

Office of the President

TO THE REGENTS OF THE UNIVERSITY OF CALIFORNIA:

DISCUSSION ITEM

For Meeting of September 17, 2020

PROPOSITION 209: PRIMER ON UC HISTORY AND IMPACTS

EXECUTIVE SUMMARY

The University of California has been ground zero with respect to public engagement on discussions about the value of actions, initiatives, and programs intended to address enduring, even historical, inequalities by considering race, religion, ethnicity, color and sex in admissions, employment, and contracting. On July 20, 1995, a little more than 25 years ago, the Regents of the University of California adopted two resolutions, SP-1 and SP-2, to prohibit such considerations in admissions and in employment and contracting practices, respectively. On November 6, 1996, California Proposition 209 was passed, causing similar prohibitions to be incorporated into the California constitution; it prohibits preferential treatment on the basis of race, sex, color, ethnicity, or national origin. Even though the Regents rescinded SP-1 and SP-2 on May 16, 2001, the change in the California constitution remains. This is under reconsideration, however, with Proposition 16 on the November 2020 ballot, which would repeal Proposition 209. Federal law and other applicable State law, then, would define the contours of affirmative action.

A companion item drafted by UC Legal – Office of the General Counsel provides further information about these legal requirements. This primer is intended to educate and inform UC policymakers and provide information pertinent to the University’s past, present, and potential future programs supporting diversity, equity, and inclusion in: UC undergraduate admissions and outreach and undergraduate and graduate financial aid; faculty and staff leadership; and procurement and contracting.

UNDERGRADUATE ADMISSIONS

The 1868 legislation (“Organic Act”) that created the University of California informs the Regents and all within the University with respect to efforts to advance the diversity and inclusion of the University. Section 14 specifies that, “it shall be the duty of the Regents, according to population, to so apportion the representation of students, when necessary, that **all portions of the State shall enjoy equal privilege therein.**”

1. Relevant Post-209 Regents Policies

Regents Policy 2102, Policy on Undergraduate Admissions:

The University seeks to enroll, on each of its campuses, a student body that, beyond meeting the University's eligibility requirements, demonstrates high academic achievement or exceptional personal talent, and that encompasses the broad diversity of cultural, racial, geographic, and socioeconomic backgrounds characteristic of California.

Regents Policy 4400, Policy on University of California Diversity Statement:

Because the core mission of the University of California is to serve the interests of the State of California, it must seek to achieve diversity among its student bodies and among its employees. The State of California has a compelling interest in making sure that people from all backgrounds perceive that access to the University is possible for talented students, staff, and faculty from all groups. The knowledge that the University of California is open to qualified students from all groups, and thus serves all parts of the community equitably, helps sustain the social fabric of the State.

2. University Policies and Student Diversity

Since the passage of Proposition 209, the University has implemented a number of race-neutral policies to construct classes that represent the broad diversity of California within the parameters of the law. These include the implementation of the Eligibility in the Local Context (ELC) program; reducing the number of standardized tests required, as well as their weight in both systemwide eligibility and campus selection policies; broadening admissions criteria to include more personal and non-academic accomplishments; and the use of comprehensive review, which considers academic and other accomplishments in the context of opportunities and challenges and avoids the use of fixed weights that can lead to over-reliance on quantitative factors.

See Attachment 1 for descriptions of admissions categories. See Attachment 2 for a description of comprehensive review factors and practices.

3. Proposition 209 Impact on Undergraduate Admissions

After Proposition 209 was first implemented by the University in 1998, the proportion of underrepresented minority students in the incoming freshman and transfer classes dropped to historically low levels. On every UC campus, the percentage of new California-resident freshmen from underrepresented groups (African American, Chicano/Latino, and American Indian/Native American) decreased. Since then, Latino enrollment has grown substantially, reflecting the increase in Latinos among California high school graduates. The continuing effects of the elimination of racial consideration in admissions have varied by campus. At highly selective campuses like Berkeley and Los Angeles, growth in Latino enrollment has been slower relative to the system as a whole and the proportion of African American students at these campuses in particular has not recovered from pre-Proposition 209 levels.

These declines in underrepresented students were especially pronounced at the most competitive campuses. In 1998, the year in which the post-209 changes went into effect, the percentage of students from underrepresented groups (URG) in the UC Berkeley and UCLA entering classes dropped by half.

	UC Systemwide			UC Berkeley			UCLA		
	1995	1998	2019	1995	1998	2019	1995	1998	2019
African American	4.3%	3.0%	3.5%	6.7%	3.7%	3.6%	7.4%	3.5%	6.9%
American Indian	1.1%	0.7%	0.5%	1.8%	0.4%	0.4%	1.2%	0.4%	0.7%
Chicano/Latino	15.6%	11.9%	31.5%	16.9%	8.0%	21.4%	22.4%	11.0%	26.3%
<i>URG Total</i>	<i>21.0%</i>	<i>15.5%</i>	<i>36.5%</i>	<i>25.4%</i>	<i>12.0%</i>	<i>25.5%</i>	<i>31.0%</i>	<i>14.9%</i>	<i>34.0%</i>

Figure 1. Racial/Ethnic Make-Up of all CA Resident Admits: 1994-2019

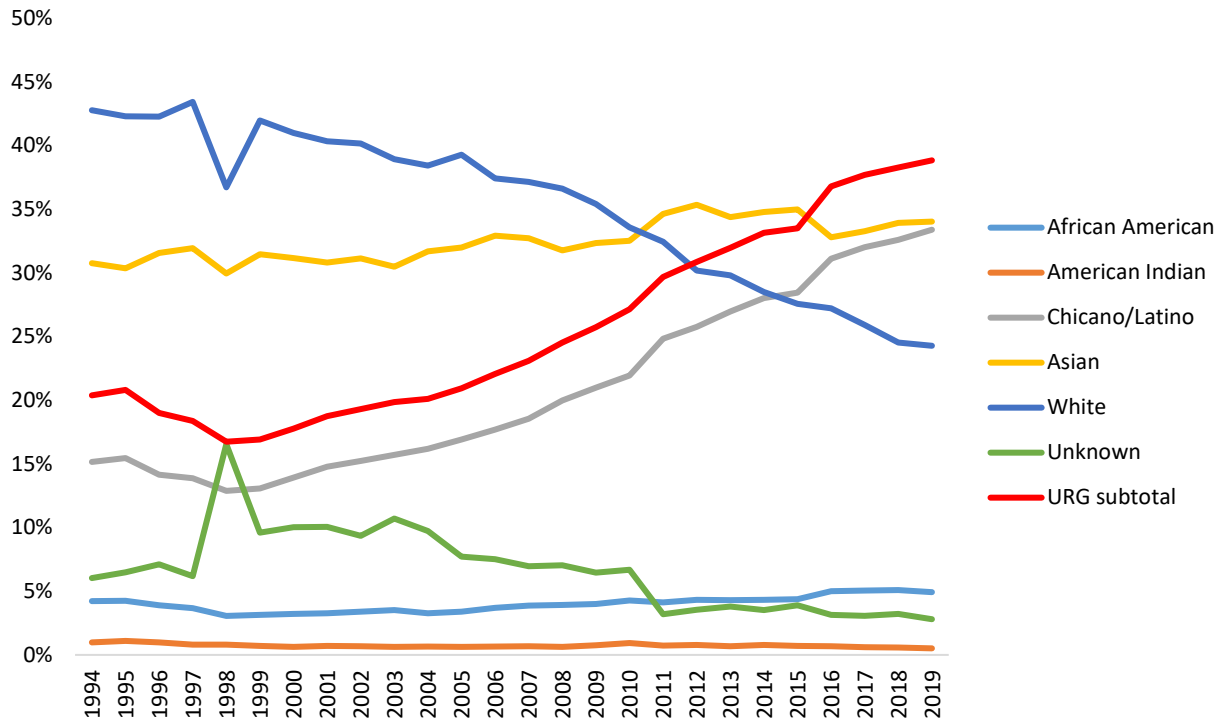
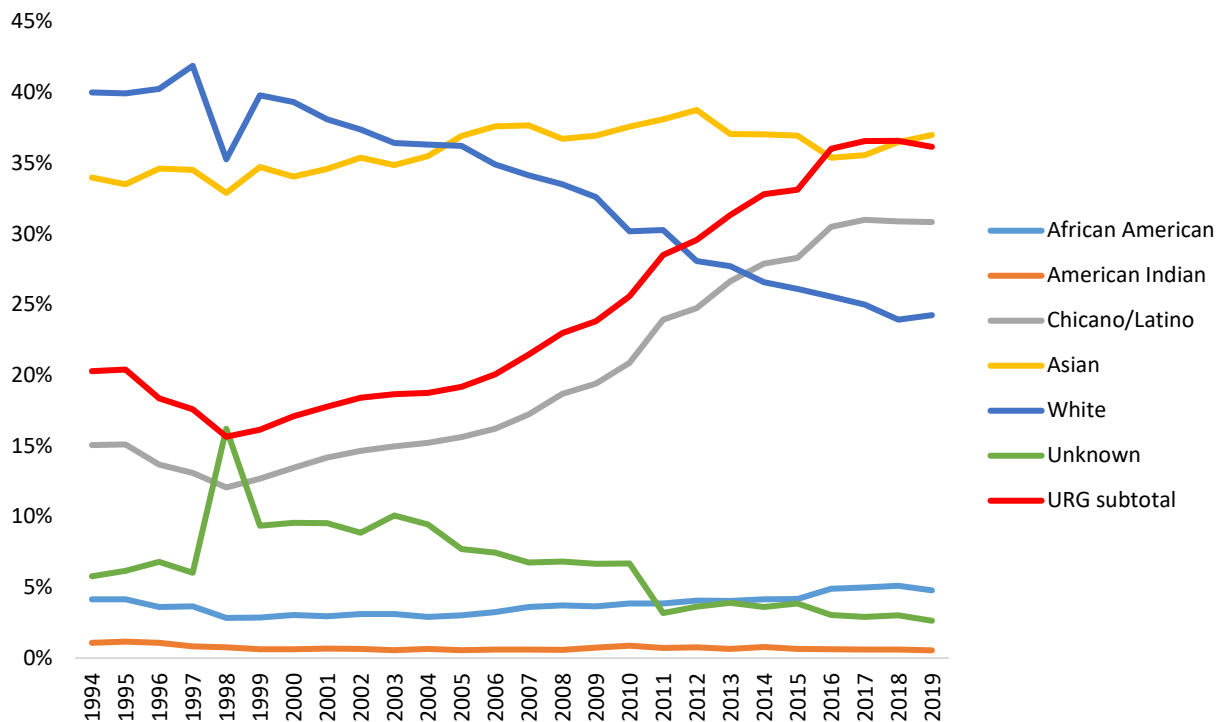


Figure 2. Racial/Ethnic Make-Up of all CA Resident Enrolls: 1994–2019



4. Undergraduate Admissions Strategies Compliant with Proposition 209

Although Proposition 209 eliminated some tools to help achieve student diversity, the University has worked to increase the diversity of incoming classes through other mechanisms.

