality, intellectual independence, responsibility, insight, maturity, and demonstrated concern for others and for the community.
3. Likely contributions to the intellectual and cultural vitality of the campus. In addition to a broad range of intellectual interests and achievements, admission officers will seek diversity in personal background and experience within the context of each applicant's opportunities.
4. Achievement in academic enrichment or honors programs, including but not limited to those sponsored by the University of California. This criterion will be measured by time and depth of participation, by the academic progress made by the applicant during that participation, and by the intellectual rigor of the particular program.

5. Other evidence of achievement. This criterion will recognize exemplary, sustained achievement in any field of intellectual or creative endeavor; accomplishments in the performing arts and athletics; employment; leadership in school or community organizations or activities; community service, and military service.
6. Strength of academic purpose for transferring to Berkeley; for example, a substantiated desire to pursue a specific and/or unusual major or to study with a particularly renowned faculty member.

All achievements, both academic and non-academic, will be considered in the context of the opportunities an applicant has had, any hardships or unusual circumstances the applicant has faced, and the ways in which he or she has responded to them. In evaluating the context in which academic accomplishments have taken place, evaluators will consider whether the applicant comes from an educationally disadvantaged background, including prior attendance at a low-performing high school or enrollment at a California community college with a low transfer rate to UC (and/or UCB) and the resources and opportunities available to the student. Where appropriate and feasible, they would look comparatively at the achievements of applicants in the same divisional or major pool. They will also consider other contextual factors that bear directly on the applicant's achievement, including linguistic background, parental education level, support available in the home; number of hours of employment including the level of responsibility achieved, parenthood, and/or status as a student returning after a prolonged absence from higher education

The admissions evaluation should also recognize a wide range of talent and creativity that is not necessarily reflected in traditional measures of academic achievement but which, in the judgment of the reader, is a positive indicator of the student's ability to succeed at Berkeley and beyond; to contribute meaningfully and uniquely to intellectual and social interchanges with faculty and fellow students, both inside and outside the classroom; and to make a special contribution to our society and culture. In applying the criteria above, readers should carefully consider evidence provided in the personal statement, as well as in the academic record and list of honors and achievements. For example, the essay may reveal a level of maturity and ability to reflect on one's life experience in relation to the larger world that indicates a high potential to benefit from and contribute to the richness of the intellectual life of the campus. Or it may reveal special qualities of leadership and initiative that indicate unique potential to contribute to the community and to society in an important way through political, social, or other forms of service.

The overwhelming majority of advanced standing students admitted are at the junior level, and these policies and procedures are designed primarily to evaluate these applicants. The campus does admit small numbers of advanced standing lower-division students and senior level students. The files of such applicants are evaluated generally using the criteria described here, but there must be compelling special circumstances to warrant admission of students at levels other than the junior level.

Approved in principle by the Admissions, Enrollment and Preparatory Education Committee May 4, 2001

APPENDIX G: POLICY ON ADMISSION OF NON-RESIDENT UNDERGRADUATE STUDENTS

It has long been recognized that incorporating a number of international students within the UC Berkeley student body will bring a diversity of background and experience to the classroom and to the life of the campus that will enrich and broaden the educational, cultural, and social experience for all students. Just as Berkeley places a priority on its students studying abroad, the presence of international students on campus is likewise important, given the increasing trends of internationalization and the increasing flow of people, culture, goods, capital, and technology across national boundaries. In the same way, incorporating a number of domestic out-of-state students into the student body also serves to enrich the college experience for all students. On the other hand, UC Berkeley, as a state-supported institution, has a responsibility to serve the people of California and to provide educational opportunities to California's young people. Admission to Berkeley is a much sought after public resource, and reserving all or most of the places at Berkeley for California residents -- especially in light of the added enrollment pressure that will be created by Tidal Wave II -- is not an unreasonable public policy goal. The challenge is to find the proper balance between these competing desiderata.

The percentage of undergraduate non-resident (domestic out-of-state and international) students at Berkeley has varied over time, but it has shown a steady increase over the last two decades, from under 5% twenty years ago to about 7.5% a decade ago, 11.0% in 1998-99, and 11.4% this year. Currently this total consists of 7.8% domestic out-of-state students and 3.6% international students. Approximately 23% of freshman applicants and 18% of transfer applicants are non-residents, and they are generally very competitive in our admissions process. These percentages have been trending upwards as well.

As a result of policy decisions, procedures have been incorporated into the admissions process that serve to limit the number of non-resident students. In the current admissions cycle, the campus admitted 28.1% of the California resident applicants, 17.9% of the domestic out-of-state applicants, and 11.1% of the international applicants. If residency status were not taken into consideration in the admissions process, one could estimate from present patterns, even after taking account of the smaller yield rate for non-resident freshmen admits, that perhaps about 18% of our student body would consist of non-resident students. Such an outcome would not generally be regarded as an appropriate balance between the two competing desiderata outlined in the first paragraph.

Data from other universities can be of some help in arriving at an approach that makes sense for Berkeley. First, with respect to international students, they constitute 8% of undergraduates at MIT, 7% at Harvard, and 5% at Princeton and Stanford. At leading public universities they constitute between 2% and 4%, with Michigan (Ann Arbor) and Wisconsin (Madison) at 4%. Data on percent domestic out-of-state students in leading private universities are irrelevant for Berkeley, and data from leading public universities are mixed. Some public universities, for a variety of economic, demographic, political, or historical factors in their states, aggressively recruit, admit, and enroll large numbers of domestic out-of-state students. Michigan, Virginia, and Wisconsin are examples: about 30% or even more of the undergraduates at these institutions are domestic out-of-state and nearly 35% are non-residents. Other institutions that are in different contexts within their states either do not encourage or actively limit non-resident undergraduate enrollment. Such institutions might include Washington (Seattle) at 13% total nonresident undergraduates, Illinois (Champaign-Urbana) at 9%, and Texas (Austin) at 9%.

California institutions historically have been among the latter group. The UC university-wide average for non-resident undergraduates is just under 6%, with UCLA and UCSC just about at this average and all other campuses (except for UCB) well below it. Although there is no formal agreement between the University and the State to limit non-resident undergraduate enrollments to some fixed percentage of the total enrollment, there is direct and indirect influence exerted to hold down the number of non-resident students. California has historically had one of the lowest percentages of non-resident undergraduate students in its four-year public institutions among all states in the nation.

In light of all of the competing factors, it is the AEPE Committee's conclusion that Berkeley establishes a target for non-resident undergraduate student enrollment at about 10% of the total undergraduate enrollment. The reduction from over 11% at the present should be achieved by further restricting the numbers of non-resident students phased over several years beginning with the Fall 2001 admissions cycle. In light of the fact that the yield rate for non-resident students is lower than that for California residents, the percentage of non-resident students among the students admitted can and will be higher than 10% in order to achieve the 10% target for enrolled students. The Committee has also concluded that international students provide such an important benefit to the campus that the enrollment of international students should be increased somewhat to a target of 4% and that domestic out-of-state students should have a target of 6%.

The domestic out-of-state applicants generally show an extraordinarily strong academic record of achievement and the selection criteria should continue to emphasize academic achievement. Almost all of these students should be admitted in Tier One, as they are now. The campus has applicants from all 50 states and admits students from all 50 states. Texas, Washington, New York, Illinois, Arizona, and New Jersey are, in that order, the states sending the largest number of domestic out-of-state freshman students to UC Berkeley.

With respect to international students, many of whom also have a strong record of academic achievement, the Committee advocates achieving an international student body that is less concentrated among students from a relatively small number of countries and that represents a somewhat broader spectrum of countries of citizenship. Consequently the Committee mandates the use of country of citizenship as one criterion among many others in selecting international students. The Committee also endorses the interpretation of the supplemental criterion of potential for leadership as applied to international students to include potential for international leadership.

There are two additional points to note about Berkeley's international undergraduate students. The first is that about half of the enrolled international students come to the campus as transfer students (as contrasted with less than 20% of all students who enter as transfer students). It appears that a number of families from abroad have discovered and are making use of the provisions of the California Master Plan for Higher Education. They apparently send their children to California to enroll in transfer programs in Community Colleges. Then these students apply to Berkeley, are admitted in substantial numbers, and go on to receive Berkeley degrees. For instance, for the 1999 Fall semester Berkeley enrolled 98 international freshmen, but 186 international transfer students. Moreover the country of citizenship for these transfer students showed somewhat greater diversity than for the freshman enrollees. This route to Berkeley for international students also has the advantage that students have two years in which to improve their English language skills before entering Berkeley.

