

THE IMPLEMENTATION OF
THE KARABEL REPORT ON FRESHMAN
ADMISSIONS AT BERKELEY:
1990-1993

A Report of the Committee on
Admissions and Enrollment
Berkeley Division, Academic Senate
University of California

Professor David Leonard, Chair



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FORWARD

In the spring of 1989 the Berkeley Division of the Academic Senate adopted the recommendations contained in what has come to be known as the Karabel Report. This report of the Senate Committee on Admissions and Enrollment was formally titled "Freshman Admissions at Berkeley: A Policy for the 1990s and Beyond" and has provided the framework for admissions decisions on the campus since it took effect in 1991. The general principles and specific recommendations contained in the report and adopted by the Senate were sweeping in their scope (See Tables 1 and 2).

Inasmuch as some of the policies adopted represented innovations in Berkeley admissions practice, the Berkeley Division of the Senate requested that the Committee on Admissions and Enrollment report back to the Division on their implementation when sufficient experience had accumulated to suggest how they worked. The complexities of admissions at Berkeley are so great and the implications of the Karabel Report are so extensive that one could easily say that the Committee on Admissions and Enrollment in the ensuing years has done nothing except prepare for the implementation of the Report's principles and recommendations and then refine them. Thus this report construes the mandate of the Division broadly and covers all aspects of the work the Committee on Admissions and Enrollment has done over the years 1990-1993.

Section I

THE KARABEL REPORT PRINCIPLES

The policy of the University of California at Berkeley is to maintain high standards of academic accomplishment and broad diversity in its undergraduate student body. As a teaching and research university of international renown, Berkeley gives priority in admission to students with exceptional academic accomplishments (Principle 1). At the same time, Berkeley must strive to serve all of California's people by training the future leadership of a remarkably diverse state (Principle 2) and should seek to create a stimulating educational environment by recruiting a student body that represents a broad diversity of backgrounds, values and viewpoints (Principle 3).

The experience of the Admissions and Enrollment Committee in administering these three principles of the Karabel Report has been that together they serve the goal of excellence in undergraduate education. Over the last decade Berkeley has been able to recruit an ever more accomplished and talented group of students while simultaneously becoming more diverse. This is an achievement of which the State, the University and the campus can be proud.

The more specific principles set by the Berkeley Senate to guide the admissions process firmly establish that the provision of educational excellence for undergraduates is not achieved by a single criterion. For example, outstanding accomplishment is defined broadly to include achievements in the arts and in athletics in addition to academics (Principle 5). Diversity in social background is defined broadly as well, to include those who contribute the special perspectives of socioeconomic disadvantage; of cultural, ethnic and racial heritage; of geographically different upbringing; and of age and disability (Principles 3, 5 and 6). And more important, the admissions process is grounded on the belief that the best

assessments of contribution to the educational environment and the best predictions of future achievement include human, qualitative judgments (Principle 8). After 50% of our admission target is admitted on the basis of high school grades and test scores, remaining admissions are based on the careful reading and assessment of thousands of individual application files. Working closely with the Office of Undergraduate Admission, the Admissions and Enrollment Committee has promoted policies that have resulted in the reading of more than 6,000 files for the Class of 1992, a significant increase from the past.

Such attention to the individual applicant could be avoided were Berkeley admissions to be determined solely by "the numbers" – by the grades and test scores that have served to make the applicant eligible for the University of California in the first place. But the Berkeley Senate has, in adopting the Karabel Report, eschewed such simplicity in its admissions process. The principles adopted by the Senate acknowledge the complexity of the task of admitting as our students those who will contribute to and benefit from the ideal of excellence in Berkeley's undergraduate education. The Karabel Report recognizes that the individual qualities of the applicant matter and that, therefore, applicants with certain qualities, talents, and backgrounds should receive special attention in the admissions process. The Matrix System, described in Section III below, has been developed over the past three years to take account of all these special factors, in addition to "the numbers," that will create a student body that best serves, and is best served by, educational excellence at Berkeley.

Table 1

**KARABEL REPORT PRINCIPLES
AS ADOPTED BY THE ACADEMIC SENATE**

1. As an institution of international renown and as one of the nation's leading research universities, Berkeley has an obligation to admit students with exceptionally distinguished academic records.
2. As a taxpayer-supported public university, Berkeley must strive to serve all of California's people.
3. Berkeley should actively seek diversity -- socioeconomic, cultural, ethnic, racial, and geographic -- in its student body.
4. Berkeley will absolutely not tolerate quotas or ceilings on admissions or enrollment of any racial, ethnic, religious, or gender groups.
5. In its admissions criteria, Berkeley will recognize outstanding accomplishment in a variety of spheres, including (but not limited to) art, athletics, debating, drama, and music.
6. While continuing to grant preference to California residents, Berkeley will continue to admit out-of-state students.
7. Berkeley should accept only those students who have a reasonable chance of persisting to graduation.
8. The admissions process should include a human element and must not be based on grades and test scores alone.
9. In constructing and altering Berkeley's admissions practices, the faculty should insist upon at least a co-equal role with administration.
10. The admissions criteria and practices of the College of Letters and Science as well as those of the Professional Schools should continue to be described in detail and to be made fully available to the public.

**KARABEL REPORT RECOMMENDATIONS
AS ADOPTED BY THE ACADEMIC SENATE**

1. The proportion of the fall freshman admits selected by academic criteria alone should be increased from 40 to 50 percent.
2. Eliminate the second tier of the current admissions policy, which admits students on the basis of academic index scores and supplementary points.
3. A new Tier 2 should be established consisting of the old “complemental” categories from Tier 3 as well as three new categories; the 45 percent of the fall freshman class admitted into Tier 2 will be selected through a process of “secondary review.”
 - 3A. A new secondary review category of students who come from socioeconomically disadvantaged backgrounds should be created; this category should be open to all disadvantaged students, regardless of race or ethnicity.
 - 3B. A new secondary review category of mature or “re-entry” students will be created.
 - 3C. A new secondary review category of students whose academic index scores narrowly missed gaining them admission into Tier 1 should be created.
4. The number of Special Action admits should not exceed 5 percent of all fall freshman admits, and the number of Special Action registrants should not exceed 6 percent of all fall registrants.
5. Berkeley should continue to offer qualified UC-eligible students who are not admitted into the fall freshman class the option of applying for spring enrollment; these applicants should be selected primarily on the basis of academic criteria, though Berkeley’s commitment to a diverse student body should also be taken into consideration in determining whom to admit.
6. As part of its effort to extend the process of diversification, Berkeley will need better data on the socioeconomic composition of its applicant pool as well as of the state’s graduating seniors; in cooperation with other UC campuses, Berkeley should, therefore, formally request that the appropriate state agencies provide it with the data that it will need to carry out its policy of admitting a socioeconomically diverse student body.

Section II

GENERAL EVALUATION

The campus can take great pride in the overall admissions picture at Berkeley. Both the accomplishments and the diversity of new freshmen at Berkeley have increased substantially over the last eight years.

The academic accomplishments that Berkeley freshmen bring to the campus from high school have improved dramatically and steadily since 1986. Table 3 presents the mean high school grade point averages of new freshmen over the last dozen years. Between 1980 and 1985 these high school grades improved from 3.60 to 3.66; by 1992 they had jumped to 3.83. This significant improvement was reflected in high school performance of every ethnic group represented at Berkeley.

Scholastic Aptitude Test scores of Berkeley freshmen also have improved significantly, both in absolute numbers and relative to California and national averages. Since 1978 the mean SAT totals of Berkeley freshmen have risen 100 points, and the margin by which they exceed the state and national means has increased by 100 points as well (Table 4). As is demonstrated in Table 5, every ethnic group has participated in the improvement in test scores since 1980. Most have increased dramatically since 1985, when admissions became significantly more competitive at Berkeley; only Chicanos have been static in their test performance over this most recent period.

A further indicator of academic accomplishment is how the students do once they arrive at Berkeley. The National Collegiate Athletic Association now evaluates campus success by examining the percentages that have graduated within six years. Of those who entered Berkeley as freshmen in 1980, 68% persisted to graduation. The 1985 class, the most recent one for which we have this long time-series data, already shows improvement on this measure to 75% (Table 6).

Table 3

**Table 3. New Freshmen
Mean High School GPA Data**

	Total	Am Ind	Afr Am	Chicano	Latino	Filipino	Asian	White	Other	DTS	Foreign
1980	3.60	3.38	3.22	3.42	3.41	3.53	3.67	3.63			3.67
1981	3.59	3.55	3.15	3.35	3.45	3.54	3.67	3.62			3.67
1982	3.59	3.44	3.21	3.40	3.40	3.51	3.69	3.61			3.72
1983	3.55	3.30	3.17	3.34	3.43	3.51	3.66	3.56			3.70
1984	3.62	3.39	3.28	3.42	3.52	3.50	3.78	3.61			3.72
1985	3.66	3.19	3.21	3.40	3.41	3.53	3.84	3.73			3.76
1986	3.68	3.44	3.24	3.47	3.57	3.66	3.86	3.72			3.68
1987	3.66	3.35	3.19	3.44	3.46	3.69	3.88	3.77			3.71
1988	3.70	3.49	3.29	3.46	3.49	3.82	3.91	3.79	3.86	3.85	3.76
1989	3.69	3.41	3.28	3.48	3.51	3.77	3.93	3.77			3.67
1990	3.73	3.45	3.34	3.48	3.56	3.93	3.91	3.76	3.73	3.89	3.78
1991	3.77	3.49	3.27	3.48	3.55	3.94	3.95	3.85	3.87	3.88	3.84
1992	3.83	3.64	3.38	3.60	3.67	3.93	3.95	3.85	3.86	3.89	3.88

Table 4

**Scholastic Aptitude Test Verbal, Math, and Total Scores for UC Berkeley
Freshmen, California College-Bound High School Seniors, and National
College-Bound High School Seniors: 1960-1992**