For example, the University has been successful in recruiting students from low-income and first-generation backgrounds; nearly 40 percent of the students in the 2019 entering California freshman class were from low-income backgrounds, and 44 percent came from families where neither parent has a bachelor’s degree. Also, 36 percent of students in the fall 2019 class were from historically underrepresented groups, comprising the most diverse class in the University’s history.

UC continues to pursue lawful methods to admit students both academically competitive and representative of all of the people of the state. These steps include:

- greater outreach to students from underserved groups, schools, communities, and regions;
- modifications to UC admissions policies that take into account students’ exceptional achievements in light of the academic opportunities available to them; and
- K–12 pipeline activities that improve academic preparation and college readiness and address barriers to equal educational opportunity (see next section on pre-university/college outreach).

5. New Tactics and Strategies

If Proposition 16 passes, the University can consider adopting race-conscious measures in admissions, in addition to continuing and expanding its current race-neutral measures in support of diversity. It is important to note that such race-conscious measures would be subject to the requirements of other State and federal law requiring that the proposed measures serve a compelling governmental interest and are narrowly tailored to advance that interest. The companion item drafted by UC Legal – Office of the General Counsel provides further information about these legal requirements.

PRE-UNIVERSITY/COLLEGE OUTREACH

1. Impact of Proposition 209 on UC Outreach Programs

Prior to the passage of Proposition 209 in 1996, UC outreach programs sought to enroll underrepresented students with college-going potential into their programs and used race/ethnicity as a selection criteria. Programs recruited students from public schools and communities close to UC campuses, including private and parochial schools. Collectively, an estimated 50,000 participants were enrolled in UC’s student-centered outreach programs (Early Academic Outreach Program [EAOP], Mathematics, Engineering, Science Achievement program [MESA], Puente) of which roughly 90 percent were from underrepresented groups (primarily African American and Chicano/Latino).¹

Pre-Proposition 209, UC outreach programs primarily provided individual academic advising, college application assistance, and, when resources permitted, academic enrichment programs such as in-school STEM activities, summer programs, and Saturday colleges. According to the UC Outreach Task Force report, “In its earliest years, the University focused on geographic diversity by recruiting students from around the state to attend the Berkeley campus. In the 1960s and ‘70s, the focus on diversity shifted primarily to academic development among racial and ethnic minority groups with low rates of University eligibility.”²

Proposition 209 compliance guidelines³ provided by UC Legal – Office of the General Counsel allow UC, as part of its comprehensive approach to outreach, to make special efforts to reach particular groups if the same informational or other advantages are broadly available to all through other avenues. The guidelines state that such targeted outreach may be necessary to effectively reach certain underrepresented groups and to ensure truly equal access to the University’s application process.

¹ Prior to implementation of Proposition 209, EAOP, MESA and Puente reported program enrollment numbers annually to the Office of the President, but programs had no legislative reporting requirements, and data files were not maintained in digital format at that time.

² *New Directions For Outreach*, Report of the University of California Outreach Task Force, July 1997, pp. 2

³ *Guidelines for Addressing Race and Gender Equity in Academic Programs in Compliance with Proposition 209*, UC Office of General Counsel, July 2015. Available online at:

<https://diversity.universityofcalifornia.edu/files/documents/prop-209-guidelines-ogc-full.pdf>

Figures 3 and 4 show the change in the enrollment and composition UC's largest outreach programs (EAOP, MESA, Puente) from 1997–98 to 2018–19. The fluctuations in students served fell in line with budget trends, with a peak in the early 2000's, followed by a period of budget cuts that significantly reduced the number of students who could be reached. Attachment 1 contains a description of UC's current strategies.

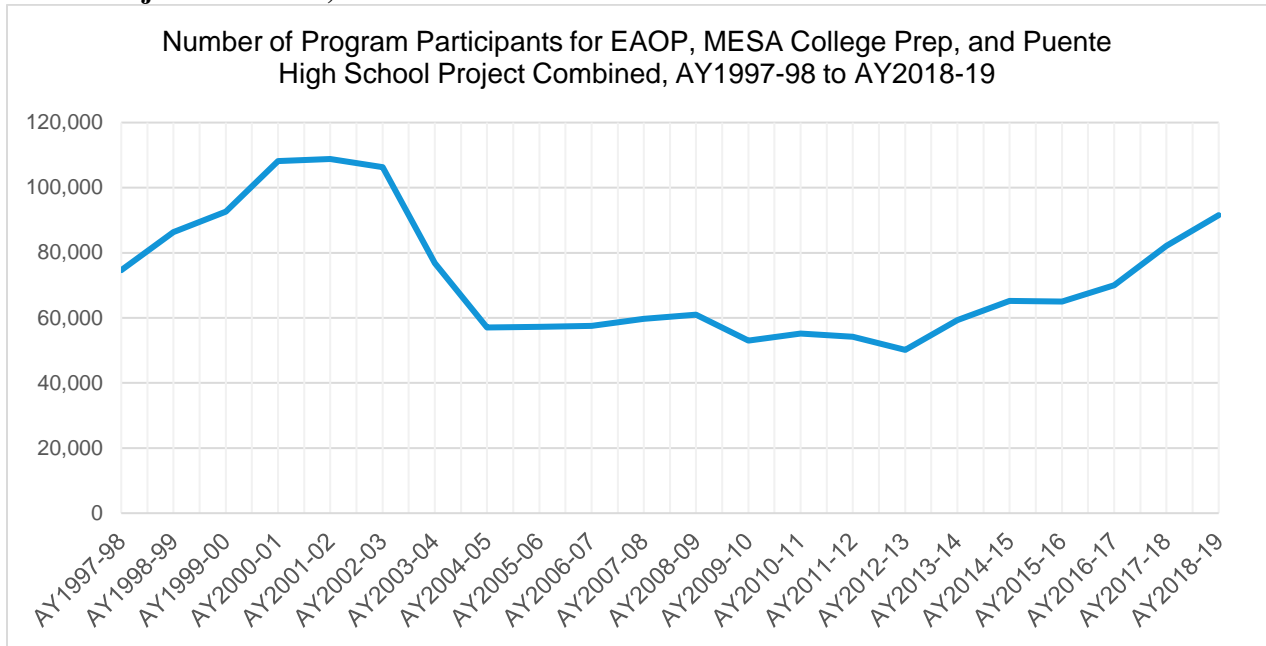
Figure 4 displays enrolled students by racial/ethnic group. With the passage of Proposition 209, UC outreach strategy shifted from targeting students based on race/ethnicity to a broader focus on educationally disadvantaged students and the schools they attend. This public school-based model focused heavily on K–12 districts that were under-resourced throughout the state. Students were targeted from low-income, first-generation, or traditionally underrepresented backgrounds. Regents' Policy for Outreach (Regents Policy 2106: Policy Affirming Engagement in the Preschool Through Postsecondary Education System, as Fundamental to the University of California Mission as a Land Grant Institution), approved in 2005, affirms that a fundamental part of the University's mission is to “engage in efforts to promote the academic achievement and success of all students.”⁴

Furthermore, beginning circa 2004, program resource constraints, combined with housing shifts that have placed significant numbers of African American students into better performing schools outside of urban centers, have significantly constrained the ability for programs to reach larger numbers of African American students. As a result, since the passage of Proposition 209, UC's outreach programs have experienced significant declines in the number of African American and American Indian/Native American students served in core EAOP, MESA and Puente programs; at the same time, driven by demographic changes, Chicano/Latino enrollment has increased.

It is estimated that, pre-Proposition 209, close to 90 percent of students enrolled in EAOP, MESA and Puente were from underrepresented groups. That percentage is now closer to 75 percent, with Chicano/Latino students making up more than 50 percent of program participants.

⁴ *Regents' Policy Affirming Engagement in the Preschool Through Postsecondary Education System, as Fundamental to the University of California Mission as a Land Grant Institution*, Committee on Educational Policy, approved January 20, 2005.

