

No. 20-1199

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In the  
**Supreme Court of the United States**

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STUDENTS FOR FAIR ADMISSIONS, INC.,  
*Petitioner,*

v.

PRESIDENT AND FELLOWS OF HARVARD COLLEGE,  
*Respondent.*

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**On Writ of Certiorari to the  
United States Court of Appeals  
for the First Circuit**

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**JOINT APPENDIX  
VOL. III of IV (JA1101–JA1434)**

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MAY 2, 2022

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PETITION FOR WRIT OF CERTIORARI FILED FEBRUARY 25, 2021  
PETITION FOR WRIT OF CERTIORARI GRANTED JANUARY 24, 2022

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**Part K Financial Data**

For purposes of this schedule, years in existence refer to completed tax years. If in existence 4 or more years, complete the schedule for the most recent 4 tax years. If in existence more than 1 year but less than 4 years, complete the statements for each year in existence and provide projections of your likely revenues and expenses based on a reasonable and good faith estimate of your future finances for a total of 3 years of financial information. If in existence less than 1 year, provide projections of your likely revenues and expenses for the current year and the 2 following years, based on a reasonable and good faith estimate of your future finances for a total of 3 years of financial information. (See instructions.)

**A. Statement of Revenues and Expenses**

	Type of revenue or expense	Current tax year	3 prior tax years or 2 succeeding tax years			(e) Provide Total for (a) through (d)
		(a) From 1/30/14 To 12/31/14	(b) From 1/1/15 To 12/31/15	(c) From 1/1/16 To 12/31/16	(d) From To	
Revenues	1 Gifts, grants, and contributions received (do not include unusual grants)	500,000	750,000	750,000		2,000,000
	2 Membership fees received	0	0	0		0
	3 Gross investment income	0	0	0		0
	4 Net unrelated business income	0	0	0		0
	5 Taxes levied for your benefit	0	0	0		0
	6 Value of services or facilities furnished by a governmental unit without charge (not including the value of services generally furnished to the public without charge)	0	0	0		0
	7 Any revenue not otherwise listed above or in lines 9-12 below (attach an itemized list)	0	0	0		0
	8 Total of lines 1 through 7	500,000	750,000	750,000		2,000,000
	9 Gross receipts from admissions, merchandise sold or services performed, or furnishing of facilities in any activity that is related to your exempt purposes (attach itemized list)	0	0	0		0
	10 Total of lines 8 and 9	500,000	750,000	750,000		2,000,000
Expenses	11 Net gain or loss on sale of capital assets (attach schedule and see instructions)	0	0	0		0
	12 Unusual grants	0	0	0		0
	13 Total Revenue Add lines 10 through 12	500,000	750,000	750,000		2,000,000
	14 Fundraising expenses	0	0	0		
	15 Contributions, gifts, grants, and similar amounts paid out (attach an itemized list)	0	0	0		
	16 Disbursements to or for the benefit of members (attach an itemized list)	0	0	0		
	17 Compensation of officers, directors, and trustees	0	0	0		
	18 Other salaries and wages	0	0	0		
	19 Interest expense	0	0	0		
	20 Occupancy (rent, utilities, etc.)	0	0	0		
	21 Depreciation and depletion	0	0	0		
	22 Professional fees	475,000	725,000	725,000		
	23 Any expense not otherwise classified, such as program services (attach itemized list)	25,000	25,000	25,000		
	24 Total Expenses Add lines 14 through 23	500,000	750,000	750,000		

**Part IX Financial Data (Continued)****8. Balance Sheet (for your most recently completed tax year)**

Year End: 9/30/14

Assets		(Whole dollars)
1	Cash	0
2	Accounts receivable, net	0
3	Inventories	0
4	Bonds and notes receivable (attach an itemized list)	0
5	Corporate stocks (attach an itemized list)	0
6	Loans receivable (attach an itemized list)	0
7	Other investments (attach an itemized list)	0
8	Depreciable and depletable assets (attach an itemized list)	0
9	Land	0
10	Other assets (attach an itemized list)	0
11	<b>Total Assets (add lines 1 through 10)</b>	0
Liabilities		
12	Accounts payable	0
13	Contributions, gifts, grants, etc. payable	0
14	Mortgages and notes payable (attach an itemized list)	0
15	Other liabilities (attach an itemized list)	0
16	<b>Total Liabilities (add lines 12 through 15)</b>	0
Fund Balances or Net Assets		
17	<b>Total fund balances or net assets</b>	0
18	<b>Total Liabilities and Fund Balances or Net Assets (add lines 16 and 17)</b>	0
19	Have there been any substantial changes in your assets or liabilities since the end of the period shown above? If "Yes," explain. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

**Part X Public Charity Status**

Part X is designed to classify you as an organization that is either a private foundation or a public charity. Public charity status is a more favorable tax status than private foundation status. If you are a private foundation, Part X is designed to further determine whether you are a private operating foundation. (See instructions.)

1a Are you a private foundation? If "Yes," go to line 1b. If "No," go to line 5 and proceed as instructed. ☐ Yes ☒ No  
If you are unsure, see the instructions.

b As a private foundation, section 508(e) requires special provisions in your organizing document in addition to those that apply to all organizations described in section 501(c)(3). Check the box to confirm that your organizing document meets this requirement, whether by express provision or by reliance on operation of state law. Attach a statement that describes specifically where your organizing document meets this requirement, such as a reference to a particular article or section in your organizing document or by operation of state law. See the instructions, including Appendix B, for information about the special provisions that need to be contained in your organizing document. Go to line 2. ☐

2 Are you a private operating foundation? To be a private operating foundation you must engage directly in the active conduct of charitable, religious, educational, and similar activities, as opposed to indirectly carrying out these activities by providing grants to individuals or other organizations. If "Yes," go to line 3. If "No," go to the signature section of Part XI. ☐ Yes ☐ No

3 Have you existed for one or more years? If "Yes," attach financial information showing that you are a private operating foundation; go to the signature section of Part XI. If "No," continue to line 4. ☐ Yes ☐ No

4 Have you attached either (1) an affidavit or opinion of counsel, (including a written affidavit or opinion from a certified public accountant or accounting firm with expertise regarding this tax law matter), that sets forth facts concerning your operations and support to demonstrate that you are likely to satisfy the requirements to be classified as a private operating foundation; or (2) a statement describing your proposed operations as a private operating foundation? ☐ Yes ☐ No

5 If you answered "No" to line 1a, indicate the type of public charity status you are requesting by checking one of the choices below. You may check only one box.  
The organization is not a private foundation because it is:

a 509(a)(1) and 170(b)(1)(A)(i)—a church or a convention or association of churches. Complete and attach Schedule A. ☐

b 509(a)(1) and 170(b)(1)(A)(ii)—a school. Complete and attach Schedule B. ☐

c 509(a)(1) and 170(b)(1)(A)(iii)—a hospital, a cooperative hospital service organization, or a medical research organization operated in conjunction with a hospital. Complete and attach Schedule C. ☐

d 509(a)(3)—an organization supporting either one or more organizations described in line 5a through c, 1, g, or h or a publicly supported section 501(c)(4), (5), or (6) organization. Complete and attach Schedule D. ☐

**Part X Public Charity Status (Continued)**

- e 509(a)(4)—an organization organized and operated exclusively for testing for public safety. ☐
- f 509(a)(1) and 170(b)(1)(A)(iv)—an organization operated for the benefit of a college or university that is owned or operated by a governmental unit. ☐
- g 509(a)(1) and 170(b)(1)(A)(vi)—an organization that receives a substantial part of its financial support in the form of contributions from publicly supported organizations, from a governmental unit, or from the general public. ☒
- h 509(a)(2)—an organization that normally receives not more than one-third of its financial support from gross investment income and receives more than one-third of its financial support from contributions, membership fees, and gross receipts from activities related to its exempt functions (subject to certain exceptions). ☐
- i A publicly supported organization, but unsure if it is described in 5g or 5h. The organization would like the IRS to decide the correct status. ☐
- 6 If you checked box g, h, or i in question 5 above, you must request either an advance or a definitive ruling by selecting one of the boxes below. Refer to the instructions to determine which type of ruling you are eligible to receive.
- a **Request for Advance Ruling:** By checking this box and signing the consent, pursuant to section 6501(c)(4) of the Code you request an advance ruling and agree to extend the statute of limitations on the assessment of excise tax under section 4940 of the Code. The tax will apply only if you do not establish public support status at the end of the 5-year advance ruling period. The assessment period will be extended for the 5 advance ruling years to 8 years, 4 months, and 15 days beyond the end of the first year. You have the right to refuse or limit the extension to a mutually agreed-upon period of time or issue(s). Publication 1035, *Extending the Tax Assessment Period*, provides a more detailed explanation of your rights and the consequences of the choices you make. You may obtain Publication 1035 free of charge from the IRS web site at [www.irs.gov](http://www.irs.gov) or by calling toll-free 1-800-829-3676. Signing this consent will not deprive you of any appeal rights to which you would otherwise be entitled. If you decide not to extend the statute of limitations, you are not eligible for an advance ruling.

**Consent Fixing Period of Limitations Upon Assessment of Tax Under Section 4940 of the Internal Revenue Code**

For Organization

(Signature of Officer, Director, Trustee, or other authorized official)

(Type or print name of signer)

(Date)

(Type or print title or authority of signer)

For IRS Use Only

IRS Director, Exempt Organizations

(Date)

- b **Request for Definitive Ruling:** Check this box if you have completed one tax year of at least 8 full months and you are requesting a definitive ruling. To confirm your public support status, answer line 6b(i) if you checked box g in line 5 above. Answer line 6b(ii) if you checked box h in line 5 above. If you checked box i in line 5 above, answer both lines 6b(i) and (ii). ☐
- (i) (a) Enter 2% of line 6, column (e) on Part IX-A, Statement of Revenues and Expenses. ☐
- (b) Attach a list showing the name and amount contributed by each person, company, or organization whose gifts totaled more than the 2% amount. If the answer is "None," check this box. ☐
- (ii) (a) For each year amounts are included on lines 1, 2, and 9 of Part IX-A, Statement of Revenues and Expenses, attach a list showing the name of and amount received from each disqualified person. If the answer is "None," check this box. ☐
- (b) For each year amounts are included on line 9 of Part IX-A, Statement of Revenues and Expenses, attach a list showing the name of and amount received from each payer, other than a disqualified person, whose payments were more than the larger of (1) 1% of line 10, Part IX-A, Statement of Revenues and Expenses, or (2) \$5,000. If the answer is "None," check this box. ☐
- 7 Did you receive any unusual grants during any of the years shown on Part IX-A, Statement of Revenues and Expenses? If "Yes," attach a list including the name of the contributor, the date and amount of the grant, a brief description of the grant, and explain why it is unusual. ☐ Yes ☐ No

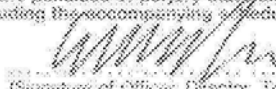
**Part XI User Fee Information**

You must include a user fee payment with this application. It will not be processed without your paid user fee. If your average annual gross receipts have exceeded or will exceed \$10,000 annually over a 4-year period, you must submit payment of \$850. If your gross receipts have not exceeded or will not exceed \$10,000 annually over a 4-year period, the required user fee payment is \$400. See instructions for Part XI, for a definition of gross receipts over a 4-year period. Your check or money order must be made payable to the United States Treasury. User fees are subject to change. Check our website at [www.irs.gov](http://www.irs.gov) and type "User Fee" in the keyword box, or call Customer Account Services at 1-877-829-5500 for current information.

- 1 Have your annual gross receipts averaged or are they expected to average not more than \$10,000? ☐ Yes ☒ No  
 If "Yes," check the box on line 2 and enclose a user fee payment of \$400 (Subject to change—see above).  
 If "No," check the box on line 3 and enclose a user fee payment of \$850 (Subject to change—see above).
- 2 Check the box if you have enclosed the reduced user fee payment of \$400 (Subject to change). ☐
- 3 Check the box if you have enclosed the user fee payment of \$850 (Subject to change). ☒

I declare under the penalties of perjury that I am authorized to sign this application on behalf of the above organization and that I have examined this application, including the accompanying schedules and attachments, and to the best of my knowledge it is true, correct, and complete.

Please  
Sign  
Here

  
 (Signature of Officer, Director, Trustee, or other  
 authorized official)

Edward Blum

(Type or print name of signer)

President

(Type or print title or authority of signer)

9-12-14  
 (Date)

Reminder: Send the completed Form 1023 Checklist with your filled-in application.

Form 1023 (Rev. 10-2013)



**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1 a</b> Federated campaigns . . . . .	<b>1 a</b>				
	<b>b</b> Membership dues . . . . .	<b>1 b</b> 430 .				
	<b>c</b> Fundraising events . . . . .	<b>1 c</b>				
	<b>d</b> Related organizations . . . . .	<b>1 d</b>				
	<b>e</b> Government grants (contributions) . .	<b>1 e</b>				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above . .	<b>1 f</b> 826,234 .				
	<b>g</b> Noncash contributions included in lines 1a-1f: \$					
	<b>h Total.</b> Add lines 1a-1f . . . . .		826,664 .			
<b>Program Service Revenue</b>	<b>Business Code</b>					
	<b>2 a</b> -----					
	<b>b</b> -----					
	<b>c</b> -----					
	<b>d</b> -----					
	<b>e</b> -----					
	<b>f</b> All other program service revenue . . .					
	<b>g Total.</b> Add lines 2a-2f . . . . .					
<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest and other similar amounts) . . . . .		0 .	0 .	0 .	0 .
	<b>4</b> Income from investment of tax-exempt bond proceeds . .					
	<b>5</b> Royalties . . . . .					
	<b>6 a</b> Gross rents . . . . .	(i) Real (ii) Personal				
	<b>b</b> Less: rental expenses					
	<b>c</b> Rental income or (loss) . .					
	<b>d</b> Net rental income or (loss) . . . . .					
	<b>7 a</b> Gross amount from sales of assets other than inventory	(i) Securities (ii) Other				
	<b>b</b> Less: cost or other basis and sales expenses . . .					
	<b>c</b> Gain or (loss) . . . . .					
	<b>d</b> Net gain or (loss) . . . . .					
	<b>8 a</b> Gross income from fundraising events (not including: . \$ _____ of contributions reported on line 1c). See Part IV, line 18. . . . . <b>a</b>					
	<b>b</b> Less: direct expenses . . . . . <b>b</b>					
	<b>c</b> Net income or (loss) from fundraising events . . . . .					
	<b>9 a</b> Gross income from gaming activities. See Part IV, line 19. . . . . <b>a</b>					
	<b>b</b> Less: direct expenses . . . . . <b>b</b>					
	<b>c</b> Net income or (loss) from gaming activities . . . . .					
	<b>10 a</b> Gross sales of inventory, less returns and allowances . . . . . <b>a</b>					
<b>b</b> Less: cost of goods sold . . . . . <b>b</b>						
<b>c</b> Net income or (loss) from sales of inventory . . . . .						
<b>Miscellaneous Revenue</b>		<b>Business Code</b>				
<b>11 a</b> -----						
<b>b</b> -----						
<b>c</b> -----						
<b>d</b> All other revenue . . . . .						
<b>e Total.</b> Add lines 11a-11d . . . . .						
<b>12 Total revenue.</b> See instructions . . . . .		826,664 .	0 .	0 .	0 .	

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514	
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns . . .	1a				
	b	Membership dues . . .	1b	300			
	c	Fundraising events . . .	1c				
	d	Related organizations	1d				
	e	Government grants (contributions)	1e				
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	1,106,722			
	g	Noncash contributions included in lines 1a-1f \$ _____					
	h	Total. Add lines 1a-1f . . . . .	1,107,022				
Program Service Revenue	2a	_____	Business Code				
	b	_____					
	c	_____					
	d	_____					
	e	_____					
	f	All other program service revenue					
	g	Total. Add lines 2a-2f . . . . .					
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts) . . . . .					
	4	Income from investment of tax-exempt bond proceeds					
	5	Royalties . . . . .					
	6a	Gross rents	(i) Real	(ii) Personal			
		b	Less rental expenses				
		c	Rental income or (loss)				
		d	Net rental income or (loss) . . . . .				
	7a	Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other			
		b	Less cost or other basis and sales expenses				
		c	Gain or (loss)				
		d	Net gain or (loss) . . . . .				
	8a	Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c) See Part IV, line 18 . . . . .	a				
	b	Less direct expenses . . . . .	b				
	c	Net income or (loss) from fundraising events . . . . .					
	9a	Gross income from gaming activities See Part IV, line 19 . . . . .	a				
	b	Less direct expenses . . . . .	b				
	c	Net income or (loss) from gaming activities . . . . .					
	10a	Gross sales of inventory, less returns and allowances . . . . .	a				
	b	Less cost of goods sold . . . . .	b				
	c	Net income or (loss) from sales of inventory . . . . .					
Miscellaneous Revenue		Business Code					
11a							
b							
c							
d	All other revenue . . . . .						
e	Total. Add lines 11a-11d . . . . .						
12	Total revenue. See Instructions . . . . .		1,107,022				



AT A MEETING OF THE

BOARD OF OVERSEERS OF HARVARD COLLEGE

IN CAMBRIDGE, January 11, 1926.



Mr. James presented the report of the Special Committee on the Limitation of the Size of the Freshman Class, and after debate thereon, the Board voted to accept said report, and to adopt the following recommendations:

1. That, during the next three years, 1926-27 to 1928-29, the limit of 1,000 Freshmen shall include dropped Freshmen as well as those newly admitted to the College and Engineering School, but not thereafter, save with the approval of the Governing Boards.

2. That the application of the rule concerning candidates from the first seventh of their school be discretionary, both as to schools and candidates, with the Committee on Admission.

3. That the rules for the admission of candidates be amended to lay greater emphasis on selection based on character and fitness, and the promise of the greatest usefulness in the future as a result of a Harvard education.

and further that said report and recommendations appear to the Board to be wise, but that they be referred to the Faculties of Arts and Sciences, and of Engineering, for advice.

The Board also voted that the Committee be discharged with the thanks of the Board for its excellent and comprehensive report.

A true copy of record,

Attest:

*Winthrop H. Wade, Secy.*

Dec. 1925

*Strictly Confidential until all Boards  
and Faculties concerned have acted*

*See Faculty  
Records Jan. 19/1926*

*Page 17.*

REPORT OF THE SPECIAL COMMITTEE APPOINTED  
TO CONSIDER THE LIMITATION OF NUMBERS

TO THE BOARD OF OVERSEERS OF HARVARD COLLEGE: —

The purpose of this report is to present facts bearing upon different aspects of the question of numbers in the College and to offer certain conclusions for the consideration of the Overseers.

It will be recalled that a provisional limitation was sanctioned by the Overseers, by the following action on February 25, 1924:

*Voted* — That the Board give its consent to the vote of the President and Fellows which defines a limit of size for the Freshman Class "for the present," with the understanding that this limitation is temporary in its nature and will be reconsidered at the earliest possible time.

At the same time the Board created this Special Committee to report —

. . . on numbers in relation to equipment, personnel, standards, and the scope and function of the College.

Thus the vote establishing a limit of 1,000 "for the present" was precautionary. During the few years following the War and preceding the vote, numbers had been increasing with unparalleled rapidity. They had already begun to cause difficulties. Therefore, although Freshman enrollments had not yet reached the limit that was chosen, it was feared that they might soon pass it and that the College would not be able to stand the strain. Being conceived as precautionary the limitation was considered by all to be expedient, and it was adopted without long discussion. But it was understood that the subject would be canvassed more fully.

I

Since the limit of 1,000 was established, two Freshman classes have come to Cambridge. The limit set "for the present" has about been reached.

The general rate of growth which has, but for the war-time, prevailed for Harvard College during more than 50 years, and which is shown in Tables 1 and 5, is so nearly constant that it

looks like a normal which it would be unreasonable not to consider in making estimates or forecasts. The recent noticeable augmentation of college enrollment throughout the country is even greater and looks as if our own normal would be borne upward rather than depressed by the tendencies in the country at large. (See Table 2.) The curves would lead one to expect that the number of qualified applicants for admission to the College may considerably exceed 1,000 in a few years unless some limitation is enforced.

Hitherto Harvard has always taken care of as many qualified students as the community wanted to send here. Now, however, we are asking the question whether we are not subjecting ourselves to a strain which will impair the quality of our work, whether we can go on, and if not, then what rate of growth we can permit ourselves, or at what point we must assign a stopping place. It is obvious that we are considering a very important question of policy.

## II

Equipment, physical and financial, has been pointed to as a limiting factor. Data in Table 3 bear on this, and indicate the situation 20 years ago as compared with that in 1924-25.

The situation with respect to *lecture rooms* is further elucidated by the analysis of the state of things at the opening of the current year, 1925-26, which will be found in Table 4.

To illustrate some of the limitations now imposed by conditions which are beyond the Faculty's control by reason of the shortage of rooms for class meetings and the difficulty of lecturing effectively to very large classes, it will be sufficient to cite the following instances of forced limitation:

English 41, History of English Literature; limited to 300.  
 Biology 1, Life and its Environment; limited to 300.  
 Geology 41, Introduction to Geology; limited to 300.  
 Meteorology 11, Elementary Meteorology; limited to 100.  
 Psychology 11, Introduction to Experimental Psychology; limited to 80.

All these are courses fundamental to their subjects; and naturally they are desired by students concentrating in other fields. Practically all Freshmen have been excluded from Biology 1 this year. From the educational point of view an uninterrupted use of lecture rooms is not economical. Large lecture halls cannot empty and refill immediately without curtailing the lecture periods, and

the entry of a new class at the close of each lecture stops the question-and-conference episode which normally follows each lecture and may last for from 15 minutes to as much as an hour, if the lecturer can remain in the room with the students who gather about his desk to question him. The economical remedy might be to provide small conference rooms next to lecture rooms. At present, however, there are almost none such, except in Sever Hall, where a few are conveniently placed. These few are regularly used for conferences. If there is no available place in or close to the lecture room for a student to remain and confer with the professor after a class meeting, he must seek the professor later in the Widener Library or at his house — which means, in most cases, that he does not consult him. We believe that the after-lecture conference is a most important item in the curriculum, and that it ought to be provided for. Moreover, the need of rooms for tutorial conferences is a serious one which requires to be met.

The foregoing facts and figures suggest the following conclusions:

Space and physical equipment, if they were the only bar to the admission of numbers, could perhaps be provided if money could be found; but the last 20 years' experience indicates that it is not easy to obtain money for laboratories and lecture rooms promptly. Although it is true that in many ways, and on the whole, Harvard's physical and financial equipment is better adapted to the education of the present student body than its equipment of 20 years ago was to the tasks of that day, we believe that, before more students can be accommodated, more lecture rooms, laboratories, and dormitories must be provided. The housing situation in Cambridge requires the last, and we conceive that more biological laboratories especially are essential. Additional lecture rooms, tutorial and conference rooms will also be required.

It appears at first sight that a good deal of lecture space is perforce vacant in the afternoon. The reason is that experience has seemed to show that the afternoon is best fitted for laboratory work, which requires continuous meetings of two hours or more. Only a few advanced courses meet in the evening. Whether a reorganization of the tabular view would relieve the situation has not been made evident. The question has been studied by the Faculty, which — to date — has not thought reorganization wise or practicable; but further attention to the problem appears desirable to this Committee.

## III

Teaching-personnel, standards, and function can hardly be discussed separately.

Educational methods and college policies are always changing. In the last 20 years the emphasis at Harvard has shifted from the course as the unit of instruction to the individual as the unit, and the technique for dealing with an unlimited number of student-units has not yet been found.

The conception used to be that if a large and liberal menu of opportunities in the way of courses was spread before the student, the main thing had been done for him. The old policy respecting physical training and exercise was typical of the then new theory of the College; a gymnasium was provided, and also playing fields, but after that about everything was left to the option of the student, who took as much advantage of these facilities as he liked, or none at all. In his studies he had to get through a certain number of courses if he wanted to keep in standing and graduate, but otherwise his education was nearly as much an affair of his own adventure as was his physical development. Lectures being the chief means of instruction, organization and methods were about as compatible with large as with small numbers of students.

During the last two decades, however, the College has increasingly undertaken to guide and stimulate the undergraduate's choices and ambitions, in the belief that all parts of the College which touch the undergraduate's life, whether physical, moral, or intellectual, should work in sympathetic accord. Obviously this imposes a much heavier task upon instructors and deans; and, the individual being the ultimate unit of education, success cannot help being more and more difficult as numbers grow.

The function of the College as thus conceived is exemplified by numerous changes or reforms which have been devised and successfully put into effect; but about these so much has been said elsewhere that it is needless to do more than enumerate them here. The concentration requirement; the general examination; the tutorial system, and along with it the diminished reliance upon lectures as the chief means of instruction; also the numerous measures intended to carry the Freshman through his transition from school to college — among them the Freshman dormitories, and a considerable development of services of information and guidance connected with the Dean's office; compulsory physical exercise; increased provision for dormitory accommodation; and various

improved facilities of a more or less social order, such as the Harvard Union, the reading-rooms in the Library, and others. The most striking evidence that these changes are combining toward one good effect is the way in which the number of students who graduate with distinction has been rising. In the period between 1915-16, the year when General Final Examinations were first given, and 1919-20, the percentage of men who won distinction by the examinations was 17.4; in 1924-25 the percentage had risen to 21.4. To this we should add the men who gained distinction in those departments in which no General Final Examination is given, and those who won distinction in general studies. When this is done we find that 29.8 per cent of those who graduated in last year's class had secured distinction in their studies.

It hardly needs saying that the present conception of Harvard as a residential college rather than just a University department implies a belief that there must be a greater degree of intimacy between teacher and student and between student and environment than there used to be. Crowds do not favor intimacy. Although the figure at which, for Harvard's purposes, overcrowding begins cannot be defined by any process of reasoning, we are persuaded that the Faculty — by whose sense of the situation the Governing Boards must be largely guided in such matters — already feels that there are now as many undergraduates as its present number of teachers and rooms allows it to cope with adequately. Many, indeed, feel that the limit of 1,000 is too high.

Is it feasible to remove one difficulty simply by enlarging the teaching force and multiplying assistant deans? The following comparisons between 20 years ago and today show how largely the teaching force has already been augmented, and yet by how small a margin it has gained on the students with whom it is trying to deal more personally. There are several Divisions which may still adopt the tutorial system — the Division of Mathematics will do so in 1926-27 — and their budgets for salaries will then have to be enlarged. In the departments of Natural Science there are, as yet, neither General Final Examinations nor tutors. Moreover, assistants in laboratories are normally paid less than tutors with the rank of instructor. It is possible that laboratory instruction might be distinctly improved by a more liberal policy. However, laboratory assistants can hardly be expected to have acquired the breadth of view which a tutor must possess, for assistants are selected for their ability to assist students in a very limited field. Nevertheless a larger expenditure of money for assistants appears

desirable, and the budgets of the scientific departments should be enlarged accordingly. As a matter of fact, they are now being increased for this very purpose as rapidly as the funds allow.

	1904-05	1904-25
Number of teachers of professorial rank in the Faculty of Arts and Sciences . . .	112 <sup>1</sup>	172
Increase . . . . .		53.5+%
Number of teachers of non-professorial rank in the Faculty of Arts and Sciences . . .	184 <sup>1</sup>	233
Increase . . . . .		26.6%
Number of students under the Faculty of Arts and Sciences (College and Graduate School of Arts and Sciences) . . .	2905	3804
Increase . . . . .		30.9+%
Average number of students to each teacher of professorial rank in the Faculty of Arts and Sciences . . . . .	25.9:1	22+ :1
Average number of students to all teachers in the Faculty of Arts and Sciences . . .	9.8:1	9.4:1

From these figures it is clear that no substantial gain has been made in reducing the ratio of students to the whole number of teachers in the Faculty of Arts and Sciences, although the proportion of teachers of higher rank has increased. The individual student is, however, receiving more personal attention than is evident from the figures, because there has been no material increase in the number of courses offered, but a large increase in the number of men who give much of their time as tutors, instructors, and assistants to individuals or small groups.

It is obvious that, without any expansion in the number of subjects taught, an increase in the number of teachers is greatly to be desired. But before the teaching body is expanded to teach larger numbers, it will be necessary to finance larger budgets for the departments which have not yet adopted the general Final Examination and to increase salaries of professors and instructors all along the line, if Harvard is to hold her eminent position among the universities and colleges of America. Indeed, this will have to be done whether we expand or not. It is said that Chicago is now establishing a number of \$10,000-a-year professorships. Harvard's maximum in the Faculty of Arts and Sciences is still \$8,000. Justice and fairness, as well as competition and expediency, require a better salary scale. Conditions in Cambridge are becoming more and more difficult for men who are de-

<sup>1</sup> The Faculty of Arts and Sciences included the Lawrence Scientific School at this date.

pendent on the present salaries. In the long run it is the quality of its Faculties which mainly determines the position of a university. If that is not attended to, buildings, endowments, organization, and even traditions will prove to be of little avail.

Therefore, considerations of personnel, finance, and equipment all point to the necessity of maintaining a limitation of numbers in Harvard College for the present.

These are all what might be called internal considerations. It will be well to look at the situation of the College from the outside, too.

#### IV

The size of the College relative to the University and its other departments has not been constant, and may alter materially when the College stops growing. For many years the University as a whole has been increasing faster than the College anyway, though not so much faster as the creation of entirely new graduate schools might have led one to expect. The Graduate School of Arts and Sciences, which is in many respects an advanced department of the College, has been swelling in size more rapidly than the College itself, and faster than the University as a whole (see Table 11). The signs of the times indicate that this will probably continue (see Tables 5, 6, 7, and Figs. 2, 3, 4, 5); and this is desirable, for the Graduate School is the source from which most of the young teachers are drawn.

Table 8 shows which departments of the University are now restricting their size, and also those which have no present purpose of limiting it.

Even if the College should contain a smaller proportion of the total University enrollment than now, that in itself need not be deplored, for there is no necessarily right proportion. The influence of the departments under the Faculty of Arts and Sciences — namely, the College and the Graduate School — will always depend on the eminence of the teachers and the quality of the students' work. Since the College, through its graduates, does much to set the scholastic standard in all the graduate departments of the University, its influence is likely to remain predominant.

It may be feared by some that the College will receive less from the Treasury of the University as the students in the several graduate schools increase in number. But it must be remembered that, barring the Endowment Fund raised by the graduates since the War, the free funds at the disposal of the Corporation are small

in proportion to those that are restricted; and the history of the financial management by the Corporation gives every reason to believe that the College will not be overlooked in the future. It is true that if the College stands still in size while the other departments become bigger and more expensive, it will be more and more necessary to uncover new fountains of financial aid, and the graduates of the professional schools will have to assume more responsibility than in the past.

With reference to the Graduate School of Arts and Sciences, the Committee believes that from the point of view of the College the School can be a great deal bigger and still give more in the way of stimulation to both Faculty and students than it takes away by its drafts upon equipment and personnel; for this School is concerned not so much with what is particular and empirical as with what is fundamental and general. Philosophy, the so-called moral and social sciences; the fine arts and the humanities in their deepest and broadest senses; physics, chemistry, and mathematics, which underlie all our modern scientific progress, are there cultivated most eagerly and advanced most successfully. In short, although most of the students in the School are preparing for a particular profession, that of teaching, they are all engaged in liberal studies. What goes on in the Graduate School fertilizes the life of the whole institution --- the College included --- and draws together all its scholars into a true university. If it is in any way difficult for that School and the College to be closely associated --- and it must be admitted that there are difficulties --- the remedy is not to be sought in a jealous restriction of the School.

The extent to which the College prepared students for work in the graduate schools and professional schools is indicated by Table 12.

## V

It was remarked at the beginning that Harvard College has, until now, allowed itself to grow with the community. It is a striking fact that there has recently been a great increase in the proportion of the population seeking college education. Nothing yet indicates that the desire for college education will soon decline again, or even stop spreading. Forty years ago a high-school training was coveted by people of small means. Today the same large class has generally adopted a college as its goal. Furthermore, in the northeastern states many other colleges have limited numbers. Table 9 presents a situation which warrants serious

discussion, if not public anxiety. If all the endowed colleges in this part of the country decide to stand pat, or if most of them stick close to the existing size standards, to what institutions will this community which wants more opportunities for higher education, and waxes continually, send its boys?

We have all heard lately from within our own circle that our entrance requirements are "too high." If we are to turn away a greater and greater number of potentially qualified applicants who come from schools and communities which have hitherto supposed they could count on Harvard, we must be prepared to meet more and more such complaints.

If and when complaints are thrust at us, it seems to this Committee that the answer will be twofold. First, it is not for us but for the country to meet a general shortage of facilities by means of junior colleges and other diversifications in the field of higher education, or otherwise. Second, Harvard participates actively, not passively, in the general welfare of college education in the United States.

We must not forget that Harvard College is still, as it always has been, an explorer and pathfinder. It has lately again developed a new type of instruction, is thereby giving its undergraduates a distinctly better education than they have ever received before, and in this it is being imitated by other colleges. This furnishes a very potent reason for limiting our students to a number with which this system can be efficiently carried on until it has been perfected, rather than allowing that number to increase to a point that will interfere seriously with what we are trying to do.

## VI

It will be well, however, to ask the question, how the applicants for admission to the Freshman Class are selected from a considerably larger number. The Committee is not prepared to make a full report now concerning this difficult matter or to propose anything new. But as this report is primarily informative and intended to supply data for later discussion it will be appropriate to make certain explanations and comments.

First, it is probably wise to rehearse certain changes in the methods of admission which have recently been introduced, and to summarize the results to date.

Some of these changes have raised the minimum of admission in the past twenty years; more have simplified and lightened the



burden for all but the very lazy or incompetent. The chief items under the first are the requirements that (1) a candidate under the old plan must pass  $\frac{2}{3}$  of the examinations required; (2) that he must pass  $\frac{2}{3}$  of the total with satisfactory grades (70 per cent or higher); and (3) that he must write satisfactory English. Among the simplifying changes, some of which actually make admission easier, must be named:

(1) The New Plan, established in 1911-12, whereby candidates are admitted on a combination of school record and four examinations. Each case is considered individually, and the personality of the candidate may be given greater weight than under the Old Plan.

(2) All candidates, whether by the Old or New Plan, are now admitted without admission conditions, provided they satisfy the minimum requirements.

(3) Candidates who stand, at graduation, among the highest seventh of the boys in the graduating class of a regularly organized school, and who have the strong recommendation of the head master, are admitted without examination, provided they have satisfactory school records corresponding to the requirements of the New Plan.

(4) The examinations of the College Entrance Examination Board are now used exclusively for all candidates who present themselves in June under the Old or New Plan.

The following shows the admissions by the different plans for 1924 and 1925:

Under Old Plan.....	1924	1925
Under New Plan.....	371	489
Under Honor Plan (1/7).....	196	191
	309	314
Total .....	876	974

It will be seen that nearly one third of the Freshman Class is now entering on the so-called Honor Plan. When this plan was adopted, its primary purpose was to open admission to brilliant boys in schools that do not ordinarily prepare for Harvard; but the Admission Committee has felt that the vote was mandatory rather than permissive, and has believed that it had no discretion in the administration of it. The Committee which is making this report thinks, however, that it may be better *not* to extend this privilege of recommending boys under the honor system to large Eastern schools and similar institutions that regularly prepare boys

for entrance examinations, and it believes that the application of the rule should be left to the discretion of the Committee on Admission. This will not diminish the value of the school record of the candidates or of the personal estimates of their fitness on the part of the school masters. Table 14 shows how "Honor" Freshmen have been distributed geographically.

Few graduates realize that admission to Harvard College today is based not only on the records made in entrance examinations, when they are taken, but also on the school records and the judgment of school officials who have known the boys for some time. The value of the two latter is especially emphasized in the application of the honor system.

The vote which established a provisional limit went on to prescribe that —

From the remaining candidates<sup>1</sup> the Committee on Admission shall fill up the quota, so far as it may be advantageously filled, by selecting those who, having satisfied the minimum requirements for admission, in the judgment of the Committee have best proved their competence.

Thus far there has been no opportunity to try the process of selection here contemplated, for the quota set has not been exceeded or even reached, and therefore there has been no chance to test the machinery for weeding out the excess of lower-grade men by inspection. When this clause goes into full operation it may affect about one-third of the candidates for admission.

Although the Committee is not prepared to make suggestions as to the methods of admission except on the single point mentioned above, it wishes to state —

(1) That it believes that it is neither feasible nor desirable to raise the standards of the College so high that none but brilliant scholars can enter and remain in regular standing. The standards ought never to be too high for serious and ambitious students of average intelligence.

(2) That it believes that standards, whether of admission or of work in the College, have not in fact been raised beyond this point, nor to such a point that there is any present prospect of their being made too difficult for such men. This is stated with confidence, in spite of certain complaints which have recently been heard.

(3) That, on the other hand, it sees no reason whatsoever for thinking that it would be a reproach to Harvard if it became

<sup>1</sup> Those whose admission records do not place them on an equality with Harvard undergraduates in the first four groups of the Rank List.

somewhat harder for a student to enter here than to enter elsewhere — always providing that standards are not above the level just indicated.

## VII

To conclude — it will have been made clear that the three chief difficulties in the way of dealing with large numbers are: (1) the lack of a sufficient number of teachers; (2) the lack of rooms to hold classes; (3) the difficulty of lecturing effectively to very large classes. The first two difficulties could probably be remedied in a few years by an adequate expenditure of money. But for the moment they are so insurmountable that this Committee is convinced that the restriction on numbers is truly necessary for the present. The Committee will go further, however. The difficulties just spoken of and the importance of working out to their logical conclusions the very promising experiments which the College is making in new methods of instruction, lead the Committee to advise that, in reckoning the Freshmen who are to be included in the thousand, "dropped" Freshmen should be reckoned as well as others. This was recommended by the Faculty in 1923. Dropped Freshmen are students who are taking a large part of their work in Freshman courses, and have always been registered as Freshmen.

The Committee presents the following recommendations which, if adopted by the Board of Overseers, are to be referred to the Faculty of Arts and Sciences for consideration and action:

(1) That, during the next three years, 1926-27 to 1928-29, the limit of 1,000 Freshmen shall include dropped Freshmen as well as those newly admitted to the College and Engineering School, but not thereafter, save with the approval of the Governing Boards on the recommendation of the Faculties concerned.

(2) That the application of the rule concerning candidates from the first seventh of their school be discretionary with the Committee on Admission.

COMFORT A. ADAMS,  
JAMES BYRNE,  
CHESTER N. GREENOUGH,  
HENRY JAMES, *Chairman*,  
A. LAWRENCE LOWELL,  
CLIFFORD H. MOORE,  
WILLIAM S. THAYER,  
*Committee.*

## APPENDIX

In the writer's mind there is *one outstanding reason* for the limitation of numbers in Harvard College, and although this reason is implied at one point in the main report (where reference is made to the pioneer work of Harvard and to an improved type of instruction), the importance of the *real objective* seems to the writer to be of such dominant importance as to warrant a brief explanation, which has received the approval of the other members of the Committee.

The enormous strides made in our knowledge of the material universe during the past generation or two have introduced problems of coöperation between larger and larger groups, not only within the nation but of world-wide extent, the solution of which makes absolutely necessary a new kind of education — in fact, something more nearly corresponding to the original meaning of the word education.

Man is largely guided by his habits of thought: traditions, customs, hatreds, desires, prejudices, etc.; for the most part he does not know what it means to think for himself. He has the habit of accepting facts and arguments, however incomplete, superficial, or misleading they may be. He allows pictures to be painted in his mind by the promoter or the propagandist without demanding sound evidence of the so-called facts or making sure that the facts presented are reasonably comprehensive for the purpose in hand. Hence the enormous annual loss in crooked or unwise investments; hence the large predominance of failures of corporations and other business enterprises; hence the frightful and wasteful confusion of international relations.

The solution of these problems demands a kind of thinking or analysis which is new to the vast majority of even our educated class, a habit of mind which refuses to accept a biased presentation of facts; which withholds judgment until all the returns are in, and even then allows something for the probable incompleteness of the returns; which refuses to entertain prejudices and hatreds; which keeps its perspective free from anything but logic, justice, and truth.

No course of reasoning can yield more than is covered by the premises; it can only transform the facts or assumptions of the premises into a more useful form. Therefore, to reach a sound conclusion involves sound premises and sound reasoning, whether



this be through the medium of words or of mathematics, which is merely quantitative logic.

It is not claimed that these ideals are new or original, but, unfortunately, they are not applied to any appreciable extent in our educational institutions. For the most part, our students listen, accept, and try to remember; rarely do they know what it means to demand sound evidence of the facts underlying their problem, to understand thoroughly the principles involved, and then to think carefully and surefootedly without the twist of bias or prejudice; they are mostly occupied with the endeavor to meet certain tests which are unfortunately too often tests of memory rather than of mental power; they rarely know the joy of making a subject their own, of thinking for themselves and of seeing the worth-while results of their own work.

Such a habit of mind is absolutely essential to the solution of the great problems confronting civilization today.

It is to the development of this habit in our students that Harvard College has set itself; but the task is a difficult one and takes time for its development. Teachers with this ideal are rare and must be developed; we cannot go out into the open market and hire them. We need time to imbue the present staff with the spirit of the movement and to develop the best technique and organization, without being so pressed for increase of staff and equipment as to fail in our major purpose, which is quality rather than quantity.

As the difficulty of forming new habits of mind increases with the age of the students, the undergraduate departments are the centre of attack, but even there the task is a difficult one, and demands a closer contact between student and instructor and much more work on the part of the instructing staff.

However, the objective is worthy of every possible effort and sacrifice. A thousand graduates with this habit of mind are worth more than ten thousand without it, no matter how well stocked with useful information or conventional knowledge the minds of the latter may be.

COMFORT A. ADAMS.

TABLE 1. CONSISTS OF THE FIGURES UPON WHICH FIGURE 1 IS BASED (see page 28)

TABLE 2

POPULATION OF THE UNITED STATES EXCLUSIVE OF OUTLYING POSSESSIONS			
1870.....	38,558,371	1900.....	75,994,575
1880.....	50,155,783	1910.....	91,972,266
1890.....	62,947,714	1920.....	105,710,620

ENROLLMENT OF MEN AND WOMEN IN COLLEGES, UNIVERSITIES, AND PROFESSIONAL SCHOOLS IN THE UNITED STATES

1870.....	60,798	From Rept. of Commissioner of Education	"
1880.....	84,991	"	"
1890.....	109,664	"	"
1900.....	176,435	"	"
1910.....	338,018	"	"
1920.....	521,754	From World Almanac, 1924	"

TABLE 3. NUMBERS, BUILDINGS, AND INCOME

	1904-05		1924-25	
	Number	Percentage	Number	Percentage
University enrollment, total .....	4136	...	7075	...
College enrollment .....	2539 <sup>1</sup>	...	3041	...
<i>Dormitories</i>				
Undergraduates housed in dormitories owned by the College .....	623	24.5+	1570	51.6+
Dormitories in process in 1924-25 or planned and financed, not including Medical School and Business School buildings, are expected to provide for an additional.....	...	...	...	358

*Libraries*

Widener Library opened in 1914

*Laboratories (additions)*

- Coolidge (Chemistry) 1913
  - Gibbs (Chemistry) 1913
  - Cruft (Physics) 1914
  - Research laboratory in connection with Farlow Botanical Library and Herbarium
  - Additions now financed and in process --
    - Fogg Art Museum \$1,000,000
    - Chemical Lab. \$2,000,000
- (NOTE: Biological laboratories are especially needed)

TABLE 3 (continued)

## Lecture Rooms or Class Rooms

Music Building, 1914

Income	1904-05	1924-25
Income bearing funds for University .....	\$18,036,025	\$66,024,462
Total Expenditure for Faculty of Arts and Sciences .....	563,048	1,486,194
Expenditure for salaries in Faculty of Arts and Sciences .....	408,887	1,077,402
Expenditure for salaries per student under Faculty of Arts and Sciences .....	140.75	283.23

<sup>1</sup> This includes the Lawrence Scientific School which in 1904-05 was under the Faculty of Arts and Sciences.

TABLE 4. COMPARISON OF ACTUAL AND POSSIBLE USE OF ROOMS,<sup>1</sup> 1925-26

Available Rooms		Number of periods in use from									
Capacity	No.	Total 1-hr. periods possible per week	8-9	9-10	10-11	11-12	12-1	1-2	2-3	3-4	4-5
12-30	2	12	0	4	7	5	1	0	2	2	3
31-50	16	96	0	80	87	89	67	10	29	14	2
51-75	10	60	4	58	59	55	45	14	26	8	2
76-100	5	30	0	29	29	29	20	6	12	9	4
101-125	3	18	0	18	15	17	12	0	10	3	1
126-150	1	6	3	6	6	5	6	0	5	0	0
151-200	2	12	0	11	12	9	8	2	4	0	0
201-300	2	12	0	12	12	12	10	0	5	5	0
301-400	1	6	0	6	5	6	0	0	0	0	0
900	1	6	0	6	3	6	6	0	2	1	0
Total ..	43	258 <sup>2</sup>	7	230	235	233	175	32	95	42	12
Per cent of 258			.02	.89	.91	.90	.67	.12	.36	.16	.04

<sup>1</sup> This report covers the class rooms in the following buildings only: Emerson (not including 23 and 27, Psych. Lab.), New Lecture Hall; Sever (not including 25 [Class. Arch. Mus.] or tower rooms); Harvard Hall.

<sup>2</sup> Two hundred and three meetings were held outside above buildings 1925-26, 137 in 1923-24. Multiplying this by 5/4/7 to get a weekly total for the hours from 9 to 1 and 2 to 5 on 5 week-days and the hours from 9 to 1 on Saturdays gives 1438.

The totals of "periods in use" for these hours, when added together, gives 1022, which is 71% of 1438.

TABLE 4. COMPARISON OF ACTUAL AND POSSIBLE USE OF ROOMS, 1925-26 (continued)

## B. Percentage of Available Rooms Utilized

Available Rooms		Percentage of actual use of rooms available									
Capacity	No.	Total 1-hr. periods possible per week	8-9	9-10	10-11	11-12	12-1	1-2	2-3	3-4	4-5
12-30	2	12	0.0	33.3	58.3	41.7	8.3	0.0	16.7	16.7	25.0
31-50	16	96	0.0	83.4	90.6	92.8	69.8	10.4	30.2	14.6	3.3
51-75	10	60	6.7	96.7	98.3	91.6	75.0	23.3	43.4	13.3	6.7
76-100	5	30	0.0	96.7	96.7	96.7	66.6	20.0	40.0	30.0	5.5
101-125	3	18	0.0	100.0	83.4	94.4	66.6	0.0	55.6	16.7	0.0
126-150	1	6	50.0	100.0	100.0	83.4	100.0	0.0	83.4	0.0	0.0
151-200	2	12	0.0	91.6	100.0	75.0	66.6	16.7	33.3	0.0	0.0
201-300	2	12	0.0	100.0	100.0	100.0	83.4	0.0	41.7	41.7	0.0
301-400	1	6	0.0	100.0	83.4	100.0	0.0	0.0	0.0	0.0	0.0
900	1	6	0.0	100.0	50.0	100.0	100.0	0.0	33.3	16.7	0.0

In the last two years there has been an increase of 400 students under the Faculty of Arts and Sciences. In this period there has been an increase of 72 in the number of class meetings per week. This increase does not include additional meetings arranged by departments in their own departmental buildings, for example, additional Chemistry courses in Boylston Hall, etc. Twenty-two of these 72 additional class meetings have gone into the four main classroom buildings at the crowded hours 9 to 1; 26 have gone into these four buildings at other hours (that is, 7.45 to 8.45 A.M., or afternoons). The other 14 additional class meetings have been taken care of by the use of class rooms in buildings assigned for departmental uses (for example, Semitic Museum, Geological Lecture Room, etc.). All but two of these fourteen take place in the morning in the 9 to 1 hours.

It does not appear likely that the increase in the next two years will be smaller than in the last two. We are now using in the morning hours, from 9 to 1, 84.6 per cent of the capacity of the four main class-room buildings. Even if questions of health and safety were not involved it is unlikely, because of the impossibility of forecasting demands, that we could make 100 per cent utilization of our capacity. It does not seem feasible to crowd in more courses in the morning hours. Assuming that the Business School moves all of its class meetings across the river in the next few years, very small relief will be given since there are only fourteen meetings of Business School courses in our four main class-room buildings in the 9 to 1 hours.

TABLE 4 (continued)

NAME OF COURSE	UNDER 400		OVER 400	
	1924-25	1925-26	1924-25	1925-26
English A	223	240	815	893
" 28	269	281	...	...
" 41	193	190	...	...
" 2	...	...	649	580
German A	...	...	453	543
French 2	...	...	...	...
Mathematics A	192	287	...	...
Mathematics C	206	233	...	...
Physics C	229	280	...	...
Biology 1	243	264	...	...
History 1	...	...	649	750
Government I	...	...	417	525
Economics A	...	...	405	485
Philosophy A	...	347	407	...

TABLE 5. ATTENDANCE, 1870-1925 — HARVARD COLLEGE AND

Year	UNIVERSITY		HARVARD COLLEGE	
	Col.	Univ.	Col.	Univ.
1870-71	608	1316	1851	3901
1871-72	620	1214	1902	4091
1872-73	635	1039	1992	4288
1873-74	706	1167	1983	4142
1874-75	716	1199	2109	4261
1875-76	776	1290	2073	4328
1876-77	821	1370	2009	4136
1877-78	813	1344	1899	3945
1878-79	819	1350	2247	4026
1879-80	813	1356	2277	4012
1880-81	828	1365	2238	3918
1881-82	823	1382	2265	4046
1882-83	928	1450	2217	4123
1883-84	972	1526	2262	4203
1884-85	1006	1594	2308	4279
1885-86	1068	1669	2359	4366
1886-87	1077	1688	2473	4604
1887-88	1138	1812	2519	5226
1888-89	1180	1899	2642	5656
1889-90	1271	2079	1720	3684
1890-91	1339	2271	2221	3894
1891-92	1456	2658	2602	5273
1892-93	1598	2969	2609	5667
1893-94	1656	3156	2745	6073
1894-95	1667	3290	2787	6357
1895-96	1771	3600	2980	6733
1896-97	1754	3674	3041	7075
1897-98	1819	3859	...	...

TABLE 5 (continued)

Percent Increase:	1870-71 to 1924-25		1900-01 to 1924-25	
	University	College	University	College
	437.61	400.16	64.99	52.66

TABLE 6. POPULATION AND COLLEGE ENROLLMENT IN THE  
NORTHEASTERN STATES

Population Northeastern States (New England, New York and New Jersey)			
1870	1910	1920	1925
8,776,779	18,203,462	20,942,036	22,495,502
10,224,516	20,942,036	22,495,502	22,495,502
12,143,531	22,495,502	22,495,502	22,495,502
14,744,580	22,495,502	22,495,502	22,495,502

Registration — Colleges and Universities

Year	Registration					Total
	Harvard	Yale	Columbia	Princeton	Brown	
1870	1,316	755	776	364	220	261
1880	1,365	1,037	1,532	488	247	339
1890	2,271	1,645	1,671	850	352	352
1900	4,288	2,542	3,176	1,277	1,026	400
1910	4,123	3,282	5,117	1,450	935	502
1920	5,667	3,820	9,117	1,967	1,367	503
1925	7,075	5,143	13,230	2,412	2,032	615

Freshman Class — Harvard College

Year	Total Registration		No. from Northeastern States	
	1870	1920	1870	1920
1870	189	671	159	538
1880	243	621	191	494
1890	366	944	301	735
1900	537	1900	421	...

\* Estimated, World Almanac, 1924.

TABLE 7. ENROLLMENT IN THE UNIVERSITY AND PARTS OF THE UNIVERSITY, 1900-25

	1900-01	1901-02	1902-03	1903-04	1904-05	1905-06
College <sup>1</sup> .....	1992	1983	2109	2073	2009	1899
Grad. School of Arts and Sciences .....	341	312	316	402	366	394
All Depts. except College .....	2296	2159	2152	2255	2037	2046
Whole University <sup>2</sup> .....	4288	4142	4261	4328	4136	3945
College <sup>1</sup> .....	2247	2277	2238	2265	2217	2262
Grad. School of Arts and Sciences .....	387	400	403	425	463	454
All Depts. except College .....	1779	1735	1680	1781	1906	1941
Whole University <sup>2</sup> .....	4026	4012	3918	4046	4123	4203
College <sup>1</sup> .....	2308	2359	2473	2519	2642	1720
Grad. School of Arts and Sciences .....	463	497	532	598	605	296
All Depts. except College .....	1971	2007	2131	2707	3014	1964
Whole University <sup>2</sup> .....	4279	4366	4604	5226	5656	3684
College <sup>1</sup> .....	2221	2602	2609	2745	2787	2980
Grad. School of Arts and Sciences .....	359	531	532	582	648	670
All Depts. except College .....	1673	2671	3058	3328	3570	3753
Whole University <sup>2</sup> .....	3894	5273	5667	6073	6357	6733

## Percent Increase:

College .....	52.66
Graduate School of Arts and Sciences .....	123.75
All Departments except College .....	75.69
Whole University .....	64.99

<sup>1</sup> Lawrence Scientific School not included, but, beginning 1906-07, special students formerly registered with Lawrence Scientific School now registered in Harvard College, on account of a change in the administration of the S.B. degree.

<sup>2</sup> University Extension and Summer School students not included.

TABLE 8. ENROLLMENT — HARVARD UNIVERSITY, 1924-25

<i>The College</i> (total enrollment, 1924-25, 3041). A limit of 1,000 in each Freshman Class has been fixed.
<i>The Graduate School of Arts and Sciences</i> (total enrollment, 1924-25, 763). No limit desired.
<i>The Law School</i> (total enrollment, 1924-25, 1201). Increased facilities for expanding numbers being planned without intention of limitation.
<i>The School of Education</i> (total enrollment, 1924-25, 272). Coeducational; no limit proposed.
<i>The Graduate School of Business Administration</i> (total enrollment, 1924-25, 614). First-year class entering September, 1924, limited to 335 — that in February, 1925, to 150. This limitation will prevail until the new buildings are completed.
<i>The Medical School</i> (total enrollment, 1924-25, 506). Limited to 125 in each of the first two years, 135 in each of the second two years — total 520. Limit dictated by optimum use of existing laboratory space, clinical facilities and instructing staff. More students apply for admission than can be accepted, and the selection is made chiefly on the basis of an examination of the candidate's previous work — preference being given to men who have already prepared themselves in subjects which would more or less specially fit them for medical studies.
<i>School of Public Health</i> (total enrollment, 1924-25, 30). No limitation.
<i>The Dental School</i> (total enrollment, 1924-25, 204). No limitation.
<i>Engineering School</i> (total enrollment, 1924-25, 258). No limitation.
<i>The Theological School</i> (total enrollment, 1924-25, 74). No limitation.
<i>School of Architecture and Landscape Architecture</i> (total enrollment, 1924-25, 48 (Architecture) and 39 (Landscape Architecture)).

TABLE 9. LIMITATION OF NUMBERS IN ENDOWED COLLEGES OF NORTHEASTERN STATES

College or University	Lee-way	Limitation	When Adopted	Number Admitted in fall of 1924
Amherst	..	No formal limitation. Will probably accept 230 in the fall of 1925	....	210
Bowdoin	50	Freshman Class limited to about 150. (500 for College)	....	136
Brown	0	No rigid limitation. Try to limit Freshman Class to about 400 men (about 150 for Women's College)	....	422 Men <sup>1</sup>
Columbia	0	Total registration for College limited to about 2,000	....	474
Cornell	0	Limited to 500 (applies only to candidates for B.A. degree). College of Architecture limited to about 45. Other Schools not rigidly limited	Beginning with fall of 1925	490 (as candidates for B.A.)
Dartmouth	0	Trustee provision that total registration be limited to 2,000. The number admitted each year depends on size of upper classes	About 1918	673
Princeton	0	Limited to 600	....	Slightly over 600
Tufts	..	?	?	103 <sup>1</sup>
Williams	50	About 225	1924	254
Yale	50	Limited to 850	1923	880

<sup>1</sup> Size of Freshman Class.

TABLE 10. GROWTH OF ENROLLMENTS AND ENDOWMENTS IN ELEVEN UNIVERSITIES AND COLLEGES

A. Attendance			
	1900-01	1923-24	
	College	University	College
Amherst	400	...	561
Bowdoin	254	...	503
Brown <sup>1</sup>	920	920	2,013
Dartmouth	741	...	2,060
Tufts	802	...	2,094
Williams	375	...	694
Columbia	476	...	2,005
Harvard	1,992	3,419	13,230
Princeton	1,168	4,288	2,980
Yale	1,190	1,277	2,231
Cornell	...	2,542	2,005
	...	2,521	...
	8,318		15,133

<sup>1</sup> Women included.

B. Income-Bearing Funds			
	1900	1924	
Amherst	\$1,600,000.00	\$7,340,000.00	
Bowdoin	660,416.86	3,541,164.77	
Brown	1,297,227.56	8,209,057.83	
Dartmouth	2,500,000.00 <sup>1</sup>	6,000,000.00	
Tufts	48,926.00 (Income) <sup>1</sup>	167,304.00 (Income)	
Williams	1,050,850.00	4,543,972.00	
Columbia	435,000.00 (Income)	1,975,000.00 (Income) <sup>2</sup>	
Harvard	12,614,448.19	66,624,462.12	
Princeton	2,455,400.00	14,322,147.08	
Yale	4,942,166.04	35,764,883.97 <sup>2</sup> (Exclusive of Sterling Bequest)	
Cornell	?	?	

<sup>1</sup> 1901      <sup>2</sup> 1923

TABLE 10 (continued)

## C. Percentage Increase in

	Attendance in College 1900-24	Attendance in whole University Incl. College 1900-24	Income-Bearing Funds, Whole University 1900-24
Amherst .....	40.25	...	358.75
Bowdoin .....	93.03	...	436.20
Brown University .....	...	118.84 <sup>1</sup>	532.81
Dartmouth .....	178.00	...	140.00 <sup>2</sup>
Tufts .....	161.09	...	241.53 <sup>2</sup> (Income)
Williams .....	85.06	...	332.41
Columbia .....	321.21	286.95	354.02 <sup>2</sup> (Income)
Cornell .....	...	121.65	?
Harvard .....	49.59	57.19	428.15
Princeton .....	91.01	91.69	408.33
Yale .....	68.48	74.94	623.66 <sup>3</sup>

<sup>1</sup> Placed in this column in deference to the name; but might fairly be in column 1.<sup>2</sup> 1901-24.<sup>3</sup> 1900-23.TABLE 11. ENROLLMENT IN DEPARTMENTS OF HARVARD UNIVERSITY,  
1916-17 TO 1925-26

	1916 -17	1917 -18	1918 -19	1919 -20	1920 -21	1921 -22	1922 -23	1923 -24	1924 -25	1925 -26 <sup>1</sup>
The College <sup>2</sup> .....	2642	1720	2221	2602	2609	2745	2787	2980	3041	3279
Grad. School of Arts and Sciences .....	605	296	359	531	532	582	648	670	763	732
Law School .....	856	296	436	879	944	999	1019	1097	1201	1282
School of Education .....	...	...	...	...	121	153	241	285	272	236
Grad. School of Bus. Ad- ministration .....	222	93	159	394	442	466	468	539	614	675
Medical School .....	358	386	404	419	439	472	499	494	506	502
School of Public Health .....	...	...	...	...	...	30	16	29	30	30
Dental School .....	240	211	154	189	232	205	219	191	204	186
Engineering School .....	577 <sup>3</sup>	591 <sup>3</sup>	59	126	214	261	257	253	258	283
Mining School .....	4	1	...	...	...	...	...	...	...	...
Bussey Institution .....	16	6	7	10	15	20	16	16	25	16
Theological School .....	73	59	51	58	53	61	95	86	74	69
School of Arch. and Land- scape Arch. ....	63	25	44	65	66	79	92	93	87	91
Total .....	5656	3684	3894	5273	5667	6073	6357	6733	7075	7381

<sup>1</sup> On October 1, 1925.<sup>2</sup> Including Special Students.<sup>3</sup> In combination with Massachusetts Institute of Technology.TABLE 12. HARVARD COLLEGE AS A FEEDER TO THE OTHER  
DEPARTMENTS

## Degrees conferred in Harvard College, June 1923

(From Rept. of President and Treasurer, 1923-24, p. 322)

(1) A.B. ....	400
A.B. OcC. ....	56
A.B. for Honorable Service in the War .....	9
S.B. ....	108
S.B. OcC. ....	17
S.B. for Honorable Service in the War .....	2
Total .....	592
(2) Total number continuing in post-graduate work in Harvard University .....	185
Total number that did not go on to post-graduate work in Harvard University .....	407
(3) Proportion continuing in post-graduate work in Harvard University .....	31.25%

TABLE 13. HARVARD UNIVERSITY — ANALYSIS OF ENROLLMENT,  
1924-25

## Geographical Distribution

	College		Graduate and Professional Schools		Per cent of Total Popu- lation of U. S. area, 1920 <sup>1</sup>
	No.	Per cent	No.	Per cent	
<i>North Atlantic</i>					
New England	1717	56.46	1518	37.63	...
N. Y., N. J., Pa., Del.	697	...	773	...	...
	2414	79.38	2291	56.79	28.3
<i>South Atlantic</i>					
Va., W. Va., Ga., Fla., N. C., S. C., D. C., Md.	76	2.50	240	5.95	13.0
<i>Western</i>					
Colo., Calif., N. Mex., Ore., Mont., Wash., Ariz., Utah, Nev., Idaho, Wyo.	87	2.86	304	7.54	8.4
<i>North Central</i>					
S. D., N. D., Ill., Mich., Minn., Iowa, Mo., Wis., Ohio, Ind., Nebr., Kans.	357	11.74	740	18.34	32.2
<i>South Central</i>					
Ala., Tenn., Tex., Okla., Ark., Ky., La., Miss.	55	1.81	198	4.91	18.1
U. S. Territories and Foreign	52	1.71	261	6.47	...
Total .....	3041	100.00	4034	100.00	100.0

<sup>1</sup> In this column the Territories and Foreign Possessions do not enter into the 100 per cent; so there is a slight discrepancy in comparing it with percentages in columns 1 and 2.

TABLE 14. TABLE SHOWING GEOGRAPHICAL DISTRIBUTION OF  
CANDIDATES ADMITTED IN 1925  
*Under the Old, New, and Honor Plans*

	Honor	New Plan	Old Plan	Total	Honor Admissions % of Total
<i>North Atlantic</i>					
Maine .....	6	1	2	9	
New Hampshire .....	5	2	3	10	
Vermont .....	1	1	1	3	
Massachusetts .....	154	77	307	538	
Connecticut .....	11	0	8	19	
Rhode Island .....	3	3	3	9	
Total, New England States .....	180	84	324	588	30.6%
New York .....	38	55	62	155	
New Jersey .....	12	8	13	33	
Pennsylvania .....	13	9	17	39	
Total, New England States .....	243	156	416	815	29.77%
<i>South Atlantic</i>					
Florida .....	0	1	0	1	
Virginia .....	2	1	0	3	
Georgia .....	3	1	0	4	
District of Columbia .....	3	0	2	5	
West Virginia .....	1	0	1	2	
South Carolina .....	1	0	0	1	
Total, South Atlantic .....	10	3	3	16	62.5%
<i>Western</i>					
California .....	2	10	4	16	
Washington .....	2	0	1	3	
New Mexico .....	0	1	0	1	
Colorado .....	1	0	1	2	
Utah .....	1	1	0	2	
Idaho .....	0	1	0	1	
Total, Western .....	6	13	6	25	24%
<i>North Central</i>					
North Dakota .....	1	0	0	1	
South Dakota .....	0	1	0	1	
Illinois .....	14	4	8	26	
Michigan .....	3	1	3	7	
Minnesota .....	2	1	3	6	
Iowa .....	0	1	2	3	
Missouri .....	2	0	10	12	
Wisconsin .....	3	2	1	6	
Ohio .....	15	8	6	29	
Indiana .....	3	0	0	3	
Nebraska .....	1	0	0	1	
Total, North Central .....	44	18	33	95	46.3%

TABLE 14 (Continued)

	Honor	New Plan	Old Plan	Total	Honor Admissions % of Total
<i>South Central</i>					
Alabama .....	1	0	0	1	
Tennessee .....	4	0	1	5	
Texas .....	1	0	1	2	
Oklahoma .....	1	0	2	3	
Kentucky .....	4	0	0	4	
Total, South Central .....	11	0	4	15	73.3%
Total for North Atlantic States plus Illinois and Ohio (schools which make a specialty of fit- ting for colleges like Harvard being numer- ous in these states) ..	272	168	430	870	31.26%
Total for remainder of Continental United States .....	42	22	32	96	43.7%
Total, Continental United States .....	314	190	462	966	32.5%
<i>Insular Territories</i>					
Hawaii .....	0	0	1	1	
Porto Rico .....	0	0	1	1	
Total, Insular Territories .....	0	0	2	2	
<i>Foreign</i>					
Bermuda .....	0	0	1	1	
Canada .....	0	0	2	2	
Cuba .....	0	0	1	1	
Guatemala .....	0	0	1	1	
Jamaica .....	0	1	0	1	
Norway .....	0	0	1	1	
Peru .....	0	0	1	1	
Total, Insular Terri- tories and Foreign Countries .....	0	1	7	8	
Grand total .....	314	191	471	976	32.17%

In the fall of 1925-26 no candidates were admitted from the following states: Delaware, Maryland, North Carolina, Louisiana, Mississippi, Arkansas, Kansas, Arizona, Wyoming, Oregon.

Fig. 1. COLLEGE ATTENDANCE — 1870-71 TO 1924-25

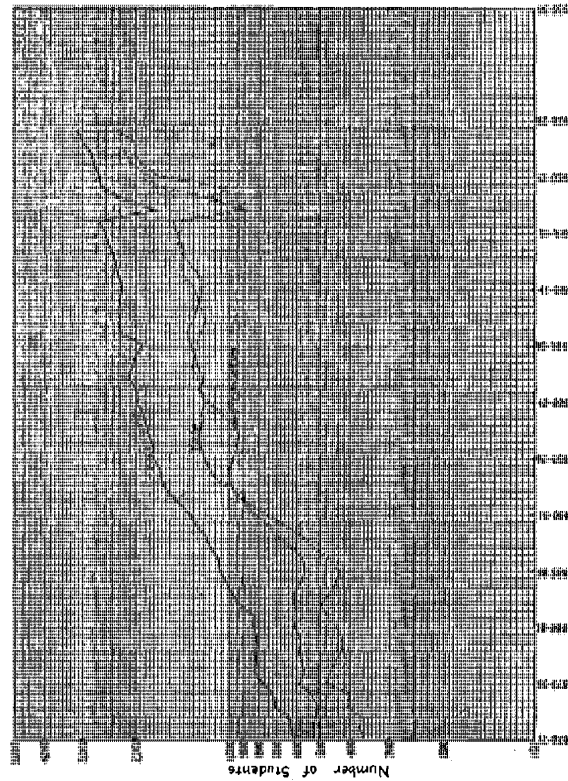


FIG. 2. POPULATION IN THE U. S. (EXCLUSIVE OF OUTLYING POSSESSIONS)  
COMPARED WITH ENROLLMENT (MEN AND WOMEN) IN UNIVERSITIES,  
COLLEGES, AND PROFESSIONAL SCHOOLS  
ADDED BELOW — REGISTRATION OF HARVARD FRESHMAN CLASS IN HUNDREDS

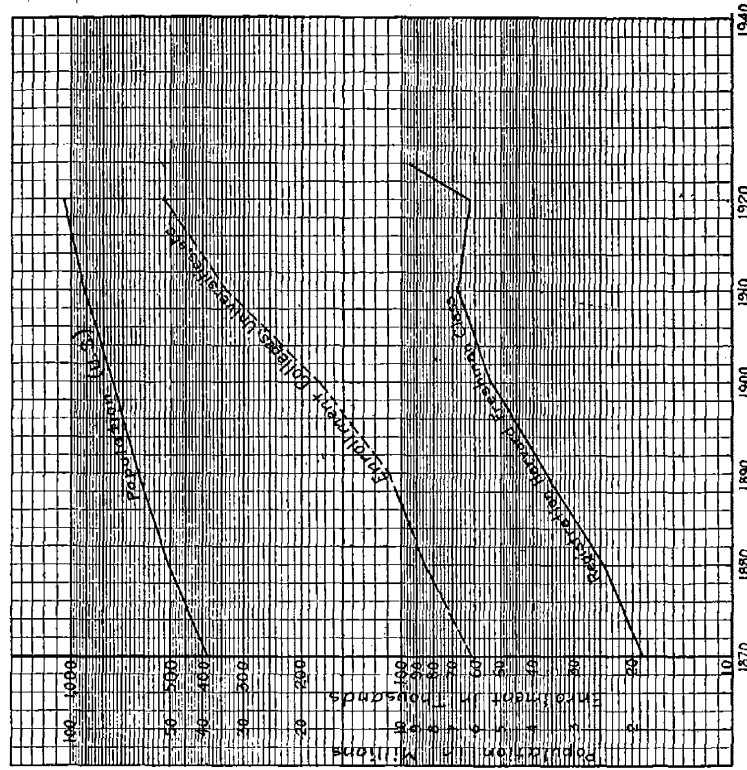




FIG. 3. THE RATE OF GROWTH OF THE COLLEGE COMPARED WITH THAT OF THE UNIVERSITY

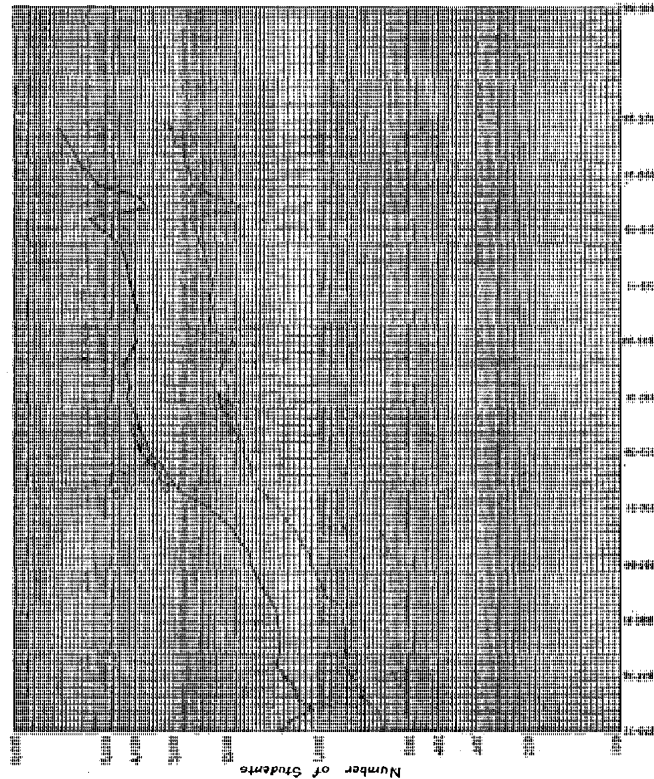


FIG. 4. CERTAIN COMPARISONS OF THE RATE OF GROWTH OF POPULATION AND COLLEGE ENROLLMENT

"Population in Millions" is that of the New England States plus New York and New Jersey. "Registration in Thousands" is the total for Harvard, Yale, Columbia, Princeton, Brown, Cornell, Amherst, Dartmouth, Williams, Bowdoin, Tufts. "Registration in Hundreds" is (above) that of the Harvard Freshman Class, (below) that of students from above named states in the Harvard Freshman Class.

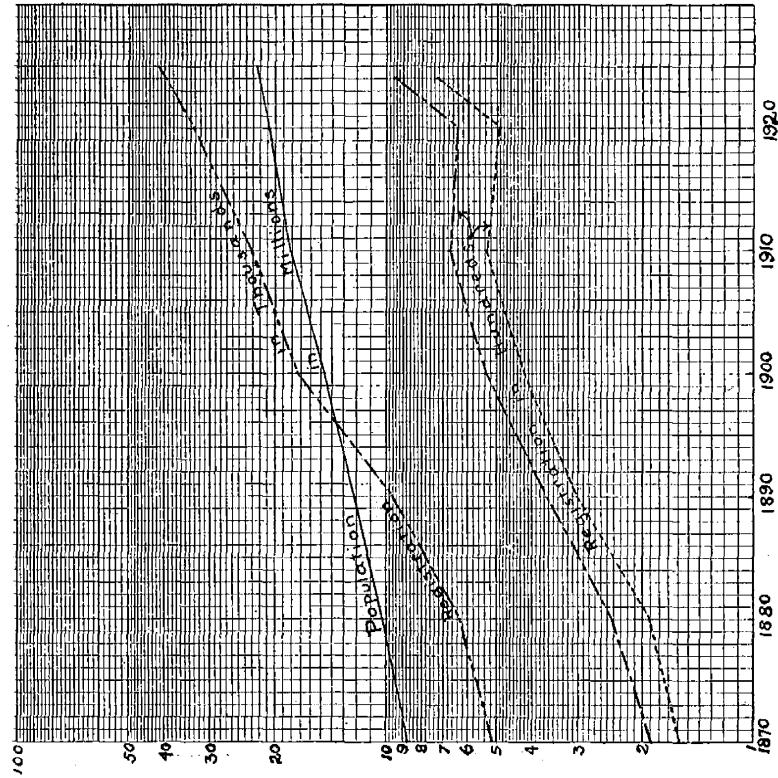
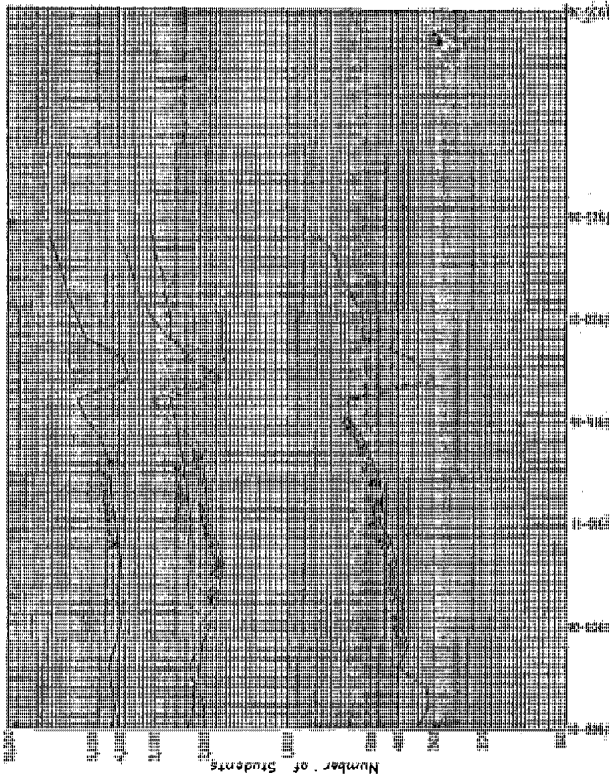


FIG. 5. COMPARISON OF RATES OF GROWTH OF HARVARD UNIVERSITY AND  
CERTAIN DEPARTMENTS



CONFIDENTIAL--FOR USE OF SCHOOLS AND  
SCHOLARSHIP COMMITTEES

HARVARD COLLEGE ADMISSION POLICY

The following statement of the criteria used in selecting students for admission to Harvard College has been drawn up in response to a request made at a recent meeting in Cambridge by the representatives of the Harvard Club Committees on Scholarships and Schools. It describes as comprehensively and specifically as is possible in brief compass the policies that have been followed for many years by the Harvard College Committee on Admission. We hope it will be useful to the alumni who interview our applicants.

The Committee selects candidates for admission on the basis of certain broad criteria: (1) academic promise; (2) personal qualities of character, all-round effectiveness, stability, and purpose; (3) health and participation in athletic activities; (4) geographical distribution; and (5) Harvard parentage. In the paragraphs that follow we shall try to make clear how these criteria are defined, how they are related to one another, and how much importance is attached to each.

Admission to Harvard College is not so much admission versus rejection as it is selection of those best qualified from a large group of applicants. The process of selection necessarily rests on the informed judgment of the Committee, and involves a weighing of all the factors to be considered.

(1) Academic Promise. The matter of primary concern is whether the candidate will be able to do Harvard work and how well he will do it. An estimate of the student's academic promise is made by examining his secondary school record and his College Board test scores. These factors are summarized, for the use of the Committee, in a single index--the Probable Rank List (PRL),



a statistical device based on the actual records in the freshman year of students who came to Harvard in previous years. Categories are established according to class standing in school combined with the results of College Board tests. Each entering student is assigned a PRL in accordance with the most typical standing of students with similar admission records in the past. Obviously this device gives only a rough approximation, and the Committee's estimate of an individual's academic promise is frequently modified by other evidence supplied by interviewers, school authorities, and others familiar with the applicant's intellectual qualities.

Ordinarily, a candidate of high academic promise has a better chance of admission than a candidate of lower promise, and the higher it is, the more important it is likely to become in the decision to admit. When the candidate's PRL is in the middle or lower ranges, other criteria assume increasing importance. No one is admitted, however impressive he may be in other respects, unless in the Committee's judgment, he has a reasonable chance of achieving at Harvard a satisfactory record ( 3 C's and a D) without damage to his personality because of excessive pressure of work and worry. Only in exceptional cases will a candidate be accepted whose PRL is below 6.0 ( i.e. Group 6).

(2) Personal Qualities. The difficult criterion of personal qualities is of major importance. It includes such intangibles as strength of character, emotional stability, personal and social adjustment, capacity for leadership, and motivation. Clearly it is not possible to appraise these qualities with a high degree of precision. Concrete indications of outstanding leadership, moral courage, high integrity, strong idealism and a sense of responsibility to the community carry great weight. Similarly, evidence of an unusually attractive



and well-adjusted personality counts heavily in favor of the candidate. A candidate of moderate academic promise may prove acceptable for admission if he has one or more outstanding personal qualities to his credit. The candidate who is definitely lacking in these qualities is not necessarily accepted, in spite of high academic standing.

In appraising the candidate's personal qualities, the Committee is careful not to confuse mere social immaturity resulting from a limited background with fundamental personality defects.

It is in the evaluation of these intangible personal qualities that alumni representatives can be most helpful to the College. Reports from the schools vary in the completeness of their information. For every candidate we need as much unbiased information as can be obtained--and this is likely to come best from our own alumni representatives who have an intimate knowledge of what Harvard wants and an interest in having the most desirable students at Harvard. It is important, particularly when there is strong evidence either way, that the interviewer's report shall contain positive statements with a citing of specific evidence to support them, if possible.

(3) Health and Athletic Activities. Health and physical vigour are factors in selection, but of less importance than those already mentioned. The presence of any significant health problem should be reported to the Committee. It will not necessarily lead to rejection. In fact, the Committee has gone out of its way to admit applicants with certain kinds of physical handicaps when, in the judgment of our doctors and the Committee, they could meet our requirements despite these handicaps. For the protection of the applicant and the College, however, the facts should be reported.



Outstanding athletic ability is a strong point in favor of a candidate. Regardless of how promising an athlete a candidate may be, however, he will not be admitted unless he is of sound character and has the required academic promise and the will to profit from a Harvard education. In fairness to the candidate it is particularly important that one who has athletic promise but limited means should not be encouraged to come to Harvard unless his budget plans enable him to meet college expenses without excessive strain.

(4) Geographic Distribution. The Admission Committee has set up no geographic quotas. Special preference, however, is given to residents of Cambridge and to areas from which we draw comparatively few students such as rural regions and small towns throughout the country. The purpose of this policy is to maintain, and extend Harvard's character as a national college, which contributes to the educational value of undergraduate experience at Harvard and to the service which the College renders to the country. Unless weight were given to geographic distribution in the selection of applicants, Harvard would have fewer students from the more distant parts of the country where our drawing power is naturally smaller. The geographic factor is of course only one of the several considerations which the Committee takes into account.

(5) Harvard parentage. Although no candidate is admitted solely because his father is a graduate of Harvard, nevertheless it is customary to admit sons of alumni provided they qualify academically and appear to have good character, a stable personality, and a sincere desire to obtain a liberal education at Harvard. If they are academically marginal, the fact of Harvard parentage carries less weight with the Committee.



The same policy is followed for sons of the Harvard faculty and non-academic staff.

The existence of a Harvard brother or a Harvard ancestor other than a father has a somewhat smaller effect on the Committee's decisions, but it is taken into account.

December 12, 1949

7-10-52  
Cm A. Policy

CONFIDENTIAL

Discussed at dinner w/ [redacted] Committee  
Oct. 1, 1952

I. ADMISSION POLICY

There has never been a comprehensive formal statement of Harvard College admission policy. In fact, until relatively recent years there was no real need for such a statement. Admission was a comparatively simple matter when students came to Harvard from a small number of schools in which a common pattern of preparation for college had been followed. The job of the Admission Committee was simply to select from among those who applied for admission those who appeared to have the ability to do acceptable work in the College. The size of the Freshman Class was determined until 1921 by the number of qualified applicants. The only problem was the technical one of setting and administering admission examinations to weed out the clearly incompetent. There was no thought of recruiting students. It was assumed that Harvard would naturally attract enough of the right kind of applicants.

Gradually this situation has changed, however. Quotas have been set limiting the size of the entering class and the number of applicants has increased so that we have a serious problem of selecting a certain number to be admitted from among a much larger number of applicants who are able to do satisfactory academic work at Harvard. Principles of selection, therefore, have to be established, which means that there must be some reasonably clear conception of the kind of student body we want.

Furthermore, we are no longer content to sit back and let students seek out Harvard. One looks back nostalgically at an earlier and simpler day when, if any one had thought about it, it would have seemed beneath Harvard's dignity to recruit students. It would be



JA1131  
Jews

1036

May 19, 1922

Dear Mr Hocking:

You are quite right that the Hebrew question is a knotty one, and a source of much anxiety. The main problem caused by the increase in the number of Jews comes, I take it, not from the fact that they are individually undesirable, but from the fact that they form a distinct body, and cling, or are driven together, apart from the great mass of the undergraduates. If other men of the same <sup>moral</sup> character flowed undistinguished in the stream of college youth, there would be no difficulty. The summer hotel that is ruined by admitting Jews meets its fate, not because the Jews it admits are of bad character, but because they drive away the Gentiles, and then, after the Gentiles have left, they leave also. This happened to a friend of mine with a school in New York, who thought, on principle, that he ought to admit Jews, but who discovered in a few years that he had no school at all. A similar thing has happened in the case of Columbia College; and in all these cases it is not because Jews of bad character have come; but the result follows from the coming in large numbers of Jews of any kind, save those few who mingle readily with the rest of the undergraduate body. Therefore any tests of character in the ordinary sense of the word afford no remedy. The number of men who could be rejected by any such process is very small, and would not, I think, touch the real problem. The summer hotel guards itself by refusing to admit any Jews. That, I believe, is very unfortunate; and in the case of a college would be wholly wrong. We must take as many as we can benefit, but if we take more, we shall not benefit them and shall ruin the college.



There may be different ways of limiting the number of Jews; either by directly excluding all beyond a certain percentage, a rule that could on the same ground be applied to any group of men who did not mingle indistinguishably with the general stream, - let us say Orientals, colored men, and perhaps I can imagine French Canadians, if they did not speak English and kept themselves apart; or we might limit them by making the fact that men do not so mingle one of the causes for rejection above a certain percentage. This would apply to almost all, but not all, Jews; possibly, but not probably, to other people. Applied in that way to all candidates for admission who do not clearly pass our entrance examinations, or who seek to transfer from other colleges, it would probably be effective for the moment; and meanwhile a committee could be studying the matter and report next year.

Personally, I think I should prefer to state frankly that we thought we could do the most good by not admitting more than a certain proportion of men in a group that did not intermingle with the rest, and give our reasons for it to the public. This would cause at once some protest, but would be recognised by reasonable people as the wise and generous thing. I suspect, however, that the Faculty, and probably the Governing Boards, would prefer to make a rule whose motive was less obvious on its face, by giving to the Committee on Admission authority to refuse admittance to persons who possess qualities described with more or less distinctness and believed to be characteristic of the Jews. This is what Professor Holcombe's motion was intended to do. Its object was to diminish the number of Jews in the college. He merely did not want it to be supposed that the Jews were excluded simply because they were Jews, but because they possessed the qualities common to Jews, although not absolutely universal.

What seems to me of greatest importance is that the Faculty should understand perfectly well what they are doing, and that any vote passed with the intent of limiting the number of Jews should not be supposed by anyone to be passed as a measurement of character really applicable to Jew and Gentile alike.

Very truly yours,

A. LAWRENCE LOWELL

Professor William E. Hooking

16 Quincy Street

Cambridge, Mass.

JA1134

June 10, 1922

Dear Mr. Marvin:

The situation about the Jews is not really very different in Harvard from what it is in the rest of the country. There is a race problem, and a very difficult one; and there is no use in shutting our eyes to it. During Reconstruction, the North shut its eyes to the race problem of the negro in the South and tried to act on the principle that there was no such thing as a race distinction. It made a mistake from which the country has not wholly recovered yet. There is no use, it seems to me, in shutting our eyes to a great problem of this kind. The assimilation of races in this country will be difficult, and ought to be carefully considered. When in any place - as in a college or school - the Jews become very numerous, it is a fact that the Gentiles tend to leave and the institution tends to change its character. To a limited number of Jews we can do a vast deal of good in making them American; but if the numbers increase largely, they cling together and are affected comparatively little. This is a real problem. Now, it is possible to meet it directly or indirectly. We can reduce the number of Jews by talking about other qualifications than those of admission examinations. If the object is simply to diminish the Jews, this is merely an indirect method of avoiding a problem in American life which is really important. This is the feeling of the most thoughtful people here, both Gentile and Jew. On the other hand, we are in no present danger of having more students in college than we can well take care of; nor, apart from the Jews, is there any real problem of selection, the present method of examination giving us, for the Gentile, a satisfactory result. It seems to me that where we have a real question we had better face it, and try to solve it as it is.

Very truly yours,

P. Marvin, Esq.

## Fitzsimmons W MERGED PA DC on 10-25 PLAYED on 10-26

## Fitzsimmons W MERGED PA DC on 10-25 PLAYED on 10-26

Designation	Source	Tx Duration	Remains	Barcode
<b>46:5 -46:17</b>	Fitzsimmons, William 2017-08-03	00:00:57	00:27:39	V1.1
46:5	Q. Do you know what the annual budget is for			
46:6	the admissions office?			
46:7	A. We -- you know, we don't have a -- we			
46:8	submit a budget every year. I don't have an exact			
46:9	amount to give you. What we are told is that our			
46:10	mission is clear that we need to get, you know, the			
46:11	best, most interesting students who will be the			
46:12	best educators of others during the four years and			
46:13	beyond from all backgrounds. We are not given a			
46:14	rigid limit on the amount of financial aid that			
46:15	we -- we would be -- we'd have to meet.			
46:16	Q. Ballpark, not the exact number, do you			
46:17	know what that annual budget is?			
<b>46:20 -46:25</b>	Fitzsimmons, William 2017-08-03	00:00:18	00:26:42	V1.2
46:20	A. I don't have an exact number. The			
46:21	financial aid budget these days for one year for			
46:22	Harvard College is around \$180 million.			
46:23	Q. That's money to be distributed through			
46:24	financial aid, or does it also include the			
46:25	financial aid operations?			
<b>47:3 -47:4</b>	Fitzsimmons, William 2017-08-03	00:00:06	00:26:24	V1.3
47:3	A. That would be money going directly to			
47:4	undergraduate for financial aid.			
<b>48:21 -49:10</b>	Fitzsimmons, William 2017-08-03	00:00:45	00:26:18	V1.4
48:21	Q. I'm sorry. I meant -- I thought you			
48:22	referred to recruitment groups as they reached out			
48:23	to people who were prospective candidates for			
48:24	admission who they thought would be eligible for			
48:25	HFAI?			
49:1	FITZSIMMONS			
49:2	A. Our own students who are part of HFAI, our			
49:3	current undergraduates, they would reach out to			
49:4	students in general we think might be eligible for			
49:5	the largest financial grants, if that's what you			
49:6	mean.			
49:7	Q. Yes. And so those students who are			
49:8	identified as potentially eligible, do they receive			
49:9	an admissions benefit by dint of their potential			
49:10	eligibility?			
<b>49:12 -49:18</b>	Fitzsimmons, William 2017-08-03	00:00:27	00:25:33	V1.5



## Fitzsimmons W MERGED PA DC on 10-25 PLAYED on 10-26

49:12 A. The fact that they would be eligible for  
 49:13 HFAI typically would be 80,000 or under. And,  
 49:14 particularly, 65,000 or under would be one factor  
 49:15 among all the other factors that, you know, you  
 49:16 would find in any single application. That would  
 49:17 certainly be one factor that would be taken into  
 49:18 account.

---

**134:14 -134:22** Fitzsimmons, William 2017-08-03 00:00:12 00:25:06 V1.6

134:14 Q. Does Harvard intend to stop using race in  
 134:15 its admissions process?  
 134:16 A. No.  
 134:17 Q. No?  
 134:18 A. I'm sorry. I didn't realize you didn't  
 134:19 finish your question. I apologize.  
 134:20 Q. That's okay. The answer is no?  
 134:21 A. No.  
 134:22 Q. At any point in time?

---

**134:24 -135:3** Fitzsimmons, William 2017-08-03 00:00:10 00:24:54 V1.7

134:24 A. There is no evidence for that.  
 134:25 Q. And what evidence would it take to  
 135:1 FITZSIMMONS  
 135:2 convince you that Harvard should no longer use race  
 135:3 in the admissions process?

---

**135:5 -135:6** Fitzsimmons, William 2017-08-03 00:00:06 00:24:44 V1.8

135:5 A. I haven't seen any evidence, and I don't  
 135:6 know what form such evidence might take.

---

**142:2 -142:5** Fitzsimmons, William 2017-08-03 00:00:10 00:24:38 V1.9

142:2 Q. If Harvard wanted to, could it ensure that  
 142:3 readers of files did not receive information about  
 142:4 the box that the applicant checked with respect to  
 142:5 racial identity?

---

**142:7 -142:15** Fitzsimmons, William 2017-08-03 00:00:21 00:24:28 V1.10

142:7 A. You mean mechanically?  
 142:8 Q. Yes.  
 142:9 A. I use the summary sheet, reader sheet, the  
 142:10 one we talked about before. Could we not provide  
 142:11 it mechanically? Yes.  
 142:12 Q. You could screen off that information from  
 142:13 being available to those reading the file, whether  
 142:14 they checked the box or not or what they identified  
 142:15 as?