Fall Term	UC Berkeley			California			National			SATT Differences	
	SATT	SAT-V	SAT-M	SATT	SAT-V	SAT-M	SATT	SAT-V	SAT-M	UCB- CA	UCB- Nat'l
1960	1113	546	567	NA	NA	NA	975	477	798	NA	138
1968	1172	569	603	NA	NA	NA	958	466	492	NA	214
1970	1152	553	599	NA	NA	NA	953	460	493	NA	199
1971	1121	535	586	NA	NA	NA	943	455	488	NA	178
1972	1130	537	593	957	464	493	937	453	484	173	193
1973	1118	534	584	937	452	485	926	445	481	181	192
1974	1131	535	596	934	450	484	924	444	480	197	207
1975	1112	520	592	908	435	473	906	434	472	204	206
1976	1114	522	592	900	430	470	903	431	472	214	211
1977	1124	525	599	897	427	470	899	429	470	227	225
1978	1118	525	593	893	427	466	897	429	468	225	221
1979	1123	524	599	901	428	473	894	427	467	222	229
1980	1134	532	602	896	424	472	890	424	466	238	244
1981	1130	529	601	901	426	475	890	424	466	229	240
1982	1128	528	600	899	425	474	893	426	467	229	235
1983	1134	526	608	895	421	474	893	425	468	239	241
1984	1155	541	614	897	421	476	897	426	471	258	258
1985	1164	546	618	904	424	480	906	431	475	260	258
1986	1181	553	628	904	423	481	906	431	475	277	275
1987	1177	551	626	906	424	482	906	430	476	271	271
1988	1185	554	631	908	424	484	904	428	476	277	281
1989	1176	549	627	906	422	484	903	427	476	270	273
1990	1199	555	644	903	419	484	900	424	476	296	299
1991	1201	556	645	897	415	482	896	422	474	304	305
1992	1220	563	657	900	416	484	899	423	476	320	321

Table 5

Table 5. New Freshmen
Mean SAT Total Scores

	Total	Am Ind	Afr Am	Chicano	Latino	Filipino	Asian	White	Other	DTS	Foreign
1980	1133	981	879	959	1059	983	1125	1179			1056
1981	1134	1005	902	974	1044	1022	1098	1189			1054
1982	1134	1144	910	975	1064	988	1122	1180			1100
1983	1133	1063	933	975	1039	1006	1119	1183			1091
1984	1155	1054	923	1003	1045	1010	1189	1204			1121
1985	1164	1063	936	1001	1039	1004	1204	1227			1116
1986	1181	1082	952	1014	1111	1077	1254	1232			1155
1987	1176	1090	938	1009	1072	1092	1281	1261			1157
1988	1185	1114	979	1013	1053	1126	1269	1267	1230	1296	1179
1989	1176	1107	963	1001	1054	1114	1289	1267			1115
1990	1199	1103	997	1015	1068	1215	1284	1250			
1991	1201	1096	979	996	1084	1213	1282	1262	1294	1301	1221
1992	1220	1121	988	998	1101	1203	1282	1261	1244	1293	1229

**FOUR YEAR RETENTION AND FIVE AND SIX YEAR GRADUATION RATES:
1981-1987 FRESHMEN BY ETHNICITY AND ADMISSION STATUS**

Fall Entered	FOUR YEAR RETENTION (%)							FIVE YEAR GRADUATION (%)						SIX YEAR GRADUATION (%)				
	1981	1982	1983	1984	1985	1986	1987	1981	1982	1983	1984	1985	1986	1981	1982	1983	1984	1985
REGULAR ADMISSION																		
American Indian	57	40	50	78	69	58	79	43	20	42	56	63	50	43	20	42	61	75
African American	42	54	57	56	65	67	61	29	44	43	45	45	51	39	47	55	51	52
Chicano	66	59	65	72	65	77	70	49	44	47	56	52	60	57	54	58	68	62
Latino	67	72	70	71	69	75	70	60	58	52	58	58	59	63	67	61	66	66
Filipino	66	67	66	75	74	77	84	59	49	54	53	61	65	63	57	64	66	69
Asian	74	80	78	79	83	83	84	68	72	72	71	76	78	72	78	77	77	81
White	75	78	79	78	81	84	83	68	67	72	73	75	77	73	75	78	78	81
Total	73	76	77	76	79	81	79	66	66	69	69	71	73	70	73	75	75	77
SPECIAL ACTION ADMISSION																		
American Indian	33	80	43	50	40	50	25	33	40	29	50	10	33	67	40	29	50	30
African American	42	35	56	44	53	57	45	20	22	29	29	29	38	25	31	45	42	35
Chicano	67	60	49	50	56	66	45	51	36	22	32	33	43	56	44	29	41	44
Latino	50	56	56	47	42	58	65	42	28	39	32	27	50	42	44	44	37	35
Filipino	44	27	42	52	66	50	25	44	20	37	27	40	36	44	20	37	36	51
Asian	52	59	62	88	56	33	70	37	46	43	65	50	33	43	54	48	76	56
White	71	60	66	56	70	71	66	46	38	50	49	56	51	57	49	64	54	63
Total	54	52	58	51	58	62	52	37	34	37	36	38	44	44	43	48	45	46
ALL FRESHMEN																		
American Indian	50	60	47	69	58	57	70	40	30	37	54	42	47	50	30	37	58	58
African American	42	46	56	52	61	63	56	24	34	38	39	39	46	31	39	51	47	46
Chicano	66	60	61	67	63	74	66	50	42	41	51	47	56	56	52	51	63	58
Latino	64	68	67	67	64	74	69	56	51	49	55	52	59	59	62	58	61	60
Filipino	62	62	63	71	73	75	83	56	45	52	48	57	63	60	52	61	61	66
Asian	73	78	77	79	82	83	84	65	70	70	71	75	78	70	77	75	77	81
White	75	77	78	77	80	83	82	67	66	72	72	74	76	72	74	77	77	80
Total	71	74	75	75	77	79	77	63	63	67	66	68	70	68	71	73	72	75

Table 6

Furthermore, most of those who drop out of Berkeley do so in their first two years of study, and for this measure we have more recent data. Twenty percent of the members of the freshman classes of 1984 and 1985 had dropped out of Berkeley by the start of their junior years. The average drop-out rate for those entering in 1988 and 1989 had decreased to 14.5%, a decline of 28%. These improvements are seen in all ethnic groups. (See also Table 7.)

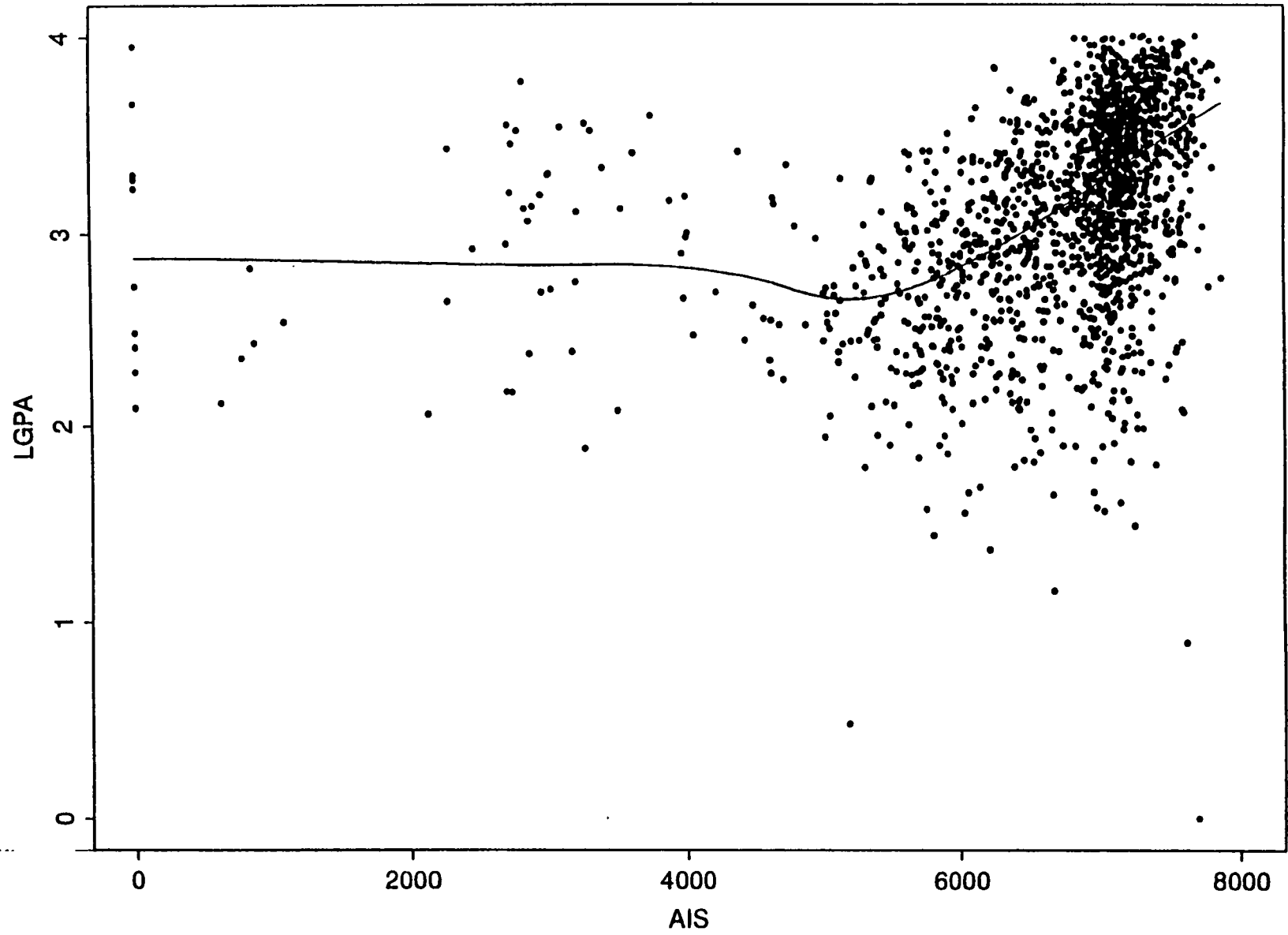
As pleasing as the improvements are in persistence on the campus, the Committee on Admissions and Enrollment believes that these figures underplay Berkeley's real success with its undergraduates. The image of an undergraduate as one who starts and finishes her education at the same institution is substantially less apt now than it was 25 years ago. Today many students leave Berkeley, not because of academic failure, but simply because they want to continue their studies elsewhere -- for a variety of sound personal and academic reasons. In addition, some students leave in good academic standing because of family or financial pressures. The Committee believes that a more appropriate measure of Berkeley's success is the percentage of a freshman class who have a passing grade point average (2.0 or above) when they leave the campus, whether by graduation or to go elsewhere. Students who leave the University prior to graduation but with a GPA of 2.0 plus have kept their financial aid eligibility intact and can readily transfer to other institutions to complete their education. The freshman classes of 1984 and 1985 averaged 85.8% on this measure of success. The campus has witnessed a steady improvement in this type of success in the ensuing years, so that the average for the classes which entered in 1988 and 1989 stood at 90.4%. All of Berkeley's ethnic groups have achieved a decline of at least 30% in the rates of this kind of failure over this time period. This is an impressive accomplishment.