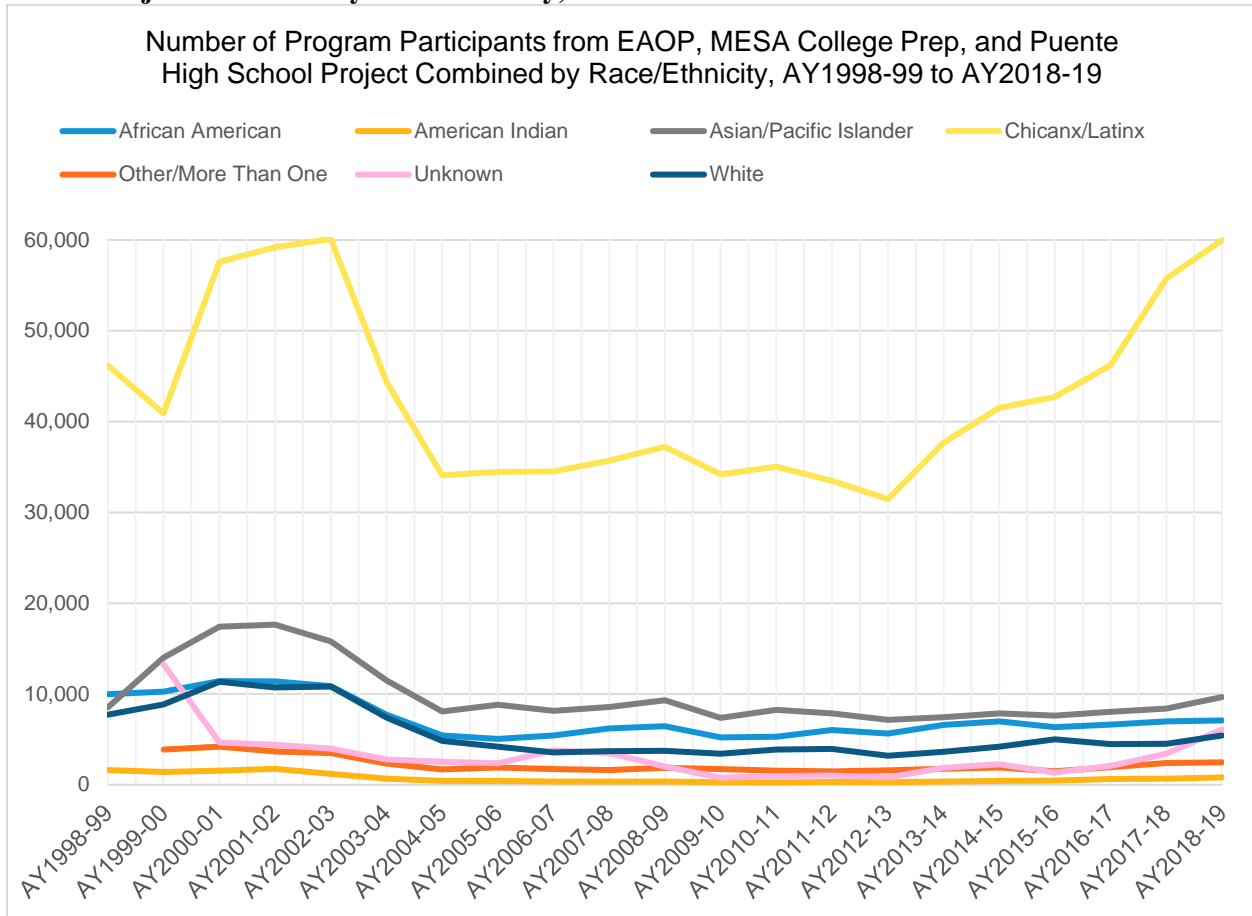
Figure 3. Number of Program Participants for EAOP, MESA College Prep, and Puente High School Project Combined, AY1997-98 to AY2018-19



Sources: SAPEP Annual Data Reporting; UCOP Expanding Educational Opportunity Report (2001)

Note: Values for AY1997-98 and AY1998-99 are approximations.

Figure 4. Number of Program Participants for EAOP, MESA College Prep, and Puente High School Project Combined by Race/Ethnicity, AY1998-99 to AY2018-19



Source: SAPEP Annual Data Reporting.

Note: No values available for AY1997–98. Values for AY1998–99 are approximations, with no data available for the categories *Other/More than One* and *Unknown*.

2. New Tactics and Strategies

Proposition 209 has been implemented for more than two decades. UC outreach programs currently span the education pipeline and prepare California students for postsecondary education and graduate/professional school, as well as success in the workplace. The majority of schools served by UC outreach programs enroll high percentages of students from underserved groups, including first-generation college-goers or those qualifying for free/reduced priced meals under the National School Lunch Program.

In alignment with its Proposition 209 guidelines, UC deploys a comprehensive approach to outreach and therefore can currently target underrepresented students for outreach services. While passage of Proposition 16 will allow the University greater flexibility in its approach to outreach, absent additional resources, UC is constrained in expanding its efforts, particularly its services to individual students.

With additional resources, future efforts can better respond to shifts in housing patterns in California that have had a significant impact on program demographics. For example, many African American families are no longer residing in large urban centers, but have moved further out for more affordable housing options in regions with better-resourced schools or greater options for charter schools. Additional resources would further enable UC to reach segments of underserved Chicano/Latino and American Indian/Native American students who are attending small and rural high schools, and UC could target and attract to its programs African American and Chicano/Latino students and families residing in newer suburbs and exurbs.

Regardless of the outcome of the ballot measure, UC will continue to invest in a broad range of strategies to address the core problem of structural inequities in schools that keep too many African American, Chicano/Latino, and American Indian/Native American students from accessing college.

FINANCIAL AID

1. Financial Aid Prior to Proposition 209

Prior to the passage of Proposition 209, UC reported having \$20 million in financial aid that used race, ethnicity, national origin, or gender as criteria, which was under two percent of all aid and about five percent of all gift aid. This included both gifts with donor-specified criteria as well as State funding.

The systemwide Student Affirmative Action Grant program for undergraduates was the largest single program (\$866,880 in 1996–97). It was funded with State money given to UC for that purpose in 1976. Campuses matched it with \$1 million to \$2 million and either made \$500 awards to underrepresented students or folded it into their Chancellor’s Scholarships. The program became a part of campus base budgets in 1997.

At the graduate level, the systemwide graduate diversity programs (Eugene Cota-Robles, Assistantships/Mentorship, Dissertation Year Fellowship) totaled about \$3 million. These programs still exist, but have been modified to comply with Proposition 209.

Finally, the University held hundreds of gifts and endowments that provide scholarships limited to students based on Proposition 209-sensitive characteristics. A 2001 inventory of such gifts showed the funds amounted to \$11 million, nearly all of which was raised prior to passage of Proposition 209.

2. Financial Aid Strategies After Proposition 209

The University of California issued guidelines⁵ to campuses to comport with Proposition 209 in financial aid. The following actions were taken as a result:

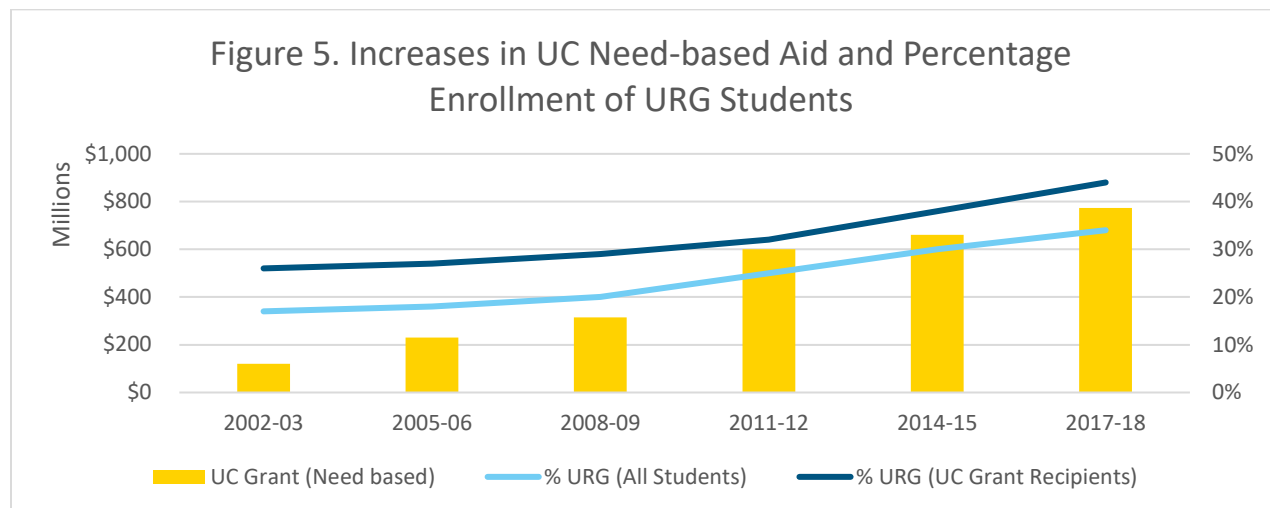
- The Student Affirmative Action Grant was eliminated.

⁵ *University of California Financial Aid Guidelines for Compliance with Proposition 209*, November 1, 2001. Available online at: https://www.ucop.edu/enrollment-services/policies/financial-aid-policies/prop209_guidelines.pdf

- Graduate programs cited above (Eugene Cota-Robles, Assistantships/Mentorship, Dissertation Year Fellowship) were continued, but the criteria were changed to a broader definition of “diversity” that did not include Proposition 209-prohibited characteristics.
- Gifts and endowments with Proposition 209-sensitive criteria were awarded “non-preferentially,” going to the targeted group of students but not providing more funding than they would have otherwise qualified for given their financial need or academic merit. This is explained further in the Student-to-Fund Matching section below.
- Some small-scale partnerships were established with outside funding agencies that were allowed to provide targeted aid.

Undergraduate aid: expanding need-based financial aid

After the passage of Proposition 209, the University invested significantly in need-based financial aid at the undergraduate level, rising from \$120 million in 2002–03 to 6.5 times that amount in 2017–18 (\$773 million). While this need-based grant did not specifically target aid to students from underrepresented groups (URG), they were more likely to receive that support than non-URG students. URG enrollment represented about 33.9 percent of California resident undergraduates in 2017–18 compared to 43.7 percent of UC need-based grant recipients. See Figure 5 below.



As Table 2 below shows, this observation holds for African American, American Indian/Native American, and Chicano/Latino students when underrepresented students are disaggregated over time. In all cases, students from these groups are more likely to be UC grant recipients. It may be worth noting that, for African American students, the difference between their proportions of the total population (4.6 percent) and the grant recipient population (5.6 percent) in 2017–18 is less than the difference in 2002–03 (3.1 and 4.7 percent, respectively). In other words, using need-based aid eligibility is slightly less effective as a proxy for targeting aid to African American students than it was at the beginning of this time period.