The second point concerning international undergraduate students is that the number of enrolled students does not include the international students who are here under the reciprocity agreements of the Education Abroad Program (EAP). Although these students are

not formally registered, they take courses and participate in the intellectual and cultural life of the campus just like enrolled students. They represent about 1% of the undergraduate student body. Hence if Berkeley has 4% registered international students, the actual number of international students on campus would be about 5% -- the percentage that Stanford and Princeton have. Moreover if participation of Berkeley students in EAP grows, the number of EAP reciprocity students may also grow.

*Approved by the Committee on Admissions and Enrollment
May 4, 2000*

APPENDIX H: ADMISSION OF ATHLETES

Athletic achievement plays a definite but modest role in the regular admissions process. Participation in athletic activities is a significant feature of high school life, as well as college life, and athletic achievement is one of the factors considered in the comprehensive review process for admission to Berkeley. An applicant who for instance simply lists that he or she played soccer in the 10th grade will not gain anything in the admissions process. What does matter is continuing and sustained involvement and leadership. For instance, playing soccer for four years and being team captain or MVP is something that will be an overall plus for the applicant. If in addition, the team competes successfully in regional, state or national competitions, more weight is given. Ranking or recognition of an athlete at the league, regional, state or national level is a plus, as is successful competition in regional, state, national, or international tournaments (the latter is more common for individual rather than team sports.) The greater the level of achievement, recognition, and leadership, plus what that achievement and leadership tell us about the determination or other personal qualities of the applicant, the more it will count in the admission process.

Intercollegiate athletics plays a significant role in the admission of a relatively small number of recruited athletes. The campus fields 27 intercollegiate athletic teams, and about 900 undergraduate students, or approximately 4% of all undergraduates, compete on these teams. These number are higher than for any other UC campus, but not as high as for many private universities. Stanford, for instance, fields 34 teams, and as their student body is much smaller than that of Berkeley, a significantly higher percentage of the undergraduates will compete in intercollegiate athletics. It is quite common that 10 to 20% of undergraduates compete in intercollegiate athletics in many private colleges and universities. In round numbers, about 260 freshman entering Berkeley in the Fall will compete on intercollegiate teams, plus smaller numbers of Spring freshman admits and transfer admits.

The coaching staff actively recruit student athletes that they would like to have come to Berkeley and play on their teams. The academic credentials of these students are given a preliminary screening by Intercollegiate Athletics, and in some cases the credentials are found so lacking that recruitment of the prospect is discontinued. Those for whom the record appears promising are asked to fill out an application for admission and submit it to OUA. These are the so-called tagged athletes who are accorded a degree of preference in an admissions process outside the regular admissions process. There is a numerical limit set by policy on how many tagged athletes can be so admitted each year. The AEPE Committee has initiated a review of the admissions process for athletes during the 2001-02 year. This review will continue in 2002-03 with the goal of providing a more systematic policy basis and structure to the various practices that had grown up over the years.

All applications from athletes are first sent through the usual comprehensive review process. Some of the tagged athletic applicants will make it through the regular process and be accepted for admission using the standard criteria. This is usually a small number -- about 25 who enroll each year. In addition there are a number of student athletes who have not been recruited by the coaches, who apply to Berkeley, and are accepted. When they arrive on campus, they try out for an intercollegiate athletic team and make the team. These so called "walk-ons" together with the tagged athletes who are admitted on their own total around 50. Thus about 20% of the total number of students competing in intercollegiate athletics are students who were admitted through the regular comprehensive review process.

Another 60% of the total are students who upon review are found to be UC- eligible and to be students who are judged to have a good chance of succeeding at Berkeley, but would not be admitted under the usual criteria. These students, for whom the academic risk is minimal and

who are tagged athletes, are then admitted by OUA. The final 20% of the athletic admits, or about 50 students each year, are selected from among tagged athletes who do not meet minimum UC eligibility requirements and who are judged to be at academic risk at Berkeley. OUA gathers additional information with the help of Intercollegiate Athletics about these candidates and makes an assessment on a case by case basis of whether the risk is worth taking given the totality of circumstances. One of the elements of the new policy on athletic admissions is to put in place more systematic guidelines and procedures for admission of ineligible tagged athletes.

It is interesting to observe after the fact that some students in this group will do just fine at Berkeley, never be on probation and graduate in a timely manner, while other students with substantially the same academic qualifications at entry will fail out after a semester or two. Personal characteristics, such as determination appear to make a big difference in academic work, but also on the playing field as well, as any coach knows. The review of these cases where the students is at risk should thus involve an assessment of such personal characteristics in addition to the academic record.

Overall, the data on academic performance of students who compete in intercollegiate athletics are heartening. For the cohorts of all freshman students entering Berkeley in 1994 and in 1995, the six year graduation rate is about 83%. For athletes it is about 75%. If the group of all athletes is divided into groups by academic credentials at the time of admission, then freshman GPA, cumulative GPA, probation rates, and graduation rates vary in predictable ways with these groupings.

APPENDIX I: PREVIOUS REPORTS

The AEPE Committee has issued a number of reports on comprehensive review starting in 1995 and 1996. The Committee issued a Preliminary report in January 1999, and in addition the Chair made reports each year to the Division. These reports are compiled and reproduced here in reverse chronological order:

Report of AEPE Committee Chair Calvin Moore to the Berkeley Division April 25, 2002

Good afternoon. I am pleased to be able to report to you once more about our admissions process and the outcomes of this year's admissions cycle. Let me briefly recall that starting in 1998, Berkeley moved to an admissions review process where every single file is read and evaluated comprehensively by trained professional readers.

No single factor has a pre-assigned weight, and there are no formulas or point systems. The scoring attempts to look at the applicant as a whole person, just as selective private institutions do. The criteria involve academic accomplishment broadly defined; what the student has accomplished is always viewed in the context of what opportunities were available and whether the student took advantage of these opportunities and challenged themselves. We believe that students who have displayed such characteristics are students who will do well and prosper in the Berkeley environment.

The student's achievement in other areas -- athletics, school leadership, journalistic or writing activities, artistic activities, community service are assessed, as well as personal characteristics such as maturity, intellectual independence, creativity. The socio-economic background and the economic and educational challenges that the applicant had to overcome are considered. What the readers are asked to evaluate is how the student dealt with the circumstances that they confronted. Each file is read and scored independently by two readers. If the reader scores differ by no more than one point, they are averaged, and if they are discrepant by more than that, the file goes to an experienced lead reader who resolves the scoring. I am pleased to say that the third read rate this year was 1.3%, which I think is strikingly low.

As you are aware, we implemented a new system of unitary scoring this year that built on the previous review process. This year each reader gave the applicant a single unitary score (rather than two scores as we had done in the past) that combined an assessment of all of the criteria. We believe that this scoring system gives us a better way to understand the factors that will lead to success at UC than the bifurcated scoring system that we have had in the past. The class is admitted using this single unitary score. Based on this year's experience, we conclude that it is also a simpler system to manage, and when we have 36,500 applicants to read and evaluate, that is not an insignificant point.

There were some 80 readers this year, half of whom were career staff professionals in the admissions office. The other half was recruited for a three month period--these temporary readers were selected from among many applicants for the positions. They included retired admissions staff, high school counselors, retired high school counselors and high school teachers, independent college counselors, retired high school principals, and some graduate students, especially in education. Many of these outside readers have read for us before -- some for as many as ten years.

Every reader, no matter what their experience, undergoes 60 hours of training each year, including reading, scoring, and discussing in groups a sample of 80 applications from last year's cycle.

Readers are required to attend weekly three-hour norming sessions, during the reading time, which are much like the training sessions. The scoring patterns of readers are monitored weekly, and a reader whose scoring frequencies are unusual is counseled.

We have admitted 8,500 students, or about 23% of the total applicants. A few more students will be admitted on appeals etc. We plan to end up with an entering class of 3,800. Underrepresented minorities made up 16.3% of the admitted students (up from 16.2% last year). By comparison, 17.4% of the applicant pool were underrepresented minorities. What this means is that underrepresented minorities were admitted at almost the same rate as all applicants, in fact, 93.7% of that rate. In addition, academic indicators were up -- high school GPA of the admitted class went up, from 4.27 to 4.31; remember this is the weighted GPA that counts an extra point for honors and AP courses. SAT I average scores went from 1330 to 1339 and SAT II composite from 2027 to 2054. We need to remind ourselves though that those numerical indicators provide an enormously truncated view of the individual. The new process worked very well indeed, and I would like to compliment Admissions Director Pam Burnett and her dedicated and talented, professional staff.

Report of AEPE Committee Chair Calvin Moore to the Berkeley Division October 16, 2001

Good Afternoon,

I wanted to give you a report on events and developments in admissions since my previous report to the Division last April. Much has happened since then, some of which you may have read about in the press.