The Committee has conducted a special study to confirm that all those admitted to Berkeley do have a reasonable chance of success, as mandated by the Karable Report. Figures 1 and 2 plot students' UCB cumulative grade point averages against their Academic Index Scores (high school grades plus tests scores). It can be

NUMBERS AND ONE YEAR RETENTION RATES: 1981-90 FALL FRESHMEN BY ETHNICITY AND ADMISSION STATUS																					
	NUMBER INITIALLY ENROLLED										ONE YEAR RETENTION (%)										
Fall Entered	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	
REGULAR ADMISSION																					
American Indian	7	5	12	18	18	24	62	51	52	38	57	80	67	83	94	75	84	92	79	74	
African American	72	103	139	186	183	167	315	271	266	166	74	82	81	79	79	83	83	85	81	80	
Chicano	85	98	132	180	196	213	314	317	332	345	88	84	86	87	76	85	84	87	87	84	
Latino	52	60	67	113	109	118	201	226	229	233	88	85	85	89	84	89	83	90	87	91	
Filipino	87	105	145	156	163	172	197	184	224	114	90	79	88	85	86	88	91	94	95	97	
Asian	609	757	911	758	774	667	676	698	681	785	92	93	92	90	93	94	95	96	96	97	
White	1606	1887	2272	2160	1705	1409	1332	1215	999	981	87	90	90	88	90	92	93	94	93	93	
Total	2664	3156	3874	3782	3448	3034	3325	3251	3068	2956	88	90	90	88	89	91	91	93	91	92	
SPECIAL ACTION ADMISSION																					
American Indian	3	5	7	8	10	6	12	10	3	4	67	60	43	75	70	100	58	90	67	75	
African American	84	88	95	108	104	99	124	98	94	41	66	64	81	71	70	70	71	74	66	83	
Chicano	43	25	45	44	57	58	53	54	44	34	79	76	71	61	74	81	74	80	77	76	
Latino	12	18	18	19	26	12	26	41	32	13	75	67	83	84	62	75	77	80	75	77	
Filipino	16	15	19	33	35	14	4	0	3	0	81	67	79	73	60	64	75	—	100	—	
Asian	46	59	69	17	18	9	10	15	3	12	83	78	87	94	94	33	70	87	100	83	
White	65	68	70	59	63	65	59	49	53	54	85	78	80	73	78	88	86	88	75	89	
Total	285	298	342	298	324	281	298	281	242	167	77	73	80	73	72	77	74	81	73	83	
ALL FRESHMEN																					
American Indian	10	10	19	26	28	30	74	61	55	42	60	70	58	81	85	80	80	92	78	74	
African American	156	191	234	294	287	266	439	369	360	207	69	73	81	76	76	78	79	82	77	81	
Chicano	128	121	177	224	253	271	367	371	376	379	85	83	82	82	76	85	83	86	86	83	
Latino	64	78	85	132	135	130	227	267	261	246	86	81	85	88	80	88	82	89	86	90	
Filipino	103	120	164	189	199	186	201	184	227	114	88	78	87	83	81	86	91	94	96	97	
Asian	655	816	980	775	792	676	686	711	684	797	91	92	92	90	93	93	95	96	96	96	
White	1671	1955	2342	2219	1768	1474	1391	1264	1052	1035	87	89	90	88	90	92	93	94	92	93	
Total	2949	3454	4216	4080	3772	3315	3623	3532	3310	3123	87	88	89	87	88	90	90	92	90	91	

Table 7

Whites, Asian, and Foreign



African American, Chicano, and Native American

14

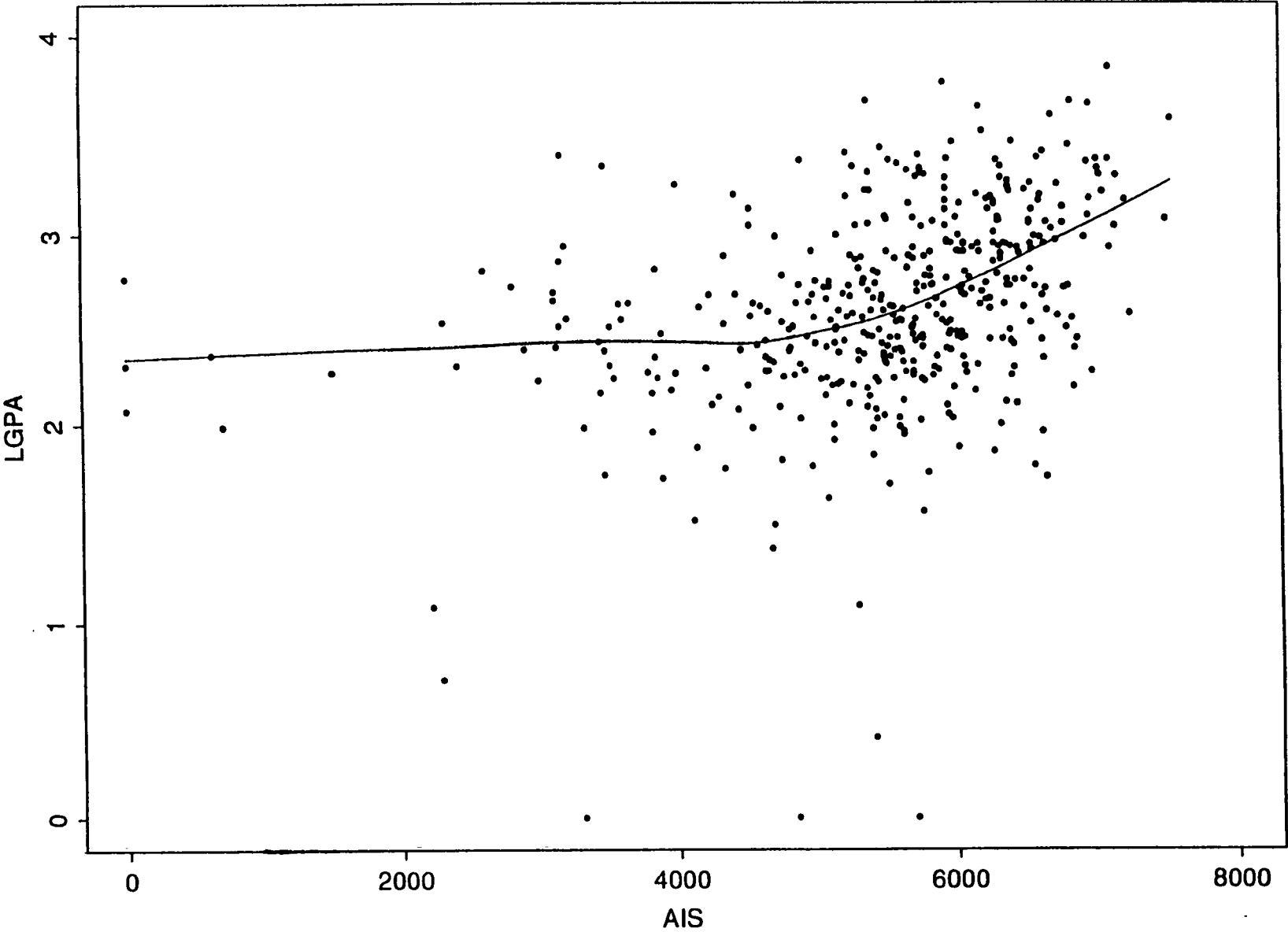


Figure 2

seen, first, that all registrants, no matter how weak their formal qualifications, have been selected in such a way as to average better than passing grades at UCB. Second, at the point at which UC eligibility ends there ceases to be a relationship between the Academic Index Score and UCB grades. (The cut-off for UC eligibility generally falls in the range of 4,300 to 5,000 points.) In the lower reaches of formal qualifications students are admitted only if a qualitative evaluation of their applications indicates that they nonetheless have a good chance of success at Berkeley. Figures 1 and 2 demonstrate that these qualitative judgments are being well made. They also indicate that any tightening in the formal criteria for admission would yield little or no improvement in student success at Berkeley. Berkeley is fortunate enough to have such a well-qualified group of applicants that only intensive, qualitative admission reviews can produce a better student body.

Concurrent with Berkeley's increased academic achievement has been its heightened diversity. The largest amount of this change has occurred by itself. The part of the admissions process that is completely blind with regard to race and ethnicity has produced increasing numbers of Asians on the Berkeley campus. Thus, whereas Asians (excluding Filipinos) were only 19.6% of the freshman class in 1984, they were 37.1% of the 1992 class (Table 8). The reasons for this shift have been several. The first is demographic. While whites have been decreasing as a proportion of California's high school students and graduates, Asians have been increasing. Thus the California Post Secondary Education Commission (CPEC) indicates that whites fell from 68% of the 1981 graduating public high school seniors in California to 55% in 1990, while Asians rose from 6% to 14%. The second factor causing heightened diversity concerns preparation. The CPEC indicates that all groups improved their eligibility for UC by grades alone from 1983 to 1990. But whereas white eligibility increased from 7.7% to 12.7%, Asian eligibility rose from 17.3% to 32.2%. The combined effect of the demographic and preparation factors is that Asians represent twice as large a proportion of the UC-eligible pool today as they did a decade ago. The third factor in heightened diversity is economic. The

UC Berkeley Percent of New Domestic Freshman Registrants by Ethnicity: Fall 1983-1992

	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992
American Indian	0.4%	0.6%	0.7%	0.9%	2.1%	1.8%	1.7%	1.4%	1.5%	1.1%
Asian										
Chinese	13.8%	10.1%	10.8%	11.6%	10.4%	11.4%	10.9%	13.7%	17.9%	19.8%
East Ind./Pak.	0.9%	1.5%	1.5%	1.4%	1.6%	1.8%	1.9%	2.3%	2.3%	2.9%
Japanese	3.9%	3.1%	3.4%	2.4%	2.3%	1.6%	1.9%	2.2%	1.5%	1.8%
Korean	3.6%	3.4%	4.2%	4.1%	3.8%	4.1%	4.7%	5.3%	5.8%	7.5%
Pacific Islander	0.2%	0.0%	0.0%	0.1%	0.0%	0.1%	0.1%	0.1%	0.2%	0.3%
Other Asian	1.8%	1.4%	1.6%	1.2%	1.5%	1.8%	1.9%	3.0%	3.5%	4.8%
Total Asian	24.1%	19.6%	21.5%	20.9%	19.6%	20.8%	21.5%	26.7%	31.2%	37.1%
Filipino	3.9%	4.7%	5.4%	5.8%	5.7%	5.4%	7.1%	3.8%	3.4%	3.4%
African American	5.6%	7.3%	7.8%	8.2%	12.5%	10.8%	11.3%	6.9%	7.8%	6.2%
Hispanic										
Chicano	4.1%	5.5%	6.9%	8.4%	10.5%	10.8%	11.8%	12.6%	13.1%	8.9%
Latino	2.0%	3.3%	3.7%	4.0%	6.5%	7.8%	8.2%	8.2%	6.5%	5.1%
Total Hispanic	6.1%	8.8%	10.5%	12.4%	17.0%	18.6%	20.0%	20.8%	19.6%	14.0%
White	56.7%	55.7%	48.0%	45.6%	39.8%	37.0%	33.1%	34.4%	30.0%	30.8%
Other	2.3%	1.5%	2.0%	1.7%	0.2%	0.8%	0.8%	0.5%	1.0%	1.6%
No Ethnic Data	0.9%	1.7%	4.1%	4.5%	3.0%	4.9%	4.4%	5.6%	5.6%	5.9%
Total Domestic	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

incomes of most white families in the state are higher than those of Asians. Thus white high school graduates are more likely to apply to and be able to attend private universities and colleges than are their Asian counterparts. (We should note in passing that the "Asian" category is an exceedingly broad one and includes within it quite different ethnic, demographic, economic and preparation dynamics for the different Asian sub-groups.) Thus, the largest part of Berkeley's diversity is attributable exclusively to the strong academic records of Asian American applicants and is a major strength of the University.