Table 2: Students from Underrepresented Groups as a Percent of Enrollment and UC Grant Recipients

	2002-03	2005-06	2008-09	2011-12	2014-15	2017-18
% URG (All Enrolled Students)	17.3%	18.1%	20.2%	25.2%	30.0%	33.9%
% African American	3.1%	3.1%	3.4%	3.9%	4.1%	4.6%
% American Indian/Native American	0.6%	0.6%	0.5%	0.7%	0.7%	0.6%
% Chicano/Latino	13.5%	14.4%	16.3%	20.6%	25.2%	28.7%
% URG (UC Grant Recipients)	26.2%	27.0%	29.1%	32.1%	38.4%	43.7%
% African American	4.7%	4.6%	4.7%	4.8%	5.0%	5.6%
% American Indian/Native American	0.6%	0.6%	0.6%	0.7%	0.7%	0.6%
% Chicano/Latino	20.8%	21.9%	23.8%	26.6%	32.7%	37.5%

There are limits to the effectiveness of using need-based financial aid to recruit underrepresented students and produce equitable outcomes. Anecdotally, campuses report losing admitted African American students to colleges and universities that provide better scholarship awards. Furthermore, as described in a July 2019 report⁶ to the UC Board of Regents, underrepresented students (African American students in particular) borrow more than their peers at every income level. This suggests that the national focus on income, as opposed to wealth or intergenerational wealth, as the way to evaluate families’ ability to pay for college does not serve underrepresented students well.

Graduate aid: defining diversity beyond prohibited characteristics

As mentioned above, three systemwide graduate programs that were focused on improving the diversity of the University’s graduate academic student body continued after Proposition 209. To remain compliant the programs redefined “diversity.” From a 2011 summary of the programs:

3. *In accordance with State law and Regental policy, preference may not be given to applicants on the basis of race, color, ethnicity, gender, or national origin. Campuses should encourage applications from minorities, women, and individuals from cultural, linguistic, geographic, and socioeconomic backgrounds who would otherwise not adequately be represented in the graduate student and faculty populations. Participants should demonstrate one or more of the following characteristics:*
 - A. *Experience of situations or conditions which were an impediment to advancing to graduate study, such as the absence of a family member who attended college; matriculation at a school or schools with poor financial or curricular support; having a physical or learning disability; or having worked long hours while attending school; or*
 - B. *Academic research interests focusing on cultural, societal, or educational problems as they affect educationally disadvantaged segments of society; or*
 - C. *Evidence of an intention to use the doctoral degree toward serving educationally*

⁶ *Student Loan Debt Patterns Among University of California Undergraduates*, to members of the Academic and Student Affairs Committee, Regents Meeting of July 17, 2019. Available online at: <https://regents.universityofcalifornia.edu/regmeet/july19/a2.pdf>

underrepresented segments of society. [emphasis added]

Gifts and Endowment: Student-to-Fund Matching

The University’s primary way of administering gifts restricted by Proposition 209-prohibited characteristics is called “student-to-fund matching.” Restricted gifts are pooled with less restrictive gifts. Students are selected for support from the pool of funds by non-prohibited criteria (e.g., academic merit, financial need) and the restricted gifts are matched to students. The arrows in Figure 6 below show how a gift with restricted criteria are matched to a student who meets that criteria, but was selected on the basis of the holistic review score.

Figure 6: Student-to-Fund Matching Example for Merit Scholarships

Selection criteria: Holistic admission review score (grades, test scores, participation in extracurricular activities, leadership, personal statement, etc.)	
Benefit: \$1,000 each	
Fund Source	Students Qualifying
<ul style="list-style-type: none"> • Gift for African American students • Gift for Women in Science • Gift for Native American students • Unrestricted gift • Non-gift funding 	<ul style="list-style-type: none"> • White student • Asian American student • African American student • Engineering student (woman identified) • International student

While the scholarship for African American students and the scholarship for women in science include prohibited characteristics, the students receiving the awards qualified for them on the basis of other criteria (holistic review score). They receive no greater financial benefit than their white or Asian American peers.

Outside Entities: Partnering to Provide Targeted Aid

Campuses are permitted to partner with outside entities that provide financial aid targeted by race, ethnicity, or gender by providing routine assistance of the nature that they would provide any other partners, but the scope of these partnerships has been limited.

3. New Tactics and Strategies

Should Proposition 16 pass, the University could not simply return to its pre-1997 financial aid policies and practices. The companion item drafted by UC Legal – Office of the General Counsel provides further information about the legal requirements in this context.

However, assuming strict scrutiny standards are satisfied, the University could create a diversity financial aid program using race, ethnicity, or gender as part of broader selection criteria, i.e., socioeconomic status and other criteria used in holistic admissions. Even if Proposition 16 does not pass, UC should consider a diversity financial aid program that uses non-prohibited criteria. The University might consider pooling unrestricted funds with restricted gifts (where the terms would allow it) into such a program. Student-to-fund matching as described above in Figure 6 would allow the University to ensure that terms of restricted funds are honored while also allowing it to deploy a larger program strategically to promote diversity. Finally, as discussed in the July 2019 report to the Regents, alternative means of assessing financial need that use a

broader sense of a family’s wealth (e.g., the College Board Profile), could create more equity.

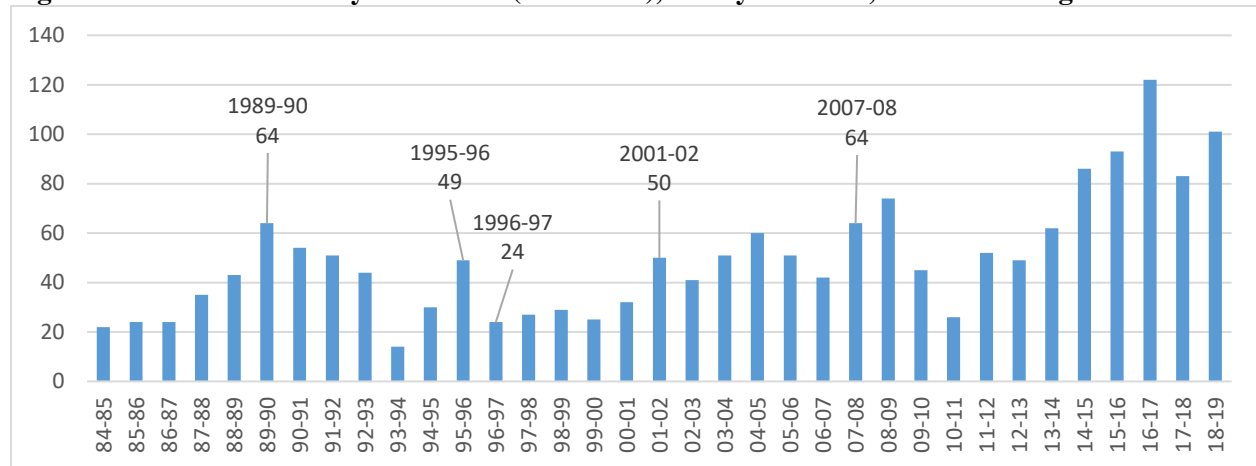
UC FACULTY HIRING

1. Effects of Proposition 209 on Underrepresented Minority Faculty

At UC, the passage of Proposition 209 had an immediate and long-lasting effect on hiring of Ladder Rank and Equivalent (LRE⁷) faculty from underrepresented minority groups (URG⁸: Chicano/Latino, African American/Black, and American Indian/Native American). In 1995–96, 49 URG faculty were hired out of a total of 391 LRE faculty hires. After Proposition 209, the number of URG hires dropped in 1996–97 to only 24 out of 376 LRE hires. URG hiring numbers did not recover until five years later in 2001–02, when there were 50 URG hires out of 492 total LRE faculty hires (101 more than 1995–96).

1989–90 had marked a high point in both overall hiring (576 new LRE faculty) and in URG hiring (64). In subsequent years, faculty hiring declined due to budget shortfalls, reaching a low of 292 in 1993–94. As budgets slowly improved, the number of LRE hires increased, finally exceeding the 1989–90 level in 2003–04 (591 new LRE faculty). However, the number of URG new hires did not match the 1989–90 peak until 64 URG faculty were hired in 2007–08—11 years after the passage of Proposition 209.

Figure 7. URG LRE Faculty New Hires (All Ranks), UC Systemwide, 1984-85 through 2018-19

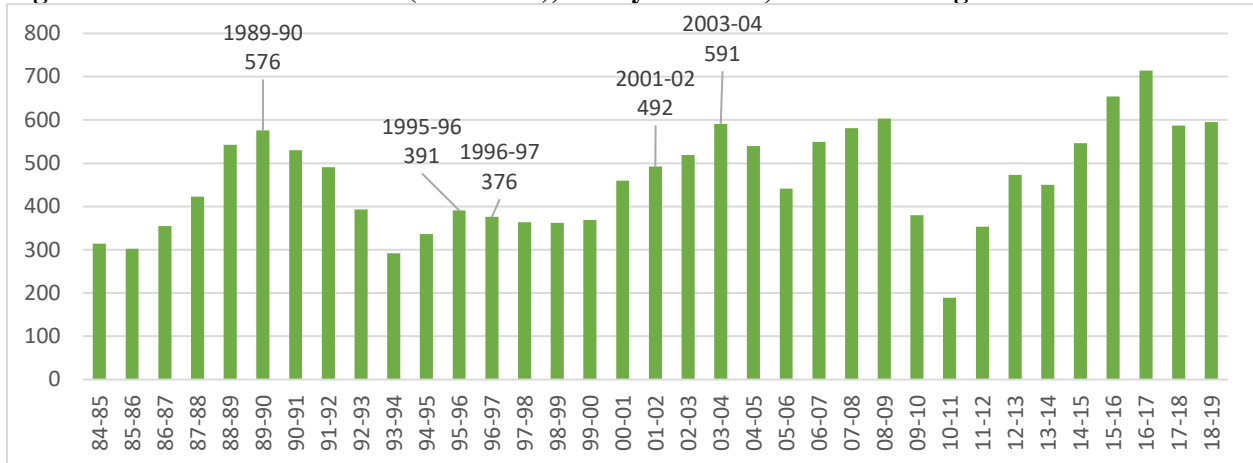


⁷ Ladder Rank and Equivalent (LRE) includes the following faculty series: Professorial, Acting, Clinical Professor of Dentistry, Supervisor of Physical Education, and Lecturer with Security of Employment/Potential Security of Employment; as well as the Agronomist and Astronomer series. Due to the focus on hiring, Recall faculty (retired faculty recalled to active duty) are excluded from the counts.