First, let me try to give you a little history in order to provide context for my remarks. In 1995 the AEPE Committee began to question the wisdom of our admissions process that was formula driven using only GPA and test scores in its assessment of academic achievement. The process ignored a huge amount of useful information in the file, and the assessment was based on a very narrow conception of merit. It also involved a complex matrix system that took into account other variables such as race which at the time was permissible but unnuanced way. Indeed, Berkeley had become highly selective where we now can accept less than 25% of the applicants. We are as selective as all but a handful of private universities, and a formulaic admissions process was increasingly mismatched to our applicant pool and degree of selectivity.

The Committee, with the concurrence of DIVCO, implemented for the freshman class entering in 1998 a system of comprehensive review. Every one of the applicants files (now 36,000) was read twice, cover to cover by trained readers. Each reader first gave the applicant an academic score on a scale of 1 to 7 based on a overall assessment of the academic achievement, involving many variables and making sure to assess the school context -- the readers were asked to consider to what extent the student challenged and took advantage of the opportunities that were available.

The reader then assigned a comprehensive score on a scale of 1 to 5 based on their overall assessment of all factors, academic as well as nonacademic and evaluating the applicant in the

context of the life circumstances. Evidence of significant achievement in the face of socioeconomic and educational disadvantage enter as considerations in this assessment.

In this process the applicant is evaluated as whole person and the individual factors which enter in do not have any pre-assigned weight; there are no formulas and there are no sharp cutoffs. If the two reader scores differ by no more than one, they are averaged. If they differ by more than one, the file goes to a third experienced lead reader for resolution. The third read rate is less than 3%, which is one testament to the professionalism and expertise of the readers. Readers undergo an extensive training program before they are allowed to touch a real case.

This process and policies and procedures were designed by the faculty, and faculty oversight permeates all aspects of the admissions process. Members of the committee participate in reader norming sessions to convey and interpret the policies. Each year the faculty reviews the process based on the experiences up to that time and each year has made changes in the process that we feel have improved it.

Regental Policy contained in SP-1 specified that each campus accept 50-75% of its freshman applicants on the basis of academic criteria alone, with the balance to be admitted based on academic plus supplemental criteria. Berkeley admitted 50% of the class on the basis of the academic score -- this is the so-called tier one. The remaining 50% -- the so called tier two -- are admitted on the basis of the comprehensive score, except for a small number admitted in special programs. The process is designed so that extra attention is focused on cases that are on the borderline of the accept/deny decision and a substantial number of such files may be read and evaluated by four or more readers. The comprehensive reading and evaluation process by multiple admissions professionals is similar to the process used by selective private universities. One major difference is that no private university as far as we know utilizes a two-tier process as is mandated by SP-1.

During the 2000-01 academic year the AEPE Committee had extended discussions about the desirability of moving away from this two tier scoring system to what we call a unitary scoring system. We determined unanimously to propose this change and presented the plan to the Divisional Council which also unanimously endorsed it. In this new process each reader, after reading and studying the file, assigns a single unitary score that combines all aspects of the file -- academic, supplementary, and contextual in a single score. This score would be used to make the admissions decisions, again with extra attention focused on the cases that are on the borderline. Such a process is more in accord with the underlying goal of a holistic evaluation of the applicant as a complete person. It is a more coherent method of evaluation and avoids a major problem of the two score system where readers and sometimes faculty are uncertain whether certain factors should be counted for the academic score or the comprehensive score. There are achievements that have components in both -- e.g. musical ability and talent coupled with a study of harmony and perhaps the history of music. The double scoring system essentially asks the reader to first read the file with one eye covered up, and then only open both eyes when giving the comprehensive score. The segregation into two separate scores seemed on the basis of our experience to be quite an unnatural and artificial bifurcation, and motivated the proposal to change.

We would not expect to see great changes in our entering freshman class as a result -- the new process continues to give priority to applicants of exceptional academic accomplishment. It will reward applicants who show they can take advantage of opportunities that are available, and we think it will do a better job of identifying students of unusual or singular abilities. We are seeking students who are engaged and indeed passionate about learning and who can take

advantage of the opportunities that Berkeley provides. Finally, we do not expect to see any significant change in the number of underrepresented minorities in the admitted class.

As implementation of an admissions process based on a unitary scoring system would require either a change of Regents policy or an exception to it, you may well ask why we even bothered to move forward in our deliberations. However it was evident even a year ago that SP-1 would be on the table, most likely at the May 2001 Regents meeting, and this forecast turned out to be accurate. Division Chair David Dowall and I, joined by the Chancellor, sent a letter to the Chair of the University-wide Senate and the President requesting an exception to the two tier requirement of SP-1 in order to implement this unitary policy. You may have read about our request as it attracted the attention of the press. In the event, the Regents did rescind SP-1 when they passed RE-28, but they left in place the two-tier structure, pending a proposal from the Academic Senate to modify it. The University-wide Academic Senate Committees, as well as Divisional Committees, have been working very hard over the summer to develop such a proposal.

In sum you could say that the response to our request for an exception was instead an initiative to develop a proposal that would restructure University-wide and Regental policy on admissions so that our proposed unitary system can be implemented within the new policy framework. Another goal of the Senate in its current work is to regain for the Senate its role and delegated responsibility for undergraduate admissions, a role that had been diminished by the passage of SP-1.

There is a Regents meeting tomorrow at which there will be an informational presentation on what is now called comprehensive review. The hope, pending action by the Senate, is to present a proposal to the Regents for action at their November meeting. Assuming an affirmative vote by the Regents in November, the campus is ready to implement the unitary admissions process for the freshman class which will enter next Fall. We have developed draft reader guidelines and been working with the Admissions office over the summer and fall to read and score old applications in norming sessions using the unitary scoring process. This work has allowed us to refine the guidelines and fine-tune the process.

There has been much interest around the university in our new process. The President and University-wide Senate officers have sat in on norming sessions over the summer, and we have had several Regents attend norming sessions. In fact, the reason I was late in arriving is that we have had three Regents on campus all day today until 3:30 learning about our unitary system.

In conclusion, I would like to thank the members of our Committee, campus staff in the admissions office and other offices, and the Academic Senate staff for all their fine work during the past year, and especially over the summer.

I would be pleased to answer any questions.

**Report of AEPE Committee Chair Calvin Moore to the Berkeley Division
April 26, 2001**

Good afternoon. I know it is late, and I will be brief. But, I do think that it is important to report to you on the undergraduate admissions process and on this year's outcomes.

First some statistics: Berkeley received over 36,000 applicants for freshman admission. We accepted about 8700 of these (24%) to which we expect to yield a freshman class of about 3800.

Thus we have nearly 10 applicants for each place in the freshman class, and at an acceptance rate of 24%. We are the most selective public university in the US, and we are more selective than all but a handful of private universities. Our entering class is an extraordinarily talented group (many members of the admissions committee are forced to wonder whether we would have been admitted!) We employ a broad and multifaceted definition of merit in our selection process that goes far beyond test scores and grades, and we are sure that the entering class will be a lively and interesting one that will make our classrooms and campus life vibrant.

Underrepresented minorities made up 16.6% of our domestic applicant pool this year (up from 15.5% last year and 13.5% in 1999 -- we see this trend line as a hopeful sign, although these figures are far and distressingly different from the 40% that underrepresented minorities make up of California high school graduates. This year, in preliminary numbers, our admitted class was 16.2% underrepresented minorities (as compared to 16.6% of the applications.) Put another way, the admit rate for underrepresented minorities is 97.6% of the admit rate for the entire applicant pool rate. This is the third year in a row that this percentage has been in the high nineties, and it is also the third year in a row that this percentage has been the highest among all UC campuses. The gap between these percentages among the applicants and admits as contrasted to percentages among high school graduates noted above remains one of the most serious social and educational problems, we as State, face today.

In 1998 we made a major change in our admissions process, moving away from formulas and numerical algorithms and a complex matrix system to a comprehensive holistic review of all files -- yes, every one of the 36,000 applicant files is read comprehensively, cover to cover, twice and independently by trained and professional readers. We have been doing this for four years. No criterion or set of criteria has a fixed pre-assigned weight; rather, the reader weighs and combines the different elements, academic and non-academic, to reach an overall evaluation based on a complex and multi-faceted conception of merit. All achievements, academic and non-academic are evaluated in the context of the student's circumstances and what opportunities were available to them. Each reader assigns first an academic score (1 to 7) based on a prescribed set academic criteria approved by AEPE; the reader then assigns a comprehensive score (1 to 5) based on the approved set of academic plus an approved set of supplemental criteria. Both scores include consideration of the context of the student. Half the class (so called tier 1) is admitted on the basis of the academic score and the second half (so-called tier 2) is admitted on the basis of the comprehensive score.