Berkeley also has been able to maintain the approximate proportions of under-represented minorities in its freshman classes while simultaneously improving its academic standards. This achievement has been the result of diligent recruiting work on the part of the Office of Undergraduate Admissions and Relations with Schools (OUARS). It has not been the result of quotas, which the policy of the University expressly forbids. (See Table 1, Principle 4.) The numbers of any given racial or ethnic group admitted vary from year to year depending on the variation in the quality and quantity of their applicant pool. Thus, although Berkeley admitted 916 African American freshmen in 1987, it admitted 671 in 1991. This drop partly reflected a decline in the percentage of African Americans in California's high schools, similar to that of whites. Similarly, although the numbers of Chicanos at Berkeley are increasing, they are not growing as rapidly as their percentage in the state's schools. Eligibility for the University of California is lowest in this ethnic group, and -- with the largest proportion of poor in the state -- it has been most severely affected by the rise in the University's fees. Thus, although the picture generally has been improving, it is not all that we would like it to be. Nonetheless, the several parts of the admissions process operate to assure both that the campus remain diverse and that those admitted to Berkeley have a strong probability of being successful here (as is evidence by the above statistics on UCB grades).

It is misleading to cite only statistics about freshmen in talking about diversity at Berkeley. Undergraduates come onto the campus at other times and in other ways than through admission to the freshman class in the fall of any given year. Many are admitted as transfer students, usually having studied first at a community college. Others arrive in the midst of their lower division studies, having been granted a deferred admission to Berkeley when they first applied for the freshman class. Those taking these other routes onto the Berkeley campus also are quite diverse, but under-represented minorities are less likely to be among them. Tables 9 and 10 indicate the diversity of the Berkeley undergraduate population as a whole, compared with the diversity of the fall freshman class in 1992 shown in Table 8. Thus in 1991, for example, while African Americans and Chicanos represented, respectively, 7.8% and 13.1% of the freshman class, they constituted 6.8% and 9.1% of all undergraduates. Similarly, in 1992 Asians (including Filipinos) at 40.5% were the largest group in the freshman class, followed by whites at 30.8%. But the order is reversed among all undergraduates, with whites representing 36.5% and Asians 33.6%.

Table 11 presents the percentages of the various transfer (advanced standing) students admitted by ethnicity. Note that the proportions of non-whites entering the campus by this route is much smaller than those coming in through freshman admission. It is a concern of the Committee on Admissions and Enrollment that those community colleges in California that serve predominately African American and Chicano student bodies do substantially less well in preparing them for admission to the University of California than do wealthier, suburban colleges. The solutions to this problem, however, seem largely beyond Berkeley's control.

We turn now from this general evaluation of admissions at Berkeley to a more detailed treatment of the ways in which the principles of the Karable Report have been implemented.

Number of Undergraduate Student Registrants by Ethnicity: Fall 1970-1992

Ethnicity	1992	1991	1990	1989	1988	1987	1986	1985	1984	1983	1982	1981	1980	1979	1978	1977	1976	1975	1974	1973	1972	1970
Citizens & Immigrants																						
American Indian	246	276	261	269	241	196	131	108	93	89	93	102	91	83	98	82	82	65	103	81	78	79
Asian	(7069)	(6469)	(5962)	(5870)	(5803)	(5665)	(5509)	(5384)	(5126)	(4879)	(4536)	(4399)	(4367)	(4079)	(3757)	(3522)	(3318)	(3410)	(3191)	(3004)	(2650)	(2227)
Chinese	3352	3016	2706	2663	2663	2608	2578	2568	2522	2547	2491	2540	2563	2447	2335	2258	2103	2158				
East Indian/Pakistani	499	421	368	355	335	304	265	235	197	154	129	106	103	105	90	74	54	55				
Filipino	786	850	912	961	939	882	767	713	644	550	444	407	354	291	258	195	196	189				
Japanese	409	423	455	481	537	631	705	749	759	742	760	771	855	848	841	836	834	879				
Korean	1219	1105	974	933	859	804	766	712	635	568	477	417	352	270	175	126	95	84				
Pacific Islander	42	33	21	14	13	20	18	20	24	19	11	12	13	6	9	20	22					
Other Asian	762	621	526	463	456	423	408	389	349	294	216	147	128	104	52	24	16	23				
African American	1200	1415	1402	1647	1542	1448	1182	1115	1040	944	827	786	758	684	660	701	773	831	895	879	789	709
Hispanic	(3078)	(3158)	(3024)	(2748)	(2430)	(2075)	(1692)	(1554)	(1332)	(1115)	(975)	(904)	(823)	(711)	(669)	(600)	(633)	(658)	(641)	(630)	(549)	(405)
Chicano	1856	1896	1804	1636	1473	1281	1048	951	813	680	593	566	498	434	395	366	406	422	418	436	373	285
Latino	1222	1262	1220	1112	957	794	644	603	519	435	382	338	325	277	274	234	227	236	223	194	176	120
White	7673	8113	8762	9652	10635	11472	11850	12614	12944	12882	12653	13317	13948	13394	12939	12598	13315	13820	13833	13587	12395	11107
Other	263	203	208	272	305	400	512	539	561	600	608	590	519	445	429	488	577	484	1048	767	398	866
No Ethnic Data	1423	1288	1151	1040	969	852	689	494	258	252	325	379	604	1347	1042	983	738	1016	460	1513	1950	2869
TOTAL-																						
CITIZENS & IMMIGRANTS	21042	20922	20860	21498	21925	22108	21565	21808	21354	20761	20017	20477	21110	20743	19594	18974	19436	20284	20171	20461	18809	18262
Foreign	799	738	730	764	746	666	566	513	553	506	490	500	517	534	479	405	483	512	434	430	481	558
GRAND TOTAL - ALL	21841	21660	21590	22262	22671	22774	22131	22321	21907	21267	20507	20977	21627	21277	20073	19379	19919	20796	20605	20891	19290	18820

Note: Data are from computer tapes provided by the Office of Institutional Research. Ethnic data were first collected systematically for undergraduates in the fall of 1970 and are not available for fall 1971. Asian subtotals, presumably including Filipino, are the only Asian ethnic data available from fall 1970 through fall 1974.

Percent of Undergraduate Student Registrants by Ethnicity: Fall 1970-1992
(Percent to the Citizen and Immigrant Total)

Ethnicity	1992	1991	1990	1989	1988	1987	1986	1985	1984	1983	1982	1981	1980	1979	1978	1977	1976	1975	1974	1973	1972	1970
Citizens & Immigrants																						
American Indian	1.2	1.3	1.3	1.3	1.1	0.9	0.6	0.5	0.4	0.4	0.5	0.5	0.4	0.4	0.5	0.4	0.4	0.3	0.5	0.4	0.4	0.4
Asian	(31.6)	(30.9)	(29.6)	(27.3)	(26.5)	(25.6)	(25.5)	(24.7)	(24.0)	(23.5)	(22.7)	(21.5)	(20.7)	(19.7)	(19.2)	(18.6)	(17.1)	(16.8)	(15.8)	(14.7)	(14.1)	(12.2)
Chinese	15.9	14.4	11.0	12.4	12.1	11.8	12.0	11.8	11.8	12.3	12.4	12.4	12.1	11.8	11.9	11.9	10.8	10.6				
East Indian/Pakistani	2.4	2.0	1.8	1.7	1.5	1.4	1.2	1.1	0.9	0.7	0.6	0.5	0.5	0.5	0.5	0.4	0.3	0.3				
Filipino	1.7	4.1	4.4	4.5	4.1	4.0	3.6	3.3	3.0	2.6	2.2	2.0	1.7	1.4	1.3	1.0	1.0	0.9				
Japanese	1.9	2.0	2.2	2.2	2.4	2.9	3.3	3.4	3.6	3.6	3.8	3.8	4.1	4.1	4.3	4.4	4.3	4.3				
Korean	5.8	5.3	4.7	4.1	3.9	3.6	3.6	3.3	3.0	2.7	2.4	2.0	1.7	1.3	0.9	0.7	0.5	0.4				
Pacific Islander	0.20	0.16	0.10	0.07	0.06	0.06	0.09	0.08	0.09	0.12	0.09	0.05	0.06	0.06	0.03	0.05	0.10	0.11				
Other Asian	3.6	3.0	2.5	2.2	2.1	1.9	1.9	1.8	1.6	1.4	1.1	0.7	0.6	0.5	0.3	0.1	0.1	0.1				
African American	6.1	6.8	7.2	7.7	7.0	6.5	5.5	5.1	4.9	4.5	4.1	3.8	3.6	3.3	3.4	3.7	4.0	4.1	4.4	4.3	4.2	3.9
Hispanic	(14.6)	(15.1)	(14.5)	(12.8)	(11.1)	(9.4)	(7.8)	(7.1)	(6.2)	(5.4)	(4.9)	(4.4)	(3.9)	(3.4)	(3.4)	(3.2)	(3.3)	(3.2)	(3.2)	(3.1)	(2.9)	(2.2)
Chicano	8.8	9.1	8.6	7.6	6.7	5.8	4.9	4.4	3.8	3.3	3.0	2.8	2.4	2.1	2.0	1.9	2.1	2.1	2.1	2.1	2.0	1.6
Latino	5.8	6.0	5.8	5.2	4.4	3.6	3.0	2.8	2.4	2.1	1.9	1.7	1.5	1.3	1.4	1.2	1.2	1.2	1.1	0.9	0.9	0.7
White	36.5	38.8	42.0	44.9	48.5	51.9	55.0	57.8	60.6	62.0	63.2	65.0	66.1	64.6	66.0	66.4	68.5	68.1	68.6	66.4	65.9	60.8
Other	1.2	1.0	1.0	1.3	1.4	1.8	2.4	2.5	2.6	2.9	3.0	2.9	2.5	2.1	2.2	2.6	3.0	2.4	5.2	3.7	2.1	4.7
No Ethnic Data	6.8	6.2	5.5	4.8	4.4	3.9	3.2	2.3	1.2	1.2	1.6	1.9	2.9	6.5	5.3	5.2	3.8	5.0	2.3	7.4	10.4	15.7
TOTAL - CITIZENS & IMMIGRANTS	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Percent of Undergraduate Students Who Are Citizens and Immigrants or Foreign: Fall 1970-1992
(Percent to the Grand Total - All)