⁸ In this section on UC faculty hiring, Native Hawaiian has been aggregated with Asian and is grouped with “All Others” (not URG), and URG includes individuals who selected two or more races if one of the races was African American or American Indian/Native American.

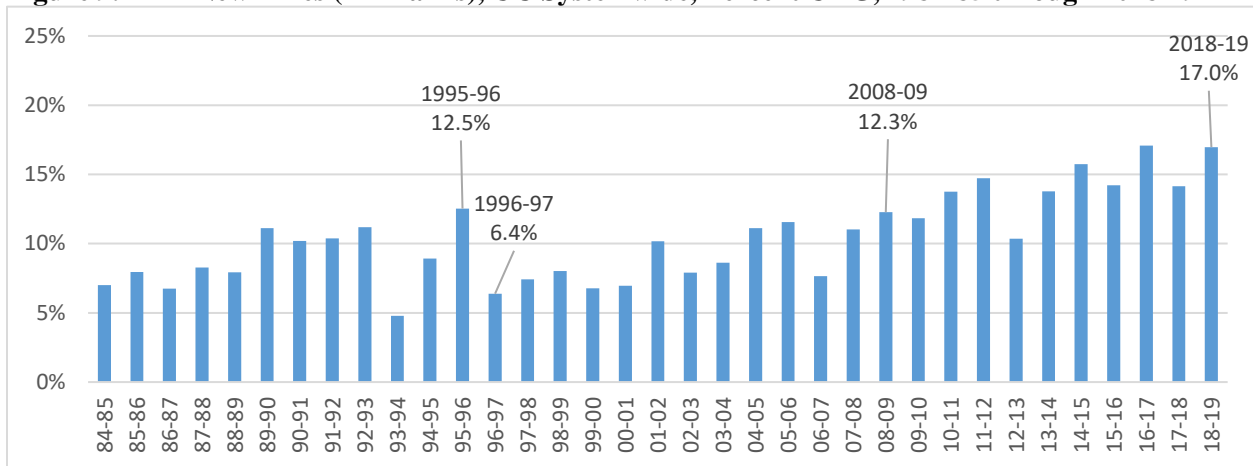
Data Sources for this section: Annual Academic Files of New Hires and Separations UC Corporate Data Warehouse, Fiscal Year files and October snapshots

Figure 8. Total LRE New Hires (All Ranks), UC Systemwide, 1984-85 through 2018-19



Because the total number of LRE faculty hired fluctuates, it is instructive to look at the percentage of URG new hires over time. The percentage dropped in 1996–97 and stayed relatively low for several years; it took until 2008–09—12 years from the passage of Proposition 209—for the URG percentage to approach the previous high point of 12.5 percent from 1995–96.

Figure 9. LRE New Hires (All Ranks), UC Systemwide, Percent URG, 1984-85 through 2018-19



The percentage of all LRE faculty (excluding Recalls) who were URG stood at 7.1 percent in 1994. After the passage of Proposition 209, it had dropped to 6.9 percent by 1999. Progress at diversifying the faculty has been slow since then, although it has accelerated in recent years.

Table 3. URG Faculty as a Percentage of all LRE faculty, UC Systemwide Excluding Recalls

	URG faculty headcount	Total headcount	% URG
1994	506	7,152	7.1%
1999	552	8,015	6.9%
2004	681	9,073	7.5%
2009	812	9,696	8.4%

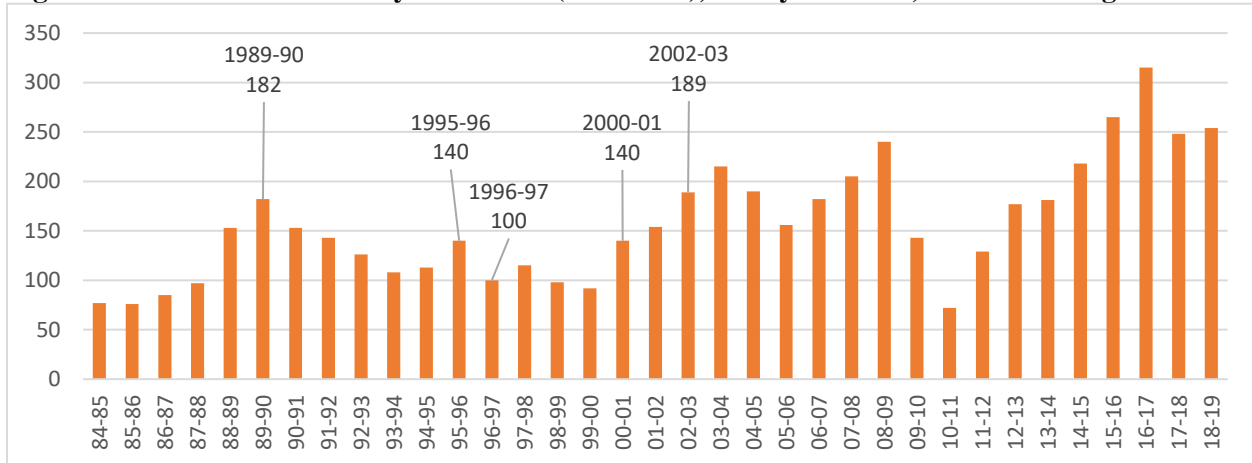
2014	936	9,643	9.7%
2019	1,265	10,677	11.8%

2. Effects of Proposition 209 on Women Faculty

Similar effects were seen in the hiring of women faculty. In 1995–96, 140 women were hired into the LRE faculty, out of a total of 391 new hires. This number dropped to 100 (out of 376 new hires) in 1996–97, and the number of women hired did not recover until four years later, in 2001–02 (140 women [the same as in 1995–96, out of 492 total LRE hires], 101 more than in 1995–96).

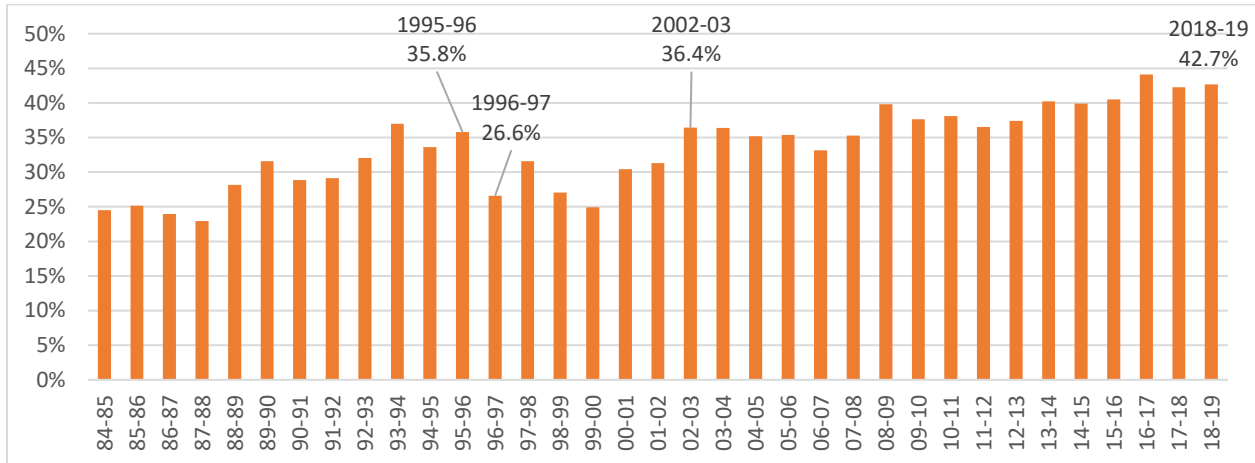
1989–90 marked a high point in hiring of women faculty (182). As mentioned above for all LRE faculty hiring this peak was surpassed in 2003-04 after hitting a low of 292 in 1993–94. However, the number of women new hires only exceeded the 1989 peak in 2002–03—six years after the passage of Proposition 209.

Figure 10. Women LRE Faculty New Hires (All Ranks), UC Systemwide, 1984-85 through 2018-19



Because the total number of LRE faculty hired fluctuates, it is instructive to look at the percentage of women new hires over time. The percentage dropped in 1996–97 (to 26.6%) and stayed relatively low for several years; it took until 2002–03—seven years from the passage of Proposition 209—for the percentage of women hired to exceed the 1995–96 high point of 35.8 percent.

Figure 11. LRE New Hires (All Ranks), UC Systemwide, Percent Women, 1984-85 through 2018-19



The percentage of all LRE faculty (excluding Recalls) who were women stood at 22.0 percent in 1994. After Proposition 209, by 1999 it had only increased by 1.5 percentage points, to 23.5 percent. Progress at diversifying the faculty has been slow since then—although it has accelerated in recent years.