This process has been successful and has improved the quality of our decision making -- high school counselors have told us repeatedly that from their perspective we are making better decisions; moreover, we can see the same result from looking at files and contrasting the applicants that we accept now with what we would have accepted using the previous process. Nevertheless, the system can be improved, and in particular we find the two-tier system described above less than optimal. The academic and supplemental factors are often inextricably intertwined with each other in most individual files and they are very difficult to separate. Indeed, the separation into an academic and a comprehensive scoring process is quite an artificial separation. It is as if one first reviews the file with one eye closed (looking only at academic criteria) and then only opens the other eye for the comprehensive score. It is in a way inconsistent with the concept of looking at the applicant as a whole person and evaluating all the achievements and promise. Our selective private university counterparts make no such distinction and have no artificial separation into tier 1 and tier 2.

We have therefore been working this year on a modification of our current process where readers would read the entire file and score it on a single combined set academic and supplemental criteria (we combined the two lists -- there are no new criteria and none are deleted.) We call this a unitary process, and all students would be admitted on the basis of the

single unitary score. To us, this is a much more intellectually coherent process than the two-tier process we use now and is much better aligned with our broad, complex, and multifaceted definition of merit. We have done some modeling based on our current process, and we conclude that the racial and ethnic makeup of a class admitted under a unitary policy would be essentially unchanged from current makeup. Finally, the Admissions Office predicts that the new process would also introduce some savings in time and resources.

Each year, over the past four years, the admissions process has been refined and improved through a number of changes in policy and guidelines that are based on our experience in reading and scoring files. We see the move to a unitary process as a natural evolution of this process of refinement, and that this move to a unitary process is not really that big a change. The really big change was made in 1998 by dropping the formulaic process and moving to comprehensive reading of all files. We would like to implement this unitary process for the Fall 2002 entering class. Since the requirement for a tier1 / tier 2 structure is contained in Regental policy (section 5 of SP-1), Regental action in the next few months would be necessary before we can proceed to implement this new unitary admissions process. We hope the way will be open for us to proceed.

I would be pleased to answer any questions.

Report of AEPE Committee Chair Calvin Moore to the Berkeley Division April 27, 2000

1. History
 - a. In mid 70s Berkeley could accept all or nearly all eligible applicants
 - b. This changed over time owing to demographics of California because enrollment at Berkeley was capped
 - c. Became more and more selective -- not publicly noticed & it's a shock to some
 - d. Now accept only 26% of applicants-- as selective as all but a few privates --33,201 applications, accept 8720 to get 3740 freshmen
 - e. In the past process used was largely algorithmic and formulaic based just on test scores and GPA -with a complex matrix array -- some reading of files ---typical of public universities
2. In 1995 AEPE began to have serious concerns about the process and started on a course to implement a new system
 - a. Old process did not take account of the rich and extensive amount of information in the file (actual courses taken, how many , trends and patterns of grades, details of test information -- much less all the other information)
 - b. Decisions were made on the basis of small differences in numerical scores.
 - c. AEPE designed a new process where every file is read and evaluated comprehensively -- no fixed weights for components -- each file read twice
 - d. Could evaluate context of applicant and what opportunities were available and the extent to which applicant took advantage of them.
 - e. This is what selective privates have been doing for decades.
 - f. Implemented for admissions cycle for class entering Fall 1998
3. SP-1 and Prop 209
 - a. Bubbling earlier but became effective for admissions cycle for class entering in the Fall of 1998

- b. Not hard to see that this new process provided important tool for dealing with SP-1 and Prop 209 (individual assessment in context)
 - c. 1998 saw a substantial drop in number of underrepresented minorities as opposed to 1997 the last year when race and ethnicity could be used as criteria. 1999 and 2000 showed very different results
 - d. Completed three cycles -- have gotten very positive feedback from HS counselors-- we are making the right decisions
4. The new process is a work in progress-- some changes
- a. Increased the contextual information available and its use--Data about high schools-- average parental income, % on AFDC, % emergency credentials, dropout rate, etc.
 - b. Committee has de-emphasized standardized test-- quality and depth of program and GPA (how student has challenged the opportunities)
 - c. Asked readers to pay more attention to SAT II than to SAT I - in accord with validity studies and BOARS actions.
 - d. Many other changes, but no time
5. Statistics-- compare % of UREM in applicant pool to % among admits --- equivalently looking at admit rates by race and ethnicity
- a. In 2000 had 15.7 % in applicant pool vs. 15.2% among admits
 - b. In 1999 had 13.6% in applicant pool vs.13.2 % among admits
 - c. %s are tracking closely, and tracked the increase in UREM applicants this year.
 - d. The 15% figure reflects % UREM among UC eligibles (CPEC) --- BUT 40% of HS graduates are UREM so a huge gap that challenges us as a society.
 - e. 97% of freshmen return for sophomore year & rates for UREM are just about the same --96% so we have excellent retention for all students
6. Challenges
- a. Sustain process-workload, professionalism, and burnout. Many more applications than privates, and they invest in the process.
 - b. Explain process -- a formulaic one is transparent, but this kind of process is not -- privates do not have the level of scrutiny and accountability that we do.

**Report of AEPE Committee Chair Calvin Moore to the Berkeley Division
April 29, 1999**

You have a written report from the Committee as an attachment to the agenda, which I trust you have all read. Therefore I will repeat only very little of what is in that report in my remarks today.

To begin, let me remind you that starting with the freshman class admitted for the Fall of 1998, the campus made a major shift in the freshman admissions process, moving away from a process dominated by formulas involving GPA and test scores and the use of complex matrix arrays to classify applicants, to a process in which each file is read, evaluated and scored comprehensively by trained and professional readers. Each file is read independently by at least two readers. All academic and supplemental criteria are considered and assessed, and there are no fixed weights attached to any of the components. Very importantly, the applicant's achievements are assessed and evaluated in the context in which the student

learned and lived. We believe that this process is superior to the previous one, and that we make better admissions decisions as a result.

Our new admissions process is quite similar to the admissions process used for many years by many selective private colleges and universities, but this is the first time that it has been attempted in a large public university. Let me note that Berkeley now is as selective as many of the privates, admitting only 27% of the applicants (of 31,000 applicants, we admitted 8400 to fill 3600 seats in the freshman class.) The fact that Berkeley has become that selective is one of the reasons, among others that led the Committee to consider moving to this new process that brings much more information about the applicant to bear on making these important decisions and enables us to develop a deeper and richer understanding of merit. The transition to this new process started in 1995 under the leadership of Jenny Franchot when she was first appointed chair of the Committee. Her tragic death last October was a grievous loss to the Committee and the entire campus, but this new admissions process stands as a fitting memorial to her work.

Two of the most significant challenges that this new process had to overcome are first the managerial and quality control ones resulting from the sheer magnitude of our applicant pool as compared to that of most privates. The second challenge is the necessity as a public university, to be able to explain and make transparent to our various publics a complex and subtle process that is not intrinsically transparent. We are confident of the solutions put in place to address the first of these challenges. We are actively working to address the second of these challenges and have had some modest success.

Another concern is whether in a post Prop 209 environment we are able to maintain a presence of a critical mass of underrepresented students on campus. The number of underrepresented minority students admitted this year showed a gratifying increase from last year and these students composed 13.2% of the admitted students this year (up from 10.5 % last year). It is also of interest to note that underrepresented minority students composed 13.8 % of the applicant pool this year. Although the number of underrepresented minority students who applied this year declined from last year, we saw upon closer examination that this decline was from among the less competitive students while the number of highly competitive underrepresented students actually rose significantly. Thus the overall qualifications of the students in this pool increased, and this was certainly a factor in the increase in the number of underrepresented students admitted. Furthermore as a result of extensive data collection efforts by the Admissions Office, the readers had available far richer and more nuanced information about the high school environment of each applicant, and we were able to include consideration of the educational context of the applicants in the evaluation process more fully than was possible last year.

Let me add that another change from last year was the full incorporation of the Engineering admissions process into the campus-wide process (last year was a transitional year). This incorporation went smoothly and was facilitated by the active participation in reader training sessions by Engineering faculty.

The Committee is continuing to review and to improve our admissions process and will continue the assessment studies of it and student outcomes. The report you have in front of you is only the first installment of our assessment studies that will extend over several years. On behalf of the Committee I would like to express our thanks and admiration to Admission Director Bob Laird and his staff, to Nina Robinson, and to Senate staff member Nancy Purcille for their outstanding work.

I would be pleased to respond to your questions.