	1992	1991	1990	1989	1988	1987	1986	1985	1984	1983	1982	1981	1980	1979	1978	1977	1976	1975	1974	1973	1972	1970
Citizens & Immigrants	96.3	96.6	96.6	96.6	96.7	97.1	97.4	97.7	97.5	97.6	97.6	97.6	97.6	97.5	97.6	97.9	97.6	97.5	97.9	97.9	97.5	97.0
Foreign	3.7	3.4	3.4	3.4	3.3	2.9	2.6	2.3	2.5	2.4	2.4	2.4	2.4	2.5	2.4	2.1	2.4	2.5	2.1	2.1	2.5	3.0
GRAND TOTAL - ALL	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Distribution of New Advanced Standing Registrants by Ethnicity: Fall 1981-1992

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992
Amer Indian	1.1%	0.5%	0.4%	0.7%	0.9%	1.0%	1.1%	1.7%	1.5%	1.4%	2.1%	1.5%
African Amer	3.2%	4.2%	4.4%	4.0%	4.1%	3.7%	5.6%	4.4%	4.8%	3.8%	5.5%	5.0%
Chicano	2.5%	2.4%	3.4%	3.6%	4.9%	4.2%	4.4%	4.4%	6.4%	7.6%	8.3%	7.5%
Latino	1.7%	1.9%	2.7%	3.5%	3.5%	3.2%	3.8%	4.7%	4.9%	4.8%	5.5%	4.5%
Filipino	0.9%	0.8%	1.4%	1.5%	1.4%	1.8%	2.7%	1.6%	1.7%	2.2%	1.4%	2.0%
Asian	13.8%	14.2%	14.4%	14.8%	15.0%	18.3%	18.1%	15.9%	17.5%	19.0%	20.9%	22.9%
White	65.2%	68.7%	67.4%	64.7%	62.5%	57.7%	59.0%	61.7%	56.6%	52.9%	47.4%	44.7%
Other	4.8%	3.7%	1.9%	3.1%	3.0%	2.7%	0.6%	1.0%	1.4%	1.1%	1.1%	2.5%
No Data	6.9%	3.5%	3.9%	4.2%	4.7%	7.3%	4.7%	4.5%	5.3%	7.5%	7.9%	9.4%
Cit+Imm	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Section III

THE MATRIX SYSTEM

Starting with the fall 1992 admission process, the Office of Undergraduate Admissions (OUA - now OUARS) used a matrix format for considering freshman applicants to the Colleges of Letters and Science and Natural Resources. (The Colleges of Chemistry and Environmental Design use a similar process; Engineering includes a high degree of faculty review in its decision-making.)

The Committee's decision to adopt the matrix was based on a variety of factors. The matrix clarifies and facilitates the application of Berkeley's selection criteria, enables OUARS to identify the academically strongest students more effectively, and thus produces more refined admissions decisions. The matrix process also is easier to explain to prospective students and their parents -- overcoming a difficulty with the fall 1991 process often noted by admissions and outreach staff -- and thus strengthens relationships with secondary schools, campus communities and the public. Furthermore, the matrix approach corrects the appearance (never the reality) that "Karabel category" applicants were being reviewed in exclusive groups without competing with other applicants. The matrix format does not change the substantive principles established in the Karabel Report. Instead, use of the matrix simply alters internal OUARS procedures and the way the campus describes them.

To build the matrix, OUARS assigns all freshman applicants an academic score (the horizontal axis) and places them on a social diversity scale (the vertical axis). OUARS then arrays the applicants on the matrix shown as Figure 3. For fall 1992 and 1993, the academic scores was based on bands of the Academic Index Score (AIS), which has been used by OUARS since 1984. The AIS multiplies an applicant's high school grade point average (capped for all students at 4.0) by 1,000 and adds to it the student's scores on the SAT and the three required achievement tests, for a total

Figure 3

TEMPLATE BOARD
FIRST TWO DIMENSIONS IN A THREE DIMENSIONAL APPROACH

Letters and Science: Update as of February 14, 1992

Social/ Diversity	Tier 1											12
	7130 and above	7000 to 7120	6750 to 6990	6500 to 6740	6250 to 6490	6000 to 6240	5750 to 5990	5500 to 5740	5250 to 5490	other		
	1	2	3	4	5	6	7	8	9	10	11	
A	ADMIT	ADMIT	ADMIT	ADMIT	ADMIT	READ	READ	READ	READ	READ	READ	DENY
B	ADMIT	ADMIT	ADMIT	ADMIT	ADMIT	READ	READ	READ	READ	READ	READ	DENY
C	ADMIT	ADMIT	ADMIT	ADMIT	READ	READ	READ	READ	READ	READ	READ	DENY
D	ADMIT	ADMIT	ADMIT	READ	READ	READ	Options Letter	Options Letter	Options Letter	Options Letter	DENY	DENY
E	ADMIT	ADMIT	READ	READ	READ	READ	Options Letter	Options Letter	Options Letter	Options Letter	DENY	DENY
F	ADMIT	ADMIT	READ	READ	READ	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	DENY	DENY
G	ADMIT	READ	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	DENY	DENY
H	ADMIT	READ	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	DENY	DENY
I	ADMIT	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	Options Letter	DENY	DENY

Definitions

ADMIT



Selected for admission - essay reading not required

Selected for essay reading.

Some, but not all, read in cell.

Options Letter

Not offered fall, sent spring options and CAP option response sheets.

- A California residents who are American Indian, African American or Chicano AND SES or Disabled;
California residents who are SES AND Disabled;
California residents who are re-entry applicants;
- B California residents who are American Indian, African American or Chicano;
California residents who are Latino AND SES or Disabled;
- C California residents who are Latino;
Non-resident American Indian, African American or Chicano applicants;
- D Very Low SES;
Non-resident Latinos;
- E Other Low SES
- F Rural and Other High Schools and California resident Filipino applicants;
- G California Residents;
- H Foreign applicants;
- I Domestic Non-residents;

Source: Office of Undergraduate Admission and Relations with Schools

of 8,000 possible points. The social diversity scale reflects the approximate weight assigned to various attributes by the Karabel Report, including ethnic underrepresentation, low socioeconomic status, geography origin (California residency, rural area), athletic recruitment, age (over 24), special talent and disability. No single attribute can earn an applicant an "A" rating.

The first step in the admissions process is the development of the admissions target by the Budget and Planning Office in consultation with the Provosts, the Committee on Admissions and Enrollment and the OUARS. In recent years this has been about 7,200.

All freshman applicants are arrayed against each other on the matrix. Then, in keeping with the recommendations of the Karabel Report:

- 1) Fifty percent of the admissions spaces are filled on the basis of the AIS alone. (These are the cells labeled "Admit.")
- 2) Next considered are "Special Promise" applicants, those with Academic Index Scores immediately below those granted admission via the AIS alone. Approximately 5% of the admission target is admitted from this group. Two or three times as many applicants as will be admitted in this group are selected for detailed reading of their files at this stage. Due to the similarity of the academic records of these applicants, final selection is based on qualitative reading and scoring of their essays, activities, honors, awards and employment. (These cells are labeled "Read" in the matrix.)
- 3) Admission is granted to the top students in the social diversity rankings. (These cells also are labeled "Admit".)

- 4) Several thousand additional applicant files are reviewed in great detail, including having their essays read and their activities, honors and work experience evaluated. (These cells also are labeled "Read" in the matrix.)

Approximately 6,000 applicants for fall 1992 had their files read in great detail. The essay reading team of 40-50 people is composed of staff from the admissions office, faculty, selected high school counselors, and volunteers from other administrative offices and academic support services.

Depending on the outcome of the "Read" reviews, applicants are admitted or denied. Those who are denied are offered other admissions options, including consideration for admission to the following spring semester and guaranteed admission in the junior year if a minimum set of grades are maintained in junior college. Those in the matrix cells labeled "Options" are denied admissions for the fall without a full reading of their files, but are also offered the alternative admissions options (such as consideration for admission in the spring). Applicants in the "Deny" cells are denied admission and are not offered other options.

The matrix procedure enables OUARS and the Admissions and Enrollment Committee to focus more clearly on the choices required to build a freshman class that strengthens Berkeley's goal of providing excellence in undergraduate education. The matrix approach improves our ability to compare applicants to one another across a wide range of academic and social-diversity profiles. In addition, the matrix approach clearly compares applicants to each other along a continuum rather than in distinct groups.

During the actual selection process, a series of comparative judgments are made by assessing the number and quality of those in a matrix cell against the enrollment target range set for that group by the Karabel diversity goals. Based on these assessments and a series of comparisons at the margins between groups, the final selections are made. The numbers admitted in any given diversity group will vary from year to year. In some years the numbers admitted will be greater or less

than the Karabel target ranges for particular categories. During the matrix review process the OUARS staff regularly confers with the Admissions and Enrollment Committee to fine-tune the Karabel target ranges as well as the relative priority to be given to the applicants in the various cells of the matrix.

The admissions policies that underlie this procedure balance a wide range of competing and equally valid interests and goals in a complex public and legal environment. We believe that the result is a process that meets our educational goals, is as understandable to our public as is possible, and is in the interests of the greatest number of Californians.

Section IV

AFFIRMATIVE ACTION FOR SOCIOECONOMICALLY DISADVANTAGED STUDENTS

The Karabel Report also mandated attention to diversity with regard to those who come from socioeconomically disadvantaged backgrounds, regardless of race or ethnicity. (Table 2, Recommendation 3A.) However, it did not specify how this category should be defined and operationalized. The Committee on Admissions and Enrollment devoted considerable attention to this question in both 1989-90 and 1990-91. It decided that:

- (a) disadvantage with respect to higher education was a function not only of income but also of parental education and occupation.

At the urging of Berkeley administrative and faculty representatives, the systemwide application was revised, adding a question on parental occupation and placing the questions on occupation, income and parental education in a place where they were more likely to be answered.

The next step was to identify what constitutes disadvantage on these matters. The Committee decided that:

- (b) a parent with a managerial or professional occupation is a sign of relative advantage, as is a parent with a college degree. A family with an income at or above those of comparable situated families (as defined below) also is advantaged.