Table 4. Women Faculty as a Percentage of all LRE faculty, UC Systemwide Excluding Recalls

	Women faculty headcount	Total headcount	% Women
1994	1,574	7,152	22.0%
1999	1,881	8,015	23.5%
2004	2,439	9,073	26.9%
2009	2,878	9,696	29.7%
2014	3,104	9,643	32.2%
2019	3,806	10,677	35.6%

3. New Tactics and Strategies

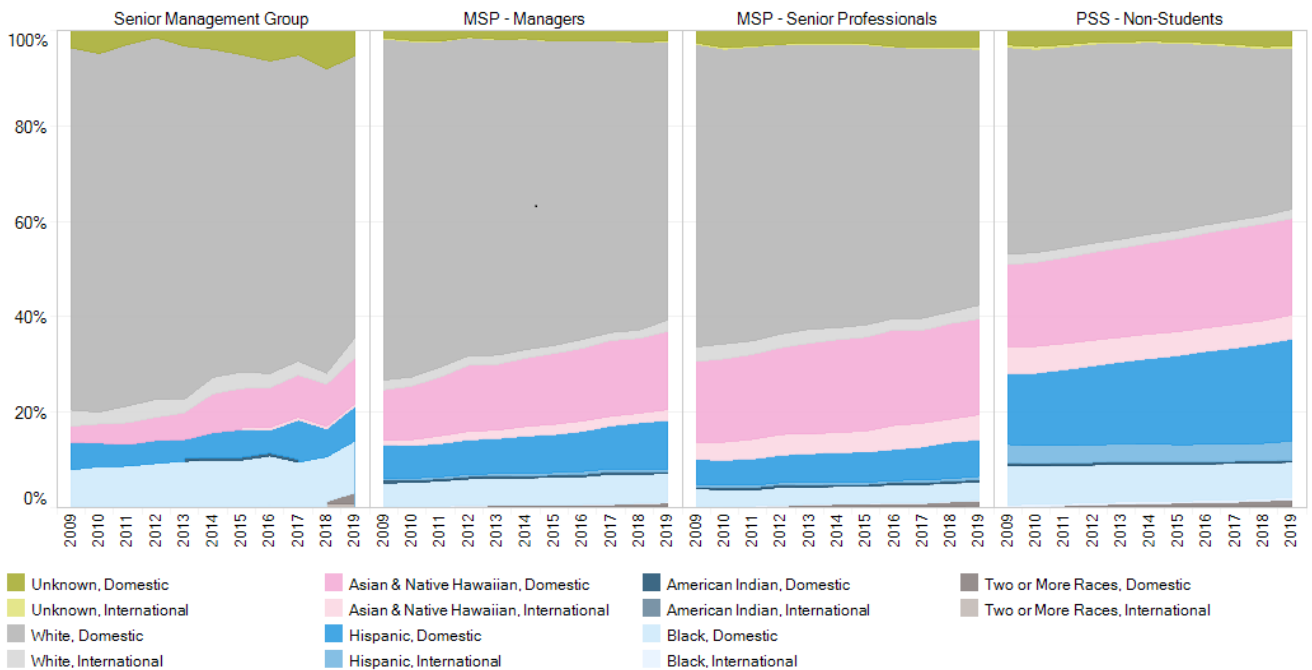
Systemwide efforts to increase the excellence and diversity of the faculty will continue through two successful programs: The President’s Postdoctoral Fellowship Program and Advancing Faculty Diversity. UC will continue the focus on contributions to diversity, equity, and inclusion as an important component in faculty responsibility and achievement. If Proposition 16 passes, the University would be able to consider adopting new approaches in these efforts to recruit and retain faculty and to provide inclusive academic environments. Any race-conscious measures would be subject to the requirements of other State and federal laws requiring that the proposed measures serve a compelling governmental interest and are narrowly tailored to advance that interest.

DIVERSITY AND INCLUSION IN STAFF LEADERSHIP

1. History of Diversity and Inclusion of Staff

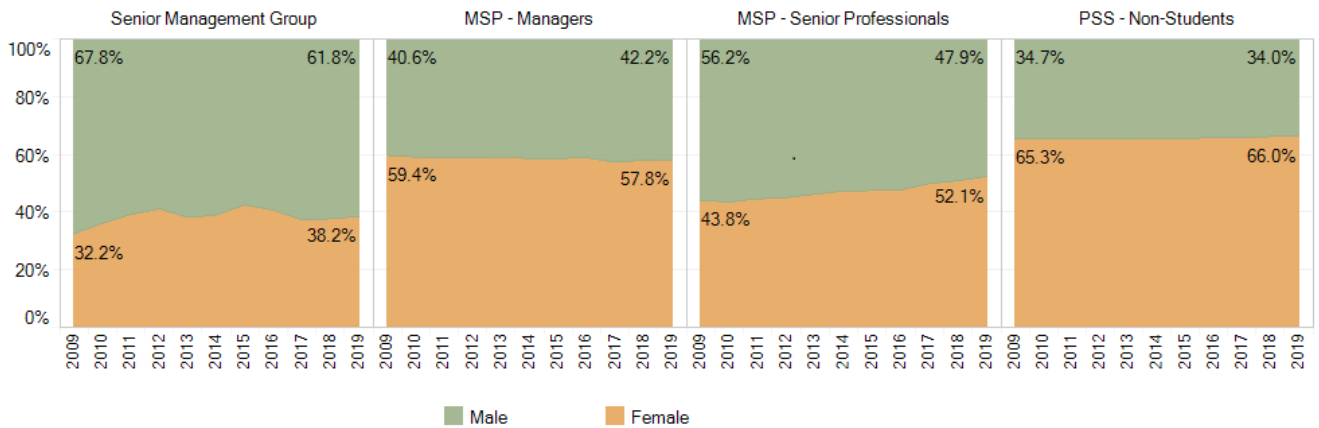
When looking at faculty, staff, and students, staff are the most racially and ethnically diverse group at the University of California. The staff are categorized into three groups, Professional and Support Staff (PSS), Manager and Senior Professionals (MSP) and Senior Management Group (SMG). The PSS group is the most diverse of the three. MSP and SMG groups are much less diverse, skewing towards white and male. While data reflecting the demographic makeup of staff prior to Proposition 209 is not available, the graphics below provide ten years of information showing the progression and, in some instances, lack of progression for some ethnic groups. African American and American Indian/Native American staff representation remained flat in most staff groups, with some increase in African American SMG representation in the last two years.

Figure 12. Racial/ethnic Diversity of Non-Student Staff by Personnel Program, Universitywide, October 2009 to 2019



Source: 2020 UC Accountability Report; UC Corporate Personnel System

Figure 13. Gender Diversity of Non-Student Staff by Personnel Program, Universitywide, October 2009 to 2019



Source: 2020 UC Accountability Report; UC Corporate Personnel System

Based on the results of the 2019 Council of UC Staff Assemblies (CUCSA)/Systemwide HR Employee Engagement Survey, American Indian/Native American and African American staff are less confident about their ability to achieve their personal career goals within the UC system and do not believe they are provided access to information and resources to manage their own careers, at 11 percentage points and 2 percentage points below total respondents respectively.

Figure 14. 2019 CUCSA/Systemwide HR Employee Engagement Survey

Career Development - Questions by Ethnicity

Differences based on Total Favorable
2019 UC Staff Engagement Survey

	Overall (9,020)	American Indian (43)	Asian (1,587)	Black (507)	Hispanic (1,278)	White (4,267)	Other (1,338)
Career Development	60	-11	1	-2	3*	0	-4*
16 I am confident I can achieve my personal career objectives within the UC system. *	63	-9	1	-3	3*	1	-6*
20 My campus/location provides people with the necessary information and resources to manage their own careers effectively. *	57	-13	0	-1	3	0	-2

2. New Tactics and Strategies

When looking at the possible effect passing Proposition 16 would have on diversity among the staff, it is important to note there are practices that can be put into place and initiatives that can be developed that are possible even without Proposition 16.

- Recruitment/Selection/Hiring. UC could institute requirements that include external outreach to diverse resources; required anti-bias training for all interview/selection

committees; broadly written job descriptions; and requiring staff equity advisors to review all recruitments of MSP and SMG positions.

- Promotion. All PSS recruitments must be available to internal applicants prior to the beginning an external search; development of people managers should include how to assess an internal candidate for overall ability to learn and integrate into a high functioning team instead of just specific skill sets; develop structured processes to create pipelines of internal candidates for management opportunities.
- Development. All people managers be required to co-create growth/development plans with all of their employees; provide coaching so the staff member understands their responsibility for the success of the plan; time, resources and opportunity must be provided for the plan to be executed; create mentorship/sponsorship programs for staff.
- Accountability. All people managers, particularly MSP and SMG members must be held accountable as part of their performance evaluations and consideration of merit adjustments for the composition of units specific to how diverse teams are as well as how successful teams are overall.

The requirement of these practices to be in place throughout the system as well as focused intention in the execution could yield more consistent staffing practices and more diversity at all levels of staff at all campuses and locations. However, while there are broad-based systemwide policies that mandate some things, implementing procedures of those policies are left to each campus. Some inconsistencies exist that may hinder the effectiveness of those policies.

Under Proposition 16, and as allowed under federal law, the consideration of race, ethnicity, and gender may be added as one of among many factors when making hiring and promotion decisions. It would be necessary to provide a clear, consistent, and transparent process that is the same across the University to avoid perceived or real inequities. The repeal of Proposition 209 could provide an opportunity to set more specific systemwide best practices, standards, and mandates for creating a more diverse staff.

SUPPLIER DIVERSITY AT UC

When Proposition 209 passed in 1996, it had a substantive impact on UC's expenditures with diverse business. The situation has worsened in the ensuing years. For fiscal year 1995, the year before Proposition 209, UC spend across purchasing, design and construction totaled 10.2 percent with Disadvantaged Business Enterprises (DBEs)⁹ and 5.7 percent with Women Business Enterprises (WBEs). In the period from fiscal year 1997–2000 these numbers reflected an average annual drop to 6.5 percent and 5.5 percent respectively. Since that time, diverse-owned business spend has consistently lessened UC-wide, with current DBE spend at 2.79 percent and WBE spend at 1.85 percent (at close of fiscal year 2019).

⁹ Businesses owned and controlled by racial minorities which meet the small business thresholds in the regulations promulgated by the Small Business Administration are categorized by UC as "Disadvantaged Business Enterprises" or DBEs. Accordingly, source material treated firms within UC's DBE category as the equivalent to minority-owned businesses.

1. Background

UC manages approximately \$12 billion in total annual spend (expenditures) for goods and services through campuses, medical centers, design and construction and the Lawrence Berkeley National Laboratory. Approximately \$9 billion of that spend is managed through the systemwide UC Procurement Services organization, with operations in Oakland as well as on each of the ten campuses. UC Health procurement and design and construction procurement are managed separately.

2. Key Impacts of Proposition 209 on Supplier Diversity

Within two years of the adoption of Proposition 209 in 1996 (codified as California Constitution, Article I, Section 31) government agencies were compelled to dismantle race and gender conscious affirmative action programs and policies not required by federal law or federal funding requirements. The implications for UC’s diverse suppliers were acute.

For fiscal year 1995, the year before Proposition 209 UC spend across purchasing, design and construction totaled 10.2 percent with Disadvantaged Business Enterprises (DBE) and 5.7 percent with Women Business Enterprises (WBE).