---

**142:17 -142:23** Fitzsimmons, William 2017-08-03 00:00:11 00:24:07 V1.11

142:17 A. Mechanically, yes.

**Fitzsimmons W MERGED PA DC on 10-25 PLAYED on 10-26**

142:18 Q. So in some cases it might still come  
 142:19 through from the essay or the personal statement or  
 142:20 some recommendation, right?  
 142:21 A. In any number of different ways.  
 142:22 Q. All right. Do you think that's always  
 142:23 true?

---

**142:25 -143:6** Fitzsimmons, William 2017-08-03 00:00:06 00:23:56 V1.12

142:25 A. In every case?  
 143:1 FITZSIMMONS  
 143:2 Q. Yes.  
 143:3 A. No.  
 143:4 Q. Do you know how many applications, on  
 143:5 average, contain that information in those  
 143:6 statements?

---

**143:8 -143:8** Fitzsimmons, William 2017-08-03 00:00:03 00:23:50 V1.13

143:8 A. There's no way to estimate that.

---

**153:10 -153:21** Fitzsimmons, William 2017-08-03 00:00:24 00:23:47 V1.14

153:10 Q. Is Harvard attempting to obtain critical  
 153:11 mass of any particular ethnic group at the college?  
 153:12 A. I'm not sure what you would mean by  
 153:13 critical mass.  
 153:14 Q. Have you heard that term before?  
 153:15 A. I've heard it in physics. I've heard it  
 153:16 in, you know, in -- you know, I've heard the term  
 153:17 before.  
 153:18 Q. Have you heard it used with respect to the  
 153:19 use of race in college admissions?  
 153:20 A. Occasionally.  
 153:21 Q. Is it ever used at Harvard?

---

**153:23 -154:5** Fitzsimmons, William 2017-08-03 00:00:13 00:23:23 V1.15

153:23 A. I have never used it.  
 153:24 Q. Have you ever used it to describe what  
 153:25 Harvard's attempting to achieve?  
 154:1 FITZSIMMONS  
 154:2 A. No.  
 154:3 Q. I take it, then, that Harvard does not  
 154:4 have its own definition of what constitutes  
 154:5 critical mass?

---

**154:7 -154:11** Fitzsimmons, William 2017-08-03 00:00:15 00:23:10 V1.16

154:7 A. I certainly don't.  
 154:8 Q. And if I understand your testimony  
 154:9 previously, you can't provide any range or  
 154:10 quantification of what level of racial diversity is  
 154:11 sufficient to achieve Harvard's educational goals?

## Fitzsimmons W MERGED PA DC on 10-25 PLAYED on 10-26

<b>154:13 -154:13</b>	Fitzsimmons, William 2017-08-03	00:00:01	00:22:55	V1.17
154:13	A. That would be correct.			
<b>180:10 -180:13</b>	Fitzsimmons, William 2017-08-03	00:00:09	00:22:54	V1.18
180:10	Q. Are you aware of any formal analysis on			
180:11	paper that purports to analyze how these could be			
180:12	used and what the result of them would be instead			
180:13	of using race?			
<b>180:15 -180:18</b>	Fitzsimmons, William 2017-08-03	00:00:11	00:22:45	V1.19
180:15	A. Formal analysis?			
180:16	Q. Something in writing.			
180:17	A. Something that doesn't -- nothing as			
180:18	specific as what you're describing comes to mind.			
<b>180:21 -180:22</b>	Fitzsimmons, William 2017-08-03	00:00:03	00:22:34	V1.20
180:21	Since this lawsuit, are you aware of any			
180:22	such formal analysis?			
<b>181:5 -181:9</b>	Fitzsimmons, William 2017-08-03	00:00:17	00:22:31	V1.21
181:5	A. I think the answer to that question would			
181:6	be in the interrogatory regarding -- I believe, if			
181:7	I understand your question, the Ryan committee and			
181:8	then the committee that Dean Khurana and Dean Smith			
181:9	and I are on.			
<b>204:13 -204:18</b>	Fitzsimmons, William 2017-08-03	00:00:08	00:22:14	V1.22
204:13	Q. Do you know -- do you think that Harvard			
204:14	is doing all it can to achieve socioeconomic			
204:15	diversity?			
204:16	A. Yes.			
204:17	Q. Do you think there's anything else it can			
204:18	do?			
<b>204:20 -204:21</b>	Fitzsimmons, William 2017-08-03	00:00:03	00:22:06	V1.23
204:20	A. Not at the moment, but we stay open to			
204:21	possibilities.			
<b>213:5 -213:9</b>	Fitzsimmons, William 2017-08-03	00:00:12	00:22:03	V1.24
213:5	Q. When was the Ryan committee formed?			
213:6	A. I'm not sure precisely, but I would guess			
213:7	2014.			
213:8	Q. Okay. Do you know why the Ryan committee			
213:9	was formed?			
<b>213:14 -213:22</b>	Fitzsimmons, William 2017-08-03	00:00:25	00:21:51	V1.25
213:14	A. Just from looking at the charge of the			
213:15	committee, that's how I would know.			
213:16	Q. What was your role in the Ryan committee?			
213:17	A. One of, you know, any number of members.			



## Reading Procedures, Class of 2018

### I. UPDATE PROCEDURES

The new Summary Sheet captures information as supplied on the application for the FIRST READER. Late information can change the likelihood of admission and updates can be provided later for those initially considered less competitive. If any information is **missing** or **incorrect** for competitive candidates, changes should be made using the purple UPDATE/PROFILE sheet provided in the folder (sample attached) and noted in the appropriate places on the Summary Sheet. One exception: School code changes are NOT made on the UPDATE/PROFILE sheet, but on the School Code Update Form (sample attached) to be filed in a basket on the fileroom annex windowsill.

We report exactly what the applicant reports as ethnicity on the application. The ethnic codes on the Summary Sheet will come from the demographic fields the candidate checked on the application.

**Readers should update information for competitive candidates regarding Ethnic Codes only if ethnicity is checked on the application, but not recorded on the summary sheet.**

The following list of our existing historical codes is for your reference:

<b>A</b> - Asian American	<b>NH</b> – Native Hawaiian
<b>B</b> - Black/African American	<b>NA</b> - Native American
<b>M</b> – Mexican American	<b>O</b> - Other
<b>H</b> - Hispanic (not clearly "M" or "P")	<b>P</b> - Puerto Rican
	<b>W</b> - White/Caucasian

In addition to these previous ethnic categories, the following codes are used by the Common App for more granularity:

- **Hispanic or Latino**  
**XCM**–Central America, **CUB**–Cuba, **MEX**– Mexico , **PRI** – Puerto Rico, **XSM** – South America, **ESP**–Spain, **XOH**–Other
- **American Indian or Alaska Native**  
**XAN** –Alaska Native, **XCW** –Chippewa, **XCH** – Choctaw, **XCK**–Cherokee, **XNV**–Navajo, **XSX** – Sioux, **XON** -Other
- **Asian**  
**CHN** – China, **IND**– India, **JPN** – Japan, **KOR**– Korea, **PAK**–Pakistan, **PHL** – Philippines, **VNM**– Vietnam, **XEa** – Other East Asia, **XIS** -Other Indian Subcontinent, **XSA** - Other Southeast Asia
- **Black or African American**  
**XAA** - U.S./African American, **XAF** – Africa, **XCB** – Caribbean, **XOA** - Other

[Page]

- **Native Hawaiian or Other Pacific Islander**  
**GUM**–Guam, **XHI**–Hawaii, **ASM** – Samoa, **XOP**–Other Pacific Islands (excluding Philippines )
- **White Options**  
**XEU** –Europe, **XME**– Middle East **XOW** - Other

**Note that foreign citizens are listed as such, (without an ethnic code,) no matter what they have checked on the application.**

- **CITIZENSHIP CODE / COUNTRY OF CITIZENSHIP:** There are four options on the application that can be checked: (1) U.S. Citizenship, (2) U.S. Dual Citizenship, (3) U.S. permanent resident and (4) "Other" or foreign citizen.

The applicant holds only American citizenship.

*APP:* The box "U.S citizen" is checked with no other country of citizenship listed.

*SUMMARY SHEET:* Should read "CITZ: United States of America"

The applicant is a dual U.S. citizen, (a citizen of both the U.S. and another country).

*APP:* The box "U.S./dual U.S. citizen" is checked with another country listed to the right.

*SUMMARY SHEET:* Should read "CITZ: United States/<other country>"

The applicant is a U.S. Permanent Resident.

*APP:* The box "U.S. Permanent Resident" is checked with another country listed.

*SUMMARY SHEET:* Should read "CITZ: PERM RES / <other country>"

*Caveat:* If an applicant has checked the U.S. Permanent Resident box but notes that his or her application for permanent residency (or "green card") is pending, that applicant should be recoded as "Other citizenship." We must prepare an I-20 form if the applicant is admitted and the application for residency is still pending, and the citizenship code is the only way we know to do this.

The applicant is a foreign citizen.

*APP:* The box "Other citizenship" is checked with a foreign country listed to the right.

*SUMMARY SHEET:* Should read "CITZ: <other country>"

**PLEASE NOTE:** The accuracy of our citizenship coding is CRUCIAL. Miscoding affects many of the important statistics we are required to compile (including ethnicity), and we need to keep careful track of who needs a visa to study in the United States.

- **SCHOOL CODE:** If an applicant is coded to the wrong school, please fill out a school code update form and leave the form, along with the folder, in the school code update basket located in the fileroom annex. If the student needs to be read by the chair, first readers should pass the folder on to the chair along with the school code update form, so that the student will be coded out in a timely fashion and the chair will know to submit the folder for recoding. If the required recoding alters the docket and first reader assignment, please turn the folder in immediately and indicate that fact on the school code update form, so that the operations team can ensure that the interview is reassigned to the appropriate club and group and the folder is passed along to the appropriate reader.
- **SEX:** Occasionally the gender designation reported on the Common Application is coded incorrectly in our system. Such a coding error should be corrected. Please note that gender coding is optional and in the case of an applicant who does not designate a gender on the Common Application, any previous gender designation by that applicant (on tests, etc.) will override a blank gender designation.
- **COMMUTER:** Readers should use "C" (commuter) or "R" (resident).
- **LINEAGE:** Folders are occasionally coded incorrectly. Use the UPDATE/PROFILE sheet to change parents' college and/or graduate school. In the case of an H/R College son or daughter, the folder should be read by WRF following the normal reading process if the decision might require special handling or if another reading might be helpful.
- **FACULTY, STAFF:** Code ONLY children of professors at the Faculty of Arts and Sciences as an "F"; children of faculty from other parts of the University as well as children of administrative staff should be coded "S" on the UPDATE/PROFILE sheet. **Please be careful to apply faculty and staff coding where appropriate as we need to keep accurate statistics on these applicants. All "F" and "S" folders should be sent to WRF after the normal reading process has been completed.**
- **ACCESSIBLE EDUCATION OFFICE (AEO) REFERRALS:** Code all applicants who may require special accommodations due to disabilities or special needs with the AEO flag on the UPDATE/PROFILE sheet. We can then provide a list to assist the AEO and FDO in providing accommodations when appropriate.

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- **ATHLETE:** Use the number "7" to alert coaches to an athlete with potential to play for Harvard. Be sure the appropriate sport is listed as the first extracurricular activity. **DO NOT CHANGE ANY PRE-CODED ATHLETE.**
- **SCORES:** We hope to relieve readers from having to update the scores of any applicant and the reader should update scores only for competitive candidates. Applicants will know by checking the website which scores are in our files. They can report scores (which will be marked 'unofficial') as they like. By the time you are reading, we hope the vast majority of applicants will have checked the website and updated tests. They will be reminded to do so in the acknowledgement letter.

You can check scores by logging in to the alum portal or NEVO:

<https://admapp.admissions.fas.harvard.edu/hanevo/alumni-loginHA.do?fp>

Once on the welcome page, you will find a link, (located on the left frame) named "Find Applicants." When chosen, the link takes you to the FAS PIN system login page where you will enter your HUID and FAS PIN. Once your HUID is validated, you will be routed to a search page, allowing you to search for applicants, displaying the results in committee screen fashion. Scores are available beneath the searched applicant.

You should almost never need to update scores. If you do, they will merely be another set of unofficial tests. Applicants are on notice that they are responsible for changing 'unofficial' to 'official,' which they can only do by getting scores sent by CEEB/ACT. Paper copies of scores sent via fax, email attachment or U.S. mail are not considered official.

**If, however, you have a case with no scores on the reader sheet that you feel is worth committee discussion, enter the scores as unofficial on the UPDATE/PROFILE sheet. If the scores appear on the transcript, bring the folder to the database manager (TBD) who will be able to note them, mark them as unofficial, and verify them later.**

We receive secure web downloads of scores, so we do not have to wait for the scores to be mailed to us. Applicants are told not to use 'rush reports,' but if they do, they will arrive electronically as soon as they are scored.

- **FERPA:**  
We will be importing the applicant's FERPA selection as indicated on the Secondary School Report (SSR), alleviating the need for readers to record the FERPA selection.

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The import is intended to capture all online submitted SSR FERPA selections. A final spot-check on the admitted class (waitlist and deferred included) will then be performed, updating applicant files as needed.

## **II. CODING GUIDELINES FOR SUMMARY SHEETS**

All readers must code a preliminary overall rating and a profile (using the codes below and pluses and minuses) for all candidates. The full profile, including the school support and the interview(s) should be coded for all competitive candidates and those who have a reasonable chance of becoming competitive with positive late information. Writing prose comments is left to the discretion of the reader and should generally be done only for competitive candidates, those who might become competitive later, or those who present credentials or have attributes that might be of interest to the Committee.

### **Overall**

1. Tops for admission: Exceptional – a clear admit with very strong objective and subjective support (90+% admission).
2. Strong credentials but not quite tops (50-90% admission).
3. Solid contender: An applicant with good credentials and support (20-40% admission).
4. Neutral: Respectable credentials.
5. Negative: Credentials are generally below those of other candidates.
6. Unread.

First readers should code "threes" (and "fours" if they wish on occasion) as follows:

3+=673: Someone for whom late information could easily lead to admission  
 3 =683: Standard strong, but could be admitted if substantial new info elevates the case.  
 3-=693: Solid but would need unusually strong new information to make it.  
 4+=x74:  
 Etc.  
 X=6 if coded out by the first reader, otherwise it is the third reader's rating. The 7,8,9 rating can be used by the first or third reader, the latter's reading superseding that of the first reader. No overall ratings should be changed in the meetings, but others may be updated.

### **Academic**

1. Summa potential. Genuine scholar; near-perfect scores and grades (in most cases) combined with unusual creativity and possible evidence of original scholarship.

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2. Magna potential: Excellent student with superb grades and mid-to high-700 scores (33+ ACT).
3. Cum laude potential: Very good student with excellent grades and mid-600 to low-700 scores (29 to 32 ACT).
4. Adequate preparation. Respectable grades and low-to mid-600 scores (26 to 29) ACT).
5. Marginal potential. Modest grades and 500 scores (25 and below ACT).
6. Achievement or motivation marginal or worse.

#### Extracurricular, Community Employment, Family Commitments

1. Unusual strength in one or more areas. Possible national-level achievement or professional experience. A potential major contributor at Harvard. Truly unusual achievement.
2. Strong secondary school contribution in one or more areas such as class president, newspaper editor, etc. Local or regional recognition; major accomplishment(s).
3. Solid participation but without special distinction. (Upgrade 3+ to 2- in some cases if the e/c is particularly extensive and substantive.)
4. Little or no participation.
5. Substantial activity outside of conventional EC participation such as family commitments or term-time work (could be included with other e/c to boost the rating or left as a "5" if it is more representative of the student's commitment).
6. Special circumstances limit or prevent participation (e.g. a physical condition).

#### Athletic

1. Unusually strong prospect for varsity sports at Harvard, desired by Harvard coaches.
2. Strong secondary school contribution in one or more areas; possible leadership role(s).
3. Active participation.
4. Little or no interest.
5. Substantial activity outside of conventional EC participation such as family commitments or term-time work (could be included with other e/c to boost the rating or left as a "5" if it is more representative of the student's commitment).
6. Physical condition prevents significant activity.

#### Personal

1. Outstanding.
2. Very strong.
3. Generally positive.
4. Bland or somewhat negative or immature.
5. Questionable personal qualities.

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6. Worrisome personal qualities.

#### School Support

1. Strikingly unusual support. "The best ever," "one of the best in x years," truly over the top.
2. Very strong support. "One of the best" or "the best this year."
3. Above average positive support.
4. Somewhat neutral or slightly negative.
5. Negative or worrisome report.
6. Neither the transcript nor prose is in the folder.
8. Placeholder.
9. Transcript only. No SSR prose.

PLEASE NOTE: Support is coded teacher one, teacher two, then counselor. Teacher three and teacher four are optional, if applicable.

#### **GPA and GPA Scale:**

We must try to report an Academic Index to the IVY league for EVERY matriculant. If grades are available, please report a GPA and GPA Scale for your strongest candidates.

The Academic Index is calculated using GPA and GPA Scale. These will be converted automatically to the 20 to 80 scale in NEVO.

Here are the rules according to the AI instructions:

1. **GPA's generally:** The secondary school GPA should be taken as presented on the secondary school transcript; when both unweighted and weighted GPAs are presented, the unweighted GPA should be used. The Summary Sheet will indicate if a weighted or unweighted GPA is being pulled into NEVO. Please use the purple UPDATE/PROFILE Sheet to change the GPA to unweighted GPA if you notice an unweighted GPA being reported on the transcript. (If there is a question as to whether the school is using an unweighted or weighted system, the scale should be defined as unweighted, based on what the A grade earns in a regular course.)
2. **GPA scales and conversions from Table II:** Table II, the "CGS General Conversion Table" (formerly Table III, the values are unchanged), should be used for the GPA scales shown (100-points, 11.0/12.0, 7.0, 6.0, 4.0, A-D) even if the transcript or secondary school profile provides a conversion to a Table II scale.

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- 3. "High" GPA systems:** Although some secondary school transcripts show that GPAs may be routinely higher than the nominal highest grade on the scale, it is difficult to generalize about these practices. For example, especially with regard to schools that use 4.0 scales, there are high schools in which a high percentage of GPAs may be above 4.0 but also schools in which the highest GPA achieved is routinely far below 4.0. For 2013-14, Table II will continue to provide, based on experience across the league to date, that for some scales the highest nominal GPA will have a CGS below 80 and for others a CGS of 80 will begin at the highest nominal GPA.
- 4. Scales not provided on Table II:** Given the relatively small number of admitted and matriculated students for whom Table II scales are not provided, it is preferable not to create new scales if possible. In such cases, a GPA on a 4.0 scale should be calculated using the following formula, and a CGS then derived using the 4.0 scale on Table II:  $HSGPA/HSGPA\ scale = "x"/4.0$ , where "x" becomes the value from which the CGS is derived. For example, if on a 5.0 scale a student has a 4.8 GPA (whether the scale's top grade is A or A+), the formula is  $4.8/5.0 = x/4.0$ .  $X=3.84$  and the CGS = 73.

***This calculation will be done automatically in NEVO when you provide the GPA and GPA Scale used by the school.***

- 5. Calculating GPA when not provided by the secondary school:** When the secondary school does not calculate/report a GPA, the institution should calculate an unweighted GPA based on the secondary school's grading scale, using all courses for which grades and credit hours are provided, and weighting semester grades as one-half full-year grades. ***Enter the GPA and GPA Scale on the Update/Profile sheet.***
- 6. GPA period:** GPA data always should be for more than one year, including 10<sup>th</sup> and 11<sup>th</sup> grades, 9<sup>th</sup> grade when available, and official trimester or semester grades (as opposed to midterm grades) in the student's current year if available at the time the decision is made. If "official" grades from the current year are available but are not counted in the school's cumulative GPA, they should be added to the cumulative GPA and weighted appropriately: e.g., grades for first semester or trimester of senior year would be weighted as one-half or one-third year, respectively.\*

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\* When institutions calculate "final" all-class AI data for full admit cohorts in the spring and matriculant cohorts in the fall, athletes' AIs should be calculated in the same manner as non-athletes' AIs so that all AIs in the cohort data are calculated identically. The athlete's individually reported AI will continue to be the AI used at the time s/he received a likely or admissions decision, unless later testing or GPA information raised the AI (see E-8 below).



- 7. GPA's from multiple schools and repeat years:** When a student has attended multiple secondary schools (including a post-graduate year), all GPAs provided by the schools should be used to the extent possible (see #5 above when a school has not provided a GPA) and weighted as in #6 above. If the institution believes this result is not logical and fair, it should describe what approach it believes is better, subject to the Ivy League Admissions Committee's agreement.
- 8. For applicants from Canada:** For a Canadian GPA where the passing grade is 50%, add 15 points to the academic average before determining the CGS. If the passing grade is 60% add 10 points. If the passing grade is 70%, add nothing. ***Please add the extra points to the GPA before entering the results on the update/profile sheet – i.e., for a GPA of 86 where 50% is passing, 101 should be entered in GPA.***
- 9.** Follow the procedures listed below for AI calculations for students from schools that do not follow the American curricular system.

#### **"International School" AI calculations**

For all national curricula, unless specified otherwise elsewhere, include all courses as part of the GPA calculations.

**Generally:** Except as provided here, each school should calculate GPAs from international schools as it seems most appropriate; such calculations then should be reviewed during the spring meetings to determine what standardization might be agreed on. Institutions are encouraged to circulate questions during the year to determine what other institutions are doing and if a consensus exists that could or should be followed.

#### **1. International Baccalaureate Systems:**

Use the following equivalents to calculate a GPA:

- 7 = A+ = 4.3
- 6 = A = 4.0
- 5 = B = 3.0
- 4 = C = 2.0
- 3 = D = 1.0

- If the applicant is taking a gap year, actual two-year IB results are used.
- In the absence of final marks, use predicted marks. If predicted marks are not available, use internal grades.
- For IB schools in the U.S., use the course values given on the transcript; for IB schools outside the U.S., double the weight for Higher Level courses as opposed to the Standard Level courses.

- Use the same standards for “domestic” applicants as to “academic” versus “all” courses.

## 2. British systems:

Count all GCSE (= O Level), AS and A level results in order to calculate a GPA:

A\* (same as A+) = 4.3

A = 4.0

B = 3.0

C = 2.0

D = 1.0

- If the applicant is taking a gap year, actual A-Level results should be used.
- A Level grades are given double the weight of AS and GCSE grades.
- Internal grades are usually not available and should not be used if they are.
- In the absence of final marks, predicted A-Level grades should be used when available.

## 3. Pre-U Program (New British System)

Use only Principal Subjects with the following conversions for British Pre-U programs:

D1 = A+/4.3

D2 = A+/4.3

D3 = A/4.0

M1 = B+/3.3

M2 = B/3.0

M3 = B-/2.7

P1 = C-/1.7

P2 = D/1.0

P3 = D-/0.7

## 4. Singapore schools following standard JC grading conventions

Include H1 (GP, Project, etc.) & H2 predictions on a 4.0 scale to calculate GPA.

Double weight for H2 marks. For H3, the scale is:

- Distinction = A/4.0
- Merit = B/3.0
- Pass = C/2.0

Double H3s as well. If provided, include O Level/GCSE marks in calculation of GPA with a single weight like we do with the British System.

## 5. Australia

Push schools for a transcript of some sort. If all else fails and you are given the state final exam result or prediction (ex: UAI for NSW, OP for Queensland), use that.

## 6. New Zealand

For courses in which there is the possibility to get more than a grade of Achieved:

- Excellent = A/4.0
- Merit = B/3.0
- Achieved = C/2.0
- Not Achieved = F/0

For courses graded only Achieved/Not Achieved, we will consider these the same as Pass/Fail, so a mark of Achieved will not be included when calculating GPA.

**TABLE II : Used for calculating Converted Gradepoint Score (CGS)**

Percentage Average	11.0/12.0 Scale Average	7.0 Scale Average	6.0 Scale Average	4.0 Scale Average	Letter Grade Equivalent to 4.0	CGS
98.00 and above	12.00 and above	7.00 and above	6.00 and above	4.30 and above	A+	80
97.00 - 97.99	11.70 - 11.99	6.70 - 6.99	5.70 - 5.99	4.20 - 4.29		79
96.00 - 96.99	11.40 - 11.69	6.40 - 6.69	5.40 - 5.69	4.10 - 4.19		78
95.00 - 95.99	11.00 - 11.39	6.00 - 6.39	5.00 - 5.39	4.00 - 4.09	A	77
94.00 - 94.99	10.70 - 10.99	5.90 - 5.99	4.90 - 4.99	3.90 - 3.99		75
93.00 - 93.99	10.40 - 10.69	5.80 - 5.89	4.80 - 4.89	3.80 - 3.89		73
92.00 - 92.99	10.00 - 10.39	5.70 - 5.79	4.70 - 4.79	3.70 - 3.79	A-	71
91.00 - 91.99	9.80 - 9.99	5.60 - 5.69	4.60 - 4.69	3.60 - 3.69		70
90.00 - 90.99	9.50 - 9.79	5.50 - 5.59	4.50 - 4.59	3.50 - 3.59		69
89.00 - 89.99	9.30 - 9.49	5.40 - 5.49	4.40 - 4.49	3.40 - 3.49		68
88.00 - 88.99	9.00 - 9.29	5.30 - 5.39	4.30 - 4.39	3.30 - 3.39	B+	67
87.00 - 87.99	8.70 - 8.99	5.20 - 5.29	4.20 - 4.29	3.20 - 3.29		66
86.00 - 86.99	8.40 - 8.69	5.10 - 5.19	4.10 - 4.19	3.10 - 3.19		65
85.00 - 85.99	8.00 - 8.39	5.00 - 5.09	4.00 - 4.09	3.00 - 3.09	B	63
84.00 - 84.99	7.70 - 7.99	4.90 - 4.99	3.90 - 3.99	2.90 - 2.99		61
83.00 - 83.99	7.40 - 7.69	4.80 - 4.89	3.80 - 3.89	2.80 - 2.89		59
82.00 - 82.99	7.00 - 7.39	4.70 - 4.79	3.70 - 3.79	2.70 - 2.79	B-	57
81.00 - 81.99	6.75 - 6.99	4.60 - 4.69	3.60 - 3.69	2.60 - 2.69		55
80.00 - 80.99	6.50 - 6.74	4.50 - 4.59	3.50 - 3.59	2.50 - 2.59		53
79.00 - 79.99	6.25 - 6.49	4.40 - 4.49	3.40 - 3.49	2.40 - 2.49		51
78.00 - 78.99	6.00 - 6.24	4.30 - 4.39	3.30 - 3.39	2.30 - 2.39	C+	49

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77.00 - 77.99	5.70 - 5.99	4.20 - 4.29	3.20 - 3.29	2.20 - 2.29		48
76.00 - 76.99	5.40 - 5.69	4.10 - 4.19	3.10 - 3.19	2.10 - 2.19		47
75.00 - 75.99	5.00 - 5.39	4.00 - 4.09	3.00 - 3.09	2.00 - 2.09	C	46
74.00 - 74.99	4.70 - 4.99	3.90 - 3.99	2.90 - 2.99	1.90 - 1.99		45
73.00 - 73.99	4.40 - 4.69	3.80 - 3.89	2.80 - 2.89	1.80 - 1.89		44
72.00 - 72.99	4.00 - 4.39	3.70 - 3.79	2.70 - 2.79	1.70 - 1.79	C-	42
71.00 - 71.99	3.5 - 3.99	3.60 - 3.69	2.60 - 2.69	1.60 - 1.69		40
70.00 - 70.99	2.5 - 3.49	3.50 - 3.59	2.50 - 2.59	1.50 - 1.59	D+	38
Below 70.00	Below 2.5	Below 3.5	Below 2.5	Below 1.50	D	35

### INTERVIEWS:

The final reader should also record the personal and overall ratings from the staff and alumni interview reports in the folder.

### INTERVIEW PROFILE (IVP):

Below is the language for uniform implementation of the Interview Profile number (IVP) for use with all Schools and Scholarship Chairs. The IVP will serve as a guide for Chairs to know when our office needs the reports, and therefore how quickly they need to be assigned. All interviewers will be told that they should submit their interview report no later than two weeks after receiving the interview assignment.

1. Please have interview report in as soon as possible.
2. Please have interview report in by the sub-committee deadline.
3. Please have interview report in by December 1 (EA) or March 1 (RD).
4. No additional information needed at this time.

This language has been distributed to the S&S chairs via email and can also be found in the updated handbook and website instructions. (Please ask Brock Walsh if you need help accessing the site). **Please have a conversation with your chairs to determine if you wish to use the IVP, and please make clear that this information should not be shared with other interviewers or applicants.** If your chairs have additional clerical or operational questions about the IVP, please direct them to email Brock/Caroline Weaver at SSinfo@fas.harvard.edu.

When reading, please input your IVP code in the relevant spot on the purple code-out sheet. If you are passing the folder to your chair and you decide that you need the interview ASAP in the meantime, please input your IVP on the orange sheet and hand that in separately. **In this instance, still record the IVP on the purple sheet so that your chair knows what you have coded. This will help the data entry team by minimizing the possibility of conflicting numbers.**

**PROSE COMMENTS:**

When making prose comments, first readers should note on the important academic and extracurricular accomplishments that are particularly pertinent to the case. It is also helpful to reference teacher reports or other items that may be crucial to our evaluation of the case. In addition to numerical ratings, readers should try to summarize the strengths and weaknesses of the folder in brief paragraphs or comments. Avoid slang and jargon and try to identify the special strength of the candidate, if any. REMEMBER - your comments may be open to public view at a later time.

**III. FOLDER ROUTING**

**INADVERTENTLY CLEARED FOLDERS:** Occasionally, folders will be mistakenly "cleared" (considered complete) and placed in your basket. (The cause is usually an inappropriately pulled inventory card.) The applicant will not know that the folder is still incomplete, because when he or she checks the application's status on-line, the database will indicate that the folder is complete. Before returning the folder to the records room please check the red folder as there may have been a mix-up and the document you need may be in the red. If not, return the file to the Records Room and give it to Ian/Mollie with a note on the front of the folder indicating what is missing. Do not place wrongly cleared folders into the misfile box. Any material that is misfiled in a folder should be put in the misfile box as soon as possible. The misfile will often be critical to clearing another folder.

**FOLDERS SHOULD BE READ AND PASSED IN A TIMELY FASHION:** Readers should take care to not allow folders to pile up. First readers need to read folders from all assigned dockets as they clear, not just those whose subcommittee meets first. This is important, and we will monitor reading progress centrally. If you need help keeping up for whatever reason, let us know immediately. Readers should place their completed folders immediately in the basket of the next reader or in the code-out box in the Fileroom Annex. First-time readers will have a separate code-out box.

**SECOND READERS:** Except by new readers (for whom special routing instructions are provided below), second readings should be used only in the rarest of instances:

- A) If three readings are needed for a complex case.
- B) If the case raises issues of policy.
- C) If the case would be greatly helped by a second reading from the former area

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person or someone with special knowledge of an area or type of case.

No second reader will ordinarily be assigned. If you want/need a second reading, consult the enclosed docket assignment sheet to identify other readers on your docket. Try not to burden one person inordinately.

**FIRST-TIME READERS:** New readers will have their first fifty Early Action folders passed either directly to the docket chair or the new reader code-out box for redistribution, as well as any other subsequent folders that might help instruct the new reader in future evaluations. Some chairs may wish to use different approaches for first year readers.

#### **GENERAL ROUTING RULES:**

1) A folder should be passed directly to the third reader:

- If the first reader rates a folder a "2-" or better (i.e. a case the first reader thinks should be admitted)
- If the folder will definitely (or almost definitely) be discussed in Committee.
- If you want the third reader's opinion or want simply to have the third reader informed about the case. (Such cases probably should be coded out first.)

**If the first reader has a significant degree of uncertainty about how to proceed with the case, he or she should consult the docket chair.**

- 2) A case rated a 3+ may be coded out or passed to the chair. The first reader should consider carefully the likelihood that additional anticipated information (e.g., a superior music rating) will make the case more compelling, in which case the folder should be passed to the chair. If there is no further information anticipated and the case is qualitatively a 3+ (a strong case but like many others), an experienced first reader can code out.
- 3) Typically a case rated a "3" or less with no particular attribute that would make it competitive can be coded out. Obviously late information or school context could change this initial evaluation. The first reader, as an advocate, must be doubly certain to check all late information that might make a difference to the case prior to the Committee meetings. This is particularly important for candidates whose outstanding personal qualities become evident once we have the alumni/ae interview.

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Readers new to a docket should discuss with the docket chair any special guidelines about which folders should be passed on and which folders should be coded out.

All UPDATE/PROFILE sheets should be completed **FULLY (WITH INK IN LEGIBLE FORM)**, pulled from the folder, and returned to the appropriate boxes in Fileroom Annex.

Each folder includes an UPDATE/PROFILE sheet with complete names and high school information so most readers will not have to code these. However, if you need to fill out a blank sheet, **PLEASE WRITE THE COMPLETE NAME OF THE APPLICANT AS WELL AS THE SCHOOL NAME AND YOUR INITIALS ON A BLANK SHEET AVAILABLE FROM THE FILEROOM ANNEX.**

### **SPECIAL READINGS**

- WRF should see cases that could be particularly sensitive or controversial or that raise issues of fundamental policy. When in doubt, send the folder on rather than coding it out.
- Folders of competitive candidates who attended secondary school outside the U.S. and Canada may be passed on to the appropriate U or V docket area person or RMW if help in assessing foreign credentials is needed. Be selective- don't pass on a folder unless you are sure the applicant is both competitive and appealing or has some unusual attributes.
- Faculty readings will be done after the folder has been coded out. A memorandum will be distributed later regarding specific procedures.
- Slides/tapes/CDs/DVDs of clearly competitive candidates with an unusually strong talent may be passed on to appropriate staff/faculty. Handling of this material will be addressed through memoranda over the course of the fall.

### **IV. ECONOMICALLY DISADVANTAGED APPLICANTS**

It has long been a priority for Harvard to seek talented students from all backgrounds, including those extraordinary individuals who are able to transcend economic disadvantages and achieve unusual academic distinction.

- **DISAD?**  
**After thoroughly reviewing the folder, if you believe the applicant is**

[Page]



**from a very modest economic background, please code a "Y" in the "Disad?" (for staff identified disadvantaged) section on the Reader and Update Sheets.** In the past, admitted students who had been staff identified as "Disadvantaged=Y" were found to be economically needy 78% of the time.

We have included other parameters to help with your evaluation of the applicant's economic background. These can be found in the box located in the middle and bottom of Page 1 of the reader sheet and top of Page 3. They are:

- **FEE STATUS**

\*Please note: In addition to the fee waiver forms we currently accept, we now include waivers issued by Expanding College Opportunities (ECO). ECO is a research initiative aimed at increasing the number of high-achieving, low-income students who apply to selective colleges and universities

- **REQUESTED HRP INFO:** Since the summer of 2005, a postcard describing the Harvard Financial Aid Initiative has been included within all search letters mailed to students. Students interested in learning more about financial aid at Harvard were asked to return the postcard or sign up online in order to be contacted by HFAI student coordinators during the summer and fall. If a student has returned the postcard from the search, or has otherwise contacted the HFAI office specifically for information about the program, they will also have a "Y" next to the "HRP\_Requested\_Info" designation on the reader sheet.
- **HRP CALL RATING:** This is a rating assigned by the students from HFAI and UMRP based on the quality of phone conversations they had over the summer and into the fall. The ratings will be A, B or C. The student coordinators are encouraged to provide a write-up for only those student conversations to which they assigned A's (Tops) and C's (Not so great). These ratings do not indicate level of need.

**V. OTHER ITEMS**

- **The new summary sheet is made up of data downloaded from the application and supplement forms. We currently do not have the ability to enter all the information by hand for those applicants who do not submit their forms on-line. However, the data entry staff will enter the information that they have in the past. This means that the dockets will be correct, but the new reader sheets for these applicants will be primarily blank. You should double-check the data that is important - i.e. parent education, ethnicity, aid status, etc. - basically**

[Page]



**every field that's on the profile and update sheet. About 1% of all our applicants will fall into this category.**

- Acknowledgments to guidance counselors, teachers, and others: The area person may occasionally feel it worthwhile to acknowledge unusually helpful TRs and SSRs by writing a note to the author. The acknowledgment should bear in mind that the candidate may or may not be admitted. **Supplementary letters of recommendation may have already been acknowledged with a card or letter, but if not, particularly with recommenders who are alumni or others about whom Harvard might be concerned, you should call the letter to the attention of MEM or WRF and an acknowledgment will be sent. This is important!**
- Support Materials: ALL support material should be dropped into the appropriate bucket in the mailroom for sorting and scanning.
- Misfiled and missing materials: Please write "misfile" on top of any material that has been mistakenly filed into the wrong folder and return it to the misfile box in the basket side of the Fileroom. If a teacher report, school report or any other material that would be helpful to a competitive candidate is missing, first readers should request a copy be re-sent. Folders should be sent on to other readers unless the missing pieces are crucial. In such cases, first readers should hold onto the file and check the red folder.
- Folder items that require attention: Unanswered letters should be handled by first readers where appropriate or others including MEM or WRF.
- Fee Waivers: Any requests for a fee waiver should **not** be removed from the folder. However, if a fee waiver request is in the folder and was not recorded, you should add it to the special notes on the purple Profile sheet.
- Twins: Twins may confound our score file. Please be extra careful in checking and in assigning scores in these cases.

## **VI. SCANNING, INDEXING AND THE NOLIJ CONNECT DOCUMENT VIEWER**

As you know, we have incorporated an image scanning and document viewer system into the admissions process. The system is intended to ease access to documents that have been digitally downloaded and printed but not yet filed into the applicant folder. A second process is also in place and designed to capture documents that are mailed,

[Page]

emailed, faxed or hand delivered. Once these documents are scanned into the system, the document viewer (nolij connect) delivers an electronic copy of the document to your desktop. In the event a critical document is not in the physical folder, more than likely it will be in the image system.

We have added a basket in the mailroom to collect and sort documents received. The forms collected in these baskets should have content that is \*specific\* to the admission decision of the applicant and are marked as such. For example, mailed applications or supplements, letters of support, teacher reports, Harvard eval, (coach, arts, music, Harvard faculty), midyear reports, SSR's etc. So you know, we don't scan everything sent to us. There is a specific bin called "non-scannable materials." Meg Senuta manages the scanning process and Haley Frampton manages the mailroom/sorting process. Both are able to answer questions about document types if the need arises.

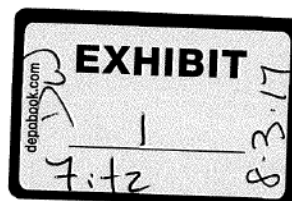
Documents displayed in the viewer are named by the document type. A list of those types are displayed below:

- Application
- Application Supplement
- Personal Essay
- Coach Eval
- Faculty Eval
- Arts and Music Eval
- Fee Waiver
- Interviews (alum)
- Staff Interviews
- Dean/Director Letters
- Likely Letter
- Final Report
- Letters of Support
- Midyear
- Reader Sheet
- SSR
- SSR Part II
- Counselor Eval
- Transcript
- School Profile
- Home School Supplement
- Teacher Report

[Page]

## SEARCHES 2013 - CLASS OF 2018

PSAT	SAT = V+M	Eth/States	GPA	2017	2018	% change
High Scorers Men	1380 - 1600	K, O, W/ ALL	A+ TO A-	14,030	16,045	14%
High Scorers Women	1350 - 1600	K, O, W/ ALL	A+ TO A-	16,216	16,687	3%
Sparse Country	1310 - 1370	K, O, W/ AL, AK, AZ, AR	A+ TO A-	3,259	3,486	7%
		ID, LA, ME, MS, MT, NE				
		NV, NH, NM, ND, OK, SD				
		UT, VT, WV, WY				
High Scorers Asian Men	1380 - 1600	ALL PSAT Takers - US and PR	A+ TO A-	6,602	7,460	13%
High Scorers Asian Females	1350 - 1600	ALL PSAT Takers - US and PR	A+ TO A-	7,447	7,924	6%
BCHNP	1100 - 1240	ALL PSAT Takers - US and PR	A+ TO B+	34,882	32,680	-6%
HIGH BCHNP	1250 - 1600	ALL PSAT Takers - US and PR	A+ TO B+	10,074	10,837	8%
				92,510	95,119	3%
SAT Search	V+M	Eth/States		2017	2018	% change
BCNP LEVEL 3	1170 - 1260			11,272	10,858	-4%
BCNP LEVEL 2	1270 - 1360			5,596	5,145	-8%
BCNP LEVEL 1	1370 - 1600			2,698	2,409	-11%
High Scorers	1380-1600	A, K, O, W/US citizens and residents		2,472	536	-78%
				22,038	18,948	-14%
ACT Search	Range	Eth/States		2017	2018	% change
High Scorer	33+	W,A,O,K		16,512	18,255	11%
Asian	30-32	US / CA, DC, FL, HI, IL, LA		1,641	1,778	8%
		MA, MN, MS, NY, OR				
		TX, VA, WA, WI				
Sparse Country	30 - 32	ID, ME, MT, NV, NH		5,391	5,695	6%
		ND, OK, SD, WY				
BCHN - Lo	26 - 28			8,487	9,149	8%
BCHN - Hi	29 - 36			5,272	5,708	8%
				37,303	40,585	9%
AP Search	CH, CS, BC	US STATES AND TERR		2017	2018	% change
	PHB, PHC 4-5			13,787	12,840	-7%
Letters Sent				2017	2018	% change
PSAT				77,787	78,363	1%
ACT/SAT*	*ACT/SAT mailed to US addresses only.			27,553	29,541	7.2%
AP				6,588	6,857	4%
				111,928	114,761	2.5%





**Admissions Part II**  
**Subtitle**

February 14, 2012

Office of Institutional Research

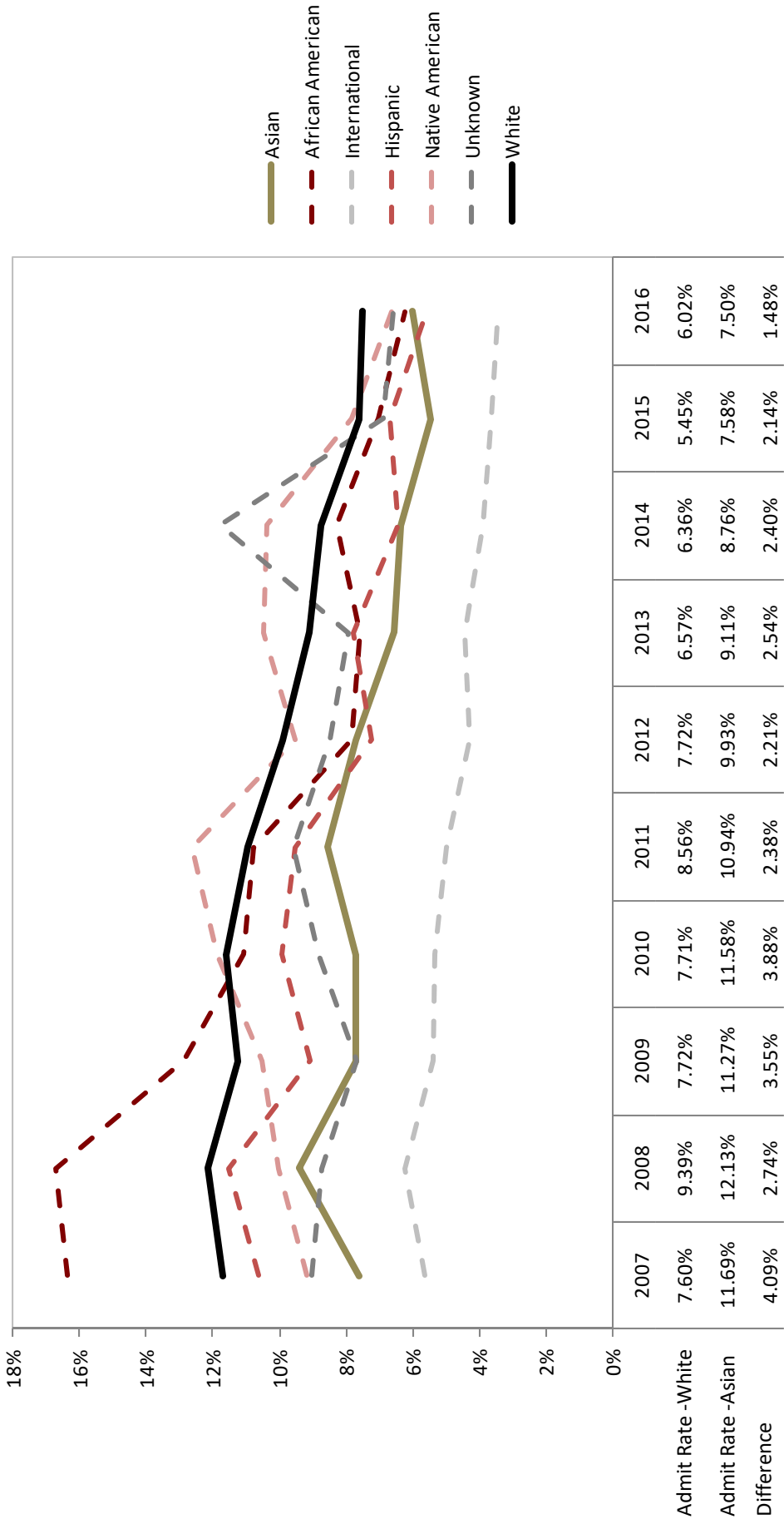
## Summary

PRELIMINARY DRAFT

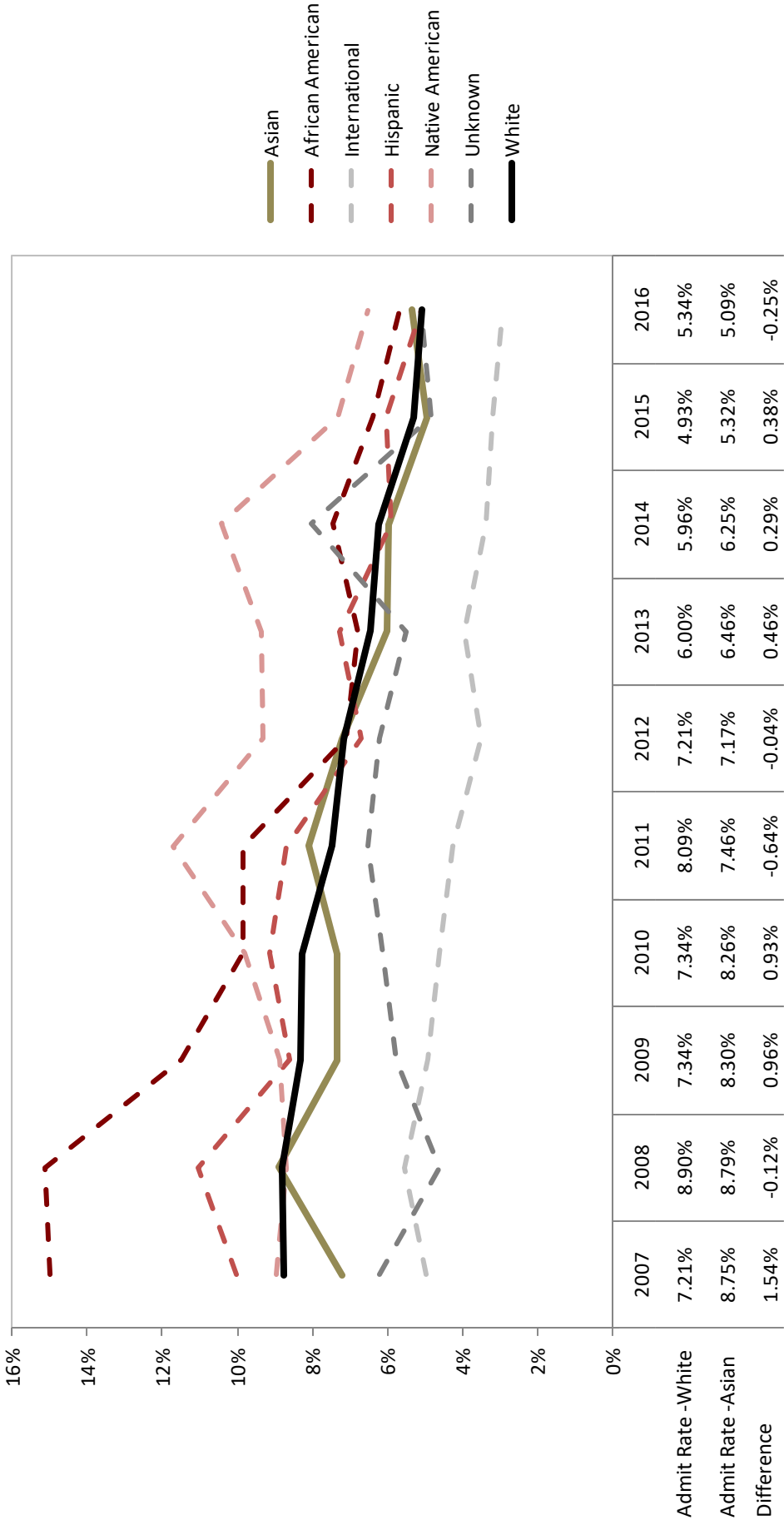
2

- Athletes and Legacies explain the difference in raw admit rates for Asian and White applicants.
- Asian applicants have higher average ratings and test scores (excluding the personal rating).
- Differences exist in the raw admit rates of Asian and White students with similar test scores and academic indices. Even top scores and ratings don't guarantee admission.
- Personal rating is important in models of the admissions process and drive some of the demographic differences we see.

Admit Rates by Ethnicity, Classes of 2007-2016

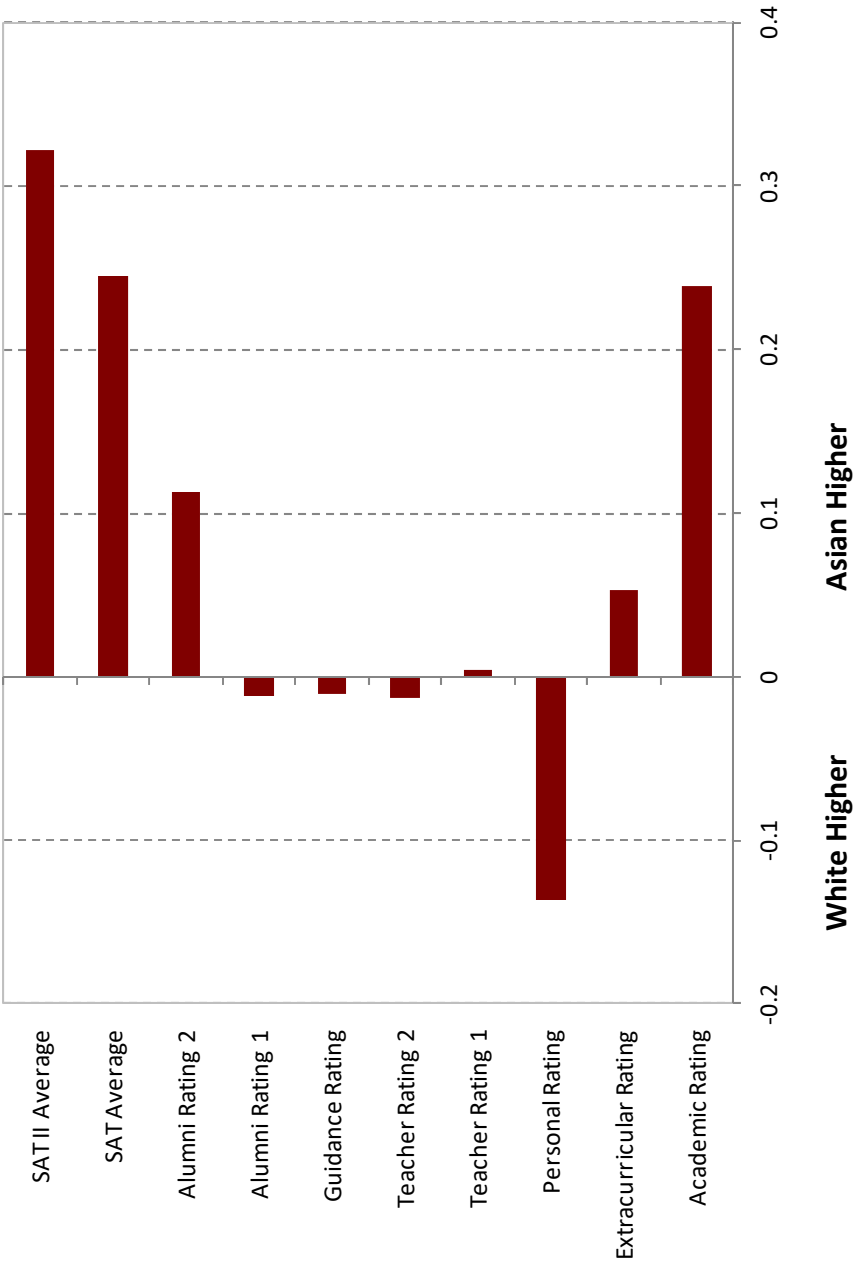


Non-Legacy, Non-Athlete Admit Rates by Ethnicity, Classes of 2007-2016

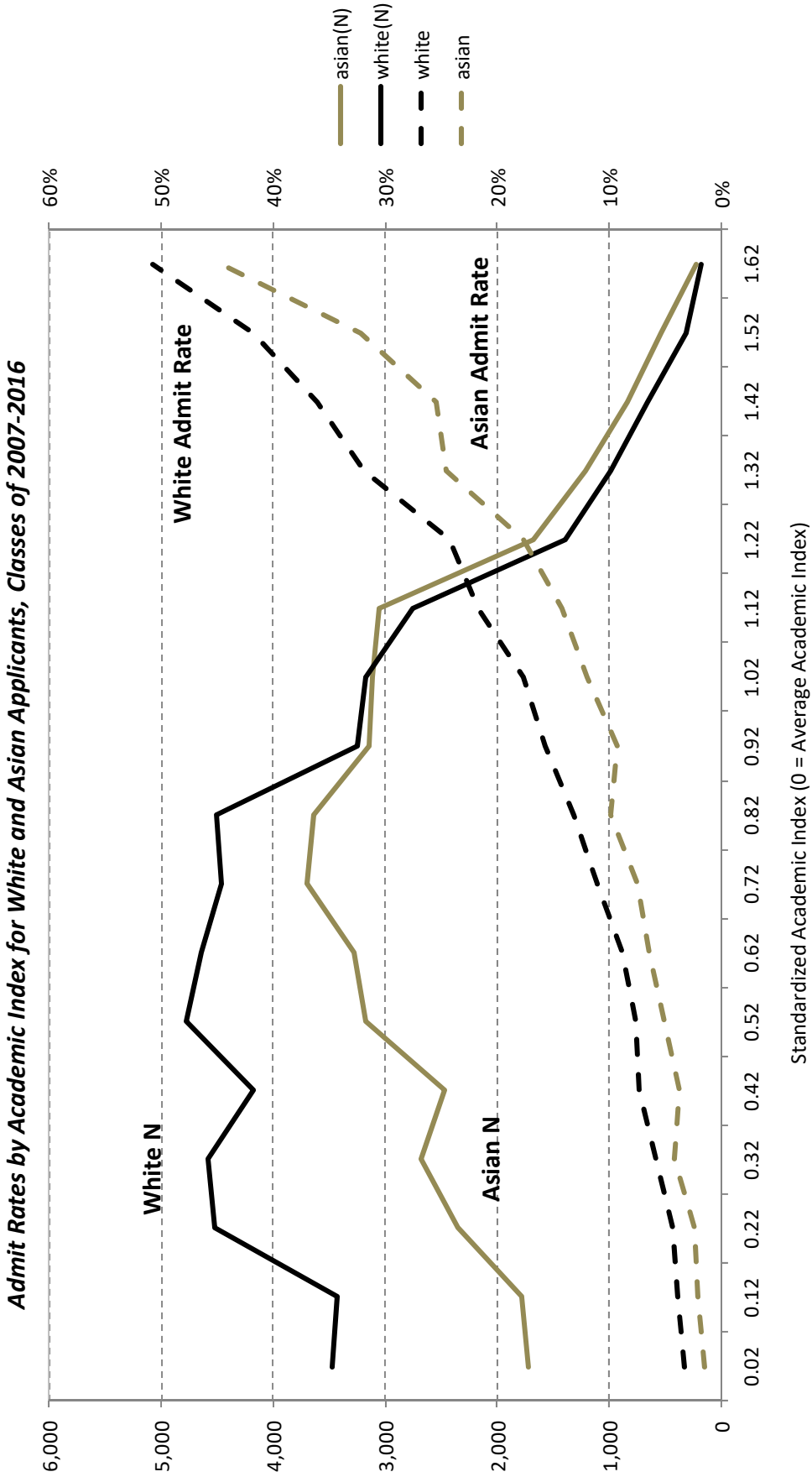




*Difference in Average Test Scores and Ratings for White and Asian Applicants*



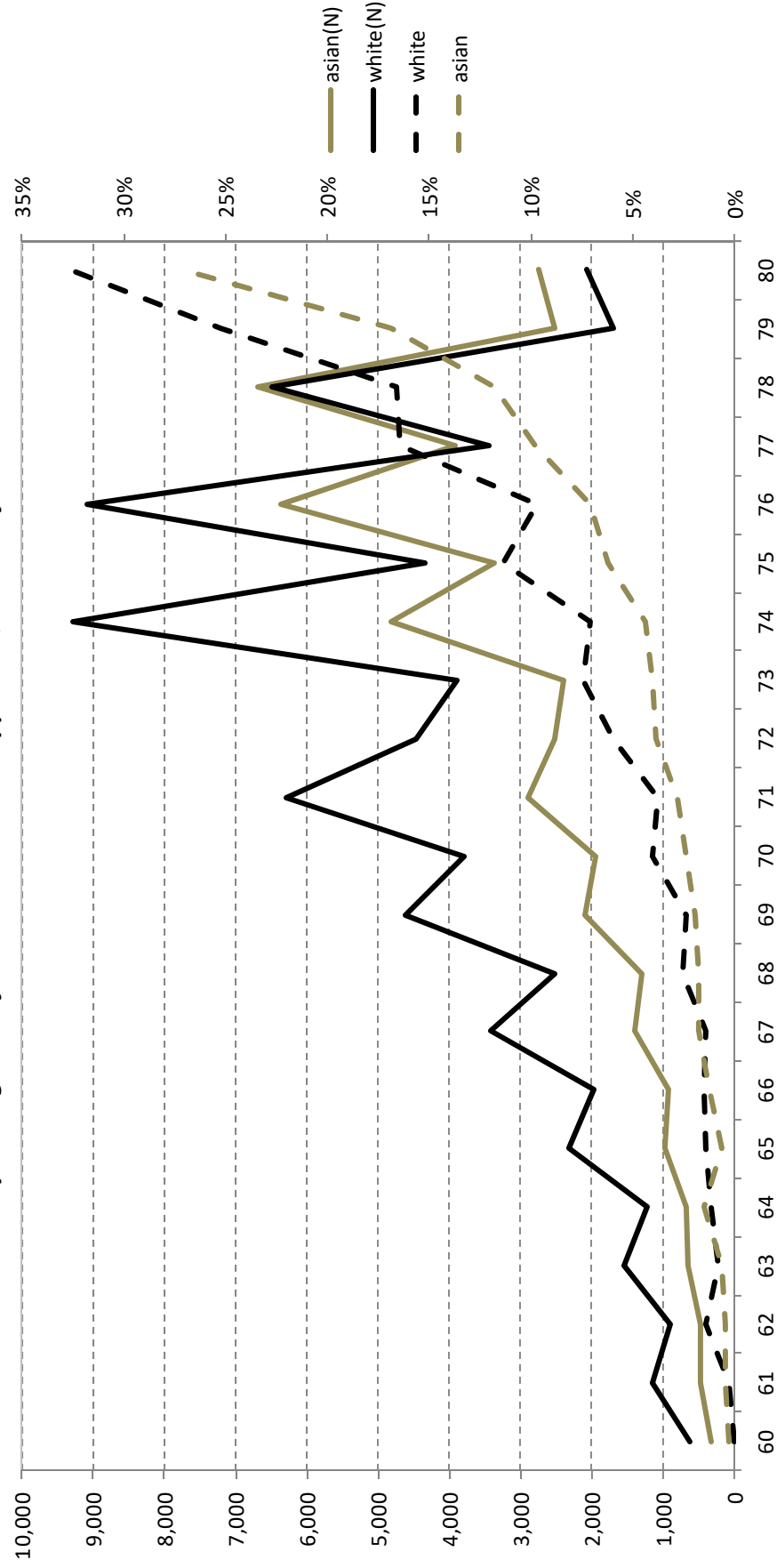
- Notes:
- Excludes legacies and athletes.
  - OIR doesn't have all ratings for all years, so number of applicants differs for each rating/test score.
  - Differences are in standard deviations.



Notes:

- Excludes legacies and athletes.
- Academic Index doesn't account for everything in admissions process. Even top rated students barely have a 50% admit rate.

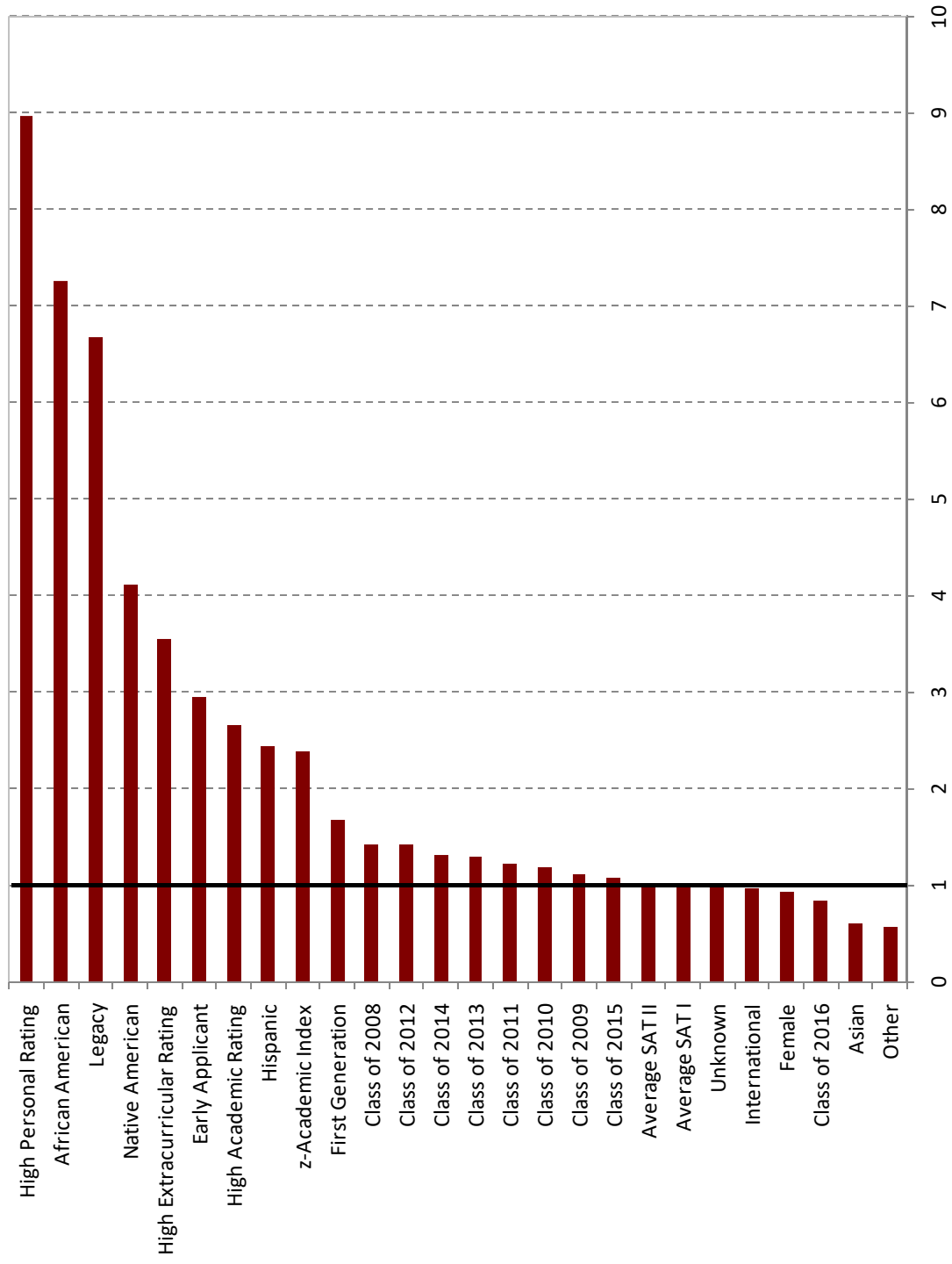
*Admit Rates by Average SAT I for White and Asian Applicants, Classes of 2007-2016*

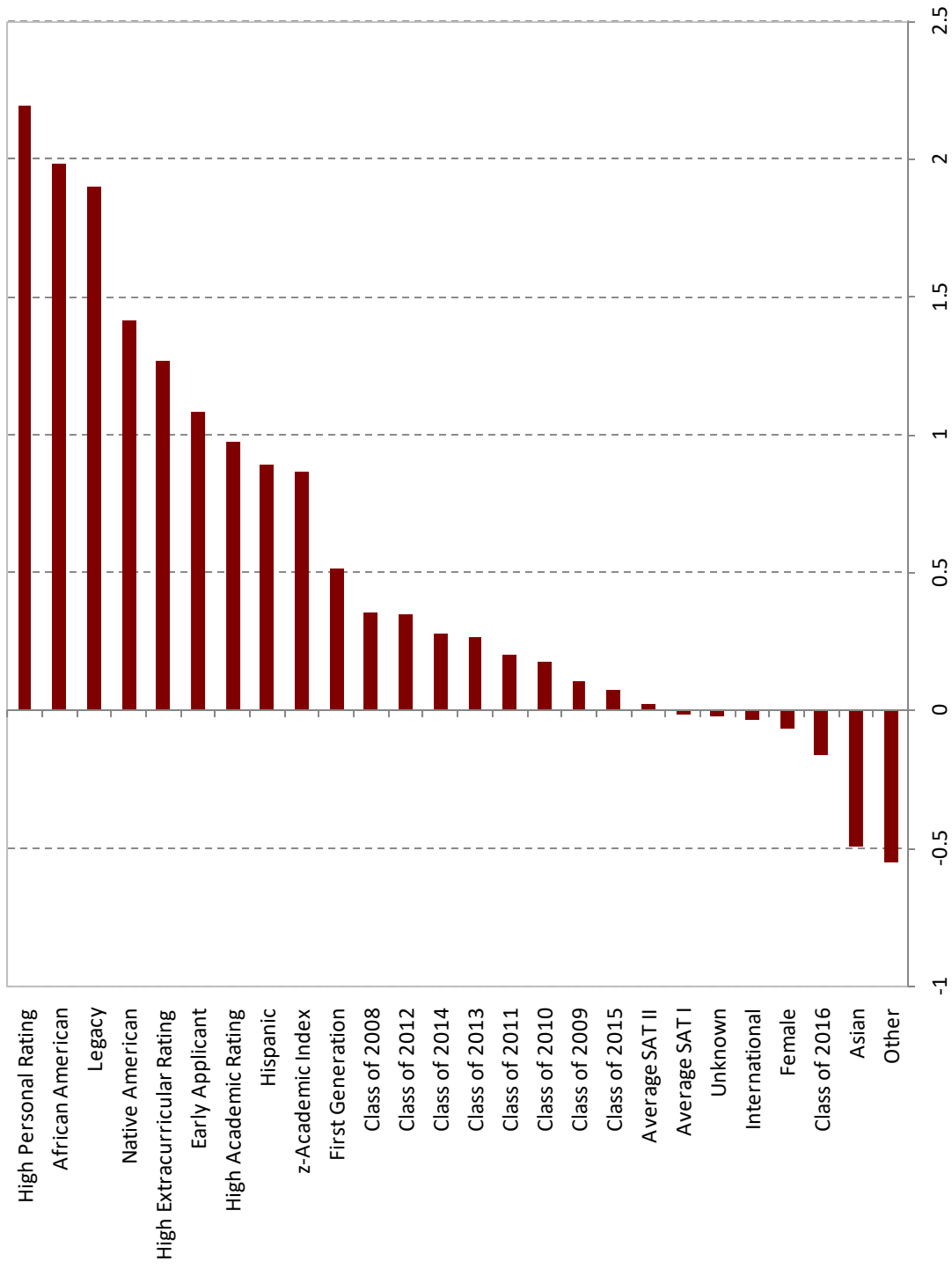


Notes:

- Excludes legacies and athletes.
- Spikiness in distribution due to rounding averages to integers.

*Odds Ratios for Main Effect Logistic Model*



*Logit Coefficients for Main Effect Logistic Model*



**Goal:** Using various admissions ratings, how well can we approximate admit rates by race/ethnicity and the demographic composition of the admitted students pool?

**Strategy:**

- Fit a series of basic logistic regression models.
- Generate fitted probabilities of admissions - given an applicant's characteristics how likely are they to be admitted (0-1)?
- For each class, select the 2100 applicants with the highest probability of admissions as our simulated admitted class.
- Examine resulting demographics and admit rates by ethnicity.

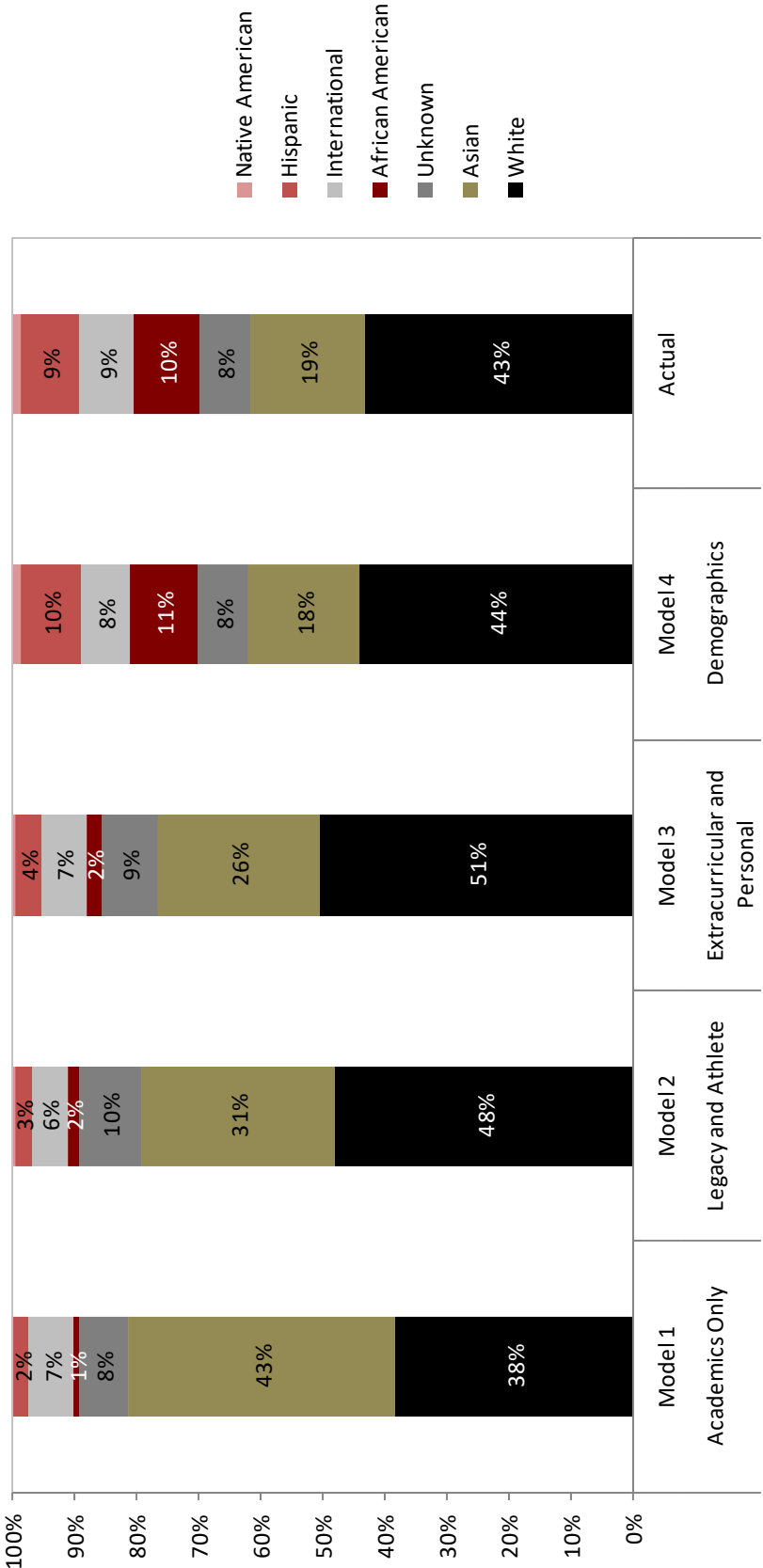
**Notes:**

- Students with no academic index are excluded from this analysis. N = , admit rate =

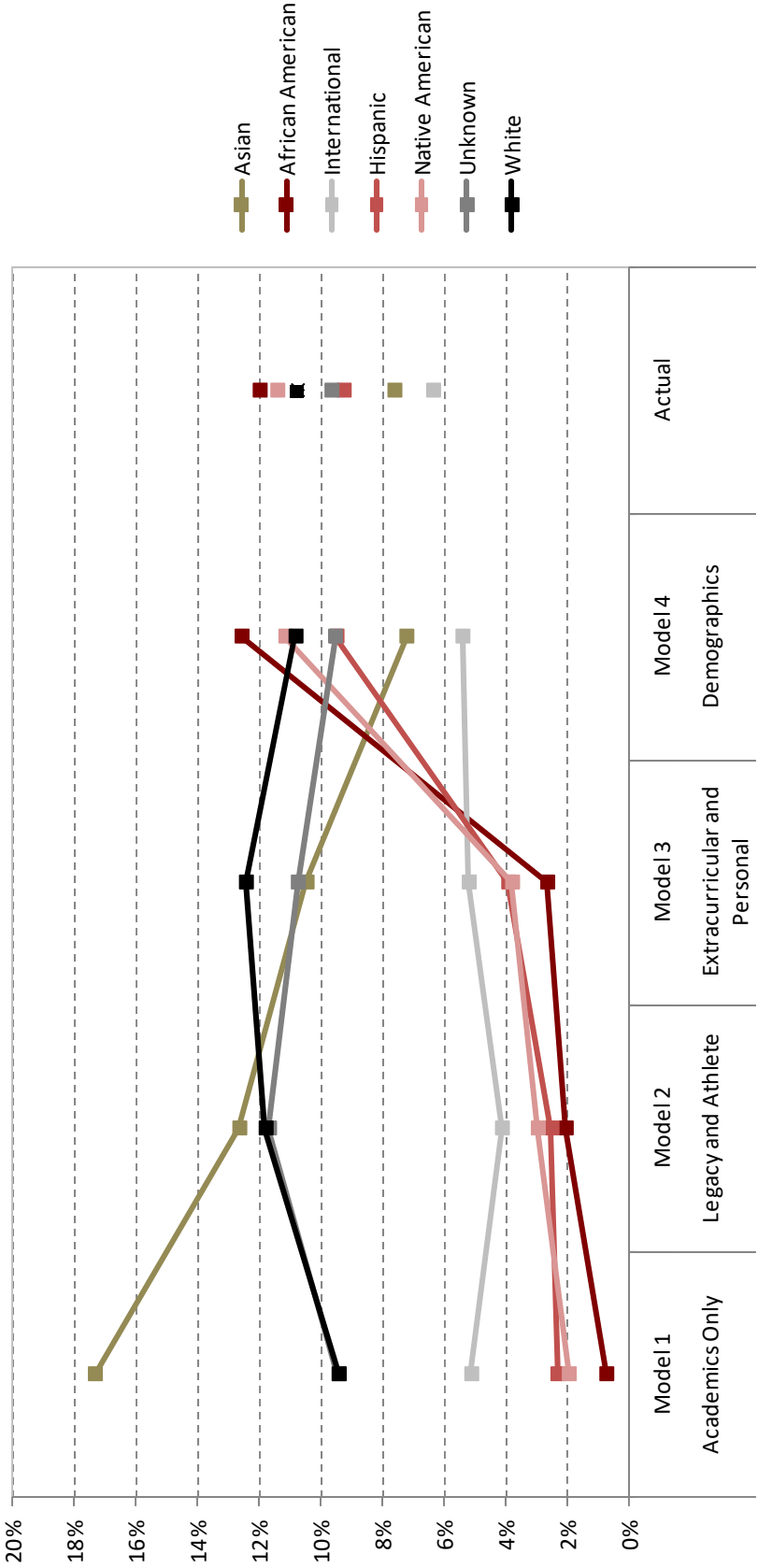
Model 1: Academic only	Model 2: Add legacy and athlete	Model 3: Add personal and extracurricular	Model 4: Add demographics
Academic Index	Academic Index	Academic Index	Academic Index
Academic Rating	Academic Rating	Academic Rating	Academic Rating
	legacy	legacy	legacy
	athlete	athlete	athlete
		Personal Rating	Personal Rating
		Extracurricular Rating	Extracurricular Rating
			Gender
			Ethnicity

# Projected Admitted Student Pools

PRELIMINARY DRAFT



	Academics Only		Legacy and Athlete		Extracurricular and Personal		Demographics	
	Model 1		Model 2		Model 3		Model 4	Actual
Asian	43.04%		31.40%		25.99%		17.97%	18.66%
African American	0.67%		1.83%		2.36%		11.12%	10.46%
International	7.27%		5.86%		7.39%		7.68%	8.90%
Hispanic	2.42%		2.62%		4.07%		9.83%	9.46%
Native American	0.21%		0.32%		0.41%		1.21%	1.23%
Unknown	8.02%		9.93%		9.14%		8.11%	8.09%
White	38.37%		48.03%		50.63%		44.08%	43.21%

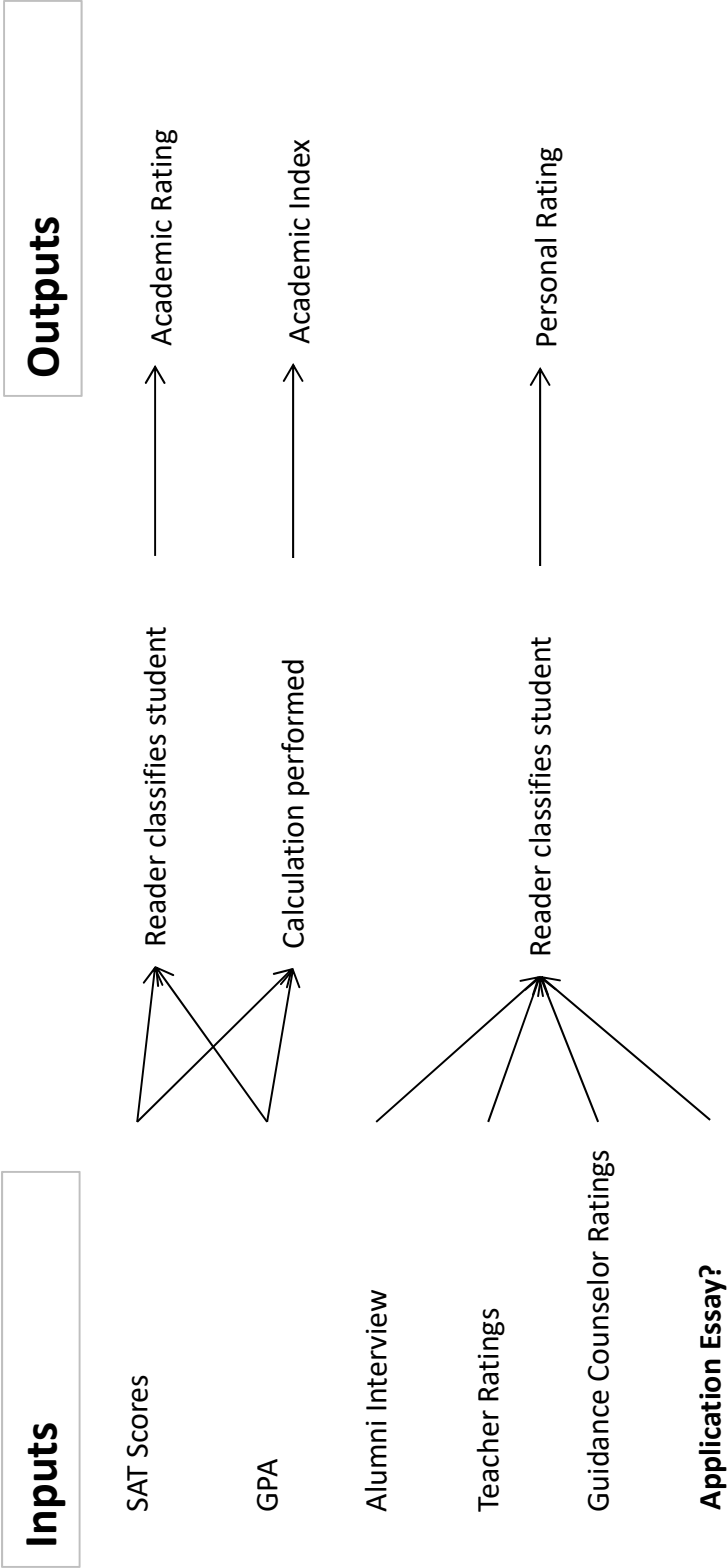


	Academics Only	Legacy and Athlete	Extracurricular and Personal	Demographics	Actual
	Model 1	Model 2	Model 3	Model 4	
Asian	17.35%	12.66%	10.48%	7.24%	7.63%
African American	0.75%	2.07%	2.67%	12.59%	12.00%
International	5.13%	4.14%	5.22%	5.42%	6.37%
Hispanic	2.34%	2.53%	3.94%	9.51%	9.27%
Native American	1.97%	2.98%	3.81%	11.17%	11.43%
Unknown	9.45%	11.70%	10.77%	9.56%	9.67%
White	9.43%	11.81%	12.45%	10.84%	10.77%



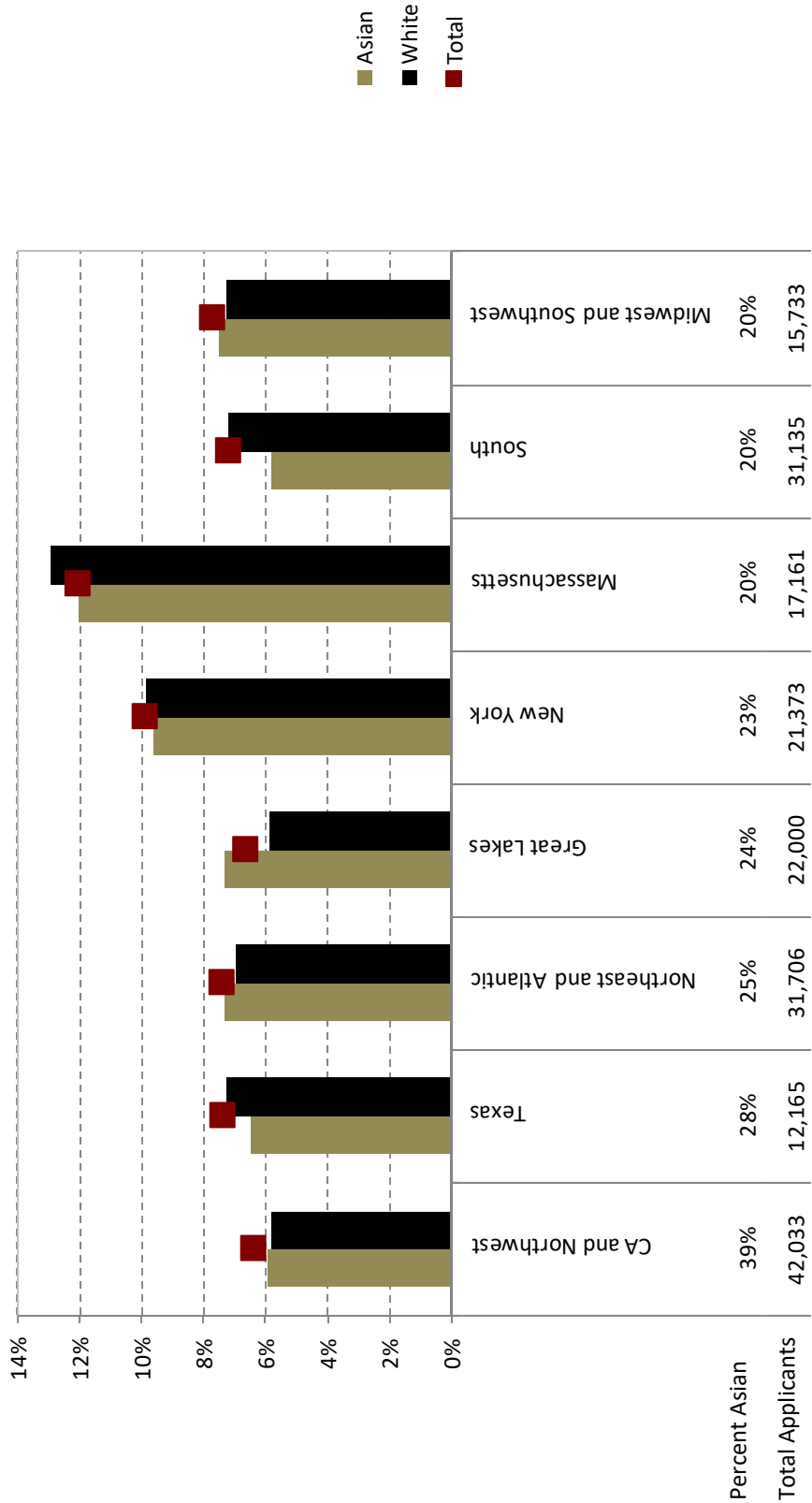






Academic Index	SAT Scores + GPA	Accounts for 98% of the variation in Academic Index. Academic Index is a weighted average.
Academic Rating	SAT Scores + GPA	Accounts for 70% of the variation in Academic Rating. Can't explain some of the variation because Academic Rating data doesn't include the granularity provided by + and -. Also potentially some noise due to readers
Personal Rating	School Support + Alumni Interviews	Accounts for 20% of the variation in Personal Rating. Inputs of Teacher Evaluations, Guidance Counselor Evaluations, and Alumni Interviews don't fully explain how Personal Ratings are assigned. Don't have any numeric rating of personal statement.

Admit Rates by Region for White and Asian Non-Athlete, Non-Legacy Applicants,  
Classes of 2007-2016



Notes:  
• Excludes legacies and athletes.

## Other Possibilities

- Information lost by not recording plusses and minuses.
- Yield considered when admitting students?
- Other factors not used in models:
  - Children faculty/staff
  - Search for socioeconomic diversity
  - High school quality/opportunities open to student
  - Dockets



## Admissions and Financial Aid at Harvard College

For Discussion  
February 2013

Office of Institutional Research

## Introduction

PRELIMINARY DRAFT

2

- Nationally, there has long been interest in issues surrounding college access and affordability. In the last decade, the conversation has expanded to focus on college outcomes and achievement. Harvard College has a long tradition of promoting these goals.
- In order to signal its commitment to these goals, Harvard has made a series of public changes that amplify the scrutiny and attention already paid to its admissions and financial aid practices. These include:
  - The recent reintroduction of early action admissions
  - Financial aid initiatives aimed at improving the affordability for most US families
- Externally, many continue to raise questions about Harvard’s commitment to access and achievement.
- Internally, we are concerned about the effects of public and non-public changes on our ability to recruit students to Harvard, their experience at Harvard, and whether our investments are financially sustainable.



## Recent admissions and financial aid questions raised

PRELIMINARY DRAFT

3

### *Part I: Access*

1. What is the effect on our applicant pool and yield of reintroducing early action?
2. Is the shift in the gender balance at Harvard College due to increased interest and recruitment for SEAS?
3. Does the admissions process disadvantage Asians?

### *Part II: Affordability*

4. What is the effect of our financial aid policies on our applicant pools and yields?
5. How affordable is Harvard to the “typical” family?
6. How much growth in the aid budget can the FAS sustain?

### *Part III: Achievement*

7. How can we measure achievement among Harvard College graduates?

## Today's Goals

PRELIMINARY DRAFT

4

- Review OIR work related to Part I: Access
- Discuss next steps
- Clarify priorities and timing
- Discuss additional data needed

Part I: Access

A first look at the return of early action

Shift in the gender balance and impact of concentration choice

Evaluating factors that play a role in Harvard College admission

Appendix: Data Tables

Part I: Access

A first look at the return of early action

Shift in the gender balance and impact of concentration choice

Evaluating factors that play a role in Harvard College admission

Appendix: Data Tables

## Guiding questions

PRELIMINARY DRAFT

7

How do early action pools at Harvard compare to the regular action pools for the class of 2016 and the classes of 2007-2011?

How do the two early action pools compare to each other?

What is the relationship between early action and yield rates?

How much can we learn from only one admissions cycle with early action back in place?

## Review of findings from Fall 2010 early action analysis

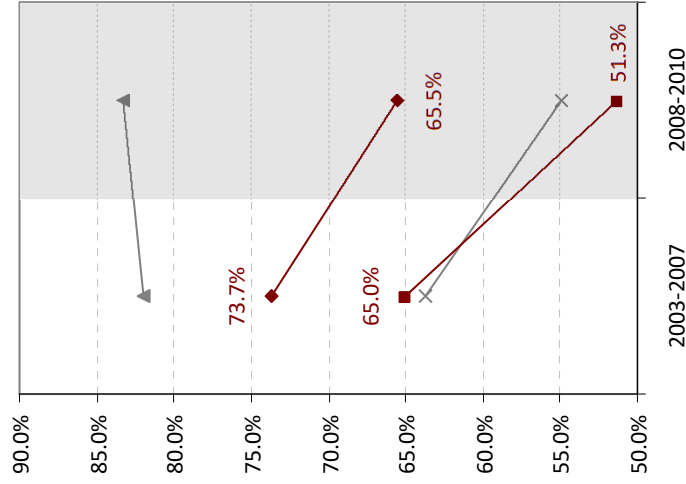
PRELIMINARY DRAFT

8

- Yield rates for the most highly rated Hispanic, Black and White students declined after the end of early action.
- Yield rates for all Hispanic and White students declined after the end of early action.