The Committee deliberated at length as to what is the relevant base of comparison for family income for Berkeley applicants. Family incomes vary considerably over the life time of their senior members, being low when wage

earners are young adults and when they retire. Most families approach their peak incomes at about the time when their children are old enough to go to college. Thus even if the poorest children had the same chance for a college education as the richest, the median income of the parents of college students would be higher than the median of all family incomes.

- (c) The Committee undertook a study of the income of California families with children between 17 and 19 years of age and found that the median in 1988 was \$39,635.¹ Disadvantage with regard to income was then defined as parental income at or below this mark.

(As a matter of interest, approximately 28% of Berkeley's undergraduates come from families at or below median income by this measure.²

- (d) An applicant was defined as socioeconomically disadvantaged for admissions purposes if he or she was not advantaged on at least two of the three indicators used. A secondary category of disadvantage was established for those whose family incomes were below \$50,000 (just shy of the Berkeley freshman median) and were disadvantaged by one of the other two measures as well.

The Committee decided to discontinue this secondary category beginning with the fall 1993 class because the more stringent definition is producing more than

¹ Data are from the March 1989 Annual Demographic File of the Current Population Survey. Analysis was provided by the staff of the Survey Research Center Data Archive.

² Tom Cesa, "Parental Income Data for New Freshmen at UC Berkeley," Berkeley: Office of Student Research, October 22, 1992.

enough highly qualified applicants.³

As is evident from the foregoing, affirmative action for applicants who are socioeconomically disadvantaged was not implemented all at once. Data from the systemwide application were available to make the decision as to who was disadvantaged beginning only with the 1991 class. As the category was a new one, the Office of Undergraduate Admissions and Relations with Schools used it conservatively that year, and unintentionally undershot the Karabel target range. Also many socioeconomically disadvantaged applicants who were members of under-represented minorities were admitted instead on the basis of their ethnicity that year. For fall 1991, 347 students were admitted out of consideration for their socioeconomic disadvantage.⁴ Another 557 socioeconomically disadvantaged students were admitted through regular admission procedures, so that the group represented 11% of all admits. (See Table 12.)

For fall 1992 the Committee had more confidence about the utility of the category and mandated that the Karabel target range be reached if sufficient qualified applicants were available. It also decided as a matter of principle that applicants should be considered for admission under this race-blind criterion before being evaluated under any other affirmative action criterion. As the original Karabel targets were based on the assumption that socioeconomic disadvantage would be the final, rather than the first, category for affirmative action, the targets were adjusted upward accordingly. Thus for the fall of 1992, 1,330 freshmen were admitted who were socioeconomically disadvantaged, 464 because of special consideration for this fact (Table 12).

³ We have provided preference for applicants with family incomes between \$39,635 and \$50,000 but only when they were not advantaged with respect to parental education or parental occupation, thereby meeting the test of being disadvantaged on two out of three criteria. Some applicants were included who reported parental education equivalent to an AA degree at a community college.

⁴ The figure of 347 is obtained by using a category count, whereby applicants are assigned to a single category whether or not they satisfy the criteria for more than one category. The assignment was determined by a hierarchy consistent with the listing of categories in Table 7 on page 39 of the Karabel Report.

Table 12

**Admission of Freshmen from Socioeconomically
Disadvantaged Backgrounds**

	<u>Fall 1991</u>	<u>Fall 1992</u>	<u>Fall 1993</u>
<u>Low SES⁵ by Attribute</u>			
Total Low SES Applicants	1640	2607	2965
Total Low SES Admitted	904	1330	1367
<i>Low SES as % of All Admits</i>	11.0%	15.3%	16.5%
Total Low SES with SIR ⁶	371	603	
<u>Low SES by Category</u>			
Considered Under Category	576	722	N.A.
Admitted Under Category	347	464	N.A.
SIR	165	247	N.A.

⁵ Low SES refers to those of low socioeconomic status, i.e., those who are socioeconomically disadvantaged.

⁶ SIR means Statement of Intent to Register.

For fall 1992, as noted earlier, freshman admissions were based on a matrix, rather than categories, sorting applicants by both academic and social/diversity criteria and accounting for applicants who satisfied multiple social/diversity criteria. The matrix approach carefully followed the principles of the Karabel Report. Nevertheless, the OUARS retained a count of admissions by category to monitor unanticipated differences between the two approaches. OUARS also relied upon an attributed count, whereby applicants could be and often were assigned more than one attribute. The sum of applicants by attribute, consequently, exceeds the total number of individuals in the applicant pool. Category counts were not maintained in 1993.

The number of applicants identified as socioeconomically disadvantaged increased from 1,640 to 2,965 between fall 1991 and fall 1993 and the number admitted with the attribute jumped from 904 to 1,367, representing 16.5% of all admits in 1993. The primary reason for the increase in numbers stems from limitations in data collection, rather than actual changes in applicant volume or admissions patterns. For fall 1991, UC Systemwide was unwilling to key enter information on parent occupation. Berkeley staff could identify parental occupation only by individually reviewing files and then entering a separate code on the database. Given time limitations, OUARS staff did not review files of applicants who might have been disadvantaged, but who would have been admitted in any event (e.g., students admitted by Academic Index Score alone, and student athletes, rural students or under-represented minorities who were admitted by AIS within their category).

Some observers of the admissions process have been understandably confused by the difference between counting by attribute and counting by category. Since Berkeley now uses a matrix approach rather than a category one and because category counts are confusing, an important task for OUARS and the next Committee on Admissions and Enrollment is to revise Karabel target ranges to report attributes rather than categories.

The Committee is pleased with its experience with this form of diversity. It enriches the experience of all students both to have a range of socioeconomic backgrounds represented on the campus and to have these backgrounds scattered across all ethnic groups. As a matter of principle, the Committee is convinced that all forms of socioeconomic disadvantage should be considered in the admissions process, not just those associated with race and ethnicity. The Committee also believes that non-racial measures of disadvantage are ethically more desirable and it would be preferable if Berkeley could eventually be race-blind in its admissions. Unfortunately, race adds to other forms of social and economic disadvantage in America today and is not simply a function of them.

Finally, we have found that the number of highly competitive applicants who are socioeconomically disadvantaged still exceeds Berkeley's capacity to admit them. The Committee wishes to continue to admit freshmen under this category in approximately the same numbers as it did for 1993. The Committee did devote one meeting to the testimony of a faculty member who would like to see affirmative action for the socioeconomically disadvantaged decreased or eliminated. We are grateful for his thoughtful input, but were unpersuaded by his arguments. If any change in numbers were to be made in the future, we would want to see them increased, not decreased.

Section V

AFFIRMATIVE ACTION CONCERNS: FILIPINO AND LATINO APPLICANTS

Crucial to our concept of excellence in undergraduate education at Berkeley is diversity and participation by disadvantaged groups. Following the Karabel Report, this Committee holds that, to be considered for affirmative action at Berkeley, a group should be under-represented, relative to his proportion in the population of University-eligible California high school graduates, both at Berkeley and in the University of California system as a whole and should be subject to widely-acknowledged disadvantage in the society at large. Disadvantage is indicated by a group's rate of eligibility for admission to the University of California. The University is committed by the Master Plan to provide access to the top 12.5% of California high school graduates. According to the Office of the President, "The primary barrier to access to the University ... is the low rate at which students from some ethnic and racial groups attain eligibility for University admission."⁷

Although whites are proportionately under-represented at Berkeley, they are not eligible for affirmative action on the basis of race because they are neither under-represented in the rest of the UC system nor subject as a group to disadvantage. The latter is indicated by the fact that in 1990 over 20% of white high school graduates in California had the potential to achieve UC eligibility compared to a state average of 18.8%.⁸ Of course, many whites have a unique contribution to make or are disadvantaged for other reasons, and we give them affirmative action consideration through our socioeconomically disadvantaged, rural, athlete, special talent and disabled categories.

⁷ University of California, "Undergraduate Student Affirmative Action Five Year Plan: 1990-1995" (Oakland, 1990).

⁸ California Post Secondary Education Commission, "Eligibility of California's 1990 High School Graduates for Admission to the State's Public Universities: A Report of the 1990 High School Eligibility Study" (Sacramento: March 30, 1992).

After lengthy deliberation, in January 1988 this Committee voted to end special consideration for Filipinos. To mitigate unanticipated effects on potential applicants, the Committee instructed the Admissions Office to implement its decision over a five-year period. Effective with the fall 1993 cycle, Filipinos no longer received special consideration (based on ethnicity) in the freshman admissions process.

Filipinos have attained a rate of UC eligibility above that of the statewide average. The California Post Secondary Education Commission reported for 1986 that 19.4% of Filipino high school graduates met UC-eligibility requirements or would meet them by taking the required standardized tests. The UC-eligibility rate for Filipinos exceeded that of all public high school graduates (14.1%) and that of all other groups except for Asians (32.8%). Additional indicators support the Committee's action. Filipinos comprised 3.7% of Berkeley's undergraduate student body in fall 1992 while comprising 2.9% of the 1991-92 California public high school graduates.⁹ Moreover, Filipinos at Berkeley are not significantly disadvantaged by income or parental education. The median income of fall 1992 Filipino applicants of \$58,789 exceeded the Berkeley campus median of \$56,000 and was higher than the median of all ethnic groups other than whites.¹⁰ Furthermore, 84% of Filipino registrants reported that at least one parent had earned a four-year college degree, compared to 72% of all fall 1992 new freshman registrants.¹¹ Seventy-one percent of Asian registrants and 89% of white registrants reported that least one parent had a four-year degree. Of course Filipino applicants who are socioeconomically disadvantaged or who demonstrate other social-diversity attributes reviewed in the matrix approach continue to receive additional consideration.

⁹ California Department of Finance, "K-12 Public High School Graduates by Ethnicity, History and Projection: 1992 Series."

¹⁰ 8.5% of Filipinos did not report income, while 22% of freshman applicants in general did not report it. It is believed that applicants not reporting income have family incomes well above the mean.

¹¹ Calculations exclude those not reporting data.

The Committee and OUARS also have been reviewing special consideration for Latinos, following the release of the University's "Undergraduate Student Affirmative Action Five Year Plan" in 1990. That document estimated that Latinos had comprised 7.6% of Berkeley's new freshmen from 1987 to 1989 compared to 3.4% of 1987 California public high school graduates, bringing into question the continued necessity of special consideration for this group.

Reviewing the available data on Latinos, we encountered some of the difficulties involved in considering race in the admissions process. Data are limited. Neither CPEC nor the Department of Finance distinguish Chicanos from Latinos in their basic reports on high school graduates. The University's affirmative action plan had estimated Latino high school graduates by projecting from the proportion of Chicanos and Latinos in the general population -- an approach leaving a significantly high level of uncertainty.