Preliminary Report of the Committee on Admissions, Enrollment, and Preparatory Education (AEPE) to the Faculty
January 25, 1999

INTRODUCTION

The Committee on Admissions, Enrollment, and Preparatory Education (AEPE) began last Spring a systematic assessment of the new undergraduate admissions process that was used to select the Fall 1998 entering class. Since the admissions process for Fall, 1999 is just beginning, it is an opportune time for the Committee to provide a preliminary summary of our findings to date. A fuller account will appear in the forthcoming Franchot Report to be issued by the Committee later this year and in subsequent Committee reports. The full assessment project will in fact extend over several years as we track students' progress through their undergraduate careers. The AEPE Committee has already made some minor modifications to the admissions process for Fall, 1999 based on our analysis so far and will this Spring consider additional modifications to the admissions process for future years.

THE NEW ADMISSIONS PROCESS

Very briefly, in the new admissions process, every application packet is read individually and evaluated comprehensively and holistically on a broad spectrum of criteria established by the AEPE Committee, where very significant weight is placed on the student's academic record. Each applicant is evaluated in context, which includes the academic context of the high school and how the student challenged and took advantage of the academic opportunities that were available. Socioeconomic status (but not ethnicity, race, or gender), and evidence of hardships overcome and challenges faced by the student also enter into the determination of the context. The Office of Undergraduate Admissions and Relations with Schools (OUARS) assembled a team of 48 readers last year (expanded to 53 this year) consisting of OUARS staff, other campus staff involved in outreach and student support, and a number of high school counselors. The readers undergo an extensive training process, and also participate in regular norming sessions to ensure that they remain calibrated to the standards reached in the training. Faculty from AEPE regularly participate in training and norming sessions so that faculty perspectives are incorporated into the training and norming process. At the same time, these faculty gain a deeper and more concrete understanding of the operational aspects of the reading process.

Each application packet is read independently by two readers. Each reader assigns the application both an Academic Score on a scale of 1 to 7 based on academic criteria established by the AEPE Committee, as well as a Comprehensive Score on a scale of 1 to 5 based on the academic criteria plus supplemental criteria established by the AEPE Committee. As noted, the evaluation of each file takes place in the context of opportunities and disadvantages the student faced. If the scores given by the two readers differ by no more than one point, the two scores are averaged to yield an Academic Score and a Comprehensive Score. If the scores from the two readers differ by more than one point, the application packet is read by a third reader, and Academic and Comprehensive Scores are then assigned. Only 6.7% of the files required a third read, a gratifyingly small percentage that testifies to the effectiveness of the training and of the regular norming sessions and is a good indicator of the reliability of the reading process. Then the first 50% of the admits, so-called Tier One, is admitted based on the Academic Score utilizing tie-breaking procedures approved by AEPE. Then the remaining half of the class, so called Tier Two, except for the Admissions by Exception and Appeals cases (which are read and evaluated in a separate process), is admitted using the Comprehensive Score, again with approved tie-breaking procedures. It should be noted that owing to difficulties in overcoming transitional issues in the limited time that was available, the College of Engineering was

allowed to use its own admission procedures for Fall 1998 admission, but in the current admissions cycle, the College of Engineering is fully incorporated into the campuswide admissions process just described.

ASSESSMENT OF THE NEW PROCESS

The AEPE assessment of this admissions process consists of several components. First the Committee wanted to learn more about the efficiency and integrity of the process from the readers themselves. Under the direction of a subcommittee of AEPE, two graduate students from the School of Education conducted in-depth interviews with twenty-five of the readers. Readers' responses were analyzed using interpretive research techniques to create response categories for each topic covered in the interviews. The main findings of the study are summarized in a brief appendix -- "Listening to the Readers."

The summary of these interviews indicates that the readers have implemented the new admissions process as formulated by AEPE and that the process seems to be working well in general, although some ongoing improvements were necessary. In response to the concerns raised by the readers (a) faculty from AEPE are now involved in the training and calibration from the beginning; (b) in the training sessions, the distinction between the Academic Scores and the Comprehensive Scores has been clarified; and (c) richer and more nuanced information about individual high schools has been made available to the readers.

Another source of information about the effectiveness of the new admissions process is high school counselors. At UC Counselor Conferences last Fall and in many other settings, the Director of OUARS and his staff have spoken with hundreds of high school counselors all over the state. Campus staff report that counselors from throughout California very much like our new admission policy and understand and appreciate the amount of work it takes to read all of our applicants. Counselors believe that our process is much fairer because we do read every file. Perhaps more important, these counselors repeatedly said that Berkeley made much better decisions about applicants from their schools, and that we admitted students whom in their opinion we should have admitted but might have missed in previous years. Although these data are anecdotal, they are certainly quite positive, and as a further component of our assessment studies we will likely try to collect information from counselors more systematically.

QUANTITATIVE STUDIES

As a further part of the assessment the Committee undertook a number of quantitative studies to investigate interdependencies between various numerical indicators and to compare the outcomes of the new process used in Fall, 1998 with the outcomes in previous years. The first point to be noted, in order to place quantitative studies in their proper context, is that the freshman selection process is becoming ever more selective. In Fall, 1996, 36% of the applicants were admitted; in Fall, 1997, 31% were; in Fall, 1998, 28% were; and for Fall, 1999, the percentage will likely fall again to about 27%.

In Fall, 1997 and earlier the admissions process used the so called Academic Index (or AI), which is defined as 1000 times the applicant's high school GPA plus the sum of scores on five required SAT tests. Applicants were ranked linearly by their AI and the first 50% of the admits (Tier One) were admitted using this ranking, while Tier Two was admitted based on a reading of files that used the AI more qualitatively together with a blend of many other academic and supplemental factors, including specifically race and ethnicity. Of course,

another contextual factor for quantitative studies is the passage of SP-1 and Proposition 209, which for Fall, 1998, barred the use of ethnicity, race, and gender as a factor in any decisions.

Implementation of Proposition 209 and SP-1 in the Fall of 1998 coincided with the advent of the new admissions policy. Barring use of race or ethnicity as a criterion in the selection of Tier Two of the admit pool led to a decrease in the percentage of underrepresented minorities among those admitted to Berkeley from 23.1% in Fall, 1997 to 10.9% in Fall, 1998. At the same time the differences in numerical indicators of preparation between various ethnic groups decreased. For instance, in 1997 the median uncapped GPA of students from underrepresented minority groups regularly admitted to the College of Letters and Sciences at 3.93 was 0.32 lower than the median uncapped GPA of 4.25 for the corresponding group consisting of Asians, whites and the "no ethnicity given" category. In 1998, the difference fell to 0.10 (4.20 versus 4.30). It should be added that the difference between these groups in the pool of all eligible applicants in 1998 was 0.15 (3.85 versus 4.00). Also, in 1997 the median SAT I score of students from underrepresented minority groups regularly admitted to the College of Letters and Sciences, though high by national standards at 1160, was 250 points lower than the median for the corresponding group consisting of Asians, whites and the "no ethnicity given" category at 1410. In 1998, the difference fell to 120 points (1280 versus 1400). Finally, in the pool of all eligible applicants the difference was 150 points (1140 versus 1290). The Committee is well aware of the ongoing debate about the predictive validity of the SAT I scores, and the Committee will be examining their appropriate role in the admissions process.

SIMULATION STUDIES

Finally, the Committee undertook various simulation studies in order to compare the outcomes of the new admissions process with the outcomes of hypothetical alternative admissions processes. One such study was designed to investigate the quality of decision making for Tier One by contrasting the use of the Academic Score (AS) resulting from the comprehensive reading process versus the use of the purely numerical academic index (AI). We simulated for Fall 1998 what Tier One would look like if the AI were used to admit Tier One. The overlap between the two, the group actually admitted versus the group that the AI would have admitted, was 73%. Reading a limited selection of files for which the two processes gave different results suggests that use of the AS results in better admissions decisions. This finding, although consistent with the anecdotal comments from high school counselors, is a tentative one, and more work, such as a systematic reading of a number of files where use of the AS and the AI gave different outcomes, is needed.

In the simulation studies to model the outcomes of different admissions procedures for comparison with the results with the actual process, a smaller pool of admits for which the research and simulations were methodologically feasible was used. This pool, which includes only Letters and Sciences applicants admitted by the regular reading process, was about two thirds of the total of all admits. The percentage of underrepresented minorities in this pool was 9.6%, as opposed to the total pool of all Fall, 1998 admits which, as noted, contained 10.9% underrepresented minorities. All numbers and percentages cited below refer to this smaller pool that was used for simulation studies.

It was found that the percentage of underrepresented minorities in Tier One for Fall, 1998 was 5.8%, while the percentage of underrepresented minorities in a simulated Tier One using the Academic Index was 4.4%. Thus the new process of reading all files and scoring them holistically with an Academic Score not only led to arguably better decision-making than the use of the numerical Academic Index, but also produced a group of admits in Tier One that is more ethnically diverse.

Many alternative admissions processes were simulated, including some suggested by critics of the new process. The outcomes of four of those investigated are discussed below. The outcomes of these simulations are useful and informative as they shed some light on the actual admissions process.