### Yield Rates by Race Ethnicity, Fall 2003 to Fall 2010

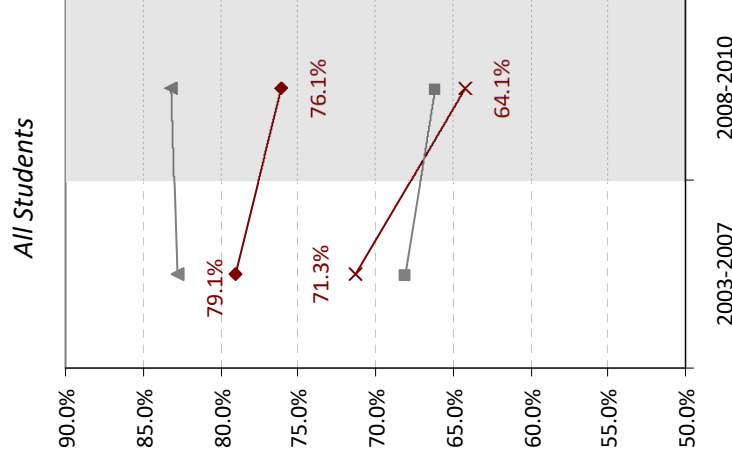
Students with High Academic and Extracurricular Ratings



#### Number of Admits

	High Ratings	All Admits
Asian	2,033	3,131
White	3,462	7,432
Hispanic	411	1,581
Black	253	1,769

Ethnicities with statistically significant changes marked in **crimson**



URM Yield Rate

64.5%

54.5%

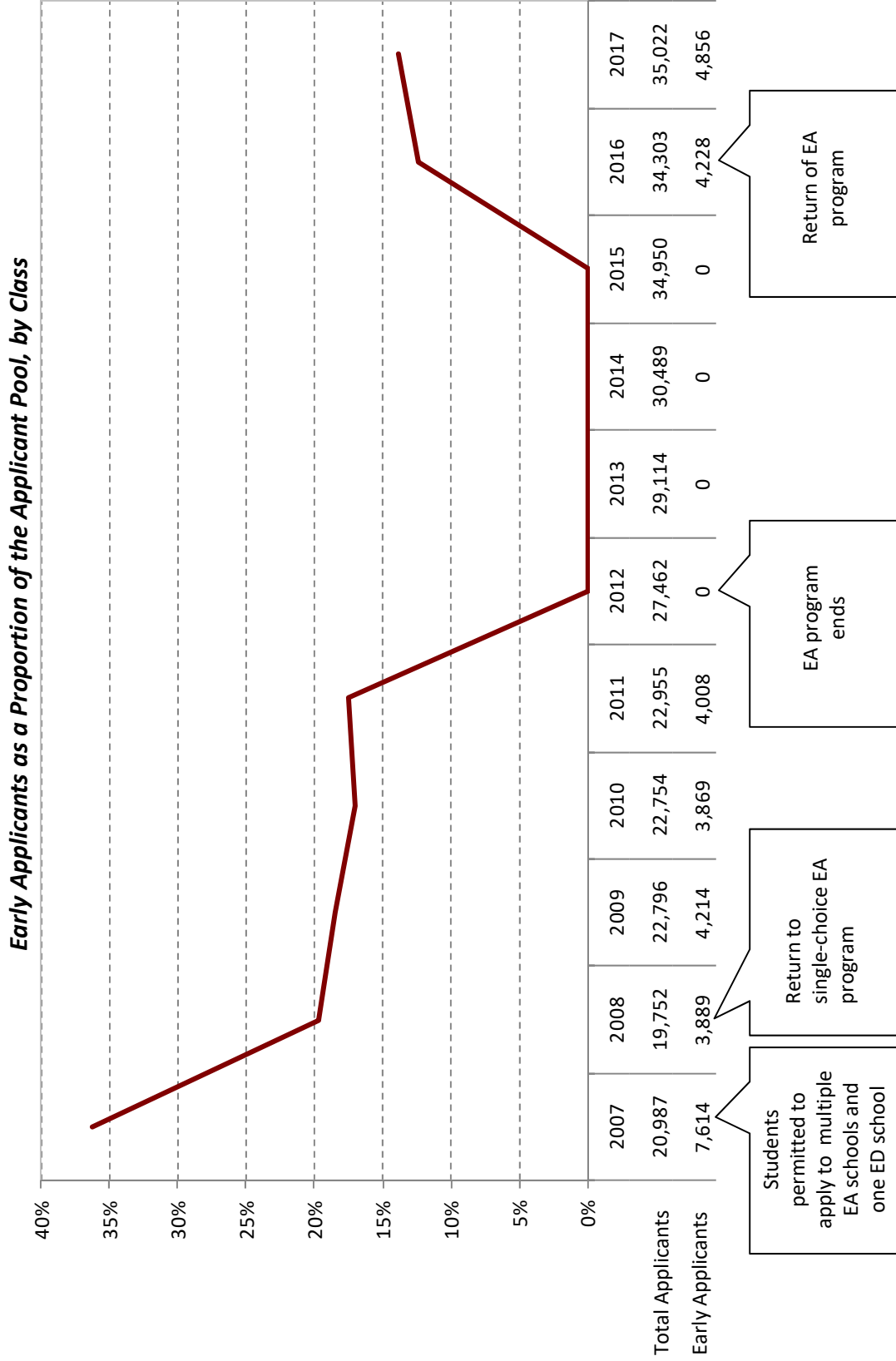
69.6%

65.2%

Source: Office of Admissions and Financial Aid  
“High” rating indicates a rating of 1 or 2.

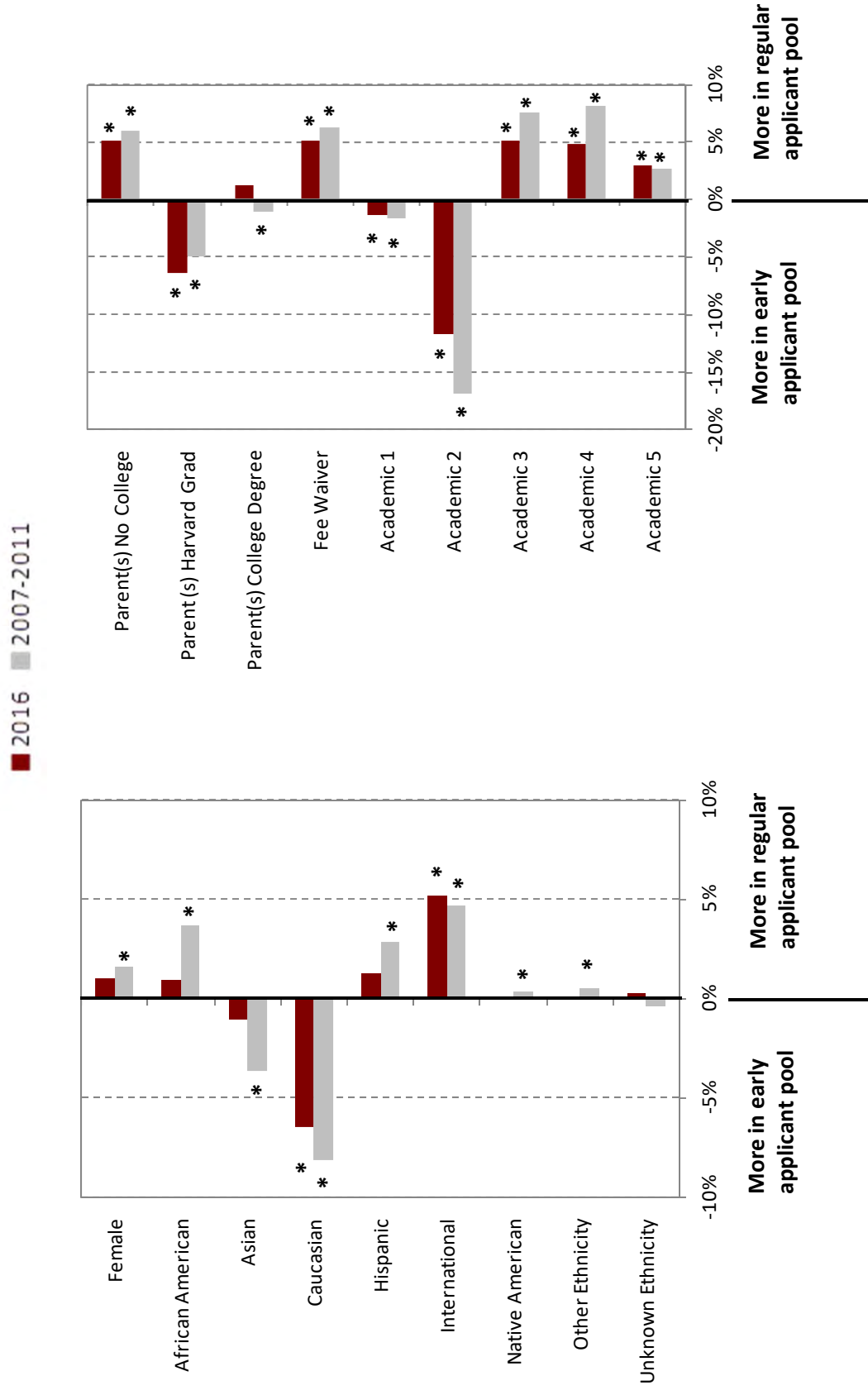


The new early applicant pools are smaller than prior early applicant pools in relative terms



Source: Office of Admissions  
Application from previous admits counted in total applicants.  
The class of 2007 is the only year that allowed students to participate in multiple early action programs in addition to one early decision program.

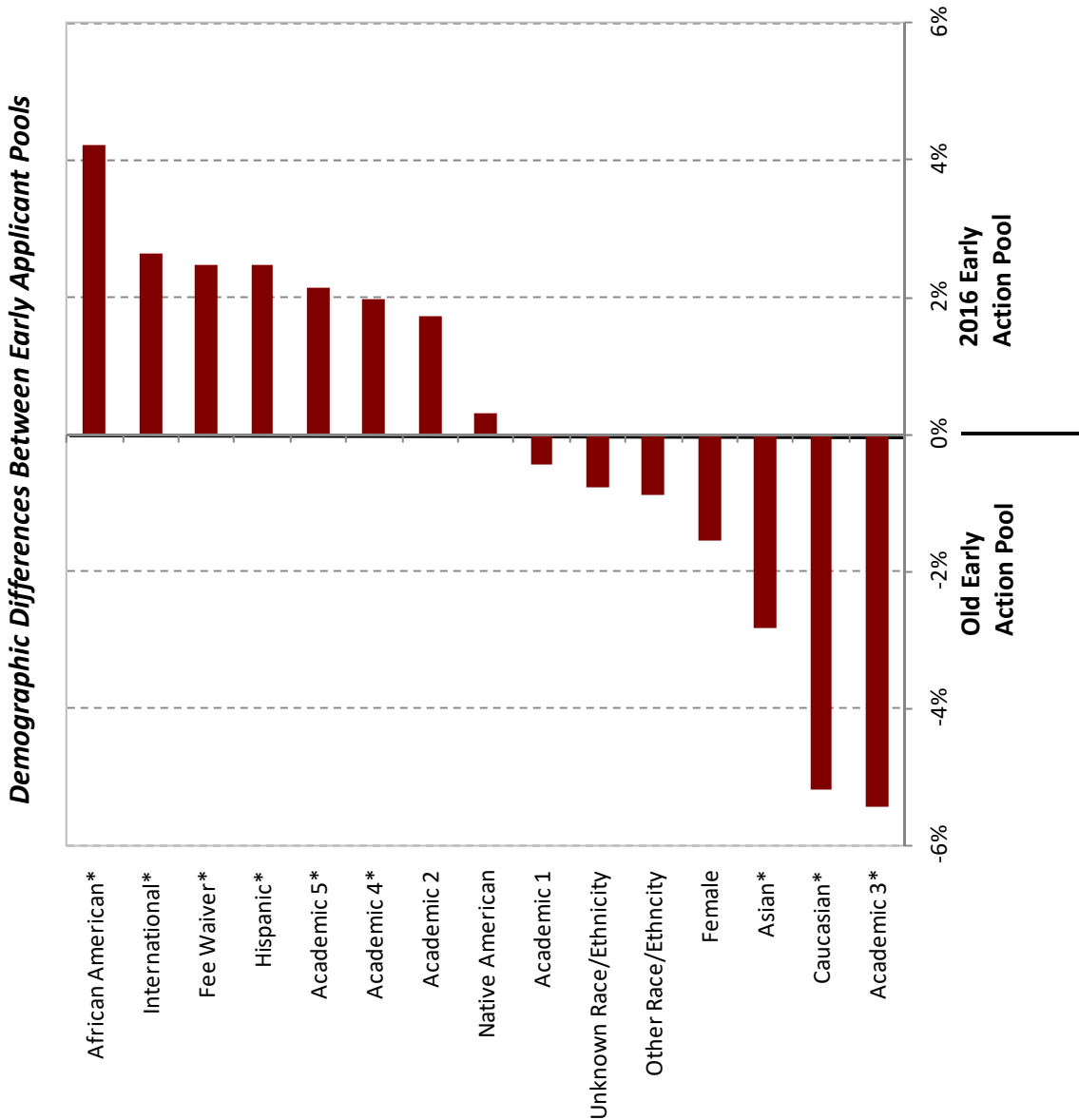
# Compared to regular applicant pool, new and old early action pools look similar



\*Significant difference  $p < 0.001$   
 The bars in these graphs represent differences for these years of early action as compared to the regular action pool. See Appendix.

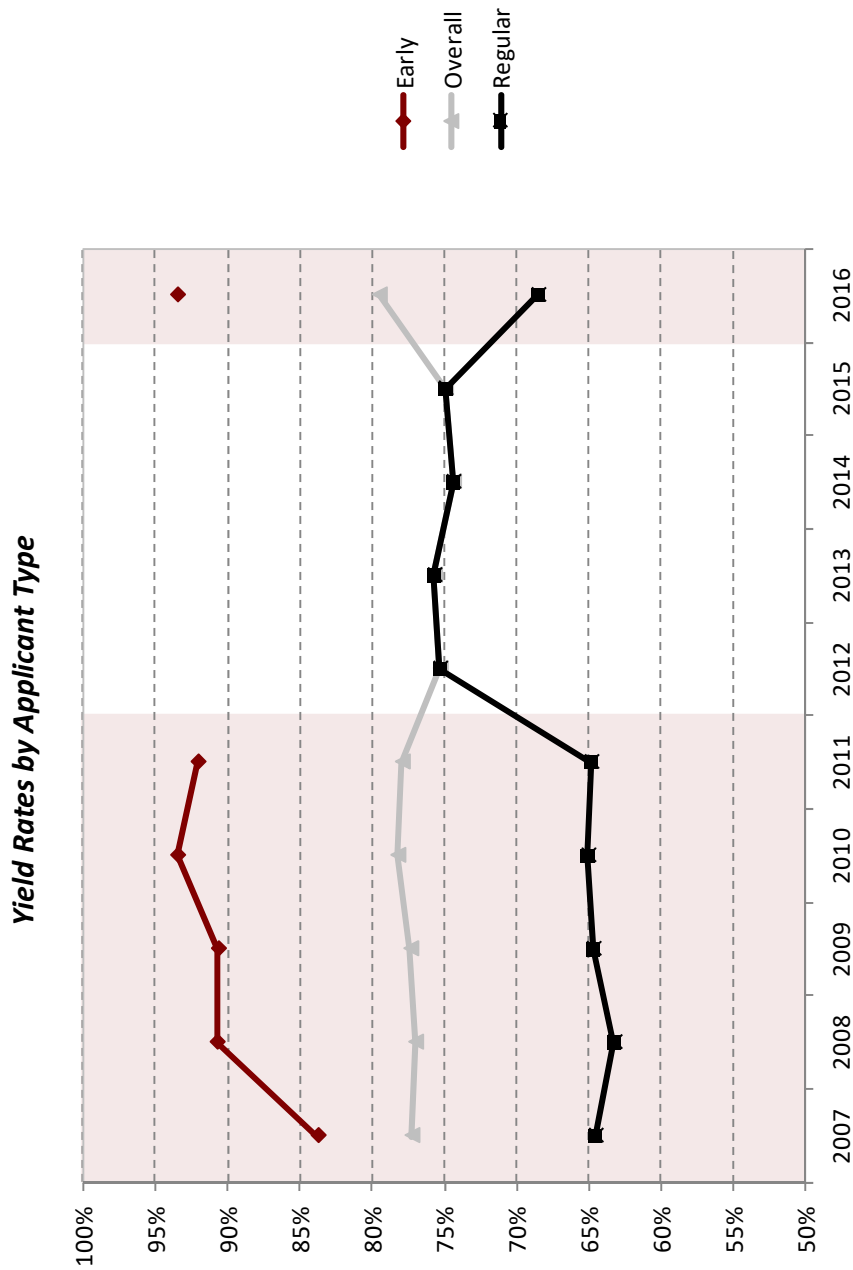
# The 2016 early action pool is more diverse than old early action pools

PRELIMINARY DRAFT



\*Significant difference  $p<0.001$

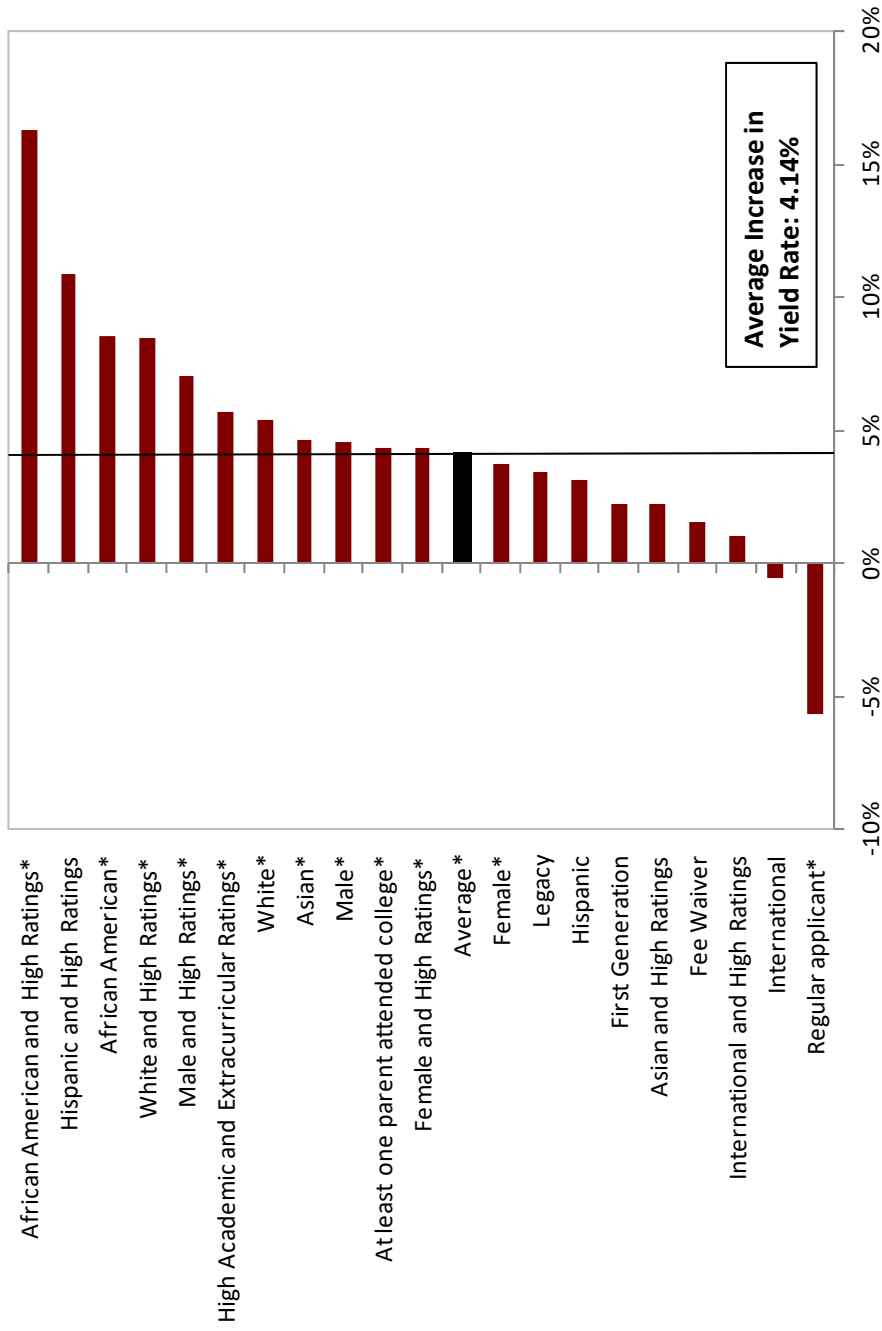
Figures in the chart above are the differences between the two early action pools. See Appendix. Early action was not in place for the classes of 2012-2015.



Early admissions was not in effect for the classes of 2012-2015. Previous admits, who represent a small proportion of the overall applicant pool, are excluded.

High admissions ratings sub-groups in 2016 appear to have higher yield rates than before

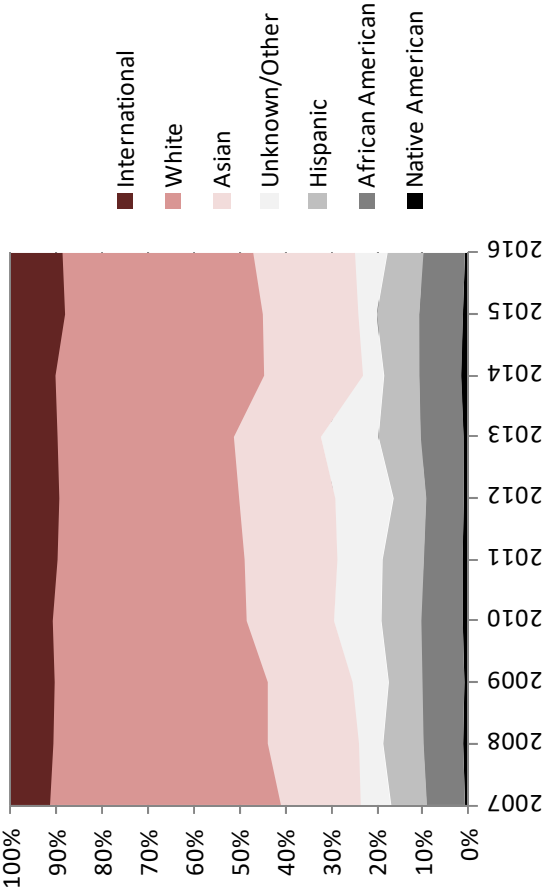
Change in Yield Rates Between Classes of 2016 and 2012-2015



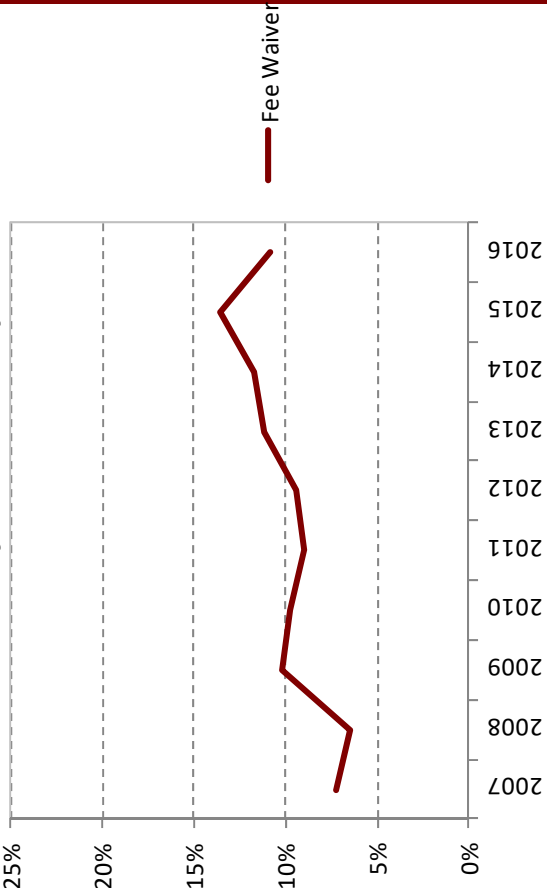
High ratings defined as having 1 or 2 for both academic and extracurricular admissions ratings  
2016 yield rates for early action applicants = 93.5%  
\*Significant difference  $p < 0.05$

Profile of Class of 2016: Small Demographic Shifts

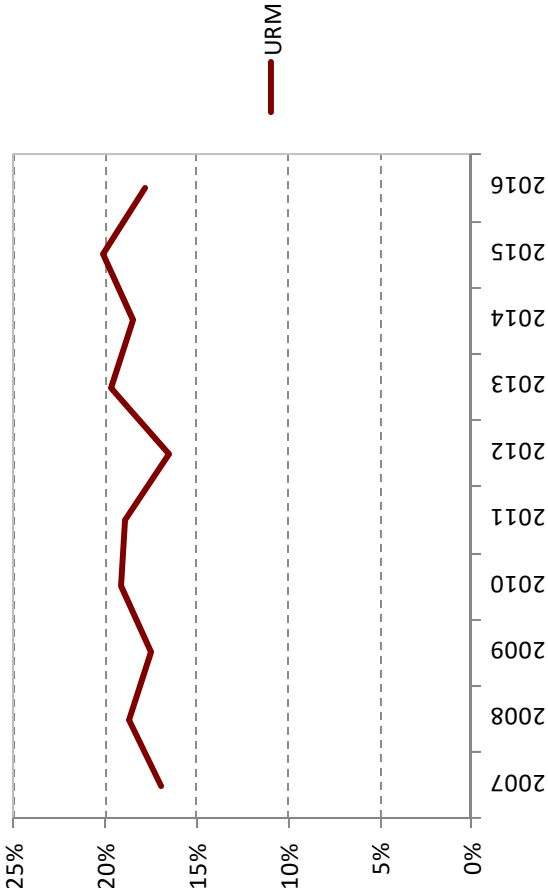
Race/Ethnicity of Matriculants, by Class



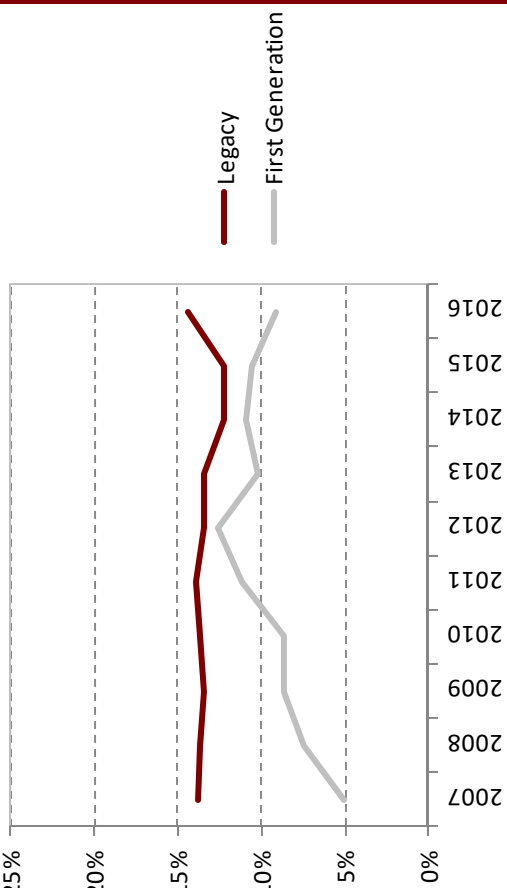
Fee Waiver Status of Matriculants, by Class



URM Status of Matriculants, by Class



Parent Education of Matriculants, by Class



**How do early action applications at Harvard compare to regular action applicants? Are patterns similar for the class of 2016 and the classes of 2007-2011?**

- Both early action populations look demographically similar to one another, compared to the regular action populations. Compared to regular action, early action applicants have higher academic ratings, and include more male, Caucasian and Asian applicants.

**Are there any noticeable differences in the two early action populations?**

- The new early action applicants appear to be more diverse than the previous early action population, with higher percentages of African American, Hispanic, and International students.

**What is the relationship between early action and yield rates?**

- Yield rates are higher for early action applicants.
- African American and Hispanic applicants with high admissions ratings appear in this 2016 year to have had the largest increase in yield rates.

**How much can we learn from only one year of having early action back in place?**

- Not enough to be statistically confident in trends – it is worth revisiting the data annually, particularly in light small demographic shifts in the matriculating class of 2016.



Part I: Access

A first look at the return of early action

Shift in the gender balance and impact of concentration choice

Evaluating factors that play a role in Harvard College admission

Appendix: Data Tables

## Guiding questions

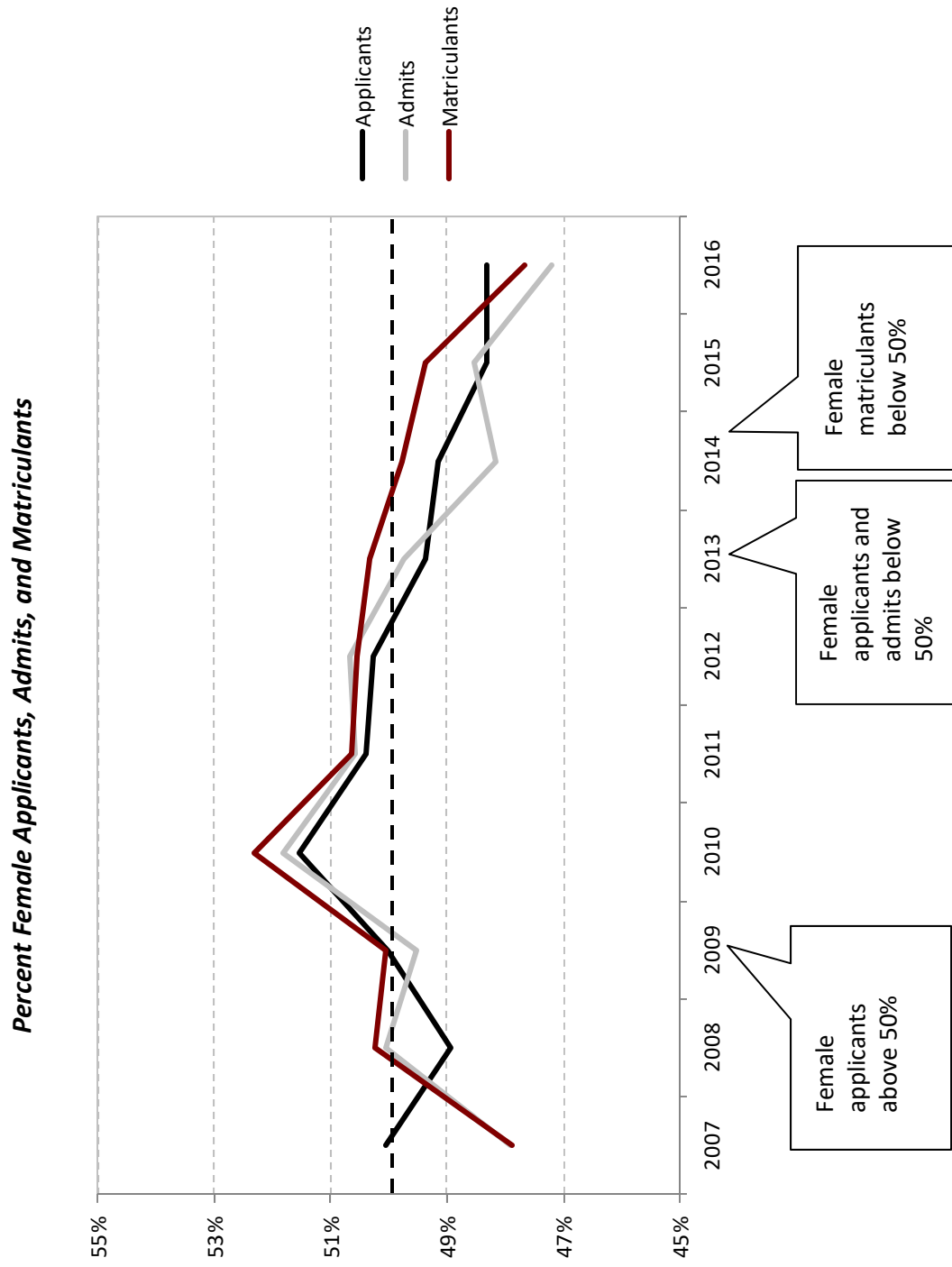
PRELIMINARY DRAFT

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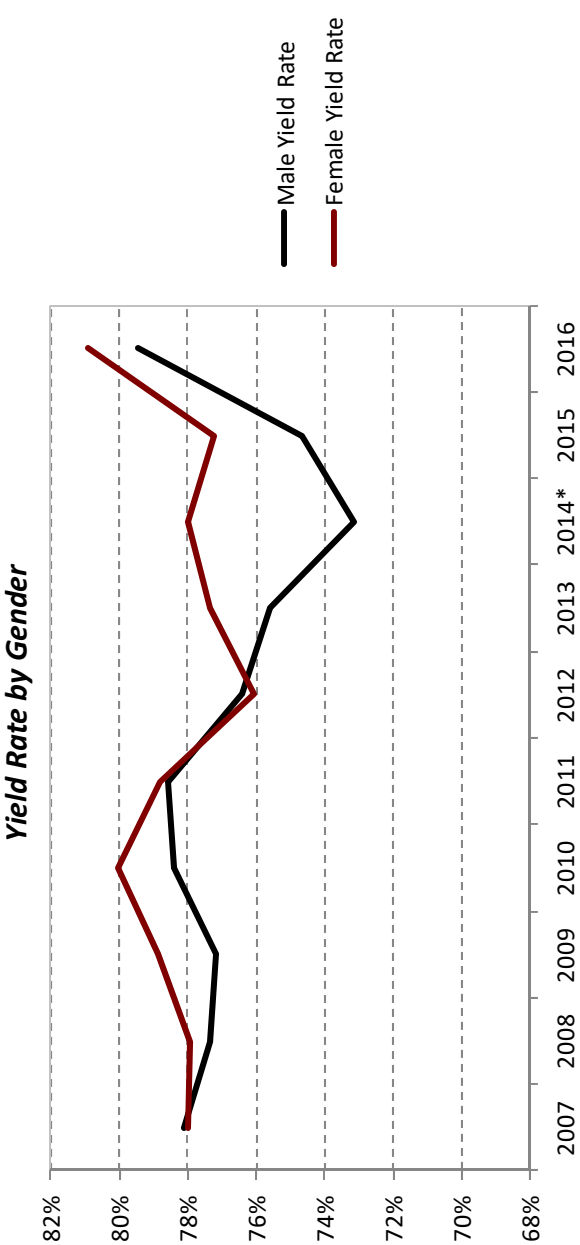
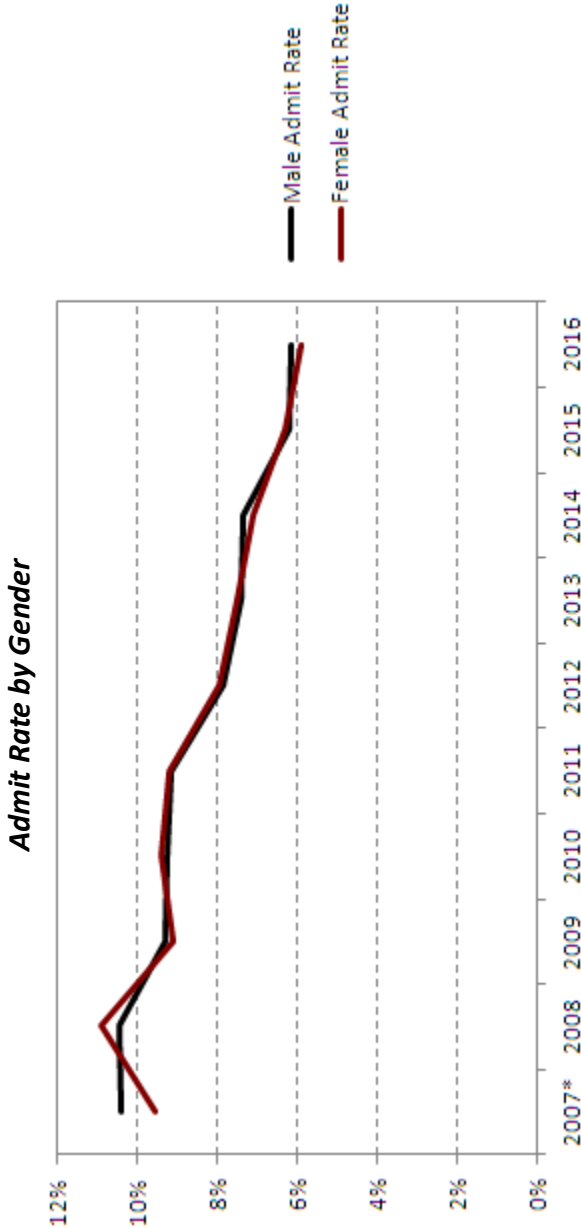
Is the proportion of males and females who matriculate different than we would expect given the applicant and accepted student pools?

How does the gender balance at Harvard compare to peer institutions, other institution types, and higher education in general?

How does anticipated concentration relate to the gender balance at Harvard?



Admit and yield rates are similar for women and men



\*Significant difference  $p < 0.05$

## Differences in ratings for males and females are small – minimal impact on admit rates

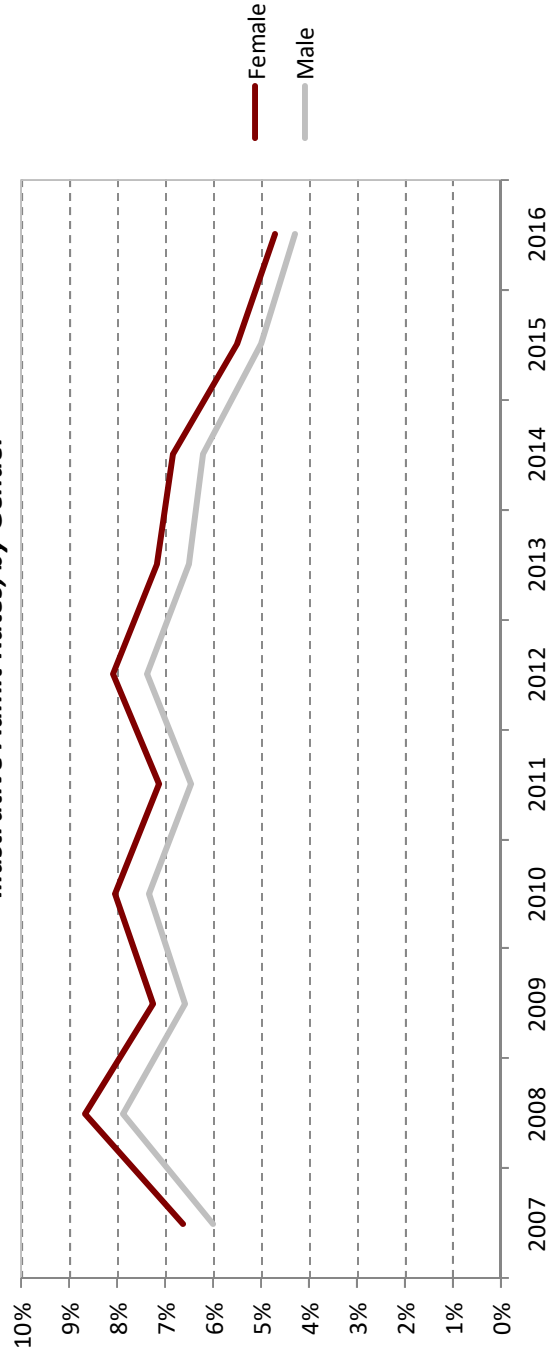
20

JA1194

*Ratings and Test Scores by Gender for Applicants, Admits, and Matriculants*

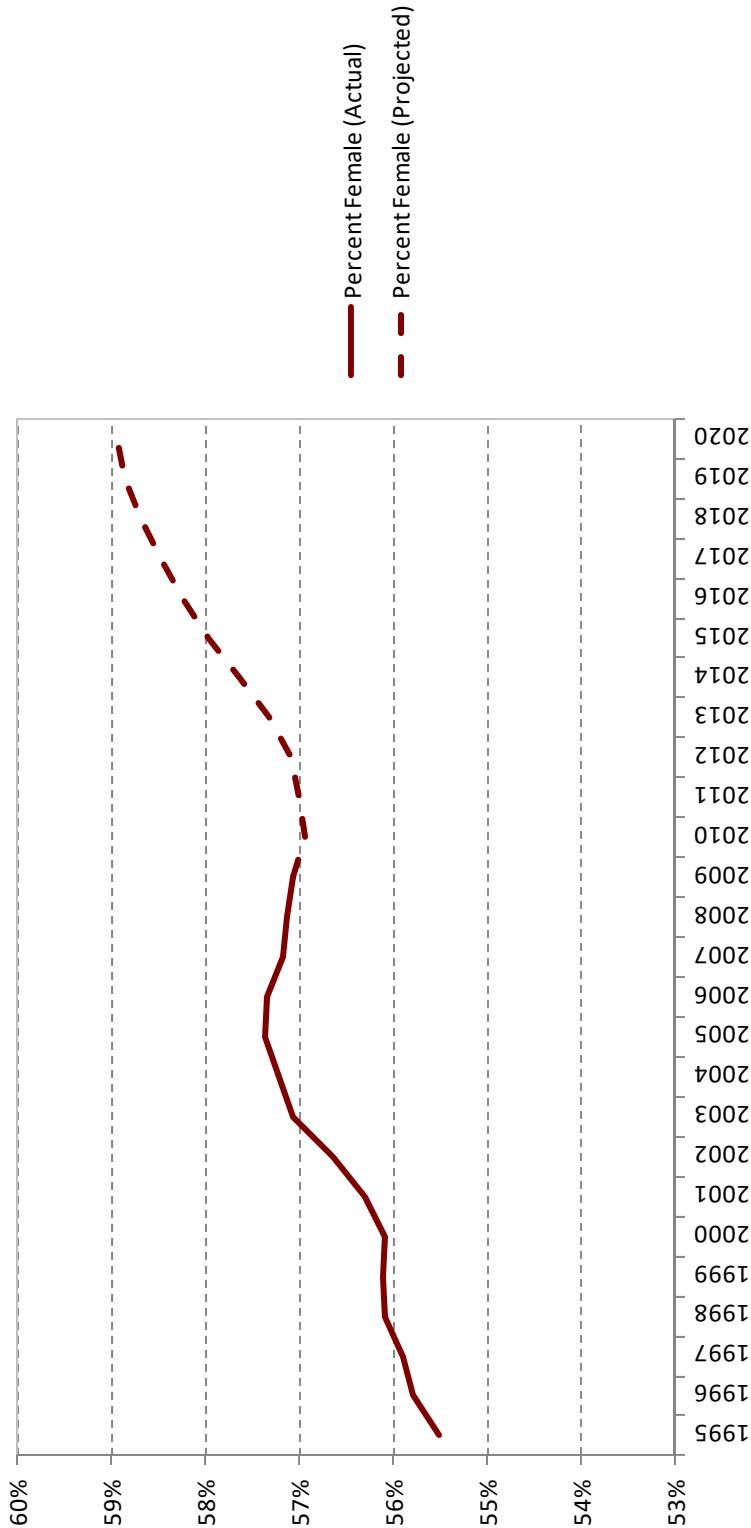
	Applicants		Admits		Matriculants		Difference	Scale
	Female	Male	Female	Male	Female	Male		
Z-score Academic Index	-0.10	0.10	0.58	0.64	0.55	0.59	0.04	Standard deviations
SAT Verbal Score	67.8	68.4	73.86	73.42	73.56	73.02	0.09	20-80
SAT Math Score	68.4	71.7	73.13	74.85	72.94	74.57	0.28	20-80
Academic Rating	2.93	2.78	2.30	2.21	2.33	2.26	0.12	1-High, 5-Low
Extracurricular Rating	2.78	2.85	2.35	2.42	2.36	2.45	0.15	1-High, 5-Low
Personal Rating	2.74	2.79	2.20	2.27	2.20	2.28	0.16	1-High, 5-Low

*Illustrative Admit Rates, by Gender*

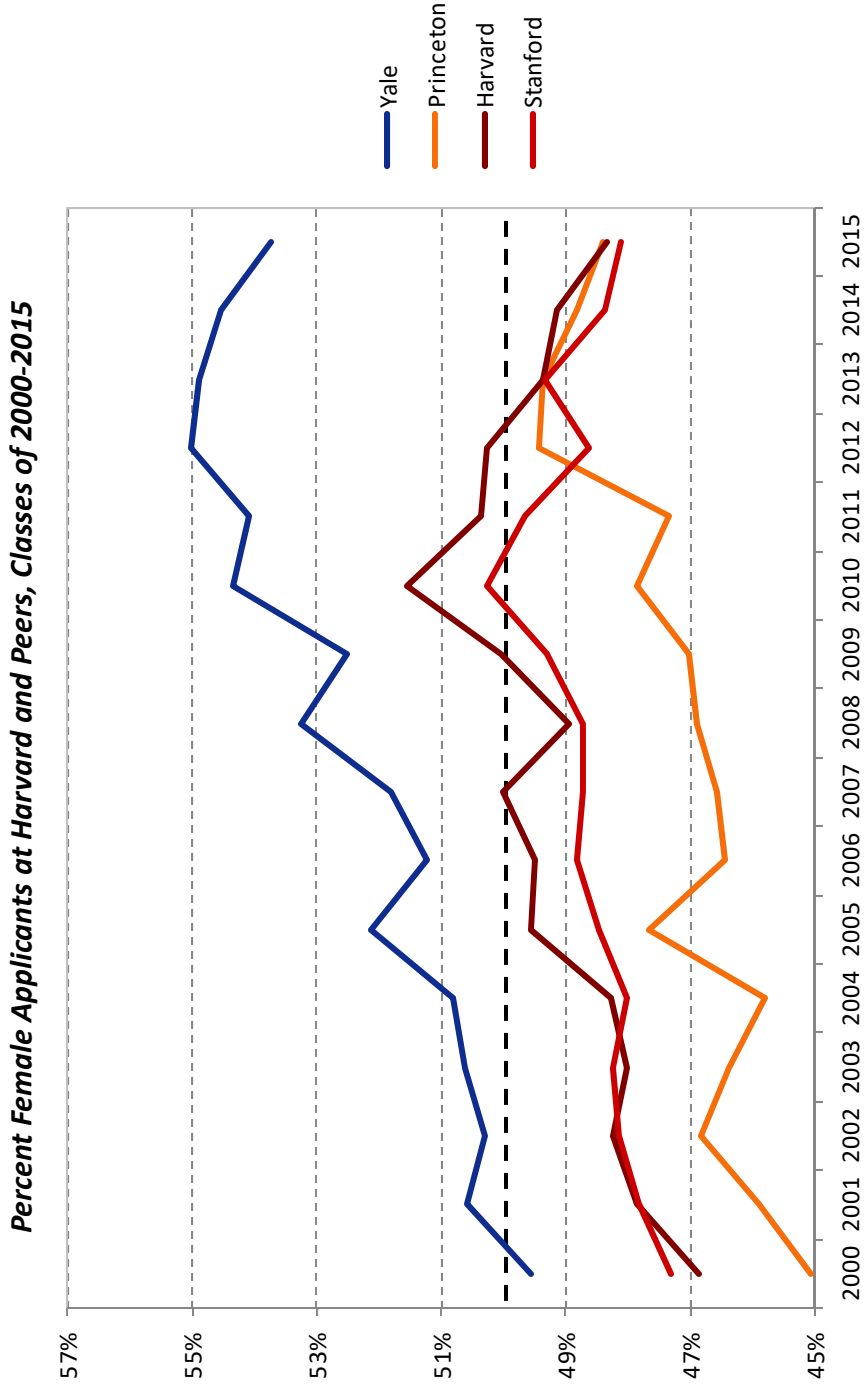


- Differences in ratings and test scores are in standard deviations
- Women typically have higher extracurricular and personal ratings, while men have higher academic ratings, academic index, and test scores.
- Illustrative admit rates are fitted values from main-effect logistic regression models at average ethnicity, average concentration, 75 percentile academic index, average academic rating, average athletic rating, average extracurricular rating, average parent education, average application type (early, regular), and 75 percentile SAT scores.

*Actual and Projected Gender Ratios for All Postsecondary Degree-Granting Institutions*



Source: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System, "Fall Enrollment Survey" (IPEDS-EF:95–99), and Spring 2001 through Spring 2010; and Enrollment in Degree-Granting Institutions Model, 1980–2009. (Table was prepared January 2011.)

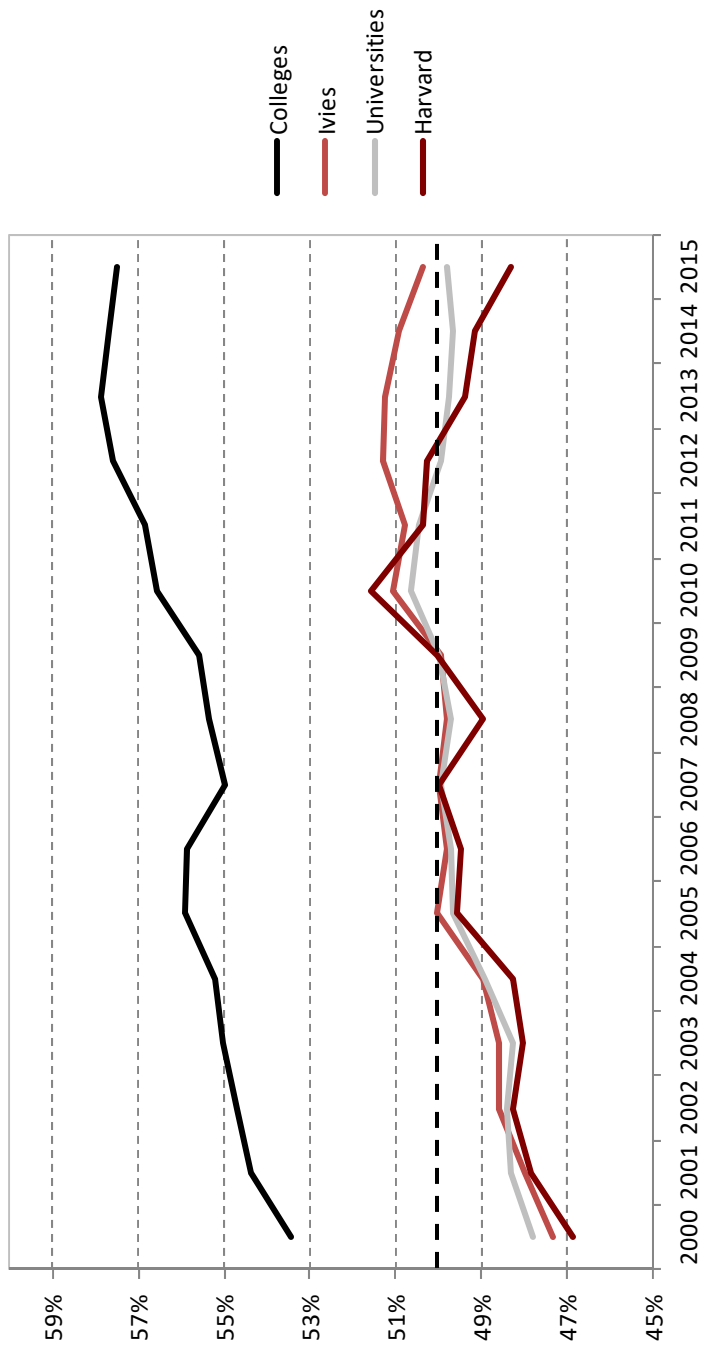


- MIT's applicant pool is between 27% and 31% female for the classes of 2000 to 2015.
- Admit rates for males and females are similar at all peers, but MIT, where females are admitted at twice the rate of males.

Source: COFHE Redbook

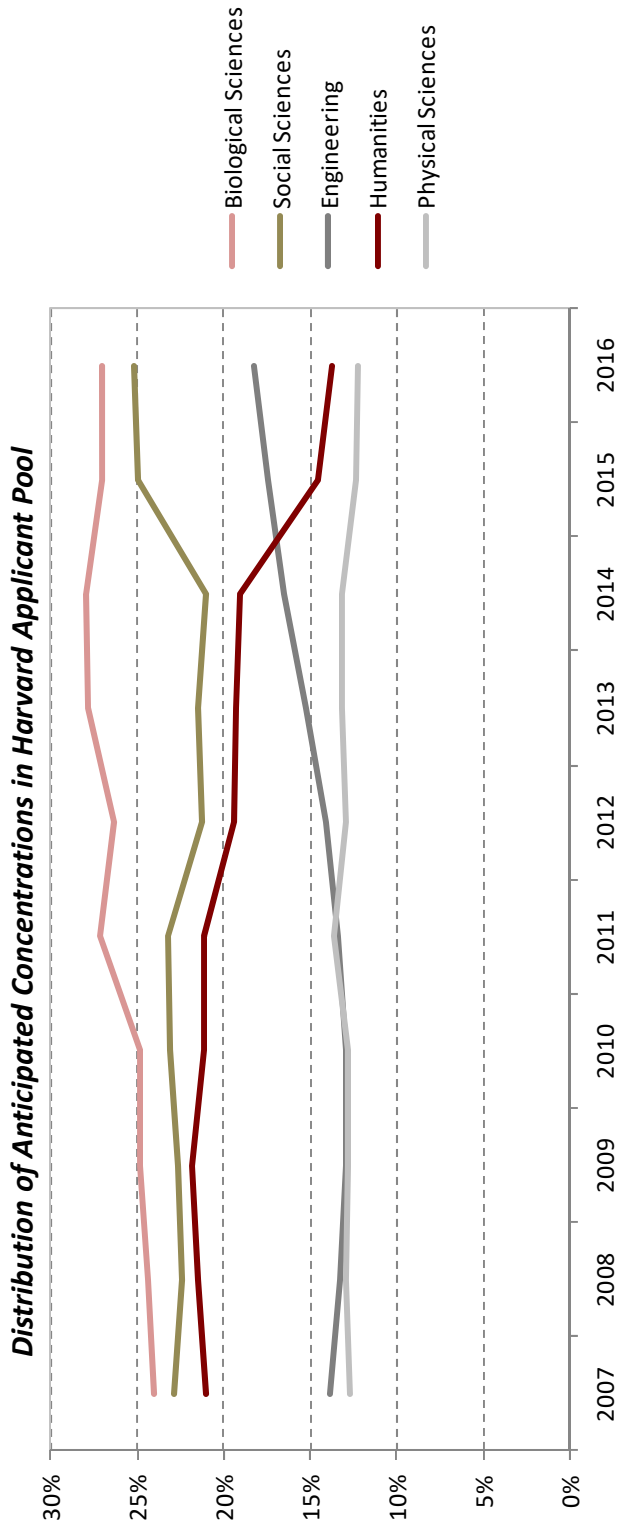
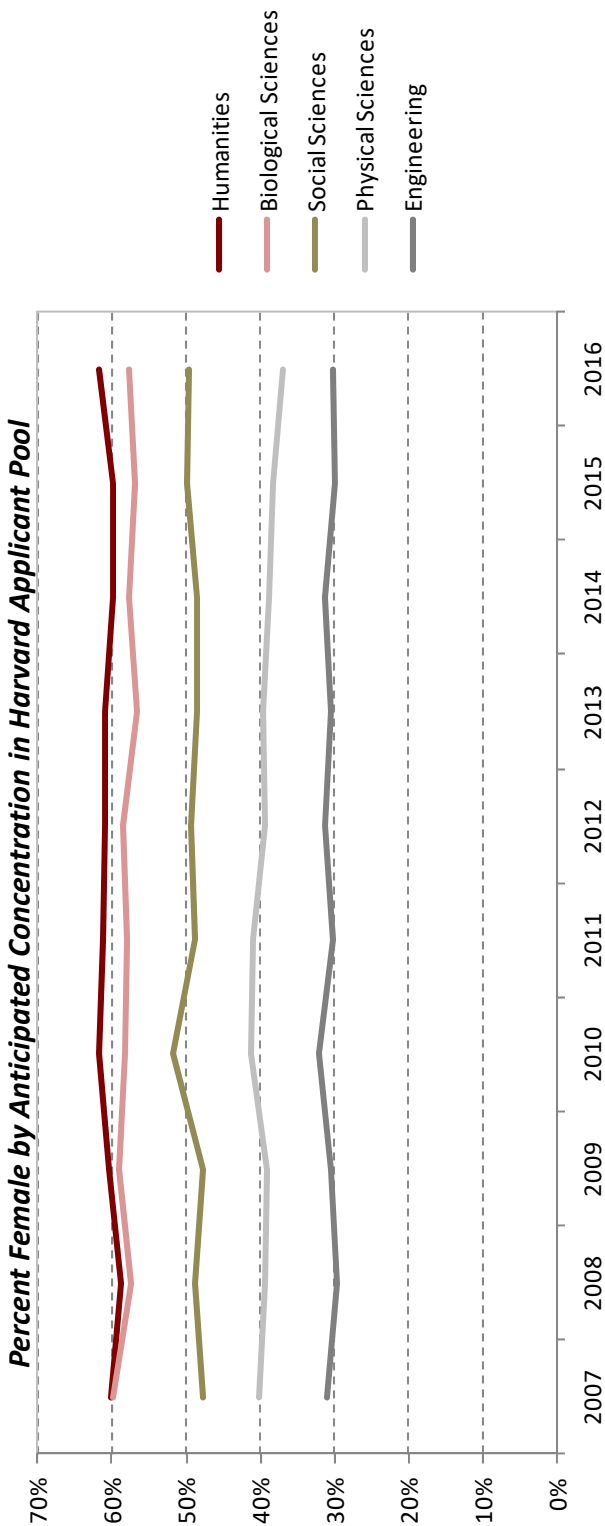


Percent Female Applicants at Harvard and COFHE Institution Types, Classes of 2000-2015



Source: COFHE Redbook  
Ivies include Harvard

# Men and women are disproportionately represented in different fields of study at Harvard



Source: Office of Admissions

Note: Engineering includes students planning to study Engineering or Computer Science.

## Men and women are disproportionately represented in different fields of study

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*Gender and Anticipated Concentration as a Percent of the Applicant Pool*

	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016
Women	Biological Sciences	14.4%	14.0%	14.6%	14.4%	15.7%	15.4%	16.2%	15.4%	15.6%
	Engineering	4.3%	4.0%	4.0%	4.1%	4.1%	4.4%	5.1%	5.2%	5.5%
	Humanities	12.6%	12.6%	13.2%	13.0%	13.0%	11.9%	11.4%	8.7%	8.5%
	Physical Sciences	5.1%	5.1%	5.0%	5.3%	5.6%	5.1%	5.1%	4.7%	4.5%
	Social Sciences	10.9%	10.9%	10.8%	11.9%	11.3%	10.5%	10.2%	12.4%	12.5%
	Unknown	2.6%	2.4%	2.4%	2.7%	0.8%	2.9%	1.2%	1.9%	1.7%
Men	Biological Sciences	9.6%	10.4%	10.2%	10.4%	11.4%	10.9%	12.1%	11.7%	11.5%
	Engineering	9.6%	9.4%	9.0%	8.8%	9.4%	9.7%	11.3%	12.2%	12.8%
	Humanities	8.4%	8.8%	8.7%	8.1%	8.2%	7.6%	7.7%	5.9%	5.3%
	Physical Sciences	7.6%	7.8%	7.8%	7.5%	8.1%	7.9%	8.1%	7.6%	7.7%
	Social Sciences	11.9%	11.5%	11.8%	11.2%	11.9%	10.8%	10.8%	12.5%	12.7%
	Unknown	2.8%	3.1%	2.5%	2.5%	0.6%	2.9%	1.1%	1.8%	1.7%
<b>Total</b>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Low High

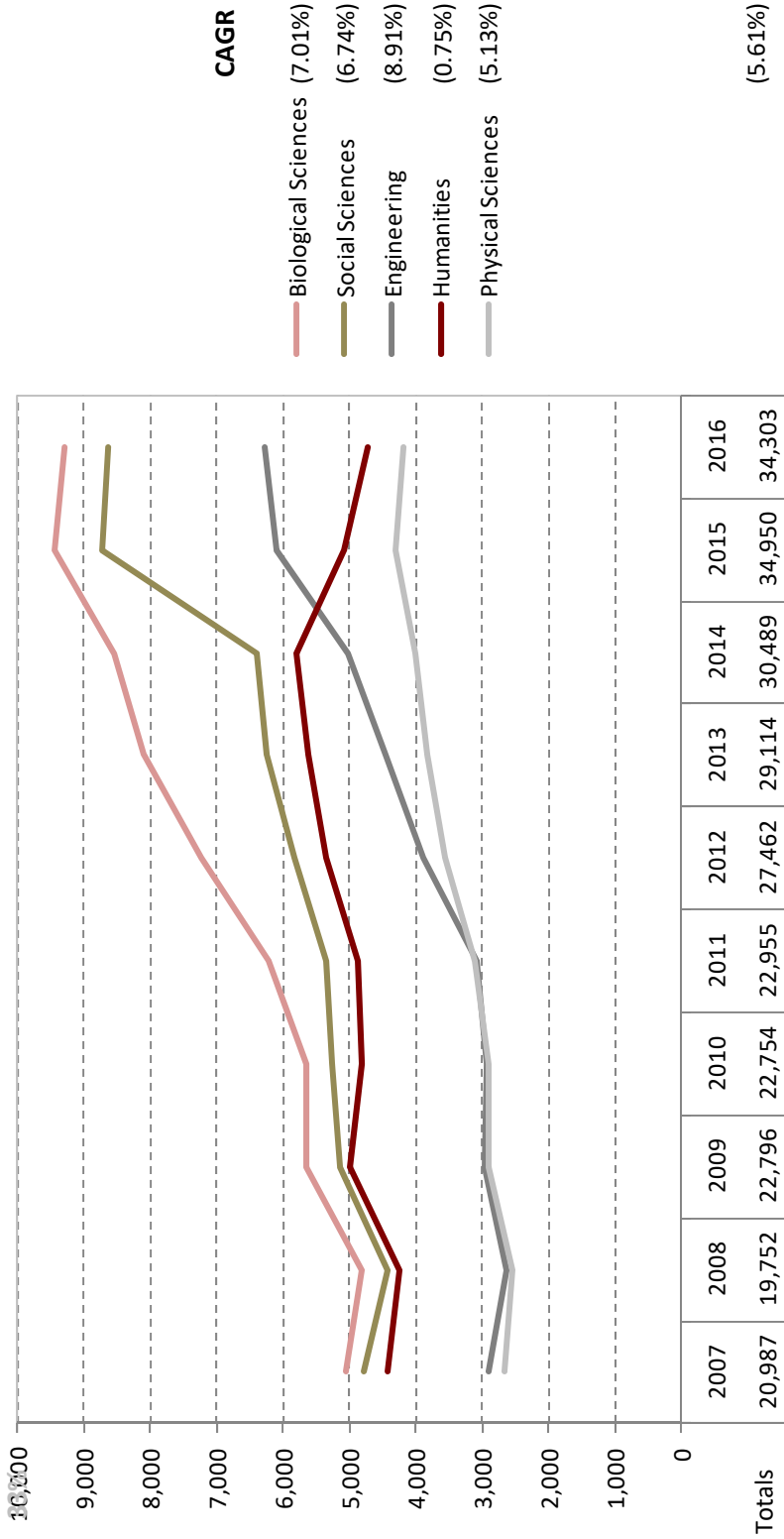
From Higher Education Research Institute, University of California at Los Angeles, Survey of the American Freshman:

- Nationally, the percentage of freshmen planning to study a STEM field has grown. More men plan to concentrate in a STEM field than women.
- Nationally, more women concentrate in Behavioral and Social Sciences and Biological/Agricultural Sciences, while more men plan to study Engineering.

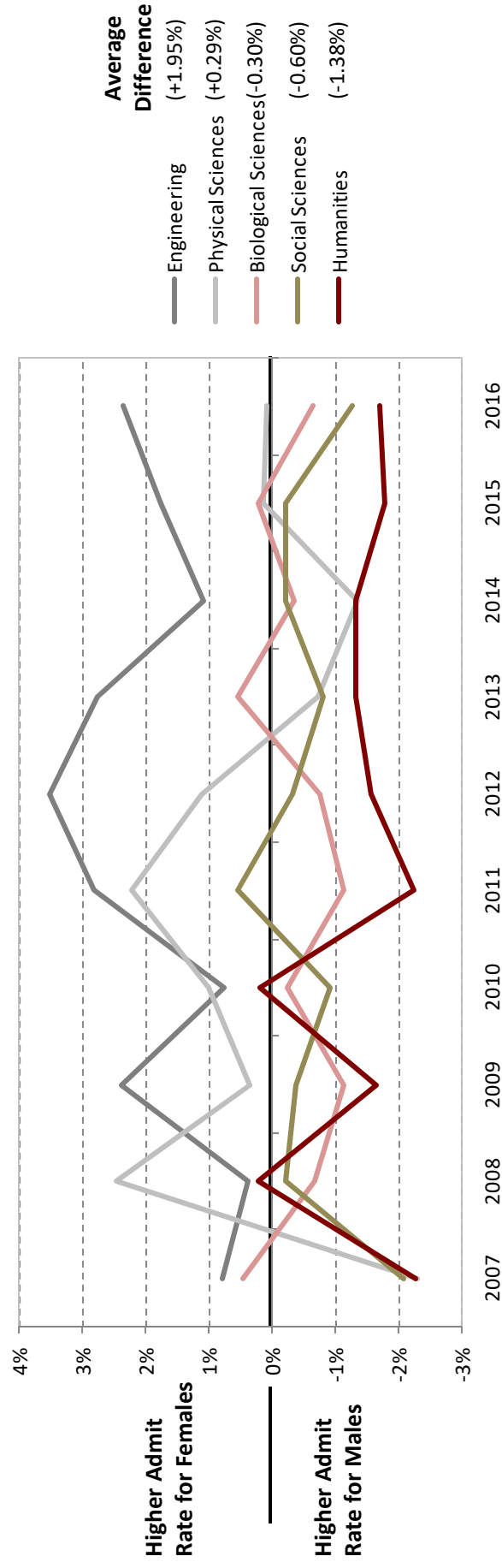
Note: Groupings of concentrations differ and include concentrations not offered at Harvard (Agricultural Sciences)

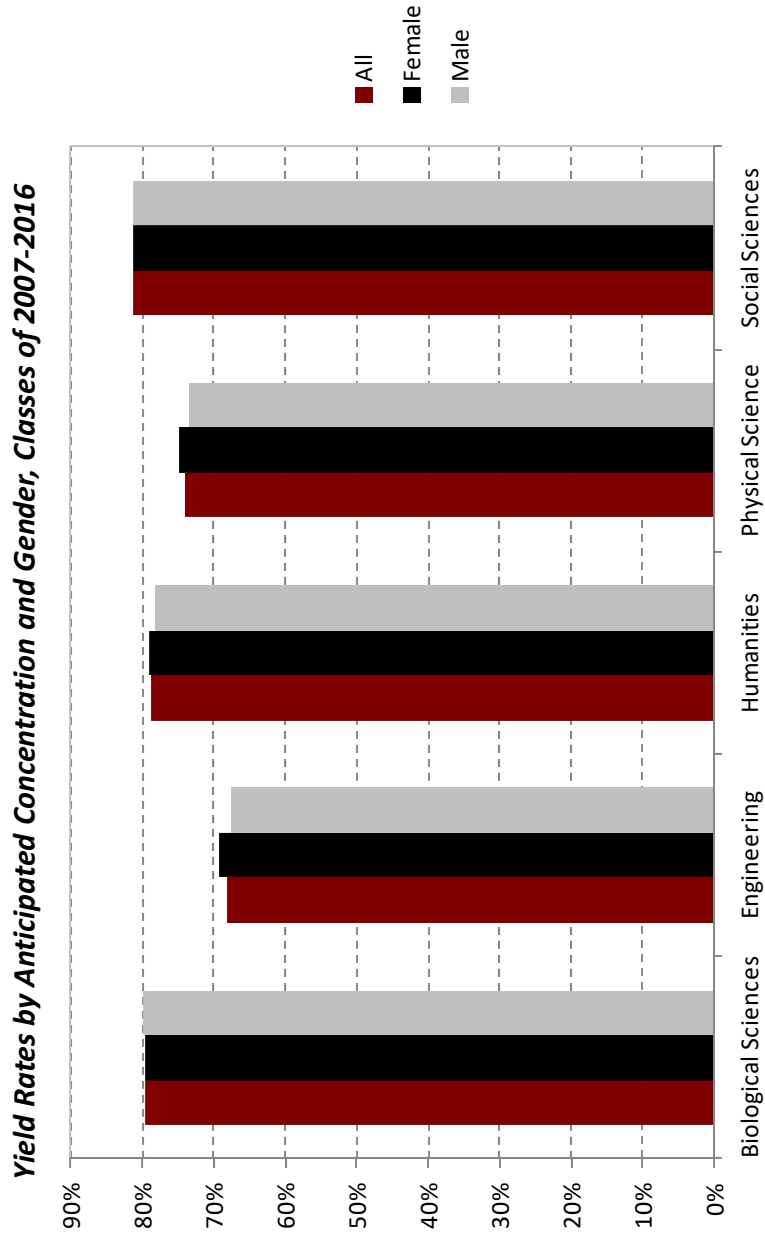
Applications from students planning to study Engineering have increased by 9% annually

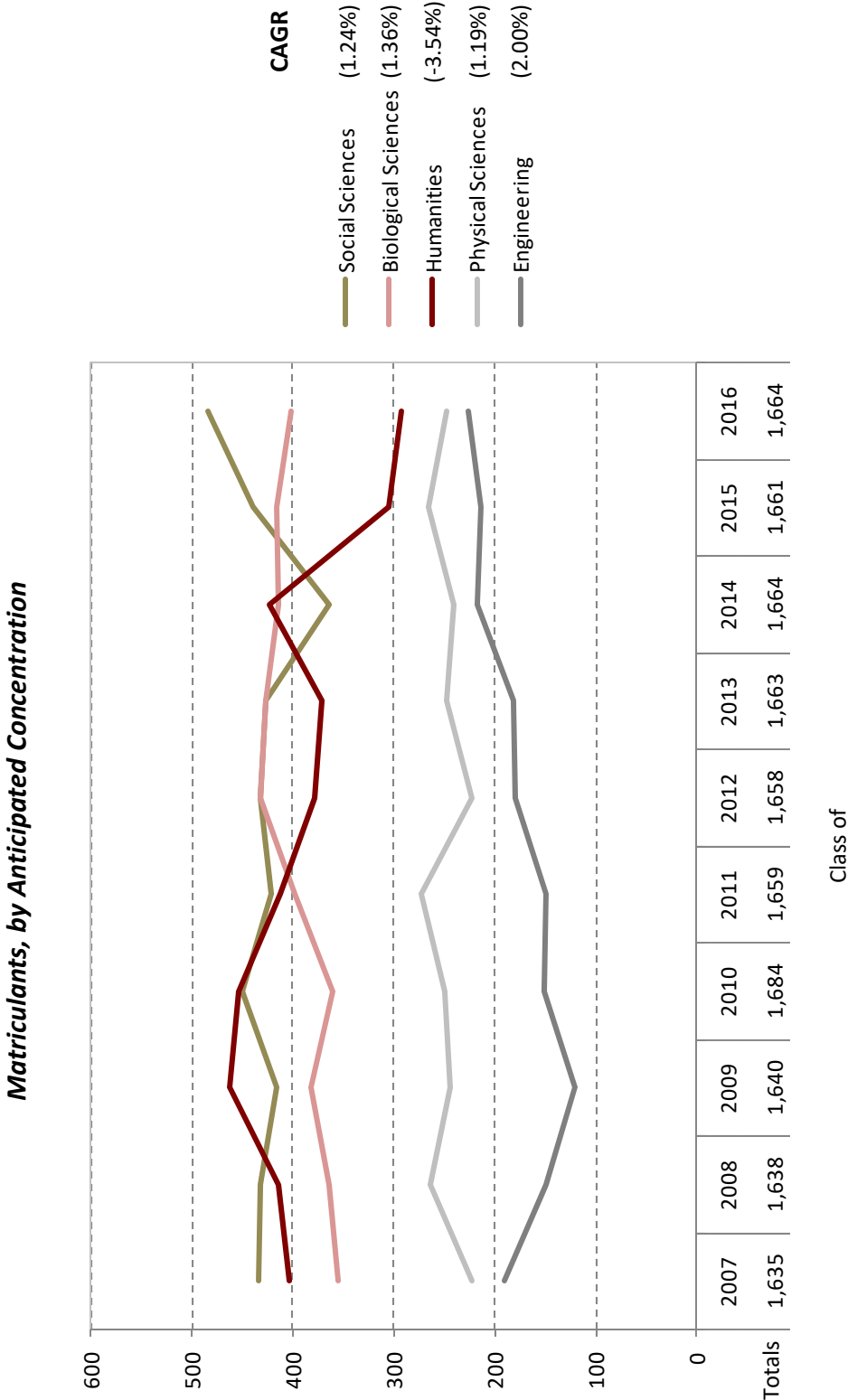
Growth in Applications, by Anticipated Concentration



*Differences in Admit Rates, by Gender and Concentration*







Notes:

- Undecided concentration excluded.
- Engineering includes students who anticipate studying Engineering or Computer Science.
- Physical Sciences includes students who anticipate studying Mathematics or the Physical Sciences.

Source: Office of Admissions



### Is the proportion of males and female matriculants what we’d expect given the applicant and accepted student pools?

- Yes. Harvard has more male than female applicants. Admit rates are similar, while women generally yield at higher rates. There are small differences in the qualifications of male and female applicants, resulting in small differences in predicted admit rates.

### How does Harvard compare to its peer group, other institution types, and higher education in general?

- Women are generally applying to higher education institutions at higher rates than men, and nationally, in 2009 women made up 57% of higher education enrollments.
- At Harvard and COFHE peer institutions, the percent of female applicants has declined, though this percent varies considerably across institutions. Yale and COFHE Colleges have higher percentages of female applicants than Harvard.

### How does anticipated concentration relate to the gender balance at Harvard?

- Female applicants are more likely to plan on studying Humanities or Biological Sciences, men Engineering or Physical Sciences (Social Sciences is evenly split). Over time, Humanities applicants have shrunk, Engineering and Social Sciences have grown. Harvard’s yield rates vary for these fields, impacting the gender balance.

**Gender distributions among applicants, admits, and matriculants should continue to be monitored.**

Part I: Access

A first look at the return of early action

Shift in the gender balance and impact of concentration choice

Evaluating factors that play a role in Harvard College admission

Appendix: Data Tables

**Goal:** Using various admissions ratings, how well can we approximate admit rates by race/ethnicity and the demographic composition of the admitted students pool?

**Strategy:**

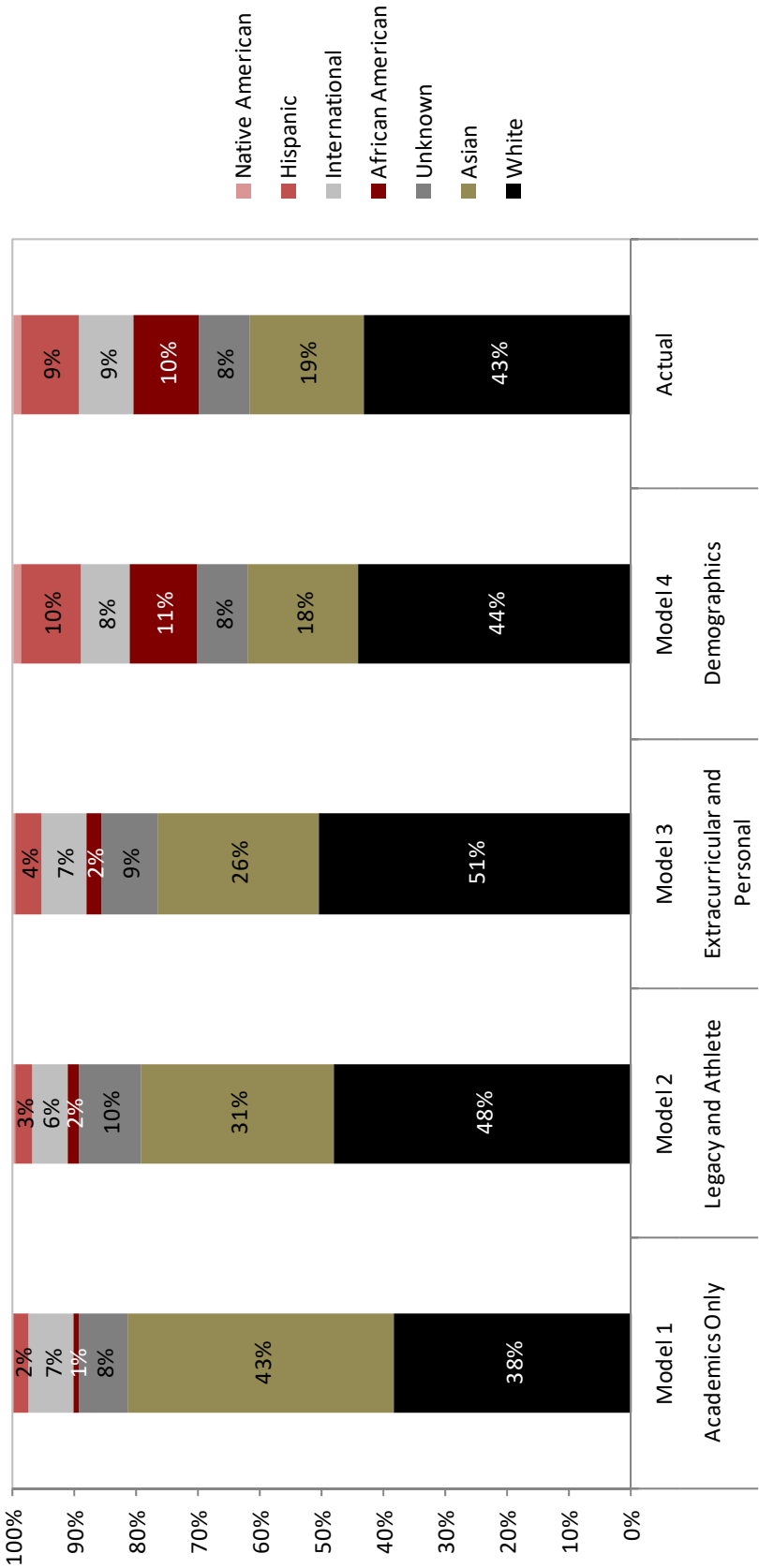
- Fit a series of basic logistic regression models using data from classes of 2007-2016.
- Generate fitted probabilities of admissions - given an applicant's characteristics how likely are they to be admitted (0-1)?
- For each class, select the 2100 applicants with the highest probability of admissions as our simulated admitted class.
- Examine resulting demographics and admit rates by ethnicity.

**Notes:**

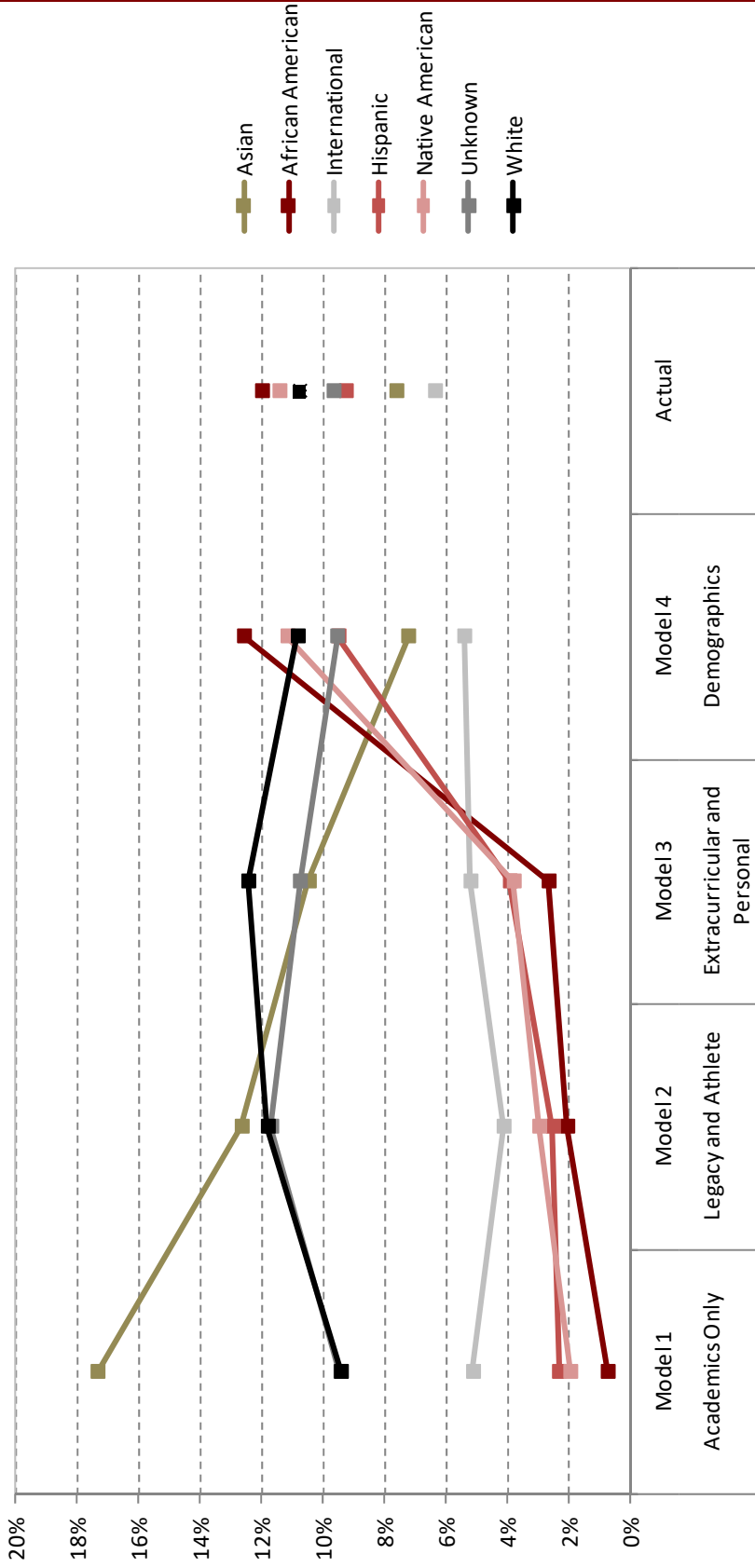
- Students with no academic index are excluded from this analysis.
- The following analysis is **preliminary** and for discussion.

Model 1: Academic only	Model 2: Add Legacy and Athlete	Model 3: Add Personal and Extracurricular	Model 4: Add Demographics
Academic Index	Academic Index	Academic Index	Academic Index
Academic Rating	Academic Rating	Academic Rating	Academic Rating
	Legacy	Legacy	Legacy
	Athlete	Athlete	Athlete
		Personal Rating	Personal Rating
		Extracurricular Rating	Extracurricular Rating
			Gender
			Ethnicity

Projected Admitted Student Pools



	Academics Only	Legacy and Athlete	Extracurricular and Personal	Demographics	
	Model 1	Model 2	Model 3	Model 4	Actual
Asian	43.04%	31.40%	25.99%	17.97%	18.66%
African American	0.67%	1.83%	2.36%	11.12%	10.46%
International	7.27%	5.86%	7.39%	7.68%	8.90%
Hispanic	2.42%	2.62%	4.07%	9.83%	9.46%
Native American	0.21%	0.32%	0.41%	1.21%	1.23%
Unknown	8.02%	9.93%	9.14%	8.11%	8.09%
White	38.37%	48.03%	50.63%	44.08%	43.21%



	Academics Only	Legacy and Athlete	Extracurricular and Personal	Demographics	Actual
	Model 1	Model 2	Model 3	Model 4	Actual
Asian	17.35%	12.66%	10.48%	7.24%	7.63%
African American	0.75%	2.07%	2.67%	12.59%	12.00%
International	5.13%	4.14%	5.22%	5.42%	6.37%
Hispanic	2.34%	2.53%	3.94%	9.51%	9.27%
Native American	1.97%	2.98%	3.81%	11.17%	11.43%
Unknown	9.45%	11.70%	10.77%	9.56%	9.67%
White	9.43%	11.81%	12.45%	10.84%	10.77%

## What have we learned?

PRELIMINARY DRAFT

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- Once we account for ratings and demographic factors, we can closely predict what the admitted class will look like.
- With current data, we explain a significant amount of the variation in admission, but further details (especially around the personal rating) may provide further insight.
- There are a variety of factors that quantitative data is likely to miss or ratings do not capture. We'd like to better understand:
  - Exceptional talent (music, art, writing)
  - The role of context cases
  - The role of the personal statement/essay
  - Measures of socio-economic status (HFAI Flag, Low Income Flag)



## Next steps

PRELIMINARY DRAFT

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- Determining priorities, timing, and audiences
  - Should this work be shared with additional audiences (e.g. President Faust, Dean Smith, Dean Hammonds)?
  - What are your priorities?
- The Finance Committee has expressed interest in a number of questions related to Harvard's affordability initiatives.

Research Question

*Part I: Access*

1. What is the effect on our applicant pool and yield of reintroducing early action?
2. Is the shift in the gender balance at Harvard College due to increased interest and recruitment for SEAS?
3. Is there bias against Asians in college admissions?

*Part II: Affordability*

4. What is the effect of our financial aid policies on our applicant pools and yields?
5. How affordable is Harvard to the “typical” family?
6. How much growth in the aid budget can the FAS sustain?

*Part III: Achievement*

7. How can we measure achievement among Harvard College graduates?

Next Steps

- Who else should see this work?
- To further address the question of bias, is there more data to elaborate our understanding of the role of the personal essay and other factors?
- These questions were raised by the Finance Committee of the Corporation.
- How do we think about affordability in the current budget climate?
- Who are the audiences, beyond the Corporation?
- OIR has gathered a variety of options for outcomes including National Student Clearinghouse data, AA&D data, and student surveys.
- How would you prioritize this question relative to others?

Part I: Access

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Appendix: Data Tables

## Compared to regular applicant pool, new and old early action pools look similar

	Early Action	2007-2011 Regular	Total		Early Action	Regular	2016 Total
<b>Gender</b>							
Female	49.0%	50.6%	50.2%		47.4%	48.5%	48.3%
Male	51.0%	49.4%	49.8%		52.6%	51.5%	51.7%
<b>Parent Education</b>							
Some College	85.1%	84.1%	84.3%		83.7%	85.0%	84.8%
Harvard Grad	7.1%	2.1%	3.2%		8.1%	1.7%	2.5%
No College	7.8%	13.8%	12.5%		8.2%	13.3%	12.7%
<b>Race Ethnicity</b>							
African American	4.7%	8.4%	7.6%		8.9%	9.9%	9.8%
Asian	24.2%	20.5%	21.3%		21.4%	20.3%	20.4%
Hispanic	6.5%	9.4%	8.8%		9.0%	10.3%	10.1%
International	11.3%	16.0%	15.0%		14.0%	19.1%	18.5%
Native American	0.8%	1.1%	1.0%		1.1%	1.0%	1.0%
Other	0.9%	1.5%	1.3%		0.0%	0.0%	0.0%
Unknown	7.7%	7.4%	7.4%		7.0%	7.2%	7.2%
White	43.9%	35.8%	37.5%		38.7%	32.2%	33.0%
<b>Academic Rating</b>							
Academic 1	2.1%	0.5%	0.8%		1.6%	0.3%	0.5%
Academic 2	48.1%	31.2%	35.0%		49.8%	38.1%	39.6%
Academic 3	41.3%	48.9%	47.2%		35.9%	41.1%	40.4%
Academic 4	7.6%	15.8%	14.0%		9.6%	14.5%	13.9%
Academic 5	0.9%	3.6%	3.0%		3.1%	6.0%	5.6%
<b>Fee Waiver</b>							
No	95.2%	88.9%	90.3%		92.7%	87.6%	88.2%
Yes	4.8%	11.1%	9.7%		7.3%	12.4%	11.8%

# 2016 early action pool is more diverse than old early action pools

	2007-2011	2016	All
<b>Gender</b>			
Female	49.0%	47.4%	48.7%
Male	51.0%	52.6%	51.3%
<b>Parent Education</b>			
Some College	85.1%	83.7%	84.9%
Harvard Grad	7.1%	8.1%	7.2%
No College	7.8%	8.2%	7.9%
<b>Race Ethnicity</b>			
African American	4.7%	8.9%	5.4%
Asian	24.2%	21.4%	23.7%
Hispanic	6.5%	9.0%	6.9%
International	11.3%	14.0%	11.7%
Native American	0.8%	1.1%	0.8%
Other Race/Ethnicity	0.9%	0.0%	0.8%
Unknown Race/Ethnicity	7.7%	7.0%	7.6%
White	43.9%	38.7%	43.1%
<b>Academic Rating</b>			
Academic 1	2.1%	1.6%	2.0%
Academic 2	48.1%	49.8%	48.3%
Academic 3	41.3%	35.9%	40.5%
Academic 4	7.6%	9.6%	7.9%
Academic 5	0.9%	3.1%	1.2%
<b>Fee Waiver</b>			
No	95.2%	92.7%	94.8%
Yes	4.8%	7.3%	5.2%

Admit Rates			
	Model 4	Actual	Difference
Asian	7.24%	7.63%	-0.39%
African American	12.59%	12.00%	0.59%
International	5.42%	6.37%	-0.95%
Hispanic	9.51%	9.27%	0.23%
Native American	11.17%	11.43%	-0.26%
Unknown	9.56%	9.67%	-0.12%
White	10.84%	10.77%	0.06%
Entering Classes			
	Model 4	Actual	Difference
Asian	17.97%	18.66%	-0.69%
African American	11.12%	10.46%	0.66%
International	7.68%	8.90%	-1.22%
Hispanic	9.83%	9.46%	0.37%
Native American	1.21%	1.23%	-0.02%
Unknown	8.11%	8.09%	0.02%
White	44.08%	43.21%	0.87%

Difference in Projected vs. Actual Admit Rate												
	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016		
Asian	0.002412	0.004282	0.002479	0.005113	0.012497	0.007495	0.004567	0.002473	0.000407	0.000752		
African Ar	0.019531	-0.00496	-0.00075	0.003436	-0.01049	-0.01558	-0.00816	-0.01232	0.000682	-0.01331		
Internatio	0.015547	0.014264	0.010059	0.009594	0.002495	0.014182	0.011458	0.009821	0.006937	0.006522		
Hispanic	0.003422	0.002778	-0.01048	-0.0116	-0.00537	-0.0097	0.00521	-0.00038	0.00736	-0.00927		
Native Am	0.037838	0	-0.00588	-0.01415	0.031674	0.02381	-0.00893	0.009494	-0.0069	-0.02667		
Unknown	-0.00079	-0.00096	-0.00564	-0.00755	-0.00792	0.007795	-0.00067	0.038691	0.011152	0.00307		
White	-0.01003	-0.00613	-0.00169	0.001581	-0.00476	0.002299	0.002692	0.005373	0.00121	0		
Difference in Projected vs. Actual Admitted Class Demographics												
	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016		
Asian	-0.0056	-0.0083	-0.0059	-0.009	-0.0272	-0.0107	-0.0054	0.0023	0.0063	-0.0055		
African Ar	-0.01	0.0023	1E-04	-0.0012	0.0078	0.0176	0.0122	0.0193	0.0037	0.0156		
Internatio	-0.0151	-0.0134	-0.0117	-0.0096	-0.0036	-0.0175	-0.014	-0.0113	-0.0108	-0.0149		
Hispanic	-0.0028	-0.002	0.0078	0.0106	0.0045	0.013	-0.0025	0.0049	-0.007	0.0119		
Native Am	-0.0034	-0.0001	0.0005	0.0016	-0.0034	-0.002	0.0014	-0.0005	0.0015	0.0037		
Unknown	0.0001	0.0004	0.0049	0.0083	0.0069	-0.0056	0.0053	-0.0103	-0.0042	-0.0045		
White	0.0369	0.021	0.0045	-0.0006	0.0148	0.0052	0.0029	-0.0044	0.0106	-0.0063		

To: Bill Fitzsimmons  
 CC: Jeff Neal, Christine Heenan, Nina Collins, Sally Donahue  
 From: Erica Bever, Erin Driver-Linn, Mark Hansen  
 Re: Harvard College Admissions and Low Income Students  
 Date: May 2013

Recently, you noted to us the criticism elite institutions had received from various others with regards to admitting low income students. Critics like Bill Bowen have suggested that need blind admissions policies prohibit Harvard and others from important information that would be used in assessing the application of a low income student. In *Equity and Excellence*, Bowen et. al. noted that, "We see that there was no perceptible difference in the chances of being admitted, at any given SAT level, for students from the two low-SES categories and for all other (non-minority) students." However, the reality in admissions may be more complex than need-blind policies suggest. As Hoxby and Avery (2013) note, "many admissions offers say that they use students' essays, teachers' letters, parents' education, attendance at an 'under-resourced' high school, and similar indicators to identify, provide favorable terms of admission to, and strongly recruit students who they believe to be economically disadvantaged." At your request, we undertook an analysis to determine if the chance of admission is any different for low income students, holding all other admissions characteristics constant.