Latinos as a group at Berkeley report socioeconomic characteristics which differ on the one hand from groups with historically low UC-eligibility rates (i.e., African Americans and Chicanos) and on the other hand from groups meeting or exceeding UC-eligibility rates (whites and Asians). The median parental income for fall 1992 Latino freshman registrants of \$50,000 was well above the \$31,000 median for Chicanos but below the \$56,000 median for all freshmen. For fall 1992, 63% of the Latino freshman registrants responding reported a parent with a four-year college degree, again comparing favorably to Chicanos (28%) but unfavorably to the freshman class as a whole (72%).¹² Perhaps because of these socioeconomic conditions, Latino applicants have not demonstrated achievement levels, measured by grades and standardized test scores, equivalent to whites or Asians.

In response to this information, the Committee decided that generalized affirmative action for Latinos should end. But it further decided that:

¹² Comparable rates for whites are 89%, Asians 71%, and Filipinos 84%.

UC-eligible California Latinos who are socioeconomically disadvantaged will be placed in the Disadvantaged read pool regardless of their AIS score and will be admitted on the basis of that evaluation.

In this way Latinos will retain a small amount of affirmative consideration relative to Asians and whites, but this consideration will be focused on those who are genuinely disadvantaged.

The issues related to affirmative action for Latinos and Chicanos and the distinctions between the two groups are being reviewed by the University-wide Task Force on Latino Admission Eligibility. The Committee will continue to review its decision with regard to Latinos as new, more reliable information becomes available.

Section VI

SPECIAL ACTION ADMISSIONS OF STUDENTS AT RISK

The Karabel Report established the principle that "Berkeley should accept only those students who have a reasonable chance of persisting to graduation" (Tables 1, 7). We noted above that the Committee on Admissions and Enrollment has interpreted this principle marginally to mean that a student should be carrying a GPA of 2.0 when he or she departs the campus, whether through graduation or transfer. The Committee has asked that those making admissions decisions satisfy themselves that there is a high probability of achieving this minimum standard of success whenever a student is granted admission to Berkeley. Although this criterion affects all parts of the admissions process, operationally it has been most important to Special Action admissions.

Under Regental policy guidelines each campus of the University of California is permitted to enroll up to 6% of its new freshmen from those who do not meet the minimally established combination of test scores and high school grades necessary to be eligible for admission to the University. Applicants considered for admission under this policy are subjected to a particularly intensive qualitative evaluation by the Special Action Committee, which is appointed by the Chancellor. In recent years the Special Action Committee has shared the concern of the Senate Committee on Admissions and Enrollment that young people not be set up for failure by being admitted to Berkeley when their chances of surviving here are not good. Thus the Special Action Committee has increased the intensity of its reviews, with the positive effect of continuing improvement in the performance of Berkeley undergraduates noted above.

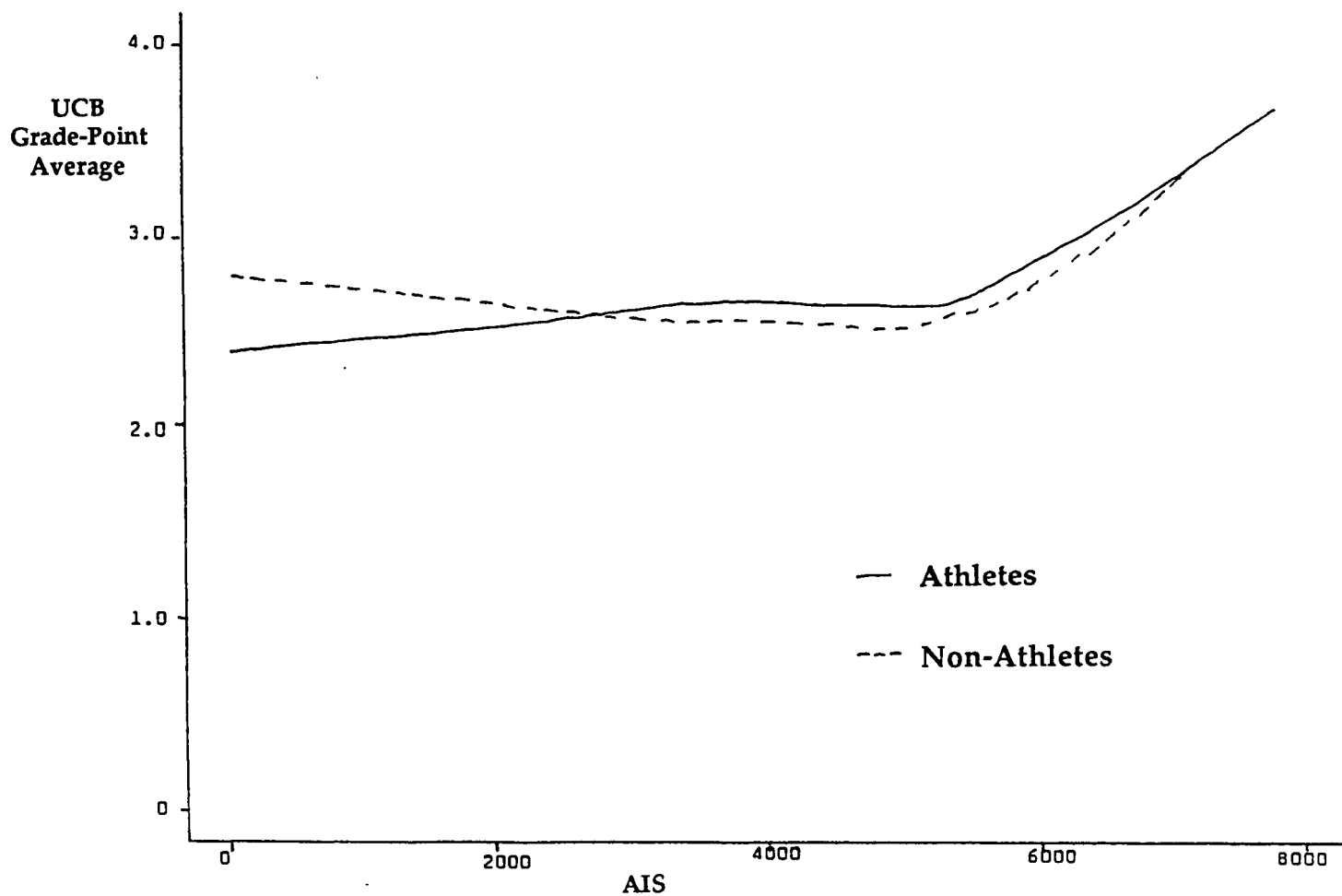
Another way of assuring the success of undergraduates is the provision of support services for students who are at risk. The best endowed support program is that run by Intercollegiate Athletics (in part out of its own funds) for student

athletes. This program is a good example of what it is possible to achieve. Despite the substantial commitment of time that participation in varsity sports requires, student athletes at Berkeley do better than non-athletes with the same test scores and high school grades (Figure 4). As a consequence, Intercollegiate Athletics and Berkeley's NCAA academic representative have been allowed a good deal of discretion in recruiting student athletes and recommending them for Special Action admissions, a discretion they have used responsibly. The Committee on Admissions and Enrollment wishes that the same quality support services were available to all undergraduates. But the general support program also is a good one, and in the current budgetary climate it is unlikely that additional funding will be available for it. This unfortunate reality reinforces the importance of being clear-headed about the chances of success that various applicants have.

The foregoing speaks to the minimum standards used in the Special Action process. But in a period in which admissions to Berkeley have become (and will continue to become) ever more competitive, minimum standards are hardly enough. Historically the Special Action Committee has tended to treat the Regentally established maximum numbers for this category as if they also were a minimum. A serious anomaly had thereby arisen whereby an applicant with special mitigating circumstances was more likely to be admitted if he or she failed to meet University eligibility standards and was put into the Special Action process. Beginning with the class admitted in fall 1992, the Committee on Admissions and Enrollment mandated that the Special Action Committee, in its review of applicants, also had to consider comparable UC-eligible students who would otherwise be denied admission. Special Action is still free to make the admissions decisions according to whatever qualitative standards it has established, but in doing so it must satisfy itself through reading actual applicant files that there are no UC-eligible applicants who are more attractive than the non-eligibles who are at the top of the Special Action list.

Figure 4

**Average Grades of Athletes and Non-Athletes
at Each Level of Formal Qualifications for Admission**



This change in Special Action policy has created an increase in workload for that committee, which does pose a potential problem. More faculty are needed to volunteer to help with the reading of files on the Special Action Committee. But the Committee on Admissions and Enrollment is convinced that the change in admissions principles here is appropriate. The long-term consequence is likely to be a reduction in the proportion of freshmen who were not UC-eligible. Already in the fall of 1992 those who were not UC eligible fell to 3.8% from 4.9% among 1991 admits (and to 5.2% from 6.5% among those who registered). Nonetheless, Special Action admissions will continue to be necessary, especially for athletes, if Berkeley is to remain competitive in NCAA Division I competition. It is worth noting here that, contrary to popular opinion, special consideration for athletes does not particularly favor under-represented minorities. White freshmen constitute a far larger percentage of recruited athletes than any other ethnic group.

The blurring of the distinction between eligible and ineligible applicants marks two important developments: (1) a recognition that applicants on either side of a line developed by quantitative measures along are more similar than dissimilar and (2) the placement of all applicants in the same review process via the "matrix."

Section VII

EXTENSION OF THE KARABEL PRINCIPLES TO THE PROFESSIONAL SCHOOLS AND COLLEGES

The Office of Undergraduate Admissions and Relations with Schools makes only a portion of the admissions decisions at Berkeley. This is overwhelmingly the largest portion, but Ethnic Studies, the College of Engineering and the College of Environmental Design do conduct their own admissions processes. This Committee has asked these schools to conform to the Karabel principles. Ethnic Studies and Environmental Design have been notable for their contributions to diversity at Berkeley (although the numbers admitted to the former are exceedingly modest). Engineering has the highest admission standards on the Berkeley campus. All three units have intensive faculty involvement in their admissions decisions. Their processes therefore already produce qualitative judgments of high worth about likely student success. All three units assure the Committee that they are doing their utmost to promote the diversity that is consistent with their standards. As these are faculty committees making these decisions, this Committee defers to their judgment.

Section VIII

REFORM OF THE FALL EXTENSION AND DEFER-TO-SPRING PROGRAM

The Fall Extension Program began in 1983. It was offered to fall freshman applicants who had been denied admission to the College of Letters and Science for fall but who had been offered deferred admission to the spring term. The campus proposed the Fall Extension option as a way to offer fall course work to a portion of these students so that they would not lose time-to-degree. That first program in 1983 enrolled 34 students. In 1984 enrollment jumped to 178 students and then to 305 in 1985 and to 500 in 1987, a level where it has since remained.