Table 5.

	Total \$¹	DBE²	WBE²
FY95	\$ 1,715,956,706	\$ 175,167,916	\$ 99,040,651
		10.21%	5.77%
FY97-0	\$ 1,954,417,614	\$ 127,234,908	\$ 108,354,439
		6.51%	5.54%
% Change in Contract Awards			
		-36%	-7%

¹ Table shows the aggregate contract dollars awarded in the last year that UC was allowed to use affirmative action compared with the years following its ban.

²Total contracts awarded to DBEs fell by 36%. Contracts awarded to WBEs fell by 7%. DBEs experienced contract losses across all categories, but the declines were most severe in the construction-related industries. Contract awards to DBEs went down by 87% in the design category and 42% in construction. WBEs also experienced a large decrease in design contracts (-62%), but relatively little change in purchasing and a surprising increase of 26% in construction contract awards.

Source: “Losing Ground: The Impact of Proposition 209 on Minority and Women-owned Businesses in California,” Chinese for Affirmative Action, October, 2003

Since Proposition 209 passed, UC:

- Has not been able to take full advantage of access to key resources in its communities, such as the various partner organizations focused on diverse-owned business communities that could support us with resources;

- Cannot specifically make award decisions or offer any targeted supplier programming based on diverse-owned business status;
- UC communities and its suppliers are unsure of the guidelines; some erroneously believe that any effort to welcome and provide outreach to diverse-owned businesses is not allowed.

As noted in the chart above, from fiscal year 1997–2000, the three years right after the implementation of Proposition 209, contracts awarded to DBEs dropped by 36 percent and seven percent for WBEs; spend also dropped to 6.51 percent with DBEs and 5.54 percent with WBEs respectively.

The entire UC system (all campuses, UC Health sites and Lawrence Berkeley National Laboratory) reports annually to the State on Small Business (SB), Women-owned Business Enterprise (WBE), Disadvantaged Business Enterprise (DBE), and Disabled Veteran Business Enterprise (DVBE) spend across all of UC's purchasing, construction, and design procurements.

- For fiscal year 2019 reported spend for the entire UC system was SB 9.81 percent, DBE 2.79 percent, WBE 1.85 percent, and DVBE 0.16 percent.¹⁰

Reporting since Proposition 209 has been largely race- or gender-neutral:

- Businesses often aren't required to report race, ethnicity, or gender but can sometimes optionally provide this information. Therefore, collection of this data is incomplete.
- Based on limited available data, it's estimated that UC campus spend with Minority Owned Businesses hovers around 4.26 percent.

Efforts to ensure diversity in UC's supplier community have been severely limited due to Proposition 209.

3. Past and Present Tactics and Strategies

Prior to Proposition 209

Prior to 1996, UC's procurement staff had the discretion to set participation goals for minority- and women-owned firms and to require prime contractors to make good faith efforts to utilize them.

Prior to the passage of Proposition 209, a 1992 California statute California Public Contract Code Section 10115(c) mandated that general contractors demonstrate a good faith effort to subcontract at least five percent of their work on public contracts to WBEs, 15 percent to MBEs, and three percent to disabled veteran-owned businesses. Moreover, bids submitted by MBEs and WBEs were granted a ten percent bid discount when measured against bids from companies owned by white men. Prime contractors who bid on certain types of contracts were required to

¹⁰ Fiscal year 2020 data is not yet available.

demonstrate that they had hired a certain percentage of MBE and WBE subcontractors to work on the project or show that they made good faith efforts to meet that quota.

Between 1969 and 1989, race-conscious remedies to discrimination in public contracting expanded throughout State, city, and local governments. While programs varied among localities, many included outreach, training, and mentorship programs as tools to strengthen the competitiveness of Minority Business Enterprises (MBEs). Several of these programs also included race-conscious participation goals, such as procurement set-aside programs, diversity goals, and incentives, to increase MBE utilization and establish a climate in which business owners of color could competitively bid and receive public contracts. Those decades saw impressive growth in the number of firms owned by people of color.

Since Proposition 209

In light of the constraints imposed by Proposition 209, UC Procurement has made its own efforts to increase spend with small and diverse businesses.

Instituted the UC Small and Diverse Business Advisory Council

The UC Small and Diverse Business Advisory Council was formed in 2017 to provide a forum for businesses, business affiliate organizations and business trade associations to comment and provide feedback on UC policies and practices that affect or impact small and diverse business utilization and participation in UC contracts and projects. The Council is chaired by UC Chief Procurement Officer, Bill Cooper. The formation of this group was first announced by President Napolitano in July of 2016 during a meeting held at the Los Angeles Latino Chamber of Commerce. The Council meets in-person on a quarterly basis and reports regularly to the President's office, the UC Procurement Leadership Council and through other key University channels.

Established UC's Economically and Socially Responsible Spend Goal

UC President Napolitano established a goal at the start of fiscal year 2018–19 to reach 25 percent Economically and Socially Responsible (EaSR) spend with small and diverse suppliers by the close of fiscal year 2022–23. Twenty-five percent was chosen to bring UC in line with State goals. This goal was intended to reinforce UC's commitment to small and diverse businesses on behalf of the community and in keeping with UC's mission of public service.

Reframed Sustainable Procurement at UC to Incorporate Socio-Economic Impacts

In 2017, UC relaunched its Sustainable Procurement Program which included a reframing of sustainability to cover all key impact areas—economic, social, and environmental. This brings socio-economic impacts to the forefront, for consideration and alignment with UC's other major goals such as Zero Waste, Carbon Neutrality, and more.

Currently Implementing UC Small Business Set-Aside Program

UC Procurement is currently implementing a policy to require campuses to set-aside non-strategically sourced purchasing opportunities valued annually from \$10,000 to \$250,000 for

award to Small Businesses wherever practicable. This is in alignment with California Public Contract Code Section 10508.5, which allows the University to award purchase agreements valued up to \$250,000 to a certified small business without being competitively bid, so long as the UC obtains price quotations from two or more certified small businesses. This program is modeled from the State of California Department of General Services SB/DVBE First Policy, and it is expected that, not only will this program increase UC's utilization of local small businesses, but this may also offer time as well as resource savings to UC's procurement departments by streamlining the buying process for purchases valued above \$100,000.

4. New Tactics and Strategies

While the passage of Proposition 16 would provide important relief and associated opportunities, to meet UC's objectives with its small and diverse supplier community, UC Procurement will continue its efforts to make it easier for small and diverse businesses to work with UC regardless of the outcome. Following are high-level actions UC could undertake if Proposition 16 passes along with actions UC could take, assuming appropriate resource availability, regardless of passage.

Should Proposition 16 pass UC could explore opportunities to actively implement race and gender-specific supplier selection actions pending a disparity study that establishes a "compelling interest" to support the creation of contracting programs that specifically target Minority and Women-owned Business Enterprises (MWBEs) consistent with federal guidelines; examples may include:

- Expand the new UC Small Business Set-Aside Program to include MBE, WBE, and other diverse-owned businesses. The presence of MWBEs in California is no small data point. MWBEs produce billions in annual revenue and actively employ, either directly or indirectly, millions of people in California. Additionally, MWBEs contribute billions in local, State, and federal tax revenues. This translates to the contribution of tax revenue to the U.S. and California. With their principal place of business in California, these MWBEs not only pay taxes in California, including business, property, and sales taxes, but children of business owners attend schools in the K-12 system in California, with many attending UC. Business owners vote in California and have the potential to create more jobs and revitalize distressed communities, especially during the COVID-19 pandemic.
- Expand contracting "rating bonus points" to give additional weight to MBE and WBE certified firms.
- Conduct more robust outreach with increased resources.

DIVERSITY IN UC CAPITAL CONTRACTING

1. Impact of Proposition 209 on Capital Contracting and Current Practice

Prior to the passage of Proposition 209 the University established goals that providing greater opportunities and incentives for the inclusion of underserved populations in the capital contracting process. The effort while limited, allowed the University to require that bidders show a good faith effort towards meeting the goal of 15 percent inclusion by demonstrating that subcontractor bids were solicited from minority and women owned businesses. However, there was no requirement that the bidder had to achieve the goal nor to contract with the subcontractor who was not the lowest bidder. The passage of Proposition 209 precluded the University's use of goals to focus and incentivize the inclusion of minority and women owned businesses. Currently the University has relies on a broader effort. While achieving some success, the University's goal is to expand its efforts and to reach and attract an even greater portion of the underserved community.

State law required annual reporting of disadvantaged businesses. The University reports by campus based on Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE), Women Business Enterprise (WBE), and Disabled Veteran Business Enterprise (DVBE) participation. This data shows mixed results across campuses and business enterprise typology.

- Currently, all campuses participate in some form of SBE and DVBE outreach to encourage participation of small, disabled, veteran, woman, and LGBTQ+ owned businesses. This includes promotion at trade fairs and participation in other business opportunities. Many campuses also maintain a database of contractors, sub-contractors, and post-contract opportunities on multiple campus websites, builder exchanges, and plan rooms.
- State law and policy required require the University to award contracts to the lowest responsible bidder, determined by considering all the below criteria which includes some consideration to SBE and DVBE entities (see item (c) below).
 - a. Bidder responsibility (see UC Facilities Manual, Volume 5, Chapter 4, Section 1).
 - b. The sum of the "Lump-Sum Base Bid," "Unit Prices," "Compensation for Delay," and "Accepted Alternates" taken from entries made on the Bid Form and compiled in the Bid Summary (see UC Facilities Manual, Volume 5, Chapter 7, Section 3.1).
 - c. Albeit rare, UC policy as guided by State law allows that, if one or more bids is equal to the lowest bid, and at least one of those bidders is a SBE or a DVBE, the contract shall be awarded to the SBE or DVBE entity. If there is more than one SBE or DVBE entity, then the contract shall be awarded by virtue of a lottery amongst those entities. If none of the bids tied for lowest bid is an SBE or DVBE entity, then the contract shall be awarded by lottery to one of the lowest bidder

2. Challenges

The current limitations under Proposition 209 has, similar to other public agencies, shifted the University's focus to SBE and DVBE entities. Still, a number of challenges have been identified that limit the ability of full participation of SBE or DVBE entities to successfully participate in UC's construction activities. Many of these challenges relate to financial capacity and experience with the large and complex projects that are typical of the University. Some examples are:

- Campuses are typically subject to an extremely active construction market. This effect is amplified at campuses located away from major metropolitan construction markets (e.g., Merced, Santa Barbara, Santa Cruz), limiting availability of qualified contractors and further limiting the availability of qualified SBE businesses.
- Insurance & bonding capacity, prevailing wage requirements, and indemnity contract terms and conditions pose further barriers to SBE participation. These conditions are set by existing law and policy. Reductions in limits occur only occasionally and are evaluated by Risk Management and UC Legal – Office of the General Counsel on a case-by-case basis.
- Experience with complex projects.
- Ability to maneuver or experience in maneuvering through UC’s pre-qualification process.
- Declining apprenticeship programs that reduce exposure to the construction trades.
- Certain construction delivery methods require all subcontractors bid exclusively to one prime contractor team, further limiting opportunities for SBE subcontractors.