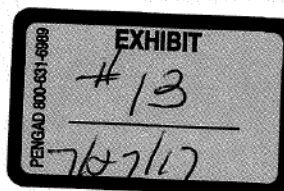
Below, we briefly describe the data used for our analysis and its limitations, our approach, and our findings. At the conclusion, we outline some important considerations for evaluating the utility in sharing this analysis.

#### Data

- ~~Class Years~~ Our analyses are limited to the classes of 2009 to 2016. Prior to 2009, we do not have income data.
- Changing admission and financial aid policy during this years
- ~~Income variable used~~ We are currently using self-reported income from the CSS profile as a measure of income.

#### Analysis (Approach)

The analyses we conducted mirror the analyses in Bowen's *Equity and Excellence*, chapter ... We first looked at the admit rates of low income applicants, defined as applicants with family incomes less than or equal to \$60,000, by a measure of academic qualifications to see if there was any evidence of a preference for low-income applicants. If groups of applicants with similar academic qualifications, but different incomes are admitted at different rates, this might suggest the presence of a "tip" for low-income applicants.





However, any difference found could be due to other factors that might relate to income, so we would want to control for other factors that are weighed when making an admissions decision. We used a logistic regression model which incorporated academic index, gender, ethnicity, academic rating, extracurricular rating, personal rating, athletic rating, legacy status as inputs to predict the probability of admission. We should note that this approach also has limitations; we picked a small set of variables that would factor in admissions decisions. The selection of a wider set of variables might result in a better fitting model that accounts for variation in individuals and unique contributions to the entering class. Our model is limited to main effects, and we did not examine any interactions.

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### Findings

In appendix I, we show how income and SAT I scores relate. Applicants from families with lower incomes tend to have lower SAT I scores. Based on a preference for high SAT scores in the admission process (applicants with SAT I scores lower than 600 have a very low probability of admission), we would expect that applicants from low-income families would be admitted at a lower rate.

However, we can see in appendix II that this is not the case. For all SAT I scores greater than 600, we see that applicants from families with incomes less than or equal to \$60,000 are admitted at a higher rate than applicants with similar SAT scores from families with higher incomes.

These descriptive results agree with the logistic regression model described above and summarized in the chart presented in appendix III. The crimson bars on the chart represent predicted admit rates by various income bands based on demographics, legacy status, athletic skills, ratings, and measure of academic qualifications. Given the relationship between income and SAT scores and the extracurricular opportunities available to low income applicants, we would expect low income applicants to be admitted at lower rates than their peers. However, we can see that in actuality low-income applicants are admitted at much higher rates that we'd expect based on their admissions characteristics.

To get a sense of the size of the admissions advantage conferred on low-income applicants relative to other groups of applicants, we include low-income status in another logistic regression model, the results of which are summarized in the final appendix. Compared to athletes and legacies, the size of this advantage is relatively small. The relative sizes of the admissions advantage conferred on different groups can be confirmed by looking at admit rates. An athlete that is also an academic 1 or 2 has an admit rate of 83% compared against 16% for non-athletes with an academic 1 or 2. The gap for legacy is 40%. Asian applicants with an academic 1 or 2 are admitted 12% of the time compared against an admit rate of 18% for non-Asian applicants. By comparison, low income applicants with an academic 1 or 2 have an admit rate of 24% compared against 15%.

(Appendix with three exhibits and regression table)

### Considerations

Any analysis of the admissions process will draw attention to the variety of factors that often compete in admissions. With only approximately 2200 spaces for admitted students, as you know, implicit tradeoffs are made between athletes and non-athletes, legacy admits and those without affiliation, low income and other students. While we find that low income students clearly receive a "tip" in the admissions process, our model also shows that the tip for [legacy, athletes, etc.] is larger. On the flip side, we see a negative effect of being [Asian]. These realities have also received intense scrutiny from critics like Bowen, or more recently, Unz, as we have discussed at length. To draw attention to the positive benefit that low income students receive, may also draw attention to the more controversial findings around Asians, or the expected results around legacies and athletes.

Variable	Coefficient Estimate	P-value
Athletic rating of 1	6.33	0.00
Personal Rating 1 or 2	2.41	0.00
Legacy	2.40	0.00
African American	2.37	0.00
Native American	1.73	0.00
Extracurricular 1 or 2	1.58	0.00
Academic 1 or 2	1.31	0.00
Standardized Academic Index	1.29	0.00
Hispanic	1.27	0.00
CSS self-reported income less	0.98	0.00
International	0.24	0.00
Asian	-0.37	0.00
Constant	-6.23	0.00
Unknown/Other	-0.03	0.41
Female	0.00	0.87
N = 192,359; Pseudo R <sup>2</sup> = 0.45		

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Below, we briefly describe the data used for our analysis and its limitations, our approach, and our findings. At the conclusion, we outline some important considerations for evaluating the utility in sharing this analysis.

#### Data

Data on admissions applicants came from the Office of Admission. Data on income comes from the CSS profile part of the financial aid application and was supplied to the Office of Institutional Research from the Financial Aid Office. Because we did not have income data prior to 2009, we limit our analyses to the classes of 2009 to 2016. Of the 192,359 ~~xxx,xxx~~ students who applied for admission, 49~~49~~% also submitted the CSS profile portion of the financial aid application. We do not have income data for students who did not apply for aid.

#### Analysis: Approach and Results

The analyses we conducted are similar to the analyses Bowen, Kurzweil, and Tobin performed in *Equity and Excellence* (2005). First, we examine the admit rate of low income applicants, defined as applicants with family incomes less than or equal to \$60,000, by a measure of academic qualifications such as SAT score, to see if there was any evidence of a preference for low-income applicants. If groups of applicants with similar academic qualifications, but different incomes are admitted at different rates, this might suggest the presence of a "tip" for low-income applicants.

Exhibit 1 illustrates the relationship between income and SAT I score. Fewer than 20% of applicants in the lowest income group (Less than \$10K) have SAT I scores above 750, while almost 30% have scores

below 600, where the admission rates are below 1%, without controlling for additional factors. As incomes increase, the proportion of students with top SAT I scores above 750 increases, while the proportion with scores below 600 decreases. Based on a preference for high SAT scores in the admission process (applicants with SAT I scores lower than 600 have a very low probability of admission), we would expect that applicants from low-income families would be admitted at a lower rate. However, for all SAT I scores greater than 600, we see that applicants from families with incomes less than or equal to \$60,000 are admitted at a higher rate than applicants with similar SAT scores from families with higher incomes (exhibit 2).

The differences noted above could be related to other factors that are related to income or are important in the admissions process. In order to control for those potential issues, we implement a logistic regression model to predict the probability of admission controlling for demographic characteristics and a variety of metrics used to assess qualification for admission. Demographic characteristics include gender and race/ethnicity. Qualifications used in admission include academic index, academic rating, extracurricular rating, personal rating, athletic rating, and legacy status.

This approach likely has several limitations; we picked a small set of variables that would factor in admissions decisions. The selection of a wider set of variables might result in a better fitting model that accounts for more of the variation in individual applicants and their potentially unique contributions to the entering class. For example, the model does not capture exceptional talent in art or music explicitly (although ratings may capture some of this). In addition, our model is limited to main effects and we did not examine the potential for interactions between variables that might better predict admission. Therefore, our analysis should not be considered exhaustive.

The logistic regression model finds results consistent with the descriptive analysis in exhibits 1 and 2. Exhibit 3 illustrates the difference between the predicted admission rate and actual admission rate for students at each income level. The predicted rate reflects controls for demographics, legacy status, athletic skills, ratings, and measure of academic qualifications. Given the relationship between income and SAT scores and the extracurricular opportunities available to low income applicants, we would expect low income applicants to be admitted at lower rates than their peers, which is reflected in predicted admit rates. However, we find that applicants with incomes below \$120K are admitted at higher rates than we'd expect based on their admissions qualifications.

To get a sense of the size of the admissions advantage conferred on low-income applicants relative to other groups of applicants, we include low-income status in another logistic regression model. The table below is sorted based on the effect size of each of the variables included in the model. The variables with the largest effects on the probability of admission are the athletic rating, a high personal rating, and legacy status. Compared to athletes and legacies, the size of the advantage for low income students is relatively small. The relative sizes of the admissions advantage conferred on different groups can be confirmed by looking at raw admit rates. An athlete that is also an academic 1 or 2 has an admit rate of 83% compared against 16% for non-athletes with an academic 1 or 2 [IF WE EXCLUDE ATHLETES FROM OUR MODEL, HOW DOES THIS STORY CHANGE?]. The gap for legacy is 40%. Asian applicants with an academic 1 or 2 are admitted 12% of the time compared against an admit rate of 18% for non-Asian

applicants. [MAKE ALL OF THESE FINDINGS AN EXHIBIT?] By comparison, low income applicants with an academic 1 or 2 have an admit rate of 24% compared against 15% for all other applicants.

**Comment [m1]:** The admit rates here are raw admit rate, not predicted. Not sure if we need to be more explicit?

### Considerations

Any analysis of the admissions process will draw attention to the variety of factors that often compete in admissions. With only approximately 2200 spaces for admitted students, as you know, implicit tradeoffs are made between athletes and non-athletes, legacy admits and those without affiliation, low income and other students. While we find that low income students clearly receive a “tip” in the admissions process, our model also shows that the tip for [legacy, athletes, etc.] is larger. On the flip side, we see a negative effect for Asian applicants. These realities have also received intense scrutiny from critics like Bowen, or more recently, Unz, as we have discussed at length. To draw attention to the positive benefit that low income students receive, may also draw attention to the more controversial findings around Asians, or the expected results around legacies and athletes.

Variable	Coefficient Estimate	P-value
Athletic rating of 1	6.33	0.00
Personal Rating 1 or 2	2.41	0.00
Legacy	2.40	0.00
African American	2.37	0.00
Native American	1.73	0.00
Extracurricular 1 or 2	1.58	0.00
Academic 1 or 2	1.31	0.00
Standardized Academic Index	1.29	0.00
Hispanic	1.27	0.00
CSS self-reported income less	0.98	0.00
International	0.24	0.00
Asian	-0.37	0.00
Constant	-6.23	0.00
Unknown/Other	-0.03	0.41
Female	0.00	0.87

N = 192,359; Pseudo R<sup>2</sup> = 0.45

**From:** Bever, Erica Jane [erica\_bever@harvard.edu]  
**Sent:** Wednesday, May 01, 2013 5:56:26 PM  
**To:** Fitzsimmons, William  
**CC:** Pacholok, Olesia; Driver-Linn, Erin; Hansen, Mark Francis  
**Subject:** Admissions memo  
**Attachments:** LowIncomeAdmissionMemo\_FINAL\_20130501.pdf

Dear Fitz,

Attached is a memo describing our recent analysis of low income admissions. In the memo we describe our approach and results. At your suggestion, we reviewed a small sample of literature to put this in context and realized our approach was consistent with what others have done. We'd appreciate any comments or suggestions you have.

We thought, based on our conversation last week, that it would also make sense to share this with Jeff Neal and Christine Heenan, Nina Collins, and Sally Donahue. Does that make sense? Are there others you would like to include in this conversation?

Let us know if you have any questions!

Best,

Erica

Erica Bever

Assistant Director, Office of Institutional Research

Harvard University

Holyoke Center Suite 780

1350 Massachusetts Avenue

Cambridge, MA 02138

617-495-2718



To: Bill Fitzsimmons  
From: Erica Bever, Erin Driver-Linn, Mark Hansen  
Re: **Harvard College Admissions and Low Income Students**  
Date: May 1, 2013

As you have discussed with us, there may be value in responding to recent press about the rate of admission for low income students at elite institutions and in particular for Harvard College. Critics like Bill Bowen have suggested for years that need-blind admissions policies prohibit Harvard and others from using important information to evaluate the application of a low income student. In *Equity and Excellence in American Higher Education*, Bowen, Kurzweil, and Tobin note that, "We see that there was no perceptible difference in the chances of being admitted, at any given SAT level, for students from the two low-SES categories and for all other (non-minority) students" (Bowen, Kurzweil, & Tobin, 2005). However, the reality in admissions may be more complex than need-blind policies suggest as noted in Caroline Hoxby and Chris Avery's recent study: "many admissions officers say that they use students' essays, teachers' letters, parents' education, attendance at an 'under-resourced' high school, and similar indicators to identify, provide favorable terms of admission to, and strongly recruit students who they believe to be economically disadvantaged" (Hoxby & Avery, 2012). At your request, we undertook an analysis to determine if the chance of admission is any different for low income students, holding all other admissions characteristics constant.

Below, we briefly describe the data used for our analysis and its limitations, our approach, and our findings. At the conclusion, we outline some issues we believe are important to consider prior to public dissemination of this analysis.

### **Data Sources and Limitations**

Applicant data was provided to the Office of Institutional Research by the Office of Admission. Data on income comes from the CSS profile section of the financial aid application and was supplied to the Office of Institutional Research by the Financial Aid Office for the classes of 2009 to 2016. Of the 192,359 students who applied for admission for those classes, 49% also submitted the CSS profile portion of the financial aid application. We do not have income data for students who did not apply for aid.

### **Analysis Approach and Results**

Similar to the analyses conducted by Bowen et. al. in *Equity and Excellence in American Higher Education*, we first examine the admit rate of low-income applicants (defined as applicants with family incomes less than or equal to \$60,000) by a measure of academic qualification (such as SAT score) to see if there is any evidence of a preference for low-income applicants. If groups of applicants with similar academic qualifications, but different incomes, are admitted at different rates, this might suggest the presence of a "tip" for low-income applicants.

Exhibit 1 illustrates the relationship between income and SAT I score. Fewer than 20% of applicants in the lowest income group (Less than \$10K) have SAT I scores above 750, while almost 30% have scores

below 600, where the admission rates are below 1%, without controlling for additional factors. As incomes increase, the proportion of students with SAT I scores above 750 increases, while the proportion with scores below 600 decreases. Based on a preference for high SAT scores in the admission process (applicants with SAT I scores lower than 600 have a very low chance of admission), we would expect that applicants from low-income families would be admitted at a lower rate. However, for all SAT I scores greater than 600, we see that applicants from families with incomes less than or equal to \$60,000 are admitted at a higher rate than applicants with similar SAT scores from families with higher incomes (Exhibit 2).

The differences noted above could be related to other factors important in the admissions process. In order to control for those potential issues, we implement a logistic regression model to predict the probability of admission, controlling for demographic characteristics and a variety of metrics used to assess qualification for admission. Demographic characteristics include gender and race/ethnicity. Qualifications used in admission include academic index, academic rating, extracurricular rating, personal rating, athletic rating, and legacy status.

This approach has several limitations; we picked a small set of variables that would factor in admissions decisions. The selection of a wider set of variables might result in a better fitting model, one that accounts for more of the variation in individual applicants and their potentially unique contributions to the entering class. For example, the model does not capture exceptional talent in art or music explicitly (although ratings may capture some aspect of these attributes). In addition, our model is limited to main effects, not examining interactions between variables. Our analysis should not be considered exhaustive.

In spite of these limitations, the logistic regression model results are consistent with the descriptive analysis described above and shown in Exhibits 1 and 2. Exhibit 3 illustrates the difference between the *predicted* admission rate and *actual* admission rate for students at each income level. The predicted rate controls for demographics, legacy status, athletic skills, ratings, and measures of academic qualifications. Given what we know about the relationship between income and SAT scores and the extracurricular opportunities available to low income applicants, we would expect low income applicants to be admitted at lower rates than their peers (this is reflected in predicted admit rates). However, we find actual admission rates indicate that applicants with incomes below \$120K are admitted at higher rates than we expected.

To get a sense of the size of the admissions advantage conferred to low-income applicants relative to other groups of applicants, the so-called “thumb on the scale,” we include low-income status in a second logistic regression model. The table below is sorted based on the effect size of each of the variables included in the model. The variables with the largest effects on the probability of admission are athletic rating, personal rating, and legacy status. Compared to athletes and legacies, the size of the advantage for low income students is relatively small.

**Table: Logistic Regression Predicting Admission from Classes 2009 through 2016**

Variable	Coefficient	P-value
----------	-------------	---------



	Estimate	
Athletic rating of 1	6.33	0.00
Personal Rating 1 or 2	2.41	0.00
Legacy	2.40	0.00
African American	2.37	0.00
Native American	1.73	0.00
Extracurricular 1 or 2	1.58	0.00
Academic 1 or 2	1.31	0.00
Standardized Academic Index	1.29	0.00
Hispanic	1.27	0.00
CSS self-reported income less than or equal to \$60K	0.98	0.00
International	0.24	0.00
Asian	-0.37	0.00
Constant	-6.23	0.00
Unknown/Other	-0.03	0.41
Female	0.00	0.87

N = 192,359; Pseduo R2 = 0.45

The relative sizes of the admissions advantage conferred on different groups can be seen by looking at the differences in *actual* admit rates as well. In Exhibit 4, we limit our analysis to students with high academic ratings (1 or 2) and examine the differences between athletes and non-athletes, legacy students and others, Asian students and all other students, and low income students and all other students. An athlete that is also an academic 1 or 2 has an admit rate of 83% compared against 16% for non-athletes with an academic 1 or 2. Fifty-five percent of legacies who are academic 1s and 2s are admitted compared with 15% of all other academic 1 and 2s. Asian applicants with an academic 1 or 2 are admitted 12% of the time compared against an admit rate of 18% for non-Asian applicants. By comparison, low income applicants with an academic 1 or 2 have an admit rate of 24% compared against 15% for all other applicants.

#### Issues to consider before sharing these results publicly

We imagine that sharing any analysis of admission weights will draw attention to the variety of factors that compete with one another in the admissions decision. To state the obvious, with only ~2,200 spaces for admitted students per year, implicit tradeoffs are made between athletes and non-athletes, legacy admits and those without affiliation, low income and other students. We know that many are interested in the analysis of the relative tradeoffs. While we find that low income students clearly receive a “tip” in the admissions process, our descriptive analysis and regression models also shows that the tip for legacies and athletes is larger and that there are demographic groups that have negative effects.

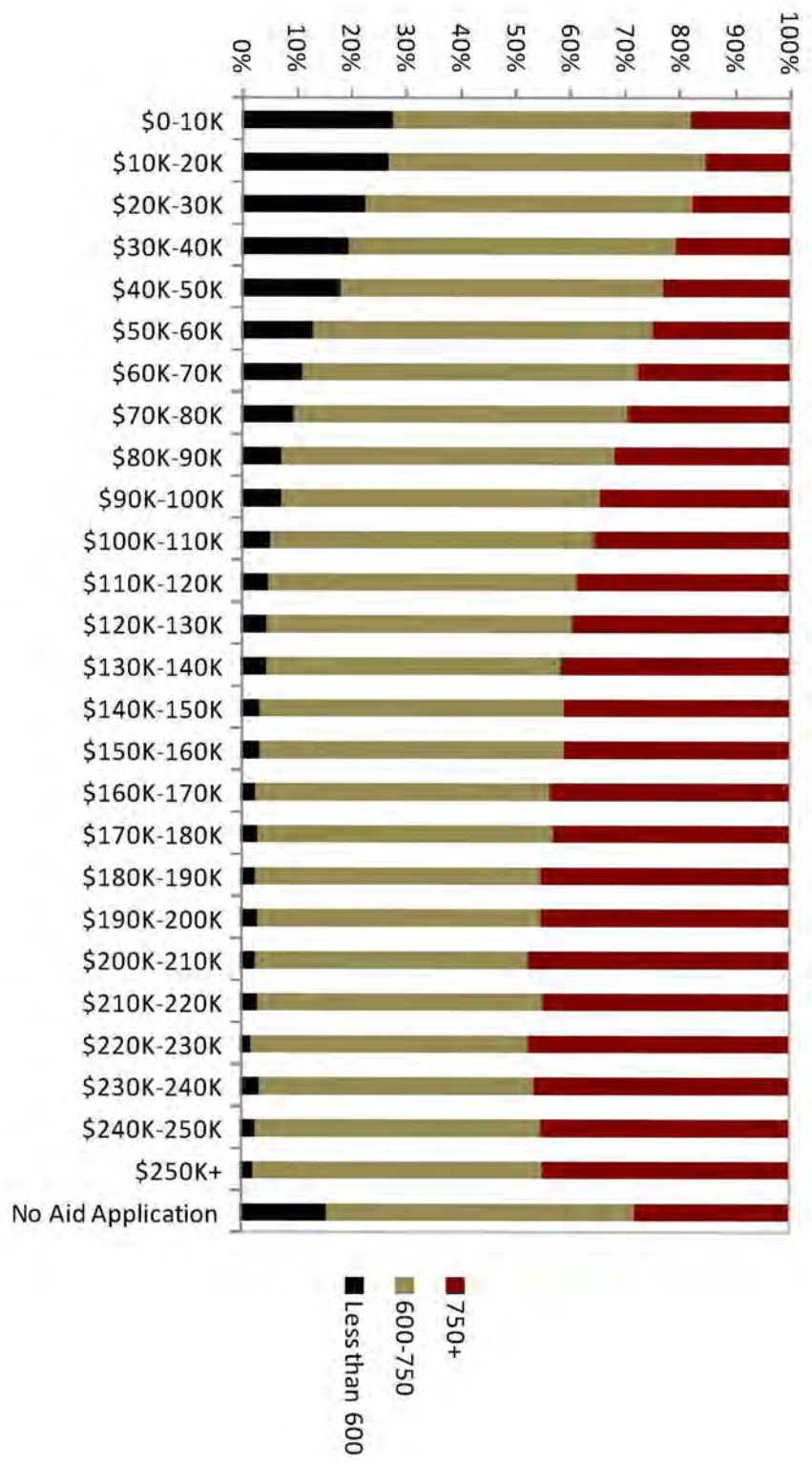
**Works Cited**

Bowen, W. G., Kurzweil, M. A., & Tobin, E. M. (2005). *Equity and Excellence in American Higher Education*. Charlottesville and London: University of Virginia Press.

Hoxby, C. M., & Avery, C. (2012, December). The Missing "One-Offs": The Hidden Supply of High-Achieving, Low Income Students. *NBER Working Paper Series*.

Income and SAT scores are positively related.

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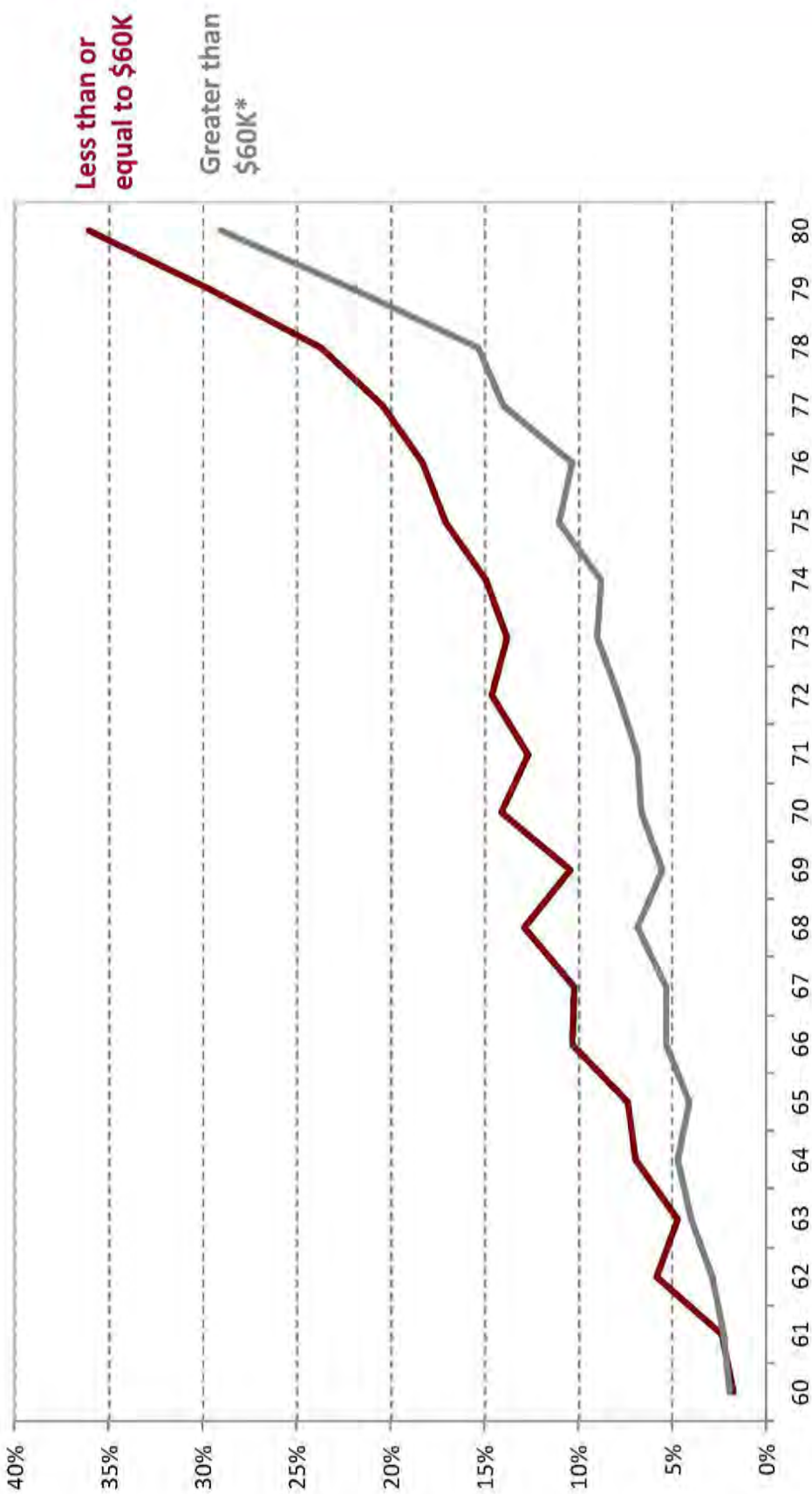


## Exhibit 2: Admit Rates by Income and SAT Score, Class of 2009-2016

CONFIDENTIAL DRAFT

2

- Using SAT as a proxy for admissions qualifications, we see at every score level, lower income students have higher admit rates.



### Notes:

The analysis above uses the average of the maximum math, writing, and reading scores a student received. Average SAT I Scores less than 600 are excluded from the exhibit above as the admit rate for students with SAT I scores less than 600 have an admit rate of less than 1%.

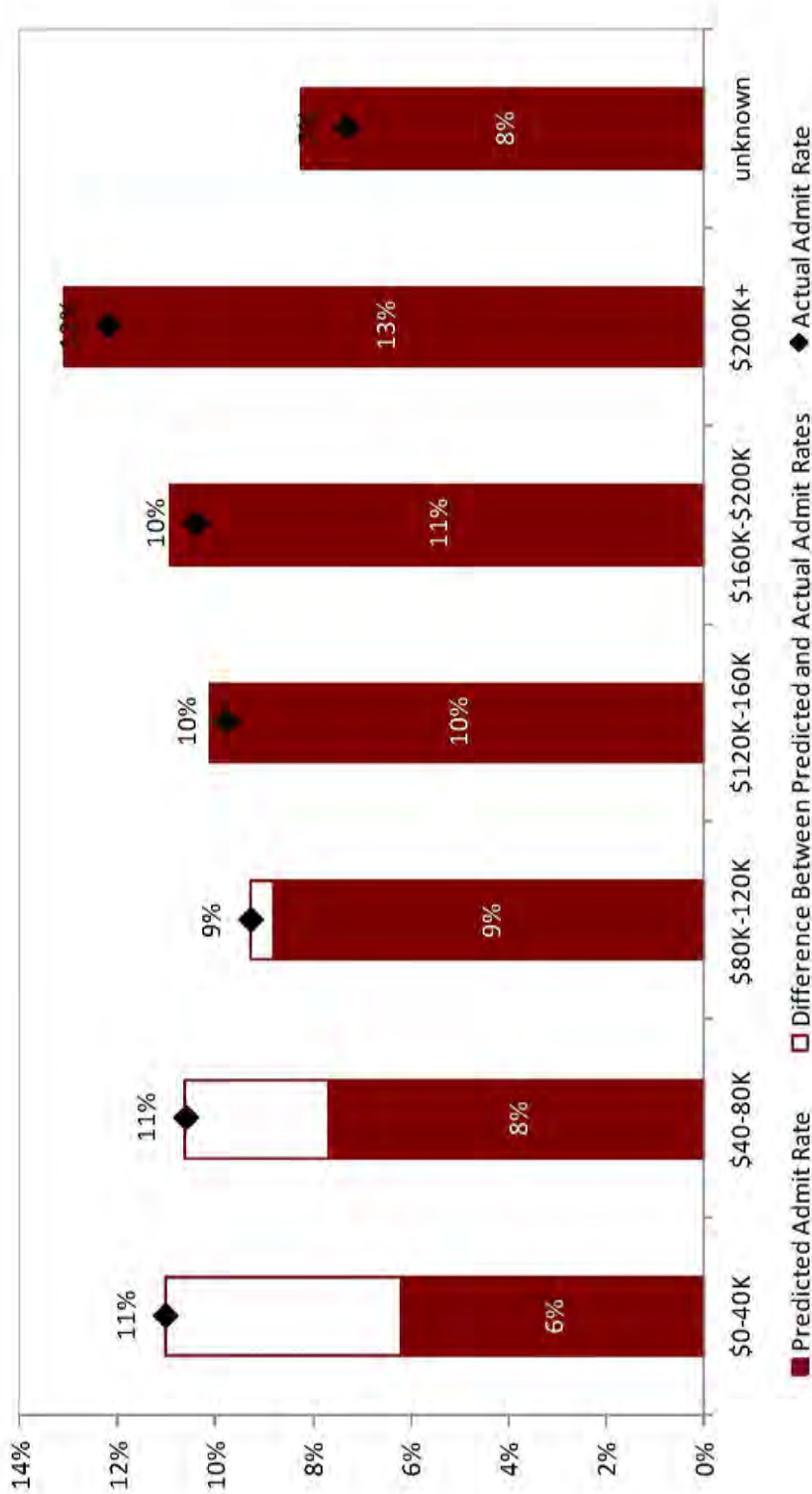
\* Category includes those with no (missing) self-reported income

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Predicted and Actual Admit Rates by Income Band



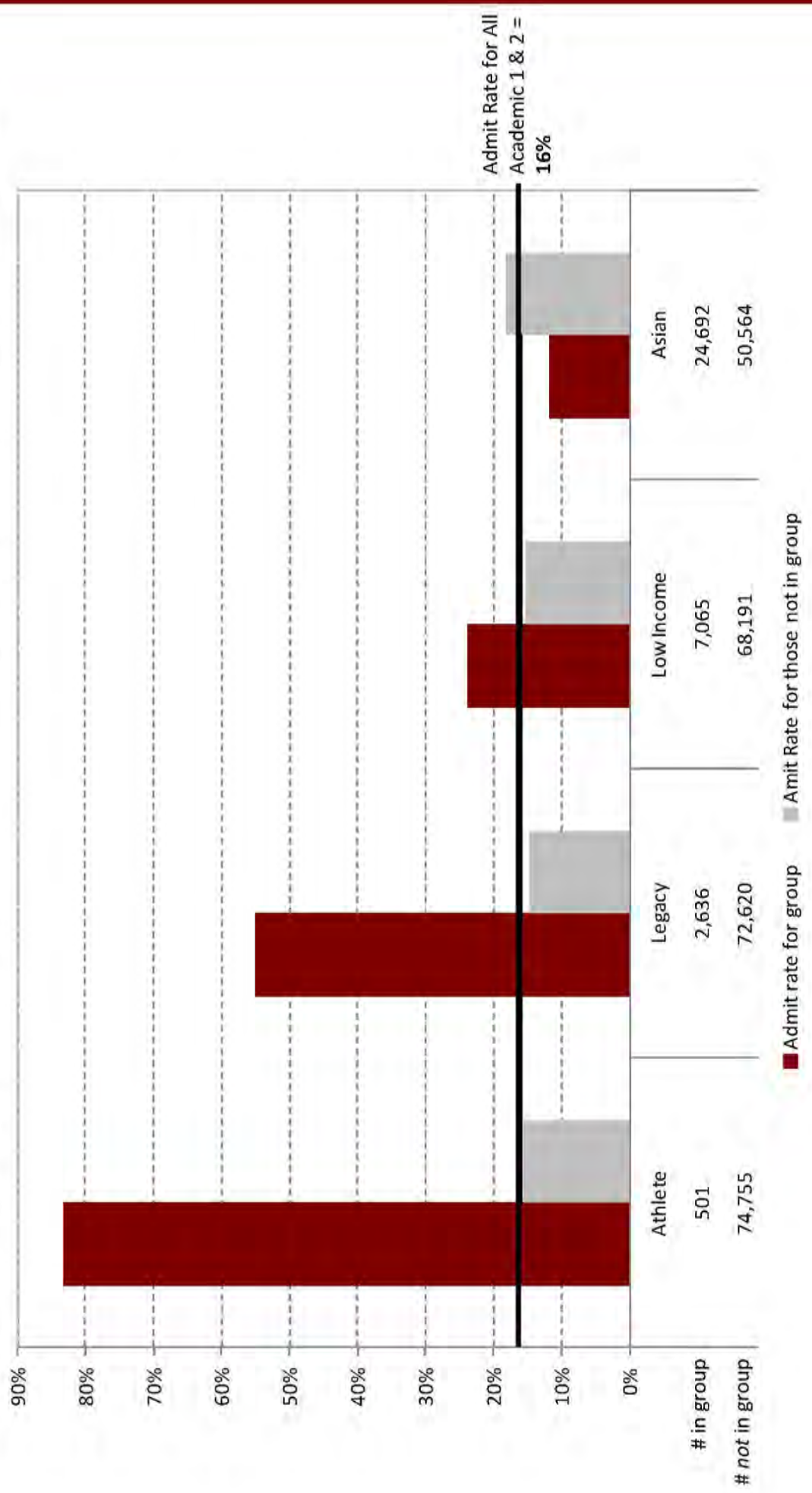
- Predicted admit rates by income are based on logistic regression models that control for academic index, academic rating, athlete, legacy, extracurricular rating, personal rating, ethnicity, and gender.
- Low income students are admitted at higher rates than predicted. Higher income students are admitted at a lower rate.
- Admit model has a pseudo R-squared of 0.44

# Exhibit 4: Admit Rates by Selected Characteristics, Classes of 2009-2016

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- Among top academic achievers (academic rating = 1 or 2), those who are athletes or legacies have much higher rates of admission.
- Low income achievers also have higher rates of admission.
- Asian high achievers have lower rates of admission.

Average Admit Rates for Top Academic Achievers (Academic Rating 1 or 2) by Selected Demographic Characteristics





## Demographics of Harvard College Applicants

DRAFT

May 30, 2013

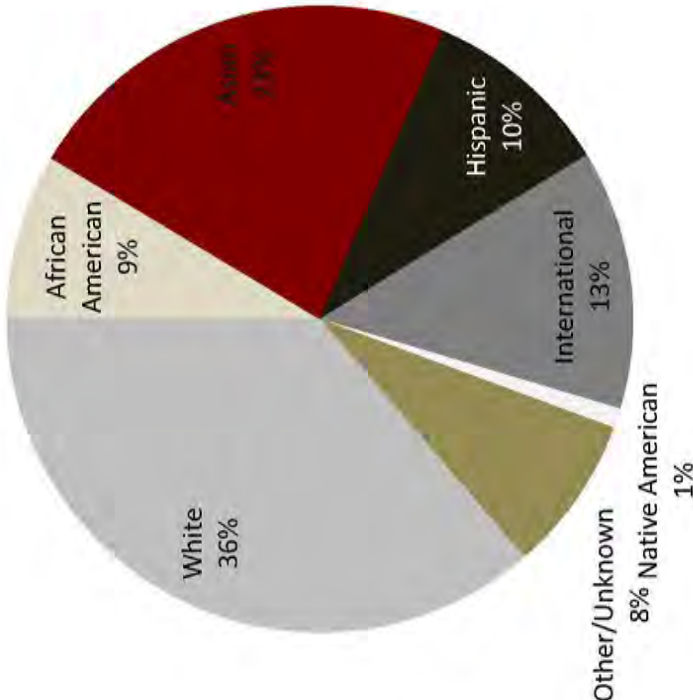
Office of Institutional Research  
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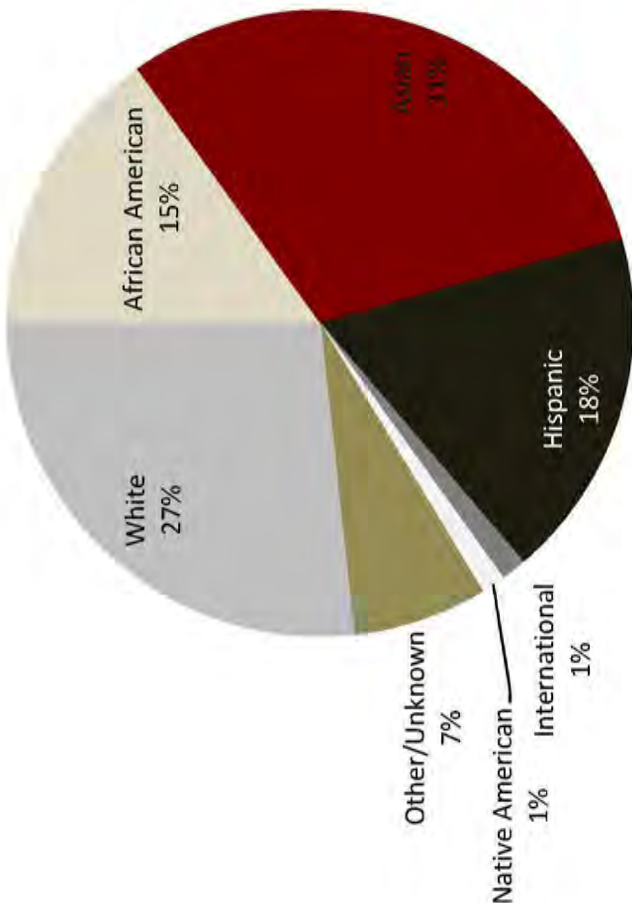
- Low income applicants are more diverse than all applicants to Harvard College.
- Likewise, a greater share of minority applicants are low income, than white applicants: 25% of Hispanic applicants, 24% of African American applicants, and 18% of Asian applicants are low income, compared with just 10% of white applicants.
- Across all race/ethnicity groups, low income students are admitted at a higher rate.



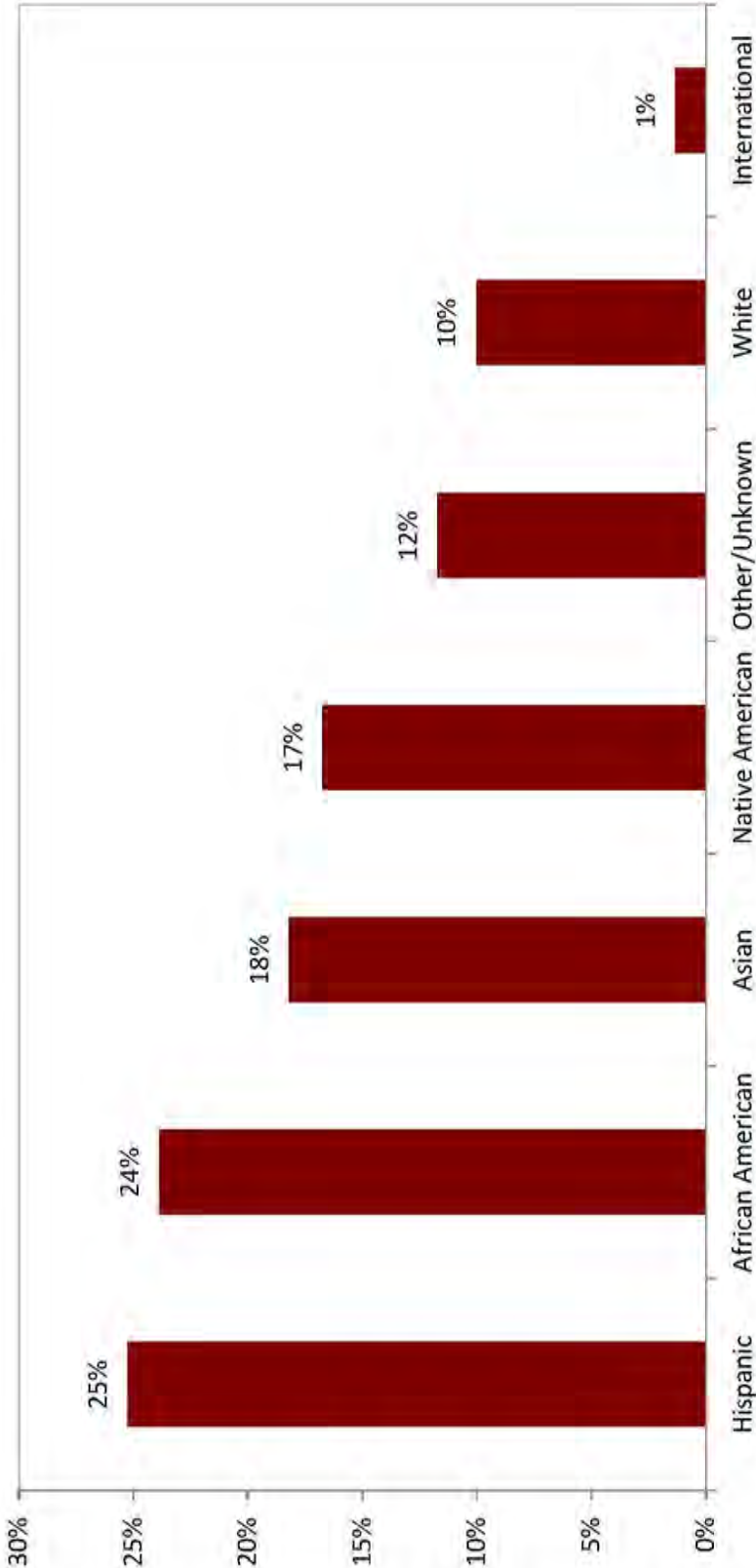
*All Applicants by Ethnicity, Classes of 2009-2016*



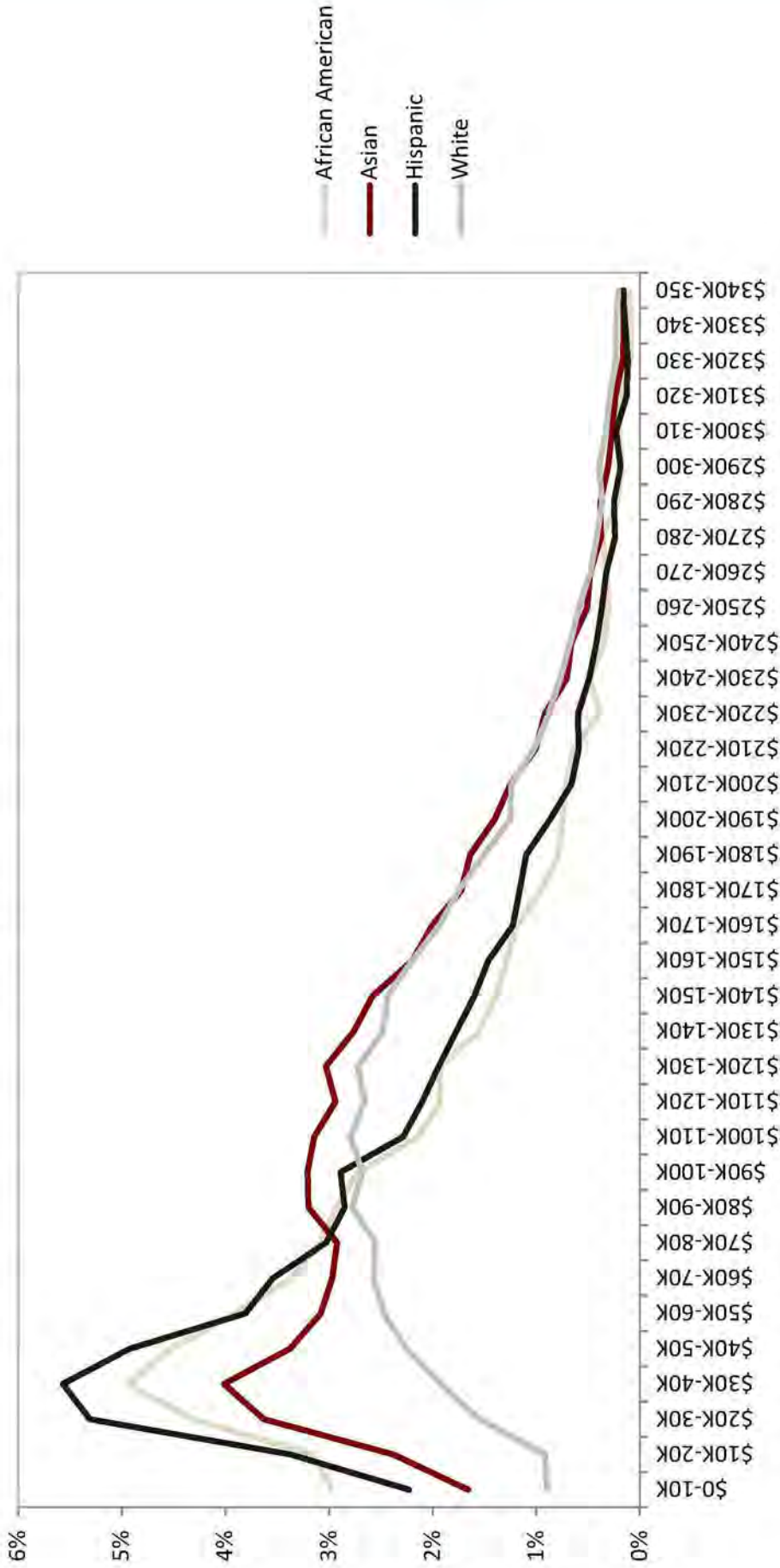
*Applicants with Incomes Less than \$60K, by Ethnicity, Classes of 2009-2016*



*Percent of Applicants with Incomes Less than \$60K, by Race/Ethnicity, Classes of 2009-2016*

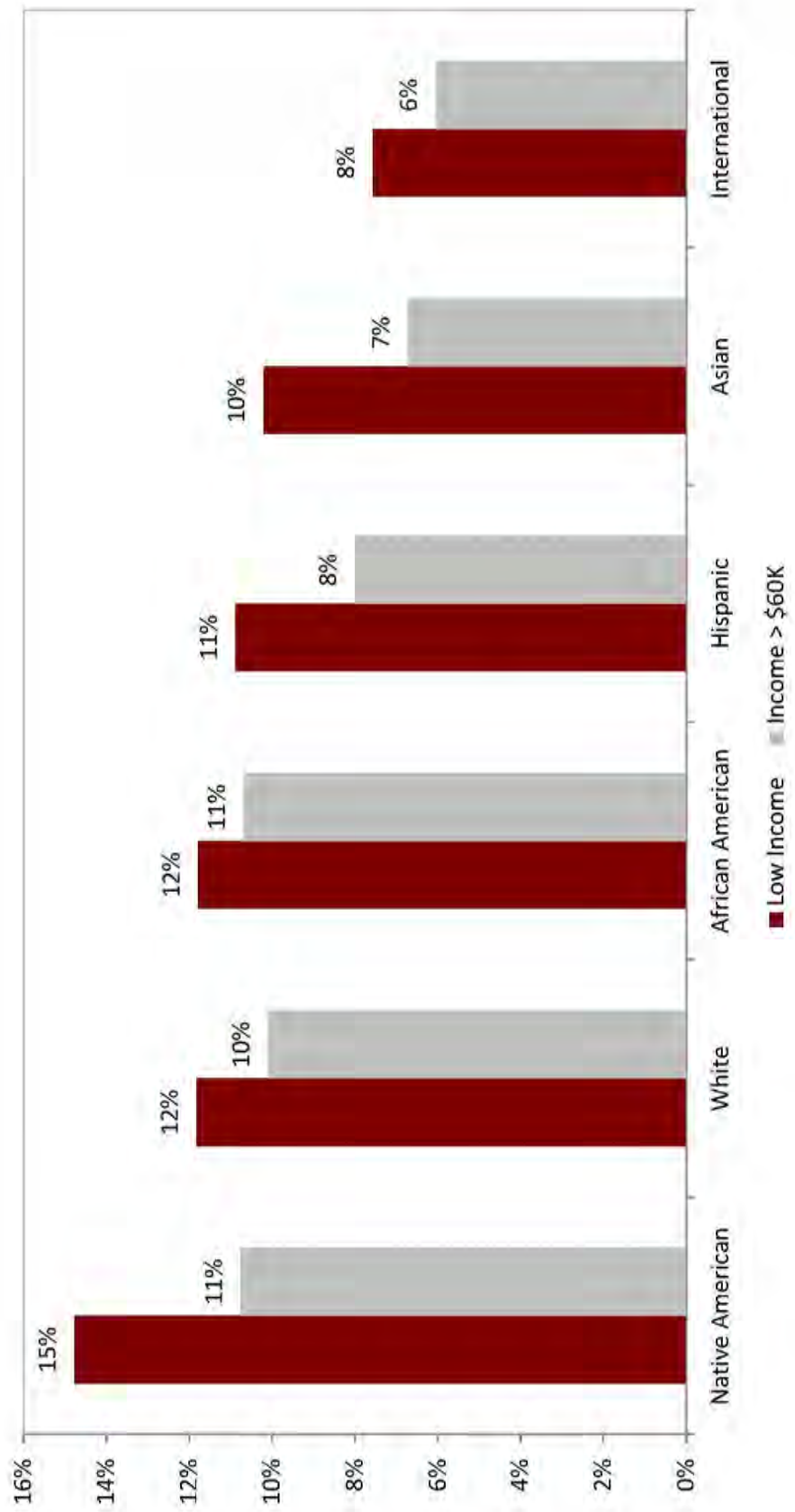


*Distribution of Income, by Ethnicity, Classes of 2009-2016*



Note: Of African American, White, Hispanic, and Asian applicants, White applicants have the highest proportion of applicants with incomes greater than \$350K or unknown, Asian applicants have second highest proportion of applicants with incomes greater than \$350K, and the lowest proportion of applicants with unknown incomes (did not apply for financial aid).

Admit Rates by Ethnicity and Income, Classes of 2009-2016



Notes: Applicants with Race/Ethnicity unknown are excluded have similar admit rates at both income levels and are excluded from the chart above. Differences between low income and other applicants are significant for Native American, Asian, Hispanic, and white applicants ( $p \leq .05$ ). The difference is marginally significant for African American applicants ( $p < .1$ ). The difference for international applicants is not significant.

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FAR-00000069765



*Coefficients for Logistic Regression Modeling Predicting  
Probability of Admissions, Classes of 2009-2016*

Variable	Coefficient	p-value
Athlete	6.329	0.000
Personal 1 or 2	2.409	0.000
Legacy	2.397	0.000
African American	2.385	0.000
Native American	1.742	0.000
Extracurricular 1 or 2	1.584	0.000
Academic 1 or 2	1.308	0.000
Hispanic	1.289	0.000
Academic Index	1.285	0.000
Low Income	0.899	0.000
Asian and Low Income	0.282	0.000
International	0.229	0.000
Female	-0.003	0.877
Ethnicity Unknown	-0.031	0.424
Asian	-0.429	0.000
Constant	-6.222	0.000

*Coefficients for Logistic Regression Modeling Predicting Probability of Admissions, Classes of 2009-2016*  
*(Includes Interaction Terms for All Race/Ethnicity and Low Income)*

Variable	Coefficient	p-value
Athlete	6.335	0.000
African American	2.509	0.000
Personal 1 or 2	2.410	0.000
Legacy	2.403	0.000
Native American	1.787	0.000
Extracurricular 1 or 2	1.586	0.000
Academic 1 or 2	1.314	0.000
Academic Index	1.284	0.000
Hispanic	1.232	0.000
Low Income	0.998	0.000
International	0.249	0.000
Asian and Low Income	0.184	0.013
Hispanic and Low Income	0.126	0.160
Female	-0.004	0.847
Ethnicity Unknown	-0.016	0.707
Ethnicity Unknown and Low Income	-0.136	0.263
Native American and Low Income	-0.236	0.318
Asian	-0.418	0.000
African American and Low Income	-0.490	0.000
International and Low Income	-0.496	0.055
Constant Term	-6.239	0.000

CLASS OF 2017 - EA APPLICANTS													
	Total	SAT Total 1250 to 1600	Pct of Total	SAT Total 1100 to 1240	Pct of Total	SAT Total < 1100	Pct of Total	None	Pct of Total	Average SATV	Average SATM	Average SATW	Average ACTC
<b>OVERALL APPS</b>	4854	3366	69%	313	6%	100	2%	1075	22%	708	726	713	32
Asian American	922	765	83%	12	1%	6	1%	138	15%	743	784	749	33
African American	447	178	40%	84	19%	35	8%	150	34%	642	640	638	28
Hispanic American	372	223	60%	56	15%	16	4%	77	21%	672	673	670	30
Native American	50	24	48%	4	8%	4	8%	18	36%	684	677	677	31
Unknown	417	324	78%	5	1%	2	0%	86	21%	743	751	749	33
White	1790	1229	69%	84	5%	11	1%	466	26%	717	724	722	32
Foreign	856	623	73%	67	8%	26	3%	140	16%	679	739	694	31
<b>NOT SEARCHED APPS</b>	2199	1312	60%	197	9%	89	4%	601	27%	676	705	688	30
Asian American	263	192	73%	12	5%	6	2%	53	20%	706	727	717	31
African American	156	19	12%	27	17%	28	18%	82	53%	575	576	579	24
Hispanic American	79	26	33%	18	23%	12	15%	23	29%	625	622	630	26
Native American	20	6	30%	2	10%	4	20%	8	40%	642	624	637	29
Unknown	161	105	65%	3	2%	2	1%	51	32%	718	724	728	32
White	898	544	61%	75	8%	11	1%	268	30%	688	700	700	30
Foreign	622	420	68%	60	10%	26	4%	116	19%	659	728	677	30
<b>SEARCHED APPS</b>	2655	2054	77%	116	4%	11	0%	474	18%	731	741	732	33
Asian American	659	573	87%	1	0%	0	0%	85	13%	757	772	760	34
African American	291	159	55%	57	20%	7	2%	68	23%	664	661	658	29
Hispanic American	293	197	67%	38	13%	4	1%	54	18%	683	684	679	31
Native American	30	18	60%	2	7%	0	0%	10	33%	710	708	701	32
Unknown	256	219	86%	2	1%	0	0%	35	14%	756	765	760	34
White	892	685	77%	9	1%	0	0%	198	22%	743	747	741	34
Foreign	234	203	87%	7	3%	0	0%	24	10%	727	765	735	33
PSAT LVL3 1100 - 1240	73	22	30%	30	41%	5	7%	16	22%	600	612	593	27
SAT LVL3 1170 - 1260	41	12	29%	24	59%	0	0%	5	12%	618	617	606	25



WRF and MEM,

Here are the numbers for this year's PSAT search. There's a big jump in our higher level searches – Asian Level1, High Scorers, and High BCHNP. We took out the GPA restrictions 3 years ago, when there was a dip in the numbers. If you like, I could put them back in.

I'll wait to hear from you before I hit the order button.

Thanks,  
EBY

#### SEARCH 2016

PSAT	SAT = V+M	Eth/States	2014	2015	2016	change 2015 to 2016
High Scorers	1380 - 1600	K, O, W / ALL	30,096	29,322	32,614	11% 1400
Sparse Country	1310 - 1370	K, O, W / AL, AK, AZ, AR ID, LA, ME, MS, MT, NE NV, NH, NM, ND, OK, SD UT, VT, WV, WY	3,532	3,233	3,507	8%
Asian Level 1	1380 - 1600	ALL PSAT Takers	11,459	12,837	14,406	12% 500
Asian Level 2	1300 - 1370	ALL PSAT Takers	9,340	9,498	10,501	11%
Female High Scorers	1360 - 1370	K, O, W / ALL	3,589	3,108	3,749	21%
BCHNP	1100 - 1240	ALL PSAT Takers	29,645	29,910	36,799	23% 1100
HIGH BCHNP	1250 - 1600	ALL PSAT Takers	10,141	10,491	12,438	19% 1200
			97,802	98,399	114,014	16%

NB: GPA not included for High Scorers, Asian Level1 and High BCHNP.



## Admissions Calendar 2013-2014

September – October	Joint Travel
Early October	Admissions Office begins processing applications; interview requests sent to School Committee chairs.
October 24 - 25	Cambridge Admissions Conference
November 1	Early Action application deadline (postmark)
November 16 - 23	Subcommittees meet. Please try to complete all interview requests and send interview reports to Cambridge in time for subcommittee meetings.
November 16	E S T
November 18	B D F
November 19	I L Z
November 20	H K R
November 21	J P U
November 22	A C G
November 23	N V
November 25 - December 6	Full committee meets. All interview reports must be completed and sent to Cambridge.
December 13	Decision letters mailed and emailed.
December 14	Decision lists available on website for Schools Committee chairs.
January 1	Final deadline for applications (postmark)
January 22 - March 1	Subcommittees meet. Please try to complete all interview requests and send interview reports to Cambridge in time for subcommittee meetings.
January 22 - 25	E S T
January 28 - 31	B D F
February 3 - 6	I L Z
February 8 - 12	H K R
February 14 - 18	J P U
February 20 - 24	A C G
February 25 - March 1	V
February 26 - March 1	N
March 3 - 14	Full committee meets. All interview reports must be completed and sent to Cambridge.
March 3	General Overview
March 4	E S
March 5	T B
March 6	D F
March 7	I L
March 8	Z H
March 10	K J
March 11	R P
March 12	U A
March 13	C G
March 14	N V
March 17 - 19	Final Review
March 27	Decision letters mailed and e-mailed.
March 28	Decision lists available on website for Schools Committee chairs.
April 26 - 28	Visiting Program in Cambridge for admitted students
May 1	Candidates' reply deadline
May	Spring joint travel
mid-May to June 30	Wait list meetings



Overview 3/3

Womers

470% Apps

11.1% AFAM

45% Admits

11.8% Hisp

(11.5% last year)

Intl Citizens 10.3 (Same as last year)

24 Native

(45 Last Year)

Be really hard

6 Native Hawaii

(11 Last Year)

L. Leage is fine

276 multi

(313 Last Year)

List to be compared

19.2 Asian

(19.9 Last Year)

Not much patience for  
club arguments

Be tough on ourselves

Similar for HFAI

L\* Pay attention



Howrigan  
EXHIBIT NO. 4  
6-20-17 MC

TRIAL EXHIBIT

P96

SFFA v. Harvard

J Class Overview

~~D~~ Z 11.1% Af Am vs 10% last year

~~D~~ D 11.7% H 11.1%

V 49 Native vs 35

G 331 vs 271 last year Multiracial

K 20.8% vs 20.5% last year Asian

L HFAI

E 17.2% of Class at start of Re-Run

H last year 23% 22.4%

N

B NLNA -

F

P

R

S

C

I

T

A

V



**From:** Cheever, Roger [rcheever@harvard.edu]  
**Sent:** Friday, November 15, 2013 2:52:03 AM  
**To:** Bouchard, Alessandra  
**CC:** Pacholok, Olesia; Fitzsimmons, William  
**Subject:** Re: applicant [Redacted: PII/SPI]

Fitz,

[Redacted: PII/SPI] was a devoted [Redacted: PII/SPI] Gift Chair and generous donor. His latter years were quite challenging based on having [Redacted: PII/SPI]

Going forward, I don't see a significant opportunity for further major gifts. [Redacted: PII/SPI] had an art collection which conceivably could come our way. More probably it will go to the [Redacted: PII/SPI] Museum. I will get Brad Voigt's perspective. For the moment, I would call it a "2".

I'll know more by tomorrow.

Roger

---

**From:** Bouchard, Alessandra  
**Sent:** Thursday, November 14, 2013 05:20 PM Eastern Standard Time  
**To:** Cheever, Roger  
**Cc:** Pacholok, Olesia; Fitzsimmons, William R.  
**Subject:** applicant [Redacted: PII/SPI]

Roger,

One of the early non-lineage cases we have been tracking (via Virginia) is that of [Redacted: PII/SPI] from [Redacted: PII/SPI]. [Redacted: PII/SPI] is the grandson of [Redacted: PII/SPI], who is married to [Redacted: PII/SPI] the late [Redacted: PII/SPI]. [Redacted: PII/SPI] gave about \$8.7M to Harvard in his lifetime.

Dean Fitzsimmons would like to receive your insight, when you are able to provide it, on the relative standing of this case.

Thanks (and safe travels!),

Alessandra

Alessandra Bouchard

University Development | Alumni Affairs & Development

W 617.496.5715

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EXHIBIT 12  
 WIT: Smith  
 DATE: 4-11-17  
 DARIA L. ROMANO, RPR, CRR

**Pacholok, Olesia**

**TRIAL EXHIBIT**

**P111**

SFFA v. Harvard

To: David Fish, Harvard Men's Tennis  
 Subject: RE: Hi, Bill [Redacted: PII/SPI]

TO Mr. File

Dear Dave,

Thanks for your email. I had a terrific meeting with [Redacted: act] It would be perfectly appropriate for him to be considered for a likely on October 21. We look forward to receiving all his materials so that we can review his application prior to the October 21 meeting.

Take care and I hope all continues to go well for you.

Best personal regards.

Sincerely,

Bill

**From:** David Fish, Harvard Men's Tennis [mailto:fish@fas.harvard.edu]

**Sent:** Thursday, October 02, 2014 8:05 AM

**To:** Fitzsimmons, William; Pacholok, Olesia

**Cc:** Donovan, Joe

**Subject:** Hi, Bill re [Redacted: PII/SPI]

Hi, Bill:

Thanks so much for meeting with [Redacted: PII/SPI] during his visit. He was (unsurprisingly) thrilled with the chance to meet with you and really enjoyed it, despite the usual nerves.

I know that you are aware that Joe Donovan and Mike Smith have been in close contact with the [Redacted: ted] family for some time [Redacted: PII/SPI] who donated [Redacted] s to Harvard and two full professorships, and who over the last 4 years has given us about \$1,100,000 [Redacted] nts [Redacted] .. [Redacted: PII/SPI] son, who became an [Redacted] for us in the early '80s, and now runs the family [Redacted: PII/SPI]. Two sons of one of [Redacted: d] sisters came to Harvard, but much of the rest of the [Redacted: d] clan has ended up at Penn, including [Redacted: PII/SPI] older sister.

It would mean a great deal to [Redacted: PII/SPI] and to [Redacted: ed] to see [Redacted: PII/SPI] at Harvard. Thus we rolled out the red carpet and were all delighted that [Redacted] had a great time, and that [Redacted] and his wife [Redacted] were both extremely impressed at how much friendlier a place Harvard had become since [Redacted: PII/SPI] time here. [Redacted: PII/SPI] would love to come to Harvard.

A year ago, there was no way that I could have offered [Redacted: PII/SPI] spot on our roster with a straight face. Remarkably, [Redacted] has surprised us and become quite a good player, moving from [Redacted] section to the top Red players in his section (quite remarkable). I watched him play at the National Team Championships where he was paired with [Redacted: PII/SPI] from Re. Red s in doubles, who mentored him really well. [Redacted: PII/SPI] is our #2 recruit and will be up for a Likely on Oct 21.

Although our three "supports" are precious and are committed to other players, we can now make [Redacted: PII/SPI] a 4. I have told him that I would find a spot for him if admitted. As you know, he's quite big and still thinning out, a lefty with McEnroe type hands. He could surprise us even more if he keeps after it. On top of that, he's a really kind kind and smart young man.

I know that you have been willing in the past to give certain EA prospects Likelies (as you did with [Redacted: PII/SPI] sons).

From our September athletic/admission meeting, I know that Harvard (you) have continued your policy of giving Likelies to students whom you would later want to admit anyway. I believe [Redacted] fits this bill. I have informally suggested to [Redacted] that getting a Likely might be possible, and he has replied that this would be a great help to him (as it would keep Penn out of consideration).

Bill, am I reading the signs appropriately, and would you be willing to consider his EA case on October 21? I have encouraged him to get his application in right away, as long as he does his very best, and believe he will have everything in at least a week before that time.

Regards,  
Dave

--

Dave Fish  
Scott Mead Family Head Coach of Men's Tennis  
Harvard University Dept of Athletics  
Murr Center  
65 N. Harvard St.  
Boston, MA 02163  
[fish@fas.harvard.edu](mailto:fish@fas.harvard.edu)  
[GoCrimson Men's Tennis website](#)  
[Harvard Men's Tennis blog](#)





**From:** Howrigan, Kaitlin [/O=HARVARD-FAS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=HOWRIGAN]  
**Sent:** Tuesday, March 19, 2013 4:46:37 PM  
**To:** Yong, Elizabeth  
**Subject:** RE: One pager

Perfect. A big thank you from the committee!

-----Original Message-----

**From:** Yong, Elizabeth  
**Sent:** Tuesday, March 19, 2013 12:45 PM  
**To:** Howrigan, Kaitlin  
**Subject:** RE: One pager

Done and 3 copies sent to OAP's printer.

-----Original Message-----

**From:** Howrigan, Kaitlin  
**Sent:** Tuesday, March 19, 2013 12:07 PM  
**To:** Yong, Elizabeth  
**Subject:** One pager

Hi EBY,

We just finished up our first pass and WRF was hoping he could get a one pager and his ethnic stats so we can look at where. It looks like we need to take 28 more right now from the lop mes.

Thanks,

Kaitlin



**From:** Yong, Elizabeth [/o=Harvard-FAS/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=yong]  
**Sent:** Tuesday, November 05, 2013 12:56:08 PM  
**To:** Fitzsimmons, William; McGrath, Marlyn; Donahue, Sally  
**CC:** Waters, Vaughn  
**Subject:** one pager  
**Attachments:** EA18.pdf

Hi All,  
The first one pager of the season is attached!  
I'm feeling a bit under the weather so I'll be working from home today.  
Let me know if you need anything else.  
EBY

*Elizabeth Yong  
Special Projects Administrator for  
Admissions Policy, Research & Operations  
Harvard College Admissions  
yong@fas.harvard.edu  
617-496-4519*

EARLY ACTION APPLICANTS 2017 vs 2018					
	2017	% Apps	2018	% Apps	% Change
Total	4845	100.0%	4722	100.0%	-2.5%
Male	2512	51.8%	2501	53.0%	-0.4%
Female	2333	48.2%	2221	47.0%	-4.8%
Central	94	1.9%	75	1.6%	-20.2%
Mid-Atlantic	950	19.6%	884	18.7%	-6.9%
Mountain	149	3.1%	162	3.4%	8.7%
Mid-West	554	11.4%	604	12.8%	9.0%
New England	597	12.3%	630	13.3%	5.5%
Pacific	679	14.0%	613	13.0%	-9.7%
South	1112	23.0%	1033	21.9%	-7.1%
Territories	12	0.2%	14	0.3%	16.7%
Canada	106	2.2%	116	2.5%	9.4%
Foreign	592	12.2%	591	12.5%	-0.2%
Social Sciences	1260	26.0%	1082	22.9%	-14.1%
Humanities	683	14.1%	546	11.6%	-20.1%
Biological Sciences	1412	29.1%	1310	27.7%	-7.2%
Physical Sciences	358	7.4%	339	7.2%	-5.3%
Engineering	591	12.2%	581	12.3%	-1.7%
Math	308	6.4%	268	5.7%	-13.0%
Computer Science	150	3.1%	166	3.5%	10.7%
Undecided	83	1.7%	430	9.1%	418.1%
Lineage	375	7.7%	327	6.9%	-12.8%
Aid	3459	71.4%	3269	69.2%	-5.5%
Non-Aid	1386	28.6%	1453	30.8%	4.8%
Disadv - Staff	388	8.0%	20	0.4%	-94.8%
Fee Waived	494	10.2%	738	15.6%	49.4%
Recruited Athletes	228	4.7%	184	3.9%	-19.3%
US Citizens	3995	82.5%	3863	81.8%	-3.3%
Permanent Res	173	3.6%	168	3.6%	-2.9%
Internat'l Citizens	677	14.0%	691	14.6%	2.1%
US/Dual Citizens	291	6.0%	322	6.8%	10.7%
Old Methodology					
Asian American	1029	21.2%	1029	21.8%	0.0%
African American	459	9.5%	450	9.5%	-2.0%
Hispanic American	203	4.2%	212	4.5%	4.4%
Mexican American	141	2.9%	155	3.3%	9.9%
Native American	50	1.0%	42	0.9%	-16.0%
Puerto Rican	51	1.1%	67	1.4%	31.4%
New Methodology					
Asian American	1037	21.4%	1045	22.1%	0.8%
African American	459	9.5%	450	9.5%	-2.0%
Hispanic American	437	9.0%	487	10.3%	11.4%
Native American	81	1.7%	62	1.3%	-23.5%
Native Hawaiian	11	0.2%	18	0.4%	63.6%
Multi-Racial	561	11.6%	595	12.6%	6.1%
IPEDS					
Asian American	884	18.2%	876	18.6%	-0.9%
African American	368	7.6%	350	7.4%	-4.9%
Hispanic American	437	9.0%	487	10.3%	11.4%
Native American	13	0.3%	8	0.2%	-38.5%
Native Hawaiian	3	0.1%	5	0.1%	66.7%
Multiracial	226	4.7%	229	4.8%	1.3%

Date: 11/5/2013

Class of 2018 - EA Applicants										
	Applicants					Admits as of 10am				
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total
Overall	2498	53.0%	2217	47.0%	4715	522	57.9%	379	42.1%	901
- Mean SATV	711		703		707	741		742		742
- Mean SATM	735		711		723	756		745		751
- Mean SATW	714		711		713	745		756		750
Asian American	561	53.8%	482	46.2%	1043	106	57.0%	80	43.0%	186
African American	198	44.0%	252	56.0%	450	38	44.7%	47	55.3%	85
Hispanic American	257	52.9%	229	47.1%	486	52	56.5%	40	43.5%	92
Native American	27	43.5%	35	56.5%	62	5	62.5%	3	37.5%	8
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2
Multi-Racial	297	49.7%	300	50.3%	597	57	47.9%	62	52.1%	119
Subtotal	1349	50.8%	1307	49.2%	2656	259	52.6%	233	47.4%	492
One Athletes	125	59.0%	87	41.0%	212	104	57.1%	78	42.9%	182
Lineage	198	54.2%	167	45.8%	365	96	56.1%	75	43.9%	171
Aid Applicants	1735	53.2%	1524	46.8%	3259	295	60.1%	196	39.9%	491
A	69	50.0%	69	50.0%	138	20	48.8%	21	51.2%	41
B	133	54.1%	113	45.9%	246	23	65.7%	12	34.3%	35
C	108	52.9%	96	47.1%	204	19	52.8%	17	47.2%	36
D	151	55.7%	120	44.3%	271	30	69.8%	13	30.2%	43
E	145	48.8%	152	51.2%	297	20	62.5%	12	37.5%	32
F	178	56.0%	140	44.0%	318	27	73.0%	10	27.0%	37
G	126	48.1%	136	51.9%	262	24	64.9%	13	35.1%	37
H	153	51.7%	143	48.3%	296	24	58.5%	17	41.5%	41
I	134	47.2%	150	52.8%	284	29	50.0%	29	50.0%	58
J	125	63.8%	71	36.2%	196	18	78.3%	5	21.7%	23
K	72	53.3%	63	46.7%	135	21	61.8%	13	38.2%	34
L	88	50.3%	87	49.7%	175	15	50.0%	15	50.0%	30
N	97	50.0%	97	50.0%	194	24	46.2%	28	53.8%	52
P	201	55.1%	164	44.9%	365	89	65.0%	48	35.0%	137
R	91	58.3%	65	41.7%	156	23	57.5%	17	42.5%	40
S	107	55.2%	87	44.8%	194	28	56.0%	22	44.0%	50
T	76	50.7%	74	49.3%	150	29	43.3%	38	56.7%	67
U	130	54.9%	107	45.1%	237	19	46.3%	22	53.7%	41
V	214	51.4%	202	48.6%	416	15	50.0%	15	50.0%	30
Z	100	55.2%	81	44.8%	181	25	67.6%	12	32.4%	37

11/26/2013 at 10:38 AM

TRIAL EXHIBIT

P149

SFFA v. Harvard

exhibitorder.com



## EARLY ACTION ADMITS 2017 vs 2018

	2017	% Apps	Admits	% Admits	2018	% Chnge	% Apps	Admits	% Admits
Total	4845	100.0%	892	100.0%	4700	-3.0%	100.0%	940	100.0%
Male	2512	51.8%	468	52.5%	2491	-0.8%	53.0%	536	57.0%
Female	2333	48.2%	424	47.5%	2209	-5.3%	47.0%	404	43.0%
Central	94	1.9%	18	2.0%	75	-20.2%	1.6%	14	1.5%
Mid-Atlantic	950	19.6%	262	29.4%	881	-7.3%	18.7%	254	27.0%
Mountain	149	3.1%	23	2.6%	164	10.1%	3.5%	19	2.0%
Mid-West	554	11.4%	56	6.3%	598	7.9%	12.7%	70	7.4%
New England	597	12.3%	187	21.0%	627	5.0%	13.3%	202	21.5%
Pacific	679	14.0%	137	15.4%	613	-9.7%	13.0%	147	15.6%
South	1112	23.0%	142	15.9%	1025	-7.8%	21.8%	152	16.2%
Territories	12	0.2%	3	0.3%	13	8.3%	0.3%	5	0.5%
Canada	106	2.2%	18	2.0%	112	5.7%	2.4%	16	1.7%
Foreign	592	12.2%	46	5.2%	592	0.0%	12.6%	61	6.5%
Social Sciences	1260	26.0%	241	27.0%	1083	-14.0%	23.0%	222	23.6%
Humanities	683	14.1%	178	20.0%	545	-20.2%	11.6%	132	14.0%
Biological Sciences	1412	29.1%	209	23.4%	1300	-7.9%	27.7%	211	22.4%
Physical Sciences	358	7.4%	81	9.1%	338	-5.6%	7.2%	66	7.0%
Engineering	591	12.2%	88	9.9%	583	-1.4%	12.4%	92	9.8%
Math	308	6.4%	64	7.2%	264	-14.3%	5.6%	64	6.8%
Computer Science	150	3.1%	22	2.5%	166	10.7%	3.5%	37	3.9%
Undecided	83	1.7%	9	1.0%	421	407.2%	9.0%	116	12.3%
Lineage	375	7.7%	207	23.2%	365	-2.7%	7.8%	186	19.8%
Aid	3459	71.4%	511	57.3%	3244	-6.2%	69.0%	515	54.8%
Non-Aid	1386	28.6%	381	42.7%	1456	5.1%	31.0%	425	45.2%
Disadv - Staff	388	8.0%	91	10.2%	346	-10.8%	7.4%	88	9.4%
Fee Waived	494	10.2%	64	7.2%	714	44.5%	15.2%	108	11.5%
Recruited Athletes	228	4.7%	190	21.3%	209	-8.3%	4.4%	182	19.4%
US Citizens	3995	82.5%	803	90.0%	3848	-3.7%	81.9%	843	89.7%
Permanent Res	173	3.6%	23	2.6%	167	-3.5%	3.6%	24	2.6%
Internat'l Citizens	677	14.0%	66	7.4%	685	1.2%	14.6%	73	7.8%
US/Dual Citizens	291	6.0%	60	6.7%	318	9.3%	6.8%	84	8.9%
Old Methodology									
Asian American	1029	21.2%	192	21.5%	1027	-0.2%	21.9%	190	20.2%
African American	459	9.5%	77	8.6%	447	-2.6%	9.5%	94	10.0%
Hispanic American	203	4.2%	36	4.0%	208	2.5%	4.4%	41	4.4%
Mexican American	141	2.9%	17	1.9%	155	9.9%	3.3%	29	3.1%
Native American	50	1.0%	12	1.3%	43	-14.0%	0.9%	7	0.7%
Puerto Rican	51	1.1%	12	1.3%	66	29.4%	1.4%	15	1.6%
New Methodolgy									
Asian American	1037	21.4%	193	21.6%	1043	0.6%	22.2%	194	20.6%
African American	459	9.5%	77	8.6%	447	-2.6%	9.5%	94	10.0%
Hispanic American	437	9.0%	70	7.8%	484	10.8%	10.3%	97	10.3%
Native American	81	1.7%	14	1.6%	62	-23.5%	1.3%	8	0.9%
Native Hawaiian	11	0.2%	2	0.2%	18	63.6%	0.4%	2	0.2%
Multi-Racial	561	11.6%	122	13.7%	597	6.4%	12.7%	125	13.3%
IPEDS									
Asian American	884	18.2%	153	17.2%	870	-1.6%	18.5%	158	16.8%
African American	368	7.6%	56	6.3%	347	-5.7%	7.4%	70	7.4%
Hispanic American	437	9.0%	70	7.8%	484	10.8%	10.3%	97	10.3%
Native American	13	0.3%	2	0.2%	8	-38.5%	0.2%	2	0.2%
Native Hawaiian	3	0.1%	2	0.2%	5	66.7%	0.1%	1	0.1%
Multiracial	226	4.7%	63	7.1%	232	2.7%	4.9%	48	5.1%

Date: 12/2/2013 Time: 5:38 PM

EARLY ACTION DOCKETS 2017 vs 2018							
Docket	2017	EA Admits	Admit Rate	2018	Percent Change	EADM	Admit Rate
A	180	43	23.9%	139	-22.8%	41	29.5%
B	253	38	15.0%	245	-3.2%	38	15.5%
C	209	36	17.2%	204	-2.4%	41	20.1%
D	275	40	14.5%	270	-1.8%	48	17.8%
E	298	31	10.4%	294	-1.3%	32	10.9%
F	283	30	10.6%	316	11.7%	42	13.3%
G	291	38	13.1%	260	-10.7%	37	14.2%
H	311	33	10.6%	294	-5.5%	41	13.9%
I	292	58	19.9%	284	-2.7%	65	22.9%
J	227	31	13.7%	196	-13.7%	23	11.7%
K	165	43	26.1%	134	-18.8%	34	25.4%
L	192	34	17.7%	175	-8.9%	35	20.0%
N	203	59	29.1%	193	-4.9%	53	27.5%
P	290	117	40.3%	364	25.5%	137	37.6%
R	173	45	26.0%	156	-9.8%	40	25.6%
S	189	48	25.4%	193	2.1%	50	25.9%
T	174	72	41.4%	150	-13.8%	67	44.7%
U	252	34	13.5%	236	-6.3%	41	17.4%
V	412	24	5.8%	416	1.0%	30	7.2%
Z	176	38	21.6%	181	2.8%	45	24.9%
Total	4845	892	18.4%	4700	-3.0%	940	20.0%

12/2/2013



Class of 2018 - EA Applicants										
	Applicants					Admits as of 5pm				
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total
Overall	2491	53.0%	2209	47.0%	4700	536	57.0%	404	43.0%	940
Asian American	561	53.8%	482	46.2%	1043	109	56.2%	85	43.8%	194
African American	198	44.3%	249	55.7%	447	42	44.7%	52	55.3%	94
Hispanic American	256	52.9%	228	47.1%	484	54	55.7%	43	44.3%	97
Native American	27	43.5%	35	56.5%	62	5	62.5%	3	37.5%	8
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2
Multi-Racial	296	49.6%	301	50.4%	597	60	48.0%	65	52.0%	125
Subtotal	1347	50.8%	1304	49.2%	2651	271	52.1%	249	47.9%	520
One Athletes	122	58.4%	87	41.6%	209	104	57.1%	78	42.9%	182
Lineage	198	54.2%	167	45.8%	365	101	56.4%	78	43.6%	179
Aid Applicants	1728	53.3%	1516	46.7%	3244	302	58.6%	213	41.4%	515
A	69	49.6%	70	50.4%	139	20	48.8%	21	51.2%	41
B	133	54.3%	112	45.7%	245	22	57.9%	16	42.1%	38
C	108	52.9%	98	47.1%	204	21	51.2%	20	48.8%	41
D	150	55.6%	120	44.4%	270	32	66.7%	16	33.3%	48
E	144	49.0%	150	51.0%	294	20	62.5%	12	37.5%	32
F	177	56.0%	139	44.0%	316	29	69.0%	13	31.0%	42
G	126	48.5%	134	51.5%	260	24	64.9%	13	35.1%	37
H	152	51.7%	142	48.3%	294	24	58.5%	17	41.5%	41
I	134	47.2%	150	52.8%	284	30	46.2%	35	53.8%	65
J	125	63.8%	71	36.2%	196	18	78.3%	5	21.7%	23
K	71	53.0%	63	47.0%	134	21	61.8%	13	38.2%	34
L	88	50.3%	87	49.7%	175	19	54.3%	16	45.7%	35
N	96	49.7%	97	50.3%	193	24	45.3%	29	54.7%	53
P	201	55.2%	163	44.8%	364	89	65.0%	48	35.0%	137
R	91	58.3%	65	41.7%	156	23	57.5%	17	42.5%	40
S	107	55.4%	86	44.6%	193	28	56.0%	22	44.0%	50
T	76	50.7%	74	49.3%	150	29	43.3%	38	56.7%	67
U	129	54.7%	107	45.3%	236	19	46.3%	22	53.7%	41
V	214	51.4%	202	48.6%	416	15	50.0%	15	50.0%	30
Z	100	55.2%	81	44.8%	181	29	64.4%	16	35.6%	45

12/2/2013 at 5:59 PM

EARLY ACTION ADMITS 2017 vs 2018									
	2017	% Apps	Admits	% Admits	2018	% Chnge	% Apps	Admits	% Admits
Total	4845	100.0%	892	100.0%	4721	-2.6%	100.0%	853	100.0%
Male	2512	51.8%	468	52.5%	2504	-0.3%	53.0%	497	58.3%
Female	2333	48.2%	424	47.5%	2217	-5.0%	47.0%	356	41.7%
Central	94	1.9%	18	2.0%	76	-19.1%	1.6%	13	1.5%
Mid-Atlantic	950	19.6%	262	29.4%	883	-7.1%	18.7%	229	26.8%
Mountain	149	3.1%	23	2.6%	165	10.7%	3.5%	17	2.0%
Mid-West	554	11.4%	56	6.3%	603	8.8%	12.8%	56	6.6%
New England	597	12.3%	187	21.0%	629	5.4%	13.3%	194	22.7%
Pacific	679	14.0%	137	15.4%	614	-9.6%	13.0%	120	14.1%
South	1112	23.0%	142	15.9%	1030	-7.4%	21.8%	142	16.6%
Territories	12	0.2%	3	0.3%	13	8.3%	0.3%	5	0.6%
Canada	106	2.2%	18	2.0%	114	7.5%	2.4%	15	1.8%
Foreign	592	12.2%	46	5.2%	594	0.3%	12.6%	62	7.3%
Social Sciences	1260	26.0%	241	27.0%	1085	-13.9%	23.0%	204	23.9%
Humanities	683	14.1%	178	20.0%	547	-19.9%	11.6%	120	14.1%
Biological Sciences	1412	29.1%	209	23.4%	1308	-7.4%	27.7%	196	23.0%
Physical Sciences	358	7.4%	81	9.1%	340	-5.0%	7.2%	59	6.9%
Engineering	591	12.2%	88	9.9%	583	-1.4%	12.3%	83	9.7%
Math	308	6.4%	64	7.2%	265	-14.0%	5.6%	55	6.4%
Computer Science	150	3.1%	22	2.5%	167	11.3%	3.5%	32	3.8%
Undecided	83	1.7%	9	1.0%	426	413.3%	9.0%	104	12.2%
Lineage	375	7.7%	207	23.2%	365	-2.7%	7.7%	166	19.5%
Aid	3459	71.4%	511	57.3%	3265	-5.6%	69.2%	464	54.4%
Non-Aid	1386	28.6%	381	42.7%	1456	5.1%	30.8%	389	45.6%
Disadv - Staff	388	8.0%	91	10.2%	341	-12.1%	7.2%	71	8.3%
Fee Waived	494	10.2%	64	7.2%	720	45.7%	15.3%	86	10.1%
Recruited Athletes	228	4.7%	190	21.3%	214	-6.1%	4.5%	162	19.0%
US Citizens	3995	82.5%	803	90.0%	3862	-3.3%	81.8%	762	89.3%
Permanent Res	173	3.6%	23	2.6%	169	-2.3%	3.6%	20	2.3%
Internat'l Citizens	677	14.0%	66	7.4%	690	1.9%	14.6%	71	8.3%
US/Dual Citizens	291	6.0%	60	6.7%	318	9.3%	6.7%	80	9.4%
Old Methodology									
Asian American	1029	21.2%	192	21.5%	1027	-0.2%	21.8%	172	20.2%
African American	459	9.5%	77	8.6%	450	-2.0%	9.5%	76	8.9%
Hispanic American	203	4.2%	36	4.0%	208	2.5%	4.4%	39	4.6%
Mexican American	141	2.9%	17	1.9%	156	10.6%	3.3%	26	3.0%
Native American	50	1.0%	12	1.3%	43	-14.0%	0.9%	5	0.6%
Puerto Rican	51	1.1%	12	1.3%	67	31.4%	1.4%	15	1.8%
New Methodolgy									
Asian American	1037	21.4%	193	21.6%	1043	0.6%	22.1%	176	20.6%
African American	459	9.5%	77	8.6%	450	-2.0%	9.5%	76	8.9%
Hispanic American	437	9.0%	70	7.8%	486	11.2%	10.3%	91	10.7%
Native American	81	1.7%	14	1.6%	62	-23.5%	1.3%	7	0.8%
Native Hawaiian	11	0.2%	2	0.2%	18	63.6%	0.4%	1	0.1%
Multi-Racial	561	11.6%	122	13.7%	597	6.4%	12.8%	113	13.2%
IPEDS									
Asian American	884	18.2%	153	17.2%	871	-1.5%	18.4%	146	17.1%
African American	368	7.6%	56	6.3%	350	-4.9%	7.4%	55	6.4%
Hispanic American	437	9.0%	70	7.8%	486	11.2%	10.3%	91	10.7%
Native American	13	0.3%	2	0.2%	8	-38.5%	0.2%	2	0.2%
Native Hawaiian	3	0.1%	2	0.2%	5	66.7%	0.1%	0	0.0%
Multiracial	226	4.7%	63	7.1%	231	2.2%	4.9%	39	4.6%

Date: 11/24/2013 Time: 3:35 PM

Class of 2018 - EA Applicants										
	Applicants					Admits as of 10am				
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total
Overall	2498	53.0%	2217	47.0%	4715	522	57.9%	379	42.1%	901
- Mean SATV	711		703		707	741		742		742
- Mean SATM	735		711		723	756		745		751
- Mean SATW	714		711		713	745		756		750
Asian American	561	53.8%	482	46.2%	1043	106	57.0%	80	43.0%	186
African American	198	44.0%	252	56.0%	450	38	44.7%	47	55.3%	85
Hispanic American	257	52.9%	229	47.1%	486	52	56.5%	40	43.5%	92
Native American	27	43.5%	35	56.5%	62	5	62.5%	3	37.5%	8
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2
Multi-Racial	297	49.7%	300	50.3%	597	57	47.9%	62	52.1%	119
Subtotal	1349	50.8%	1307	49.2%	2656	259	52.6%	233	47.4%	492
One Athletes	125	59.0%	87	41.0%	212	104	57.1%	78	42.9%	182
Lineage	198	54.2%	167	45.8%	365	96	56.1%	75	43.9%	171
Aid Applicants	1735	53.2%	1524	46.8%	3259	295	60.1%	196	39.9%	491
A	69	50.0%	69	50.0%	138	20	48.8%	21	51.2%	41
B	133	54.1%	113	45.9%	246	23	65.7%	12	34.3%	35
C	108	52.9%	96	47.1%	204	19	52.8%	17	47.2%	36
D	151	55.7%	120	44.3%	271	30	69.8%	13	30.2%	43
E	145	48.8%	152	51.2%	297	20	62.5%	12	37.5%	32
F	178	56.0%	140	44.0%	318	27	73.0%	10	27.0%	37
G	126	48.1%	136	51.9%	262	24	64.9%	13	35.1%	37
H	153	51.7%	143	48.3%	296	24	58.5%	17	41.5%	41
I	134	47.2%	150	52.8%	284	29	50.0%	29	50.0%	58
J	125	63.8%	71	36.2%	196	18	78.3%	5	21.7%	23
K	72	53.3%	63	46.7%	135	21	61.8%	13	38.2%	34
L	88	50.3%	87	49.7%	175	15	50.0%	15	50.0%	30
N	97	50.0%	97	50.0%	194	24	46.2%	28	53.8%	52
P	201	55.1%	164	44.9%	365	89	65.0%	48	35.0%	137
R	91	58.3%	65	41.7%	156	23	57.5%	17	42.5%	40
S	107	55.2%	87	44.8%	194	28	56.0%	22	44.0%	50
T	76	50.7%	74	49.3%	150	29	43.3%	38	56.7%	67
U	130	54.9%	107	45.1%	237	19	46.3%	22	53.7%	41
V	214	51.4%	202	48.6%	416	15	50.0%	15	50.0%	30
Z	100	55.2%	81	44.8%	181	25	67.6%	12	32.4%	37

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Class of 2018 - EA Applicants										
	Applicants					Admits as of 1pm 11/25				
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total
Overall	2503	53.0%	2217	47.0%	4720	507	58.2%	364	41.8%	871
- Mean SATV	711		703		707	741		742		741
- Mean SATM	735		711		723	756		744		751
- Mean SATW	714		711		713	745		755		749
Asian American	561	53.8%	482	46.2%	1043	102	57.6%	75	42.4%	177
African American	198	44.0%	252	56.0%	450	36	45.6%	43	54.4%	79
Hispanic American	257	52.9%	229	47.1%	486	52	57.1%	39	42.9%	91
Native American	27	43.5%	35	56.5%	62	4	57.1%	3	42.9%	7
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2
Multi-Racial	297	49.7%	300	50.3%	597	54	47.8%	59	52.2%	113
Subtotal	1349	50.8%	1307	49.2%	2656	249	53.1%	220	46.9%	469
One Athletes	128	59.5%	87	40.5%	215	103	57.2%	77	42.8%	180
Lineage	198	54.2%	167	45.8%	365	94	56.6%	72	43.4%	166
Aid Applicants	1740	53.3%	1524	46.7%	3264	284	60.2%	188	39.8%	472

Class of 2018 - EA Applicants										
	Applicants					Admits as of 8am 11/26				
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total
Overall	2498	53.0%	2217	47.0%	4715	517	57.8%	378	42.2%	895
- Mean SATV	711		703		707	741		742		742
- Mean SATM	735		711		723	756		745		751
- Mean SATW	714		711		713	745		756		750
Asian American	561	53.8%	482	46.2%	1043	106	57.0%	80	43.0%	186
African American	198	44.0%	252	56.0%	450	39	45.9%	46	54.1%	85
Hispanic American	257	52.9%	229	47.1%	486	52	55.9%	41	44.1%	93
Native American	27	43.5%	35	56.5%	62	5	62.5%	3	37.5%	8
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2
Multi-Racial	297	49.7%	300	50.3%	597	56	47.1%	63	52.9%	119
Subtotal	1349	50.8%	1307	49.2%	2656	259	52.5%	234	47.5%	493
One Athletes	125	59.0%	87	41.0%	212	103	56.9%	78	43.1%	181
Lineage	198	54.2%	167	45.8%	365	93	55.7%	74	44.3%	167
Aid Applicants	1735	53.2%	1524	46.8%	3259	293	59.8%	196	40.1%	489



EARLY ACTION DOCKETS 2017 vs 2018							
Docket	2017	EA Admits	Admit Rate	2018	Percent Change	EADM	Admit Rate
A	180	43	23.9%	138	-23.3%	35	25.4%
B	253	38	15.0%	246	-2.8%	31	12.6%
C	209	36	17.2%	204	-2.4%	36	17.6%
D	275	40	14.5%	271	-1.5%	43	15.9%
E	298	31	10.4%	298	0.0%	26	8.7%
F	283	30	10.6%	318	12.4%	33	10.4%
G	291	38	13.1%	262	-10.0%	37	14.1%
H	311	33	10.6%	296	-4.8%	38	12.8%
I	292	58	19.9%	284	-2.7%	57	20.1%
J	227	31	13.7%	197	-13.2%	23	11.7%
K	165	43	26.1%	135	-18.2%	34	25.2%
L	192	34	17.7%	175	-8.9%	28	16.0%
N	203	59	29.1%	195	-3.9%	50	25.6%
P	290	117	40.3%	365	25.9%	137	37.5%
R	173	45	26.0%	156	-9.8%	40	25.6%
S	189	48	25.4%	194	2.6%	42	21.6%
T	174	72	41.4%	150	-13.8%	57	38.0%
U	252	34	13.5%	238	-5.6%	41	17.2%
V	412	24	5.8%	418	1.5%	30	7.2%
Z	176	38	21.6%	181	2.8%	35	19.3%
Total	4845	892	18.4%	4721	-2.6%	853	18.1%

11/24/2013



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**From:** Yong, Elizabeth [/O=HARVARD-FAS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=YONG]  
**Sent:** Monday, December 02, 2013 10:58:37 PM  
**To:** Fitzsimmons, William; McGrath, Marlyn; Donahue, Sally  
**Subject:** stats  
**Attachments:** EAGender.pdf; EA18.pdf; EADkt18.pdf

WRF, MEM, SCD,  
The latest numbers are attached.