All UC-eligible freshman applicants who are denied admission to the College of Letters and Science for the fall semester (typically about 8,000) may request consideration for deferred admission to the spring semester. Each year about 2,000 of these students ask for such consideration, and between 1,200 and 1,400 of them are admitted, based on their Academic Index Scores. These admitted students may also request consideration for the Fall Extension Program (and each year about 600 students do so.). Because of the high degree of selectivity for the spring semester, the admitted students rank in the top 60% of the Berkeley overall freshman applicant pool.

The Defer-to-Spring option, including the UC Fall Extension Program, has enabled the campus to maintain a steady number of students throughout the year, to stabilize its spring intake of new freshmen, and to strengthen the academic quality of the spring freshman class. In addition, the Defer-to-Spring option has reduced political pressure -- especially from alumni -- caused by the intense competition for fall admission. (Each fall Berkeley turns away about 3,000 applicants with nominal 4.0 grade point averages.) A good-but-not-great student who really wants to come to Berkeley has a good chance to do so through the Defer-to-Spring

option, and the UC Fall Extension Program makes the deferral relatively easy to accept.

The Fall Extension Program is robust. The fall 1992 program enrolled 502 students, and demand for the Extension option has remained strong. In addition, course offerings have been expanded over the last few years, and a growing number of students have been accommodated in the University residence halls.

Most observers agree that the program is the academic equivalent of the educational experience that most new freshmen enrolling in the regular fall semester are likely to have. Classes are generally smaller, the curriculum is carefully structured, and the academic environment may be warmer and less intimidating than that of the larger campus. Student evaluations consistently reflect a high degree of satisfaction with the program, and, in general, students do well both academically and personally once they enroll as regular Berkeley students.

There are, however, some criticisms. First, students in the program have not been eligible for federal and state financial aid programs. The program has been able to provide some limited scholarship funding, but in general these monies have not amounted to significant financial aid awards. Second, until recently, students have not been eligible to live in campus residence halls during the fall semester. Although that has changed somewhat, Extension students are only accommodated in residence halls after demand from regularly-enrolled students has been met. Third, students in the program have had restricted access to student services and activities. At present, participants are eligible for some services and activities (e.g., library access), pay additional user fees for others (e.g., the student health service), and are excluded from still others (e.g., intercollegiate athletics, fraternities and sororities).

Extension participants also cite a fourth criticism: the lack of ethnic diversity in the program. Currently the program is almost entirely Asian American and white. That is largely because the fall freshman applicant pool contains relatively few African American, Chicano, Latino, and Native American applicants and

because most of those who do apply are admitted to the regular fall semester. From the fall 1992 applicant pool, for example, only six of the 1,531 students admitted to spring were from these ethnic groups, and none of them chose to enroll. The lack of financial aid eligibility may well have contributed to the non-enrollment of such students: the median annual family income of Chicano students enrolled in fall 1992 as freshmen at Berkeley is \$31,000 compared to \$77,000 for whites.

The Admissions and Enrollment Committee believes that there are strong academic and social reasons for increasing the diversity of the Fall Extension Program. Extension staff report that many instructors and students believe that their educational experience would be improved by exposure in the classroom to a broader range of experiences and viewpoints. Many of these students have chosen Berkeley specifically because of its reputation for diversity and are disappointed that their initial experience here does not provide that richness.

At the request of the Committee, the OUARS and Associate Vice Chancellor for Admissions and Enrollment Patrick Hayashi have developed a marketing and recruitment strategy for fall 1993 freshman applicants who will be offered the Defer-to-Spring option for spring 1994. This experimental approach will identify and target those students for whom the nature and relative cost of the Extension Program would be particularly attractive. The targeted group will include students from all ethnic groups, but a particularly strong effort will be made to enroll African American, Chicano, and Native American students in the Fall Extension Program.

Toward this goal, Richard Black, Director of Financial Aid at Berkeley, reports that his office has recently convinced the U.S. Department of Education that the Fall Extension Program meets the federal guidelines for eligibility for federal student aid funds, beginning with fall 1993. Building on that approval, Director Black hopes to convince the California Student Aid Commission to allow use of Cal Grants as well. If this effort is successful, students in the Fall Extension Program will have the federal and California student aid sources available to them. University Extension also is considering expanding its own grant program. Should this be done, students

in the program would have the same aid resources available to them as regularly-enrolled undergraduates at Berkeley.

The Committee will continue to monitor the program closely and will consider other program or policy changes as may be required to achieve the goal of making the Fall Extension Program reflect the rich diversity of the regular fall semester freshman class.

Section IX

JUNIOR TRANSFERS

The Karabel Report governed only the admission of freshmen to Berkeley. However, a third of those who enroll at Berkeley come in as transfer students, generally at the junior level. One of the major tasks of the Committee on Admissions and Enrollment over the last two years has been to devise a comparable set of principles to govern the transfer admissions process. The recommendations of the Committee for action by the Senate are being presented in a separate report authored by Professor Norton Grubb, chair of the Committee for 1991-92. Since the full report is available to the Senate, we need mention here only some of the highlights in the proposed changes. The Grubb Report will result in: a tightening of admission standards for junior transfers, an opening up of the possibilities for transfer by students at four-year colleges, and a reduction in the restrictions on transfer applicants' choice of prospective majors.

The Committee is convinced that the changes proposed in the Grubb Report will reduce the complications of the transfer process for potential applicants and will lead to an increase in the quality of transfers (most of whom are already quite good). The Committee hopes that there may be some improvement in diversity as well, but this is less certain. By and large, disadvantaged minorities are much less well represented in the transfer applicant pool than they are among freshman applicants. Community colleges in the state are not serving well this part of their constituency. The Committee hopes that by having a more open and less complicated transfer process, Berkeley may be able to improve its recruitment of under-represented minority transfers somewhat.

Nonetheless, given the financial uncertainties facing community colleges at the moment, only marginal improvements in diversity among junior transfers are likely. It appears that under-represented minorities are so heavily recruited at the

freshman level that those who remain in the community college system need exceptionally good services if they are to become good prospects for Berkeley. Apparently they are not now getting these services and are not likely to get them in the near future.

The fact that the ethnic and racial mix of transfer students is so different from that of freshmen makes the general public's fixation with the fall freshman admit and enrollment figures quite misleading. It would be much better to focus attention on the extent of diversity in the overall undergraduate student body at Berkeley and to urge the public to see fall freshman admissions as part of the whole.

A further matter affecting the community colleges is the Cooperative Admissions Program. One of the options extended to UC-eligible applicants who are denied admission to Berkeley is to attend an approved community college, with a guarantee of junior admission to Berkeley if the community college GPA is at least 2.4. This minimal GPA is now well below our other admissions standards and the community colleges have complained that it does not motivate those affected very well and seems unfair to the other students.

The Committee now has decided that when the option is offered to UC-eligible applicants this spring of 1993, the required minimum level of performance in an approved community college will be raised to a GPA of 3.0. In the spring of 1995 this minimum will be further raised to 3.3.

Section X

SPECIAL CHALLENGES TO EXCELLENCE THROUGH DIVERSITY

In general, Berkeley is doing a commendable job of promoting excellence through diversity in its undergraduate education. In terms of academic achievement, no public university in the United States admits a better qualified freshman class. Indeed, we believe that no other university in the country, public or private, rejects as many applicants each year as does Berkeley. Similarly, in terms of diversity, other than UCLA, no university of remotely comparable quality has as ethnically mixed a student body.

We believe that the present blending of past attainment and diversity accomplished through the matrix process is near to being the best we are likely to achieve. This is not to say that there is no room for improvement in our admissions policies. We ourselves have been engaged in an intensive reexamination of many of them and have made a number of changes where the evidence suggested they were warranted. We would expect our successors on this Committee to be no less committed to careful, empirically-grounded evaluation and change.

But the major factors governing the shape of the undergraduate student body at Berkeley are beyond our control. The broad parameters of our mandate to pursue excellence through diversity have been set by the State Legislature and the Board of Regents, governed by the current interpretation of the U.S. Constitution. The mix of upper and lower division students on the campus also is fixed by the State Master Plan for Higher Education as it has been reaffirmed by the Legislature and The Regents. The constraints on the resources for recruitment and support services are largely external as well. Even these constraints are the minor ones, however. Society itself sets still more stringent parameters on the possibilities of our action.

There is a serious crisis in the high school education of African Americans in California at present. The proportions of this group eligible for University of California admission is low, particularly among males. Although those fully eligible for University admission have improved to 5% among African Americans, this is well below the average of 12.5% eligible.¹³ The fading ideal of integrated schools, the inadequate resources for urban schools, the severe unemployment rates for African American young adults, and the effects of the drug trade have all conspired to create ever-diminishing motivation and opportunity for African American high schoolers. We at Berkeley can and should try to lean against these elemental forces, but in large measure they are beyond our direct control and explain the decline in African American numbers at Berkeley.

The eligibility proportions of Chicanos have improved somewhat as well. But at 3.9% these proportions remain low and are declining relative to other groups. The number of Chicanos in the state's high schools is increasing rapidly. Thus the numbers of this group who are qualified to attend Berkeley will probably increase. But as the proportion of Chicanos increases in the high schools, it may be difficult for Berkeley's admissions to keep up, and the proportion of Chicanos at Berkeley relative to their numbers in the secondary schools system could decline further. Because of its low income and Spanish-language background, this group needs strong support services in high schools, the financial resources for which are not keeping pace with their increasing numbers.

Finally, the numbers of Asian and white students at Berkeley are driven by the dynamics of demographics and the cultures of immigration. Whites are a declining proportion of high schoolers in California, and because they are relatively advantaged, they have many opportunities to go elsewhere -- and do. The numbers of Asians in the system are increasing, and this is reflected in their presence at Berkeley. But not all Asian groups are represented equally on the campus. The category of "Asian" itself is impossibly wide, representing over two-thirds of the

¹³ California Post Secondary Education Commission

world's peoples. Different Asian groups are over-represented or represented in equal portions to whites at Berkeley. The vagaries in this part of our ethnic mix are produced by a combination of merit, alternative opportunities, and desire for the Berkeley experience. This is as it should be as long as no serious disadvantage is involved. The ethnic mix of our campus will shift back and forth over time. The appropriate response for us as Berkeley faculty is to enjoy the intellectual stimulus that this change and diversity bring to us. Certainly it has brought to us the best student body we have had in the last two decades.

Berkeley admissions processes are not perfect; they are in need of constant attention and improvement. But they have achieved the goal of excellence mandated by the Karabel Principles. And they are close to being as good as we are likely to be able to get, given the society in which we live .