3. New Tactics and Strategies

How to increase diversity in capital contracting under current conditions

Many of the challenges listed above could be mitigated through an improved and expanded outreach program. The current utilization of SBE and DVBE enterprises could be improved through education, a coordinated systemwide effort, and identifying methods to increase efficiency in the implementation and reporting process at the campus level. UC has learned through past challenges that, through education and thoughtful guidance, it can build a successful program.

- Increasing systemwide training on the inclusion of SBE and DVBE enterprises in the design and construction of University facilities.
- Increased outreach including meetings, postings and broader distribution of solicitations for diverse businesses.
- The Office of the President, in conjunction with the State, or other public agencies could collaborate to develop a central source of information including an email roster of SBEs, MBEs, DVBEs, WBEs (SBEs), sorted by license code.
- Promoting campus solutions for generating and maintaining small business participation in both “developed” and “limited” construction markets within the UC system. This could be achieved by providing clearer access to the tools and resources to access UC contracting opportunities, including links to campuses upcoming projects and plan rooms.
- Expanding outreach through systemwide efforts in addition to those at the campus level. This could include networking opportunities and trainings including:
 - a. Overview of UC’s contract delivery methods
 - b. How-to Workshops to respond to Requests for Qualifications, Requests for Proposal, and bid preparation
 - c. Review of UC contract requirements including insurance and bonding, potential market resources, and prevailing wage

- Systemwide creation, distribution, training, and administration of a simple, streamlined tracking and reporting method for campus SBE goals and contracts for improved annual reporting to the Regents and State.

How to increase diversity in capital contracting if Proposition 16 passes

Passage of Proposition 16 will give the University the ability to be far more focused in its outreach and the ability to establish specific goals for inclusion of minority businesses. For now, UC has to work within the law to improve its stewardship of equity in access to UC's capital contracting opportunities.

Key to Acronyms

DBE	Disadvantaged Business Enterprise
DVBE	Disabled Veteran Business Enterprise
EAOP	Early Academic Outreach Program
EaSR	Economically and Socially Responsible
ELC	Eligibility in the Local Context
LGTBQ+	Lesbian, Gay, Bisexual, Transgender, and Queer or Questioning
LRE	Ladder Rank and Equivalent
MBE	Minority Business Enterprise
MESA	Mathematics, Engineering, Science Achievement program
MSP	Manager and Senior Professionals
MWBE	Minority and Women-owned Business Enterprise
PSS	Professional and Support Staff
SB	Small Business
SBE	Small Business Enterprise
SMG	Senior Management Group
URG	Underrepresented group (includes African American, Chicano/Latino, or American Indian/Native American)
URM	Underrepresented minority
WBE	Women-owned Business Enterprise

Attachments:

1. Undergraduate Admissions Categories
2. Comprehensive Review
3. UC Outreach Strategies

Attachment 1: Undergraduate Admissions Categories

Students admitted to UC generally fall into one of three admissions categories:

1. Eligibility in the Local Context (ELC)

The Eligibility in the Local Context program offers guaranteed admission to California students ranked in the top nine percent of their high school class based on grades earned in A-G courses (irrespective of test scores). Also called the “local” path, this program allows UC to offer admission to students from high schools throughout the state and to recognize outstanding performance in the context of the opportunities available at each high school. The admission guarantee was originally offered to students in the top four percent of their high school class, but was expanded to the top nine percent starting in fall 2012. Unlike the statewide eligibility path (described below), ELC draws high-achieving students from every participating high school, thus supporting geographic diversity, and opportunity for students throughout the state.

2. Statewide Path

Students in the top nine percent of all high school graduates in California, based on an index of grades in A-G courses and performance on UC’s required standardized tests, may also earn guaranteed admission. Required GPA and test scores are delineated in a statewide formula in which higher GPAs compensate for lower test scores and vice versa.

Approximately 57 percent of freshman applicants meet the criteria for either ELC or the statewide path for guaranteed admission to the UC system. They are not guaranteed admission to any particular campus to which they apply, however. Guaranteed applicants who are not admitted to a campus to which they applied are offered the opportunity to attend the campus that currently has capacity, UC Merced.

3. Entitled to Review

Applicants who do not meet the ELC or statewide path criteria but have the minimum requirements of a 3.0 GPA and completion of the 15 A-G courses receive a comprehensive review of their application but are not guaranteed admission.

Attachment 2: Comprehensive Review

UC campuses receive applications from more qualified applicants than they can admit, so campuses select students using multiple measures of achievement and promise while considering the context in which each applicant demonstrated academic accomplishment. This policy of requiring a comprehensive review of all applicants was approved by the Regents in 2001.¹¹ To guide campuses, the Academic Senate developed 14 factors to consider in the review of freshman applicants and nine factors for transfer applicants. (See Table 1.)

Comprehensive review incorporates traditional quantitative measures of academic achievement as well as indicators that reflect a deeper and more nuanced evaluation of the applicants' readiness for a UC education. Rather than rely exclusively on high school course completion, grade point average, and standardized test scores, comprehensive review provides campuses with the latitude to conduct a more thorough review of every application, employing broader indicators of an applicant's readiness for higher education.

Table 1: Freshman and Transfer Comprehensive Review Factors

Freshman Comprehensive Review Factors

- Grade Point Average in A-G courses
- Scores on the ACT with Writing or the SAT with Essay
- Number of A-G courses beyond the minimum
- Number of and performance in honors, Advanced Placement, and International Baccalaureate courses
- Eligibility in the Local Context (ELC) status
- Quality of senior year program
- Performance in context of available opportunities
- Performance in one or more subject areas
- Outstanding work on a special project
- Recent improvement in academic performance
- Special talents, achievements, and awards
- Completion of special projects undertaken in context of high school curriculum or special school events
- Academic accomplishments in context of life experiences and special circumstances
- Location of secondary school or residence

Transfer Comprehensive Review Factors

- Grade Point Average in all transferable courses
- Completion of courses to meet major preparation
- Completion of courses to meet breadth requirements
- Completion of a UC Transfer Pathway or an Associate Degree for Transfer
- Participation in academic honors courses or programs
- Special talents, achievements, and awards

¹¹ Regents Policy 2104: Policy on Comprehensive Review in Undergraduate Admissions (available at <https://regents.universityofcalifornia.edu/governance/policies/2104.html>).

Completion of special projects
Academic accomplishments in context of life experiences and special circumstances
Location of student's college and residence

Comprehensive Review in Practice

Students apply to UC through a systemwide online application developed and managed by the Office of the President. Applications are routed to the campuses to which the student applied, and each campus makes its own selection decisions independent of the other campuses. Each campus is provided with the same set of information from self-reported transcript information, standardized test scores, achievements and awards, extracurricular activities, paid and volunteer work, and responses to the UC Personal Insight Questions; however, demographic markers such as race, ethnicity, and gender are not available to readers. In addition to the information supplied by the applicant, campuses also rely on data available about individual California high schools to provide insight about the educational context of the school, such as percentage of student body qualifying for free or reduced price lunch, student-teacher ratio, A-G completion rate, and graduation rates.

For the University's most selective campuses, applications are read by at least two trained readers who independently review an application to make a recommendation based on the Comprehensive Review factors. These campuses engage in a "holistic" approach to comprehensive review whereby an applicant's entire dossier is given a rigorous, individualized, and qualitative assessment. There are regular norming and quality-control mechanisms in place to ensure that processes are reliable and consistent with Academic Senate policy. In this holistic approach, no single factor is given a fixed weight and applicants' academic achievements are balanced with other pertinent qualifications in the context of the resources and opportunities available to them. When the assessment of two readers do not align, a senior admissions staff provides a third read. While considered a best practice within the higher education community, this type of review is a labor-intensive and time-consuming endeavor.

UC Merced and UC Riverside are able to admit a large percentage of students based on a weighted formula of academic and non-academic factors. This alternate approach is allowed under Regents Policy 2108 as an effective process based on the campus's level of selectivity, demand, and capacity. As the Merced and Riverside campuses become more selective, they will transition towards an admissions model that employs a holistic approach.

Augmented Review

Under Regents Policy 2110, Policy on Augmented Review in Undergraduate Admissions, approved in July 2017, campuses are able to provide a subset of students, those whose initial application often yields an incomplete picture of their qualifications or presents extraordinary circumstances, the opportunity to present a more complete understanding of their educational and personal achievements. This practice is called Augmented Review. Applicants, for example, might demonstrate special talents, potential, or accomplishments in specific areas that promise to contribute to the educational environment of the campus, but may require further explication. Or the information provided on an application may fail to adequately explain the impact of what appear to be major disadvantages that the applicant has encountered. Applicants referred for Augmented Review must demonstrate levels of academic preparation and personal qualities that indicate a reasonable chance for academic success given the available support services on the admitting campus. There are four campuses currently utilizing this additional review process. One campus requests letters of recommendation for students identified for

augmented review, while the other three campuses solicit responses to a supplemental questionnaire and/or seventh semester high school grades.

Attachment 3: UC Outreach Strategies