EBY

*Elizabeth Yong*

*Special Projects Administrator for*

*Admissions Policy, Research & Operations*

*Harvard College Admissions*

*yong@fas.harvard.edu*

*617-496-4519*

EARLY ACTION ADMITS 2017 vs 2018									
	2017	% Apps	Admits	% Admits	2018	% Chnge	% Apps	Admits	% Admits
Total	4845	100.0%	892	100.0%	4700	-3.0%	100.0%	940	100.0%
Male	2512	51.8%	468	52.5%	2491	-0.8%	53.0%	536	57.0%
Female	2333	48.2%	424	47.5%	2209	-5.3%	47.0%	404	43.0%
Central	94	1.9%	18	2.0%	75	-20.2%	1.6%	14	1.5%
Mid-Atlantic	950	19.6%	262	29.4%	881	-7.3%	18.7%	254	27.0%
Mountain	149	3.1%	23	2.6%	164	10.1%	3.5%	19	2.0%
Mid-West	554	11.4%	56	6.3%	598	7.9%	12.7%	70	7.4%
New England	597	12.3%	187	21.0%	627	5.0%	13.3%	202	21.5%
Pacific	679	14.0%	137	15.4%	613	-9.7%	13.0%	147	15.6%
South	1112	23.0%	142	15.9%	1025	-7.8%	21.8%	152	16.2%
Territories	12	0.2%	3	0.3%	13	8.3%	0.3%	5	0.5%
Canada	106	2.2%	18	2.0%	112	5.7%	2.4%	16	1.7%
Foreign	592	12.2%	46	5.2%	592	0.0%	12.6%	61	6.5%
Social Sciences	1260	26.0%	241	27.0%	1083	-14.0%	23.0%	222	23.6%
Humanities	683	14.1%	178	20.0%	545	-20.2%	11.6%	132	14.0%
Biological Sciences	1412	29.1%	209	23.4%	1300	-7.9%	27.7%	211	22.4%
Physical Sciences	358	7.4%	81	9.1%	338	-5.6%	7.2%	66	7.0%
Engineering	591	12.2%	88	9.9%	583	-1.4%	12.4%	92	9.8%
Math	308	6.4%	64	7.2%	264	-14.3%	5.6%	64	6.8%
Computer Science	150	3.1%	22	2.5%	166	10.7%	3.5%	37	3.9%
Undecided	83	1.7%	9	1.0%	421	407.2%	9.0%	116	12.3%
Lineage	375	7.7%	207	23.2%	365	-2.7%	7.8%	186	19.8%
Aid	3459	71.4%	511	57.3%	3244	-6.2%	69.0%	515	54.8%
Non-Aid	1386	28.6%	381	42.7%	1456	5.1%	31.0%	425	45.2%
Disadv - Staff	388	8.0%	91	10.2%	346	-10.8%	7.4%	88	9.4%
Fee Waived	494	10.2%	64	7.2%	714	44.5%	15.2%	108	11.5%
Recruited Athletes	228	4.7%	190	21.3%	209	-8.3%	4.4%	182	19.4%
US Citizens	3995	82.5%	803	90.0%	3848	-3.7%	81.9%	843	89.7%
Permanent Res	173	3.6%	23	2.6%	167	-3.5%	3.6%	24	2.6%
Internat'l Citizens	677	14.0%	66	7.4%	685	1.2%	14.6%	73	7.8%
US/Dual Citizens	291	6.0%	60	6.7%	318	9.3%	6.8%	84	8.9%
Old Methodology									
Asian American	1029	21.2%	192	21.5%	1027	-0.2%	21.9%	190	20.2%
African American	459	9.5%	77	8.6%	447	-2.6%	9.5%	94	10.0%
Hispanic American	203	4.2%	36	4.0%	208	2.5%	4.4%	41	4.4%
Mexican American	141	2.9%	17	1.9%	155	9.9%	3.3%	29	3.1%
Native American	50	1.0%	12	1.3%	43	-14.0%	0.9%	7	0.7%
Puerto Rican	51	1.1%	12	1.3%	66	29.4%	1.4%	15	1.6%
New Methodolgy									
Asian American	1037	21.4%	193	21.6%	1043	0.6%	22.2%	194	20.6%
African American	459	9.5%	77	8.6%	447	-2.6%	9.5%	94	10.0%
Hispanic American	437	9.0%	70	7.8%	484	10.8%	10.3%	97	10.3%
Native American	81	1.7%	14	1.6%	62	-23.5%	1.3%	8	0.9%
Native Hawaiian	11	0.2%	2	0.2%	18	63.6%	0.4%	2	0.2%
Multi-Racial	561	11.6%	122	13.7%	597	6.4%	12.7%	125	13.3%
IPEDS									
Asian American	884	18.2%	153	17.2%	870	-1.6%	18.5%	158	16.8%
African American	368	7.6%	56	6.3%	347	-5.7%	7.4%	70	7.4%
Hispanic American	437	9.0%	70	7.8%	484	10.8%	10.3%	97	10.3%
Native American	13	0.3%	2	0.2%	8	-38.5%	0.2%	2	0.2%
Native Hawaiian	3	0.1%	2	0.2%	5	66.7%	0.1%	1	0.1%
Multiracial	226	4.7%	63	7.1%	232	2.7%	4.9%	48	5.1%

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EARLY ACTION DOCKETS 2017 vs 2018							
Docket	2017	EA Admits	Admit Rate	2018	Percent Change	EADM	Admit Rate
A	180	43	23.9%	139	-22.8%	41	29.5%
B	253	38	15.0%	245	-3.2%	38	15.5%
C	209	36	17.2%	204	-2.4%	41	20.1%
D	275	40	14.5%	270	-1.8%	48	17.8%
E	298	31	10.4%	294	-1.3%	32	10.9%
F	283	30	10.6%	316	11.7%	42	13.3%
G	291	38	13.1%	260	-10.7%	37	14.2%
H	311	33	10.6%	294	-5.5%	41	13.9%
I	292	58	19.9%	284	-2.7%	65	22.9%
J	227	31	13.7%	196	-13.7%	23	11.7%
K	165	43	26.1%	134	-18.8%	34	25.4%
L	192	34	17.7%	175	-8.9%	35	20.0%
N	203	59	29.1%	193	-4.9%	53	27.5%
P	290	117	40.3%	364	25.5%	137	37.6%
R	173	45	26.0%	156	-9.8%	40	25.6%
S	189	48	25.4%	193	2.1%	50	25.9%
T	174	72	41.4%	150	-13.8%	67	44.7%
U	252	34	13.5%	236	-6.3%	41	17.4%
V	412	24	5.8%	416	1.0%	30	7.2%
Z	176	38	21.6%	181	2.8%	45	24.9%
Total	4845	892	18.4%	4700	-3.0%	940	20.0%

12/2/2013

Class of 2018 - EA Applicants												
	Applicants			Admits as of 5pm								
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total		
Overall	2491	53.0%	2209	47.0%	4700	536	57.0%	404	43.0%	940		
Asian American	561	53.8%	482	46.2%	1043	109	56.2%	85	43.8%	194		
African American	198	44.3%	249	55.7%	447	42	44.7%	52	55.3%	94		
Hispanic American	256	52.9%	228	47.1%	484	54	55.7%	43	44.3%	97		
Native American	27	43.5%	35	56.5%	62	5	62.5%	3	37.5%	8		
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2		
Multi-Racial	296	49.6%	301	50.4%	597	60	48.0%	65	52.0%	125		
Subtotal	1347	50.8%	1304	49.2%	2651	271	52.1%	249	47.9%	520		
One Athletes	122	58.4%	87	41.6%	209	104	57.1%	78	42.9%	182		
Lineage	198	54.2%	167	45.8%	365	101	56.4%	78	43.6%	179		
Aid Applicants	1728	53.3%	1516	46.7%	3244	302	58.6%	213	41.4%	515		
A	69	49.6%	70	50.4%	139	20	48.8%	21	51.2%	41		
B	133	54.3%	112	45.7%	245	22	57.9%	16	42.1%	38		
C	108	52.9%	96	47.1%	204	21	51.2%	20	48.8%	41		
D	150	55.6%	120	44.4%	270	32	66.7%	16	33.3%	48		
E	144	49.0%	150	51.0%	294	20	62.5%	12	37.5%	32		
F	177	56.0%	139	44.0%	316	29	69.0%	13	31.0%	42		
G	126	48.5%	134	51.5%	260	24	64.9%	13	35.1%	37		
H	152	51.7%	142	48.3%	294	24	58.5%	17	41.5%	41		
I	134	47.2%	150	52.8%	284	30	46.2%	35	53.8%	65		
J	125	63.8%	71	36.2%	196	18	78.3%	5	21.7%	23		
K	71	53.0%	63	47.0%	134	21	61.8%	13	38.2%	34		
L	88	50.3%	87	49.7%	175	19	54.3%	16	45.7%	35		
N	96	49.7%	97	50.3%	193	24	45.3%	29	54.7%	53		
P	201	55.2%	163	44.8%	364	89	65.0%	48	35.0%	137		
R	91	58.3%	65	41.7%	156	23	57.5%	17	42.5%	40		
S	107	55.4%	86	44.6%	193	28	56.0%	22	44.0%	50		
T	76	50.7%	74	49.3%	150	29	43.3%	38	56.7%	67		
U	129	54.7%	107	45.3%	236	19	46.3%	22	53.7%	41		
V	214	51.4%	202	48.6%	416	15	50.0%	15	50.0%	30		
Z	100	55.2%	81	44.8%	181	29	64.4%	16	35.6%	45		

12/2/2013 at 5:59 PM

Class of 2018 - EA Applicants										
	Applicants			Admits						
	Men	% Total	Women	% Total	Total	Men	% Total	Women	% Total	Total
Overall	2491	53.0%	2208	47.0%	4699	567	57.1%	426	42.9%	993
Asian American	561	53.8%	482	46.2%	1043	116	56.3%	90	43.7%	206
African American	198	44.4%	248	55.6%	446	45	46.4%	52	53.6%	97
Hispanic American	256	52.9%	228	47.1%	484	58	56.9%	44	43.1%	102
Native American	27	43.5%	35	56.5%	62	5	62.5%	3	37.5%	8
Native Hawaiian	9	50.0%	9	50.0%	18	1	50.0%	1	50.0%	2
Multi-Racial	296	49.6%	301	50.4%	597	64	49.6%	65	50.4%	129
Subtotal	1347	50.8%	1303	49.2%	2650	289	53.1%	255	46.9%	544
One Athletes	122	58.4%	87	41.6%	209	107	57.8%	78	42.2%	185
Lineage	198	54.5%	165	45.5%	363	105	57.7%	77	42.3%	182
Aid Applicants	1728	53.3%	1515	46.7%	3243	323	58.7%	227	41.3%	550
A	69	49.6%	70	50.4%	139	20	47.6%	22	52.4%	42
B	133	54.3%	112	45.7%	245	22	57.9%	16	42.1%	38
C	108	52.9%	96	47.1%	204	25	54.3%	21	45.7%	46
D	150	55.8%	119	44.2%	269	32	66.7%	16	33.3%	48
E	144	49.0%	150	51.0%	294	20	62.5%	12	37.5%	32
F	177	56.0%	139	44.0%	316	29	69.0%	13	31.0%	42
G	126	48.5%	134	51.5%	260	28	68.3%	13	31.7%	41
H	152	51.7%	142	48.3%	294	25	54.3%	21	45.7%	46
I	134	47.2%	150	52.8%	284	30	46.2%	35	53.8%	65
J	125	63.8%	71	36.2%	196	22	78.6%	6	21.4%	28
K	71	53.0%	63	47.0%	134	23	62.2%	14	37.8%	37
L	88	50.3%	87	49.7%	175	19	54.3%	16	45.7%	35
N	96	49.7%	97	50.3%	193	28	47.5%	31	52.5%	59
P	201	55.2%	163	44.8%	364	98	63.6%	56	36.4%	154
R	91	58.3%	65	41.7%	156	23	56.1%	18	43.9%	41
S	107	55.4%	86	44.6%	193	28	56.0%	22	44.0%	50
T	76	50.7%	74	49.3%	150	29	43.3%	38	56.7%	67
U	129	54.7%	107	45.3%	236	19	44.2%	24	55.8%	43
V	214	51.4%	202	48.6%	416	18	52.9%	16	47.1%	34
Z	100	55.2%	81	44.8%	181	29	64.4%	16	35.6%	45

12/5/2013 at 10:21 PM

TRIAL EXHIBIT

P153

SFFA v. Harvard

EARLY ACTION DOCKETS 2017 vs 2018							
Docket	2017	EA Admits	Admit Rate	2018	Percent Change	EADM	Admit Rate
A	180	43	23.9%	139	-22.8%	42	30.2%
B	253	38	15.0%	245	-3.2%	38	15.5%
C	209	36	17.2%	204	-2.4%	46	22.5%
D	275	40	14.5%	269	-2.2%	48	17.8%
E	298	31	10.4%	294	-1.3%	32	10.9%
F	283	30	10.6%	316	11.7%	42	13.3%
G	291	38	13.1%	260	-10.7%	41	15.8%
H	311	33	10.6%	294	-5.5%	46	15.6%
I	292	58	19.9%	284	-2.7%	65	22.9%
J	227	31	13.7%	196	-13.7%	28	14.3%
K	165	43	26.1%	134	-18.8%	37	27.6%
L	192	34	17.7%	175	-8.9%	35	20.0%
N	203	59	29.1%	193	-4.9%	59	30.6%
P	290	117	40.3%	364	25.5%	154	42.3%
R	173	45	26.0%	156	-9.8%	41	26.3%
S	189	48	25.4%	193	2.1%	50	25.9%
T	174	72	41.4%	150	-13.8%	67	44.7%
U	252	34	13.5%	236	-6.3%	43	18.2%
V	412	24	5.8%	416	1.0%	34	8.2%
Z	176	38	21.6%	181	2.8%	45	24.9%
Total	4845	892	18.4%	4699	-3.0%	993	21.1%

12/5/2013



## EARLY ACTION ADMITS 2017 vs 2018

	2017	% Apps	Admits	% Admits	2018	% Chnge	% Apps	Admits	% Admits
Total	4845	100.0%	892	100.0%	4699	-3.0%	100.0%	999	100.0%
Male	2512	51.8%	468	52.5%	2491	-0.8%	53.0%	571	57.2%
Female	2333	48.2%	424	47.5%	2208	-5.4%	47.0%	428	42.8%
Central	94	1.9%	18	2.0%	75	-20.2%	1.6%	15	1.5%
Mid-Atlantic	950	19.6%	262	29.4%	881	-7.3%	18.7%	261	26.1%
Mountain	149	3.1%	23	2.6%	164	10.1%	3.5%	18	1.8%
Mid-West	554	11.4%	56	6.3%	598	7.9%	12.7%	70	7.0%
New England	597	12.3%	187	21.0%	627	5.0%	13.3%	226	22.6%
Pacific	679	14.0%	137	15.4%	613	-9.7%	13.0%	153	15.3%
South	1112	23.0%	142	15.9%	1024	-7.9%	21.8%	167	16.7%
Territories	12	0.2%	3	0.3%	13	8.3%	0.3%	6	0.6%
Canada	106	2.2%	18	2.0%	112	5.7%	2.4%	16	1.6%
Foreign	592	12.2%	46	5.2%	592	0.0%	12.6%	67	6.7%
Social Sciences	1260	26.0%	241	27.0%	1082	-14.1%	23.0%	235	23.5%
Humanities	683	14.1%	178	20.0%	545	-20.2%	11.6%	141	14.1%
Biological Sciences	1412	29.1%	209	23.4%	1300	-7.9%	27.7%	227	22.7%
Physical Sciences	358	7.4%	81	9.1%	338	-5.6%	7.2%	71	7.1%
Engineering	591	12.2%	88	9.9%	583	-1.4%	12.4%	98	9.8%
Math	308	6.4%	64	7.2%	264	-14.3%	5.6%	68	6.8%
Computer Science	150	3.1%	22	2.5%	166	10.7%	3.5%	37	3.7%
Undecided	83	1.7%	9	1.0%	421	407.2%	9.0%	122	12.2%
Lineage	375	7.7%	207	23.2%	363	-3.2%	7.7%	183	18.3%
Aid	3459	71.4%	511	57.3%	3243	-6.2%	69.0%	555	55.6%
Non-Aid	1386	28.6%	381	42.7%	1456	5.1%	31.0%	444	44.4%
Disadv - Staff	388	8.0%	91	10.2%	349	-10.1%	7.4%	96	9.6%
Fee Waived	494	10.2%	64	7.2%	716	44.9%	15.2%	122	12.2%
Recruited Athletes	228	4.7%	190	21.3%	209	-8.3%	4.4%	187	18.7%
US Citizens	3995	82.5%	803	90.0%	3847	-3.7%	81.9%	893	89.4%
Permanent Res	173	3.6%	23	2.6%	167	-3.5%	3.6%	23	2.3%
Internat'l Citizens	677	14.0%	66	7.4%	685	1.2%	14.6%	83	8.3%
US/Dual Citizens	291	6.0%	60	6.7%	318	9.3%	6.8%	90	9.0%
Old Methodology									
Asian American	1029	21.2%	192	21.5%	1027	-0.2%	21.9%	203	20.3%
African American	459	9.5%	77	8.6%	446	-2.8%	9.5%	99	9.9%
Hispanic American	203	4.2%	36	4.0%	208	2.5%	4.4%	45	4.5%
Mexican American	141	2.9%	17	1.9%	155	9.9%	3.3%	31	3.1%
Native American	50	1.0%	12	1.3%	43	-14.0%	0.9%	8	0.8%
Puerto Rican	51	1.1%	12	1.3%	66	29.4%	1.4%	16	1.6%
New Methodolgy									
Asian American	1037	21.4%	193	21.6%	1043	0.6%	22.2%	208	20.8%
African American	459	9.5%	77	8.6%	446	-2.8%	9.5%	99	9.9%
Hispanic American	437	9.0%	70	7.8%	484	10.8%	10.3%	104	10.4%
Native American	81	1.7%	14	1.6%	62	-23.5%	1.3%	9	0.9%
Native Hawaiian	11	0.2%	2	0.2%	18	63.6%	0.4%	2	0.2%
Multi-Racial	561	11.6%	122	13.7%	597	6.4%	12.7%	133	13.3%
IPEDS									
Asian American	884	18.2%	153	17.2%	870	-1.6%	18.5%	168	16.8%
African American	368	7.6%	56	6.3%	346	-6.0%	7.4%	73	7.3%
Hispanic American	437	9.0%	70	7.8%	484	10.8%	10.3%	104	10.4%
Native American	13	0.3%	2	0.2%	8	-38.5%	0.2%	2	0.2%
Native Hawaiian	3	0.1%	2	0.2%	5	66.7%	0.1%	1	0.1%
Multiracial	226	4.7%	63	7.1%	232	2.7%	4.9%	54	5.4%

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EARLY ACTION ADMITS 2017 vs 2018									
	2017	% Apps	Admits	% Admits	2018	% Chnge	% Apps	Admits	% Admits
Total	4845	100.0%	892	100.0%	4692	-3.2%	100.0%	992	100.0%
Male	2512	51.8%	468	52.5%	2490	-0.9%	53.1%	564	56.9%
Female	2333	48.2%	424	47.5%	2202	-5.6%	46.9%	428	43.1%
Central	94	1.9%	18	2.0%	75	-20.2%	1.6%	15	1.5%
Mid-Atlantic	950	19.6%	262	29.4%	881	-7.3%	18.8%	260	26.2%
Mountain	149	3.1%	23	2.6%	164	10.1%	3.5%	18	1.8%
Mid-West	554	11.4%	56	6.3%	596	7.6%	12.7%	67	6.8%
New England	597	12.3%	187	21.0%	626	4.9%	13.3%	227	22.9%
Pacific	679	14.0%	137	15.4%	613	-9.7%	13.1%	151	15.2%
South	1112	23.0%	142	15.9%	1021	-8.2%	21.8%	165	16.6%
Territories	12	0.2%	3	0.3%	13	8.3%	0.3%	6	0.6%
Canada	106	2.2%	18	2.0%	112	5.7%	2.4%	16	1.6%
Foreign	592	12.2%	46	5.2%	591	-0.2%	12.6%	67	6.8%
Social Sciences	1260	26.0%	241	27.0%	1080	-14.3%	23.0%	233	23.5%
Humanities	683	14.1%	178	20.0%	545	-20.2%	11.6%	140	14.1%
Biological Sciences	1412	29.1%	209	23.4%	1298	-8.1%	27.7%	226	22.8%
Physical Sciences	358	7.4%	81	9.1%	338	-5.6%	7.2%	71	7.2%
Engineering	591	12.2%	88	9.9%	583	-1.4%	12.4%	96	9.7%
Math	308	6.4%	64	7.2%	263	-14.6%	5.6%	68	6.9%
Computer Science	150	3.1%	22	2.5%	166	10.7%	3.5%	37	3.7%
Undecided	83	1.7%	9	1.0%	419	404.8%	8.9%	121	12.2%
Lineage	375	7.7%	207	23.2%	363	-3.2%	7.7%	182	18.3%
Aid	3459	71.4%	511	57.3%	3237	-6.4%	69.0%	552	55.6%
Non-Aid	1386	28.6%	381	42.7%	1455	5.0%	31.0%	440	44.4%
Disadv - Staff	388	8.0%	91	10.2%	349	-10.1%	7.4%	96	9.7%
Fee Waived	494	10.2%	64	7.2%	713	44.3%	15.2%	122	12.3%
Recruited Athletes	228	4.7%	190	21.3%	210	-7.9%	4.5%	181	18.2%
US Citizens	3995	82.5%	803	90.0%	3841	-3.9%	81.9%	886	89.3%
Permanent Res	173	3.6%	23	2.6%	167	-3.5%	3.6%	23	2.3%
Internat'l Citizens	677	14.0%	66	7.4%	684	1.0%	14.6%	83	8.4%
US/Dual Citizens	291	6.0%	60	6.7%	318	9.3%	6.8%	90	9.1%
Old Methodology									
Asian American	1029	21.2%	192	21.5%	1026	-0.3%	21.9%	204	20.6%
African American	459	9.5%	77	8.6%	444	-3.3%	9.5%	98	9.9%
Hispanic American	203	4.2%	36	4.0%	207	2.0%	4.4%	45	4.5%
Mexican American	141	2.9%	17	1.9%	154	9.2%	3.3%	31	3.1%
Native American	50	1.0%	12	1.3%	43	-14.0%	0.9%	8	0.8%
Puerto Rican	51	1.1%	12	1.3%	66	29.4%	1.4%	16	1.6%
New Methodolgy									
Asian American	1037	21.4%	193	21.6%	1042	0.5%	22.2%	209	21.1%
African American	459	9.5%	77	8.6%	444	-3.3%	9.5%	98	9.9%
Hispanic American	437	9.0%	70	7.8%	482	10.3%	10.3%	104	10.5%
Native American	81	1.7%	14	1.6%	62	-23.5%	1.3%	9	0.9%
Native Hawaiian	11	0.2%	2	0.2%	18	63.6%	0.4%	2	0.2%
Multi-Racial	561	11.6%	122	13.7%	595	6.1%	12.7%	133	13.4%
IPEDS									
Asian American	884	18.2%	153	17.2%	869	-1.7%	18.5%	168	16.9%
African American	368	7.6%	56	6.3%	344	-6.5%	7.3%	72	7.3%
Hispanic American	437	9.0%	70	7.8%	482	10.3%	10.3%	104	10.5%
Native American	13	0.3%	2	0.2%	8	-38.5%	0.2%	2	0.2%
Native Hawaiian	3	0.1%	2	0.2%	5	66.7%	0.1%	1	0.1%
Multiracial	226	4.7%	63	7.1%	232	2.7%	4.9%	54	5.4%

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EARLY ACTION ADMITS 2017 vs 2018									
	2017	% Apps	Admits	% Admits	2018	% Chnge	% Apps	Admits	% Admits
Total	4845	100.0%	892	100.0%	4693	-3.1%	100.0%	993	100.0%
Male	2512	51.8%	468	52.5%	2490	-0.9%	53.1%	564	56.8%
Female	2333	48.2%	424	47.5%	2203	-5.6%	46.9%	429	43.2%
Central	94	1.9%	18	2.0%	75	-20.2%	1.6%	15	1.5%
Mid-Atlantic	950	19.6%	262	29.4%	881	-7.3%	18.8%	260	26.2%
Mountain	149	3.1%	23	2.6%	164	10.1%	3.5%	18	1.8%
Mid-West	554	11.4%	56	6.3%	596	7.6%	12.7%	67	6.7%
New England	597	12.3%	187	21.0%	626	4.9%	13.3%	227	22.9%
Pacific	679	14.0%	137	15.4%	614	-9.6%	13.1%	152	15.3%
South	1112	23.0%	142	15.9%	1021	-8.2%	21.8%	165	16.6%
Territories	12	0.2%	3	0.3%	13	8.3%	0.3%	6	0.6%
Canada	106	2.2%	18	2.0%	112	5.7%	2.4%	16	1.6%
Foreign	592	12.2%	46	5.2%	591	-0.2%	12.6%	67	6.7%
Social Sciences	1260	26.0%	241	27.0%	1080	-14.3%	23.0%	233	23.5%
Humanities	683	14.1%	178	20.0%	545	-20.2%	11.6%	140	14.1%
Biological Sciences	1412	29.1%	209	23.4%	1298	-8.1%	27.7%	226	22.8%
Physical Sciences	358	7.4%	81	9.1%	338	-5.6%	7.2%	71	7.2%
Engineering	591	12.2%	88	9.9%	583	-1.4%	12.4%	96	9.7%
Math	308	6.4%	64	7.2%	263	-14.6%	5.8%	68	6.8%
Computer Science	150	3.1%	22	2.5%	166	10.7%	3.5%	37	3.7%
Undecided	83	1.7%	9	1.0%	420	406.0%	8.9%	122	12.3%
Lineage	375	7.7%	207	23.2%	363	-3.2%	7.7%	182	18.3%
Aid	3459	71.4%	511	57.3%	3237	-6.4%	69.0%	552	55.6%
Non-Aid	1386	28.6%	381	42.7%	1456	5.1%	31.0%	441	44.4%
Disadv - Staff	388	8.0%	91	10.2%	349	-10.1%	7.4%	96	9.7%
Fee Waived	494	10.2%	64	7.2%	713	44.3%	15.2%	122	12.3%
Recruited Athletes	228	4.7%	190	21.3%	211	-7.5%	4.5%	182	18.3%
US Citizens	3995	82.5%	803	90.0%	3842	-3.8%	81.9%	887	89.3%
Permanent Res	173	3.6%	23	2.6%	167	-3.5%	3.6%	23	2.3%
Internat'l Citizens	677	14.0%	66	7.4%	684	1.0%	14.6%	83	8.4%
US/Dual Citizens	291	6.0%	60	6.7%	318	9.3%	6.8%	90	9.1%
Old Methodology									
Asian American	1029	21.2%	192	21.5%	1026	-0.3%	21.9%	204	20.5%
African American	459	9.5%	77	8.6%	444	-3.3%	9.5%	98	9.9%
Hispanic American	203	4.2%	36	4.0%	207	2.0%	4.4%	45	4.5%
Mexican American	141	2.9%	17	1.9%	154	9.2%	3.3%	31	3.1%
Native American	50	1.0%	12	1.3%	43	-14.0%	0.9%	8	0.8%
Puerto Rican	51	1.1%	12	1.3%	66	29.4%	1.4%	16	1.6%
New Methodolgy									
Asian American	1037	21.4%	193	21.6%	1042	0.5%	22.2%	209	21.0%
African American	459	9.5%	77	8.6%	444	-3.3%	9.5%	98	9.9%
Hispanic American	437	9.0%	70	7.8%	482	10.3%	10.3%	104	10.5%
Native American	81	1.7%	14	1.6%	62	-23.5%	1.3%	9	0.9%
Native Hawaiian	11	0.2%	2	0.2%	18	63.6%	0.4%	2	0.2%
Multi-Racial	561	11.6%	122	13.7%	595	6.1%	12.7%	133	13.4%
IPEDS									
Asian American	884	18.2%	153	17.2%	869	-1.7%	18.5%	168	16.9%
African American	368	7.6%	56	6.3%	344	-6.5%	7.3%	72	7.3%
Hispanic American	437	9.0%	70	7.8%	482	10.3%	10.3%	104	10.5%
Native American	13	0.3%	2	0.2%	8	-38.5%	0.2%	2	0.2%
Native Hawaiian	3	0.1%	2	0.2%	5	66.7%	0.1%	1	0.1%
Multiracial	226	4.7%	63	7.1%	232	2.7%	4.9%	54	5.4%

Date: 12/13/2013 Time: 2:51 PM

APPLICANTS 2017 vs 2018					
	2017	%Apps	2018	%Apps	Change
Total	35023	100.0%	30694	100.0%	-12.4%
Male	18326	52.3%	15927	51.9%	-13.1%
Female	16697	47.7%	14767	48.1%	-11.6%
Central	609	1.7%	562	1.8%	-7.7%
Mid-Atlantic	6173	17.6%	5656	18.4%	-8.4%
Mountain	1231	3.5%	1139	3.7%	-7.5%
Mid-West	3589	10.2%	3168	10.3%	-11.7%
New England	3466	9.9%	3052	9.9%	-11.9%
Pacific	6705	19.1%	5773	18.8%	-13.9%
South	6691	19.1%	6230	20.3%	-6.9%
Territories	85	0.2%	66	0.2%	-22.4%
Canada	695	2.0%	612	2.0%	-11.9%
Foreign	5779	16.5%	4436	14.5%	-23.2%
Social Sciences	8727	24.9%	6916	22.5%	-20.8%
Humanities	4404	12.6%	3364	11.0%	-23.6%
Biological Sciences	9329	26.6%	7867	25.6%	-15.7%
Physical Sciences	2478	7.1%	2061	6.7%	-16.8%
Engineering	5451	15.6%	4836	15.8%	-11.3%
Math	2033	5.8%	1655	5.4%	-18.6%
Computer Science	1487	4.2%	1574	5.1%	5.9%
Undecided	1114	3.2%	2421	7.9%	117.3%
Lineage	875	2.5%	757	2.5%	-13.5%
Aid	25875	73.9%	22416	73.0%	-13.4%
Non-Aid	9148	26.1%	8278	27.0%	-9.5%
One Athletes	291	0.8%	247	0.8%	-15.1%
Disadv - Staff	3061	8.7%	619	2.0%	-79.8%
Fee Waived	5730	16.4%	5731	18.7%	0.0%
US Citizens	27183	77.6%	24432	79.6%	-10.1%
Permanent Res	1423	4.1%	1223	4.0%	-14.1%
Internat'l Citizens	6417	18.3%	5039	16.4%	-21.5%
US/Dual Citizens	1989	5.7%	1843	6.0%	-7.3%
Old Methodology - App and Scores					
Asian American	7133	20.4%	7020	22.9%	-1.6%
African American	3440	9.8%	3083	10.0%	-10.4%
Hispanic American	1617	4.6%	1477	4.8%	-8.7%
Mexican American	1553	4.4%	1402	4.6%	-9.7%
Native American	356	1.0%	331	1.1%	-7.0%
Puerto Rican	344	1.0%	350	1.1%	1.7%
Other	1	0.0%	0	0.0%	-100.0%
New Methodolgy - App Only					
Asian American	7244	20.7%	7137	23.3%	-1.5%
African American	3439	9.8%	3082	10.0%	-10.4%
Hispanic American	3969	11.3%	3647	11.9%	-8.1%
Native American	685	2.0%	490	1.6%	-28.5%
Native Hawaiian	109	0.3%	136	0.4%	24.8%
Multi-Racial	4240	12.1%	3938	12.8%	-7.1%
IPEDS					
Asian American	6138	17.5%	6082	19.8%	-0.9%
African American	2688	7.7%	2398	7.8%	-10.8%
Hispanic American	3969	11.3%	3647	11.9%	-8.1%
Native American	90	0.3%	85	0.3%	-5.6%
Native Hawaiian	24	0.1%	41	0.1%	70.8%
Multiracial	1528	4.4%	1399	4.6%	-8.4%

Date: 1/2/2014





**From:** McGrath, Marlyn [/O=HARVARD-FAS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=MMCG]  
**Sent:** Sunday, March 02, 2014 9:52:58 PM  
**To:** Yong, Elizabeth  
**CC:** Fitzsimmons, William; Donahue, Sally  
**Subject:** Re: stats for monday  
**Attachments:** 1pager.pdf; nlna.pdf; dkt.pdf

Thanks very much— this is great to have now!

On Mar 2, 2014, at 4:48 PM, Yong, Elizabeth <[yong@fas.harvard.edu](mailto:yong@fas.harvard.edu)> wrote:

WRF, MEM, SCD,

Attached are stats for tomorrow's meetings.

Let me know if there's anything else you need.  
I'll also send copies to OAP's printer.

Thanks,  
EBY

APPLICANTS 2017 vs 2018										
	Class of 2017					Class of 2018				
	Apps	%Apps	Adms	Rate	%Adms	Apps	%Apps	Adms	Rate	%Adms
Total	35023	100.0%	2047	5.8%	100.0%	34296	100.0%	1962	5.7%	100.0%
Male	18326	52.3%	1092	6.0%	53.3%	18012	52.5%	1080	6.0%	55.0%
Female	16697	47.7%	955	5.7%	46.7%	16284	47.5%	882	5.4%	45.0%
Central	609	1.7%	48	7.9%	2.3%	609	1.8%	39	6.4%	2.0%
Mid-Atlantic	6173	17.6%	465	7.5%	22.7%	6104	17.8%	462	7.6%	23.5%
Mountain	1231	3.5%	65	5.3%	3.2%	1277	3.7%	73	5.7%	3.7%
Mid-West	3589	10.2%	178	5.0%	8.7%	3381	9.9%	156	4.6%	8.0%
New England	3466	9.9%	354	10.2%	17.3%	3288	9.6%	336	10.2%	17.1%
Pacific	6705	19.1%	366	5.5%	17.9%	6571	19.2%	345	5.3%	17.6%
South	6691	19.1%	344	5.1%	16.8%	6826	19.9%	330	4.8%	16.8%
Territories	85	0.2%	8	9.4%	0.4%	78	0.2%	8	10.3%	0.4%
Canada	695	2.0%	39	5.6%	1.9%	697	2.0%	36	5.2%	1.8%
Foreign	5779	16.5%	180	3.1%	8.8%	5465	15.9%	177	3.2%	9.0%
Social Sciences	8727	24.9%	561	6.4%	27.4%	7734	22.6%	460	5.9%	23.4%
Humanities	4404	12.6%	362	8.2%	17.7%	3742	10.9%	277	7.4%	14.1%
Biological Sciences	9329	26.6%	474	5.1%	23.2%	8664	25.3%	449	5.2%	22.9%
Physical Sciences	2478	7.1%	181	7.3%	8.8%	2299	6.7%	143	6.2%	7.3%
Engineering	5451	15.6%	255	4.7%	12.5%	5485	16.0%	252	4.6%	12.8%
Math	2033	5.8%	143	7.0%	7.0%	1850	5.4%	127	6.9%	6.5%
Computer Science	1487	4.2%	56	3.8%	2.7%	1811	5.3%	84	4.6%	4.3%
Undecided	1114	3.2%	15	1.3%	0.7%	2711	7.9%	170	6.3%	8.7%
Lineage	875	2.5%	310	35.4%	15.1%	806	2.4%	268	33.3%	13.7%
Aid	25875	73.9%	1378	5.3%	67.3%	25267	73.7%	1217	4.8%	62.0%
Non-Aid	9148	26.1%	669	7.3%	32.7%	9029	26.3%	745	8.3%	38.0%
One Athletes	291	0.8%	223	76.6%	10.9%	278	0.8%	218	78.4%	11.1%
Disadv - Staff	3061	8.7%	305	10.0%	14.9%	3083	9.0%	230	7.5%	11.7%
Fee Waived	5730	16.4%	283	4.9%	13.8%	7815	22.8%	300	3.8%	15.3%
US Citizens	27183	77.6%	1777	6.5%	86.8%	26740	78.0%	1707	6.4%	87.0%
Permanent Res	1423	4.1%	60	4.2%	2.9%	1360	4.0%	53	3.9%	2.7%
Internat'l Citizens	6417	18.3%	210	3.3%	10.3%	6196	18.1%	202	3.3%	10.3%
US/Dual Citizens	1989	5.7%	147	7.4%	7.2%	2025	5.9%	154	7.6%	7.8%
Old Methodology - App and Scores										
Asian American	7133	20.4%	400	5.6%	19.5%	7679	22.4%	367	4.8%	18.7%
African American	3440	9.8%	233	6.8%	11.4%	3469	10.1%	218	6.3%	11.1%
Hispanic American	1617	4.6%	96	5.9%	4.7%	1643	4.8%	100	6.1%	5.1%
Mexican American	1553	4.4%	84	5.4%	4.1%	1609	4.7%	79	4.9%	4.0%
Native American	356	1.0%	30	8.4%	1.5%	361	1.1%	21	5.8%	1.1%
Puerto Rican	344	1.0%	33	9.6%	1.6%	385	1.1%	30	7.8%	1.5%
Other	1	0.0%	0	0.0%	0.0%	0	0.0%	0	0.0%	0.0%
New Methodolgy - App Only										
Asian American	7244	20.7%	407	5.6%	19.9%	7805	22.8%	376	4.8%	19.2%
African American	3439	9.8%	233	6.8%	11.4%	3468	10.1%	218	6.3%	11.1%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	232	5.6%	11.8%
Native American	685	2.0%	45	6.6%	2.2%	555	1.6%	24	4.3%	1.2%
Native Hawaiian	109	0.3%	11	10.1%	0.5%	150	0.4%	6	4.0%	0.3%
Multi-Racial	4240	12.1%	313	7.4%	15.3%	4357	12.7%	276	6.3%	14.1%
IPEDS - App Only										
Asian American	6138	17.5%	322	5.2%	15.7%	6643	19.4%	304	4.6%	15.5%
African American	2688	7.7%	172	6.4%	8.4%	2688	7.8%	159	5.9%	8.1%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	232	5.6%	11.8%
Native American	90	0.3%	8	8.9%	0.4%	102	0.3%	5	4.9%	0.3%
Native Hawaiian	24	0.1%	7	29.2%	0.3%	45	0.1%	3	6.7%	0.2%
Multiracial	1528	4.4%	131	8.6%	6.4%	1550	4.5%	112	7.2%	5.7%

Date: 3/2/2014



DOCKETS - CLASS OF 2017 vs 2018										
	2017	Admits	Ad Rate	Matrics	Yield	2018	% change	Admits	Ad Rate	Def/NC
A	1788	101	5.6%	76	75.2%	1727	-3.4%	93	5.4%	0
B	2113	115	5.4%	91	79.1%	2037	-3.6%	129	6.3%	4
C	2231	124	5.6%	84	67.7%	2220	-0.5%	115	5.2%	0
D	1755	95	5.4%	73	76.8%	1775	1.1%	90	5.1%	0
E	1686	105	6.2%	88	83.8%	1607	-4.7%	95	5.9%	0
F	2089	92	4.4%	76	82.6%	1976	-5.4%	81	4.1%	1
G	1732	92	5.3%	81	88.0%	1710	-1.3%	86	5.0%	0
H	1798	94	5.2%	59	62.8%	1800	0.1%	89	4.9%	1
I	1740	98	5.6%	73	74.5%	1815	4.3%	97	5.3%	0
J	1338	74	5.5%	57	77.0%	1428	6.7%	69	4.8%	2
K	1022	68	6.7%	61	89.7%	957	-6.4%	61	6.4%	0
L	1108	95	8.6%	81	85.3%	1025	-7.5%	86	8.4%	1
N	1425	114	8.0%	103	90.4%	1389	-2.5%	106	7.6%	1
P	1613	204	12.6%	177	86.8%	1560	-3.3%	199	12.8%	1
R	1027	84	8.2%	75	89.3%	970	-5.6%	76	7.8%	0
S	1451	83	5.7%	67	80.7%	1487	2.5%	92	6.2%	0
T	1150	121	10.5%	100	82.6%	1086	-5.6%	123	11.3%	0
U	1845	86	4.7%	66	76.7%	1845	0.0%	96	5.2%	0
V	4317	116	2.7%	103	88.8%	4028	-6.7%	96	2.4%	1
Z	1795	86	4.8%	68	79.1%	1854	3.3%	83	4.5%	0
TOTAL	35023	2047	5.8%	1659	81.0%	34296	-2.1%	1962	5.7%	12

3/2/2014

APPLICANTS 2017 vs 2018																
	Class of 2017						Class of 2018						NLNA			
	Overall			NLNA			Overall			NLNA			NLNA			
	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms
Total	35023	2047	5.8%	100.0%	33869	1526	4.5%	100.0%	34296	1962	5.7%	100.0%	33218	1482	4.5%	100.0%
Old Methodology - App and Scores																
Asian American	7133	400	5.6%	19.5%	7021	347	4.9%	22.7%	7679	367	4.8%	18.7%	7588	325	4.3%	21.9%
African American	3440	233	6.8%	11.4%	3363	190	5.6%	12.5%	3469	218	6.3%	11.1%	3402	188	5.5%	12.7%
Hispanic American	3514	213	6.1%	10.4%	3460	187	5.4%	12.3%	3637	209	5.7%	10.7%	3578	193	5.4%	13.0%
Native American	356	30	8.4%	1.5%	345	26	7.5%	1.7%	361	21	5.8%	1.1%	355	19	5.4%	1.3%
Other	1	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0	0.0%	0.0%
White/Unknown	14162	961	6.8%	46.9%	13322	599	4.5%	39.3%	12954	945	7.3%	48.2%	12146	585	4.8%	39.5%
New Methodology - App Only																
Asian American	7244	407	5.5%	19.5%	7131	353	5.0%	23.1%	7805	376	4.8%	19.2%	7711	332	4.3%	22.4%
African American	3439	233	6.8%	11.4%	3362	190	5.7%	12.5%	3468	218	6.3%	11.1%	3401	188	5.5%	12.7%
Hispanic American	3969	235	5.4%	10.4%	3909	206	5.3%	13.5%	4117	232	5.6%	11.8%	4045	212	5.2%	14.3%
Native American	685	45	6.6%	2.2%	670	39	5.8%	2.6%	555	24	4.3%	1.2%	545	20	3.7%	1.3%
Native Hawaiian	109	11	10.1%	0.5%	106	11	10.4%	0.7%	150	6	4.0%	0.3%	146	5	3.4%	0.3%
Multi-Racial	4240	313	7.4%	15.3%	4094	236	5.8%	15.5%	4357	276	6.3%	14.1%	4234	234	5.5%	15.8%
White/Unknown	17813	1244	7.0%	60.8%	16834	808	4.8%	52.9%	16718	1197	9.2%	61.0%	15801	800	5.1%	54.0%
IPEDS - App Only																
Asian American	6138	322	5.2%	15.7%	6094	303	5.0%	19.9%	6643	304	4.6%	15.5%	6598	277	4.2%	18.7%
African American	2688	172	6.4%	8.4%	2633	143	5.4%	9.4%	2688	159	5.9%	8.1%	2648	141	5.3%	9.5%
Hispanic American	3969	235	5.9%	11.5%	3909	206	5.3%	13.5%	4117	232	5.6%	11.8%	4045	212	5.2%	14.3%
Native American	90	8	8.9%	0.4%	88	7	8.0%	0.5%	102	3	2.9%	0.2%	101	3	3.0%	0.2%
Native Hawaiian	24	7	29.2%	0.3%	24	7	29.2%	0.5%	45	5	11.1%	0.3%	44	4	9.1%	0.3%
Multiracial	1528	131	8.6%	6.4%	1435	83	5.8%	5.4%	1550	112	7.2%	5.7%	1486	88	5.9%	5.9%
White/Unknown	14169	962	6.8%	47.0%	13329	600	4.5%	39.3%	12955	945	7.3%	48.2%	12147	585	4.8%	39.5%

Date: 3/2/2014



APPLICANTS 2017 vs 2018										
	Class of 2017					Class of 2018				
	Apps	%Apps	Adms	Rate	%Adms	Apps	%Apps	Adms	Rate	%Adms
Total	35023	100.0%	2047	5.8%	100.0%	34296	100.0%	2250	6.6%	100.0%
Male	18326	52.3%	1092	6.0%	53.3%	18012	52.5%	1217	6.8%	54.1%
Female	16697	47.7%	955	5.7%	46.7%	16284	47.5%	1033	6.3%	45.9%
Central	609	1.7%	48	7.9%	2.3%	609	1.8%	44	7.2%	2.0%
Mid-Atlantic	6173	17.6%	465	7.5%	22.7%	6104	17.8%	516	8.5%	22.9%
Mountain	1231	3.5%	65	5.3%	3.2%	1277	3.7%	80	6.3%	3.6%
Mid-West	3589	10.2%	178	5.0%	8.7%	3381	9.9%	185	5.5%	8.2%
New England	3466	9.9%	354	10.2%	17.3%	3288	9.6%	378	11.5%	16.8%
Pacific	6705	19.1%	366	5.5%	17.9%	6572	19.2%	394	6.0%	17.5%
South	6691	19.1%	344	5.1%	16.8%	6826	19.9%	396	5.8%	17.6%
Territories	85	0.2%	8	9.4%	0.4%	78	0.2%	8	10.3%	0.4%
Canada	695	2.0%	39	5.6%	1.9%	697	2.0%	39	5.6%	1.7%
Foreign	5779	16.5%	180	3.1%	8.8%	5464	15.9%	210	3.8%	9.3%
Social Sciences	8727	24.9%	561	6.4%	27.4%	7734	22.6%	524	6.8%	23.3%
Humanities	4404	12.6%	362	8.2%	17.7%	3742	10.9%	311	8.3%	13.8%
Biological Sciences	9329	26.6%	474	5.1%	23.2%	8664	25.3%	518	6.0%	23.0%
Physical Sciences	2478	7.1%	181	7.3%	8.8%	2299	6.7%	165	7.2%	7.3%
Engineering	5451	15.6%	255	4.7%	12.5%	5485	16.0%	296	5.4%	13.2%
Math	2033	5.8%	143	7.0%	7.0%	1850	5.4%	147	7.9%	6.5%
Computer Science	1487	4.2%	56	3.8%	2.7%	1811	5.3%	105	5.8%	4.7%
Undecided	1114	3.2%	15	1.3%	0.7%	2711	7.9%	184	6.8%	8.2%
Lineage	875	2.5%	310	35.4%	15.1%	806	2.4%	273	33.9%	12.1%
Aid	25875	73.9%	1378	5.3%	67.3%	25261	73.7%	1459	5.8%	64.8%
Non-Aid	9148	26.1%	669	7.3%	32.7%	9035	26.3%	791	8.8%	35.2%
One Athletes	291	0.8%	223	76.6%	10.9%	279	0.8%	224	80.3%	10.0%
										0.0%
Disadv - Staff	3061	8.7%	305	10.0%	14.9%	3114	9.1%	311	10.0%	13.8%
Fee Waived	5730	16.4%	283	4.9%	13.8%	7815	22.8%	415	5.3%	18.4%
US Citizens	27183	77.6%	1777	6.5%	86.8%	26740	78.0%	1953	7.3%	86.8%
Permanent Res	1423	4.1%	60	4.2%	2.9%	1360	4.0%	64	4.7%	2.8%
Internat'l Citizens	6417	18.3%	210	3.3%	10.3%	6196	18.1%	233	3.8%	10.4%
US/Dual Citizens	1989	5.7%	147	7.4%	7.2%	2025	5.9%	168	8.3%	7.5%
Old Methodology - App and Scores										
Asian American	7133	20.4%	400	5.6%	19.5%	7679	22.4%	437	5.7%	19.4%
African American	3440	9.8%	233	6.8%	11.4%	3469	10.1%	260	7.5%	11.6%
Hispanic American	1617	4.6%	96	5.9%	4.7%	1643	4.8%	117	7.1%	5.2%
Mexican American	1553	4.4%	84	5.4%	4.1%	1609	4.7%	119	7.4%	5.3%
Native American	356	1.0%	30	8.4%	1.5%	361	1.1%	30	8.3%	1.3%
Puerto Rican	344	1.0%	33	9.6%	1.6%	385	1.1%	34	8.8%	1.5%
Other	1	0.0%	0	0.0%	0.0%	0	0.0%	0	0.0%	0.0%
New Methodolgy - App Only										
Asian American	7244	20.7%	407	5.6%	19.9%	7805	22.8%	447	5.7%	19.9%
African American	3439	9.8%	233	6.8%	11.4%	3468	10.1%	260	7.5%	11.6%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	299	7.3%	13.3%
Native American	685	2.0%	45	6.6%	2.2%	555	1.6%	32	5.8%	1.4%
Native Hawaiian	109	0.3%	11	10.1%	0.5%	150	0.4%	11	7.3%	0.5%
Multi-Racial	4240	12.1%	313	7.4%	15.3%	4357	12.7%	344	7.9%	15.3%
IPEDS - App Only										
Asian American	6138	17.5%	322	5.2%	15.7%	6643	19.4%	366	5.5%	16.3%
African American	2688	7.7%	172	6.4%	8.4%	2688	7.8%	190	7.1%	8.4%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	299	7.3%	13.3%
Native American	90	0.3%	8	8.9%	0.4%	102	0.3%	5	4.9%	0.2%
Native Hawaiian	24	0.1%	7	29.2%	0.3%	45	0.1%	5	11.1%	0.2%
Multiracial	1528	4.4%	131	8.6%	6.4%	1550	4.5%	133	8.6%	5.9%

Date: 3/14/2014

Class of 2018													
Docket Lop List													
Admit Type													
PR & EA													
Admits													
Overview	%TOT	LOPS	LOPS	Admits*	% Total	Ad Dots	% Total	Ad Stars	% Total	Lopmes	% Total	Total	Total
A	113	5%	11.9	12	43	13	12%	17	15%	40	35%	0%	113
B	137	6%	14.4	14	42	7	5%	18	13%	70	51%	0%	137
C	133	6%	14.0	14	52	20	15%	13	10%	48	36%	0%	133
D	119	5%	12.5	13	52	10	8%	9	8%	48	40%	0%	119
E	106	5%	11.1	11	31	7	7%	13	12%	55	52%	0%	106
F	99	4%	10.4	10	42	7	7%	8	8%	42	42%	0%	99
G	95	4%	10.0	10	43	6	6%	7	7%	39	41%	0%	95
H	99	4%	10.4	10	46	20	20%	8	8%	25	25%	0%	99
I	109	5%	11.5	11	73	12	11%	5	5%	19	17%	0%	109
J	85	4%	8.9	9	28	3	4%	4	5%	50	59%	0%	85
K	71	3%	7.5	7	41	3	4%	7	10%	20	28%	0%	71
L	91	4%	9.6	10	43	4	4%	9	10%	35	38%	0%	91
N	115	5%	12.1	12	66	3	3%	10	9%	36	31%	0%	115
P	229	10%	24.1	24	181	17	7%	1	0%	30	13%	0%	229
R	100	4%	10.5	11	46	11	11%	16	16%	27	27%	0%	100
S	98	4%	10.3	10	53	3	3%	3	3%	39	40%	0%	98
T	124	6%	13.0	13	76	7	6%	9	7%	32	26%	0%	124
U	109	5%	11.5	11	52	11	10%	16	15%	30	28%	0%	109
V	112	5%	11.8	12	34	6	5%	21	19%	51	46%	0%	112
Z	93	4%	9.8	10	46	3	3%	10	11%	34	37%	0%	93
TOTAL	2237	100%	235	235	1090	173	8%	204	9%	770	34%	0	2237
minus	2237												
2002 target													
235 lops													
NB: 13 Defers and Not Comings are NOT included													
* Includes an estimated +20 for review													
* Numbers do NOT include any defers or not comings													

Date: 3/14/2014

DOCKETS - CLASS OF 2017 vs 2018										
	2017	Admits	Ad Rate	Matrics	Yield	2018	% change	Admits	Ad Rate	Def/NC
A	1788	101	5.6%	76	75.2%	1727	-3.4%	113	6.5%	0
B	2113	115	5.4%	91	79.1%	2037	-3.6%	141	6.9%	4
C	2231	124	5.6%	84	67.7%	2220	-0.5%	133	6.0%	0
D	1755	95	5.4%	73	76.8%	1775	1.1%	119	6.7%	0
E	1686	105	6.2%	88	83.8%	1607	-4.7%	106	6.6%	0
F	2089	92	4.4%	76	82.6%	1976	-5.4%	100	5.1%	1
G	1732	92	5.3%	81	88.0%	1710	-1.3%	95	5.6%	0
H	1798	94	5.2%	59	62.8%	1800	0.1%	100	5.6%	1
I	1740	98	5.6%	73	74.5%	1815	4.3%	109	6.0%	0
J	1338	74	5.5%	57	77.0%	1428	6.7%	87	6.1%	2
K	1022	68	6.7%	61	89.7%	957	-6.4%	71	7.4%	0
L	1108	95	8.6%	81	85.3%	1025	-7.5%	92	9.0%	1
N	1425	114	8.0%	103	90.4%	1389	-2.5%	116	8.4%	1
P	1613	204	12.6%	177	86.8%	1560	-3.3%	230	14.7%	1
R	1027	84	8.2%	75	89.3%	970	-5.6%	100	10.3%	0
S	1451	83	5.7%	67	80.7%	1487	2.5%	98	6.6%	0
T	1150	121	10.5%	100	82.6%	1086	-5.6%	124	11.4%	0
U	1845	86	4.7%	66	76.7%	1845	0.0%	109	5.9%	0
V	4317	116	2.7%	103	88.8%	4028	-6.7%	114	2.8%	2
Z	1795	86	4.8%	68	79.1%	1854	3.3%	93	5.0%	0
TOTAL	35023	2047	5.8%	1659	81.0%	34296	-2.1%	2250	6.6%	13

3/14/2014



APPLICANTS 2017 vs 2018													
	Class of 2017					Class of 2018							
	Overall		NLNA			Overall		NLNA					
	Apps	Adms	Rate	%Adms		Apps	Adms	Rate	%Adms		Apps	Adms	%Adms
Total	35023	2047	5.8%	100.0%		34296	2250	6.6%	100.0%		33214	1759	5.3%
Old Methodology - App and Scores													
Asian American	7133	400	5.6%	19.5%		7679	437	5.7%	19.4%		7588	394	5.2%
African American	3440	233	6.8%	11.4%		3469	260	7.5%	11.6%		3402	229	6.7%
Hispanic American	3514	213	6.1%	10.4%		3637	270	7.4%	12.0%		3578	252	7.0%
Native American	356	30	8.4%	1.5%		361	30	8.3%	1.3%		355	28	7.9%
Other	1	0	0.0%	0.0%		0	0	0.0%	0.0%		0	0	0.0%
White/Unknown	14162	961	6.8%	46.9%		12954	1020	7.9%	45.3%		12142	656	5.4%
New Methodology - App Only													
Asian American	7244	407	5.5%	19.5%		7805	447	5.7%	19.9%		7711	402	5.2%
African American	3439	233	6.8%	11.4%		3468	260	7.5%	11.6%		3401	229	6.7%
Hispanic American	3969	235	5.4%	10.4%		4117	299	7.3%	13.3%		4045	277	6.8%
Native American	685	45	6.6%	2.2%		555	32	5.8%	1.4%		545	28	5.1%
Native Hawaiian	109	11	10.1%	0.5%		150	11	7.3%	0.5%		146	9	6.2%
Multi-Racial	4240	313	7.4%	15.3%		4357	344	7.9%	15.3%		4234	299	7.1%
White/Unknown	17813	1244	7.0%	60.8%		16718	1334	10.3%	59.3%		15797	931	5.9%
IPEDS - App Only													
Asian American	6138	322	5.2%	15.7%		6643	365	5.5%	16.2%		6598	337	5.1%
African American	2688	172	6.4%	8.4%		2688	190	7.1%	8.4%		2648	172	6.5%
Hispanic American	3969	235	5.9%	11.5%		4117	299	7.3%	13.3%		4045	277	6.8%
Native American	90	8	8.9%	0.4%		102	5	4.9%	0.2%		101	5	5.0%
Native Hawaiian	24	7	29.2%	0.3%		45	5	11.1%	0.2%		44	4	9.1%
Multiracial	1528	131	8.6%	6.4%		1550	133	8.6%	5.9%		1486	108	7.3%
White/Unknown	14169	962	6.8%	47.0%		12955	1020	7.9%	45.3%		12143	656	5.4%

Date: 3/14/2014





**From:** McGrath, Marlyn [/O=HARVARD-FAS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=MMCG]  
**Sent:** Monday, March 17, 2014 11:36:20 PM  
**To:** Yong, Elizabeth  
**CC:** Fitzsimmons, William; Donahue, Sally  
**Subject:** Re: 0317 stats  
**Attachments:** nlna0317.pdf; 1pager0317.pdf

Excellent to have. Thank you!

On Mar 17, 2014, at 7:04 PM, Yong, Elizabeth <[yong@fas.harvard.edu](mailto:yong@fas.harvard.edu)> wrote:

WRF, MEM, SCD,

One pager and nlna numbers attached. I've also sent copies to OAP's printer.

EBY

APPLICANTS 2017 vs 2018										
	Class of 2017					Class of 2018				
	Apps	%Apps	Adms	Rate	%Adms	Apps	%Apps	Adms	Rate	%Adms
Total	35023	100.0%	2047	5.8%	100.0%	34296	100.0%	2053	6.0%	100.0%
Male	18326	52.3%	1092	6.0%	53.3%	18012	52.5%	1127	6.3%	54.9%
Female	16697	47.7%	955	5.7%	46.7%	16284	47.5%	926	5.7%	45.1%
Central	609	1.7%	48	7.9%	2.3%	609	1.8%	41	6.7%	2.0%
Mid-Atlantic	6173	17.6%	465	7.5%	22.7%	6104	17.8%	465	7.6%	22.6%
Mountain	1231	3.5%	65	5.3%	3.2%	1277	3.7%	70	5.5%	3.4%
Mid-West	3589	10.2%	178	5.0%	8.7%	3381	9.9%	166	4.9%	8.1%
New England	3466	9.9%	354	10.2%	17.3%	3288	9.6%	353	10.7%	17.2%
Pacific	6705	19.1%	366	5.5%	17.9%	6572	19.2%	355	5.4%	17.3%
South	6691	19.1%	344	5.1%	16.8%	6826	19.9%	366	5.4%	17.8%
Territories	85	0.2%	8	9.4%	0.4%	78	0.2%	7	9.0%	0.3%
Canada	695	2.0%	39	5.6%	1.9%	697	2.0%	31	4.4%	1.5%
Foreign	5779	16.5%	180	3.1%	8.8%	5464	15.9%	199	3.6%	9.7%
Social Sciences	8727	24.9%	561	6.4%	27.4%	7734	22.6%	478	6.2%	23.3%
Humanities	4404	12.6%	362	8.2%	17.7%	3742	10.9%	283	7.6%	13.8%
Biological Sciences	9329	26.6%	474	5.1%	23.2%	8664	25.3%	463	5.3%	22.6%
Physical Sciences	2478	7.1%	181	7.3%	8.8%	2299	6.7%	150	6.5%	7.3%
Engineering	5451	15.6%	255	4.7%	12.5%	5485	16.0%	277	5.1%	13.5%
Math	2033	5.8%	143	7.0%	7.0%	1850	5.4%	136	7.4%	6.6%
Computer Science	1487	4.2%	56	3.8%	2.7%	1811	5.3%	94	5.2%	4.6%
Undecided	1114	3.2%	15	1.3%	0.7%	2711	7.9%	172	6.3%	8.4%
Lineage	875	2.5%	310	35.4%	15.1%	806	2.4%	261	32.4%	12.7%
Aid	25875	73.9%	1378	5.3%	67.3%	25261	73.7%	1324	5.2%	64.5%
Non-Aid	9148	26.1%	669	7.3%	32.7%	9035	26.3%	729	8.1%	35.5%
One Athletes	291	0.8%	223	76.6%	10.9%	279	0.8%	224	80.3%	10.9%
Disadv - Staff	3061	8.7%	305	10.0%	14.9%	3114	9.1%	283	9.1%	13.8%
Fee Waived	5730	16.4%	283	4.9%	13.8%	7815	22.8%	373	4.8%	18.2%
US Citizens	27183	77.6%	1777	6.5%	86.8%	26740	78.0%	1780	6.7%	86.7%
Permanent Res	1423	4.1%	60	4.2%	2.9%	1360	4.0%	59	4.3%	2.9%
Internat'l Citizens	6417	18.3%	210	3.3%	10.3%	6196	18.1%	214	3.5%	10.4%
US/Dual Citizens	1989	5.7%	147	7.4%	7.2%	2025	5.9%	159	7.9%	7.7%
Old Methodology - App and Scores										
Asian American	7133	20.4%	400	5.6%	19.5%	7679	22.4%	398	5.2%	19.4%
African American	3440	9.8%	233	6.8%	11.4%	3469	10.1%	243	7.0%	11.8%
Hispanic American	1617	4.6%	96	5.9%	4.7%	1643	4.8%	103	6.3%	5.0%
Mexican American	1553	4.4%	84	5.4%	4.1%	1609	4.7%	108	6.7%	5.3%
Native American	356	1.0%	30	8.4%	1.5%	361	1.1%	28	7.8%	1.4%
Puerto Rican	344	1.0%	33	9.6%	1.6%	385	1.1%	31	8.1%	1.5%
Other	1	0.0%	0	0.0%	0.0%	0	0.0%	0	0.0%	0.0%
New Methodolgy - App Only										
Asian American	7244	20.7%	407	5.6%	19.9%	7805	22.8%	407	5.2%	19.8%
African American	3439	9.8%	233	6.8%	11.4%	3468	10.1%	243	7.0%	11.8%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	269	6.5%	13.1%
Native American	685	2.0%	45	6.6%	2.2%	555	1.6%	29	5.2%	1.4%
Native Hawaiian	109	0.3%	11	10.1%	0.5%	150	0.4%	10	6.7%	0.5%
Multi-Racial	4240	12.1%	313	7.4%	15.3%	4357	12.7%	314	7.2%	15.3%
IPEDS - App Only										
Asian American	6138	17.5%	322	5.2%	15.7%	6643	19.4%	329	5.0%	16.0%
African American	2688	7.7%	172	6.4%	8.4%	2688	7.8%	179	6.7%	8.7%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	269	6.5%	13.1%
Native American	90	0.3%	8	8.9%	0.4%	102	0.3%	5	4.9%	0.2%
Native Hawaiian	24	0.1%	7	29.2%	0.3%	45	0.1%	4	8.9%	0.2%
Multiracial	1528	4.4%	131	8.6%	6.4%	1550	4.5%	125	8.1%	6.1%

Date: 3/17/2014

APPLICANTS 2017 vs 2018																
	Class of 2017						Class of 2018						NLNA			
	Overall			NLNA			Overall			NLNA			NLNA			
	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms
Total	35023	2047	5.8%	100.0%	33869	1526	4.5%	100.0%	34296	2053	6.0%	100.0%	33214	1574	4.7%	100.0%
Old Methodology - App and Scores																
Asian American	7133	400	5.6%	19.5%	7021	347	4.9%	22.7%	7679	398	5.2%	19.4%	7588	355	4.7%	22.6%
African American	3440	233	6.8%	11.4%	3363	190	5.6%	12.5%	3469	243	7.0%	11.8%	3402	212	6.2%	13.5%
Hispanic American	3514	213	6.1%	10.4%	3460	187	5.4%	12.3%	3637	242	6.7%	11.8%	3578	226	6.3%	14.4%
Native American	356	30	8.4%	1.5%	345	26	7.5%	1.7%	361	28	7.8%	1.4%	355	26	7.3%	1.7%
Other	1	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0	0.0%	0.0%
White/Unknown	14162	961	6.8%	46.9%	13322	599	4.5%	39.3%	12954	928	7.2%	45.2%	12142	574	4.7%	36.5%
New Methodology - App Only																
Asian American	7244	407	5.5%	19.5%	7131	353	5.0%	23.1%	7805	407	5.2%	19.8%	7711	362	4.7%	23.0%
African American	3439	233	6.8%	11.4%	3362	190	5.7%	12.5%	3468	243	7.0%	11.8%	3401	212	6.2%	13.5%
Hispanic American	3969	235	5.4%	10.4%	3909	206	5.3%	13.5%	4117	269	6.5%	13.1%	4045	249	6.2%	15.8%
Native American	685	45	6.6%	2.2%	670	39	5.8%	2.6%	555	29	5.2%	1.4%	545	25	4.6%	1.6%
Native Hawaiian	109	11	10.1%	0.5%	106	11	10.4%	0.7%	150	10	6.7%	0.5%	146	8	5.5%	0.5%
Multi-Racial	4240	313	7.4%	15.3%	4094	236	5.8%	15.5%	4357	314	7.2%	15.3%	4234	271	6.4%	17.2%
White/Unknown	17813	1244	7.0%	60.8%	16834	808	4.8%	52.9%	16718	1214	9.4%	59.1%	15797	823	5.2%	52.3%
IPEDS - App Only																
Asian American	6138	322	5.2%	15.7%	6094	303	5.0%	19.9%	6643	329	5.0%	16.0%	6598	301	4.6%	19.1%
African American	2688	172	6.4%	8.4%	2633	143	5.4%	9.4%	2688	179	6.7%	8.7%	2648	161	6.1%	10.2%
Hispanic American	3969	235	5.9%	11.5%	3909	206	5.3%	13.5%	4117	269	6.5%	13.1%	4045	249	6.2%	15.8%
Native American	90	8	8.9%	0.4%	88	7	8.0%	0.5%	102	5	4.9%	0.2%	101	5	5.0%	0.3%
Native Hawaiian	24	7	29.2%	0.3%	24	7	29.2%	0.5%	45	4	8.9%	0.2%	44	3	6.8%	0.2%
Multiracial	1528	131	8.6%	6.4%	1435	83	5.8%	5.4%	1550	125	8.1%	6.1%	1486	100	6.7%	6.4%
White/Unknown	14169	962	6.8%	47.0%	13329	600	4.5%	39.3%	12955	928	7.2%	45.2%	12143	574	4.7%	36.5%

Date: 3/17/2014



P167

SFFA v. Harvard

APPLICANTS 2017 vs 2018										
	Class of 2017					Class of 2018				
	Apps	%Apps	Adms	Rate	%Adms	Apps	%Apps	Adms	Rate	%Adms
Total	35023	100.0%	2047	5.8%	100.0%	34296	100.0%	2024	5.9%	100.0%
Male	18326	52.3%	1092	6.0%	53.3%	18012	52.5%	1114	6.2%	55.0%
Female	16697	47.7%	955	5.7%	46.7%	16284	47.5%	910	5.6%	45.0%
Central	609	1.7%	48	7.9%	2.3%	609	1.8%	41	6.7%	2.0%
Mid-Atlantic	6173	17.6%	465	7.5%	22.7%	6104	17.8%	461	7.6%	22.8%
Mountain	1231	3.5%	65	5.3%	3.2%	1277	3.7%	70	5.5%	3.5%
Mid-West	3589	10.2%	178	5.0%	8.7%	3381	9.9%	166	4.9%	8.2%
New England	3466	9.9%	354	10.2%	17.3%	3288	9.6%	348	10.6%	17.2%
Pacific	6705	19.1%	366	5.5%	17.9%	6572	19.2%	355	5.4%	17.5%
South	6691	19.1%	344	5.1%	16.8%	6826	19.9%	351	5.1%	17.3%
Territories	85	0.2%	8	9.4%	0.4%	78	0.2%	7	9.0%	0.3%
Canada	695	2.0%	39	5.6%	1.9%	697	2.0%	34	4.9%	1.7%
Foreign	5779	16.5%	180	3.1%	8.8%	5464	15.9%	191	3.5%	9.4%
Social Sciences	8727	24.9%	561	6.4%	27.4%	7734	22.6%	473	6.1%	23.4%
Humanities	4404	12.6%	362	8.2%	17.7%	3742	10.9%	276	7.4%	13.6%
Biological Sciences	9329	26.6%	474	5.1%	23.2%	8664	25.3%	458	5.3%	22.6%
Physical Sciences	2478	7.1%	181	7.3%	8.8%	2299	6.7%	150	6.5%	7.4%
Engineering	5451	15.6%	255	4.7%	12.5%	5485	16.0%	273	5.0%	13.5%
Math	2033	5.8%	143	7.0%	7.0%	1850	5.4%	134	7.2%	6.6%
Computer Science	1487	4.2%	56	3.8%	2.7%	1811	5.3%	90	5.0%	4.4%
Undecided	1114	3.2%	15	1.3%	0.7%	2711	7.9%	70	2.6%	3.5%
Lineage	875	2.5%	310	35.4%	15.1%	806	2.4%	261	32.4%	12.9%
Aid	25875	73.9%	1378	5.3%	67.3%	25261	73.7%	1309	5.2%	64.7%
Non-Aid	9148	26.1%	669	7.3%	32.7%	9035	26.3%	719	8.0%	35.5%
One Athletes	291	0.8%	223	76.6%	10.9%	279	0.8%	224	80.3%	11.1%
Disadv - Staff	3061	8.7%	305	10.0%	14.9%	3114	9.1%	278	8.9%	13.7%
Fee Waived	5730	16.4%	283	4.9%	13.8%	7815	22.8%	368	4.7%	18.2%
US Citizens	27183	77.6%	1777	6.5%	86.8%	26740	78.0%	1753	6.6%	86.6%
Permanent Res	1423	4.1%	60	4.2%	2.9%	1360	4.0%	58	4.3%	2.9%
Internat'l Citizens	6417	18.3%	210	3.3%	10.3%	6196	18.1%	213	3.4%	10.5%
US/Dual Citizens	1989	5.7%	147	7.4%	7.2%	2025	5.9%	156	7.7%	7.7%
Old Methodology - App and Scores										
Asian American	7133	20.4%	400	5.6%	19.5%	7679	22.4%	390	5.1%	19.3%
African American	3440	9.8%	233	6.8%	11.4%	3469	10.1%	240	6.9%	11.9%
Hispanic American	1617	4.6%	96	5.9%	4.7%	1643	4.8%	102	6.2%	5.0%
Mexican American	1553	4.4%	84	5.4%	4.1%	1609	4.7%	102	6.3%	5.0%
Native American	356	1.0%	30	8.4%	1.5%	361	1.1%	28	7.8%	1.4%
Puerto Rican	344	1.0%	33	9.6%	1.6%	385	1.1%	31	8.1%	1.5%
Other	1	0.0%	0	0.0%	0.0%	0	0.0%	0	0.0%	0.0%
New Methodolgy - App Only										
Asian American	7244	20.7%	407	5.6%	19.9%	7805	22.8%	399	5.1%	19.7%
African American	3439	9.8%	233	6.8%	11.4%	3468	10.1%	240	6.9%	11.9%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	262	6.4%	12.9%
Native American	685	2.0%	45	6.6%	2.2%	555	1.6%	29	5.2%	1.4%
Native Hawaiian	109	0.3%	11	10.1%	0.5%	150	0.4%	10	6.7%	0.5%
Multi-Racial	4240	12.1%	313	7.4%	15.3%	4357	12.7%	305	7.0%	15.1%
IPEDS - App Only										
Asian American	6138	17.5%	322	5.2%	15.7%	6643	19.4%	323	4.9%	16.0%
African American	2688	7.7%	172	6.4%	8.4%	2688	7.8%	178	6.6%	8.8%
Hispanic American	3969	11.3%	235	5.9%	11.5%	4117	12.0%	262	6.4%	12.9%
Native American	90	0.3%	8	8.9%	0.4%	102	0.3%	5	4.9%	0.2%
Native Hawaiian	24	0.1%	7	29.2%	0.3%	45	0.1%	4	8.9%	0.2%
Multiracial	1528	4.4%	131	8.6%	6.4%	1550	4.5%	121	7.8%	6.0%

Date: 3/18/2014

APPLICANTS 2017 vs 2018																
	Class of 2017								Class of 2018							
	Overall				NLNA				Overall				NLNA			
	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms	Apps	Adms	Rate	%Adms
Total	35023	2047	5.8%	100.0%	33869	1526	4.5%	100.0%	34296	2024	5.9%	100.0%	33214	1545	4.7%	100.0%
Old Methodology - App and Scores																
Asian American	7133	400	5.6%	19.5%	7021	347	4.9%	22.7%	7679	390	5.1%	19.3%	7588	347	4.6%	22.5%
African American	3440	233	6.8%	11.4%	3363	190	5.6%	12.5%	3469	240	6.9%	11.9%	3402	209	6.1%	13.5%
Hispanic American	3514	213	6.1%	10.4%	3460	187	5.4%	12.3%	3637	235	6.5%	11.6%	3578	219	6.1%	14.2%
Native American	356	30	8.4%	1.5%	345	26	7.5%	1.7%	361	28	7.8%	1.4%	355	26	7.3%	1.7%
Other	1	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0	0.0%	0.0%	0	0	0.0%	0.0%
White/Unknown	14162	961	6.8%	46.9%	13322	599	4.5%	39.3%	12954	918	7.1%	45.4%	12142	564	4.6%	36.5%
New Methodolgy - App Only																
Asian American	7244	407	5.5%	19.5%	7131	353	5.0%	23.1%	7805	399	5.1%	19.7%	7711	354	4.6%	22.9%
African American	3439	233	6.8%	11.4%	3362	190	5.7%	12.5%	3468	240	6.9%	11.9%	3401	209	6.1%	13.5%
Hispanic American	3969	235	5.4%	10.4%	3909	206	5.3%	13.5%	4117	262	6.4%	12.9%	4045	242	6.0%	15.7%
Native American	685	45	6.6%	2.2%	670	39	5.8%	2.6%	555	29	5.2%	1.4%	545	25	4.6%	1.6%
Native Hawaiian	109	11	10.1%	0.5%	106	11	10.4%	0.7%	150	10	6.7%	0.5%	146	8	5.5%	0.5%
Multi-Racial	4240	313	7.4%	15.3%	4094	236	5.8%	15.5%	4357	305	7.0%	15.1%	4234	262	6.2%	17.0%
White/Unknown	17813	1244	7.0%	60.8%	16834	808	4.8%	52.9%	16718	1195	9.2%	59.0%	15797	804	5.1%	52.0%
IPEDS - App Only																
Asian American	6138	322	5.2%	15.7%	6094	303	5.0%	19.9%	6643	323	4.9%	16.0%	6598	295	4.5%	19.1%
African American	2688	172	6.4%	8.4%	2633	143	5.4%	9.4%	2688	178	6.6%	8.8%	2648	160	6.0%	10.4%
Hispanic American	3969	235	5.9%	11.5%	3909	206	5.3%	13.5%	4117	262	6.4%	12.9%	4045	242	6.0%	15.7%
Native American	90	8	8.9%	0.4%	88	7	8.0%	0.5%	102	5	4.9%	0.2%	101	5	5.0%	0.3%
Native Hawaiian	24	7	29.2%	0.3%	24	7	29.2%	0.5%	45	4	8.9%	0.2%	44	3	6.8%	0.2%
Multiracial	1528	131	8.6%	6.4%	1435	83	5.8%	5.4%	1550	121	7.8%	6.0%	1486	96	6.5%	6.2%
White/Unknown	14169	962	6.8%	47.0%	13329	600	4.5%	39.3%	12955	918	7.1%	45.4%	12143	564	4.6%	36.5%

Date: 3/18/2014

Docket Lop List		Docket: K		Chair: SWH			
Name		Page	Staff	Votes	LIN	ETH	ATH (HFA) New Action
Redacted: PII/SPI	(7 out)	418	TMR	4			
		76	MFE	4			(blank)
		130	MFE	4			↓
		233	GSC	4			
		285	GSC	4		X	
		29	TMR	3	X	X	
		73	TMR	3			(inc. 2 1/2 votes)
							(inc. 2 1/2 votes)
		342	MFE	2		X	
		329	GSC	2		X	(inc. 2 1/2 votes)
		329	GSC	2		X	(inc. 2 1/2 votes)
		273	MFE	2			(inc. 4 1/2 votes)

3/15/2013 - 3/19/2013





## Report of the Committee to Study the Importance of Student Body Diversity

The mission of Harvard College is to educate the citizenry and citizen leaders for our society. We take this mission very seriously and firmly believe it is accomplished through the transformative power of a liberal arts and sciences education.

That transformation begins in the classroom with exposure to new ideas, new ways of understanding and new ways of knowing. It is further fostered through a diverse residential environment where our students live with peers who are studying different subjects, who come from different walks of life, and have different identities. This exposure to difference not only deepens a student's intellectual transformation, but also creates the conditions for a social transformation as students begin to question who they are and how they relate to others. From their experiences in the classroom and in their residences, we hope students will experience personal transformation as they begin to fashion the patterns for the rest of their lives; to reflect on what they will do with their lives; to develop their values and interests; and to begin to understand how they can best use their talents to serve the world.

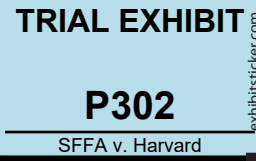
It is with these sentiments that the Dean of Harvard College opens nearly every meeting he chairs. Echoing the fundamental principles upon which Harvard College was founded more than 350 years ago, these words highlight the importance of development and transformation, of growth and change, and of an educational experience in which challenge and confrontation are essential counterparts to collaboration and cooperation. They also reflect the central role that student body diversity plays in the achievement of our mission: the education of our students through exposure to novel ideas; to people whose backgrounds, points of view and life experiences are profoundly different from their own; to innovative pedagogy; and to diverse educators – at the front of our classrooms and in the seats, at lectures, in dining halls, in residences, and in the thousands of other structured and informal interactions that make up a Harvard education.

### INTRODUCTION

Through this Committee's work, we have sought to examine and restate the benefits that the College derives – as an institution, and for its students and faculty – from student body diversity of all kinds, including racial diversity.

The question before us is one the Supreme Court has asked public institutions of higher education to answer in connection with the consideration of an applicant's race in the admissions processes as one factor among many in an individualized review. In fact, we recognize that this question and these issues deserve exploration and articulation as the underlying fabric of the College's mission, derived from the basis of the liberal arts education to which Harvard has been committed since its founding.

We emphatically embrace and reaffirm the University's long-held and oft-expressed view that student body diversity – including racial diversity – is essential to our pedagogical objectives and institutional mission. Our diverse student population enhances the education of our students of all races and backgrounds and prepares them to assume leadership roles in the increasingly



## Report of the Committee to Study the Importance of Student Body Diversity

pluralistic society into which they will graduate. In our view, racial diversity is particularly fundamental to the effective education of Harvard College students. Moreover, it advances our responsibility as a leading national college to ensure, in the words of Justice Sandra Day O'Connor, that "the path to leadership [is] visibly open to talented and qualified individuals of every race and ethnicity."<sup>1</sup>

In the course of our work, we reached out to a wide range of people throughout the College and the University more broadly. Those consulted include the Dean of Admissions, the Dean of Freshmen, the Dean of Student Life, the Educational Policy Committee, the Residential House Masters, the Standing Committee on Admissions and Financial Aid, and the Faculty Council. We also spoke with student-life professionals working directly in the fields of equity, diversity, and inclusion, both in the College administration and in the residential Houses. We sought and received input from teaching faculty, athletic coaches, advisors of extra-curricular activities, and, of course, students and alumni. Our work also benefited from discussions with colleagues at other institutions of higher education and was informed by leading voices throughout Harvard's history.

By contrast, in two sections of this report (at pp. 13 and 21), we include references to specific Harvard alumni because we believe that their experiences or public statements are particularly on point. We explicitly note that, as indicated in the citations contained in the footnotes, the committee is relying entirely on public sources for this information, and has not spoken with these individuals. We are not intending to suggest that they have in any way reviewed this report or endorsed any of its contents.

This Report begins with a brief synopsis of how Harvard has valued and fostered student body diversity as a central part of its mission. Against this backdrop, the Report then examines the ways in which diversity in the student body helps catalyze the intellectual, social, and personal transformations that are central to Harvard's liberal arts and sciences education. We then consider the distinctive role that institutions of higher education like Harvard College hold in American society and the particular responsibilities that accompany that role.

### **I. DIVERSITY AND THE MISSION OF HARVARD COLLEGE**

In 1996, Harvard's President, Neil Rudenstine, submitted his President's Report to the Board of Overseers, captioned "Diversity and Learning".<sup>2</sup> President Rudenstine, in an in-depth analysis which we endorse and attach as Appendix A to this Report, sought to "remind [us] that student diversity has, for more than a century, been valued for its capacity to contribute powerfully to the process of learning and to the creation of an effective educational environment."<sup>3</sup>

<sup>1</sup> *Grutter v. Bollinger*, 539 U.S. 306, 332 (2003).

<sup>2</sup> As explained in a sidebar to the Harvard Magazine excerpt of President Rudenstine's Report: "'Up until the last two or three years, we've been able to count on a fair level of understanding as to why diversity was important and good,' says Harvard president Neil L. Rudenstine. 'That's been more directly challenged of late.' Hence his decision to devote his most recent report to the Board of Overseers to 'Diversity and Learning.' 'People have been declaring themselves on the issue,' Rudenstine points out. 'If you don't say what you think about it now, you're really not doing your educational duty.'"

<sup>3</sup> Rudenstine, Neil, *The President's Report: 1993-1995* (Harvard Univ., 1995), 2.

## Report of the Committee to Study the Importance of Student Body Diversity

In this section, we highlight only some of Harvard's history; we have not attempted to set out the full history which both is beyond the scope of our work and has been set forth much more comprehensively by others. We recognize that Harvard's history recounts neither a single nor a simple story about diversity and inclusion. It is a complex narrative made up of the actions, understandings, and beliefs of individuals – some products of their time, some ahead of their time, and some perhaps behind their time. We recognize that our aspirations always have run ahead of our reality. But we also believe that a fair reading of Harvard's history reveals a process across time in which the College has developed a recognition and appreciation of the excellence that comes only from including and embracing multiple sources of talent.

As President Rudenstine recognized in his Report, and as has become only clearer in the twenty years hence, diversity at Harvard is “not an end in itself, or a pleasant but dispensable accessory.” Rather, “[i]t is the substance from which much human learning, understanding, and wisdom derive. It offers one of the most powerful ways of creating the intellectual energy and robustness that lead to greater knowledge, as well as the tolerance and mutual respect that are so essential to the maintenance of our civic society.”<sup>4</sup> The exposure to innovative ideas and novel ways of thinking that is at the heart of Harvard's liberal arts and sciences education is deepened immeasurably by close contact with people whose lives and experiences animate those ideas. It is not enough, Harvard has long recognized, to read about or be taught the opinions of others on a given subject. As John Stuart Mill observed centuries ago:

That is not the way to do justice to the arguments, or bring them into real contact with [one's] own mind. [One] must be able to hear them from persons who actually believe them; who defend them in earnest, and do their very utmost for them. He must know them in their most plausible and persuasive form; he must feel the whole force of the difficulty which the true view of the subject has to encounter and dispose of . . . .”<sup>5</sup>

The first Charter of the President and Fellows of Harvard College, authorized by Governor Thomas Dudley in 1650, identifies as the animating purpose of the institution “the education of the English and Indian youth of this country.”<sup>6</sup> In these words from Harvard's foundational moments, we find the seed that has flourished as Harvard has expanded its efforts to become more inclusive of all forms of diversity.

Through the first several centuries of Harvard College's history, student body diversity was limited by such factors as geography, access to secondary education, and prevailing attitudes. Comparatively few young men finished high school, and even fewer of those sought to pursue post-secondary education. Of that limited set, only a small portion lived close enough to Harvard, or had the means to travel, to attend. A large pool of strongly qualified applicants from which the College could select the student body did not exist for much of Harvard College's early history.

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<sup>4</sup> Rudenstine, 53.

<sup>5</sup> Rudenstine 4, quoting *On Liberty* (1859), pt. II.

<sup>6</sup> <http://library.harvard.edu/university-archives/using-the-collections/online-resources/charter-of-1650>.