First, one might consider admitting the entire class using the numerical Academic Index. This "by the numbers" process was found to yield an admit pool containing 6.1% underrepresented minorities (as opposed to the actual process which yielded 9.6% underrepresented minorities). Second, one might consider conducting a lottery on all eligible applicants. This was found to yield an admit pool containing 13.7% underrepresented minorities. Third, one might consider a mixture of these two extremes that would consist of admitting Tier One on the basis of the numerical Academic Index and Tier Two by lottery of the remaining pool of eligible applicants. This process was found to yield an admit pool containing 9.4% underrepresented minorities. Fourth, one might consider a variant of the previous one which would admit Tier One on the basis of the new Academic Score and Tier Two by lottery. This was found to yield an admit pool containing 10.3% underrepresented minorities.

Only two of the nearly twenty options tried in the studies undertaken to date (namely the second and fourth ones described above) produced an admit pool with a higher percentage of underrepresented minorities than the actual process. One may also quantify in those simulations that involved lotteries, a decline in the average indicia of academic preparation of the hypothetical pool of admittees.

CONCLUSION

It seems clear from a variety of quantitative and qualitative information that the admit pool and the entering freshman class for Fall, 1998 is unusually well-prepared academically, and that the selection process was a reliable and fair one that comported with Regental Policy and state law. The Committee will continue to work on the policy and to make improvements and changes as indicated. Moreover the Committee intends in the coming years to conduct follow-up studies of academic performance, perseverance, and graduation rates of the Fall, 1998 class, and will make comparison studies with previous and future entering classes. Additional details and a fuller exposition of all of our assessment studies will appear in subsequent Committee reports.

SUMMARY OF “LISTENING TO THE READERS”

The following is a summary of the principle findings from the interviews with the readers.

The majority of readers expressed positive opinions about this demanding new process and were satisfied to be part of it. Most readers considered the new admission process to be superior to the old one, but some were concerned about the workload it entailed.

Readers felt that the criteria laid out by the AEPE committee were clear. They noted however, that they still needed some help in interpreting the specific weights of the various criteria. Also, some readers felt that greater clarity was needed in explaining the relationship between the Academic and the Comprehensive Scores.

Readers' reported decision-making practices were highly aligned with the admissions policy guidelines. When assigning the Academic Score they used academic achievements and the academic context that the student faced, which included the academic challenges on which the student embarked and in view of what was offered in the high school. In assigning the Comprehensive Score the academic criteria plus the supplemental criteria were used, including personal characteristics of the student such as perseverance, leadership, maturity, and creativity. The overall record of each student was evaluated in the context of the particular school and student's socioeconomic background. Readers looked for evidence of the student's ability to overcome hardships and challenges and for evidence of achievements made in spite of disadvantages or unusual circumstances.

Most readers said that the essay was an important element in making their judgment, especially in assigning a Comprehensive Score. The essay was the only instance in which readers felt that they could get to the student's voice, and it was seen as useful for obtaining information about a student's background, particular achievements, and personal characteristics. However, a number of readers mentioned that not all the essays were as useful as they could have been because sometimes students did not take the essay seriously or they wrote about topics that were not relevant.

A small number of readers expressed concern about the kind of assistance that students might have had in writing their essays. The concern was not about "cheating", but rather that students from schools with good college counselors and/or academically oriented families may have more opportunity to have someone read and comment on early drafts of the essay and that therefore such students might have an advantage over others.

If confronted with discrepancies between students' test results and GPA scores, the majority of the readers gave greater weight to student GPA than to student test scores.

Readers found the training and calibration sessions extremely helpful in clarifying the implementation of the new admission system and keeping their scores on track. Many asked for greater consistency of faculty involvement in the training and calibration.

Almost all readers felt comfortable with their decisions. Many readers said that knowing that someone else was reading the same applicant's file was very reassuring to them, not only because they thought it was fairer to the student, but also because it took away some of the emotional burden of having to make a decision which might have a substantial impact on students' lives.

Readers indicated that their decision-making process could be enhanced by having more information about the high school, such as the number of AP and Honors courses offered by each high school and the criteria for admission into those courses.

Calvin C. Moore, Chair
January 15, 1999

Admissions, Enrollment, and Preparatory Education Committee

Progress Report - May 6, 1996

I. Executive Summary

At the beginning of the 1995-96 academic year, the Admissions, Enrollment, and Preparatory Education (AEPE) Committee was charged with revising Berkeley's undergraduate admission policies in order to ensure their compliance with Regents' Resolution SP-1. Over the past eight months, the Committee has made substantial progress toward finalization of new admissions criteria and policies for the 1998-99 academic year.

SP-1 is scheduled to take effect at Berkeley for students applying in November 1997 for the Fall 1998 and Spring 1999 semesters. The Committee's timetable allows ample time to refine procedures and prepare publications in advance of the 1998 recruiting activities, which will begin in spring 1997.

A. Recommendations

The primary recommendation of the Committee is that the campus adopts a more comprehensive approach to student selection, one which incorporates a number of features that do not lend themselves to precise and highly calibrated measurement. We believe that this more comprehensive assessment of applicants' academic potential and personal qualities will enhance even further the quality of the entering class.

The Committee recommends that student rankings be based on the following selection criteria.

Academic Criteria:

1. Uncapped UC grade-point average.
2. Scores on the SAT I (or ACT) and the three required SAT II tests.
3. College preparatory courses completed and the level of achievement in those courses, including:
 - college preparatory courses beyond the UC a-f minimums; Honors, Advanced Placement, and International Baccalaureate Higher Level (IBHL) courses;
 - college and university courses;
 - the senior year course-load.
4. Scores on Advanced Placement Tests and IBHL examinations.
5. Other evidence of intellectual or creative achievement.

6. Achievement in academic enrichment programs.

Personal Characteristics and Achievements Criteria:

1. Non-academic achievements, including athletics, employment, leadership in school or community organizations or activities, and community service.
2. Personal qualities of the applicant, including leadership ability, character, motivation, tenacity, initiative, and demonstrated concern for others and for the community.
3. Likely contributions to the intellectual and cultural vitality of the campus. In addition to a broad range of intellectual interests and achievements, admissions officers will seek diversity in personal background and experience.

In order to implement these criteria, the Committee recommends that the Berkeley campus actively pursue changes to the UC application that will allow for the gathering of more complete information than is currently possible. These changes include the expansion of the essay section of the application — possibly with several short-answer questions and a clearer essay prompt — and the possible inclusion of a means for gathering recommendations or comparative assessments from high school personnel.

Additional information regarding these criteria, as well as the policy background that underlies them, is included in the body of this report.

B. Next Steps

We believe the next step in the process of finalizing our criteria and process for Fall 1998 is to conduct a "test" of the new criteria. Over the course of the summer, OUARS, in conjunction with other campus units, will create a test file of 1996 applications on which to simulate the new criteria and alternative approaches to the selection process. The purposes of this study will be to verify that our criteria and process are methodologically sound and produce consistent results, to look more closely at training and informational needs, and to estimate time and staffing requirements.

We plan to complete this study in September, at which point the Committee will finalize its recommendations and prepare its final report.

II. Background

A. Recent History of University-Wide Admission Policy

In May 1988, The Regents adopted the "University Policy on Undergraduate Admission." This policy, which is still in place, (1) reaffirmed the Master Plan guidelines for eligibility to the University as well as the University's commitment to providing a place in the system for all UC-eligible applicants; (2) cited the University's continuing commitment to maintain high academic standards; and (3) stated the University's goal to enroll a student body that "encompasses the cultural, racial, geographic, and socio-economic diversity of the State."

In July 1988, the Office of the President issued "Guidelines for Implementation of University Policy on Undergraduate Admissions." These guidelines specified that at least 40% and not more than 60% of admitted freshmen should be admitted on academic criteria alone, with the rest selected on the basis of academic and supplemental criteria. They also specified that

"ethnic identity, gender, and location of residence ... shall be considered in order to provide for cultural, racial, geographic, and socio-economic diversity in the student population."

Systemwide policy remained unchanged until July 20, 1995, when SP-1 was adopted. The most significant elements of SP-1 are:

- The elimination of "race, religion, sex, color, ethnicity, or national origin" as permissible criteria in the admission process;
- The increase in the percentage of students each campus may select based on academic criteria alone from 40-60% to 50-75%; and
- The recommendation that admission criteria give consideration to "individuals who, despite having suffered disadvantage ... have nonetheless demonstrated sufficient character and determination ... to warrant confidence that the applicant can pursue a course of study to successful completion."