## Report of the Committee to Study the Importance of Student Body Diversity

Harvard's transformation from a regional college into a national university (a necessary step toward the education we offer today) began in the middle of the 19<sup>th</sup> Century. Observing a nation rent by regional differences in the years leading up to the Civil War, University President C.C. Felton argued in his annual report to the Board of Overseers for the academic year 1859-60 that to bring together students "from different and distant States must tend powerfully to remove prejudices, by bringing them into friendly relations . . . . Such influences are especially needed in the present disastrous condition of public affairs."<sup>7</sup>

Over the next forty years, Harvard's leaders continued to highlight the importance of diversity and to broaden its student body. Harvard President Charles William Eliot understood that diversity was, in the words of Rudenstine, "capable of shaping lifelong attitudes and habits," and "indispensable to the healthy functioning of a democratic society."<sup>8</sup> Under Eliot's presidency, Harvard developed an elective system of coursework expanding the variety and diversity of Harvard's curriculum as well as its student body. As Rudenstine expanded on these principles:

The goal was to create a more open and even disputatious university community where the zeal and zest of argument and debate would be audible and tangible. In addition, the gains in terms of tolerance, mutual understanding, and camaraderie would be profound and long-lasting. The 'collision of views' at a university is 'wholesome and profitable,' Eliot wrote. 'It promotes thought on great themes, converts passion into resolution, cultivates forbearance and mutual respect, and teaches . . . candor, moral courage, and independence of thought . . . .'<sup>9</sup>

These principles have carried forward to this day as Harvard has continued to widen its gates through greater outreach to, and broadening acceptance of, greater diversity and difference. As Harvard's current President, Drew Gilpin Faust, noted at the beginning of this academic year:

[F]or many if not most of those arriving at Harvard for the first time, this is the most varied community in which they have ever lived—perhaps ever will live. People of different races, religions, ethnicities, nationalities, political views, gender identities, sexual orientations. We celebrate these differences as an integral part of everyone's education—whether for a first year student in the College or an aspiring MD or MBA or LLM—or for a member of the faculty or staff, who themselves are always learners too.<sup>10</sup>

We have long defined the concept of "ability" broadly, and we seek out a variety of intelligences, including motivation, intellectual interests, and the capacity to make use of available opportunities. As President Rudenstine observed, "any definition of qualifications or merit that does not give considerable weight to a wide range of human qualities and capacities will not serve the goal of fairness to individual candidates (quite apart from groups) in admissions. Nor will it serve the fundamental purposes of education. The more narrow and numerical the definition of qualifications, the more likely we are to pass over (or discount) applicants – of

<sup>7</sup> Rudenstine, 5, quoting Report of the President to the Board of Overseers 1859-60, 6.

<sup>8</sup> Rudenstine, 51.

<sup>9</sup> Rudenstine, 11, quoting "The Aims of the Higher Education," in *Educational Reform*, 237.

<sup>10</sup> Drew Faust, 2015 Remarks at Morning Prayers (Sept. 2, 2015), available at <http://www.harvard.edu/president/speech/2015/2015-remarks-morning-prayers>.

## Report of the Committee to Study the Importance of Student Body Diversity

many different kinds – who possess exceptional talents, attributes, and evidence of promise that are not well measured by standardized tests.”<sup>11</sup>

From the moment our students enter our gates, Harvard College is committed to encouraging them to become more intellectually inquisitive, more creative, more understanding, more tolerant, and thus more accomplished individuals in an increasingly interconnected world. 150 years ago, Harvard’s President recognized that “if he could bring together – in a single institution – young people from different backgrounds who would be educated in association with one another, and who would eventually become leaders in different parts of the nation, then that process could make a difference to the creation of unity throughout the country as a whole.”<sup>12</sup> Today, these notions are magnified a hundredfold: our students become leaders in not only different parts of the nation, but in different corners of the world, and our process can, and we believe does, help create understanding and respect beyond the borders of our campus and our nation.

Our students arrive at Harvard with their identities partially formed, shaped by racial, ethnic, social, economic, geographic, and other cultural factors, a sense of self both internally realized and externally recognized. Four years later, our students are welcomed by the President of the University to embrace an additional identity, that of membership in “the community of educated men and women”. A critical aspect of our transformational goal is to encourage this second and complementary identity, one inclusive of but not bounded by race or ethnicity, one that is sensitive to and understanding of the rich and diverse range of others’ identities, one that opens empathic windows to imagining how other identities might feel. This we aspire to do by creating contexts where students interact with “other”, with those having different realized and recognized identities, and by providing academic, residential, and extra-curricular opportunities for these interactions.

If the only contact students had with others’ lived experiences was on the page or on the screen, it would be far too easy to take short cuts in the exercise of empathy, to keep a safe distance from the ideas, and the people, that might make one uncomfortable. By putting those people and those ideas on the other side of the seminar table – and in one’s own dormitory rooms and dining halls – we ensure that our students truly engage with other people’s experiences and points of view, that they truly develop their powers of empathy. As President Conant explained, “[t]olerance, honesty, intellectual integrity, courage, [and] friendliness are virtues not to be learned out of a printed volume but from the book of experience.”<sup>13</sup>

The role played by racial diversity in particular in the development of this capacity for empathy cannot be overstated. Even a cursory review of the newspapers for the last year makes clear that race remains a central element of American society, and of the identity of every American.

Needless to say, we aspire to the day when negative life experiences attributable to differences in racial and ethnic heritage are far less common. But as current events across the nation continue to demonstrate, that day has not yet arrived, and we would fail in a foundational aspect of our

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<sup>11</sup> Rudenstine, 50.

<sup>12</sup> Rudenstine, 6.

<sup>13</sup> Rudenstine, 26, quoting Report of the President to the Board of Overseers, 1950-51, 15.

## Report of the Committee to Study the Importance of Student Body Diversity

mission if we disregarded that fact as we prepare our students for such a complex and heterogeneous society.

### Harvard's Statements in Court Proceedings

Given Harvard's long history of careful thought on the subject of student body diversity, it is no surprise that when the issue arose in the courts in the 1978 case of *Regents of the University of California v. Bakke*, Harvard took an active role in that public conversation by joining with several other universities to file a brief as *amici curiae*, or friends of the court. As Harvard and the other amici explained, "[a] primary value of the liberal education should be exposure to new and provocative points of view, at a time in the student's life when he or she has recently left home and is eager for new intellectual experiences."<sup>14</sup>

Twenty-five years later, we reiterated this view to the Supreme Court as it revisited, and reaffirmed, its analysis in the case of *Grutter v. Bollinger*: "Diversity helps students confront perspectives other than their own and thus to think more rigorously and imaginatively; it helps students learn to relate better to people from different backgrounds; it helps students become better citizens. The educational benefits of student diversity include the discovery that there is a broad range of viewpoint and experience within any given minority community – as well as learning that certain imagined differences at times turn out to be only skin deep."<sup>15</sup>

In *Fisher v. University of Texas (Fisher I)*, we explained to the Supreme Court our deeply held conviction that "[d]iversity encourages students to question their own assumptions, to test received truths, and to appreciate the spectacular complexity of the modern world. This larger understanding prepares [our] graduates to be active engaged citizens wrestling with the pressing challenges of the day, to pursue innovation in every field of discovery, and to expand humanity's learning and accomplishment."<sup>16</sup> These principles have undergirded our university since its inception and continue to do so today.

And most recently, in the Supreme Court's second hearing of the *Fisher* case (*Fisher II*), we again emphasized the profound educational benefits that emerge from a diverse student body. We also explained the important post-graduation benefits that flow from our students' exposure to people of different backgrounds, races, and life experiences: "The world and the nation into which Harvard's students graduate demand that those students be open and exposed to a broad array of perspectives. Whatever their field of endeavor, Harvard's graduates will have to contend with a society that is increasingly complex and influenced by developments that may originate far from their homes. To fulfill their civic and other responsibilities, Harvard's graduates cannot be blind either to the challenges facing our increasingly pluralistic country or to the unresolved racial divisions that stubbornly persist despite decades of substantial efforts to resolve them."<sup>17</sup>

<sup>14</sup> Brief for Columbia Univ. et al. as *amici curiae*, p. 12, *Regents of the Univ. of California v. Bakke*, 438 U.S. 265 (1978).

<sup>15</sup> Brief for Harvard Univ. et al. as *amici curiae*, pp. 8-9, *Grutter v. Bollinger*, 539 U.S. 306 (2003).

<sup>16</sup> Brief for Brown Univ. et al. as *amici curiae*, p. 2, *Fisher v. Univ. of Texas*, 133 S. Ct. 2411 (2013).

<sup>17</sup> Brief for Harvard Univ. as *amicus curiae*, p. 9, *Fisher v. Univ. of Texas*, No. 14-981 (Nov. 2, 2015).



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### II. THE PATH TO INTELLECTUAL TRANSFORMATION

#### A. Students' Classroom Experiences Underscore the Benefits of a Diverse Student Body

##### 1. The General Education Curriculum

Harvard's undergraduate curriculum is deliberately shaped to encourage exposure to "new ideas, new ways of understanding, and new ways of knowing." Our students choose among many possible concentrations that will lead them along distinct courses of study. We insist, however, that all Harvard College graduates complete courses in the various subject areas that constitute our General Education program. These subjects form the basis of a liberal education and prepare students to connect their educations to life outside of college. "Generally educated students need to have grappled with the very personal question of the duties and obligations, as well as the privileges, rights, and responsibilities, of civic and ethical agency in a dynamically changing world."<sup>18</sup> As the Report of the Task Force on General Education that recommended this course of study in 2007 observed:

A liberal education is useful. This does not mean that its purpose is to train students for their professions or to give them a guide to life after college. Nor does it mean instilling confidence in students by flattering the presumption that the world they are familiar with is the only one that matters. On the contrary, the aim of a liberal education is to unsettle presumptions, to defamiliarize the familiar, to reveal what is going on beneath and behind appearances, to disorient young people and to help them to find ways to re-orient themselves. A liberal education aims to accomplish these things by questioning assumptions, by inducing self-reflection, by teaching students to think critically and analytically, by exposing them to the sense of alienation produced by encounters with radically different historical moments and cultural formations and with phenomena that exceed their, and even our own, capacity fully to understand. Liberal education is vital because professional schools do not teach these things, employers do not teach them, and even most academic graduate programs do not teach them. Those institutions deliberalize students: they train them to think as professionals. A preparation in the liberal arts and sciences is crucial to the ability to think and act critically and reflectively outside the channels of a career or profession. The historical, theoretical, and relational perspectives that a liberal education provides can be a source of enlightenment and empowerment that will serve students well for the rest of their lives.<sup>19</sup>

One of the primary criteria for the introduction of new courses to Gen Ed is that they be pedagogically innovative in ways that encourage students to proactively engage their subjects, their classmates, and their instructors. The premium placed on robust engagement reinforces opportunities for students to draw on the benefits of a diverse student body.

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<sup>18</sup> Statement of Sean D. Kelly, Martignetti Professor of Philosophy, at meeting of Faculty of Arts and Sciences May 5, 2015.

<sup>19</sup> Faculty of Arts and Sciences Task Force on General Education, *Report of the Task Force on General Education*, February 2007.

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### 2. The Broader Curriculum

Harvard's commitment to unsettling its students' presumptions, about the world and about each other, is borne out outside of the Gen Ed curriculum as well. Harvard Professor Richard J. Light, the Carl H. Pforzheimer Professor of Teaching and Learning at the Graduate School of Education, conducted a substantial study of the ways that students can optimize their college experience. His findings, based on in-depth interviews with thousands of Harvard students, underscore the point that racial diversity can be a powerful force in students' education.

One graduating senior told the following story in an interview with Professor Light about his Harvard College experience:

In my case, the learning from diversity came . . . when I became very upset about how a fellow black student approached discussions in our sociology class.

I was stunned when one of my black classmates became visibly angry and accused the professor of not realizing how much it hurt him to hear information [about out-of-wedlock birthrates among African Americans] presented in class. Thank goodness he did it politely and not accusingly. But he was obviously upset. And his upset got me very upset, but in the opposite direction.

This was the whole reason I had signed up to take this course. I need to grapple with unpleasant realities. . . . But my fellow black student really made it awkward—both for the professor and for me. I actually wanted to hear more details about those demographics. Not because I am happy about them, but because I absolutely need to understand them as well as I can. Illusions are definitely no help.

Well, frankly, I didn't know quite what to do. [Fortunately,] there was a third African-American student in the class [who] had the courage to speak right up, and to thank the professor for sharing this awkward but real data. This guy basically said what I was thinking, except I didn't have the courage to verbalize it out loud.

The student who had complained to the professor seemed surprised that a fellow black student would criticize him. But this other student was so diplomatic that I think he somehow succeeded in getting the complainer to take a deep breath and to pause and reconsider his views. It took some courage for that black student to criticize another black student who clearly was upset. And in the context of a mostly white class.<sup>20</sup>

We note, as the student relating the story observed, that the educational benefits of this exchange were profound and varied. All three students involved, and everyone in the class, learned valuable lessons about recognizing and managing the differences in reactions among African-American students on a topic of sensitivity to them all. These experiences also highlight and help to resolve a false paradox: on the one hand, Harvard College recognizes that race plays an irreplaceable role in our conception of a diverse student body; on the other, we reject any

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<sup>20</sup> Light, Richard. *Making the Most of College*, (Cambridge: Harvard Univ. Press 2001), 149-151.

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implication that we essentialize race, or believe that all students of a particular race share the same views, experiences, or other characteristics.

The story related above illustrates how both of these concepts co-exist. The different responses of the three African-American students to the statistics cited by their professor confirm, if such confirmation were needed, that race does not dictate opinions or viewpoints on any given issue. At the same time, though, the conversation that took place among them likely could not have occurred as candidly as it did had any or all of them been white. While their reactions to the statistics on out-of-wedlock birth rates among African-Americans were different, they shared a relationship to the issue that non-African-American students simply did not have. Because of the role race continues to play in American society, they all knew that those statistics could be seen to reflect on their communities, simply by virtue of the color of their skin.

### B. The Creation of Knowledge Through Research Is Enriched by Diversity in the Student Body

As was recognized in Harvard's brief in *Bakke*, an education process enriched by diversity is not only of great importance to students: "It broadens the perspectives of teachers and thus tends to expand the reach of the curriculum and the range of scholarly interests of the faculty."<sup>21</sup> The diversity on our campus has expanded our knowledge in the humanities, the social sciences, and the natural sciences.

The strong curricular emphasis on the humanities is one of the ways in which Harvard College challenges its student body to maximize the potential of its own diversity. Indeed, the very rationale for emphasizing the humanities in a liberal arts education closely resembles the merits of racial and other forms of diversity in a university community. We study the art, literature, music, and philosophy of other cultures and historical eras because these modes of expression allow unique access often to radically different forms of human experience. This is why students are asked to read seventeenth-century Chinese novels, Greek epics, and the poetry of Emily Dickinson. Encountering these cultural expressions enables us to imagine positions other than our own, to understand what is universal across time and space, and to feel a sense of connection or empathy with communities otherwise seemingly remote or obscure.

Racial and other forms of diversity in the student body provide a similar matrix of otherness in which to embed any individual student, thereby encouraging students to examine ways of processing the world dissimilar to their own. But this matrix becomes further activated through classroom discussions of specific cultural expressions of human experience, whether they be the colonial-era American literature, 19<sup>th</sup>-century Native American art, or free jazz of the 1960s. It is through such sustained conversations that one learns to negotiate pluralism. Harvard's commitment to maximizing the distinctive profiles of its students is thus powerfully manifested in its plethora of humanities courses and faculty.

Further, the research conducted by the faculty is enriched by the diversity of the student body in multiple ways. Entirely new fields of study have developed as a result of the changing nature of America's college and universities. Women's Studies, Latin-American Studies, and Labor

<sup>21</sup> Brief for Columbia Univ. et al. as *amici curiae*, at 9.

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Studies are only three examples of fields that came to be perceived as valuable areas of study only as and because the campuses themselves experienced the greater presence and influence of women, Hispanics, and the working class. Introducing larger groups of women and minorities into the academy opened these theretofore unexplored histories, new areas of research, and burgeoning fields to inquiry in ways that simply did not occur when the campuses were more demographically monolithic.

Even areas of study that had been active for centuries – Classics and Philosophy, to name just two – have been reshaped by the inclusion in the scholarly debate of voices coming from different backgrounds. In Classics, the inclusion of new perspectives on gender and sexuality, race, ethnicity, and social class has transformed the research and teaching agenda both in the United States and internationally. Interest in the experience and outlook of women, minorities, and slaves has significantly changed the way in which written sources are interpreted, has encouraged deeper investigation of a much broader range of artifacts, and has spurred on the development of new methodologies. The traditional geographical boundaries of the ancient societies studied have also been challenged, with heightened interest in the borderlands of the Greek and Roman world, long-distance trade relationships, and other contemporary civilizations. In conferences, publications, and teaching, Classics professors are thus increasingly considering sub-Saharan Africa, South and Central Asia, and China as well as the more traditional regions of the Mediterranean, northern Europe, and the Near and Middle East. Over the last fifteen years, the new subfield of reception studies has grown and emphasizes the diversity of modern translation and adaptation of classical works within world literature.

Research in the social sciences also has benefited strongly by student body diversity. In exploring social and cultural phenomena, the range of hypotheses that is considered is bounded only by the imaginations, and the lived experiences that inform them, of the people engaged in the study. The entire enterprise is enriched by the inclusion of people with different backgrounds, experiences, and hypotheses to broaden the scope of the investigation and avoid the shared blind spots that may result from a homogeneous research community. As Justice Frankfurter recognized, “It is the business of a university to provide that atmosphere which is most conducive to speculation, experiment, and creation.”<sup>22</sup>

The benefits of student body diversity may be less immediately obvious in the studies of natural and physical sciences, but here, too, student body diversity has expanded the spheres of consideration and study in several ways. First, within the classroom: One long-time, natural-sciences faculty member who also has significant academic advising responsibilities within her department informed us that her experience has persuaded her that “race profoundly affects the dynamic in the classroom, and diversity increases the breadth of discussion and even course curriculum in ways that I never anticipated.” For instance, questions from minority students about race and stress led her to modify her syllabus with additional articles and related instruction that “facilitated animated and informed discussion in lecture and sections, with students linking personal experiences to what they were learning in class.”

Further, as with other fields of study, an increasingly diverse community of students, researchers, and physicians has also broadened the range of diseases receiving significant research attention.

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<sup>22</sup> *Sweezy v. New Hampshire*, 354 U.S. 234, 263 (1957).

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The Harvard Global Health Institute, to take just one example, is driven to a great degree by the international and cross-cultural character of the university and its students. That initiative “seeks to confront the global health challenges that arise from or are made more complex by the increasing interconnectedness of people throughout the world. Taking an interdisciplinary approach, the institute seeks to provide the intellectual space to tackle the world’s most intractable health challenges and to inspire and invest in the next generation of global health leaders.”<sup>23</sup>

In health and medicine, qualities of empathy, self-awareness, and sensitivity to “otherness” are critically important. Our physicians must interact constructively and sympathetically with patients of all ages, ethnicities, socio-economic status, and experiences. Their preparation begins as undergraduates with what may be our students’ first experience with “otherness,” the beginning of the essential process in becoming engaged and active participants in their professions and communities. At Harvard Medical School, all students are invited to work with the Inter-Society Multicultural Fellows committee, bearing out that school’s belief that “the best possible medical community is one in which the maximum heterogeneity is found [and] that the best research and medical care occurs in a context where differences are highly valued.” The Dean for Medical Education emphasizes this point to all new students from the day they arrive, observing that talking to people different from oneself with both candor and sensitivity is among the great challenges in the practice of medicine. He encourages them to take advantage of the diversity among their own classmates by learning about each other and building the skills to have those difficult conversations with their future patients – and he notes that those students who have spent their undergraduate careers in diverse academic communities are better prepared for that challenge.

Former President Rudenstine noted that “if we want a society in which our physicians, teachers, architects, public servants, and other professionals possess a developed sense of vocation and calling; if we want them to be able to gain some genuine understanding of the variety of human beings with whom they will work, and whom they will serve; if we want them to think imaginatively and to act effectively in relation to the needs and values of their communities, then we shall have to take diversity into account . . .”<sup>24</sup> Although he was speaking of our graduate schools, his words resonate equally for Harvard College.

### III. PERSONAL AND SOCIAL TRANSFORMATIONS

#### A. Residences and Extracurricular Activities

The education of our students is not restricted to the classroom. Our students learn in powerful ways from each other and more so because of the rich variety of their backgrounds, interests, and lived experiences. We believe, moreover, that we can enhance the benefit that they draw from the diversity in their classes and peer groups through thoughtful attention to the structures and institutions that shape the ways in which they spend their time at Harvard. From the shared common room to the dining hall, from the playing field to the stage, our students devote immeasurable energy and their exceptional talents to their extra-curricular pursuits. These

<sup>23</sup> <http://news.harvard.edu/gazette/story/2014/08/goldie-takes-new-post/>

<sup>24</sup> Rudenstine, 42.



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experiences are central to the personal transformation that is at the core of our liberal arts education and integral to our commitment to ensuring excellence in our academic environment. Immersion in a community marked by so many kinds of difference teaches our students how to engage across those differences.

Allowing our students to interact, grow, and learn from each other begins from the moment members of an incoming class accept their offers of admission. Harvard College is a residential experience. Over 97% of our students live on campus for all four years. This is not happenstance. We want our students to engage with each other not only in their classes but where they eat, play, dance, sing, act, debate, write, throw, catch, relax, and, of course, study. We seek to achieve this goal through very deliberate choices in the way in the College is structured.

As a recent Harvard graduate observed:

Harvard, by virtue of the people I was surrounded by, forced me to sit and listen to those from other worlds to mine, and over a few terms my original assumptions of who and what I was, and what I could be, in this world, were altered and freed from the barriers of ignorance. I'm writing this from a summer job in China. Never before Harvard could I challenge myself to rise up into the globalised world and strike out.

And, more importantly, the labels people in my community put on others from elsewhere in the world - I now know these are not true. I've met people that were labelled as different and bad; and they are utterly fantastic people and some of my most trusted companions going forward into this diverse and beautifully mixed-up world.

### 1. Freshman Rooming

When our students first arrive on campus, they live in dormitories that are organized in "entryways." Students share common space and a common residential advisor, and rooming groups are assigned with the goal that every entryway should represent a microcosm of the entering class. Entering students complete a lengthy rooming questionnaire so that their assignments may take account of their stated preferences as well as their temperaments, study habits, extracurricular interests, hometowns, intended courses of study, and innumerable other factors. The College uses that information to ensure that all first-year students feel comfortable and at home in their entryways at the same time that preconceptions are challenged and stretched. We do this in an effort to ensure that our students may fully benefit from our deliberate institutional choice to foster a diverse living and learning community.

There is no formula that can be applied to this task. Rather, the Freshman Dean's Office devotes long, painstaking hours to match students with those who, in some cases, will become best friends for the next half century or more. Since there are so many dimensions along which the freshman class as a whole is diverse, there is no way for every unique quality to be represented in every room. Instead, the goal may be to pair a musician with an athlete, a science-prize winner with a classicist, a student whose family has lived for generations in the same homogeneous town with a child of immigrants.



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One of the people with whom we spoke observed that in 2002, the Freshman Dean's Office paired a white Jewish freshman coming from Westchester County, New York, in a double room in Strauss Hall with a first-generation son of Haitian immigrants.<sup>25</sup> Speaking of the friendship ten years later, the black student observed that their friendship "was based on us being a couple of 17-year old kids who happened to be thrown into a room together."<sup>26</sup> The student from Westchester was Mark Zuckerberg. His freshman year roommate, Samyr Laine, set the triple jump record at Harvard and, after graduation, represented Haiti in the Olympics.<sup>27</sup> "What," mused the person with whom we spoke, "must those freshman year conversations have been like."

### 2. The Harvard House System

Perhaps even more than the freshman dorms, the residential House system is central to Harvard's approach to student life. The vast majority of Harvard upperclassmen live in residences called Houses, and even those who move off-campus remain affiliated with a House through Commencement and beyond.

The House system was created in the 1930s when the accelerating growth in the numbers of public-school students and others of modest means at the College had the side effect of creating an increasingly stratified environment, with the wealthy elites living, eating, and socializing almost entirely with each other while the less well-off students constituted a separate lower class on campus. Harvard attacked that stratification by implementing among the most significant and enduring structural changes in the history of the College. Dissatisfied with the de facto segregation, the University went further than it previously had "in providing facilities that could sustain the more democratic ideals which had gradually been established at the University," by instituting the residential House system. The Houses have the effect of bringing students of divergent backgrounds together, with the goal that "each House should be as nearly as possible a cross-section of the College."<sup>28</sup>

This objective of the House system was reaffirmed and amplified in the 1990s, when the Committee on the Structure of Harvard College recommended that the assignment of students to Houses be made at random, rather than according to the students' and House Masters' choice. The recommendation was based on the Committee's perception that "students [were] being, as one person put it, 'educationally deprived' because they have contact only with a somewhat homogeneous group of their peers." That homogeneity reflected a degree of self-sorting by students into Houses that were, individually, dominated by particular groups or communities of

<sup>25</sup> "Dr. Zuckerberg Talks About His Son Mark's Upbringing,"

[http://www.salon.com/2011/02/04/mark\\_zuckerberg\\_dad\\_interview/](http://www.salon.com/2011/02/04/mark_zuckerberg_dad_interview/); <http://glamlifeblog.com/samyr-laine-olympian-philanthropist/#.VkESiLerS70>

<sup>26</sup> "Zuckerberg Freshman Roommate Goes From Harvard to Haiti Olympics,"

(<http://www.bloomberg.com/news/articles/2012-07-11/zuckerberg-freshman-roommate-goes-from-harvard-to-haiti-olympian>)

<sup>27</sup> "Mark Zuckerberg's Freshman Roommate Will be in the Olympics (<http://www.businessinsider.com/mark-zuckerbergs-freshman-roommate-will-be-in-the-olympics-2012-7>). As noted above, neither Mr. Zuckerberg nor Mr. Laine has reviewed or endorsed this report.

<sup>28</sup> Rudenstine, 24.

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interest, such that over time, student choice had resulted in “a housing system that does not reflect the richness and complexity of the student body,” the Committee observed.<sup>29</sup> Since 1996, selection to the Houses has been randomized. Following that randomization, the percent of surveyed seniors who believe that house staff “foster exchanges among diverse groups” more than doubled. In addition, those House Masters who initially were skeptical about the change found that after randomization, students were happier and that morale in the Houses improved.

Over the years there have been periodic efforts to create dedicated spaces on campus for particular racial or ethnic groups – a “black house” or “Asian center.” The College has resisted those efforts, believing that the existence of such spaces would undermine the function of the residential Houses. Living in the Houses, as President Rudenstine noted, “was rightly seen as much more than a mere adjunct to education. It became part of the fabric of daily life, and one of the primary ways that students learned from one another.”<sup>30</sup>

### 3. Extra-Curricular Activities

The residences are one of the primary ways by which the inherent benefits of diversity are maximized outside of the classroom, but they are by no means the only way. The variety of student organizations on campus, and their openness to members from all different backgrounds, is essential to this teaching process. One recent graduate tells of how his experience at a large, urban high school with a strong institutional commitment to diversity was still limited in ways he did not understand at the time. Although the school was diverse, it did not afford him with opportunities to interact with a diverse group of students. As a result, he found himself and his classmates in the student government advocating on behalf of socioeconomically less privileged and under-represented minority peers without having the benefit of their direct input.

On arriving at Harvard, this student joined the Kuumba singers, a student group whose membership and leadership are predominantly African-American. He found that these students focused on different issues, and in different ways, than he and his white classmates in high school would ever have imagined. This experience deepened his understanding of those particular issues, but more importantly, he observed that there is no substitute for lived experience to inform a person’s point of view, or for direct contact with people to understand their perspectives.

A recent alumna was struck by the difference between her college experience and that of her older siblings. One sister found that at her school, there was a single Asian-American student organization; Harvard, the alumna noted, has more than thirty student groups focused on Asian culture and heritage. She found this breadth of offerings invaluable in illustrating the diversity that exists within each broad ethnic category. It also gives students an opportunity to focus much more deeply on their heritage than would be possible absent structures that bring together communities of people with shared experiences.

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<sup>29</sup> Committee on the Structure of Harvard College, *Report on the Structure of Harvard College* (Harvard Univ. 1994), 38.

<sup>30</sup> Rudenstine, 24.

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These are just two of many examples. Harvard College makes it possible for its students to engage in an array of extracurricular activities that not only deepen their learning and develop their capacities; they also provide students with both structured and informal opportunities to interact with other members of the community and, through that, to work closely with students from different races, backgrounds, life experiences, and aspirations.

### 4. Athletics

Harvard's athletic program provides another example of the ways in which we bring together our diverse communities and of the symbiotic benefits of diversity to the College and its students. Several coaches with whom we spoke explained to us that, through athletics, our students learn to work together with those from vastly different backgrounds and life experiences toward a common goal – or shot or touchdown. These teams are often the first time that our students are interacting with someone who is poor or rich or gay or lesbian or African-American or Latino or whose parents did not attend college or whose ancestors came over on the Mayflower. Whether it is five players on a court, eleven on a field, one running for a team in a race, the coaches explained that our students must not set aside their differences, but instead must seek out those differences, learn from them, and expand their views of each other and the game. Athletes, we were told, who think narrowly about their peers think narrowly about their sport. But those athletes who are willing to embrace new perspectives and ideas from their teammates can generate creative solutions in a meet or a game, expand their own abilities, improve the team's performance, and excel as athletes and as scholars.

In all of these extracurricular activities, the benefits brought about by exposure to difference extend beyond the stage or field; they shape and inform the students' entire experience at Harvard. And, as an integral part of the transformation that occurs through a residential undergraduate experience, this exposure is part of what students carry with them outside our gates and throughout their entire lives.

### B. Additional Resources at Harvard

In its efforts to operationalize the transformation that we expect of our students, Harvard offers additional resources to students to maximize the benefits that flow from student body diversity. Community Conversations is a program for incoming freshmen whereby freshmen are assigned literature to read and discuss. The objective is to provide an opportunity for incoming students to consider their own identities, learn about their peers' diverse identities and perspectives, and engage in frank and open conversations with each other. This year, for example, the students discussed "My Beloved World," by Justice Sotomayor.

The Office of Student Life has a department dedicated to diversity and inclusion. In addition, Harvard College students are served by the Harvard Foundation for Diversity and Inclusion. Its staff meets regularly with tutors in each house, and serves to mediate disputes and resolve issues having to do with differences in background, whether they are based on race, religion, gender, sexuality, or geography. The Foundation also encourages collaboration among student groups, by awarding grants whose amounts increase if the recipients co-sponsor events with other student groups. All these structures exist because while a diverse student body creates

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opportunities for growth and learning that cannot be achieved in its absence, Harvard also believes it is important to encourage students to take the best possible advantage of these opportunities.

### C. Diversity on Multiple Dimensions

The diversity we seek at Harvard is diversity on a wide range of dimensions, including racial diversity but not limited to it. From early in Harvard's history, for example, the College sought to expand its student body beyond the wealthy. President Eliot wanted a university "of broad democratic resort." Harvard's students should be children of the "rich and poor," the "educated and uneducated."<sup>31</sup>

Reflecting on his time at Harvard, W.E.B. Dubois wrote:

Men sought to make Harvard an expression of the United States, and to do this by means of leaders unshackled in thought and custom who were beating back bars of ignorance and particularism and prejudice. There were William James and Josiah Royce; Nathaniel Shaler and Charles Eliot Norton; George Santayana; Albert Bushnell Hart, and President Eliot himself. There were at least a dozen men – rebels against convention, unorthodox in religion, poor in money – who for a moment held in their hands the culture of the United States, typified it, expressed it, and pushed it a vast step forward.<sup>32</sup>

President Conant, himself an undergraduate scholarship student, created Harvard's first significant financial aid initiative in the 1930s. Today, more than half of Harvard's families receive scholarship aid from Harvard, and families with incomes below \$65,000 are not expected to pay anything toward the cost of a Harvard College education. Harvard's Admissions Office conducts significant outreach to low income students, writing to high-performing, low-income high school students and traveling around the country to speak with low-income students and their parents to encourage them to consider applying to Harvard College.

The College's efforts to enhance the socioeconomic diversity of its student body have been markedly successful. As Harvard explained in its amicus brief in *Fisher II*,

Under Harvard's admissions policies, a candidate's financial need will never adversely affect his or her chances of admission. In fact, Harvard pays the total cost of attendance for students from families with annual incomes below \$65,000, with no expected contribution from the student's family. More than half of Harvard students receive grant aid, and for those students, the average family pays less than \$12,000 to attend; they also are not required to take out any loans. In these and other ways, Harvard strives to ensure that it receives applications from a wide range of applicants and that all admitted students, regardless of financial means, are able to attend.<sup>33</sup>

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<sup>31</sup> Rudenstine, 10.

<sup>32</sup> Rudenstine, 21, quoting "The Field and Function of the Private Negro College" (1933) in *The Education of Black People*, ed. Herbert Aptheker (Amherst, Mass.: University of Massachusetts Press, 1973), 89.

<sup>33</sup> Brief for Harvard Univ. as *amicus curiae*, at 20.

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More important than the details are the students and their impact on Harvard's educational mission. As is true for other demographic characteristics such as race, the life experiences of low-income students have been shaped by their circumstances. They add healthy pluralism to the campus and, as part of the alchemy that results from a diverse student body, benefit from and contribute to an enriched educational experience for everyone.

### D. International Education

In discussing diversity, we must also note the global diversity at Harvard both in our undergraduate population and in the increased international experiences of our students in recent years. The University's Office of International Education runs more than 250 study abroad programs, through which undergraduates have the opportunity to study archaeology in Peru or neuroscience in Japan with leading world specialists. Such opportunities are enhanced by President Faust's Innovation Fund for International Experiences, which "provides seed funding to faculty members at any Harvard school to support the development of creative and significant academic experiences abroad for Harvard College students."<sup>34</sup>

This commitment to internationalism is also reinforced through the General Education program, where categories such as "Societies of the World," "Culture and Belief," and "Aesthetic and Interpretive Understanding" have encouraged the ongoing development of scores of new courses focusing on the study of foreign cultures and societies. The significant presence of international students at both the undergraduate and graduate levels in these courses and others, as well as a highly international faculty, ensure that Harvard students will be challenged and engaged by perspectives reflecting a diverse sample of the world's communities and ethnicities. All of this encourages Harvard students to consider their place in their community not only at Harvard or in Cambridge or even the United States, but in the world.

## IV. SURVEY DATA

As part of our efforts to provide students with a transformative educational experience, we also seek to ensure that those efforts are working. We, therefore, regularly monitor, evaluate, and adjust them. Sometimes we make significant alterations, such as reworking the House selection system discussed above. At other times, the alterations are more subtle. One way in which we monitor our efforts is through frequent surveys of our students. Nearly every survey includes questions about student experiences with ethnic or racial diversity. The questions assess the frequency and type of interactions, assessment of tolerance levels, ability to relate to those who are different from the responder, and whether, how, and where Harvard encourages exchanges between students of different backgrounds.

The results from these surveys of students at the College confirm that the benefits resulting from our diverse student body are both real and profound. 94% of our students believe that Harvard promotes respect for those from all races and cultures either "Quite a bit" or "A great deal," and the sentiment is shared across racial groups. Our students also readily inform us that learning to live in a diverse population is important to them: when asked to rate the importance of "the

<sup>34</sup> President's Innovation Fund for International Experiences, at <http://oue.fas.harvard.edu/icb/icb.do?keyword=k18059&pageid=icb.page542267>.



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ability to relate well to people of different races, nations, and religions,” 84% of our students identified this as either “Essential” or “Very Important.”

Our prospective students also understand the value of a diverse student body. Most of the students admitted to Harvard College have the option to pursue their studies elsewhere if they choose, but the College’s yield rate is historically among the highest in the nation. And while surveys reveal that the majority of all students admitted to Harvard associate the school with diversity and open-mindedness, those associations are especially strong among those who ultimately choose to pursue their undergraduate studies at Harvard. These results make clear that our students share Harvard’s commitment to fostering a diverse community, and that they recognize and appreciate the efforts that Harvard takes to fulfill that commitment.

The survey data also show that once students arrive, Harvard College successfully engages students with those who are dissimilar. 72% of our freshmen report that their extracurricular activities helped them learn to work with others who are different from them, and more than half of our students report that the Houses foster exchanges between students of different backgrounds.

Large majorities of Harvard undergraduates report having conversations with students of different racial and ethnic backgrounds “very frequently”; and these proportions significantly exceed (by more than ten percentage points) those reported by students at the thirty-one colleges in the Consortium on Financing Higher Education (COFHE). These conversations, and the other exchanges fostered by the Houses and other institutions at the College, are an important medium through which the benefits of a diverse student body are shared.

Perhaps most importantly, Harvard College seniors reported that their ability to relate to people who differ from themselves strengthened while they were at Harvard. Approximately two-thirds of graduating seniors report that their ability to relate well to people of different races, nations, and religions was “stronger” or “much stronger” than when they matriculated at Harvard, and the results are consistent across racial and ethnic groups. Moreover, nearly 70% of our students at some point in their Harvard undergraduate career seriously questioned or rethought their beliefs about a race or ethnic group different from their own.

The surveys that we conduct give students the opportunity to provide written responses in addition to the multiple-choice questions described above. These responses further confirm the significant impact that diversity has on the experiences of our students. Students often report that the experience that had the “most significant impact” on their college careers was exposure to a racially diverse group of peers. One student described it as “learning and living with people from all walks of life racially, ethnically, socioeconomically, (etc.).” Another wrote that “racial, ethnic, and socio-economic diversity helped globalize my world-view.”

Our students express these views outside of surveys as well. In a recent article in *The Crimson*, a graduating senior wrote, “I remember a time when I used to thumb through college pamphlets and the word ‘diversity’ meant little to me. Thanks to Harvard, that is no longer the case. What I realize now, and what I failed to realize back then, is that the more people you meet who are different from you, the more aware you become . . . . Harvard forced me to befriend people with

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whom I had little in common, to have difficult conversations about race, politics, and religion, and ultimately to challenge my beliefs, thereby strengthening them in the process.”<sup>35</sup>

*The Crimson* editorial board underscored the importance of student body diversity in an editorial supporting Harvard’s admissions process published this month.

Affirmative action is not just an abstract policy issue. As Harvard students, we know firsthand the benefits of diversity. We know that we don’t have all the answers or all the experiences or all the perspectives the world has to offer at the ripe age of 18. We learn not only from professors, but also from each other. We learn from [the] international student sitting next to us in section or the entryway-mate from the other side of the country. And yes, we learn by engaging in frank and honest discussions about race with people who know what it is like to have a skin color different from ours. Harvard should be a transformational place, and if this lawsuit succeeds, it will fail to achieve one fundamental part of that mission.<sup>36</sup>

Alumni also report seeing the way those benefits have shaped their lives over the decades that follow their graduation from the College. One alumnus with whom we spoke had never spent significant time before he arrived at Harvard with anyone whose experience differed from his own background, growing up white in the suburbs. He discussed his first-year entryway with classmates ranging from a young woman from a tiny town in rural Arkansas to one whose father was a foreign head of state. By the time he graduated, he had a multi-racial and multi-ethnic group of friends and had encountered first-hand the experience of being a racial minority, by traveling throughout China. He still recalls watching the announcement of the verdict in the OJ Simpson trial and being astonished by the different reactions among his friends of different races: the African-American students were cheering, while the white students sat in stunned silence. That event revealed to him the ways in which people’s experiences – many of which are shaped by their racial histories – can affect their perceptions, causing them to draw completely different, yet all valid, conclusions from the same set of facts. It was an education, he notes, that could not come from books, but could arise only come from direct experience with a diverse community.

### V. POST-GRADUATION

We expect of our students and hope for them a life of engagement – with their families, their communities, and their fellow citizens of the world. In whatever ways in which they pursue their future, we want them to carry forward a willingness to learn from and connect with those around them. And we understand that those encounters in this increasingly complex and interconnected world may, with the click of a mouse, reach halfway around the globe. We want our students to recognize the equal dignity of all those they meet once they leave our gates, and it is through their experiences with others and “other” at Harvard that we hope and expect that they will work to create a truly integrated society.

<sup>35</sup> “An Ode to Harvard,” Aria N. Bendix, *The Crimson* (Apr. 28, 2015), available at <http://www.thecrimson.com/column/catch-22/article/2015/4/28/ode-to-four-years/>.

<sup>36</sup> “Don’t Go Back on Diversity,” *The Crimson* (Nov. 3, 2015), available at <http://www.thecrimson.com/article/2015/11/3/staff-affirmative-action-diversity/>.

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There can be no doubt that the world into which our students will graduate is a pluralistic one. We must prepare our graduates to succeed – as citizens, parents, civic leaders, lawyers, doctors, academics, and the many other roles they will play – as they graduate into this world. We also recognize that in many cases, our graduates will assume leadership positions, not only here in the United States, but across the globe. Men and women who attended Harvard College are founding and running global companies in technology, retail, finance, and healthcare, among others. Graduates of Harvard College signed the Declaration of Independence and have served in a broad spectrum of roles in the government ever since. They educate, govern, and entertain us.

Our responsibilities as we educate the leaders of tomorrow cannot be denied. Harvard does “represent the training ground for a large number of the world’s leaders,” and “in order to cultivate a set of leaders with legitimacy in the eyes of the citizenry, it is necessary that the path to leadership be visibly open to talented and qualified individuals of every race and ethnicity.”<sup>37</sup> We must demonstrate to the world that individuals of all races, ethnicities, all backgrounds may thrive, succeed, and lead.

Our graduates not only are themselves diverse, but also carry with them the importance of developing the diversity of the organizations they lead. Harvard College alumnus and Microsoft’s former CEO Steve Ballmer has noted that Microsoft’s commitment to diversity is “critical” to him, observing that “diversity and inclusion are not just words on paper for us; they are core values and business imperatives.”<sup>38</sup> Lloyd Blankfein, another Harvard College alumnus, stated as CEO of Goldman Sachs that, “[d]iversity is essential to our mission as a firm: It lets us develop better ideas, respond to the needs of our clients, and ensure that our people can work at their maximum potential.”<sup>39</sup> Harvard College alumna Sheryl Sandberg has noted that, “[t]o reflect the diversity of the 1.4 billion people using [Facebook’s] products, we need to have people with different backgrounds, races, genders, and points of view working at Facebook.”<sup>40</sup> Our graduates demonstrate that the path to leadership is visible and manifest the strong belief that diversity is essential to the organizations they lead.

We also recognize the great disservice that we would do for our students if we were not preparing them for the careers and graduate schools they seek to pursue after graduation. As businesses, for example, have made clear, “the need for diversity in higher education is compelling,” and “the nation’s future depends upon leaders trained through wide exposure to the ideas and mores of a diverse student body.”<sup>41</sup> Writing in an amicus brief to the Supreme Court,

<sup>37</sup> *Grutter*, 539 U.S. at 332.

<sup>38</sup> <http://www.microsoft.com/about/en/xm/importedcontent/about/diversity/en/us/exec.aspx>.

<sup>39</sup> <http://www.goldmansachs.com/who-we-are/diversity-and-inclusion/>.

<sup>40</sup> <http://newsroom.fb.com/news/2015/07/managing-unconscious-bias/>. As noted above, we are relying entirely on the published media reports regarding these quotations. None of Mr. Ballmer, Mr. Blankfein, or Ms. Sandberg has reviewed or endorsed this report.

<sup>41</sup> *Grutter* Amicus Brief of 3M et al., at 8. The amicus brief was filed by 3M; Abbott Laboratories; American Airlines, Inc.; Ashland, Inc.; Bank One Corporation; The Boeing Company; The Coca-Cola Company; The Dow Chemical Company; E. I. Du Pont De Nemours and Company; Eastman Kodak Company; Eli Lilly & Company; Ernst & Young LLP; Exelon Corporation; Fannie Mae; General Dynamics Corporation; General Mills, Inc.; Intel Corporation; Johnson & Johnson; Kellogg Company; KPMG International on behalf of its United States Member

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this collection of Fortune 500 companies from a wide swath of industries recognized that, “the individuals who run and staff [our] businesses must be able to understand, learn from, collaborate with, and design products and services for clientele and associates from diverse racial, ethnic, and cultural background,” and those “individuals who have been educated in a diverse setting are more likely to succeed.”<sup>42</sup> Without the opportunity to engage with other students in a diverse undergraduate environment, our students likely would be constrained in their pursuit of excellence, and we would be remiss in failing to provide them with the skills they need to flourish after graduation.

### VI. EXPERIENCES IN HIGHER EDUCATION MORE BROADLY

Our views about the educational benefits of diversity are borne from our experiences and expertise as educators, as well as the testimony of other members of the Harvard community with whom we have consulted (both in connection with our work on this committee and in the course of the myriad interactions we have in our daily lives on campus). We have no doubt that student body diversity creates a fertile environment for the intellectual, social, and personal transformations that are central to the educational mission of Harvard College.

It is worth noting that our views are shared across higher education. They are reflected in the admissions practices, statements by leaders, and amicus briefs of our peer institutions. Just as we do at Harvard, our peers see in the curricular and extracurricular experiences of their students the manifold benefits of a racially diverse student body. The collective judgment of our nation’s leading universities amplifies and underscores the perspective Harvard has developed from educating students over its 379-year history.

### CONCLUSION

As President Faust has explained, the students who have made the choice to come to Harvard College have elected to be “part of a class, a laboratory, a seminar, an entryway, a section, a chorus, an ensemble, a cast, a team.”<sup>43</sup> Our students undertake a “bold and brave commitment,” she declared, “to revisit [their] assumptions, to see the world through others’ eyes, to expand [their] understanding, to find common spaces we can share even as we explore and celebrate our differences.”<sup>44</sup> We are, as President Faust recognized, a symphony, enriched by the diversity of all of the instruments, sounding in the remarkable heterogeneity of our society, embracing different choruses of race, gender, sexual orientation, socioeconomics, and geography.

We recognize, as did President Faust in her remarks, that unlike a well-performed symphony, the notes we play will not always be perfect. Fully maximizing the benefits of diversity at Harvard

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Firm, KPMG LLP; Lucent Technologies; Microsoft Corporation; Mitsubishi Motor Sales of America, Inc.; Nationwide Mutual Insurance Company and Nationwide Financial Services, Inc.; Pfizer Inc.; PPG Industries, Inc.; The Procter & Gamble Company; Sara Lee Corporation; Steelcase, Inc.; Texaco, Inc.; TRW, Inc.; and United Airlines, Inc.

<sup>42</sup> *Id.* 9-10.

<sup>43</sup> President Drew Faust 2014 Remarks at Morning Prayer, available at <http://www.harvard.edu/president/speech/2014/2014-remarks-at-morning-prayers>.

<sup>44</sup> *Id.*

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College is an aspiration. We have work to do to improve the opportunities we offer our students to engage with others in an exploration and challenge of their ideas and beliefs. Our students may not always take full advantage of the opportunities we do offer. And we also recognize that the very goal we seek – exposing our students to people who are different from themselves – has within it the possibility of misunderstanding and conflict. As we have recognized in the past and reiterate here, we should not and we need not “romanticize the idea of diversity in order to reach a sensible and realistic assessment of its positive value.”<sup>45</sup> Diversity – expressed through the “clash of freely expressed opinions” – will inevitably create moments of heat, but “[t]here is always hope when people are forced to listen to both sides.”<sup>46</sup>

We emphatically embrace and reaffirm the University’s long-held view that student body diversity – including racial diversity – is essential to our pedagogical objectives and institutional mission. It enhances the education of all of our students, it prepares them to assume leadership roles in the increasingly pluralistic society into which they will graduate, and it is fundamental to the effective education of the men and women of Harvard College.

### FACULTY COMMITTEE

Rakesh Khurana (CHAIR), *Dean of Harvard College; Marvin Bower Professor of Leadership Development, Harvard Business School; Co-Master, Cabot House*

Mahzarin R. Banaji, *Richard Clarke Cabot Professor of Social Ethics*

Emma Dench, *McLean Professor of Ancient and Modern History and of the Classics*

Yukio Lippit, *Harris K. Weston Associate Professor of the Humanities*

David R. Pilbeam, *Henry Ford II Professor of Human Evolution*

Jonathan L. Walton, *Plummer Professor of Christian Morals; Pusey Minister, Memorial Church*

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<sup>45</sup> Rudenstine, 54.

<sup>46</sup> *Id.* 54, 55, quoting *On Liberty*, pt. II.



## REPORT OF THE COMMITTEE TO STUDY RACE-NEUTRAL ALTERNATIVES

## I. The Committee's Charge

Harvard University's fundamental purpose is the pursuit and dissemination of knowledge. We accomplish this purpose through two principal activities: research and education. One of the most important ways we disseminate knowledge is through the education of our undergraduates who will, in turn, serve our nation and the larger world through their chosen professions and as citizens and citizen-leaders.

For decades, Harvard University has recognized the critical importance of diversity and a diverse student body to achieving success in its principal activities. More than twenty years ago, University President Neil Rudenstine wrote that such diversity is "the substance from which much human learning, understanding, and wisdom derive." Neil Rudenstine, *The President's Report 1993-1995*, 53. To ensure that students will reap the greatest possible benefit from their undergraduate experience and will be challenged to reexamine their preconceptions, Harvard College seeks a student body that reflects the broadest possible range of backgrounds and experiences. To achieve that diversity, and many other institutional and educational goals, Harvard College implements a whole-person admissions process that considers all aspects of each application, including, as one of many factors, the applicant's self-identified race or ethnicity.

Our goal is to admit students who are undeniably extraordinary—students who excel in a range of different ways; who will take advantage of the opportunities available at Harvard; who will contribute through their diversity of experiences, backgrounds, and interests to the quality and vitality of life at the College, both inside and outside the classroom; who will enhance Harvard long after they graduate; who will engage our faculty; and who will become citizen-leaders in the world beyond Cambridge.

In a series of decisions, the United States Supreme Court has examined the permissibility of considering race in admissions to institutions of higher education. In 1978, the Court approved the consideration of race in admissions as one factor among many to attain a diverse student body, while rejecting the use of racial quotas. *Regents of the University of California v. Bakke*, 438 U.S. 265 (1978). In 2003, the Court held that a university may consider an applicant's race, as one among many factors, provided that the university makes the "educational judgment" that student body diversity, including racial diversity, "is essential to its educational mission." *Grutter v. Bollinger*, 539 U.S. 306 (2003). If a university chooses to consider race in its admissions process, it must ensure that its consideration is "flexible enough to consider all pertinent elements of diversity in light of the particular qualifications of each applicant," and that "each applicant is evaluated as an individual and not in a way that makes an applicant's race or ethnicity the defining feature of his or her application." *Id.* at 334, 337. The Court also made clear that a university need not "choose between maintaining a reputation for excellence or fulfilling a commitment to provide educational opportunities to members of all racial groups." *Id.* at 339. Harvard College has long maintained an application process that conforms to these requirements, and indeed when the Supreme Court initially examined the consideration of race in university admissions in the *Bakke* case, Justice Powell's lead opinion indicated that a flexible, whole-person approach based on Harvard's admissions program would be permissible.





In 2013, the Court held that educational institutions choosing to consider race in their admissions processes must examine whether doing so is actually necessary to achieve their diversity-related educational goals—or, alternatively, whether any race-neutral admissions approaches could promote the university's diversity-related educational objectives "about as well" as the consideration of race "and at tolerable administrative expense." *Fisher v. University of Texas at Austin*, 570 U.S. 297 (2013). The Court also made clear that universities should periodically review the necessity of their race-conscious admissions practices.

In light of those decisions, in 2014, Harvard undertook once again to examine the importance of student body diversity and the role that consideration of race plays in the undergraduate admissions process. That reexamination follows President Rudenstine's exploration of those issues in his 1996 report and the University's ongoing efforts to attain a diverse student body through many ways, not just consideration of race, including extensive recruiting efforts and a robust financial aid program.

In 2014, Harvard convened a University-wide committee chaired by James Ryan, Dean of the Graduate School of Education. That committee was charged with examining the importance of student-body diversity at the University and with evaluating whether the University could achieve the educational benefits of a diverse student body without considering the race or ethnicity of its applicants. That committee paused its work when Students for Fair Admissions, Inc. ("SFFA") filed a lawsuit against Harvard challenging Harvard College's consideration of race in undergraduate admissions. Recognizing that the litigation would include an extensive discovery process in which experts would conduct in-depth empirical analyses of the College's admissions processes and proposed changes to it, Harvard decided to evaluate whether it could achieve the educational benefits of diversity without considering race in admissions in the College in a way that would be informed by the race-neutral alternatives proposed in the SFFA complaint and the analysis of those and other alternatives anticipated to be prepared by the parties' expert witnesses.

That process has proceeded in two steps. First, a new committee, the Committee to Study the Importance of Student Body Diversity, chaired by Rakesh Khurana, Danoff Dean of Harvard College, considered again the importance of a diverse student body to Harvard College's educational goals. Second, this committee was convened to undertake, with assistance from Harvard University's Office of the General Counsel, the second step in the analysis required by *Grutter* and *Fisher*: whether Harvard College's pursuit of its diversity-related educational objectives still requires it to consider the race and ethnicity of undergraduate applicants (among many other factors), or whether Harvard could accomplish those objectives without taking race into account.

With regard to the first step, based on a report generated by the Committee to Study the Importance of Student Body Diversity, the Faculty of Arts and Sciences unanimously reaffirmed in February 2016 that "the University's long-held view that student body diversity—including racial diversity—is essential to our pedagogical objectives and institutional mission," and that such diversity is "fundamental to the effective education of the men and women of Harvard College." Nevertheless, as that committee recognized, some of the educational benefits that flow from a diverse student body remain elusive at Harvard, and substantial work remains to be done. In 2014, for example, the "I, Too, Am Harvard" play cast light on the reality that far too many black students at Harvard experience feelings of isolation and marginalization. In 2015, the College Working



Group on Diversity and Inclusion set forth a series of recommendations to achieve “a more diverse and inclusive future for Harvard.” In 2016, Dean Khurana’s committee reported student survey data showing that only half of Harvard undergraduates believe that the housing system fosters exchanges between students of different backgrounds. In March 2018, the Presidential Task Force on Inclusion and Belonging proposed organizational recommendations to achieve a more inclusive community. Issues of diversity and inclusion thus continue to challenge our community, notwithstanding Harvard’s decades-long commitment to student body diversity and success in attracting exceptional students from broadly diverse backgrounds. As a result, President Faust has already started work to implement many of the task force’s recommendations.

In light of that work and those continuing challenges, this committee was convened to examine whether Harvard could achieve its diversity-related educational objectives through the application of race-neutral alternatives. Formed in June 2017, this committee’s members are committee chair Michael D. Smith, Edgerley Family Dean of the Faculty of Arts and Sciences, Rakesh Khurana, the Danoff Dean of Harvard College, and William Fitzsimmons, Dean of Admissions and Financial Aid. Those three members were chosen because of their responsibilities and experience with issues relating to student body diversity and its role in college education. Dean Smith has responsibility for supervising the Faculty of Arts and Sciences, which includes Harvard College and the Graduate School of Arts and Sciences. Dean Khurana has direct responsibility for Harvard College and has deep experience with the role of diversity in education and student life at the College. Dean Fitzsimmons, with more than forty years of experience in admissions at Harvard, has unparalleled knowledge about admissions practices at Harvard and in higher education generally.

This committee held seven meetings between August 2017 and April 2018. Three considerations guided our discussions when evaluating alternative admissions practices: (1) the impact alternatives would have on the overall diversity of backgrounds, experiences, and interests of the entire group of students who share a common educational experience; (2) whether alternatives would be consistent with other institutional commitments and goals; and (3) whether alternatives could reasonably be implemented given their resource and administrative requirements. To inform our work, the committee reviewed social-science and other literature on race-neutral means of pursuing diversity and collected information from several offices of Harvard College including the Office of Admissions and Financial Aid. As anticipated by the decision to pause the work of the committee led by Dean Ryan, this committee also benefited significantly from access to and consideration of the materials produced in the ongoing litigation between SFFA and Harvard, including the complaint and certain of the expert reports filed in the SFFA litigation. Specifically, the committee reviewed the reports submitted by SFFA’s expert Richard Kahlenberg, which claim that Harvard could achieve its diversity-related educational objectives without considering race, and reports submitted by Harvard’s expert Professor David Card, which illuminate the tradeoffs associated with eliminating the consideration of race and adopting various race-neutral alternatives. Together those reports detail the effects that abandoning consideration of race and certain other practices in admissions would have on the academic, demographic, and other characteristics of the Harvard College student body. They also detail the effects on these characteristics of then adopting one or more race-neutral alternatives.

The expert reports from the SFFA litigation inform, but do not nearly complete, our analysis; it falls to this committee to assess whether any race-neutral means, singly or in combination, would

or would not enable Harvard to achieve its diversity-related educational objectives. This report addresses that question against the backdrop of the statement of diversity-related educational objectives adopted by the Faculty of Arts and Sciences in 2016, with which the committee wholeheartedly agrees. This report summarizes the conclusions the committee reached following careful deliberation.

## **II. Harvard's Existing Efforts To Increase Diversity**

As set forth in the Report of the Committee to Study the Importance of Student Body Diversity, Harvard has for decades sought to assemble a student body that is diverse across many dimensions, including race and ethnicity, because it believes that a diverse student body is essential to the education it provides. One way Harvard seeks to achieve the benefits of diversity (and many other educational objectives) is through a whole-person admissions process that takes into account, among many other factors, the self-identified race or ethnicity of each applicant. Harvard's admissions process gives thoughtful consideration of each applicant as a whole person—taking into account all of the information each applicant provides.

But Harvard's pursuit of diversity neither begins nor ends with any one factor, including the consideration of race. Rather, Harvard seeks—and has long sought—to increase the diversity of its student body in many ways and across many dimensions. As this report now explains, Harvard pursues many ways to attain a diverse student body that do not involve consideration of race or ethnicity when considering applications for admission to the College.

For example, the College undertakes extensive efforts to encourage a diverse pool of applicants to seek admission to Harvard. Harvard seeks to identify strong applicants from modest economic backgrounds and encourages them to apply through, among other things, targeted mailings of promotional materials about Harvard and its generous financial aid program. Harvard representatives, including admissions officers, undergraduates, and alumni, conduct numerous recruitment events throughout the United States, including events targeting students who come from secondary schools and geographic areas that do not frequently send students to Harvard. Harvard regularly enhances its website and electronic communications, and revises its publications to further these efforts.

In the past five years, Harvard has also undertaken a particularly concerted effort to encourage students from the first generation of their family to attend a four-year college to apply and matriculate through its First Generation program. That program includes electronic communications, promotional materials, and the ability to correspond directly with current first-generation students attending Harvard.

Harvard also encourages applications from a racially diverse pool through its Undergraduate Minority Recruitment Program ("UMRP"), which originated in the early 1970s. The UMRP sends targeted mailings to many potential applicants of different racial and ethnic backgrounds (including African-American, Hispanic, and Asian-American students), coordinates online communications, sends staff to schools and events around the nation, and enlists current students to talk with prospective applicants.



Having made these efforts to encourage a body of students diverse across many dimensions to apply for admission, Harvard then seeks in the admissions process itself to identify promising students from modest economic backgrounds, first-generation college students, and other students who would contribute to the diversity of the student body in many ways. The Admissions Office carefully reviews applications from such students to ensure that they are not disadvantaged in the application process because of their lack of resources and opportunities or their educational background, and to recognize the particular achievement of students who have excelled when coming from a modest background.<sup>1</sup>

Once it has admitted a diverse group of students, Harvard encourages them to matriculate. Harvard does not award merit or athletic scholarships; its financial aid program is entirely need-based, and is designed to ensure that financial circumstances will not prevent any admitted student from matriculating. Harvard publicizes its financial aid policies widely, prominently discussing them on its website and in promotional materials. Harvard's Net Price Calculator, featured on its website, is designed to be simple to use and gives prominence to important details about the financial aid program. Harvard also encourages all staff, faculty, students, and alumni involved in recruitment to talk about and explain the generous financial aid program to students and families.

In addition to its generous financial aid program, Harvard makes additional efforts to encourage admitted students from diverse backgrounds to matriculate at Harvard. Harvard's Visitas weekend for admitted students invites all admitted students to campus and offers them the chance to meet their future classmates and professors, learn more about life at Harvard, and explore the campus. Harvard provides need-based aid to help all admitted students travel to Visitas. During Visitas, Harvard encourages admitted students to meet with current students, including those from similar backgrounds, to gain an understanding of the importance that the College places on diversity. For example, since 2015, Harvard has hosted an Economic Diversity and First Generation Students Reception, which offers admitted students the opportunity to meet enrolled students from the First Generation Student Union, the Harvard First Generation Program, and the Harvard Financial Aid Initiative. In addition, there is a multicultural reception for students interested in meeting members of the Undergraduate Minority Recruitment Program and leaders from a variety of student organizations.

Harvard continually evaluates these practices and considers ways to improve them. Within the past decade, this iterative review process has led to significant changes in admissions policies and practices designed to enhance diversity.

For example, Harvard has in the past decade reexamined and experimented with its Early Action admissions program in the hope of achieving several goals, including the goal of promoting diversity. Some have argued that early admission programs place students from less privileged backgrounds at a disadvantage, in part because those students may need more time to prepare for the college admissions process. In 2006, Harvard announced that it would eliminate its Early Action program in the 2007-08 admissions cycle (*i.e.*, with applicants to the Class of 2012).

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<sup>1</sup> Harvard's admissions practices are sometimes referred to as "need-blind" admissions. That phrase is meant to signify not that the Admissions Office is unaware of an applicant's financial circumstances, but rather that an applicant's inability to pay is not an impediment to admission.



Harvard hoped that eliminating Early Action would encourage an even greater number of diverse students to apply and matriculate. After a number of admissions cycles without Early Action, Harvard evaluated the effects of this change, and determined that eliminating Early Action did not create a more diverse application pool and in fact reduced Harvard's ability to attract a broadly diverse and academically excellent class. In 2011, Harvard therefore reinstated a non-binding Early Action program.

As another example, Harvard has repeatedly expanded the resources it dedicates to the students in its financial aid program over the past decade and a half. In 2004, Harvard announced the Harvard Financial Aid Initiative ("HFAI"), offering students from families with annual incomes below \$40,000 (and typical assets) the opportunity to attend Harvard at no cost to their families, while expecting a significantly reduced parental contribution for students with family incomes between \$40,000 and \$60,000. (Harvard does not consider the family's home equity in calculating family resources.) Two years later, Harvard expanded the HFAI so that no parental contribution was expected from students whose families earned up to \$60,000, and a limited contribution was expected from students whose families earned up to \$80,000. In 2008, Harvard again made Harvard College more affordable by vastly expanding the range of students who could attend Harvard without paying the full cost of tuition. Since 2012, Harvard has expected zero parental contribution from families with earnings less than \$65,000, and a contribution of not more than 10% of family income for students whose families earn between \$65,000 and \$150,000. Even families earning up to \$180,000 or more are not expected to pay the full cost of tuition, if they are faced with unusual expenses. These generous policies are designed to ensure that students from all socioeconomic strata can attend Harvard, promoting both economic and racial diversity.

In sum, to achieve its diversity-related educational objectives, Harvard devotes considerable resources to recruiting, admitting, and enrolling candidates who are diverse across many dimensions, in addition to taking applicants' race into account as one among many factors in the admissions process. The College has engaged in all of those efforts because it has concluded that each of them is helpful in contributing to the broad diversity that the College is seeking. The committee now considers whether, despite already engaging in all of the efforts described above, there remain race-neutral measures, including those identified in the challenge to Harvard's admissions practice posed in the SFFA litigation, that could be effective in attaining diversity without undermining Harvard's other foremost educational and institutional objectives.

### **III. Race-Neutral Alternatives Considered**

The committee understands that the Supreme Court has indicated that universities need not "exhaust[] every conceivable race-neutral alternative" before considering race in admissions to promote diversity; their obligation is to analyze whether any workable race-neutral admissions practices could achieve their diversity-related educational objectives about as well as the consideration of race, and at tolerable administrative expense. By reviewing literature, as well as the expert reports filed in the SFFA litigation, the committee identified the following list of practices to consider:

- Increasing efforts to recruit racially and socioeconomically diverse students
- Establishing partnerships with schools or organizations that serve applicants of modest socioeconomic backgrounds

- Increasing financial aid
- Adopting place-based preferences, such as admitting the top student or students from each high school or ZIP code
- Increasing transfer admissions
- Affording greater weight to the fact that an applicant comes from a socioeconomically disadvantaged background
- Eliminating Early Action
- Ending the practice of offering some candidates deferred admission to a subsequent class
- Eliminating the consideration of whether an applicant's parent attended Harvard or Radcliffe
- Eliminating the consideration of whether an applicant's parent is a member of Harvard's faculty or staff
- Eliminating the consideration of whether an applicant is a recruited athlete
- Eliminating any consideration of whether an applicant's family has donated or has the capacity to donate to Harvard
- Eliminating the consideration of applicants' standardized test scores

#### IV. Evaluation Of Race-Neutral Alternatives

In the committee's judgment, none of these alternative admissions practices—either alone or in combination—would enable Harvard to achieve its diversity-related educational objectives without significant and unacceptable sacrifice to other institutional imperatives. As explained below, some of the proposed alternatives would simply be not practicable for Harvard, regardless of their potential effect on diversity. Others would be ineffective at attaining a student body that would provide students with the educational and other benefits of diversity. Still others, though perhaps more likely to generate a racially diverse student body, would impose too high a cost on Harvard's other important educational and institutional objectives—a cost the committee understands the Supreme Court to have made clear in *Grutter* and *Fisher II* that universities are not required to pay.

The committee recognizes that the Supreme Court's decisions in *Grutter* and *Fisher* challenge universities to be certain that, if they consider race in college admissions, they do so in the narrowest way. Based on the committee's review of the materials generated in the SFFA litigation, other literature, and its own experience with the Harvard admissions process, the committee is convinced that Harvard does so. Harvard's admissions process treats every applicant as an individual and explores every application in depth to ascertain how the applicant and Harvard would benefit from each other. Consideration of an applicant's race is part—but only a part—of that process, and the Admissions Office's whole-person review ensures that consideration does not overwhelm other factors that bear on the College's admissions process, including the imperative that the College remain an academically outstanding institution. By contrast, the proposals discussed below are unworkable, either because they are not practicable, they are not effective, or they would impose too great a cost to our institutional objectives. Some of them would also be unduly mechanistic at the expense of Harvard's whole-person admissions process.



### **A. What Would Happen If Harvard Stopped Considering Race?**

The committee considered as an initial matter the likely effect on Harvard's student body if it were to stop considering race in its admissions process, while continuing to engage in the other practices in pursuit of diversity described above. As the expert report submitted by one of Harvard's experts in the SFFA litigation, Professor David Card, explains, the number of African-American and Hispanic students on campus would decline dramatically, notwithstanding all the other efforts that Harvard takes to recruit a broadly diverse class. Specifically, Professor Card estimates that the elimination of race in its race-conscious admissions program would reduce the population of students who self-identify as African-American, Hispanic, or "Other" racial or ethnic background by nearly 50%.<sup>2</sup> Relative to the admitted Class of 2019, for example, the proportion of African-American students would be expected to drop from 14% to 6%, and the proportion of Hispanic or Other students would be expected to drop from 14% to 9%.

This decrease would produce a corresponding increase in students of other races, primarily White students. Overall, the non-White percentage of the student body would decline substantially absent the consideration of race.

The committee believes that the significant decline in racial diversity that would flow from eliminating the consideration of race in the admissions process would prevent Harvard from achieving its diversity-related educational objectives. In particular, we are concerned that students in a significantly less diverse class will have diminished opportunities to engage with and learn from classmates who come from widely different backgrounds and circumstances, both in the classroom and in all other dimensions of campus life. This, in turn, would leave students ill-prepared to contribute to and lead in our diverse and interconnected nation and world. The issues of diversity and inclusion that Harvard faces today—including what the committee understands to be ongoing feelings of isolation and alienation among racial minorities in Harvard's community—would only be exacerbated by a significant decline in African-American and Hispanic enrollment.

This is not to say that Harvard has in mind a specific number of students of any given racial or ethnic background who must be on campus in order for Harvard's diversity-related educational objectives to be satisfied. It does not. But the committee is convinced that a significant reduction in the number of African-American and Hispanic students on campus would inhibit the ability of Harvard's students and faculty to glean the benefits of a diverse student body and significantly undermine our educational mission and broader institutional objectives.

### **B. Individualized And Aggregate Analysis Of Race-Neutral Alternative Practices**

We next discuss our assessments of whether, if Harvard were to eliminate consideration of race in the admissions process and suffer the resulting decline in racial diversity, any of the race-neutral practices set forth above could (either alone or in combination) enable Harvard to recover a degree of racial diversity sufficient to achieve its diversity-related educational objectives, while still being

<sup>2</sup> In Professor Card's report, the "Other" racial or ethnic background includes applicants who self-identified as Native American, Hawaiian, or Pacific Islander in their applications to Harvard.

practicable for Harvard and without compromising its other important educational or institutional objectives.

For convenience, we group these proposals into two kinds of practices. First, we consider a series of practices that Harvard could undertake that, without involving a direct consideration of race, might nonetheless increase the racial diversity of either the applicant pool or the student body at Harvard (or both). Second, we consider the possibility that Harvard might abandon certain of its existing admissions practices that have been criticized for negative effects on student body diversity.

Ultimately, we conclude that none of these proposals, singly or in combination, are practicable for Harvard or would allow Harvard to achieve the educational benefits of a diverse student body without unacceptable cost to other important educational and institutional objectives.

### **1. Proposals to Increase the Diversity of the Applicant Pool or Student Body**

- *Increasing efforts to recruit racially and socioeconomically diverse students to apply*

Harvard already undertakes extensive efforts to recruit students who would contribute to the diversity of its class, both at the application stage and at the matriculation stage. As noted above, Harvard students and admissions personnel visit hundreds of locations across the United States, devote extensive resources to the recruitment of minority students served by the UMRP, recruit students from the first generation of their families to attend college, and engage in extensive social media campaigns designed to expand the admissions pool. This outreach effort—which equals or exceeds the efforts of Harvard’s peer institutions. And includes the assistance of more than 10,000 alumni located throughout the nation and the world—requires an extensive commitment of human and financial resources. Harvard also purchases lists from the College Board and ACT that allow it to send multiple letters and electronic communications to more than 100,000 high school students across the country who, based on reported high school grades and standardized test scores, show promise as having the academic ability and interest to succeed at Harvard.

Harvard constantly seeks to improve its recruitment efforts, and the Dean of Admissions meets at least twice a year with the Dean of the Faculty of Arts and Sciences and often discusses how that process might be improved. But Harvard does not seek a large applicant pool as an end in itself; Harvard’s recruitment process must be directed at students who show promise of succeeding at the College. Recruiting students who are not likely to be accepted would have little effect other than to increase the number of disappointed applicants and discourage promising younger students at their schools from applying to Harvard in the future.

Moreover, as we discuss later in this report, Professor Card’s simulations of the effects of various race-neutral alternatives show that, even if increased recruitment could double the number of socioeconomically disadvantaged students who apply to Harvard—an assumption we regard as extremely unrealistic—a race-neutral admissions process still could not achieve a student body comparable in diversity to current classes without unacceptably compromising other important institutional objectives. If Harvard were to place so much weight on socioeconomic background as to achieve levels of racial diversity commensurate with those at the College today, the collateral



effect would be that the proportion of matriculants who are *most* exceptional—with the highest academic, extracurricular, personal, and athletic ratings—would decline precipitously.

- *Expanding partnerships with schools or organizations that serve applicants of modest socioeconomic backgrounds*

Harvard already engages in significant outreach efforts with community-based organizations across the country. Harvard does not restrict its efforts to a small number of organizations by giving them a “pipeline” to the College; instead, Harvard has developed and maintains a broad base of relationships with community-based organizations that strive to advance underserved students across the country. Harvard admissions officers are in touch with community-based organizations in their designated areas and foster relationships with those organizations to ensure that their top students apply to Harvard. Harvard also invites community-based organizations to participate at its annual summit on undergraduate admissions (the Harvard Summer Institute on College Admissions), and numerous community-based organizations attend the program.

Although Harvard is always considering ways to increase its efforts in this area, the committee has concluded that the current efforts are so substantial that we do not believe that seeking out additional partnerships of this nature, or deepening current partnerships, could yield more than an incrementally small number of applicants who would be admitted to Harvard and would not otherwise have applied. Furthermore, favoring specific pipeline programs would not be consistent with our goal of attracting the most diverse set of applicants independent of their ability to access a particular pipeline program. In summary, the committee does not believe that an increased effort to target so-called “pipeline” organizations would meaningfully contribute to the diversity of the applicant pool or the enrolled student body, and favoring specific pipeline programs would be inconsistent with our institutional goals.

- *Increasing financial aid*

Harvard currently offers among the most generous financial aid of any higher education institution in America. Attending the College is free to students whose families earn below \$65,000. Families earning up to \$150,000—which, according to the most recent census data, represents 87% of American households—pay no more than 10% of their income each year. These financial aid policies aim to ensure that no student will be unable to attend Harvard because of financial considerations. Harvard commits nearly \$200 million to support financial aid each year.

There is no reason to believe, however, that further increases in financial aid will materially increase the diversity of Harvard’s student body. The committee has seen nothing to suggest that members of any racial or ethnic group are choosing to attend other schools instead of Harvard on the basis of the need-based financial aid available at those institutions. Harvard’s current financial aid program is already so generous that it makes Harvard more affordable, especially to low-income applicants, than many public institutions. According to calculations from the Office of Admissions and Financial Aid, 90% of families would pay the same or less to send their children to Harvard as they would to a state school. As Professor Card notes, approximately 70% of African-American households and more than 60% of Hispanic households are already eligible for zero parental contribution under Harvard’s current financial aid program.



These data indicate that Harvard's financial aid program is already capable of reaching most potential African-American and Hispanic applicants. In fact, Professor Card's analysis shows that the most recent expansions of financial aid, in 2012 and 2016, did not result in significant increases in the number of African-American or Hispanic applicants or admitted students. Although Harvard is always interested in additional ways to make attendance at the College affordable, increasing financial aid is not likely at this time to make the student body more racially diverse.

Moreover, even Harvard has limits to the amount of financial aid it can offer. The committee believes it is simplistic to assume, as many do, that based on the size of Harvard's endowment, Harvard can afford to spend any amount of money on financial aid that it would like. The reality is much more complicated. In fact, the endowment covers only 65% of the \$200 million required to fund undergraduate financial aid. Harvard could not significantly increase its financial aid budget without detracting from other commitments—to a four-year residential experience, cutting-edge research facilities, faculty and staff, and operations—that are essential to maintaining Harvard as one of the world's leading institutions of higher learning.

- *Adopting place-based preferences*

In the committee's judgment, Harvard could not—and should not—select its class by admitting even the single top student from each high school or ZIP code. The concept is fundamentally incompatible with the core mission of the Harvard admissions process, which is to recruit, admit, and enroll the most extraordinary students in the world, wherever they may be found. Although Harvard does value geographical diversity and has long sought to recruit and admit students from across the country (and more recently around the world), it should not be compelled to deny admission to the second or third excellent applicant from one location simply because a formula points to an applicant in another place. Resorting to such a mechanical place-based system is contrary to the nuanced and individualized review that Harvard has always employed.

Limiting Harvard's ability to admit multiple applicants from a single high school or ZIP Code, in favor of admitting the single "best" student from a large number of high schools or ZIP Codes, would force Harvard to pass up globally excellent students who in its judgment would bring more to campus than the sum of the locally best students. This would not merely be true of an admissions protocol that required Harvard to admit, at most, not more than one student per ZIP Code; it would equally be true of the suggestion in Mr. Kahlenberg's report in the SFFA litigation that Harvard should endeavor to admit roughly the same number of top students from each of the College Board's "Educational Neighborhood Clusters." Excellence in all of the dimensions Harvard seeks is not equally distributed in that manner. In this committee's opinion, the adoption of an admissions regime using rigid place-based preferences would greatly lessen Harvard's undergraduate student body of qualities that Harvard has long thought important. It would replace a global search for excellence with a mechanical system of admission by numbers, the costs of which would vastly exceed the benefits.

The proposal is also beset by practical difficulties. There are more than 36,000 high schools and 43,000 ZIP Codes in the United States. Harvard does not have room to admit even one student from every one of those schools or ZIP Codes. In addition, identifying the "top student" in a high school class or ZIP code is problematic. One approach to that task would be an algorithmic assessment of students' quantitative academic credentials such as high school grades and test



scores. But Harvard has long believed that metrics like grades and test scores, although informative and important, are of limited value in identifying students who would contribute many and varied forms of excellence to Harvard's campus community. Even if Harvard were to apply its whole-person admissions process to applicants within each high school or ZIP code, it would *still* be impossible to identify the single "top" applicant, because there is no single dimension on which Harvard ranks its applicants. Some applicants may bring exceptional academic promise to campus; others, while academically excellent, may shine even more brightly in other pursuits. None of these types of students is necessarily the single "best."

Indeed, the analysis prepared by Professor Card in connection with the SFFA litigation shows that the subset of applicants who are the "top students" in their high school are weaker than Harvard's admitted class. Specifically, relative to the pool of admitted students, the "top students" have lower SAT and ACT scores as well as lower academic index ratings and academic, extracurricular, personal, and athletic ratings. The committee believes that adopting a place-based admissions regime would therefore diminish, to an unacceptable degree, the excellences that are a hallmark of our student body.

- *Increasing transfer admissions*

Because Harvard believes that a residential system is fundamental to the undergraduate experience, as reflected by the fact that 98% of undergraduates live on campus, Harvard's admissions process is necessarily confined by the number of beds on campus. Very few students take leaves of absence or otherwise leave Harvard every year, and thus Harvard has usually been able to admit only an extremely small number of excellent upperclassmen each year as transfer students—and sometimes, none at all. In recent years, for example, Harvard was able to admit just twelve transfer students from among more than 1,400 applicants. Nor does Harvard admit transfer students who have completed more than two years of study at another institution: the degree would be diminished if it could be earned without taking at least half of one's classes at the College.

In theory, Harvard could create more room for transfer students by admitting a smaller freshman class, essentially reserving spots for transfer students to join the school after their freshman year at other institutions. Harvard could also theoretically expand the size of its sophomore, junior, or senior classes by building additional housing. At this time, the committee does not consider either approach to be workable.

There is no good reason to admit fewer freshmen for the purpose of reserving spots for future transfer students. Harvard already rejects thousands of incredibly talented students who could thrive at the College, including many racially diverse applicants. Rejecting even more applicants for freshman admission to reserve additional spots for transfer admissions would only make sense if the pool of transfer students was somehow stronger than the pool of students who apply to Harvard for freshman admission. There is no reason to think this is true; in fact, as discussed below, Professor Card reports that the transfer pool is less diverse and less impressive than the pool of freshman applicants.

With respect to expanding the size of the sophomore, junior, and senior classes to accommodate additional transfer students, Harvard's ability to undertake that effort is significantly constrained by its physical plant: to do so, Harvard would need to build additional housing. At present, and for

the foreseeable future, Harvard is engaged in a House Renewal effort that involves renovating and modernizing the existing Houses, some of which are nearly 100 years old. After the House Renewal project is complete, as the College considers the possibility of expanding its housing stock, it may then be appropriate to evaluate whether additional space can or should be preserved for transfer students.

In the meantime, additional considerations counsel against increasing transfer admissions as a race-neutral means of attempting to pursue diversity. In Professor Card's expert report in the SFFA litigation, he notes that the pool of transfer applicants is actually *less* racially diverse than the pool of freshman applicants, and transfer applicants have lower academic ratings (on average) than freshman applicants. Given Harvard's limited ability to enroll a significant number of transfer students, increasing transfer admissions would have an immaterial impact on the racial diversity of the student body. Thus, the committee concluded that increasing transfer admissions is unlikely to help Harvard achieve its diversity-related educational goals, and would impair its pursuit of academic excellence.

- *Increased weight for socioeconomic background*

In the expert reports he submitted in the SFFA litigation, Professor Card examined whether Harvard could achieve diversity by increasing the weight that it gives to the fact that an applicant comes from less privileged socioeconomic circumstances, *in addition to* eliminating the practices discussed above. That analysis was done through a process of statistical modelling, in which he conducted extensive simulations of the projected composition of the Harvard freshman class if Harvard were to change its admissions practices in those ways. The simulations show that Harvard could not *both* achieve its diversity interests *and* achieve other equally important educational objectives, such as academic excellence.

Harvard has long given particular consideration to applications from students who come from modest socioeconomic backgrounds and circumstances, for many reasons. Harvard understands that excellence can be found in all quarters of society, and students who excel or show promise of excelling despite limited access to educational and other resources often show the kind of determination and resilience that makes them likely to benefit greatly from what Harvard has to offer its students—and show that they in turn will have much to offer Harvard. Students from modest socioeconomic circumstances may have distinct perspectives to share with their peers in and outside the classroom, and a class that is diverse in socioeconomic backgrounds is an essential part of the diversity in a student body that Harvard strives to achieve. Although Harvard does not assign any particular defined weight to an applicant's socioeconomic circumstances, those circumstances are important factors that the admissions process considers. But just as Harvard does not elevate racial diversity over all other considerations in the admissions process, so too does it not elevate socioeconomic considerations over all others. Harvard looks for excellence above all, and believes that excellence can and should be found in all backgrounds. A focus on socioeconomic circumstances that outweighed all other factors could equally reduce the depth and breadth of the Harvard class as well as its excellence in many dimensions.

It has been suggested that Harvard could attain a racially diverse student body by giving increased consideration to applicants' modest socioeconomic circumstances rather than considering their race or ethnicity. Doing so, however, would not be a simple matter of substituting one



consideration for another. According to Professor Card's simulations, if Harvard stopped considering race and eliminated the practices discussed below, it would need to award a boost to applicants from lower socioeconomic backgrounds that is larger than the boost given to candidates with the strongest academic, extracurricular, personal, and athletic ratings in order to reach the current level of African-American, Hispanic, and Other students admitted to Harvard.

Such a course would overwhelm other considerations in the admissions process, leading to significant changes in the composition of the admitted class, some of which would be incompatible with Harvard's educational mission. As Professor Card's report in the SFFA litigation also shows, if Harvard were to greatly increase the weight given to socioeconomic circumstances in the manner discussed above, it would run a significant risk of diminishing the academic excellence of the class.

For example, if Harvard afforded weight sufficient to produce a combined proportion of African-American, Hispanic, and Other students comparable to that of current classes, the proportion of admitted students with the highest academic ratings (as assigned by admissions officers) would be expected to drop from 76% to 66%. That is true under each of the simulations that SFFA's expert in the litigation, Mr. Kahlenberg, embraces. In fact, the ultimate combination of race-neutral alternatives that Mr. Kahlenberg deems workable for Harvard would, if adopted, result in a 19% drop in the proportion of admitted students with the highest academic ratings. That is a pronounced decline in a dimension of excellence that Harvard considers essential to its educational mission. Moreover, in both simulations of race-neutral alternatives that have been submitted in the SFFA litigation, where those experts give greater weight to applicants' socioeconomic backgrounds, the proportion of students given the highest extracurricular, personal, and athletic ratings by the Harvard Admissions Office would also decline substantially. Although some of the proposed race-neutral practices reflected in those simulations could therefore achieve a significant degree of racial diversity, Harvard does not seek diversity to the exclusion of all its other objectives—nor does the committee understand that Harvard is required to do so. Academic excellence across the student body remains an institutional imperative.

Using socioeconomic status as a proxy for race in the admissions process would also, by definition, yield a student body in which many of the non-White students would come from modest socioeconomic circumstances. Thus, even if socioeconomic status could be used to increase racial diversity, it would do so at the cost of other forms of diversity, undermining rather than advancing Harvard's diversity-related educational objectives.

In the committee's view, therefore, there is no way for Harvard to use socioeconomic factors, even in combination with the elimination of certain other practices discussed below, to achieve both its diversity-related educational objectives and its other educational objectives.

The committee also evaluated whether admissions officers should be provided with additional information relating to each applicant's socioeconomic circumstances. The committee believes that this is a proposal to solve a problem that does not exist. There is no reason to believe that Harvard currently struggles to identify low-income students during the admissions process, or that Harvard would admit more students from challenged socioeconomic circumstances if only the Admissions Office had more granular information relating to the applicant's wealth and income. Admissions officers already have access to extensive information in each application file, including extensive information bearing on applicants' socioeconomic circumstances. To the



extent admissions officers believe it would be helpful to know precise information about an applicant's socioeconomic background, they can and do ask for and receive that information from their colleagues who work in financial aid and are themselves part of the admissions staff.

## 2. Proposals to Eliminate Certain Admissions Practices

- *Eliminating Early Action*

Harvard has recently experimented with eliminating Early Action, and that experience provides strong evidence that eliminating Early Action would not allow Harvard to achieve its diversity-related educational goals. Indeed, Harvard's experience shows that a well designed Early Action process contributes to diversity rather than detracts from it, and that eliminating Early Action at Harvard ultimately decreases the diversity of the class as a whole.

Like many of its peer institutions, Harvard has historically offered applicants the opportunity to apply in November of their senior year of high school and receive notice of a decision on their applications as early as December. Harvard employs a non-binding Early Action program, as opposed to a binding Early Decision program that commits applicants to attend if admitted—and it does so because Early Decision programs can favor affluent applicants, who need not worry about the ability to compare financial aid offers from multiple schools, over less affluent applicants.

In 2006, Harvard announced that it would abolish even the non-binding Early Action program, in part as a response to a concern that such a program might favor applicants with the cultural capital and resources to prepare strong applications in time to apply early. At the time, Harvard hoped that other peer schools would follow its lead, and anticipated that the widespread elimination of Early Action across Harvard's peer institutions of higher education would result in increased socioeconomic and racial diversity for all.

That expectation was not achieved, however. Most peer universities did not follow Harvard in abolishing early admissions, and over the course of four admissions cycles without Early Action, Harvard found that the share of self-identified African-American, Hispanic, and Other applicants to Harvard did not rise and that the yield rate for African-American, Hispanic, and Other applicants declined. To make matters worse, many of the most promising African-American, Hispanic, and Other applicants opted to attend universities that continued to offer them early admission.

In response to this experience, Harvard reinstituted a single-choice Early Action program beginning with the class of 2016. As compared with the period during which Early Action was abolished, the yield rate for applicants across all racial groups increased after the return of Early Action. In sum, Harvard learned that the elimination of Early Action detracted from its ability to enroll highly talented students, including self-identified African-American, Hispanic, and Other students, and the return of Early Action enhanced that ability. Based on Harvard's direct experience and experimentation with Early Action, the committee does not believe that abolishing Early Action again would contribute to diversity on campus, let alone restore to a meaningful degree the diversity that would be lost by eliminating consideration of race. The committee further believes that the abolition of Early Action would damage Harvard's ability to compete effectively for top candidates, hindering its educational goals.



• *Eliminating other practices*

In the expert reports he provided in connection with the SFFA litigation, Professor Card was able to simulate the effects of eliminating a group of practices that have been challenged in that litigation as potentially favoring White applicants: the practice of deferred admission, the consideration of whether an applicant's parents attended Harvard or Radcliffe, the consideration of whether an applicant's parent is employed by Harvard, the consideration of whether the applicant is a recruited athlete, and the consideration of whether the applicant is on the Dean's or Director's interest list.

As discussed above, Professor Card's simulations show that if Harvard eliminated all of those practices, and also eliminated consideration of race in the admissions process, the resulting class would have significantly fewer students who identify as African-American, Hispanic, or Other. As discussed above, the committee regards a decline in diversity of such significant magnitude as inimical to Harvard's diversity-related educational objectives.

Thus, to the extent elimination of these practices could even marginally increase diversity, it would not do so by nearly enough to compensate for the sharp decline in diversity that would result from eliminating consideration of race in the admissions process. For example, Professor Card's simulations show that eliminating the consideration of race, but keeping these other policies constant, would reduce the share of admitted students who are African-American to 5.6% and the share who are Hispanic or Other to 8.9%. Eliminating the consideration of race and eliminating these processes would have a negligible effect (and not always positive) on diversity, resulting in an admitted class that is 5.3% African-American and 9.3% Hispanic or Other. That is reason enough for the committee to conclude that these practices would not prevent Harvard from needing to consider race in the admissions process to achieve its diversity-related educational objectives.

In view of the criticism leveled against certain of these practices, however, the committee also considered whether the challenged practices are consistent with Harvard's broader values and interests. The committee concludes that the practices do serve important institutional values and interests:

- Like excellence in other extracurricular pursuits, athletic excellence is one of many attributes that Harvard values in its students. Athletic performance at a high level requires discipline, resilience, and teamwork that benefits students for the rest of their lives and prepares them for active engagement with their peers. Harvard student-athletes are also among the most dedicated alumni and contribute in many ways to the University after they graduate. In addition, Harvard's ability to field athletic teams contributes to the deep connection Harvard students and alumni form with the institution and that foster a sense of community on campus.
- The practice of considering, among many other factors, whether an applicant's parent attended Harvard College or Radcliffe College as an undergraduate also helps to cement strong bonds between the university and its alumni. Harvard hopes that its alumni will remain engaged with the College for the rest of their lives, and this consideration is one way that it encourages them to do so. Harvard also relies to an unusual degree on the participation of its alumni in the admissions process. In every

state and almost every country around the world, Harvard graduates volunteer their time to serve as alumni interviewers. Harvard alumni also offer generous financial support to their alma mater. That financial support is essential to Harvard's position as a leading institution of higher learning; indeed, it helps make the financial aid policies possible that help the diversity and excellence of the College's student body. Although alumni support Harvard for many reasons, the committee is concerned that eliminating any consideration of whether an applicant's parent attended Harvard or Radcliffe would diminish this vital sense of engagement and support. In addition, giving consideration to whether an applicant's parent attended the College serves a community-building function, and contributes to a sense among all undergraduates that they are part of a lifelong educational engagement. Finally, the committee notes that children of Harvard alumni tend to be very strong applicants.

- The practice of deferred admission allows Harvard to admit excellent students who would benefit from the experiences gained in a gap year. Some of those students also have significant connections to the University, including as a result of their parent's service to the College as an employee or volunteer. Therefore, deferred admission advances the same institutional goals implicated by the practice of considering whether an applicant's parent attended Harvard College or Radcliffe College, described immediately above.
- Considering whether an applicant's parent is a member of the University faculty or staff is important to the retention of talent in the University workforce. Eliminating that consideration would place Harvard at a significant competitive disadvantage in recruiting personnel. Applicants from the Harvard community also tend to be strong students, and their presence on campus helps build a sense of community across the generations.
- To the extent the Admissions Committee currently considers other aspects of service to Harvard, including whether an applicant's family has donated or has the capacity to donate to Harvard, it does so in a very small number of cases—far too small for the cessation of any such practice to contribute meaningfully to campus diversity (and many of those applicants have other connections to Harvard as well). The committee wishes to emphasize that—although development efforts are both legitimate and indeed essential to any private university, and although they enable Harvard and its students and faculty to make many contributions to the public good—no student is ever admitted to Harvard simply because his or her family is able to make a donation. We further note that Harvard has a practice of not soliciting donations from families who have a child in the applicant pool.
- *Eliminating consideration of standardized test scores*

Finally, in his expert report in the SFFA litigation, Professor Card examined how eliminating consideration of standardized test scores—in addition to eliminating the practices discussed at the outset and giving increased weight to socioeconomic circumstances—would alter the characteristics of the admitted class.



Professor Card's analyses show that this set of practices in combination could produce a comparably diverse class only at a significant cost to Harvard's other educational objectives. For example, if that increased weight for modest socioeconomic circumstances were sufficient to produce a combined proportion of African-American, Hispanic, and Other students comparable to that of Harvard's current classes, the proportion of students with the highest academic ratings would decline by 17%, and the proportion of students with the highest extracurricular or personal ratings would decline by 7%. As discussed above, the committee regards changes of this magnitude as incompatible with Harvard's educational objectives.

Furthermore, although SAT exams, SAT Subject Tests, and ACT exams are imperfect measures of academic excellence and aptitude, the Admissions Committee believes that when considered appropriately—that is, in light of an applicant's background and ability to prepare, and as one factor among many—the tests provide useful information that the committee would lose if it excluded any consideration of them. The committee notes that the SAT and other standardized tests have been modernized over the past several years, mitigating (though not eliminating) concerns that they have a racially disparate impact, and that free test preparation courses are now relatively widespread. This is not to deny the correlation between standardized test scores and socioeconomic status. Indeed, as part of its continuous effort to attract students from all economic backgrounds, Harvard recently announced that beginning with the Class of 2023, applicants would not be required to submit the essay portion of the SAT or ACT. But the correlation between standardized test scores and socioeconomic status does not render standardized test scores irrelevant, and provides no reason to prevent admissions officers from considering them, while taking into account the applicant's resources.

#### **V. Conclusion**

As set forth above, we conclude that, at present, no workable race-neutral admissions practices could promote Harvard's diversity-related educational objectives as well as Harvard's current whole-person race-conscious admissions program while also maintaining the standards of excellence that Harvard seeks in its student body. This is not to say that race-neutral efforts to achieve diversity are inherently futile, or could not achieve another institution's goals—only that, based on our careful review, they will not work at Harvard and at this time. Many of those who have argued otherwise—both generally in the literature and specifically as to Harvard in the SFFA litigation—proceed from an excessively narrow understanding of excellence and achievement, placing undue emphasis on test scores, or suggest contrived and unworkable approaches, such as reliance on ZIP Codes. But Harvard has never sought to maximize the number of places from which students are admitted, or to maximize the SAT scores of the admitted class. The crucial question, rather, is how Harvard can admit a class of students that are both excellent in many ways and diverse in many ways.

Ultimately, the fundamental defect of many of the proposed race-neutral alternatives is that they will not allow Harvard to achieve its goal of admitting students who are undeniably extraordinary—students who excel in a range of different ways, who will take advantage of all that Harvard can offer them, who will contribute to the education of their classmates, who will enhance Harvard's organization, who will engage its faculty, and who will become citizen-leaders in the world beyond Cambridge.

Although we have confidence in our conclusion today, it will be important to reassess, periodically, the necessity of considering race and ethnicity in the admissions process. To that end, we recommend that the College re-evaluate its consideration of race-neutral alternatives five years from now.

\* \* \*

William Fitzsimmons, *Dean of Admissions and Financial Aid*

Rakesh Khurana, *Dean of Harvard College; Marvin Bower Professor of Leadership Development, Harvard Business School; Faculty Dean, Cabot House*

Michael D. Smith (Chair), *Edgerley Family Dean of the Faculty of Arts and Sciences; John H. Finley, Jr. Professor of Engineering and Applied Sciences*

*April 2018*

**From:** McGrath, Marlyn [/O=HARVARD-FAS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=MMCG]  
**Sent:** Tuesday, April 15, 2014 2:36:28 AM  
**To:** Balian, Andrea  
**Subject:** Fwd: stats  
**Attachments:** Demog20002017.pdf; ATT00001.htm

Pp

Sent from my iPhone

Begin forwarded message:

**From:** "Yong, Elizabeth" <[yong@fas.harvard.edu](mailto:yong@fas.harvard.edu)>  
**To:** "Fitzsimmons, William" <[wrf@fas.harvard.edu](mailto:wrf@fas.harvard.edu)>, "McGrath, Marlyn" <[mmcg@fas.harvard.edu](mailto:mmcg@fas.harvard.edu)>  
**Subject:** stats

WRF and MEM,

Attached are the latest version of the numbers for the April 24 meeting.

I added nlna for the old methodology and reformatted the nlna sheet for new methodology so it would be easier the read.

I also added sat averages by ethnicity for old methodology and new methodology.

Let me know if you'd like to see anything else.

EBY

Reminder - I'm out of the office on Tuesday. Thanks.



Demographic Breakdown of Applicants, Admits, and Matriculants											
	Class of 2000						Class of 2001				
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics
Asian Am	3683	20.3%	340	16.4%	274	17.0%	3314	20.0%	367	17.0%	287
African Am	964	5.3%	185	8.9%	137	8.5%	909	5.5%	184	8.5%	131
Hispanic Am	1140	6.3%	171	8.2%	122	7.6%	1111	6.7%	185	8.6%	141
Nat Am/Nat HI	129	0.7%	16	0.8%	8	0.5%	165	1.0%	15	0.7%	11
Other	453	2.5%	22	1.1%	17	1.1%	472	2.8%	22	1.0%	17
Unknown	2470	13.6%	359	17.3%	279	17.3%	2172	13.1%	378	17.6%	292
White	6991	38.4%	863	41.6%	690	42.8%	6138	37.0%	867	40.3%	648
Int'l Citiz	2353	12.9%	118	5.7%	87	5.4%	2316	14.0%	135	6.3%	115
Total	18183		2074		1614		16597		2153		1642
	Class of 2002						Class of 2003				
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics
Asian Am	3321	19.7%	375	18.0%	312	18.9%	3537	19.5%	339	16.4%	285
African Am	1005	6.0%	205	9.8%	146	8.8%	1081	6.0%	202	9.8%	129
Hispanic Am	1138	6.8%	174	8.3%	128	7.8%	1270	7.0%	177	8.6%	129
Nat Am/Nat HI	136	0.8%	13	0.6%	12	0.7%	173	1.0%	22	1.1%	14
Other	456	2.7%	13	0.6%	8	0.5%	364	2.0%	15	0.7%	13
Unknown	1942	11.5%	278	13.3%	223	13.5%	1679	9.2%	188	9.1%	163
White	6587	39.2%	912	43.7%	725	43.9%	7652	42.1%	997	48.2%	793
Int'l Citiz	2233	13.3%	116	5.6%	96	5.8%	2405	13.2%	128	6.2%	108
Total	16818		2086		1650		18161		2068		1634
	Class of 2004						Class of 2005				
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics
Asian Am	3637	19.5%	332	15.9%	274	16.7%	3736	19.6%	297	14.1%	238
African Am	1177	6.3%	202	9.7%	129	7.9%	1139	6.0%	185	8.8%	118
Hispanic Am	1185	6.3%	181	8.7%	126	7.7%	1415	7.4%	187	8.9%	138
Nat Am/Nat HI	170	0.9%	20	1.0%	9	0.5%	196	1.0%	24	1.1%	19
Other	415	2.2%	13	0.6%	13	0.8%	337	1.8%	11	0.5%	10
Unknown	2246	12.0%	237	11.4%	205	12.5%	2125	11.2%	281	13.3%	217
White	7372	39.4%	968	46.5%	779	47.4%	7420	39.0%	969	45.9%	771
Int'l Citiz	2491	13.3%	129	6.2%	107	6.5%	2646	13.9%	156	7.4%	126
Total	18693		2082		1642		19014		2110		1637

Demographic Breakdown of Applicants, Admits, and Matriculants											
	Class of 2006						Class of 2007				
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics
Asian Am	4022	20.5%	340	16.5%	284	17.5%	4459	21.2%	339	16.2%	285
African Am	1226	6.3%	183	8.9%	112	6.9%	1277	6.1%	209	10.0%	139
Hispanic Am	1396	7.1%	162	7.8%	117	7.2%	1690	8.1%	180	8.6%	127
Nat Am/Nat HI	204	1.0%	24	1.2%	11	0.7%	217	1.0%	20	1.0%	12
Other	324	1.7%	16	0.8%	11	0.7%	230	1.1%	8	0.4%	8
Unknown	1227	6.3%	140	6.8%	122	7.5%	1288	6.1%	129	6.2%	102
White	8643	44.1%	1055	51.1%	840	51.7%	8974	42.8%	1049	50.1%	824
Int'l Citiz	2566	13.1%	146	7.1%	127	7.8%	2852	13.6%	161	7.7%	138
Total	19608		2066		1624		20987		2095		1635
	Class of 2008						Class of 2009				
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics
Asian Am	4290	21.7%	403	19.1%	326	19.9%	4804	21.1%	371	17.6%	304
African Am	1263	6.4%	211	10.0%	145	8.9%	1716	7.5%	221	10.5%	153
Hispanic Am	1681	8.5%	194	9.2%	144	8.8%	1906	8.4%	173	8.2%	120
Nat Am/Nat HI	189	1.0%	19	0.9%	18	1.1%	209	0.9%	22	1.0%	14
Other	240	1.2%	9	0.4%	9	0.5%	344	1.5%	10	0.5%	8
Unknown	1044	5.3%	103	4.9%	79	4.8%	1940	8.5%	165	7.8%	123
White	8195	41.5%	994	47.1%	767	46.8%	8492	37.3%	957	45.5%	763
Int'l Citiz	2850	14.4%	177	8.4%	150	9.2%	3385	14.8%	183	8.7%	155
Total	19752		2110		1638		22796		2102		1640
	Class of 2010						Class of 2011				
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics
Asian Am	4865	21.4%	375	17.6%	322	19.1%	4803	20.9%	411	19.5%	336
African Am	1984	8.7%	220	10.4%	156	9.3%	2052	8.9%	221	10.5%	144
Hispanic Am	2084	9.2%	207	9.7%	146	8.7%	2180	9.5%	208	9.9%	149
Nat Am/Nat HI	253	1.1%	30	1.4%	20	1.2%	245	1.1%	31	1.5%	20
Other	354	1.6%	8	0.4%	7	0.4%	302	1.3%	6	0.3%	6
Unknown	2020	8.9%	202	9.5%	168	10.0%	1854	8.1%	200	9.5%	159
White	7761	34.1%	899	42.3%	713	42.3%	7659	33.4%	838	39.8%	678
Int'l Citiz	3433	15.1%	184	8.7%	152	9.0%	3860	16.8%	193	9.2%	167
Total	22754		2125		1684		22955		2108		1659

Demographic Breakdown of Applicants, Admits, and Matriculants												
	Class of 2012						Class of 2013					
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics	% Class
Asian Am	5378	19.6%	415	19.1%	348	21.0%	5784	19.9%	380	17.5%	317	19.1%
African Am	2765	10.1%	217	10.0%	139	8.4%	2975	10.2%	226	10.4%	159	9.6%
Hispanic Am	2675	9.7%	193	8.9%	118	7.1%	2974	10.2%	231	10.6%	152	9.1%
Nat Am/Nat HI	261	1.0%	25	1.1%	16	1.0%	267	0.9%	28	1.3%	17	1.0%
Other	452	1.6%	13	0.6%	10	0.6%	463	1.6%	9	0.4%	7	0.4%
Unknown	2831	10.3%	266	12.2%	202	12.2%	2997	10.3%	266	12.2%	203	12.2%
White	8594	31.3%	853	39.2%	652	39.3%	9190	31.6%	837	38.5%	641	38.5%
Int'l Citiz	4506	16.4%	193	8.9%	173	10.4%	4464	15.3%	198	9.1%	167	10.0%
Total	27462		2175		1658		29114		2175		1663	
	Class of 2014						Class of 2015					
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics	% Class
Asian Am	6872	22.5%	437	19.8%	359	21.6%	7767	22.2%	423	19.3%	346	20.8%
African Am	2953	9.7%	244	11.1%	156	9.4%	3624	10.4%	254	11.6%	162	9.8%
Hispanic Am	3037	10.0%	195	8.8%	127	7.6%	3613	10.3%	242	11.1%	153	9.2%
Nat Am/Nat HI	367	1.2%	38	1.7%	25	1.5%	318	0.9%	25	1.1%	19	1.1%
Other	40	0.1%	2	0.1%	1	0.1%	18	0.1%	3	0.1%	3	0.2%
Unknown	740	2.4%	90	4.1%	78	4.7%	1174	3.4%	79	3.6%	66	4.0%
White	11474	37.6%	1005	45.6%	758	45.6%	12422	35.5%	942	43.1%	718	43.2%
Int'l Citiz	5006	16.4%	194	8.8%	160	9.6%	6014	17.2%	220	10.1%	194	11.7%
Total	30489		2205		1664		34950		2188		1661	
	Class of 2016						Class of 2017					
	Apps	% of Apps	Admits	% Admits	Matrics	% Class	Apps	% of Apps	Admits	% Admits	Matrics	% Class
Asian Am	7011	20.4%	422	20.3%	369	22.2%	7133	20.4%	400	19.5%	338	20.4%
African Am	3342	9.7%	208	10.0%	154	9.3%	3440	9.8%	233	11.4%	156	9.4%
Hispanic Am	3464	10.1%	194	9.3%	130	7.8%	3514	10.0%	213	10.4%	156	9.4%
Nat Am/Nat HI	346	1.0%	23	1.1%	12	0.7%	356	1.0%	30	1.5%	23	1.4%
Other	2	0.0%	1	0.0%	1	0.1%	1	0.0%	0	0.0%	0	0.0%
Unknown	2464	7.2%	161	7.8%	119	7.2%	2747	7.8%	167	8.2%	140	8.4%
White	11346	33.1%	851	41.0%	694	41.7%	11415	32.6%	794	38.8%	661	39.8%
Int'l Citiz	6328	18.4%	216	10.4%	185	11.1%	6417	18.3%	210	10.3%	185	11.2%
Total	34303		2076		1664		35023		2047		1659	

## Applicants, Admits, and Matriculants - Old Methodology NLNA

Class of 2000												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3683	20.3%	340	16.4%	9.2%	274	17.0%	80.6%	3642	21.3%	322	19.6%
African Am	964	5.3%	185	8.9%	19.2%	137	8.5%	74.1%	915	5.3%	170	10.4%
Hispanic Am	1140	6.3%	171	8.2%	15.0%	122	7.6%	71.3%	1119	6.5%	165	10.0%
Nat Am/Nat HI	129	0.7%	16	0.8%	12.4%	8	0.5%	50.0%	127	0.7%	16	1.0%
Other	453	2.5%	22	1.1%	4.9%	17	1.1%	77.3%	437	2.6%	18	1.1%
Unknown	2470	13.6%	359	17.3%	14.5%	279	17.3%	77.7%	2238	13.1%	252	15.3%
White	6991	38.4%	863	41.6%	12.3%	690	42.8%	80.0%	6363	37.1%	604	36.8%
Int'l Citiz	2353	12.9%	118	5.7%	5.0%	87	5.4%	73.7%	2296	13.4%	95	5.8%
Total	18183		2074		11.4%	1614		77.8%	17137		1642	
Class of 2001												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3314	20.0%	367	17.0%	11.1%	287	17.5%	78.2%	3259	21.0%	340	20.8%
African Am	909	5.5%	184	8.5%	20.2%	131	8.0%	71.2%	869	5.6%	164	10.0%
Hispanic Am	1111	6.7%	185	8.6%	16.7%	141	8.6%	76.2%	1089	7.0%	176	10.7%
Nat Am/Nat HI	165	1.0%	15	0.7%	9.1%	11	0.7%	73.3%	157	1.0%	13	0.8%
Other	472	2.8%	22	1.0%	4.7%	17	1.0%	77.3%	453	2.9%	18	1.1%
Unknown	2172	13.1%	378	17.6%	17.4%	292	17.8%	77.2%	1940	12.5%	260	15.9%
White	6138	37.0%	867	40.3%	14.1%	648	39.5%	74.7%	5475	35.3%	562	34.3%
Int'l Citiz	2316	14.0%	135	6.3%	5.8%	115	7.0%	85.2%	2253	14.5%	105	6.4%
Total	16597		2153		13.0%	1642		76.3%	15495		1638	
Class of 2002												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3321	19.7%	375	18.0%	11.3%	312	18.9%	83.2%	3278	20.8%	345	22.0%
African Am	1005	6.0%	205	9.8%	20.4%	146	8.8%	71.2%	944	6.0%	181	11.5%
Hispanic Am	1138	6.8%	174	8.3%	15.3%	128	7.8%	73.6%	1115	7.1%	166	10.6%
Nat Am/Nat HI	136	0.8%	13	0.6%	9.6%	12	0.7%	92.3%	129	0.8%	12	0.8%
Other	456	2.7%	13	0.6%	2.9%	8	0.5%	61.5%	444	2.8%	9	0.6%
Unknown	1942	11.5%	278	13.3%	14.3%	223	13.5%	80.2%	1723	10.9%	175	11.2%
White	6587	39.2%	912	43.7%	13.8%	725	43.9%	79.5%	5926	37.7%	590	37.6%
Int'l Citiz	2233	13.3%	116	5.6%	5.2%	96	5.8%	82.8%	2180	13.9%	91	5.8%
Total	16818		2086		12.4%	1650		79.1%	15739		1569	
Class of 2003												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3321	19.7%	375	18.0%	11.3%	312	18.9%	83.2%	3278	20.8%	345	22.0%
African Am	1005	6.0%	205	9.8%	20.4%	146	8.8%	71.2%	944	6.0%	181	11.5%
Hispanic Am	1138	6.8%	174	8.3%	15.3%	128	7.8%	73.6%	1115	7.1%	166	10.6%
Nat Am/Nat HI	136	0.8%	13	0.6%	9.6%	12	0.7%	92.3%	129	0.8%	12	0.8%
Other	456	2.7%	13	0.6%	2.9%	8	0.5%	61.5%	444	2.8%	9	0.6%
Unknown	1942	11.5%	278	13.3%	14.3%	223	13.5%	80.2%	1723	10.9%	175	11.2%
White	6587	39.2%	912	43.7%	13.8%	725	43.9%	79.5%	5926	37.7%	590	37.6%
Int'l Citiz	2233	13.3%	116	5.6%	5.2%	96	5.8%	82.8%	2180	13.9%	91	5.8%
Total	16818		2086		12.4%	1650		79.1%	15739		1569	

## Applicants, Admits, and Matriculants - Old Methodology NLNA

Class of 2003												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3537	19.5%	339	16.4%	9.6%	285	17.4%	84.1%	3493	20.5%	313	20.2%
African Am	1081	6.0%	202	9.8%	18.7%	129	7.9%	63.9%	1031	6.1%	183	11.8%
Hispanic Am	1270	7.0%	177	8.6%	13.9%	129	7.9%	72.9%	1249	7.3%	167	10.8%
Nat Am/Nat HI	173	1.0%	22	1.1%	12.7%	14	0.9%	63.6%	167	1.0%	19	1.2%
Other	364	2.0%	15	0.7%	4.1%	13	0.8%	86.7%	354	2.1%	11	0.7%
Unknown	1679	9.2%	188	9.1%	11.2%	163	10.0%	86.7%	1486	8.7%	110	7.1%
White	7652	42.1%	997	48.2%	13.0%	793	48.5%	79.5%	6902	40.5%	652	42.0%
Int'l Citiz	2405	13.2%	128	6.2%	5.3%	108	6.6%	84.4%	2343	13.8%	97	6.3%
Total	18161		2068		11.4%	1634		79.0%	17025		1552	
Class of 2004												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3637	19.5%	332	15.9%	9.1%	274	16.7%	82.5%	3584	20.4%	299	19.1%
African Am	1177	6.3%	202	9.7%	17.2%	129	7.9%	63.9%	1131	6.4%	178	11.4%
Hispanic Am	1185	6.3%	181	8.7%	15.3%	126	7.7%	69.6%	1153	6.6%	170	10.9%
Nat Am/Nat HI	170	0.9%	20	1.0%	11.8%	9	0.5%	45.0%	162	0.9%	16	1.0%
Other	415	2.2%	13	0.6%	3.1%	13	0.8%	100.0%	403	2.3%	7	0.4%
Unknown	2246	12.0%	237	11.4%	10.6%	205	12.5%	86.5%	2011	11.5%	145	9.3%
White	7372	39.4%	968	46.5%	13.1%	779	47.4%	80.5%	6664	38.0%	647	41.3%
Int'l Citiz	2491	13.3%	129	6.2%	5.2%	107	6.5%	82.9%	2431	13.9%	103	6.6%
Total	18693		2082		11.1%	1642		78.9%	17539		1565	
Class of 2005												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3736	19.6%	297	14.1%	7.9%	238	14.5%	80.1%	3675	20.6%	268	17.4%
African Am	1139	6.0%	185	8.8%	16.2%	118	7.2%	63.8%	1100	6.2%	166	10.8%
Hispanic Am	1415	7.4%	187	8.9%	13.2%	138	8.4%	73.8%	1378	7.7%	172	11.1%
Nat Am/Nat HI	196	1.0%	24	1.1%	12.2%	19	1.2%	79.2%	187	1.0%	19	1.2%
Other	337	1.8%	11	0.5%	3.3%	10	0.6%	90.9%	331	1.9%	9	0.6%
Unknown	2125	11.2%	281	13.3%	13.2%	217	13.3%	77.2%	1902	10.7%	178	11.5%
White	7420	39.0%	969	45.9%	13.1%	771	47.1%	79.6%	6694	37.5%	602	39.0%
Int'l Citiz	2646	13.9%	156	7.4%	5.9%	126	7.7%	80.8%	2588	14.5%	130	8.4%
Total	19014		2110		11.1%	1637		77.6%	17855		1544	
Class of 2006												
Overall												
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	3736	19.6%	297	14.1%	7.9%	238	14.5%	80.1%	3675	20.6%	268	17.4%
African Am	1139	6.0%	185	8.8%	16.2%	118	7.2%	63.8%	1100	6.2%	166	10.8%
Hispanic Am	1415	7.4%	187	8.9%	13.2%	138	8.4%	73.8%	1378	7.7%	172	11.1%
Nat Am/Nat HI	196	1.0%	24	1.1%	12.2%	19	1.2%	79.2%	187	1.0%	19	1.2%
Other	337	1.8%	11	0.5%	3.3%	10	0.6%	90.9%	331	1.9%	9	0.6%
Unknown	2125	11.2%	281	13.3%	13.2%	217	13.3%	77.2%	1902	10.7%	178	11.5%
White	7420	39.0%	969	45.9%	13.1%	771	47.1%	79.6%	6694	37.5%	602	39.0%
Int'l Citiz	2646	13.9%	156	7.4%	5.9%	126	7.7%	80.8%	2588	14.5%	130	8.4%
Total	19014		2110		11.1%	1637		77.6%	17855		1544	



## Applicants, Admits, and Matriculants - Old Methodology NLNA

Applicants, Admits, and Matriculants - Old Methodology NLNA																
Class of 2006																
Overall								NLNA								
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian Am	4022	20.5%	340	16.5%	8.5%	284	17.5%	83.5%	3970	21.6%	323	21.1%	8.1%	269	23.1%	83.3%
African Am	1226	6.3%	183	8.9%	14.9%	112	6.9%	61.2%	1164	6.3%	151	9.9%	13.0%	89	7.6%	58.9%
Hispanic Am	1396	7.1%	162	7.8%	11.6%	117	7.2%	72.2%	1368	7.4%	150	9.8%	11.0%	105	9.0%	70.0%
Nat Am/Nat HI	204	1.0%	24	1.2%	11.8%	11	0.7%	45.8%	196	1.1%	20	1.3%	10.2%	9	0.8%	45.0%
Other	324	1.7%	16	0.8%	4.9%	11	0.7%	68.8%	312	1.7%	11	0.7%	3.5%	7	0.6%	63.6%
Unknown	1227	6.3%	140	6.8%	11.4%	122	7.5%	87.1%	1063	5.8%	83	5.4%	7.8%	70	6.0%	84.3%
White	8643	44.1%	1055	51.1%	12.2%	840	51.7%	79.6%	7814	42.5%	667	43.6%	8.5%	511	43.8%	76.6%
Int'l Citiz	2566	13.1%	146	7.1%	5.7%	127	7.8%	87.0%	2505	13.6%	124	8.1%	5.0%	106	9.1%	85.5%
Total	19608		2066		10.5%	1624		78.6%	18392		1529		8.3%	1166		76.3%
Class of 2007																
Overall								NLNA								
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian Am	4459	21.2%	339	16.2%	7.6%	285	17.4%	84.1%	4397	22.2%	317	19.5%	7.2%	265	21.7%	83.6%
African Am	1277	6.1%	209	10.0%	16.4%	139	8.5%	66.5%	1227	6.2%	184	11.3%	15.0%	119	9.7%	64.7%
Hispanic Am	1690	8.1%	180	8.6%	10.7%	127	7.8%	70.6%	1658	8.4%	166	10.2%	10.0%	117	9.6%	70.5%
Nat Am/Nat HI	217	1.0%	20	1.0%	9.2%	12	0.7%	60.0%	212	1.1%	19	1.2%	9.0%	11	0.9%	57.9%
Other	230	1.1%	8	0.4%	3.5%	8	0.5%	100.0%	222	1.1%	7	0.4%	3.2%	7	0.6%	100.0%
Unknown	1288	6.1%	129	6.2%	10.0%	102	6.2%	79.1%	1148	5.8%	78	4.8%	6.8%	58	4.7%	74.4%
White	8974	42.8%	1049	50.1%	11.7%	824	50.4%	78.6%	8185	41.2%	719	44.1%	8.8%	528	43.2%	73.4%
Int'l Citiz	2852	13.6%	161	7.7%	5.6%	138	8.4%	85.7%	2794	14.1%	139	8.5%	5.0%	118	9.6%	84.9%
Total	20987		2095		10.0%	1635		78.0%	19843		1629		8.2%	1223		75.1%
Class of 2008																
Overall								NLNA								
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian Am	4290	21.7%	403	19.1%	9.4%	326	19.9%	80.9%	4233	22.7%	378	23.3%	8.9%	305	25.1%	80.7%
African Am	1263	6.4%	211	10.0%	16.7%	145	8.9%	68.7%	1210	6.5%	183	11.3%	15.1%	120	9.9%	65.6%
Hispanic Am	1681	8.5%	194	9.2%	11.5%	144	8.8%	74.2%	1648	8.8%	182	11.2%	11.0%	133	10.9%	73.1%
Nat Am/Nat HI	189	1.0%	19	0.9%	10.1%	18	1.1%	94.7%	183	1.0%	16	1.0%	8.7%	15	1.2%	93.8%
Other	240	1.2%	9	0.4%	3.8%	9	0.5%	100.0%	232	1.2%	6	0.4%	2.6%	6	0.5%	100.0%
Unknown	1044	5.3%	103	4.9%	9.9%	79	4.8%	76.7%	912	4.9%	47	2.9%	5.2%	30	2.5%	63.8%
White	8195	41.5%	994	47.1%	12.1%	767	46.8%	77.2%	7446	39.9%	657	40.4%	8.8%	477	39.2%	72.6%
Int'l Citiz	2850	14.4%	177	8.4%	6.2%	150	9.2%	84.7%	2811	15.1%	156	9.6%	5.5%	130	10.7%	83.3%
Total	19752		2110		10.7%	1638		77.6%	18675		1625		8.7%	1216		74.8%

## Applicants, Admits, and Matriculants - Old Methodology NLNA

Class of 2009												
Overall							NLNA					
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	4804	21.1%	371	17.6%	7.7%	304	18.5%	81.9%	4741	21.8%	348	21.1%
African Am	1716	7.5%	221	10.5%	12.9%	153	9.3%	69.2%	1657	7.6%	190	11.5%
Hispanic Am	1906	8.4%	173	8.2%	9.1%	120	7.3%	69.4%	1875	8.6%	161	9.8%
Nat Am/Nat HI	209	0.9%	22	1.0%	10.5%	14	0.9%	63.6%	203	0.9%	18	1.1%
Other	344	1.5%	10	0.5%	2.9%	8	0.5%	80.0%	336	1.5%	9	0.5%
Unknown	1940	8.5%	165	7.8%	8.5%	123	7.5%	74.5%	1766	8.1%	112	6.8%
White	8492	37.3%	957	45.5%	11.3%	763	46.5%	79.7%	7799	35.9%	648	39.3%
Int'l Citiz	3385	14.8%	183	8.7%	5.4%	155	9.5%	84.7%	3328	15.3%	163	9.9%
Total	22796		2102		9.2%	1640		78.0%	21705		1649	
Class of 2010												
Overall							NLNA					
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	4865	21.4%	375	17.6%	7.7%	322	19.1%	85.9%	4812	22.3%	353	21.7%
African Am	1984	8.7%	220	10.4%	11.1%	156	9.3%	70.9%	1916	8.9%	188	11.6%
Hispanic Am	2084	9.2%	207	9.7%	9.9%	146	8.7%	70.5%	2039	9.4%	186	11.4%
Nat Am/Nat HI	253	1.1%	30	1.4%	11.9%	20	1.2%	66.7%	245	1.1%	24	1.5%
Other	354	1.6%	8	0.4%	2.3%	7	0.4%	87.5%	348	1.6%	6	0.4%
Unknown	2020	8.9%	202	9.5%	10.0%	168	10.0%	83.2%	1847	8.5%	128	7.9%
White	7761	34.1%	899	42.3%	11.6%	713	42.3%	79.3%	7033	32.5%	583	35.9%
Int'l Citiz	3433	15.1%	184	8.7%	5.4%	152	9.0%	82.6%	3385	15.7%	157	9.7%
Total	22754		2125		9.3%	1684		79.2%	21625		1625	
Class of 2011												
Overall							NLNA					
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	4803	20.9%	411	19.5%	8.6%	336	20.3%	81.8%	4731	21.7%	383	23.9%
African Am	2052	8.9%	221	10.5%	10.8%	144	8.7%	65.2%	1986	9.1%	196	12.2%
Hispanic Am	2180	9.5%	208	9.9%	9.5%	149	9.0%	71.6%	2140	9.8%	186	11.6%
Nat Am/Nat HI	245	1.1%	31	1.5%	12.7%	20	1.2%	64.5%	237	1.1%	28	1.7%
Other	302	1.3%	6	0.3%	2.0%	6	0.4%	100.0%	297	1.4%	5	0.3%
Unknown	1854	8.1%	200	9.5%	10.8%	159	9.6%	79.5%	1679	7.7%	124	7.7%
White	7659	33.4%	838	39.8%	10.9%	678	40.9%	80.9%	6904	31.7%	517	32.3%
Int'l Citiz	3860	16.8%	193	9.2%	5.0%	167	10.1%	86.5%	3816	17.5%	162	10.1%
Total	22955		2108		9.2%	1659		78.7%	21790		1601	

## Applicants, Admits, and Matriculants - Old Methodology NLNA

Applicants, Admits, and Matriculants - Old Methodology NLNA																
Class of 2012																
Overall																
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian Am	5378	19.6%	415	19.1%	7.7%	348	21.0%	83.9%	5295	20.1%	382	22.6%	7.2%	320	26.3%	83.8%
African Am	2765	10.1%	217	10.0%	7.8%	139	8.4%	64.1%	2705	10.3%	192	11.4%	7.1%	117	9.6%	60.9%
Hispanic Am	2675	9.7%	193	8.9%	7.2%	118	7.1%	61.1%	2633	10.0%	176	10.4%	6.7%	105	8.6%	59.7%
Nat Am/Nat HI	261	1.0%	25	1.1%	9.6%	16	1.0%	64.0%	257	1.0%	24	1.4%	9.3%	15	1.2%	62.5%
Other	452	1.6%	13	0.6%	2.9%	10	0.6%	76.9%	440	1.7%	12	0.7%	2.7%	9	0.7%	75.0%
Unknown	2831	10.3%	266	12.2%	9.4%	202	12.2%	75.9%	2627	10.0%	179	10.6%	6.8%	125	10.3%	69.8%
White	8594	31.3%	853	39.2%	9.9%	652	39.3%	76.4%	7920	30.1%	566	33.5%	7.1%	389	31.9%	68.7%
Int'l Citiz	4506	16.4%	193	8.9%	4.3%	173	10.4%	89.6%	4441	16.9%	157	9.3%	3.5%	139	11.4%	88.5%
Total	27462		2175		7.9%	1658		76.2%	26318		1688		6.4%	1219		72.2%
Class of 2013																
Overall																
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian Am	5784	19.9%	380	17.5%	6.6%	317	19.1%	83.4%	5702	20.4%	342	20.4%	6.0%	282	23.2%	82.5%
African Am	2975	10.2%	226	10.4%	7.6%	159	9.6%	70.4%	2914	10.4%	198	11.8%	6.8%	133	11.0%	67.2%
Hispanic Am	2974	10.2%	231	10.6%	7.8%	152	9.1%	65.8%	2932	10.5%	213	12.7%	7.3%	137	11.3%	64.3%
Nat Am/Nat HI	267	0.9%	28	1.3%	10.5%	17	1.0%	60.7%	257	0.9%	24	1.4%	9.3%	13	1.1%	54.2%
Other	463	1.6%	9	0.4%	1.9%	7	0.4%	77.8%	454	1.6%	5	0.3%	1.1%	3	0.2%	60.0%
Unknown	2997	10.3%	266	12.2%	8.9%	203	12.2%	76.3%	2768	9.9%	172	10.2%	6.2%	121	10.0%	70.3%
White	9190	31.6%	837	38.5%	9.1%	641	38.5%	76.6%	8529	30.5%	551	32.8%	6.5%	380	31.3%	69.0%
Int'l Citiz	4464	15.3%	198	9.1%	4.4%	167	10.0%	84.3%	4424	15.8%	175	10.4%	4.0%	144	11.9%	82.3%
Total	29114		2175		7.5%	1663		76.5%	27980		1680		6.0%	1213		72.2%
Class of 2014																
Overall																
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian Am	6872	22.5%	437	19.8%	6.4%	359	21.6%	82.2%	6778	23.1%	404	23.4%	6.0%	332	26.9%	82.2%
African Am	2953	9.7%	244	11.1%	8.3%	156	9.4%	63.9%	2887	9.8%	215	12.5%	7.4%	128	10.4%	59.5%
Hispanic Am	3037	10.0%	195	8.8%	6.4%	127	7.6%	65.1%	2991	10.2%	177	10.3%	5.9%	112	9.1%	63.3%
Nat Am/Nat HI	367	1.2%	38	1.7%	10.4%	25	1.5%	65.8%	364	1.2%	38	2.2%	10.4%	25	2.0%	65.8%
Other	40	0.1%	2	0.1%	5.0%	1	0.1%	50.0%	36	0.1%	1	0.1%	2.8%	1	0.1%	100.0%
Unknown	740	2.4%	90	4.1%	12.2%	78	4.7%	86.7%	673	2.3%	56	3.3%	8.3%	46	3.7%	82.1%
White	11474	37.6%	1005	45.6%	8.8%	758	45.6%	75.4%	10659	36.3%	666	38.7%	6.2%	460	37.2%	69.1%
Int'l Citiz	5006	16.4%	194	8.8%	3.9%	160	9.6%	82.5%	4952	16.9%	166	9.6%	3.4%	132	10.7%	79.5%
Total	30489		2205		7.2%	1664		75.5%	29340		1723		5.9%	1236		71.7%

## Applicants, Admits, and Matriculants - Old Methodology NLNA

Class of 2015												
	Overall						NLNA					
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	7767	22.2%	423	19.3%	5.4%	346	20.8%	81.8%	7666	22.7%	378	22.1%
African Am	3624	10.4%	254	11.6%	7.0%	162	9.8%	63.8%	3559	10.5%	228	13.3%
Hispanic Am	3613	10.3%	242	11.1%	6.7%	153	9.2%	63.2%	3552	10.5%	214	12.5%
Nat Am/Nat HI	318	0.9%	25	1.1%	7.9%	19	1.1%	76.0%	314	0.9%	23	1.3%
Other	18	0.1%	3	0.1%	16.7%	3	0.2%	100.0%	16	0.0%	2	0.1%
Unknown	1174	3.4%	79	3.6%	6.7%	66	4.0%	83.5%	1101	3.3%	52	3.0%
White	12422	35.5%	942	43.1%	7.6%	718	43.2%	76.2%	11659	34.5%	621	36.4%
Int'l Citiz	6014	17.2%	220	10.1%	3.7%	194	11.7%	88.2%	5961	17.6%	190	11.1%
Total	34950		2188		6.3%	1661		75.9%	33828		1708	
Class of 2016												
	Overall						NLNA					
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	7011	20.4%	422	20.3%	6.0%	369	22.2%	87.4%	6904	20.8%	369	23.1%
African Am	3342	9.7%	208	10.0%	6.2%	154	9.3%	74.0%	3271	9.9%	186	11.7%
Hispanic Am	3464	10.1%	194	9.3%	5.6%	130	7.8%	67.0%	3409	10.3%	174	10.9%
Nat Am/Nat HI	346	1.0%	23	1.1%	6.6%	12	0.7%	52.2%	336	1.0%	22	1.4%
Other	2	0.0%	1	0.0%	50.0%	1	0.1%	100.0%	0	0.0%	0	0.0%
Unknown	2464	7.2%	161	7.8%	6.5%	119	7.2%	73.9%	2350	7.1%	120	7.5%
White	11346	33.1%	851	41.0%	7.5%	694	41.7%	81.6%	10591	32.0%	540	33.9%
Int'l Citiz	6328	18.4%	216	10.4%	3.4%	185	11.1%	85.6%	6266	18.9%	184	11.5%
Total	34303		2076		6.1%	1664		80.2%	33127		1595	
Class of 2017												
	Overall						NLNA					
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits
Asian Am	7133	20.4%	400	19.5%	5.6%	338	20.4%	84.5%	7021	20.7%	347	22.7%
African Am	3440	9.8%	233	11.4%	6.8%	156	9.4%	67.0%	3363	9.9%	190	12.5%
Hispanic Am	3514	10.0%	213	10.4%	6.1%	156	9.4%	73.2%	3460	10.2%	187	12.3%
Nat Am/Nat HI	356	1.0%	30	1.5%	8.4%	23	1.4%	76.7%	345	1.0%	26	1.7%
Other	1	0.0%	0	0.0%	0.0%	0	0.0%	0.0%	0	0.0%	0	0.0%
Unknown	2747	7.8%	167	8.2%	6.1%	140	8.4%	83.8%	2633	7.8%	119	7.8%
White	11415	32.6%	794	38.8%	7.0%	661	39.8%	83.2%	10690	31.6%	480	31.5%
Int'l Citiz	6417	18.3%	210	10.3%	3.3%	185	11.2%	88.1%	6357	18.8%	177	11.6%
Total	35023		2047		5.8%	1659		81.0%	33869		1526	

SAT Averages - Old Methodolgy									
	Class of 2000			Class of 2001			Class of 2002		
	Apps	Admits	Matrics	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian Am	717	763	762	718	762	761	720	767	765
African Am	627	693	692	630	696	693	630	692	690
Hispanic Am	647	717	720	645	701	700	647	714	714
Nat Am/Nat HI	646	719	698	648	707	702	653	712	711
Other	672	746	741	677	737	731	681	759	758
Unknown	711	747	745	708	747	744	703	744	744
White	703	739	737	701	738	736	708	743	740
Int'l Citiz	652	705	698	648	698	695	656	697	697
Total	692	737	735	690	734	732	694	738	736
	Class of 2003			Class of 2004			Class of 2005		
	Apps	Admits	Matrics	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian Am	723	769	768	724	771	768	720	764	764
African Am	633	698	693	630	705	702	630	696	693
Hispanic Am	652	712	707	653	719	720	650	703	702
Nat Am/Nat HI	650	696	690	655	690	690	661	714	713
Other	681	744	737	678	743	743	676	708	702
Unknown	699	738	736	710	740	739	707	742	738
White	711	747	743	711	745	744	710	741	739
Int'l Citiz	658	702	702	660	703	698	657	712	708
Total	696	739	737	697	739	739	695	735	733
	Class of 2006			Class of 2007			Class of 2008		
	Apps	Admits	Matrics	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian Am	721	767	766	727	769	768	730	768	768
African Am	628	706	703	633	697	696	636	708	705
Hispanic Am	651	716	709	656	720	720	659	720	721
Nat Am/Nat HI	645	713	696	654	714	713	679	715	715
Other	674	720	719	666	741	741	680	745	745
Unknown	696	735	732	701	727	721	698	728	720
White	712	745	741	718	750	745	720	748	743
Int'l Citiz	666	717	715	673	712	710	676	721	718
Total	697	740	737	703	740	738	704	742	739
	Class of 2009			Class of 2010			Class of 2011		
	Apps	Admits	Matrics	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian Am	730	767	765	727	764	763	728	768	768
African Am	630	707	702	613	697	692	611	708	706
Hispanic Am	654	719	715	650	716	712	644	716	710
Nat Am/Nat HI	656	702	697	658	702	700	652	711	705
Other	676	757	759	658	731	728	666	740	740
Unknown	719	748	742	713	749	746	719	745	738
White	718	749	745	712	744	739	712	743	739
Int'l Citiz	678	717	714	674	719	715	677	718	716
Total	703	742	739	696	738	735	695	739	737



	Class of 2012			Class of 2013			Class of 2014		
	Apps	Admits	Matrics	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian Am	726	765	764	730	766	765	733	769	768
African Am	603	702	696	605	705	698	616	711	702
Hispanic Am	643	724	713	647	718	711	649	725	721
Nat Am/Nat HI	639	711	705	670	705	705	663	734	728
Other	668	721	712	677	747	744	648	720	700
Unknown	717	753	749	724	754	749	707	739	735
White	713	746	740	715	743	737	719	747	741
Int'l Citz	677	710	708	678	719	719	688	719	717
Total	693	740	737	696	739	736	701	742	739
	Class of 2015			Class of 2016			Class of 2017		
	Apps	Admits	Matrics	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian Am	732	765	763	733	767	766	733	768	766
African Am	614	713	705	611	716	710	620	717	708
Hispanic Am	647	724	717	646	725	719	652	727	725
Nat Am/Nat HI	672	727	732	666	724	727	668	725	721
Other	681	703	703	NA			NA		
Unknown	701	733	728	725	758	754	732	758	755
White	716	745	739	713	746	742	717	746	742
Int'l Citz	682	722	719	684	724	720	686	731	730
Total	696	740	736	697	744	741	700	744	742

Demographic Makeup of Applicants, Admits, and Matrics - New Methodology vs IPEDS											
New Methodology	Class of 2014			Class of 2015			Class of 2016			Class of 2017	
Applicants	30489	% Apps		34950	% Apps		34303	% Apps		35023	% Apps
Asian American	6449	21.2%		7310	20.9%		7082	20.6%		7244	20.7%
African American	2925	9.6%		3604	10.3%		3339	9.7%		3439	9.8%
Hispanic American	3434	11.3%		3981	11.4%		3905	11.4%		3969	11.3%
Native American	614	2.0%		605	1.7%		626	1.8%		685	2.0%
Native Hawaiian	98	0.3%		89	0.3%		96	0.3%		109	0.3%
Multiracial	3403	11.2%		3977	11.4%		3883	11.3%		4240	12.1%
White	13202	43.3%		14895	42.6%		14636	42.7%		15056	43.0%
Unknown	2489	8.2%		2782	8.0%		2518	7.3%		2757	7.9%
Foreign Citizens	5006	16.4%		6014	17.2%		6328	18.4%		6417	18.3%
Admits		% Admits	Ad Rate		% Admits	Ad Rate		% Admits	Ad Rate		% Admits
Asian American	2205		7.2%	2188		6.3%	2076		6.1%	2047	
African American	394	17.9%	6.1%	385	17.6%	5.3%	425	20.5%	6.0%	407	19.9%
African American	242	11.0%	8.3%	253	11.6%	7.0%	208	10.0%	6.2%	233	11.4%
Hispanic American	221	10.0%	6.4%	264	12.1%	6.6%	231	11.1%	5.9%	235	11.5%
Native American	57	2.6%	9.3%	40	1.8%	6.6%	35	1.7%	5.6%	45	2.2%
Native Hawaiian	10	0.5%	10.2%	4	0.2%	4.5%	10	0.5%	10.4%	11	0.5%
Multiracial	256	11.6%	7.5%	278	12.7%	7.0%	271	13.1%	7.0%	313	15.3%
White	1052	47.7%	8.0%	1082	49.5%	7.3%	1077	51.9%	7.4%	1077	52.6%
Unknown	319	14.5%	12.8%	241	11.0%	8.7%	171	8.2%	6.8%	167	8.2%
Foreign Citizens	194	8.8%	3.9%	220	10.1%	3.7%	216	10.4%	3.4%	210	10.3%
Matrics		% Matrics	Yield		% Matrics	Yield		% Matrics	Yield		% Matrics
Asian American	1664		75.5%	1661		75.9%	1664		80.2%	1659	
African American	321	19.3%	81.5%	311	18.7%	80.8%	372	22.4%	87.5%	341	20.6%
African American	154	9.3%	63.6%	162	9.8%	64.0%	154	9.3%	74.0%	156	9.4%
Hispanic American	145	8.7%	65.6%	169	10.2%	64.0%	154	9.3%	66.7%	167	10.1%
Native American	36	2.2%	63.2%	25	1.5%	62.5%	19	1.1%	54.3%	30	1.8%
Native Hawaiian	6	0.4%	60.0%	3	0.2%	75.0%	9	0.5%	90.0%	9	0.5%
Multiracial	163	9.8%	63.7%	189	11.4%	68.0%	194	11.7%	71.6%	227	13.7%
White	760	45.7%	72.2%	801	48.2%	74.0%	853	51.3%	79.2%	871	52.5%
Unknown	263	15.8%	82.4%	196	11.8%	81.3%	128	7.7%	74.9%	140	8.4%
Foreign Citizens	160	9.6%	82.5%	194	11.7%	88.2%	185	11.1%	85.6%	185	11.2%

Demographic Makeup of Applicants, Admits, and Matrics - New Methodology vs IPEDS												
IPEDS	Class of 2014			Class of 2015			Class of 2016			Class of 2017		
Applicants	30489	% Apps		34950	% Apps		34303	% Apps		35023	% Apps	
Asian American	5415	17.8%		6146	17.6%		6045	17.6%		6138	17.5%	
African American	2316	7.6%		2879	8.2%		2646	7.7%		2688	7.7%	
Hispanic American	3434	11.3%		4065	11.6%		3905	11.4%		3969	11.3%	
Native American	125	0.4%		88	0.3%		104	0.3%		90	0.3%	
Native Hawaiian	22	0.1%		18	0.1%		22	0.1%		24	0.1%	
Multiracial	1350	4.4%		1549	4.4%		1415	4.1%		1528	4.4%	
White	10332	33.9%		11445	32.7%		11320	33.0%		11412	32.6%	
Unknown	2489	8.2%		2746	7.9%		2518	7.3%		2757	7.9%	
Foreign Citizens	5006	16.4%		6014	17.2%		6328	18.4%		6417	18.3%	
Admits		% Admits	Ad Rate		% Admits	Ad Rate		% Admits	Ad Rate		% Admits	Ad Rate
Asian American	2205		7.2%	2188		6.3%	2076		6.1%	2047		5.8%
African American	332	15.1%	6.1%	311	14.2%	5.1%	350	16.9%	5.8%	322	15.7%	5.2%
Hispanic American	172	7.8%	7.4%	188	8.6%	6.5%	147	7.1%	5.6%	172	8.4%	6.4%
Native American	221	10.0%	6.4%	268	12.2%	6.6%	231	11.1%	5.9%	235	11.5%	5.9%
Native Hawaiian	12	0.5%	9.6%	7	0.3%	8.0%	8	0.4%	7.7%	8	0.4%	8.9%
Multiracial	1	0.0%	4.5%	1	0.0%	5.6%	0	0.0%	0.0%	7	0.3%	29.2%
White	123	5.6%	9.1%	120	5.5%	7.7%	108	5.2%	7.6%	131	6.4%	8.6%
Unknown	831	37.7%	8.0%	835	38.2%	7.3%	845	40.7%	7.5%	795	38.8%	7.0%
Foreign Citizens	319	14.5%	12.8%	238	10.9%	8.7%	171	8.2%	6.8%	167	8.2%	6.1%
	194	8.8%	3.9%	220	10.1%	3.7%	216	10.4%	3.4%	210	10.3%	3.3%
Matrics		% Matrics	Yield		% Matrics	Yield		% Matrics	Yield		% Matrics	Yield
Asian American	1664		75.5%	1661		75.9%	1664		80.2%	1659		81.0%
African American	280	16.8%	84.3%	253	15.2%	81.4%	311	18.7%	88.9%	277	16.7%	86.0%
Hispanic American	106	6.4%	61.6%	121	7.3%	64.4%	111	6.7%	75.5%	122	7.4%	70.9%
Native American	145	8.7%	65.6%	172	10.4%	64.2%	185	11.1%	80.1%	164	9.9%	69.8%
Native Hawaiian	9	0.5%	75.0%	4	0.2%	57.1%	3	0.2%	37.5%	6	0.4%	75.0%
Multiracial	0	0.0%	0.0%	1	0.1%	100.0%	0	0.0%	#DIV/0!	6	0.4%	85.7%
White	82	4.9%	66.7%	89	5.4%	74.2%	84	5.0%	77.8%	95	5.7%	72.5%
Unknown	619	37.2%	74.5%	634	38.2%	75.9%	688	41.3%	81.4%	661	39.8%	83.1%
Foreign Citizens	263	15.8%	82.4%	193	11.6%	81.1%	128	7.7%	74.9%	140	8.4%	83.8%
	160	9.6%	82.5%	194	11.7%	88.2%	185	11.1%	85.6%	185	11.2%	88.1%

## Applicants, Admits, and Matriculants - New Methodology NLNA

## Class of 2014

	Overall										NLNA				
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class
Asian American	6449	21.2%	394	17.9%	6.1%	321	19.3%	81.5%	6363	21.7%	368	21.4%	5.8%	300	24.3%
African American	2925	9.6%	242	11.0%	8.3%	154	9.3%	63.6%	2861	9.8%	214	12.4%	7.5%	128	10.4%
Hispanic American	3434	11.3%	221	10.0%	6.4%	145	8.7%	65.6%	3377	11.5%	200	11.6%	5.9%	128	10.4%
Native American	614	2.0%	57	2.6%	9.3%	36	2.2%	63.2%	604	2.1%	51	3.0%	8.4%	31	2.5%
Native Hawaiian	98	0.3%	10	0.5%	10.2%	6	0.4%	60.0%	95	0.3%	10	0.6%	10.5%	6	0.5%
Multiracial	3403	11.2%	256	11.6%	7.5%	163	9.8%	63.7%	3308	11.3%	219	12.7%	6.6%	134	10.8%
White	13202	43.3%	1052	47.7%	8.0%	760	45.7%	72.2%	12422	42.3%	741	43.0%	6.0%	491	39.7%
Unknown	2489	8.2%	319	14.5%	12.8%	263	15.8%	82.4%	2288	7.8%	215	12.5%	9.4%	169	13.7%
Foreign Citizens	5006	16.4%	194	8.8%	3.9%	160	9.6%	82.5%	4952	16.9%	166	9.6%	3.4%	132	10.7%
Total	30489		2205		7.2%	1664		75.5%	29340		1723		5.9%	1236	

## Class of 2015

	Overall										NLNA				
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class
Asian American	7310	20.9%	385	17.6%	5.3%	311	18.7%	80.8%	7211	21.3%	342	20.0%	4.7%	276	22.4%
African American	3604	10.3%	253	11.6%	7.0%	162	9.8%	64.0%	3539	10.5%	227	13.3%	6.4%	140	11.4%
Hispanic American	3981	11.4%	264	12.1%	6.6%	169	10.2%	64.0%	3906	11.5%	229	13.4%	5.9%	135	10.9%
Native American	605	1.7%	40	1.8%	6.6%	25	1.5%	62.5%	595	1.8%	36	2.1%	6.1%	21	1.7%
Native Hawaiian	89	0.3%	4	0.2%	4.5%	3	0.2%	75.0%	88	0.3%	3	0.2%	3.4%	2	0.2%
Multiracial	3977	11.4%	278	12.7%	7.0%	189	11.4%	68.0%	3845	11.4%	222	13.0%	5.8%	140	11.4%
White	14895	42.6%	1082	49.5%	7.3%	801	48.2%	74.0%	14079	41.6%	750	43.9%	5.3%	505	41.0%
Unknown	2782	8.0%	241	11.0%	8.7%	196	11.8%	81.3%	2636	7.8%	171	10.0%	6.5%	136	11.0%
Foreign Citizens	6014	17.2%	220	10.1%	3.7%	194	11.7%	88.2%	5961	17.6%	190	11.1%	3.2%	165	13.4%
Total	34950		2188		6.3%	1661		75.9%	33828		1708		5.0%	1233	

## Class of 2016

	Overall										NLNA				
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class
Asian American	7082	20.6%	425	20.5%	6.0%	372	22.4%	87.5%	6973	21.0%	370	23.2%	5.3%	320	26.1%
African American	3339	9.7%	208	10.0%	6.2%	154	9.3%	74.0%	3268	9.9%	186	11.7%	5.7%	134	10.9%
Hispanic American	3905	11.4%	231	11.1%	5.9%	154	9.3%	66.7%	3839	11.6%	208	13.0%	5.4%	133	10.9%
Native American	626	1.8%	35	1.7%	5.6%	19	1.1%	54.3%	612	1.8%	34	2.1%	5.6%	19	1.6%
Native Hawaiian	96	0.3%	10	0.5%	10.4%	9	0.5%	90.0%	92	0.3%	9	0.6%	9.8%	8	0.7%
Multiracial	3883	11.3%	271	13.1%	7.0%	194	11.7%	71.6%	3754	11.3%	218	13.7%	5.8%	146	11.9%
White	14636	42.7%	1077	51.9%	7.4%	853	51.3%	79.2%	13768	41.6%	720	45.1%	5.2%	529	43.2%
Unknown	2518	7.3%	171	8.2%	6.8%	128	7.7%	74.9%	2399	7.2%	126	7.9%	5.3%	89	7.3%
Foreign Citizens	6328	18.4%	216	10.4%	3.4%	185	11.1%	85.6%	6266	18.9%	184	11.5%	2.9%	154	12.6%
Total	34303		2076		6.1%	1664		80.2%	33127		1595		4.8%	1224	

Applicants, Admits, and Matriculants - New Methodology NLNA																
Class of 2017																
	Overall								NLNA							
	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield	Apps	% Apps	Admits	% Admits	Ad Rate	Matrics	% Class	Yield
Asian American	7244	20.7%	407	19.9%	5.6%	341	20.6%	83.8%	7131	21.1%	353	23.1%	5.0%	292	24.5%	82.7%
African American	3439	9.8%	233	11.4%	6.8%	156	9.4%	67.0%	3362	9.9%	190	12.5%	5.7%	119	10.0%	62.6%
Hispanic American	3969	11.3%	235	11.5%	5.9%	167	10.1%	71.1%	3909	11.5%	206	13.5%	5.3%	141	11.8%	68.4%
Native American	685	2.0%	45	2.2%	6.6%	30	1.8%	66.7%	670	2.0%	39	2.6%	5.8%	25	2.1%	64.1%
Native Hawaiian	109	0.3%	11	0.5%	10.1%	9	0.5%	81.8%	106	0.3%	11	0.7%	10.4%	9	0.8%	81.8%
Multiracial	4240	12.1%	313	15.3%	7.4%	227	13.7%	72.5%	4094	12.1%	236	15.5%	5.8%	160	13.4%	67.8%
White	15056	43.0%	1077	52.6%	7.2%	871	52.5%	80.9%	14192	41.9%	689	45.2%	4.9%	524	44.0%	76.1%
Unknown	2757	7.9%	167	8.2%	6.1%	140	8.4%	83.8%	2642	7.8%	119	7.8%	4.5%	98	8.2%	82.4%
Foreign Citizens	6417	18.3%	210	10.3%	3.3%	185	11.2%	88.1%	6357	18.8%	177	11.6%	2.8%	154	12.9%	87.0%
Total	35023		2047		5.8%	1659		81.0%	33869		1526		4.5%	1191		78.0%



SAT Averages - New Methodology						
	Class of 2014			Class of 2015		
	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian American	731	768	768	728	761	760
African American	617	712	703	614	713	705
Hispanic American	648	724	720	647	723	716
Native American	646	719	717	647	725	728
Native Hawaiian	682	743	742	672	685	677
Multiracial	681	733	727	675	732	728
White	712	745	739	707	743	738
Unknown	724	745	740	722	748	743
Foreign Citizens	688	719	717	682	722	719
Total	701	742	739	696	740	736
	Class of 2016			Class of 2017		
	Apps	Admits	Matrics	Apps	Admits	Matrics
Asian American	732	767	766	732	767	766
African American	612	716	710	620	717	708
Hispanic American	646	725	718	651	728	726
Native American	644	718	725	648	727	724
Native Hawaiian	665	731	728	670	723	727
Multiracial	672	734	730	676	737	734
White	705	744	740	709	744	740
Unknown	726	759	755	733	758	755
Foreign Citizens	684	724	720	686	731	730
Total	697	744	741	700	744	742



## Office of Institutional Research



### Our Mission

To collect, synthesize, and analyze institutional data to fulfill mandatory reporting requirements and support University decision-making.

### Our Objectives

To offer accurate, timely, and digestible research, tailored to diverse audiences, with the goal of promoting informed decision-making and furthering the core missions of the University.

### Our Scope

- Primary source for major University facts and figures: Fact Book, Common Data Set, IPEDS, and other major reporting
- Support for key University-wide committees
- Systems analysis and information-sharing partnerships within Harvard and among peer institutions.
- Planning and policy analysis; evidence-based recommendations

### Our Audiences

#### *At Harvard*

- University Leadership in the Office of the President and Provost
- The Governing Boards
- Senior Leadership in the Schools
- Others, on a request-by-request basis

#### *Outside Harvard*

- Federal Government Agencies
- Peer Institutions and Consortia
- General Public

## STATEMENT OF FINDINGS

## BACKGROUND

During the past few years, there has been growing concern within the Asian American community over the possibility of discrimination in the selection of applicants for admission by some of the most prestigious colleges and universities in the country. As articulated in numerous media reports and journal articles, the basic thrust of the concern has been that, despite superior academic credentials in terms of high school performance and standardized test scores, Asian Americans have been admitted to selective schools at a rate lower than white applicants and other minority group applicants. Charges that schools are setting quotas to limit the number of Asian American students admitted in the face of their growing numbers of applicants, have been leveled by community leaders and reported in the media. Although administrators at most private, selective universities deny discriminatory practices or the use of quotas, at least two, Brown and Stanford, formed committees to review their own policies and practices. Brown concluded that there was evidence of discrimination in their admissions process which adversely affected Asian American applicants. At Stanford, a committee found that they could not completely explain why Asian Americans were admitted at a lower rate than white applicants, although they found no evidence of conscious bias or implicit quotas.

While the possibility of discriminatory admissions practices continues to be debated, there is general consensus that, since the mid-1970s, the number of Asian Americans applying to colleges and universities has nearly doubled. Further, it is recognized that Asian Americans collectively represent a highly qualified group of applicants; in some areas such as Scholastic Aptitude Test (SAT) Math, Asian American students score higher than white students.

At Harvard, interest in the admission of Asian American students dates back to the mid-1970s, when Asian American and other minority groups sought to increase the recruitment and admission of minority applicants. A major objective of the Harvard Asian American student group then was to be recognized by Harvard as a minority group, and included in the affirmative action programs of the Admissions Office. By 1983, student concerns included their belief that stereotypes of Asian Americans held by Admissions Officers contributed to the low percentage of applicants admitted, a rate below that for all other ethnic groups, including whites. A further concern was the small number of Asian Americans from disadvantaged backgrounds who were admitted.

In the Spring 1987 issue of The Public Interest, Bunzel and Au suggested, based primarily on their review of published SAT scores, that the lower Asian American admission rate at institutions including Harvard could not be explained by a less qualified Asian American applicant pool. Further, they asserted that there was insufficient evidence that Asian American applicants scored lower on other criteria, such as extracurricular activities and other non-academic areas, which might account

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for the lower admission rate. Similarly, they were not persuaded that special consideration given to certain groups of applicants, such as geographical preferences, children of alumni or faculty, or minorities sought through affirmative action programs, fully explained the disparity between white and Asian American admit rates.

In January 1988, Harvard, through the Dean of Admissions and Financial Aid, issued a "Statement on Asian American Admissions at Harvard-Radcliffe" which, in part, responded to concerns raised about "under-representation" of Asian Americans at Harvard and rumors of quotas. In light of the vigorous efforts to recruit Asian Americans, and the new record set each year of the last decade in the number of Asian American students admitted, Harvard felt that claims that the school might be limiting Asian American opportunities were unfounded. The difference in admission rates for Asian Americans and whites, about 3.7% (13.3% vs. 17.0%) over a 10 year period, including the Classes of 1982 through 1991, was explained as follows:

While Asian Americans are slightly stronger than whites on academic criteria, they are slightly less strong on extracurricular criteria. In addition, there are very few Asian Americans in our applicant pool who are alumni/ae children or prospective varsity athletes. When all these factors are taken into account, the difference in admission rates for the two groups disappears. Those with comparable extracurricular and athletic credentials are admitted at the same rates. This is also true for Asian American alumni/ae children.

The issue of possible discrimination against Asian American applicants to selective colleges and universities came to the attention of the Office for Civil Rights (OCR) from a number of sources, including various individuals and Asian American organizations, the multitude of media reports, and articles contained in scholarly journals. In addition, specific concerns about the undergraduate admissions program at Harvard were raised directly to the Department of Education (Department) and to OCR. Consequently, OCR decided to initiate a compliance review to determine whether Harvard was complying with Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the bases of race and national origin by institutions receiving Departmental funds.

In this review OCR first sought to determine whether Asian Americans were admitted to Harvard at a significantly lower rate than whites. If true, we would then seek to explain why the disparity existed, and whether any explanations, or the admissions process itself, indicated discrimination against Asian Americans, in violation of Title VI. Included in our review was an examination of the alleged quota issue, and also the general treatment of Asian Americans in the admissions process.

## LEGAL AND INVESTIGATIVE APPROACH

The regulation implementing Title VI at 34 C.F.R. Sections 100.3 (a) and (b)(2) proscribes:

- (a) General. No person in the United States shall on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program to which this part applies.
- (b)(2) Specific discriminatory actions prohibited.  
A recipient, in determining the . . . class of individuals to whom, or the situations in which, . . . services, financial aid, other benefits, or facilities will be provided . . . or the class of individuals to be afforded an opportunity to participate in any such program, may not, directly or through contractual or other arrangements, utilize criteria or methods of administration which have the effect of subjecting individuals to discrimination because of their race, color or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program as respect individuals of a particular race, color, or national origin.

To assess compliance with 34 C.F.R. 100.3 (a), OCR sought to determine whether Harvard treated Asian American students differently from non-minority (white) students in its admissions process for Harvard-Radcliffe's undergraduate program. First, we established that Asian American applicants were admitted at a significantly lower rate than white applicants. Next, we tried to ascertain whether this lower admit rate was the result of intentional discrimination. Towards this end, we reviewed Harvard's undergraduate admissions policies and procedures, as described through written documents and interviews, to understand the methods and criteria used to select applicants for an entering class, including any major policy or procedural changes over a ten year period of review affecting the Classes of 1983 through 1992. Specifically, we looked for any differences in the established procedures for the evaluation of Asian American applicants in comparison to white applicants.

In addition, OCR considered whether the admissions process was applied in the same manner to Asian American students and white students. Through interviews and review of applicant files, we assessed the implementation of the admissions process, including staff (reader) ratings, preference categories, and committee deliberations. Different treatment could be established, for example, if Admissions staff gave lower ratings to Asian American than white applicants with similar records or achievements.



In addition to investigating whether Harvard applied its procedures in the same manner to white and Asian American applicants, OCR sought to determine, under 34 C.F.R. 100.3 (b), whether there were one or more criteria or factors which had a disparate effect on Asian Americans. OCR reviewed the results of the overall admissions process by conducting various statistical analyses on admit rates and related factors. Analyses were conducted to try to determine any criteria or factors which accounted for the disparity in Asian American and white admit rates. The lower rate might be explained, for example, if Asian American applicants as a group were less qualified than white applicants, or if the use of neutral criteria, such as non-academic accomplishments, had an adverse impact on Asian Americans. For each procedure, criterion, or factor which OCR determined accounted for the lower admit rate for Asian Americans, OCR investigated whether it could be justified in terms of institutional goals or legitimate educational purposes, or whether it was a pretext for discrimination.

#### INITIAL ANALYSIS

We began by examining ten years of summary data provided by Harvard for the Classes of 1983 to 1992, which identified Asian American and white applicants and admits (applicants who were offered admission.) As shown in Table 1 below, in each of the last seven years, Asian Americans were admitted at a statistically significant lower rate, utilizing a z test. Statistical significance is shown where the p value is smaller than .05.

TABLE 1

NUMBER OF APPLICANTS, NUMBER OF ADMITTED, AND PERCENT ADMITTED  
(ASIAN AMERICAN AND WHITE, CLASSES OF 1983 THROUGH 1992)

Class	<u>Asian American</u>			<u>White</u>			Significance	
	Number of Applicants	Number Admitted	Percent	Number of Applicants	Number Admitted	Percent	z	p
1992	2,263	291	12.9%	9,157	1,453	15.9%	3.55	0.0006
1991	2,168	267	12.3%	9,270	1,474	15.9%	4.20	0.0001
1990	2,054	232	11.3%	9,196	1,623	17.6%	6.96	0.0001
1989	1,731	220	12.7%	9,561	1,596	16.7%	4.17	0.0001
1988	1,605	204	12.7%	9,219	1,629	17.7%	4.93	0.0001
1987	1,391	199	14.3%	8,855	1,707	19.3%	4.45	0.0001
1986	1,351	180	13.3%	9,715	1,755	18.1%	4.35	0.0001
1985	1,161	167	14.4%	9,849	1,607	16.3%	1.67	0.0953
1984	1,015	153	15.1%	10,708	1,642	15.3%	0.17	0.8660
1983	784	118	15.1%	10,344	1,744	16.9%	1.30	0.1936

Another way of looking at the difference between the admit rates of the two groups is to view the lower Asian American rate as a percentage of the white rate. In this comparison, as shown in Table

2, the Asian American admit rate ranged from a low of 64% of the white rate for the Class of 1990 to 81.04% for the Class of 1992, in the seven years Asian Americans were admitted at a statistically significant lower rate.

TABLE 2

Class	1992	1991	1990	1989	1988	1987	1986
Asian American Admit Rate as a Proportion of the White Admit Rate	81.04%	77.45%	64.00%	76.14%	71.93%	74.21%	73.75%

## QUOTAS

OCR found that the numerical data did not support the existence of a quota limiting the number of Asian Americans. We found that the number of Asian American applicants increased each year in the ten years we studied, such that in the Class of 1992 there were almost three times as many Asian Americans applicants as in the Class of 1983. As the size of the applicant pool increased, the number of Asian American applicants admitted has also grown. By the Class of 1992, 291 Asian Americans were admitted in comparison to 118 ten years earlier. The table below shows the proportion of each class which was Asian American.

TABLE 3

Class	1992	1991	1990	1989	1988	1987	1986	1985	1984	1983
Asian American % of Class	14.2%	12.9%	11.5%	10.9%	10.4%	9.6%	8.5%	8.5%	7.5%	5.5%

OCR found that this pattern of growth of Asian Americans as a percentage of the Class continued in the two most recent class year admission cycles. We found that Asian Americans constitute 17.2% of the Class of 1993 and we were informed by the Dean of Admissions that Asian Americans constitute 19.7% of the Class of 1994.

In addition to reviewing the data, OCR reviewed documents, and interviewed ten members of the Harvard Admissions staff regarding any goals or quotas that Harvard might use in the admissions process. Each of the staff members interviewed stated that he or she had never heard any numerical quotas or goals mentioned in the admissions process with respect to the admission of Asian Americans or members of any other racial or ethnic group. We also interviewed Harvard alumni, who served on alumni admissions committees, who similarly stated that they knew of no numerical goals or quotas used by Harvard with respect to the admission of specific racial or ethnic minority

groups. Additionally, we interviewed former Harvard Admissions staff, and former students who worked with the Admissions office minority programs and were knowledgeable about admissions practices. Finally, we interviewed numerous Asian American community leaders who were involved with the issue of Asian American admissions. None of the individuals interviewed had any evidence or information to suggest that Harvard imposed numerical restrictions or quotas limiting the admission of Asian American students.

#### ADMISSIONS POLICY

Over the past 30 years Harvard has moved decidedly away from making the criterion of scholarly excellence the sole or predominant determinant for admissions. It has instead sought a variety of "interests, talents, backgrounds and career goals," which contribute to a diverse student body, which is believed to be an essential ingredient in the educational process. Harvard's goal, therefore, is to ensure that its student body is both excellent and diverse.

Described as "complex, subjective and difficult to comprehend," the admissions process seeks to identify qualities in its students that would contribute to the vitality, intellectual excellence, and quality of the educational experience. The Official Register of Harvard University, 1988-1989 points out that "no one pattern guarantees success for Harvard/Radcliffe applicants." What characterizes each entering class is "diversity." Applicants are chosen on the strength of their credentials, but once they are deemed academically admissible, other strong qualities are considered that would potentially contribute to the educational experience at Harvard for all students. The critical criteria, therefore, "are often individual qualities or experiences," and, therefore, in each class the geographic distribution, ethnic make-up and correspondent talents will vary from year to year. See, Brief of Amici Curiae, California Board of Regents v. Bakke, 438 U.S. 265 (1977) Harvard seeks students who are well rounded and who excel generally, but who also show special interests, achievements or skills.

Harvard explained that one of its objectives in admissions is to select a diverse group of students from a wide range of socio-economic, cultural, racial and ethnic backgrounds. In fact, Harvard's catalogue states that "diversity is the hallmark of the Harvard/Radcliffe experience." Harvard maintains that such diversity enhances the educational experience of all students because students in the college environment learn so much from each other.

There are four major criteria on which all candidates are assessed: academic achievement, extracurricular activities, athletics, and personal qualities. "Criteria" are described as standards against which all applicants are measured. In evaluating a candidate's accomplishments against the criteria, Harvard judgments are primarily based on the set of information listed below. Some items listed are

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more or less "objective," while others remain "subjective" in that they must be measured through individual judgment or discretion. Examples of "objective" information are standardized tests scores (SAT's), grade point average (GPA), and academic distinctions such as National Merit Scholarship. "Subjective" items may include such information as teacher or counselor recommendations, essays written by the applicant, and the alumni interview.

I. ACADEMIC

- A. Scholastic Aptitude Tests (SATs)
  - 1. Verbal
  - 2. Quantitative
  - 3. Achievement Tests (3)
- B. Class rank or GPA
- C. Academic Distinctions
- D. Special Academic Problems
- E. Teacher Recommendation Report
- F. Strength of high school attended
- G. Academic Goals at Harvard/Radcliffe
- H. Response to questions on application
- I. Alumni/Staff interview

II. EXTRACURRICULAR

- A. School Activities
- B. Summer Activities
- C. Non-Academic Distinctions
- D. Community activities
- E. Employment
- F. Teacher and/or Counselor Recommendation Report
- G. College Activities Interests

III. ATHLETICS

- A. Varsity high school
- B. Jr. Varsity high school
- C. Harvard coach's recommendations
- D. College athletics interests
  - 1. Varsity
  - 2. Jr. Varsity
  - 3. Intramural
  - 4. Recreational

IV. PERSONAL

- A. Teacher and/or Counselor Recommendation Report
- B. Application essay
- C. Alumni/Staff interview
- D. Other personal data

We note that while some of the items fall into categories quite naturally, others may actually influence more than one categorical area as raters make evaluations of a candidate's strengths. For example, a teacher recommendation is considered under academic achievement. It invariably

influences the personal qualities category and, if the teacher were a sponsor of a school club or activity, the recommendation could also have influence on the extracurricular rating category.

In addition to these criteria which affect all applicants, there may be other elements that influence the admissions process and decisions, but do not necessarily apply to all candidates. The individual circumstances or facts about a particular applicant may come to be weighed in the overall admissions decision. For example, if an applicant overcame a severely disadvantaged background, his/her performance might be rated higher than similar performance of an applicant from a more privileged background. Another situation could occur when more than one applicant comes from the same high school, which might cause Harvard to consider the impact on the school if the one with the weaker academic record is accepted for other reasons. The most important factor, which affects only certain categories of applicants, is the positive weight given in the admissions process in the form of preferences.

#### PREFERENCES

Based on interviews with Admissions staff and documentation submitted by Harvard, we learned that Harvard gives preferences, sometimes called "tips," to certain categories of applicants. In general, Harvard stated that a "tip" is a preference which:

may help in some situations where all other factors are substantially equal for two candidates, but it does not ensure admission. The admissions process is not based on a mathematical formula, and the tips have no numerical weight. All Admissions Officers are aware of the policy regarding tips and take that into consideration throughout the process.

With this concept of "tips" in mind, OCR found that there are three major categories of applicants for whom preferences or "tips" are given: 1) Racial/ethnic groups, 2) children of alumni, and 3) recruited athletes.

With respect to the racial/ethnic groups preference or "ethnic tip", as it is called, Harvard's Admissions staff stated that ethnicity is simply one of many considerations in the admissions process which may serve as a positive factor in reviewing an application. There are no formulas or specific criteria for measuring or assessing ethnicity, nor are there instructions for determining how much weight is given to ethnicity, or where the weight is to be applied in the admissions process.

Harvard indicated that it also gives positive weight in the admissions process to children of alumni, or "legacies." They stated that there are no separate instructions describing how the preference is



given to legacies. However, all legacy applicants are routinely referred to the Dean of Admissions for reading, according to Harvard's procedures.

In addition, Admissions staff explained that a recruited (talented) athlete, like the child of an alumnus or the member of an ethnic minority group, is given special weight or consideration in the admissions process. Athletes are recruited based upon their athletic accomplishments, talents and their predicted ability to contribute to the athletic programs at Harvard. Harvard's coaches develop lists of priority applicants for their respective teams, and these lists are considered or weighed by the Admissions subcommittees and the full admissions committee in making their decisions. Other than to suggest that the higher an applicant was on a coach's priority list, the greater the weight attributed in the admissions process, Harvard did not have specific guidelines governing the preference given to recruited athletes.

While ethnic groups, legacies and recruited athletes are the largest groups of applicants who receive "tips" or preferences, Harvard stated that there were several other groups who were also given positive weight in the admissions process. Specifically, Harvard stated that "in light of its [Harvard's] responsibility to the local communities, tips are also given to residents of Boston and Cambridge. In addition, tips are given to children of staff and faculty, whose commitment and dedication are also critical to the University's smooth functioning."

As with other "tips," the tips for faculty and staff children, as well as for Boston and Cambridge residents, are not based upon any formula or equation. They are merely positive factors which are considered in determining whether or not to admit applicants. It should be noted that Harvard maintained that all applicants were viewed in light of what they would bring or contribute to the University, and that all, ultimately had to demonstrate that they were qualified for admission to Harvard in the eyes of the full committee.

#### ADMISSIONS PROCESS

To gain an understanding of the admissions process and procedures, OCR obtained and reviewed copies of Harvard's application for admissions as well as all printed brochures describing the admissions process. We also reviewed ten years of annual reports on Admissions from the Office of Admissions and Financial Aid, as well as written descriptions of the admissions process that were submitted by the Dean of Admissions in response to our data request. Applicant files were reviewed in order to be familiar with the material considered by Harvard in the selection process. Finally, OCR interviewed 10 members of the Admissions staff about their roles as "readers" and as "subcommittee and full committee members" in the admissions process, including their methods for evaluating individual applicants. The 10 staff members interviewed included the Dean of Admissions

and Financial Aid, Director of Admissions, Senior Admissions Officers, Admissions Officers whose geographical areas included many Asian American applicants, and three "ethnic" readers who read Asian American and black applicant files. All of these individuals served as readers during the admissions process.

Although Harvard explained that recruitment of the best pool of applicants is the first step in the admissions process, OCR did not investigate this aspect of the process. Part of the reason for this decision was the self-selective nature of the decision to apply, and also the tremendous increase in Asian American applicants during the period under review. In addition, Harvard has included Asian Americans in its minority recruitment efforts, particularly from among segments of the Asian American population which have not traditionally applied to Harvard, such as recent immigrants or individuals from "blue collar" backgrounds.

The second step in the admissions process, student selection, is designed to select the best, most promising students from among the applicant pool. Harvard estimates that between 80% and 90% of its 11,000 plus applicants could probably do the academic work at Harvard, and 50%-60% could do superb work. Consequently, the selection process is one of choosing the best applicants from a highly qualified group of applicants. Because of the limited number of spaces available (approximately 1,600), some extremely well-qualified applicants are necessarily rejected. It is this selection process which was the main focus of our investigation.

#### THE APPLICATION

As the first step in the admissions process, each undergraduate applicant is required to submit a completed Admissions Application. Harvard reviews applications in two stages - Early Action and Regular Action. Since procedurally, both stages are similar, for the purposes of this review, no distinction has been made between the groups of applicants.

The application contains a Personal Data Form (PDF) which requests basic information on the applicant, including the applicant's name, address, high schools attended, tentative fields of study in college, intended occupation, activities of interest and whether he/she intends to request financial aid. The applicant may also choose to indicate his/her race. Also, information must be provided on the applicant's family, including parents' names, education levels and professions, and the names and ages of brothers and sisters and the colleges that they have attended. This portion of the application also asks the applicant to list principal extra-curricular activities, participation in athletics, and employment and summer activities. Finally, the applicant is asked to indicate awards, honors and distinctions that are non-academic.

The application also includes an Application and Essay form. This form, which is filled out by the applicant, requests such general information as the SAT and Achievement test scores, as well as, information on special courses that were taken which might qualify an applicant to take certain College Board Advanced Placement Tests. It also requests the applicant to list the books he or she has read in the past 12 months, or to list and write briefly on the four or five books which have had the greatest impact on the applicant.

The Application and Essay form asks the applicant to list all languages he or she speaks, reads and/or writes. It also asks the applicant to write several essays on various subjects including the one or two academic experiences which were most significant to the applicant, the applicant's academic goals at Harvard and Radcliffe; the applicant's one or two most significant extracurricular work or community activities; and the one or two non-academic activities that the applicant would most like to pursue at Harvard and Radcliffe. The form also includes a space for the applicant to make additional comments on material which has not been adequately addressed elsewhere in the application. Finally, the Application and Essay form requires the applicant to write a 200-500 word essay on any topic of the applicant's choosing. The instructions indicate that "any subject of direct personal importance to the applicant would be a good choice."

The next part of the application is the Secondary School Report, which is completed by the applicant's high school. This Report is supposed to include a copy of the applicant's transcript, SAT math and verbal and three achievement test scores. Most of the Secondary School Report is actually a recommendation form filled out by the Guidance Counselor in the high school. It includes a section for the Counselor to rate the applicant in such non-academic areas as emotional maturity, warmth of personality, leadership, self-confidence, personal initiative, sense of humor and concern for others.

In addition to the Counselor's report, the applicant is required to submit two Teacher Reports (recommendations). Harvard provides its own form for these, although teachers may write up their own letters of recommendation in their own format.

An applicant's folder should also contain a Personal Interview Report, which is completed by Harvard alumnus/a. This Report describes the results of an alumnus/a interview of the applicant. Alumni/ae interviewers give numerical ratings (1-5 or 1-6) in four areas and write narrative comments to assess applicants. The four numerical rating categories are: academic, extra-curricular/athletic, personal qualities, and an overall rating. Included on this Report form is general guidance to interviewers on what constitutes the 1-6 numerical ratings for applicants in the four areas.

## READER SYSTEM

Individual applications are grouped for administrative purposes by geographic areas called "dockets". In addition, there are dockets for categories such as "prep schools" and "Americans abroad". Within dockets there are smaller geographic subdivisions called "areas". Individual Admissions staff persons are assigned to one or more areas, which determines which set of applications they will read.

Based on staff interviews and data submitted by Harvard, including the "Reading Procedures" provided to Admissions staff, OCR found that all applications go through a reading process consisting of reviews of the application by individual readers. The length of time to review a file varied by reader, but generally it took between 10-30 minutes. While individual readers had their personal methods and sequence for reviewing applicant folders, there appeared to be some consistency. Generally, readers began their review by reading the PDF, which provides background information on the applicant, as well as specific information on extracurricular and athletic activities in high school, and on anticipated activities in college. Readers would also be able to determine from the PDF an applicant's race, interest in financial aid, and whether the applicant had a Harvard connection through parents or siblings. Next, readers would read the application and essay, which would describe academic accomplishments, including SAT scores, books read, and personal statements on academic and non-academic experiences. Then the readers would read the remaining items in the folder, the Secondary School and Teachers' Reports, and the alumni interview. Some readers stated that they would review the entire file prior to rating the applicant, others stated that they rated some areas such as extracurriculars or athletics while reading the PDF.

An application may get anywhere from one to four or more readings depending on the applicant's background and experiences. OCR learned that the first reader, who is generally the assigned area person, is responsible for organizing the applicant file and filling out a "Summary Sheet" which is placed in each applicant's folder. The Summary Sheets, through a coding system, contain biographical information such as the ethnicity of the applicant, citizenship and sex of the applicant, as well as whether the applicant is applying Early Action or Regular Action, applying for financial aid, plans on commuting to Harvard, has parents who are alumni/ae or faculty of Harvard/Radcliffe, has a physical handicap that requires special attention, or is a potential athlete in whom coaches might be interested. Additionally, the first reader is expected to verify the applicant's test scores and the code for his or her high school.

First readers, after reviewing all information in the applicant folder, fill in numerical ratings on the Summary Sheet on the criteria of academics, extracurricular activities, athletics and personal qualities. They also give ratings for two teacher recommendations, a guidance counselor's recommendation and any interviews that may have been held with the applicant by alumni or admissions staff. A

preliminary overall rating (POR) is made on the Summary Sheet which reflects the reader's judgment as to the applicant's likelihood of admission, based on a combination of the other ratings along with the reader's sense of how strong or weak the applicant is. Ratings range from 1-4 or 1-6, one representing the highest or best rating, four or five representing the lowest, and six indicating that something is missing, or that there is an extenuating circumstance justifying little or no activity in a given area.

In addition, first readers (and subsequent readers) write brief narrative summaries of applicants' strengths and weaknesses on the Summary Sheets. They should also note important academic and extracurricular accomplishments so that subsequent readers may more easily assess the strengths of the applicant.

An application is sent to a second reader when the first reader a) wants a second opinion; b) would like an application to have three readings because it is a complex case; or c) wants the second reader to provide extra support for an applicant. Applications that go to a second reader are usually borderline cases that are not clear admits and not clear rejects. Second readers, like first readers, also fill out numerical ratings and write brief narrative summaries about the applicants. Additionally, second readers sometimes serve as the advocate for a case instead of the first reader. In some instances folders go directly from the first to third reader, principally when the applicant is exceptionally strong.

According to the Reading Procedures, if a reader finds that a folder does not meet the criteria above for a second or third read, then the folder may be "coded out." OCR verified from Harvard that "coding out" a folder means that the reader enters his or her ratings onto a profile sheet without passing the folder to another reader. Thus, weaker applications may be read by only one reader, although the Procedures explain that first readers "must be doubly certain to check all late information prior to the Committee meetings which might make a difference to the case."

The third reader is either the Dean of Admissions or the Chairperson of a subcommittee. The third reader generally is responsible for giving the four numerical reader ratings to an applicant which are entered into the data base (the PORs assigned by the first and second readers are also entered) and printed out on docket strips. Harvard explained that these numerical ratings are subject to change as new information on an applicant is received. Third readers also provide written narratives on the Summary Sheets.

The fourth reader is considered a "specialty" reader. Some fourth readers are faculty members who read and evaluate an application to assess an applicant's accomplishments in a particular subject or field. (For example, a biology professor might read an application of a student who won a science



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award for his/her research in biology.) Other fourth readers serve as "ethnic" readers who review large numbers of applications from a specific minority group. By doing this, "ethnic" readers develop a greater awareness of the overall attributes of the particular minority group in an applicant class. Harvard uses ethnic or fourth readers for Asian American, Black, Hispanic and Native American applicants. The primary purpose of the Asian American "ethnic" read (reading) is to provide an additional or different sensitivity to the review of the application. The ethnic read is designed to ensure that no special cultural or ethnic factors are overlooked which might prevent an Asian American applicant's background from being fully understood. Those applicants who are exceptionally strong and likely to be admitted anyway, or are so weak as to have virtually no chance of admission, may not be reviewed by an ethnic reader. According to the Dean of Admissions, the Asian American reader reviews folders of Asian American applicants who "have a chance", perhaps 80% of the applicants.

The readers were all fairly consistent in describing the levels of participation and accomplishment which warranted specific ratings in the various categories. The responses given as to how folders were read and rated were consistent with the written guidelines from the Reading Procedures below, which are provided to readers:

Overall

- 1 = Tops for admission: very strong objective and subjective support (99+% admission).
- 2 = Clear admit: strong credentials but not quite tops (80-90% admission).
- 3 = Solid contender: good credentials and support (20-40% admission).
- 4 = Marginal: reasonable credentials but strengths generally below those of other candidates (0-5% admission).
- 6 = Unrated: incomplete folder or special case.

Academic

- 1 = Potential summa or highest magna: creative, high grades, top scores (700's) and strong support.
- 2 = Potential magna: strong record and scores (680-750).
- 3 = Solid candidate: potential honors: good record and scores (600's).
- 4 = Fair ability: decent record and modest scores (500's).
- 5 = Marginal academic ability.
- 6 = Special case requiring review: used to be only in special cases of unusually strong candidates in other respects who have marginal but possibly acceptable academic credentials or candidates whose academic strength lies in one area only.

Extracurricular

- 1 = Unusual strength in one or more areas. Possible state or national level achievement. A potential major contributor at Harvard and Radcliffe.
- 2 = Strong secondary school contribution in one or more areas such as class president, newspaper editor, etc.
- 3 = Solid participation but without special distinction.
- 4 = Little significant activity.

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6 = Physical condition, work or family circumstances prevent significant activity.

Athletic

1 = Unusually strong prospect for varsity sports at Harvard and Radcliffe.

2 = Strong abilities and interest which will probably continue in college.

3 = Active participation.

4 = Little or no interest.

6 = Physical condition, work or family circumstances prevent significant activity.

Personal

1 = Outstanding.

2 = Very Strong.

3 = Generally positive.

4 = Bland or somewhat negative or immature.

School Support

1 = Strikingly unusual support, "Best in ten years."

2 = Very strong support, "One of the best this year."

3 = Generally positive.

4 = Lukewarm or negative.

OCR questioned readers as to how ethnicity was used as a factor in reviewing applications. All of the readers indicated that Asian American ethnicity is simply one of many considerations which may serve as a positive factor or "plus", but never serves as a negative weight or factor. A majority of the staff stated that Asian American ethnicity is only a factor to the extent that it has influenced or impacted on the applicant's life. Several readers indicated that simply being Asian American would not be significant. All of the readers agreed that the positive weight given to an Asian American applicant was most significant when the applicant demonstrated that he or she overcame severe obstacles related to the ethnic background. For example, an applicant who came to the United States as a refugee, learned English as a second language, rose to the top of his class academically, and became involved in school activities or worked to help support his or her family, would receive great positive weight. Also, applicants who demonstrate a strong commitment to the Asian American community or interest in their heritage by getting involved in community activities or by describing the influence of ethnicity on their lives, will tend, generally, to get positive weight in the admissions process.

We found that the readers had several different views as to where and whether Asian American ethnicity was given positive weight or a "tip" in the admissions process. Some readers explained that when ethnicity was deemed to be a significant factor in an application, it was reflected in the POR and during discussions at subcommittee and committee meetings. Other readers indicated that ethnicity was a factor considered throughout the entire admissions process. They stated that it could

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be reflected in the four reader rating areas, as well as in the POR, and during the subcommittee and committee meeting discussions. Still other readers stated that ethnicity was not a factor at all unless the effect of that ethnicity on the applicant was evident from the applicant's file. They indicated that ethnicity was only considered a "plus" when the applicant wrote about or indicated the significance of his or her heritage, or when there was some other indicia in the file of the applicant's involvement with ethnic community organizations or groups.

In addition to reading Asian American files, the Asian American ethnic reader also makes informal comparisons between similarly-situated applicants within the ethnic group. One of the purposes of this comparison is to provide first readers (as advocates) additional information to be used when presenting cases in subcommittee. (See SUBCOMMITTEES below.) Admissions staff stated, however, that ultimately, each applicant is compared to all other applicants seeking admission to the class.

Also, the Reading Procedures designate which staff members serve as ethnic readers, to whom the various ethnic cases should be referred after they have been coded out by the final reader. The categories to which coordinating staff members are assigned are: Blue Collar Asians, Chicanos, Puerto Ricans, Native Americans, and Blacks. (Through subsequent questioning Harvard clarified the Procedures, indicating that the Asian American reader had broader responsibilities than just "Blue Collar" Asian American applicants.)

The Reading Procedures provide that all folders of Harvard and Radcliffe Alumni/ae children and faculty and staff children are to be given to the Dean of Admissions for reading. Additionally, readers are instructed to refer folders to the Dean if the folders are "particularly sensitive or controversial, or raise issues of fundamental Admissions or Financial Aids policy."

The Reading Procedures require final readers to fill out "profile sheets" which contain the numerical ratings that are entered into the computer. The final reader also insures that an accurate class rank for applicants is coded, and that an ethnic code is noted for all minority applicants. Finally, first readers are instructed to follow up on missing material and incomplete folders, and all readers are instructed on where to return misfiled materials.

#### SUBCOMMITTEES

After applications are reviewed by the individual readers and the ratings have been entered into the computer, the applications are sent to subcommittees for discussion and consideration. A particular subcommittee covers all applications from one docket. Admissions staff who are assigned to read folders from a particular docket make up that subcommittee. Included on the subcommittee are the

area admissions officers from the docket, who are usually the first readers of applications, and who consequently serve as advocates for those applicants in subcommittee discussions. They present cases (applicants) to the assembled subcommittee, emphasizing each applicant's strengths and reasons for admission. In addition to the first readers, second readers assigned to the area sit on the subcommittee, as well as the chairperson of the subcommittee. Additionally, faculty members may sit on subcommittees and participate in the discussions and decision-making. According to Harvard, the number of people on a subcommittee varies from as few as three to as many as twelve but, generally, there are between four and eight members. Harvard explained that the primary purpose or objective of the subcommittees is to provide a set of recommendations on the applications to the full committee. Generally, the subcommittees collectively recommend approximately 2000 applicants for admission each year.