In September 1995, the President charged a Task Force on Undergraduate Selection Criteria with revising the University's selection criteria and implementation guidelines to conform with SP-1. The Task Force issued a report in December 1995. As of April 1996, the Task Force recommendations have been revised and circulated twice. The Office of the President hopes to complete the guidelines in May. The revised guidelines specify a total of thirteen criteria that campuses may use in selecting students. (See attachment.)

B. Key Trends in Berkeley Admission Policies, 1989-96

Each campus of the University is charged with setting its own admission policies within the general framework of Regents' policy and Office of the President guidelines. Berkeley's policies are contained in the report, "Freshman Admissions at Berkeley: A Policy for the 1990s and Beyond" (the "Karabel Report"), issued by the Admissions and Enrollment Committee in 1989. The Karabel report enunciated the campus's twin goals of achieving both academic excellence and a broadly conceived diversity.

The principles of the Karabel Report were expanded and refined in two successor documents, "Junior Admissions at Berkeley: A Balanced Policy for Difficult Times" (the "Grubb Report" — 1992) and "The Implementation of the Karabel Report on Freshman Admissions at Berkeley: 1990-1993" (the "Leonard Report" — 1993). The Grubb Report set forth the campus's policies on transfer admission. The Leonard Report summarized the first two years of implementation of the Karabel Report and dealt with two major changes to the its policies: the adoption of an admission "matrix" to replace the "flexible target ranges" recommended as a means of balancing academic and personal qualifications; and the modification or removal of racial preferences for two groups (Filipinos and Latinos) no longer considered underrepresented on the Berkeley campus.

In reviewing the evolution of admissions policy at Berkeley, the Committee notes a number of issues and trends that have formed the basis of policy discussions and modifications and that also inform the changes the Committee recommends for 1998.

1. The Committee places overwhelming emphasis on academic criteria in the admissions process. The Karabel report increased to 50% the percentage of admission spaces reserved for students admitted on academic qualifications alone. Subsequent Admissions and Enrollment (A&E) committees reinforced this emphasis. During the 1992-93 academic year, the Committee conducted a special review of the performance of

students admitted in the "bottom" quartile of Berkeley's admitted class, in order to reassure itself that all admitted students have a reasonable chance of succeeding at Berkeley. During the past six years, the overall academic strength of the incoming class has continued to increase at all levels of the pool.

2. The Berkeley campus faces particular challenges in distinguishing among numerous highly qualified applicants. Berkeley differs from the other campuses in the degree to which its pool of applicants contains thousands of very well qualified students whose grades and test scores are virtually identical. The Karabel Report addressed this issue by adding a new category of admissions called "Special Promise," composed of students who just missed qualifying for admission on academic scores alone.

The compression of Berkeley's applicant pool is exacerbated by the University's policy of capping the GPA at 4.0. Because so many students present 4.0 averages (10,763 for Fall 1996), standardized test scores become dominant in Berkeley's admission process. During the 1992-93, 1993-94, and 1994-95 academic years, the A&E Committee returned frequently to the related issues of the dominance of SAT I and SAT II scores as a factor in admission decisions and the capping of the GPA. They discussed the desirability of including in the assessment of academic qualifications such additional factors as the senior year program, the total number of honors and advanced placement courses taken, and a student's performance relative to other applicants from the same high school. In May 1995, the Committee voted to pursue uncapping the GPA as a means of reducing the dominance of test scores in admission decisions and allowing more meaningful distinctions among students at the top of the applicant pool.

3. The emphasis on reading of full applicant files has grown substantially. Berkeley began reading applicant files in Fall 1986, as it became increasingly difficult to select from our pool of eligible applicants, and the number of files read has increased steadily ever since. The admissions matrix, adopted for the Fall 1992 cycle, broadened the practice of reading files to make decisions at the margin by adding a band of "read" cells across the entire spectrum of the admit pool.

For Fall 1995, the matrix was extended to the transfer process and the number of files read grew further. In May 1995, the A&E Committee instructed OUARS to begin reading the files of all UC-eligible resident applicants not projected to be admitted in the first 50% of spaces. For the Fall 1996 cycle, OUARS read and scored approximately 20,000 applications.

4. Evaluation of "supplemental" qualifications has broadened and become more flexible. Beginning with the Fall 1990 cycle, Berkeley ended the practice of automatic admission of all eligible students with certain desirable characteristics — primarily underrepresented minorities. The Karabel Report broadened the "supplemental" criteria considered at Berkeley to include socio-economic status, geography (rural high schools), re-entry status, and special talent in the performing or visual arts; and enunciated the principle that no single characteristic on its own should be sufficient to guarantee admission.

Continuing this movement away from categorical preferences, the admissions matrix adopted for Fall 1992 introduced a broader "social diversity" index which combined the attributes that received preference in the Karabel report into larger and less rigid groupings. In May 1995, the A&E Committee revised the "social diversity" index, adding into each ranking a generic reference that made explicit the possibility that a student who did not possess any of the specific traits referred to in the Karabel report

could nonetheless be evaluated by selectors as possessing an extraordinary strength or talent that qualified him or her for the highest "diversity" ranking.

III. Conclusions and Recommendations to Date

In the course of the 1995-96 academic year, the Committee has made substantial progress toward completion of new admissions criteria and policies for the 1998-99 academic year. Following are our major conclusions and recommendations to date.

A. Philosophy and Approach to Selecting Students

The Committee endorses the recent changes that have led to fuller reading of more files, more complete consideration of academic qualifications, and an emphasis on individual, rather than categorical, attributes and strengths. For 1998, the Committee recommends that the campus adopt a more comprehensive approach to student selection, one which incorporates a number of features that do not lend themselves to precise and highly calibrated measurement.

At present, the Committee is considering the advantages and disadvantages of two different approaches, summarized below, to incorporating evaluations of individual applicants. Although, for purposes of discussion, we have maintained a distinction between these two options, they are in fact quite similar and could be combined in various ways — for example, by using each of them during a different phase of the process.

- The "Modified Matrix." In this process, all applicant files would be read and assigned two scores as they are now, one based on academic qualifications and one on personal characteristics and achievements. Rankings would be arrayed as they are in the current process, on a matrix in which the two axes represent the two scores. Students whose academic rankings place them in the first 50% of admit spaces would be admitted in keeping with Regents' policy. Following that step, students with high scores on both rankings would be admitted, students with low scores on both would be denied, and those in the middle would be reevaluated and culled until the admit target was reached.
- The "Single Score." In this process, the academic criteria and personal characteristics and achievements criteria would be combined into a single combined set of criteria and students would be given a single comprehensive score that reflected their relative qualifications on all criteria. Students with very high scores would be admitted, those with very low scores would be denied, and those in the middle would be reevaluated and culled until the admit target was reached. One advantage of this approach is that it avoids the bifurcation of criteria into "academic" and "other" — a bifurcation that nearly always serves to narrow our understanding of the qualities that contribute to strong academic performance, as well as to stigmatize students admitted partially on "other" criteria. At the same time, this approach would make more complex the identification of students to be admitted to the first 50% of admissions spaces on "academic criteria alone" as specified in Regents' policy.

With regard to scales on which students would be ranked, the Committee has discussed scales ranging from 1-3, 1-5, and 1-7. No decision has yet been made. As described in more detail below, OUARS, in conjunction with other units, will conduct a study this summer, one purpose of which will be to evaluate the advantages, in terms of both operational ease and expected outcomes, of different processes. This study will consider the pros and cons of wider versus narrower ranking scales.

B. Selection Criteria

The Committee recommends the campus adopt the following as selection criteria for freshman applicants beginning with the Fall 1998 cycle.

Academic Criteria:

1. Uncapped UC grade-point average (taken from the UC application), including the pattern of achievement reflected in grades over time.
2. Scores on the SAT I (or ACT) and the three required SAT II tests.
3. College preparatory courses completed and the level of achievement in those courses, including
 - college preparatory courses beyond the UC a-f minimums; Honors, Advanced Placement, and International Baccalaureate Higher Level (IBHL) courses;
 - college and university courses;
 - the senior year course-load.
4. Scores on Advanced Placement Tests and IBHL examinations.
5. Other evidence of intellectual or creative achievement.

This criterion would recognize extraordinary, sustained achievement in the performing or fine arts, debate, or any other field of intellectual endeavor. It might, for example, include the publication of original scholarship in a refereed journal, the publication of a book-length work, the publication and/or production of a play by a recognized theater company, or the performance of an original dance piece or musical composition by a recognized dance or musical group.

6. Achievement in academic enrichment programs.

This criterion would be measured by time and depth of participation, by the academic progress made by the individual during that participation, and by the intellectual rigor of the particular program.

The heaviest weights would be assigned to the first three items, and they would make up at least seventy-five percent of the basis of the academic assessment. At the same time, no specific weight would be assigned to any of the variables.

Personal Characteristics and Achievements Criteria:

1. Non-academic achievements, including athletics, employment, leadership in school or community organizations or activities, and community service.
2. Personal qualities of the applicant, including leadership ability, character, motivation, tenacity, initiative, and demonstrated concern for others and for the community.

3. Likely contributions to the intellectual and cultural vitality of the campus. In addition to a broad range of intellectual interests and achievements, admissions officers will seek diversity in personal background and experience.

All achievements, both academic and non-academic, would be considered in the context of the opportunities an applicant has had, any hardships or unusual circumstances the applicant has faced, and the ways in which he or she has responded to them.

C. Need for Additional Information

A consistent theme in the discussions of this Committee, as well as those of previous years' committees, has been the need for additional information on applicants' qualifications and backgrounds and the limitations of the current systemwide admission application. As admission to Berkeley has become more and more competitive, admissions officers have been called on to make finer and finer distinctions among students — distinctions that call for more complete information.

Similarly, as approaches to non-academic criteria, particularly those designed to achieve diversity in personal backgrounds and experiences, have moved away from categorical evaluations toward more complex consideration of an individual's life experiences, non-academic information included in the essay and "Honors and Achievements" section of the application has often proven insufficient. In particular, we are concerned about the difficulty of assessing achievements in the context of opportunities and hardships individual students have experienced. In this vein, several Committee members lament the absence of perspective provided by third parties in the form of letters of recommendation.

With these concerns in mind, the Committee recommends that:

1. The essay section of the application be revised and expanded, perhaps to include several short statements that would direct students to provide information directly relevant to the criteria on which they will be judged, as well as the standard essay.
2. Serious consideration be given to requesting recommendations of some sort from high school teachers or counselors. We recognize that some teachers, particularly those in urban public school districts, may have difficulty finding the time to prepare recommendations. One partial solution to this dilemma may be the use of a form that would provide a grid for ranking students comparatively if narrative statements are too time-consuming.

We also recognize that Berkeley's needs for information differ substantially from those of the other campuses and that achieving systemwide consensus on a single application form may therefore be difficult. One solution to this problem may be for Berkeley to require supplemental information beyond that provided on the standard application.

Finally, we recognize that a call for more and better information may place a relative burden on low-income students, those from disadvantaged high schools, and those whose families are not experienced regarding higher education. For these reasons, we believe it will be critical to establish stronger and more explicit ties between the admission process and high school enrichment programs whose staff can provide valuable assistance to students who are applying and to admissions officers seeking additional information about individual students. We believe the Berkeley Pledge is a logical conduit for this flow of information and will suggest that Undergraduate Affairs prepare a proposal seeking Berkeley Pledge resources to

support programs that help disadvantaged students prepare their applications and to create data banks that help admissions staff track outstanding high school students.

IV. Next Steps

As the above summary indicates, we believe the most difficult work of the Committee has been completed. We believe the next step in the process of finalizing our criteria and process for Fall 1998 is to conduct a "test" of the new criteria. Over the course of the summer, OUARS, in conjunction with other campus units, will create a test file of 1996 applications on which to simulate the new criteria and alternative approaches to the selection process. The purposes of this study will be to:

- Gather information with which to design an evaluation process that is methodologically sound and produces consistent results.
- Practice using the new criteria on actual applicants so as to uncover potential difficulties, look more closely at training and informational needs, and estimate time and staffing requirements.
- Test different approaches and processes for using these criteria to produce admission decisions and evaluate them in terms of operational ease, efficiency, and the outcomes they produce (comparing these against the actual outcomes of the Fall 1996 process just completed).

We plan to complete this study in September, at which point the Committee will finalize its recommendations and prepare its final report.

COMMENTS ON THE REPORT OF THE TASK FORCE ON UNDERGRADUATE ADMISSIONS CRITERIA

1995-96 Berkeley Division Committee on Admissions, Enrollment, and Preparatory Education

February 5, 1996

The Committee on Admissions, Enrollment and Preparatory Education (AE&PE) endorses the Task Force's recommendation that UC admissions processes include a more comprehensive approach to assessing student accomplishments both inside and outside the classroom. We generally believe that a "holistic" rather than "formula-based" approach is the best direction for the Berkeley campus to follow and are currently discussing and developing comprehensive assessment procedures to evaluate a student's academic and personal achievements. We are hopeful that one such benefit of the proposed change in assessment procedures would be that it would begin to dismantle the perception that there are two entirely different sets of criteria used to admit an entering class, one "rigorous" and the other not. The Committee endorses the Task Force's general view that developing policies that work to remedy such a bifurcation will be beneficial for the Berkeley campus. The use of two sets of criteria, academic and personal, is meant to balance two modes of evaluating students, not to create two tiers of students.

While we agree with the Task Force's recommendation to develop additional measures of academic and extra-curricular achievement, we remain concerned about potential problems in

such a system and are currently debating the possibility of combining "holistic" and "quantitative" assessment methods. While some committee members remain particularly concerned that a more "holistic" mode of assessment might weaken the academic caliber of the entering class, we are also mindful of the danger that a more "holistic" admissions policy might inadvertently advantage students from academically enriched high school environments.

Criteria to Select the First 50% - 75% of the Admitted Class

While the Task Force recommends (see Appendix F) that the maximum value allowed for the GPA shall be 4.0, our Committee remains interested in exploring the virtues of uncapping the G.P.A. as part of our commitment to garnering more rather than less information about a student's academic profile. Regarding item 3, the Committee feels that it should not only be the "number and content" of courses successfully completed in academic subjects beyond the specified minimum for eligibility but also a student's performance in such courses.

We strongly endorse the Task Force's attention to enriching criteria used to assess academic performance, beyond consideration of GPA and test scores. The Task Force urges that revised assessment methods consider not just "developed talent" but also a student's "potential for growth." While recognizing the difficulties in evaluating a student's "potential," the Committee strongly endorses the value of seeking to assess such potential. We are currently exploring ways to assess potential more specifically by developing methods to evaluate academic achievement relative to a student's educational opportunities. Regarding section IV.B., where the Task Force mentions the potential utility of "special recommendations from school officials on specific students' academic potential," the Committee remains divided on the issue of recommendations. Some members feel that recommendation letters should be a part of a student's application to Berkeley while others have reservations about their value in the admissions process. The Committee is in general agreement, however, with the applicant qualities and attributes listed in Section V.

Possible Adverse Effects upon Racial/Ethnic Diversity

The Committee shares the view of the Task Force that such changes under consideration will likely do little to stem the adverse effects upon the numbers of underrepresented students in our undergraduate classes in the wake of SP-1. Regarding the Task Force findings that in the past, underrepresented minority students who have not been admitted to the UC campus of their choice often do not attend another UC campus, and that additionally, qualified underrepresented students are actively competed for by other institutions both within and outside the State (see section II., p.4), the Committee is considering implementation of an Early Admissions Program on the Berkeley campus. Such a program would enable us to compete for highly qualified students.

On the issue of improving UC eligibility for underrepresented minority students, the Committee endorses campus efforts to expand and refine academic outreach programs. The Committee is also mindful of the importance of structuring an admissions process that recognizes these efforts. Thus we are actively considering including among expanded academic criteria, student participation in various academic outreach programs.

The Committee has been unable as of this date to address itself to the question of transfer student admissions. But the Committee agrees with the Task Force that admissions processes for transfer students need to be examined and monitored. At this early date it is fair to say that several members of the Committee feel strongly that the process by which advanced standing applicants are admitted must be reviewed and should be subjected to the same kind of detailed scrutiny now being given to freshman admissions.

Implementation of New Policy:

The Committee strongly agrees that we will need to monitor the impact of SP-1 and our revised admissions policies for several years following implementation. The Committee stands prepared to work closely with the Undergraduate Admissions Office in developing a reporting mechanism to monitor the implementation of revised guidelines. Several committee members have also cautioned that any sampling and analysis programs be carefully reviewed by professional designers and users of surveys.

The Committee remains concerned about how campus admissions officers will practically implement the new evaluative mechanisms under discussion. We recognize the increased burden they will place upon the Admissions Office and the likely need for additional resources. The Committee is currently discussing the possible use of faculty to help in the admissions process. Faculty involvement would additionally enhance the public credibility of this new approach and, as importantly, bring closer together the "cultures" of admissions and of teaching and research on the Berkeley campus.

1994-95 Members of the Committee on AE&PE:

Jenny Franchot, Chair

Richard Calendar

Jack Citrin

David Forsyth

Sarah Freedman

Gene Rochlin

Wen-hsin Yeh

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Bob Laird, Director, OUARS

Patrick Hayashi, Associate Vice Chancellor, Admissions and Enrollment

Quirina Orozco, Student Representative

Tunua Thrash, Student Representative