Prior to subcommittee deliberations, the Dean of Admissions and Financial Aid and senior Admissions Officers set "targets" for each subcommittee. These targets represent the total number of applicants who should be recommended for admission from a given docket. Harvard explained that one purpose of the target system is to ensure that collectively, all of the students admitted from the various dockets do not exceed the total number that should be recommended for acceptance at the subcommittee level. More importantly, targets are used to ensure that applicants from each docket have a comparable opportunity to be admitted. By considering the strength of the applicants in one docket versus other dockets, for example, adjustments in the targets could ensure that an applicant from a very strong docket would not be unfairly disadvantaged in comparison to an applicant from a relatively weak docket. Harvard explained that the targets are developed, in part, based on factors other than the strength of the applicant pool, including the number of applicants from preference categories, as well as on several minor factors such as the historic yield rate (percentage of applicants accepted who are expected to come to Harvard) for a given docket or preference category. Harvard explained that race is only used as a positive factor to increase the number of applicants to be admitted from a given docket; it is never used negatively, or to set a goal or benchmark for the number of applicants to be admitted from a given race for a given docket.

When the subcommittees discuss applications, they have before them a copy of the computerized docket sheets which show the POR ratings from one, two or three readers depending upon how many have reviewed the applicant's folder. The docket sheet also shows the ratings entered by the third reader for extracurricular, athletics, personal qualities, two teacher recommendations, guidance counselor recommendations and alumni/ae and staff interviews. It is these numbers with which the subcommittee members work when they make decisions on whom to recommend for admission. In addition, the applicant's whole folder is available for review by subcommittee members.

During the subcommittee meetings, the advocates make oral presentations on individual candidates. The subcommittee members may refer to the actual applicant folder if necessary. The readers explained, however that most often the committee members rely on the numerical information from the docket sheets and the information provided by the advocate, when voting to recommend admission or rejection of applicants. Consequently, the numerical ratings on the docket sheets, while not decisive, can be very influential in affecting the voting of the subcommittee members.

The subcommittees review applicants by docket, and within each docket, by high school. Each applicant in the docket is reviewed, and the subcommittee decides either by formal vote, or by informal consensus, whether to recommend the applicant for admission or rejection. Harvard explained that the strength of applicants who are recommended for admission are distinguished by the subcommittees from strongest to weakest as: straight A (A = admit), A• (A - dot), A\* (A - star), A\*\* (A - double star), and A\*\*\*\* (A star galaxy). These various designations of admitted applicants generally represent the degree of consensus among the subcommittee members on the recommendation to admit. They also serve as further guidance to the full committee on how strongly the subcommittee felt about a given applicant.

Additionally, strong "rejected" applicants might be circled on the docket printout to alert other members of the subcommittee. Still other applicants might be noted as "W.L." for wait list or "I" for incomplete. According to Harvard, these applicants may still be admitted if they are revived by the full committee. Harvard explained that throughout the entire admissions process there is late-breaking information which can cause a "straight A" applicant to be rejected, or a "rejected" applicant to be admitted. These decisions, however, occur in the full committee.

#### FULL COMMITTEE

After the subcommittees are finished meeting, they submit their list of recommendations to the full admissions committee. The full committee, which includes all Admissions officers, Financial Aid staff, and some faculty and administrators, consists of approximately 45 people.

The full committee has the responsibility for making the final admissions decisions. Basically, they begin with the results of the subcommittees, which generally recommend for admission approximately 2,000 applicants which is 200 less than the roughly 2200 who will ultimately get admitted. "Rerun" meetings are held by the full committee during which the stronger "reject" applicants and weaker "admit" applicants from the subcommittee recommendations are reviewed for final action. In addition, the full committee can fill the 200 remaining places. The last "rerun" meeting, known as the "lop" session is when all final admissions decisions are completed. Voting on each applicant is done by



majority rule. The Dean of Admissions indicated that up until the final day in the process, decisions to admit and reject applicants are "fluid" and subject to change.

#### IMPLEMENTATION OF POLICIES AND PROCEDURES

To determine whether Harvard's admissions policies and procedures were implemented as described, we first reviewed applicant files from the Classes of 1991 and 1992. Initially, we reviewed a sample of 100 applicant files to familiarize ourselves with the contents of a folder prior to questioning the readers about the reading and rating process. Subsequent to the interviews, we reviewed 300 more full applicant files, 150 each from the Classes of 1991 and 1992. An equal number of Asian American and white files were examined and for each Class approximately 30% of the applicants were accepted and 70% rejected. Specifically, the 300 files consisted of 76 applicants who were admitted (38 Asian Americans and 38 whites) and 224 applicants who were rejected (112 Asian Americans and 112 whites). Within these parameters the files were randomly selected. In addition, we looked at reader Summary Sheets from approximately 2000 additional applicant files, which contained individual reader ratings, reader comments, and other information.

Separate from the file review, we analyzed information provided regarding the implementation of subcommittee and full committee procedures. Finally, we studied the implementation of all of the admissions procedures through the conduct of statistical analyses on applicant data provided by Harvard.

#### FULL FILE REVIEW

The primary purpose of the file review was to determine whether reader ratings in the four areas: academic, extracurricular, athletic, and personal qualities, as well as the POR, were consistent with the documentation in the file for both Asian American and white applicants. In addition, we looked to see whether there was any evidence of readers' lack of awareness or insensitivity to the culture or background of Asian American applicants, such that they were at a disadvantage in the admissions process. Also, given the subjective nature of the admit/reject decision in light of the varied information contained in a folder, we sought to identify the considerations or "hooks", which appeared to separate the admitted vs. rejected students from among many strong candidates. In this regard we looked closely for indications of the use and impact of the "tips", including the Asian American ethnic tip, in the evaluation of applicants.

OCR read each file in its entirety and noted the various reader's comments and ratings which had been recorded on Summary Sheets found in each file. Although the Reading Procedures described

a rating system containing only whole numbers (1-6), many files showed finer gradations, such as a "3+" or "2-", or even ratings such as "2/3".

It was readily apparent that the pool of applicants, both Asian American and white, was extremely bright and talented. Academically, the norm appeared to be applicants with SAT scores above the middle 600s, with scores in the 700s quite common. Similarly, the class rank of applicants was usually in the top 10 percent, while many were class valedictorians. Most students had numerous extracurricular and athletic activities, as well as academic and non-academic honors and awards. The required essays were, more often than not, so interesting, insightful, or moving, that it was hard to imagine that they were prepared by 17 year olds. In fact, given the overall strength of the applicant pool, it sometimes seemed as if the students who stood out were the ones who scored below the 600s on their SATS, were not in the top 10% percent of their class, or were not extremely well-rounded.

OCR's review of complete files showed that there was the greatest consistency among readers' ratings in the academic and extracurricular categories. We found that the readers consistently applied the standards found in the Reading Procedures in these areas. For example, in the academic area, OCR noted that those applicants with test scores in the upper 700's, as well as a very high rank in class and exceptionally strong teacher recommendations received a 1 academic rating, those with test scores in the high 600's to low 700's, high ranks and very strong teacher support received a 2. etc. OCR found no evidence of Asian American applicants being given lower academic ratings than white applicants for similar academic credentials and accomplishments.

Although the academic rating area was in some ways the easiest in which to assess the consistency of reader ratings, OCR also found similar ratings of the quantity, duration, and quality of participation in extracurricular activities. For instance, readers appeared to be mindful not only of the number of activities in which an applicant was involved, but the number of hours per week, the nature and significance of the accomplishments in a given activity, and the number of years of commitment to, or active involvement in the activity. Again, OCR found consistency in the ratings of Asian American and white applicants with similar credentials. It should be noted, however, that almost all (over 95%) of the applicants received some form of a 2 or 3 rating in this category. Hence, there was not a great deal of differentiation in the ratings in the extracurricular area.

OCR found less consistency among readers' ratings in the athletic and personal categories. For example, several applicants listed nothing on their applications under athletic activities. Different readers would give either a 6 or a 4 as a rating where nothing was listed. A 6 rating indicates either that something is missing from a file or that there is some extenuating circumstance which precluded an applicant's participation. A rating of 6 is not a negative rating. OCR found several cases where one reader would give a 6 rating when nothing was written down on the application, and another

reader would give the same case a 4. Additionally, it was clear that several readers had differing views of what level athletic activities constituted a 3 rating and what level constituted a 4. Some applicants with only recreational participation during high school received a better athletic rating than applicants who participated on varsity teams in high school.

OCR questioned Harvard regarding the apparent inconsistencies among reader ratings in the athletic category. Harvard explained that some readers did have different views of what levels of athletic participation constituted a 3 versus a 4 athletic rating, however, the individual readers were consistent in rating all applications they read. Further, Harvard asserted, and we confirmed through an analysis of the data provided, that a 3 versus a 4 athletic rating made little difference in an applicant's chance for admission. OCR looked closely at individual reader's athletic ratings of both Asian American and white applicants and found that in almost all cases, there appeared to be consistency in the ratings. In other words, if a particular reader seemed to give worse athletic ratings than other readers, OCR found that that reader treated Asian American and white applicants similarly by giving all applicants a poor rating.

With respect to the personal qualities ratings, most applicants in our sample, both Asian American and white, were given between 3- and 2+. Overall, in the Classes of 1991 and 1992, from which our file samples were drawn, over 98% of the applicants received some form of a 2 or 3. However, between the two groups, 20% of Asian American applicants and 25.5% of white applicants received a 2 rating in the personal category.

In reviewing files, we found that the differences between some 3 and 2 ratings, such as a 3- and 2+, were not clearly discernable. According to the Admissions staff who were interviewed the personal rating is derived from a variety of elements in the applicant's file. It may be based on the essay written by the applicant, the comments of staff or alumni interviewers, teacher recommendations or any other information in the file which indicates strength of character. It could also be reflected in extracurricular activities, such as when an applicant has spent significant time doing community volunteer work.

Because the information which went into the personal qualities rating could come from a variety of sources in an application, it was virtually impossible for OCR to identify exactly on what information a given reader based his/her personal rating of an applicant. Of the 300 files examined in this phase of the file review, OCR found only one applicant who received a personal rating poorer than a 3- on the summary sheet. The applicant was an Asian American who was admitted, and who ultimately came to Harvard. The fact that the applicant was admitted despite the low personal rating supported Harvard's position that the readers and committees view the entire application as a whole. Admissions staff explained that generally, with the exception of perhaps a very low academic rating

which might indicate an inability to perform the academic work at Harvard, weaknesses in some areas could be overcome by strengths in other areas. Our comparison of the personal qualities ratings to the supporting material in the applicant files revealed no apparent inconsistencies between the ratings and the underlying documentation. In all cases where an applicant received a 2 or better personal rating, there was some evidence either in the reader's narrative comments or the supporting documentation with the application (such as a Teacher's recommendation) which suggested that the applicant had unusually strong personal qualities.

In light of the lower ratings for Asian Americans and the subjective nature of the personal category, we looked for evidence of stereotyping, and for indications that cultural differences, which might have placed Asian American applicants at a disadvantage, were overlooked. Basically, as discussed more fully in the following section, we found little evidence of negative stereotyping of Asian American applicants. With respect to cultural differences, it was not apparent from readers' comments or from the ratings themselves, how, if at all, ethnic or cultural background was taken into account. Perhaps more importantly, however, numerous Asian American files did not reflect review by the Asian American reader, raising the potential that cultural differences in areas affecting the personal rating, such as leadership style, for example, may not have been fully considered.

With respect to the POR, which Harvard stated represented an applicant's likelihood of admission based on all factors and information (not simply the four major rating areas), OCR found only a handful of Asian American cases from the sample of 300 in which one or two readers appeared to give a POR which did not seem to reflect the documentation in the applicant folder, and did not appear to be consistent with the PORs assigned by other readers of the same folders. We found that the readers who gave the lower PORs, however, gave individual ratings in the four major rating areas that were comparable to the individual ratings of other readers of the same Asian American folders and that appeared to be consistent with the applicant's achievements as documented in the folder. OCR was informed by Harvard that the POR represents an individual reader's personal view of the likelihood of admission of a particular applicant, and consequently, it appears that the lower PORs in the handful of cases simply reflected the individual reader's perception that a given applicant was not as strong or deserving of being admitted as other applicants with similar individual ratings. While the disparity in the POR ratings, was not significant enough for OCR to conclude that the readers were discriminating against Asian Americans, OCR noted there were several Asian American files read by only one reader which received a 3 POR (defined as a "Solid Contender" by the Reading Procedures). These appeared to be worthy of further consideration, at least by the Asian American ethnic reader. Most of these files had no evidence reflecting that they had been reviewed by the Asian American ethnic reader.

The final phase of the file review consisted of reviewing approximately 2,000 Summary Sheets containing comments and numerical ratings from the readers. For the Class of 1991, OCR received and reviewed 950 Summary Sheets, 219 admitted students and 731 rejected candidates. Similarly, for the Class of 1992, a total of 1,020 Summary Sheets were reviewed, 260 admitted students 760 applicants who were rejected. Within each category there were approximately an equal number of Asian American and white applicants.

Although our review of the applicant information contained on Summary Sheets did not provide a basis for determining whether reader ratings were supported by file documentation, we used the Sheets to conduct a more detailed analysis of possible differences between readers in assessing Asian American and white folders. We looked to see whether one or more readers appeared to treat Asian American applicants more harshly than other readers reviewing the same candidate. Also, we sought to determine how the Asian American reader ratings and comments on Asian American applicants differed from other readers. Through a review of the comments by the readers we checked for any evidence of bias or insensitivity towards Asian American applicants. Finally, also from the comments, we tried to determine what actually "tipped" the balance in favor of admitting individual applicants.

We found that of the 989 Summary Sheets from Asian American applicant files, only 189 or approximately 19.1% had been read by the Asian American ethnic reader. OCR's review of the Summary Sheets, therefore, did not support Harvard's initial contention that the ethnic reader reads "most" of the Asian American applicants, or that she reads "all" or nearly all of the Vietnamese and Filipino applicants. OCR observed several applicants who were noted by the reader as Vietnamese refugees or of Filipino heritage, for whom there was no evidence of the ethnic read. Additionally, most of the Asian American cases that were read by the ethnic reader were not read by her as an "extra" or "4th" reader, but rather as a first reader who was assigned to read the case because it was on her docket.

However, Harvard indicated that the Asian American ethnic reader was assigned to dockets and sits on subcommittees which included over half of all Asian American applicants. Consequently, Harvard asserts that in addition to those applicant files in which OCR found evidence of the Asian American ethnic read, the Asian ethnic reader reviews files and participates in discussions at subcommittee and full committee meetings on many more Asian American applicants for which there is no written evidence of her input.

In order to see whether the Asian American ethnic reader's rating or comments were any different than other readers, we looked separately at Summary Sheets from all Asian American and white applicants in our sample which she had read. OCR found that there was no discernable distinction in either the nature or tone of her comments for Asian American and white applicants. Her



comments addressed, generally, the strengths and weakness of each applicant. There was also no discernable difference between her comments and those of other readers in terms of any cultural or experiential differences faced by Asian American applicants. Put another way, it would be no easier to tell from her comments than from any other reader's comments, that the applicant being reviewed was Asian American or that the reader reviewing it was a fourth or ethnic reader. Similarly, the ratings, themselves, suggest little if any difference between the Asian American ethnic reader's numerical ratings of Asian American applicants and other reader's numerical ratings of Asian American applicants. Harvard asserted that the Asian American ethnic reader played an important role, not only in reviewing applicant files, but in sharing useful information about Asian American applicants with other readers. They claimed that she generally heightened staff awareness of Asian American issues which could help Asian American applicants in the admission process.

While our file review did not support Harvard's assertion that the Asian American ethnic reader reviews "most" or all files of Asian American applicants who "have a chance," we could not conclude that the lack of an ethnic read put Asian Americans at a disadvantage. However, the Asian American ethnic reader's role, in part, was to ensure that no cultural or ethnic differences pertaining to Asian Americans were overlooked. To the extent that she is unable to review Asian American files as a reader, the possibility exists that some ethnically-related factors might be overlooked.

In addition to examining the ethnic reader's comments, OCR's concern for the potential stereotyping of Asian American applicants prompted a review of reader comments for negative characterizations which could have an impact on the admissions decision and ratings. On its face, reader comments revealed several recurring characterizations attributed to Asian American applicants. Quite often Asian American applicants were described as being quiet/shy, science/math oriented, and hard workers. For example, one reader's comment embraced all of these in describing an Asian American applicant when she wrote:

"... [applicant] seems like a reserved, hard-working, aspiring woman scientist/doctor."

While such descriptions may not seem damaging, OCR was conscious that problems of "model minority" stereotypes could negatively impact Asian American applicants as a whole. This concern was also raised when OCR's file review came upon comments such as:

"He's quiet and, of course, wants to be a doctor . . ."

suggesting that most or all Asian American applicants "want to be a doctor." Or more pointedly:

"... [applicant]'s scores and application seem so typical of other Asian applications I've read: extraordinarily gifted in math with the opposite extreme in English."

OCR noted that in a number of cases, Asian American applicants were described as "quiet, shy, reserved, self-contained, soft spoken" and that these characteristics were underlined for added emphasis by the reader. While white applicants were similarly described, OCR found such descriptions ascribed to Asian American applicants more frequently. In some cases these comments actually originated from the interviews, teacher or counselor recommendations, or self-descriptions given by the applicant. For instance, in one case, an interviewer wrote:

"... he comes across as the hard worker rather than the really outstanding potential scholar."

In another, a teacher reports:

"... [applicant] has naturally reserved qualities."

OCR recognized that reader comments were also sometimes echoes of other reviewers' commentaries related to the applicant. OCR also noted a few cases in which the readers referred to an applicant as "a classic V.N. [Vietnamese] bootstrap case" or "a classic BC/NC (blue collar/non-college background) Asian American from the inner-city." While it was clear from the context of the statement that the readers were not criticizing the applicants, and that there was no negative intention, the comments do suggest a tendency to stereotype by calling the applicants "classic."

Additionally, OCR found another reader's comment which suggested a degree of insensitivity on the part of the reader. The file received five reads, including an ethnic read. Reader one gave a 3+/2-POR, reader two gave a 2-/3+ POR and the ethnic reader gave a 2- POR. The third reader, however, gave a 3/4 POR. The applicant was listed as a "BCNC" applicant, whose parents owned and operated a grocery store. The third reader wrote the following comment to the other readers: "Don't romanticize, by the way - the grocery may be profitable - they are back in the middle-class suburb, remember." This comment suggests that the fact that the applicant's family grocery store was doing well enough for the family to live in the "middle-class" suburb, somehow, detracted from, or operated to the disadvantage of the applicant. The comment also illustrates the distinction drawn between socio-economic status ("BCNC"), and ethnicity.

OCR also found some evidence of the readers' sensitivity to the obstacles facing Asian Americans, especially new immigrants. For example, one reader commented on a low alumnus interview score (4/5) and mediocre teacher support by saying "IV [the interview] and TRs [teacher recommendations] say [the applicant] is reserved, this may be the Filipino culture that others don't quite understand." Additionally, there were numerous comments justifying lower verbal SAT and Achievement scores for Asian American applicants because English was a second language which was not spoken at home. In many of these cases, the readers looked more closely at the teacher recommendations and essays written by the applicant, rather than the verbal SAT score to determine whether the applicant had sufficient language and writing skills to succeed at Harvard.

OCR found that while some reader comments could be construed to negatively affect the case of Asian American applicants, the ratings given to the applicant, where these comments did occur, did not reflect a lower than expected score. For example, in the aforementioned interviewer's comment on "hard worker" versus the "outstanding potential scholar," the reader rated the applicant's academic area a "2," consistent with his test scores and class standing. Similarly, applicants who were deemed to be "quiet/shy" were often rated "3" or better in the POR.

OCR concluded that, while descriptions of Asian American applicants were found that could have implications for the stereotyping of Asian American applicants, they could not be shown to have negatively impacted the ratings given to these applicants.

In reviewing Summary Sheets for indication of specific factors which appear in a general sense to positively or negatively affect admissions, OCR found that the most frequent comments indicating why an applicant was rejected stated that an applicant was "hookless", "not special", "standard", "flat", or otherwise "not unique in the H/R pool," and, thus, would have difficulty getting admitted. The second most frequent comment for rejected applicants was that they were weak academically, in comparison to other applicants. On the plus side, the most clear indication of positive weight which appeared to significantly increase an applicant's chance of admissions was found in comments on recruited athlete and legacy files.

OCR found information in the readers' comments on the Summary Sheets which illustrated the significance of the weight given to recruited athletes. The following readers' comments from applicants who were admitted to the classes of 1991 and 1992, illustrate the weight and significance that athletics can play in the admissions process:

"A shaky record and so-so scores don't bode well for [the applicant's] case, . . . nice personal qualities, and he'd make a fine addition to the team if the coaches go all out for him, but that's what it would take."

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"... a straightforward case hanging on athletic ability. Easy to do if a needed '1' [athletic rating], pretty ordinary if not."

"As a swimmer who could 'help the program' she is special. If she isn't really special, the case will be difficult to make."

"I fear that this may be tough without a field hockey push."

"If she's a '1' [athlete] she's one to compare on 'the list'. Otherwise I'm afraid the mediocre scores will work against her."

These comments suggest that an applicant's athletic ability and Harvard's need for such an athlete on its teams (reflected in the coaches' "lists"), can be crucial if not decisive in determining whether or not to admit the applicant.

OCR noted that both Asian Americans and white applicants received positive weight for athletic "tips". There was no evidence in the Summary Sheets to suggest that the implementation of an athletic preference or "tip" was in any way designed to negatively treat or affect Asian American applicants.

Similarly, our review of the readers' comments on the Summary Sheets illustrated the significance of being a Harvard/Radcliffe legacy in the admissions process. OCR observed the following readers' comments on applicants who were ultimately admitted to the classes of 1991 and 1992 which illustrate the positive weight given for being a legacy:

"Well, not much to say here. [Applicant] is a good student, w/average EC's [extracurricular], standard athletics, middle-of-the-road scores, good support and 2 legacy legs to stand on . . . Let's see what alum thinks and how far the H/R [Harvard/Radcliffe] tip will go."

"Dad's . . . connections signify lineage of more than usual weight. That counted into the equation makes this a case which (assuming positive TRs and Alum IV) is well worth doing."

"This is a good folder, but without the lineage it seems shy of an absolutely clear hook."

"We'll need confirmation that dad is a legit, S&S [Alumni Schools and Scholarship Committee participant] because this is a "luxury" case otherwise."

"Without lineage, there would be little case. With it, we will keep looking."

"Not a great profile but just strong enough #'s and grades to get the tip from lineage."

It is evident from some of these readers' comments that being the son or daughter of an alumnus of Harvard/Radcliffe was the critical or decisive factor in admitting the applicant. It is clear that the "lineage tip" can work to the advantage of an applicant by offsetting weaker credentials in virtually any of the rating categories. There is also some evidence to suggest that certain alumni parents' status may be weighed more heavily than others. For instance, the distinction made between alumni and "S&S" alumni suggests that legacies whose parent(s) participates on the Schools and Scholarship Committee are likely to get a bigger "tip" (more positive weight) in the admissions process than legacies whose parents are not as active with Harvard or Radcliffe.

OCR concluded from the file review that both Asian American and white legacy applicants were given "tips" for their legacy status. OCR observed, however, that there were significantly fewer Asian American applicants than white applicants in our sample of approximately 2,000 Summary Sheets, who had the legacy status, and fewer still, who had several generations of lineage at Harvard.

With respect to the positive weight or "tip" assertedly given to Asian American applicants, there were few comments in the approximately 1000 Summary Sheets which reflected this. The only comment suggesting an ethnic tip was found on a Filipino applicant's Summary Sheet which stated: "The number of Phillipino students in the pool is very small. - Given the scores and support I don't see a problem." It should be noted that this applicant received a 2 POR and had strong ratings in all individual rating categories.

OCR found no readers' comments which suggested that an applicant's Asian ethnicity was a significant or important factor in deciding to admit the applicant in the same way that being a legacy or a recruited athlete was instrumental in admitting numerous applicants. This conclusion was best exemplified by the comments of the third reader on an Asian American applicant whose folder showed that he was both clearly influenced by his ethnicity and a good athlete:

"He is more the hard worker than the scholar but if the soccer talents are competitive at H/R then he is special."

The applicant's Asian American ethnicity is not recognized and he would only be considered "special" based on his athletic talent. While the various "tips" or preferences could not be weighed or defined precisely, it was clear that the ethnic tip for Asians was significantly less instrumental, and present less often than tips for legacies and recruited athletes.



## SUBCOMMITTEES AND FULL COMMITTEE

In addition to reviewing files to determine how the reader system was implemented, OCR sought to examine the implementation of the subcommittee and full committee portion of the admission process. As described previously, both the subcommittees and full committee conduct oral deliberations followed by a voting process on each and every applicant. In addition to interviewing staff, we reviewed the limited available data on subcommittee and full committee actions to determine whether Asian Americans might have been adversely affected by these processes. Also, we assessed the effect of the development of targets on Asian American applicants.

During interviews with Admissions staff, OCR was told that the Asian American "ethnic tip" could be reflected in the subcommittee and full committee meetings. When asked exactly how this tip would come up in such meetings, none of those interviewed could think of, or remember a single case in which an applicant's Asian American ethnicity was cited as the "tip" which resulted in that applicant being admitted over a substantially equal white applicant.

OCR requested information from Harvard specifying the admit/reject status of applicants at the end of the subcommittee meetings in order to compare those figures to the final admit/reject decisions which resulted from the full committee meetings. In this way, we could determine how Asian American applicants were affected by the subcommittee deliberations in comparison to the full committee. Unfortunately, Harvard was only able to provide data on the subcommittee results for the Class of 1993. The information below represents the number of potential admits resulting from subcommittee deliberations, which was compiled just prior to the full committee meetings.

## Class of 1993

Total Admitted:	1959
Admitted Asian Americans:	292
Admitted Others:	1263
Admitted Lineage*:	261
Admitted Athletes*:	216

In comparison, after full committee deliberations, the results in terms of the final admitted class are below:

Total Admitted:	2255
Admitted Asian Americans:	341
Admitted Others:	1428

Admitted Lineage\*: 290  
 Admitted Athletes\*: 300

\*Harvard noted that these statistics do not break down lineage and athletes by race, and therefore, one applicant may show up more than once in the statistics.

Without similar data for several years, OCR was unable to find any patterns or trends in the admission of Asian Americans versus whites from these figures. We did note that the number of Asian Americans admitted to the Class of 1993, rose by 49 from the Subcommittee decisions to the final decisions of the full committee. Consequently, from this limited data, OCR found no evidence to suggest that Asian Americans were being restricted or hindered during the final full committee meetings. In fact, at least during the 1993 class year, proportionally, Asian Americans made greater gains than Other (white) applicants and than lineage applicants during the full committee process.

To assess the effect of subcommittee deliberations on Asian American applicants, we tried to determine whether the development of targets could adversely affect Asian Americans. If the targets reflected different proportions of applicants to be admitted in different dockets (subcommittees), we looked to see whether those dockets with disproportionately large numbers of Asian Americans had smaller targets.

TABLE 4

DOCKET	CLASS OF 1991		CLASS OF 1992	
	TARGET AS % OF ALL APPS. IN DOCKET	% OF ASIAN AMERICAN APPS. IN DOCKET	TARGET AS % OF ALL APPS. IN DOCKET	% OF ASIAN AMERICAN APPS IN DOCKET
A	14.1%	27.1%	12.7%	26.4%
C	12.6%	30.3%	11.3%	33.8%
M	28.6%	5.3%	28.7%	5.7%
All Dockets	14.6%	15.2%	14.1%	15.7%

As shown in Table 4 above, OCR evaluated Dockets A and C, which represented the States of California and Hawaii, because they contained large percentages of Asian American applicants in the Classes of 1991 and 1992, but appeared to have relatively low percentages of total applicants targeted for admission. Harvard explained that the targets were set based largely upon the strength and quality of applicants in the docket, as well as the number of special interest of preference group applicants. In part, to determine whether the lower targets in A and C dockets were justified, OCR

conducted an analysis described in the following Statistical Analyses section which showed that Californian applicants were somewhat weaker than non-Californian applicants. However, it also appears that the large number of Asian Americans in these dockets did not have a strong positive effect on the target size, which is consistent with our conclusion that there is little if any Asian American "tip."

Additionally, we observed that Docket M (New England Preparatory Schools) had a high percentage of applicants targeted for admission, and a low percentage of Asian Americans in the applicant pool. OCR notes that the high targets for dockets such as M reflected not only the strong qualifications of the applicants from the prestigious New England preparatory schools, but also, quite possibly, a large number of legacy applicants from the docket as well. From all of the above, we concluded that Asian Americans did not appear to be disadvantaged through the establishment of docket targets.

#### STATISTICAL ANALYSES

As stated previously, the admit rate for Asian American applicants over the last seven years (Classes of 1986 to 1992) was significantly lower than for white applicants. In the Implementation section above, OCR determined that Harvard implemented its admissions procedures, particularly the process of reviewing application folders and assigning reader ratings, in a manner which did not treat Asian Americans differently (except as previously noted). Nonetheless, it was impossible to determine exactly why, and on what basis, any individual applicant was accepted or rejected. Harvard maintained that this decision was not based on any formula which mechanically used the reader ratings or any other information contained in the folders. Instead, all information was taken into account through a succession of individual (reader) and group (subcommittee and full committee) assessments to ensure that each applicant is excellent and well-rounded, and would contribute to a diverse student body.

Consequently, OCR sought an explanation through statistical analyses on all ten Classes (1983-1992), including virtually all (approximately 110,000) Asian American and white applicants for those years, using information contained on a computer data tape provided by Harvard. The tape included the following applicant information:

1. Personal data

- Home state
- Sex
- Financial aid applicant
- Tentative field of study
- Prospective occupation
- Prospective college activities

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- Parents' occupation
- Parents' college background
- Recruited athlete
- 2. Academic record
  - SAT and achievement test scores
  - Class rank and class size
- 3. Ratings:
  - Reader -
    - Overall
    - Academic
    - Extracurricular
    - Athletic
    - Personal
  - Teacher
  - Staff interview
  - Alumni interview

We note that there were slight differences between analyses conducted from the computer generated data and the "hard copy" information provided by Harvard. For example, in Table 11 in this section, 2,236 Asian American applicants are shown for the Class of 1992. Table 1 on page 4, based on the "hard copy", indicates that there were 2,263 Asian American applicants for the same class. The difference can be attributed to our decision to utilize, for this section's analyses only, applicants for whom an admit or reject decision was reflected on the computer tape data, without including applicants who may have filed an initial application, but did not complete the admission process (less than 3% of our sample). Consequently, the Asian American and white admit rates described in Table 8 are different from the rates that can be calculated from Table 1.

It was explained by Harvard that this data tape was compiled for administrative purposes, as opposed to research. It is generally used by Harvard to provide a "shorthand" summary in numerical form of each of the thousands of applicants in a given year. However, reader ratings in the data base are only described in whole numbers, in contrast to the finer gradations on Summary Sheets, which we observed during the file review. Also, some applicant information is obtained late in the admissions process, most notably alumni interview ratings, and might not get entered into the data base, although considered in making the admissions decision. Consequently, while there was information on over 111,000 Asian American and white applicants on the tape, there was complete data on a much smaller number, approximately one-fourth of the total records. The incomplete records in almost all instances lacked only the alumni interview. Our analyses appeared to show little bias associated with the presence or absence of this information.

More importantly, perhaps, is the understanding that, while there is a great deal of information relevant to the admit/reject decision contained in the quantitative variables we analyzed, there may be other unmeasured variables which affect the decision. For example, the importance or weight of

the "tips" given to certain applicants would not be necessarily be quantified in the tape data. In addition, there are two substantive steps in the admissions process, the subcommittee and full committee deliberations, which would not be reflected in the information on the data tape. Finally, it is clear both from Harvard's statements, and our investigation, that there is no formula by which the quantitative information analyzed is translated into an admissions decision for any or all candidates.

Our first task was to determine whether the Asian American and white applicant pools were similarly qualified. If the white applicants were, on average, superior to Asian American applicants, then it is reasonable to expect that whites would be admitted at a higher rate. A simple way to compare the two groups is to view the mean scores of Asian American and white applicants over the ten year period on ten admissions criteria central to the admit/reject decision. As shown in Table 5 below, while the two groups were found to be significantly different on many of the variables, they appear overall to be comparably qualified when viewing their means. (Note that for reader ratings a 1 represents the best rating and 4 or 5 represents the worst rating.)

TABLE 5  
MEAN SCORES OF ASIAN AMERICAN AND WHITE APPLICANTS  
TEN YEARS

<u>VARIABLE</u>	<u>ETHNIC GROUP HIGHER</u>	<u>ASIAN</u>	<u>WHITE</u>	<u>SIGNIFICANCE</u>
Academic Rating	Asian American	2.81	2.97	s
Athletic Rating	White	3.33	3.06	s
Extracurr.	-	2.77	2.75	ns
Personal Rating	White	2.84	2.79	s
SAT Math	Asian American	683	661	s
SAT Verbal	White	606	623	s
Counselor Rating	-	2.63	2.66	ns
Class Percent (Rank)	Asian American	93.46	91.46	s
Alumni Rating	-	2.68	2.63	ns
Teacher Rating	Asian American	2.58	2.61	s

Another more sophisticated way of examining the issue of comparability of applicant pools is to employ a discriminant function analysis. This multivariate technique indicates whether, on specified admissions criteria, the two applicant groups are statistically different and, if so, which criteria or variables best distinguish between the two groups, controlling for the other variables. By controlling for the effect of the other variables, one avoids inappropriately attributing a unique effect to one. For example, it allows us to measure the individual effect of each of four academic measures (academic rating, SAT Math and Verbal, Class Percent), which are basically measuring similar things, that is, aspects of academic performance. The same ten admissions variables shown in the mean



scores comparison above from the data tape were selected. The results of this discriminant analysis showed that the groups were different on eight of the ten variables as shown in Table 6 below. Generally, Asian Americans had higher academic scores, whites, higher non-academic scores. While the eight admissions criteria did significantly discriminate between Asian Americans and whites, the magnitude of the difference between the two groups was small as indicated by the small partial  $r^2$  values for each variable. Hence, it appears from this analysis as well, that the Asian American and white applicant pools are similar in overall quality.

TABLE 6  
DISCRIMINANT ANALYSIS  
TEN YEARS  
ALL APPLICANTS

<u>ETHNIC GROUP HIGHER</u>	<u>VARIABLE</u>	<u>PART. <math>r^2</math></u>	<u>Significance</u>
White	1. Athletic Rating	.0180	s
Asian American	2. SAT Math	.0125	s
White	3. SAT Verbal	.0180	s
Asian American	4. Class Rank	.0035	s
White	5. Personal Rating	.0010	s
Asian American	6. Counselor Rating	.0008	s
White	7. Extracurricular Rating	.0005	s
Asian American	8. Academic Rating	.0002	s

From the above analyses we could not conclude that the disparity in Asian American and white admit rates was attributable to differences in the quality of the respective applicant pools.

We then employed logistic regression to try to identify which of the ten admissions variables could account for the admit rate disparity. Logistic regression is a multivariate technique which can determine not only whether specific admissions criteria, in fact, influence the admissions decision, but more importantly, whether their impact is different for Asian American applicants as compared to white applicants. Through this technique, we identified six variables which appeared to negatively impact Asian Americans, that is, those variables on which Asian Americans received less benefit in the admit/reject decision than white applicants with similar scores. These were three of the reader ratings: academic, extracurricular and personal, along with the Counselor and Alumni ratings, and SAT Math. Since Harvard asserted that the preference given to legacy and recruited athlete applicants explained the admit rate disparity, we next reran the logistic regressions without these two groups. When recruited athletes and legacies were removed from the analysis, all of these race effects disappeared, with the exception that one variable, the reader academic rating, continued to have a small adverse effect on Asian Americans. The effect size, however, was too small to explain the disparity in overall Asian American and white admit

rates. Harvard's assertion, therefore, that the differential admit rate between whites and Asian Americans is a function of the preference given to recruited athletes and legacies, was supported. Conversely, we could not conclude from the logistic regression analysis that any of the tested admissions variables explained the disparity in Asian American and white admit rates.

We looked further at the treatment of legacies and recruited athletes, two groups that get a "tip" in the admissions process. Harvard's assertion that the admit rate disparity could be attributed to these groups was based on the low number of Asian Americans in these groups, which had higher admit rates in comparison to other applicants. As shown in Table 7 below, over the eight years for which data were available for both alumni children and recruited athletes, the admit rate for all applicants was 16.9%. (Note that "All Applicants" in Table 7 and "Total Applicants" in Table 12 reflect Asian American and white applicants only.) In the same period, alumni children were admitted at a 35.7% rate and recruited athletes at a 48.7% rate. While Asian Americans comprised 15.7% of all applicants over the eight years, they represented only 3.5% of the alumni children pool and 4.1% of the recruited athlete pool. We separately viewed the Classes of 1991 and 1992, as these were the classes from which our file review samples were drawn. The data from these classes were consistent with the eight year totals.

TABLE 7

	<u>ADMIT RATE BY CATEGORY</u>	<u>TOTAL # APPLICANTS</u>	<u>AA's in TOTAL APPS.</u>
<u>CLASSES OF 1985-1992 (8 Yrs.)</u>			
ALL APPLICANTS	16.9%	86437	13562 (15.7%)
CHILDREN OF ALUMNI	35.7%	9927	344 ( 3.5%)
RECRUITED ATHLETES	48.7%	3747	153 ( 4.1%)
<u>CLASS OF 1992</u>			
ALL APPLICANTS	15.6%	11182	2236 (20.0%)
CHILDREN OF ALUMNI	35.2%	1198	42 ( 3.5%)
RECRUITED ATHLETES	41.0%	541	23 ( 4.2%)
<u>CLASS OF 1991</u>			
ALL APPLICANTS	15.5%	11231	2149 (19.1%)
CHILDREN OF ALUMNI	33.4%	1165	46 ( 3.9%)
RECRUITED ATHLETES	39.4%	619	26 ( 4.2%)

The effect of legacies and recruited athletes on the comparative admit rate between Asian Americans and white applicants is most easily shown by viewing the rates of admission with and without these two groups.

TABLE 8

CLASS YEAR	ALL APPLICANTS			NO ALUMNI OR REC. ATHS.		
	AA ADMIT RATE	WHITE ADMIT RATE	SIGNIFICANCE	AA ADMIT RATE	WHITE ADMIT RATE	SIGNIFICANCE
1992	13.0%	16.2%	s	12.5%	11.0%	s
1991	12.4%	16.2%	s	12.0%	11.3%	ns
1990	11.4%	18.0%	s	10.5%	12.4%	s
1989	12.8%	17.1%	s	11.7%	12.8%	ns
1988	12.9%	18.1%	s	11.4%	12.6%	ns
1987	14.4%	19.8%	s	13.5%	14.2%	ns
1986	13.7%	18.9%	s	12.9%	13.7%	ns
1985	14.6%	16.8%	ns	14.1%	11.9%	s
1984	15.3%	15.8%	ns	15.1%	13.2%	ns
1983	15.2%	17.3%	ns	14.2%	14.3%	ns
Total	13.2%	17.4%		12.5%	12.8%	

The above table demonstrates that the disparity in admit rates is virtually eliminated over the ten year period when removing legacies and recruited athletes from the sample. In fact, for three classes, including the Classes of 1991 and 1992, Asian Americans were admitted at a higher rate than white applicants without these groups.

Evidence of the weight or "tip" given to legacies and recruited athletes can be shown by a comparison of the strength of legacy and recruited athlete applicants who were admitted with non-legacy/non-athlete admitted applicants. In Table 9 below, the mean scores over the ten years (Classes of 1983 to 1992) are described:

TABLE 9  
MEAN SCORES OF RECRUITED ATHLETES  
CHILDREN OF ALUMNI AND NON ATHLETE/NON ALUMNI  
FOR ADMITTED APPLICANTS  
ALL YEARS  
ALL ADMITTED APPLICANTS

	<u>RECRUITED ATHLETES</u>	<u>CHILDREN OF ALUMNI</u>	<u>NON ATHLETE/ NON ALUMNI</u>
SAT Math	67.02	69.50	71.77
SAT Verbal	60.30	67.41	68.67
Athletic Rating	1.31	3.08	3.11
Academic Rating	3.00	2.40	2.19
Extracurr. Rating	2.90	2.52	2.43
Personal Rating	2.52	2.53	2.44
Teacher Rating	2.43	2.32	2.08
Counselor Rating	2.43	2.34	2.14
Alumni Rating	2.35	2.25	2.06
Class Rank	92.30	92.47	96.73

With the exception of the athletic rating, non-legacy/non-athletes scored better than legacies and recruited athletes in all areas of comparison. In addition, the differences between non-legacy/non-athletes and legacies and, separately, between non-legacy/non-athletes and recruited athletes was found, in each category, to be statistically significant.

It is clear from these analyses that the "tip" given to legacies and recruited athletes is weighted quite significantly in the admissions process. The comparison shows that on average, the admitted non-athlete/non-legacy applicants scored more than 130 points higher on the combined math and verbal SATs than the admitted recruited athletes, and 35 points higher than the legacies. Still, although recruited athletes score relatively low on the SATs in comparison to other Harvard applicants, their scores would place them in the top percentiles of all students taking them.

Having determined that legacies and recruited athletes are favorably treated in the admissions process, we evaluated whether Asian American and white applicants within these pools were similarly treated. The overall pattern of mean scores below suggests that the Asian Americans and whites are similarly qualified within the legacy and recruited athlete categories.

TABLE 10

MEAN SCORES OF RECRUITED ATHLETES  
CHILDREN OF ALUMNI AND NON ATHLETE/NON ALUMNI BY RACE  
ALL YEARS - ALL APPLICANTS

	<u>RECRUITED ATHLETES</u>		<u>CHILDREN OF ALUMNI</u>		<u>NON ATHLETE/ NON ALUMNI</u>	
	Asian Amer.	White	Asian Amer.	White	Asian Amer.	White
SAT Math	67.42	64.85	68.47	66.33	68.70	66.16
SAT Verbal	58.74	57.83	62.24	63.72	60.91	62.34
Athletic Rating	1.48	1.40	3.27	3.10	3.35	3.15
Academic Rating	3.05	3.30	2.83	2.89	2.86	2.97
Extracurr. Rating	2.92	2.99	2.74	2.71	2.77	2.75
Personal Rating	2.77	2.66	2.83	2.75	2.84	2.81
Teacher Rating	2.58	2.59	2.64	2.62	2.57	2.61
Counselor Rating	2.60	2.62	2.74	2.67	2.62	2.67
Alumni Rating	2.70	2.55	2.52	2.54	2.68	2.65
Class Rank	90.79	88.25	88.51	86.29	93.65	88.25

Further, Table 11 below shows that in each of the last six years (prior to which there were so few Asian American recruited athletes that comparison was not feasible) there was no significant difference in the admit rates of Asian American and white recruited athlete applicants. In terms of legacies, in only one year was there a significant difference. These data appear to indicate that Asian American and white applicants are similarly treated within the legacy and recruited athlete pools.

TABLE 11

CLASS YEAR	<u>RECRUITED ATHLETES</u>			<u>CHILDREN OF ALUMNI</u>		
	AA ADMIT RATE	WHITE ADMIT RATE	SIGNIFICANCE	AA ADMIT RATE	WHITE ADMIT RATE	SIGNIFICANCE
1992	34.8%	41.3%	ns	26.2%	35.6%	ns
1991	34.6%	39.6%	ns	19.6%	34.0%	s
1990	42.9%	44.2%	ns	28.9%	39.8%	ns
1989	45.8%	44.2%	ns	35.6%	32.0%	ns
1988	68.4%	58.1%	ns	37.8%	34.9%	ns
1987	52.9%	53.1%	ns	26.2%	38.6%	ns

In addition, we reviewed two other sub-groups of applicants: California residents; and students who anticipated majoring in the biological sciences towards a career in medicine. One hypothesis to explain the lower admit rate for Asian American applicants is that categories of applicants in which Asian Americans are heavily represented are admitted at a lower rate. The sub-group of applicants from California was studied because Asian Americans were overrepresented in this group and, as shown below in Table 12, the admit rate was significantly lower than the admit rate for applicants in general. The



biological science/pre-med majors group was chosen because it was clear from the file review that readers often noted that Asian American applicants were "CJers", Admissions shorthand for students who indicated biological sciences as their anticipated major and medicine as their career goal. One way bias against Asian Americans might be manifested is through the use of stereotypes. If Asian American applicants are seen stereotypically as one-dimensional, math/science types, applicants who fit this pattern might be evaluated more negatively. As described in Table 12, Asian Americans are disproportionately represented among "CJ" applicants who, as a group also get admitted at a lower rate than other applicants.

TABLE 12

	TOTAL APPLICANTS	ASIAN AMERICAN APPLICANTS #	%	TOTAL APPLICANTS ADMITTED #	%
<u>CLASS OF 1992:</u>					
All Categories	11182	2236	20.0	1744	15.6
Calif	1593	555	34.8	195	12.2
Non Calif	9589	1691	17.5	1547	16.1
Bio & Med ("CJ")	1433	543	37.9	143	10.0
Non CJ	9749	1693	17.4	1601	16.4
<u>CLASS OF 1991:</u>					
All Categories	11231	2149	19.1	1741	15.5
Calif	1573	509	32.4	192	12.2
Non Calif	9658	1640	17.0	1549	16.1
Bio & Med ("CJ")	1585	621	39.2	185	11.7
Non CJ	9646	1528	15.9	1556	16.1

Through logistic regression analysis, we tested whether the large number of Asian American applicants in the California and CJ pools were adversely affected. For the Classes of 1991 and 1992, we found there was no California or CJ effect on Asian American applicants, that is, these applicants were similarly treated to non-California and non-CJ Asian American applicants. It appears, therefore, that the extent to which Asian American applicants in the California and CJ pools were admitted at a lower rate than other Asian American applicants is a reflection of their weaker qualifications. The view that Asian American applicants from California might be weaker than those from other areas of the country was also expressed by an Alumni Admissions committee member in southern California. Through additional logistic regression analyses on white applicants in the California and CJ pools, we were able to determine that Asian Americans are not disadvantaged in comparison to white within these two pools. Thus, we concluded that, although Asian American applicants from California and in the CJ pool are admitted at

a lower rate than other Asian American applicants, there was no evidence of intentional or unintentional bias.

From all of the analyses performed, OCR found a strong and distinct correlation between the preferences or positive weight given to children of alumni and recruited athletes, and the disparity in Asian American and white admit rates. No other criteria or factors appeared to substantively contribute to the disparity. As a result of these analyses, taken together with the file review, we have concluded that the disparity in admit rates between Asian American and white applicants for the most part can be explained by this preference given to legacies and recruited athletes - groups that are predominantly white. The adverse effect on the Asian American admit rate was quite clear. Consequently, OCR examined Harvard's reasons for giving these preferences.

#### JUSTIFICATION FOR PREFERENCES

OCR learned that Harvard has been giving a preference to applicants who are children of alumni and to talented athletes at least back to the beginning of the century. OCR noted that these preferences were given long before there was a significant number of Asian American applicants. Also, it is clear that preferences for legacies and athletes are not unique to Harvard. Consequently, we found no evidence to suggest that these preferences were instituted to intentionally or deliberately limit the number of Asian Americans at Harvard. Because of the disparate impact that these preferences have on Asian Americans, however, OCR proceeded to analyze the legitimacy of their use in the admissions process.

Harvard explained that the preference for alumni children was given because:

Harvard alumni support the college by devoting immense amounts of time in recruiting and other volunteer activities, by contributing financially, and by informing other people, be they potential students, parents, donors, or community leaders, about the College. Those alumni are naturally, very interested in the college choices of their own children. If their children are rejected by Harvard, their affection for and interest in the college may decline; if their children are admitted, their involvement with the College is renewed. Having children share the parent's college affiliation stimulates those three aspects of contribution: of service, of money, and of community relations.

Additionally, in response to OCR's query whether alternatives had been considered which would serve Harvard's institutional and educational goals, but which might have a less severe impact on Asian American applicants, Harvard responded that:

... in our judgment, and in the judgment of many of our fellow institutions, tips for lineage ... could not be eliminated without a severe effect on the strength and vitality of the institutions and their ability to achieve their educational objectives.

OCR asked Harvard for documentation supporting their assertion that alumni contribute both financially and through service to the University. Information submitted indicated that alumni provide the bulk of the scholarship funds provided to all students. In addition, Harvard demonstrated the extent to which alumni serve on the Schools and Scholarship Committee and other alumni organizations which are extremely important to the operation of the Admissions Office and other components of the University.

With respect to athletic preferences, Harvard explained that its athletic programs, like the academic programs at Harvard sought the very best applicants who could contribute to those programs. Consequently, in the same way that unusually strong math or science scholars would be looked upon favorably in the admissions process for the contributions they could make to the math or science programs, talented athletes are looked upon favorably for the contributions they could make to the athletic programs. Further, Harvard maintained that a varsity sports program was an integral part of American college life, benefiting athletes and other students as well.

Specifically, regarding the "tip" for athletics, Harvard stated that:

Excellence in athletic ability is only one of the excellences that the Committee looks for, of course, and reflects the Committee's continual quest for diverse abilities to contribute to the life of the community. At Harvard, athletes are not admitted by a different committee, nor are they subject to a different process, nor do they receive athletic scholarships; they are viewed like the other students with whom they will live and study, and are distinctive only in the nature of their particular excellence. Dedicated athletes wish to compete with athletes of similar dedication, and that kind of intensity is valued in all candidates. Our coaches tell us again and again that it would be impossible to field a varsity level team without recruiting athletes and giving their athletic excellence the kind of positive weight we give a myriad of other non-athletic excellences in the admissions process. There is no alternative to a "tip" if Harvard wishes to have a competitive varsity athletic program.

In evaluating Harvard's justifications for providing "tips" to legacy and recruited athlete applicants, OCR took into account court decisions related to this matter. While there is no case law which directly addresses the legitimacy of a private University admissions preferences to children of alumni, there is at least one case in which a court upheld such a preference for out-of-state children of alumni at a State University. In Rosenstock v. Board of Governors of University of North Carolina, 423 F. Supp. 1321

(1976), a Federal district court found that "defendants showed that the alumni provide monetary support for the University and that out-of-state alumni contribute close to one-half of the total given." *Id.* at 423 p. 1327. The court concluded that "to grant children of this latter group a preference then is a reasonable basis and is not constitutionally defective." *Id.* That case involved an Equal Protection challenge to a State University's preference to out-of-state applicants who were children of alumni. While Harvard is a private University, and we are reviewing its undergraduate admissions program under Title VI of the Civil Rights Act of 1964, the Rosenstock case does indicate one court's willingness to recognize the legitimacy of a link between a University's economic interests, and admissions preference to alumni children based on the fact that alumni donate large sums of money to the University.

In addition to the Rosenstock case, one Justice on the U.S. Supreme Court at least mentioned the fact that a preference is given to children of alumni and recruited athletes. Justice Blackmun, in his separate opinion in Bakke supra., stated that:

It is somewhat ironic to have us so deeply disturbed over a program where race is an element of consciousness, and yet to be aware of the fact, as we are, that institutions of higher learning, albeit more on the undergraduate than graduate level, have given conceded preferences up to a point to those possessed of athletic skills, to the children of alumni, to the affluent who may bestow their largess on the institutions, and to those having connections with celebrities, the famous and the powerful. Bakke, 438 U.S. Rep. at 404.

Justice Blackmun went on to defer such matters to the expertise of educators, and to presume the good faith of the institutions administering such policies. There is no definitive authority, therefore, to suggest that such preferences are unlawful in and of themselves.

With respect to alumni preferences, OCR asked Harvard to provide some evidence of their support and contributions to the University. Harvard provided information showing that last year, for example, alumni contributed over 36 million dollars to the Harvard College Fund, much of which goes to providing financial aid and scholarships to needy students. Additionally, Harvard provided data which indicated that over 4,000 alumni serve on schools and scholarship committees, and that the more than 37,000 dues-paying members of the Harvard and Radcliffe Clubs contribute to the University by raising scholarship funds and sponsoring schools and scholarship committees. Harvard maintained that the direct financial support from alumni was an essential component of the financial aid that enables the University to maintain its "needs-blind" admissions policy and achieve its important educational objective of diversity in its student body. Data supplied by Harvard substantiated Harvard's assertion that alumni time, energy, money and intellectual resources were essential to maintaining the excellence of the institution.

OCR's review of current case law found no legal authority to suggest that giving preferences to legacies and recruited athletes was legally impermissible. In fact, the case law suggests that if schools are to possess a desirable diversity, officials must retain wide discretion, with respect to the manner of selecting students. The courts have generally been reluctant, if not unwilling to dictate what considerations or methods of selection are to be given priority in college admissions. OCR finds that the reasons or goals provided by Harvard for giving preferences to children of alumni and recruited athletes are legitimate institutional goals, and not a pretext for discrimination against Asian Americans. Additionally, Harvard asserted, and OCR accepts, that there are no alternatives to these preferences that could effectively accomplish the same legitimate goals. In light of the evidence, and the lack of any legal authority suggesting that such preferences are impermissible, OCR finds that Harvard's use of preferences for children of alumni and recruited athletes, while disproportionately benefitting white applicants, does not violate Title VI of the Civil Rights Act of 1964 or its implementing regulation at 34 C.F.R. Part 100.

Based upon the entirety of OCR's review, and Harvard's explanations of its preferences for alumni children and recruited athletes, OCR drew the following conclusions.

#### CONCLUSION

OCR established that Asian American applicants to Harvard-Radcliffe were accepted at a statistically significant lower rate than non-minority (white) applicants in each of the last seven years covered by our review (Classes of 1986-1992). Our investigation found, however, no evidence of the use of a quota to limit the number of Asian Americans at Harvard, which might explain the disparity in admit rates. During the entire ten year period studied (Classes of 1986-1993), in each succeeding year both the number of Asian American applicants and the number accepted were greater than in the previous year. In addition, an extensive review of the literature, documentation provided by Harvard, and extensive interviews of both Harvard staff and other knowledgeable individuals, revealed no information attesting to the existence or use of quotas by Harvard.

Consequently, we turned to Harvard's admissions policy and process for an explanation of the disparity between Asian American and white acceptance rates. After review of files and documentation submitted by Harvard, supplemented by interviews with Admissions staff, we found several policies and procedures in Harvard's admission process which indicated different treatment of Asian American applicants on the basis of race.

First, Harvard indicated that it provides an extra "ethnic" read for Asian American applicants. Our investigation found, however, that the "ethnic" read was an affirmative step designed to ensure a full understanding of the different backgrounds of Asian American applicants by having the applicant file read by an Admissions Officer who was knowledgeable and sensitive to the Asian American cultures and



experiences. Second, Harvard stated unequivocally that Asian American ethnicity is a factor in the admissions process which can weigh in favor of the admission of a specific applicant. We found that Harvard's intent was for race or ethnicity to be considered only as one positive factor in evaluating Asian American applicants, which might make a difference in a situation where all other factors were substantially equal. Third, Harvard stated that some Asian American applicants are compared to other similarly-situated Asian American applicants during the admissions process. We found, however, that to the extent certain Asian American applicants were compared to other similar applicants, they were not ultimately shielded from comparison to all other applicants. Finally, Harvard stated that race is a factor in determining targets for the total number of applicants to be admitted from each docket. After further inquiry, OCR found that race was simply one, positive consideration in the development of a target for each docket, and that there were no targets for specific racial or ethnic groups of applicants.

OCR concluded, to the extent that they treat Asian Americans differently from whites, Harvard's admissions policies and procedures intended race to be used in a manner which benefitted, not harmed, Asian American applicants. The "ethnic" read and the within group comparisons were designed to ensure that differences in culture or background did not place Asian American applicants at an unfair disadvantage. The ethnic "tip" and the development of targets provided an opportunity for Asian American ethnicity to be positively weighted in the admissions process.

OCR notes that Justice Powell, in dicta in the Bakke case stated that ethnic diversity is "one element in a range of factors a university may properly consider in attaining the goal of a heterogeneous student body" Bakke 438 U.S. at p. 314. The key, according to Powell, is that while "race or ethnic background may be deemed a "plus" in a particular applicant's file, . . . it does not insulate the individual from comparison with all other candidates for the available seats." (Id. at p.317.) OCR found no evidence to suggest that Harvard's admissions policies and procedures intended race or ethnicity to be the decisive or sole factor, rather than one of many factors which might weigh in favor of admitting a particular applicant. Consequently, OCR finds that Harvard's policies and procedures for admissions, themselves, while not racially neutral, are consistent with the legal requirements of Title VI of the Civil Rights Act of 1964 and its implementing regulations at 34 C.F.R. Part 100.

OCR's analysis of Harvard's stated admissions policies and procedures, did not provide an explanation for the lower Asian American admit rate. Therefore, OCR next evaluated the implementation of those policies and procedures to determine whether Asian American applicants were somehow disadvantaged in the admissions process. We interviewed staff, reviewed files, and analyzed data provided by Harvard regarding both the reader rating process and the decisions to admit or reject applicants.

As a result, we have reached a number of conclusions with respect to the disparity in admit rates between Asian American and white applicants from our review of Harvard's implementation of the admissions

process. First, we could not conclude that the reader rating process was implemented in a manner that unfairly treated Asian American applicants. Given the subjective nature of the process, however, it was almost impossible to determine that a rating was inaccurate. OCR could not determine, for example, whether an applicant, based on all the information in a file, should have received a "1" rather than a "2" on "personal qualities", when a 1 was defined in the Reading Procedures as "Outstanding" and a 2 as "Very Strong". Nonetheless, it appeared that Asian American and white applicants received similar ratings from readers for similar accomplishments. In addition, our data analyses showed that Asian Americans and whites had similar mean scores in the reader rating categories, which also supports the conclusion that the reader ratings did not treat Asian Americans differently.

Also, we looked carefully at Asian American applicant information for indications of stereotyping, or insensitivity to their background or culture, which might place them at a disadvantage in comparison to white applicants. While there was some evidence that readers stereotyped some groups of Asian American applicants, it did not appear to result in unfairly low ratings. Although in only a small number of cases did readers note an Asian American applicant's background or experience, we could not conclude that readers failed to adequately take into account Asian American ethnicity when rating files. On the other hand, our file review did not support Harvard's assertion that the Asian American ethnic reader reviewed most of the competitive Asian American applicant files. To the extent that Asian American applicants do not receive the benefit of an "ethnic read", the possibility exists that cultural or ethnic differences may be overlooked. Also, there was little evidence from the file review, that Asian Americans received a "tip" in the assignment of reader ratings, or in the overall rating.

While some aspects of the reader rating process might disadvantage some Asian American applicants, we concluded that, taken as a whole, there was no significant difference between the treatment of Asian American applicants and the treatment of white applicants. Further, in light of the small number of cases found where there was any indication of possible disadvantage, it clearly could not explain the disparity between Asian American and white admit rates overall.

Since OCR had little information to evaluate the treatment of Asian American applicants during subcommittee and full committee meetings, we addressed the final results of these processes, that is, the ultimate decision to admit or reject. We first conducted analyses to determine the relative qualifications of Asian American and white applicants, based on summary information on each applicant, which was available to subcommittee and full committee members. It was our conclusion that the two groups were similarly qualified. Therefore, a hypothesis that the admit rate disparity could be explained by a weaker Asian American applicant pool was not supported by the evidence.

Utilizing ten years of quantitative data supplied by Harvard for all individual Asian American and white applicants, it appeared that Asian Americans were at a small but statistically significant disadvantage in

the admissions process. However, this disadvantage is virtually eliminated if legacies and recruited athletes (groups with few Asian Americans), are removed from the Asian American and white samples. This finding is consistent with the results of our file review, which revealed clear evidence of a "tip" for legacies and recruited athletes. Further evidence of the effect of the preference for these groups on Asian Americans was demonstrated by the comparable Asian American and white admit rates when legacies and recruited athletes were removed from the sample.

At the same time, there was no evidence from these sources of any "tip" for Asian Americans. Although this finding contradicts Harvard's stated policy, OCR concludes that the lack of a "tip" in the admissions process does not, in itself constitute discrimination in violation of Title VI or its implementing regulation.

Having determined that the primary cause of the lower Asian American admit rate in comparison to white applicants is the "tip" or preference given to legacies and recruited athletes, we sought to determine Harvard's reasons for these preferences, and whether they could be justified in terms of institutional or educational goals.

According to information provided by Harvard, the primary reasons for giving a preference to children of alumni were to 1) encourage alumni volunteer services; 2) to encourage alumni financial contributions; and, 3) to maintain community relations. With respect to recruited athletes, Harvard likened the preference given to excellence in athletics to excellence in any particular field. Further, they asserted that varsity sports are an integral part of college life. OCR finds that these reasons or goals provided by Harvard are legitimate institutional goals, and not a pretext for discrimination against Asian Americans. Thus, OCR concludes that Harvard's use of preferences for children of alumni and recruited athlete, while disproportionately benefiting white applicants, does not violate Title VI.

As a result of this compliance review, it is OCR's overall conclusion that Harvard did not discriminate against Asian American applicants to its undergraduate program in violation of Title VI of the Civil Rights Act of 1964 or its implementing regulation at 34 C.F.R. Part 100.

**From:** Heenan, Christine M [/O=HARVARD UNIVERSITY/OU=FIRST ADMINISTRATIVE GROUP/CN=RECIPIENTS/CN=CMH191]  
**Sent:** Monday, April 29, 2013 3:50:44 PM  
**To:** Driver-Linn, Erin  
**Subject:** RE: two quick things  
**Categories:** Strategy - Liam

Gotcha. I spend very little time in Admissions land!

**Christine M. Heenan**  
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**From:** Driver-Linn, Erin  
**Sent:** Monday, April 29, 2013 11:48 AM  
**To:** Heenan, Christine M  
**Subject:** RE: two quick things

Yes, extra weight for admissions decisions. Usual categories in admissions conversations include gender, race, legacy, athlete, etc.

**From:** Heenan, Christine M  
**Sent:** Monday, April 29, 2013 11:45 AM  
**To:** Driver-Linn, Erin  
**Subject:** RE: two quick things

Thumbs on the scale? Meaning extra weight we give to those students? If so, you are right – there are upsides and downsides of being public about that analysis...

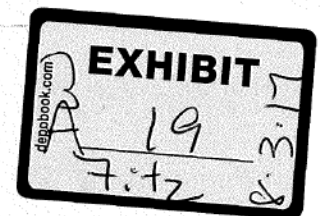
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**From:** Driver-Linn, Erin  
**Sent:** Monday, April 29, 2013 11:37 AM  
**To:** Heenan, Christine M  
**Subject:** RE: two quick things

Okay great—Tippi is unfortunately sick today, so I'll have Liam call Monica.

Fitz asked us to do some analysis of "thumb on the scale" for low income. Could be a positive message, but has implications for need blind policy as well as opening the door to Unz-like requests for info about other thumbs on the scale. Team is putting together a memo to send to Fitz, copy you and Jeff to put this in context, but I guess I am aware that part of the wonderful thing about Fitz is he has a lot of friends and likes to talk about his work...



**From:** Heenan, Christine M  
**Sent:** Monday, April 29, 2013 10:43 AM  
**To:** Driver-Linn, Erin  
**Subject:** RE: two quick things

Redacted:  
Redacted

Sounds good re: Fitz – what is the issue?

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**From:** Driver-Linn, Erin  
**Sent:** Sunday, April 28, 2013 1:59 PM  
**To:** Heenan, Christine M  
**Subject:** two quick things

Hi Christine,

Hope all is well.

Redacted:  
Redacted

Also, would like to give you a heads up about some analysis and correspondence we've been having with Fitz. He's excited to share more broadly, I believe is going to be in touch with Jeff Neal tomorrow, but I'd like to make sure you've had a chance to think through implications, not entirely straightforward.

If you think a good idea, I'll have Tippi connect with Monica to try to find time for a short phone call. All best,

-Erin



# Number and Share of Applicants Admitted and Rejected

## White

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	24	0.85%	0	0%	24	0.04%
2	1,656	58.85%	873	1.59%	2,529	4.39%
3	1,131	40.19%	39,975	72.99%	41,106	71.39%
≥4	3	0.11%	13,920	25.42%	13,923	24.18%

Overall Rating

## Asian American

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	31	1.50%	0	0%	31	0.08%
2	1,261	60.86%	664	1.73%	1,925	4.76%
3	780	37.64%	29,306	76.43%	30,086	74.44%
≥4	0	0%	8,373	21.84%	8,373	20.72%

Academic Rating

1	124	4.41%	47	0.09%	171	0.30%
2	2,374	84.36%	23,532	42.97%	25,906	44.99%
3	315	11.19%	25,501	46.56%	25,816	44.83%
≥4	1	0.04%	5,688	10.39%	5,689	9.88%

Extra-curricular Rating

1	75	2.68%	98	0.18%	173	0.30%
2	1,980	70.87%	11,866	21.82%	13,846	24.21%
3	736	26.34%	40,689	74.81%	41,425	72.44%
4	3	0.11%	1,735	3.19%	1,738	3.04%

Athletic Rating

1	-	-	-	-	-	-
2	590	22.18%	6,774	12.68%	7,364	13.13%
3	1,260	47.37%	29,248	54.73%	30,508	54.38%
4	810	30.45%	17,416	32.59%	18,226	32.49%

Personal Rating

1	19	0.68%	8	0.01%	27	0.05%
2	2,338	83.08%	9,804	18.05%	12,222	21.23%
3	457	16.24%	44,629	81.49%	45,086	78.30%
≥4	0	0%	247	0.45%	247	0.43%

Teacher 1 Rating

1	476	16.92%	1,118	2.10%	1,594	2.85%
2	1,702	60.48%	14,222	26.76%	15,924	28.46%
3	636	22.60%	37,503	70.57%	38,139	68.16%
≥4	0	0%	301	0.57%	301	0.54%

Teacher 2 Rating

1	465	17.03%	934	2.09%	1,399	2.95%
2	1,638	60.00%	12,584	28.19%	14,222	30.02%
3	627	22.97%	30,908	69.24%	31,535	66.57%
≥4	0	0%	214	0.48%	214	0.45%

Counselor Rating

1	307	11.02%	579	1.12%	886	1.62%
2	1,832	65.73%	11,936	22.81%	13,668	25.00%
3	648	23.25%	39,137	75.44%	39,785	72.78%
≥4	0	0%	329	0.63%	329	0.60%

Alumni Personal Rating

1	1,232	44.80%	6,658	15.56%	7,890	17.33%
2	1,342	48.80%	19,515	45.61%	20,857	45.80%
3	162	5.89%	13,447	31.43%	13,609	29.89%
≥4	14	0.51%	3,165	7.40%	3,179	6.98%

Alumni Overall Rating

1	1,009	36.74%	3,790	8.96%	4,799	10.65%
2	1,427	51.97%	14,787	34.96%	16,214	36.00%
3	287	10.45%	15,949	37.47%	16,136	35.83%
≥4	23	0.84%	7,868	18.60%	7,891	17.52%

## African American

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	8	0.67%	0	0%	8	0.05%
2	694	58.47%	126	0.87%	820	5.23%
3	485	40.86%	6,137	42.39%	6,622	42.28%
≥4	0	0%	8,214	56.74%	8,214	52.44%

1	2	0.17%	1	0.01%	3	0.02%
2	703	59.22%	733	5.06%	1,436	9.17%
3	481	40.52%	5,794	40.02%	6,275	40.06%
≥4	1	0.08%	7,949	54.91%	7,950	50.75%

1	7	0.59%	11	0.08%	18	0.12%
2	610	51.69%	1,806	12.63%	2,416	15.61%
3	560	47.46%	11,473	80.22%	12,033	77.72%
≥4	3	0.25%	1,012	7.08%	1,015	6.56%

1	-	-	-	-	-	-
2	169	14.93%	900	6.51%	1,069	7.15%
3	576	50.88%	7,144	51.70%	7,720	51.64%
≥4	387	34.19%	5,773	41.78%	6,160	41.21%

1	1	0.08%	2	0.01%	3	0.02%
2	882	74.30%	2,093	14.46%	2,975	18.99%
3	304	25.61%	12,309	85.02%	12,613	80.52%
≥4	0	0%	73	0.50%	73	0.47%

1	61	5.14%	83	0.64%	144	1.02%
2	646	54.24%	1,892	14.64%	2,538	17.99%
3	480	40.44%	10,804	83.60%	11,284	79.97%
≥4	0	0%	144	1.11%	144	1.02%

1	72	6.34%	71	0.72%	143	1.30%
2	589	51.89%	1,587	16.06%	2,176	19.72%
3	474	41.76%	8,142	82.42%	8,616	78.22%
≥4	0	0%	79	0.80%	79	0.72%

1	47	3.99%	51	0.40%	98	0.70%
2	640	54.28%	1,433	11.20%	2,073	14.83%
3	492	41.73%	11,057	86.42%	11,549	82.65%
≥4	0	0%	254	1.99%	254	1.82%

1	438	37.73%	1,405	13.24%	1,843	15.65%
2	604	52.02%	4,286	40.38%	4,890	41.53%
3	106	9.13%	3,802	35.82%	3,908	33.19%
≥4	13	1.12%	1,120	10.55%	1,133	9.62%

1	257	22.21%	440	4.26%	697	6.09%
2	615	53.15%	1,952	18.98%	2,567	22.43%
3	259	22.39%	3,646	35.45%	3,905	34.13%
≥4	26	2.25%	4,247	41.29%	4,273	37.34%

## Hispanic

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	5	0.45%	0	0%	5	0.03%
2	550	49.68%	142	0.84%	692	3.85%
3	552	49.86%	9,340	55.39%	9,892	55.05%
≥4	0	0%	7,381	43.77%	7,381	41.07%

1	7	0.63%	0	0%	7	0.04%
2	717	64.77%	2,285	13.55%	3,002	16.71%
3	383	34.60%	8,209	48.68%	8,592	47.81%
≥4	0	0%	6,369	37.77%	6,369	35.44%

1	11	1.01%	11	0.07%	22	0.12%
2	616	56.31%	2,386	14.29%	3,002	16.88%
3	466	42.60%	13,437	80.49%	13,903	78.16%
≥4	1	0.09%	859	5.15%	860	4.83%

1	-	-	-	-	-	-
2	169	16.30%	1,180	7.25%	1,349	7.79%
3	474	45.71%	8,272	50.85%	8,746	50.54%
≥4	394	37.99%	6,817	41.90%	7,211	41.67%

1	1	0.09%	1	0.01%	2	0.01%
2	861	77.78%	2,493	14.78%	3,354	18.66%
3	245	22.13%	14,283	84.70%	14,528	80.85%
≥4	0	0%	86	0.51%	86	0.48%

1	81	7.32%	152	0.98%	233	1.40%
2	622	56.19%	3,024	19.51%	3,646	21.95%
3	404	36.50%	12,186	78.61%	12,590	75.80%
≥4	0	0%	140	0.90%	140	0.84%

1	76	7.16%	119	0.96%	195	1.45%
2	635	59.79%	2,555	20.65%	3,190	23.74%
3	351	33.05%	9,597	77.56%	9,948	74.05%
≥4	1	0.01%	102	0.82%	102	0.76%

1	65	5.96%	80	0.52%	145	0.89%
2	581	53.30%	2,233	14.61%	2,814	17.18%
3	444	40.73%	12,780	83.59%	13,224	80.74%
≥4	0	0%	196	1.28%	196	1.20%

1	454	41.80%	1,607	13.56%	2,061	15.93%
2	558	51.38%	4,818	40.65%	5,376	41.55%
3	71	6.54%	4,213	35.55%	4,284	33.11%
≥4	3	0.28%	1,214	10.24%	1,217	9.41%

1	317	29.22%	682	5.90%	999	7.90%
2	570	52.53%	2,674	23.15%	3,244	25.67%
3	178	16.41%	4,253	36.81%	4,431	35.06%
≥4	20	1.84%	3,944	34.14%	3,964	31.37%

## All Applicants (Including All Races/Ethnicities)

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	77	0.99%	0	0%	77	0.05%
2	4,498	57.79%	1,975	1.46%	6,473	4.54%
3	3,206	41.19%	92,782	68.76%	95,988	67.23%
≥4	3	0.04%	40,187	29.78%	40,190	28.16%

1	405	5.20%	207	0.15%	612	0.43%
2	5,986	76.90%	53,745	39.83%	59,731	41.85%
3	1,390	17.86%	56,484	41.86%	57,874	40.55%
≥4	3	0.04%	24,508	18.16%	24,511	17.17%

1	192	2.48%	228	0.17%	420	0.30%
2	5,179	66.94%	28,223	21.06%	33,402	23.56%
3	2,357	30.46%	101,002	75.37%	103,359	72.92%
≥4	9	0.12%	4,560	3.40%	4,569	3.22%

1	-	-	-	-	-	-
2	1,175	15.90%	11,644	8.86%	12,819	9.24%
3	3,497	47.33%	68,329	52.01%	71,826	51.76%
≥4	2,716	36.76%	51,400	39.13%	54,116	39.00%

1	26	0.33%	13	0.01%	39	0.03%
2	6,037	77.56%	21,771	16.13%	27,808	19.40%
3	1,721	22.11%	112,496	83.36%	114,217	80.00%
≥4	0	0%	664	0.49%	664	0.47%

1	1,019	13.09%	2,273	1.76%	3,292	2.40%
2	4,531	58.22%	31,947	24.73%	36,478	26.63%
3	2,232	28.68%	94,123	72.86%	96,355	70.35%
≥4	0	0%	833	0.64%	833	0.61%

984	13.11%	1,844	1.71%	2,828	2.45%
4,406	58.68%	28,078	25.97%	32,484	28.10%
2,117	28.20%	77,591	71.77%	79,708	68.94%

# Number and Share of Applicants Admitted and Rejected

## White

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	38	0.91%	0	0%	38	0.06%
2	2,422	58.00%	973	1.69%	3,395	5.51%
3	1,707	40.88%	42,221	73.45%	43,928	71.25%
≥4	9	0.22%	14,287	24.86%	14,296	23.19%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

34	1.45%	0	0%	34	0.08%
1,426	60.89%	682	1.76%	2,108	5.12%
882	37.66%	29,671	76.47%	30,553	74.26%
0	0%	8,447	21.77%	8,447	20.53%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

10	0.79%	0	0%	10	0.06%
743	58.60%	133	0.91%	876	5.49%
515	40.62%	6,250	42.54%	6,765	42.39%
0	0%	8,308	56.55%	8,308	52.04%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

8	0.65%	0	0%	8	0.04%
608	49.47%	146	0.85%	754	4.12%
613	49.88%	9,523	55.71%	10,136	55.32%
0	0%	7,424	43.43%	7,424	40.52%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

104	1.06%	0	0%	104	0.07%
5,644	57.45%	2,121	1.53%	7,765	5.22%
4,067	41.39%	96,007	69.10%	100,074	67.27%
10	0.10%	40,816	29.38%	40,826	27.44%

## Academic Rating

1	157	3.76%	48	0.08%	205	0.33%
2	3,408	81.61%	24,682	42.94%	28,090	45.56%
3	600	14.37%	26,863	46.73%	27,463	44.54%
≥4	11	0.26%	5,888	10.24%	5,899	9.57%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

242	10.33%	141	0.36%	383	0.93%
1,945	83.05%	22,465	57.90%	24,410	59.33%
155	6.62%	12,928	33.32%	13,083	31.80%
0	0%	3,266	8.42%	3,266	7.94%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

738	58.20%	743	5.06%	1,481	9.28%
527	41.56%	5,899	40.15%	6,426	40.27%
1	0.08%	8,048	54.78%	8,049	50.44%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

7	0.57%	1	0.01%	8	0.04%
803	65.34%	2,343	13.71%	3,146	17.81%
419	34.09%	8,341	48.80%	8,760	47.17%
0	0%	6,408	37.49%	6,408	34.97%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

463	4.71%	209	0.15%	672	0.45%
7,514	76.48%	55,335	39.83%	62,849	40.25%
1,832	18.65%	58,486	42.09%	60,318	40.54%
16	0.16%	24,914	17.93%	24,930	16.76%

## Extra curricular Rating

1	99	2.38%	102	0.18%	201	0.33%
2	2,716	65.37%	12,578	22.03%	15,294	24.97%
3	1,332	32.06%	42,615	74.64%	43,947	71.75%
4	8	0.19%	1,796	3.15%	1,804	2.95%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

80	3.42%	77	0.20%	157	0.38%
1,705	72.96%	9,823	25.41%	11,528	28.12%
552	23.62%	28,092	72.66%	28,644	69.87%
0	0%	669	1.73%	669	1.63%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

7	0.56%	11	0.08%	18	0.11%
655	51.94%	1,852	12.76%	2,507	15.89%
595	47.18%	11,633	80.14%	12,228	77.51%
4	0.32%	1,019	7.02%	1,023	6.48%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

13	1.07%	11	0.07%	24	0.13%
675	55.51%	2,436	14.40%	3,111	17.15%
525	43.17%	13,606	80.41%	14,131	77.91%
3	0.25%	868	5.13%	871	4.80%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

228	2.33%	236	0.17%	464	0.31%
6,281	64.25%	29,240	21.19%	35,521	24.04%
3,249	33.23%	103,863	75.27%	107,112	72.49%
18	0.18%	4,656	3.37%	4,674	3.16%

## Athletic Rating

1	-	-	-	-	-	-
2	970	24.23%	7,286	12.99%	8,256	13.74%
3	1,914	47.80%	30,727	54.78%	32,641	54.31%
4	1,120	27.97%	18,081	32.23%	19,201	31.95%

	-	-	-	-	-	-
	198	8.84%	1,853	4.87%	2,051	5.09%
	1,048	46.76%	18,628	48.97%	19,676	48.84%
	995	44.40%	17,562	46.16%	18,557	46.07%

	-	-	-	-	-	-
192	15.84%	924	6.59%	1,116	7.32%	-
610	50.33%	7,271	51.84%	7,881	51.72%	-
410	33.83%	5,830	41.57%	6,240	40.95%	-

	-	-	-	-	-	-
	198	17.14%	1,215	7.37%	1,413	8.01%
	535	46.32%	8,399	50.94%	8,934	50.63%
	422	36.54%	6,875	41.69%	7,297	41.36%

	-	-	-	-	-	-
	1,706	18.15%	12,343	9.12%	14,049	9.71%
	4,473	47.59%	70,503	52.12%	74,976	51.82%
	3,221	34.27%	52,434	38.76%	55,655	38.47%
	-	-	-	-	-	-

## Personal Rating

1	23	0.55%	8	0.01%	31	0.05%
2	3,290	78.78%	10,594	18.43%	13,884	22.52%
3	861	20.62%	46,623	81.11%	47,484	77.01%
≥4	2	0.05%	256	0.45%	258	0.42%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

3	0.13%	1	0%	4	0.01%
1,678	71.65%	5,705	14.70%	7,383	17.95%
661	28.22%	32,898	84.79%	33,559	81.57%
0	0%	196	0.51%	196	0.48%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1	0.08%	3	0.02%	4	0.03%
947	74.68%	2,147	14.61%	3,094	19.39%
320	25.24%	12,466	84.85%	12,786	80.12%
0	0%	75	0.51%	75	0.47%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

2	0.16%	1	0.01%	3	0.02%
938	76.32%	2,552	14.93%	3,490	19.05%
289	23.52%	14,452	84.55%	14,741	80.46%
0	0%	88	0.51%	88	0.48%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

32	0.33%	14	0.01%	46	0.03%
7,419	75.51%	22,789	16.40%	30,208	20.3%
2,372	24.14%	115,460	83.10%	117,832	79.2%
2	0.02%	681	0.49%	683	0.44%

## Teacher 1 Rating

1	562	13.46%	1,164	2.08%	1,726	2.88%
2	2,462	58.96%	14,930	26.74%	17,392	28.98%
3	1,152	27.59%	39,419	70.61%	40,571	67.61%
≥4	0	0%	316	0.57%	316	0.53%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

346	14.78%	720	1.90%	1,066	2.65%
1,362	58.18%	10,293	27.16%	11,655	28.97%
633	27.04%	26,690	70.43%	27,323	67.90%
0	0%	194	0.51%	194	0.48%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

63	4.97%	87	0.66%	150	1.04%
697	54.97%	1,919	14.62%	2,616	18.17%
508	40.06%	10,977	83.61%	11,485	79.77%
0	0%	146	1.11%	146	1.01%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

86	7.00%	154	0.98%	240	1.42%
673	54.76%	3,078	19.57%	3,751	22.12%
470	38.24%	12,355	78.55%	12,825	75.63%
0	0%	141	0.90%	141	0.83%

	ADMITTED		REJECTED		TOTAL	
	Number	Share	Number	Share	Number	Share

1,149	11.70%	2,335	1.75%	3,484	2.44%
5,643	57.45%	32,952	24.75%	38,595	27.00%
3,031	30.86%	96,979	72.85%	100,010	69.96%
0	0%	856	0.64%	856	0.60%

## Teacher 2 Rating

1	548	13.65%	980	2.09%	1,528	3.00%
2	2,338	58.22%	13,241	28.19%	15,579	30.56%
3	1,128	28.09%	32,519	69.24%	33,647	66.00%
≥4	2	0.05%	223	0.47%	225	0.44%

## Message

**From:** Mascolo, Christine Collette [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=C61C8C86863F4A31B11D8B770041B093-MASCOLO]  
**Sent:** 9/19/2018 1:28:45 PM  
**To:** admfao\_officers-list@lists.fas.harvard.edu  
**Subject:** Reading instructions  
**Attachments:** Reading Procedures2018.19DRAFT9.11.18.docx

Hi everyone,

Attached please find the updated reading instructions for the year. The middle of the document is taken directly from the Ivy League annual memo which will not come out for another week or so you can skip pages 8-14 (starting at "Here are the rules according to the AI instructions provided by the Ivy League and sent to staff separately).

That said, please make sure you read the rest of the document **thoroughly** as there are several updates/additions. Many thanks to all of you who helped in the editing process.

Please let me know if you have any questions.

Christine

## Reading Procedures - Class of 2023

### I. SUMMARY SHEET APPLICATION DATA

The Summary Sheet captures information as supplied on the application and can be updated as new information is added. Late information can change the likelihood of admission and updates can be provided later for those initially considered less competitive. If any information is **missing** or **incorrect** for competitive candidates, changes should be made on the First Reader Rating Form and noted with prose in the reader comments or “Notes for Summary Sheet” box. This prose will feed onto the Summary Sheet when the rating form is submitted.

One exception: School code changes are NOT made on the First Reader Rating Form; see instructions below on how to do this.

**PLEASE NOTE**: The accuracy of our citizenship coding is CRUCIAL. Miscoding affects many of the important statistics we are required to compile, and we need to keep careful track of who needs a visa to study in the United States.

- **SCHOOL CODE**: If an applicant is coded to the wrong school, please use the Admin Problems update form and route this to the Admin Problems bin immediately so that the operations team can ensure that the interview is reassigned to the appropriate club and group.
- **GENDER**: Occasionally the gender designation reported on the application is coded incorrectly in our system. This should be corrected by submitting the Admin Problems form and routing the file to the Admin Problems bin.
- **RACE/ETHNICITY**: We report exactly what the applicant reports as ethnicity on the application. The ethnic codes on the Summary Sheet come from the demographic fields the candidate checked on the application. **Note that foreign citizens are listed as such. If they opted to check an identifying ethnic code it will appear but is not used for statistics and reporting.**
- **CITIZENSHIP CODE / COUNTRY OF CITIZENSHIP**: There are four options on the application that can be checked: (1) U.S. Citizenship, (2) U.S. Dual Citizenship, (3) U.S. permanent resident and (4) “Other” or foreign citizen.

The applicant holds only American citizenship:

*APP*: Citizenship status will be “US Citizen or US National” and no other country of citizenship will be listed.

*SUMMARY SHEET*: Should read “Citizenship: United States”

The applicant is a dual U.S. citizen (a citizen of both the U.S. and another country).

*APP*: Citizenship status will be “Dual US Citizen”-Other citizenships will show a country (e.g. Sweden)

*SUMMARY SHEET*: Should read “Citizenship: United States/<other country>”

The applicant is a U.S. Permanent Resident.

*APP:* Citizenship status will be “U.S. Permanent Resident or Refugee” and Other Citizenships will list one or more countries checked with another country listed.

*SUMMARY SHEET:* Should read “Citizenship: PR / <other country>”

*Caveat:* If an applicant has checked the U.S. Permanent Resident box but notes that his or her application for permanent residency (or “green card”) is pending, that applicant should be recoded as “Other citizenship.” Request this change by using the Admin Problems update form. We must prepare an I-20 form if the applicant is admitted and the application for residency is still pending, and the citizenship code is the only way we know to do this.

The applicant is a foreign citizen:

*APP:* Citizenship status will be “Other (Non-US)”. Other citizenship will show a country (e.g. Poland)

*SUMMARY SHEET:* Should read “Citizenship: <other country>”

- **LINEAGE:** This flag appears if the applicant included Harvard College in the education field for at least one parent/guardian. The folder should be read by WRF (“4<sup>th</sup>” bin) following the normal reading process if appropriate or if another reading might be helpful. Errors in coding should be noted with specific details about the error using the Admin Problems Form and routed to the Admin Problems bin.
- **ATHLETE:** Be sure the appropriate sport is listed as the first extracurricular activity. Changes can be made on the App Update tab on the Student Record. **DO NOT CHANGE ANY PRE-CODED ATHLETE.**
- **INDICATORS FOR ECONOMIC STATUS:** It has long been a priority for Harvard to seek talented students from all backgrounds, including those extraordinary individuals who are able to transcend economic disadvantages and achieve unusual academic distinction. We utilize several indicators to understand the economic background of applicants. They are:
  - Low Income Predictor (Low Inc on Summary Sheet): A value between 0 and 1 based on application information that predicts how likely a student is to be low income and have a \$0 parent contribution. The higher the value (closer to 1) the more likely the student will be low income.
  - IM Pell Estimate (IMP-Est on Summary Sheet): An indication if the student is likely to qualify for a Pell Grant, based solely on IM data. This information will only be available if a student has submitted CSS Profile, allowing Financial Aid to estimate whether the student may be eligible for a Pell Grant.
  - FH info (“Yes, Likely, Unlikely, No” on the summary sheet): After subcommittee meetings, if information is available, a simple indication of a student’s possible eligibility for the Harvard Financial Aid Initiative (HFAI) may be present on the summary sheet.
  - FEE STATUS: An indicator of whether the applicant received a fee waiver for their application.
- **SCORES:** By checking their Applicant Status website applicants can see whether their scores requirement has been fulfilled though not all scores will be listed. They can report scores (which will be marked ‘self-reported’ in the student record) as they



like. You can check scores by looking under the “Scores” tab in each Student Record of an applicant. The Summary Sheet will reflect the highest verified or self-reported scores.

Matriculating students will be responsible for changing 'unofficial' scores to 'official.' Only scores sent to us directly from the testing services electronically are considered official. Paper copies of scores sent via fax, email attachment or U.S. mail are not considered official.

We receive secure web downloads of scores, so we do not have to wait for the scores to be mailed to us. Applicants are told not to use 'rush reports,' but if they do, they will arrive electronically as soon as they are scored.

## **II. Reader Rating Forms**

**When a file is in your queue, you will be able to select the “First Reader Form” or the “Chair Form” depending on the file’s bin. The form includes the following fields:**

Reader ratings: All readers must code a preliminary overall rating and a profile (using the codes below and pluses and minuses) for all candidates. Writing prose comments is left to the discretion of the reader and should generally be done only for competitive candidates, those who might become competitive later, or those who might be of interest to the Committee.

For all categories, use “+” and “-” primarily in the 2 and 3 range to indicate relative strength. A rating of 2+ or 3+ is stronger and very different from a 2- or 3- respectively. Readers should take many factors into account as they assign ratings. E.g, students who have taken a strong academic program and/or present other positive evidence of academic achievement should receive higher academic ratings: an applicant with low 700 scores could be rated a 2- rather than a 3+ in some instances especially if there is academic strength in a particular field. However, readers should not take an applicant’s race or ethnicity into account in making any of the ratings other than the Overall rating, as discussed further below.

### **Overall**

1. Tops for admission: Exceptional – a clear admit with very strong objective and subjective support .
2. Very strong credentials but not an inevitable admit .
3. Solid contender: An applicant with good credentials and support .
- 3- Somewhat Neutral: Respectable credentials.
4. Neutral: Generally respectable credentials.
5. Negative: Credentials are generally below those of other candidates.

In assigning the Overall rating, readers may consider whether a student’s background, including his or her race or ethnicity, may contribute to the educational benefits of diversity at Harvard College. The consideration of race or ethnicity may be considered **only** as one factor among many. In addition, the consideration of race or ethnicity should be in connection with the application’s discussion of the effect an applicant’s race or ethnicity has had on the applicant, not simply the fact alone that an applicant has identified as a member of a particular race or ethnicity.

Academic

1. A potential major academic contributor; Summa potential. Genuine scholar; near-perfect scores and grades (in most cases combined with unusual creativity and possible evidence of original scholarship, often substantiated by our faculty or other academic mentors.) Possible national or international level recognition in academic competitions.
2. Magna potential. Excellent student with top grades and,
  - a. SAT and SAT Subject tests: mid 700 scores and up
  - b. 33+ ACT
  - c. Possible local, regional or national level recognition in academic competitions
3. Solid academic potential; Cum laude potential: Very good student with excellent grades and
  - a. SAT and SAT Subject tests: mid-600 through low-700 scores
  - b. 29 to 32 ACT
4. Adequate preparation. Respectable grades and low-to mid-600 scores on SAT and subject tests or 26 to 29 ACT.
5. Marginal potential. Modest grades and 500 scores on SAT and subject tests (25 and below ACT).

Extracurricular, Community Employment, Family Commitments

1. Unusual strength in one or more areas. Possible national-level achievement or professional experience. A potential major contributor at Harvard. Truly unusual achievement.
2. Strong secondary school contribution in one or more areas such as class president, newspaper editor, concertmaster etc. and/or significant involvement in organizations outside of school. Possible local or regional recognition; major accomplishment(s) that have had an impact outside of the classroom. Can include significant term-time work or family responsibilities coupled with extracurricular engagement.
3. Solid participation but without special distinction. (Upgrade 3+ to 2- in some cases if the e/c is particularly extensive and substantive.)
4. Little or no participation.
5. Substantial commitment outside of conventional EC participation such as family obligations, term-time work or a significant commute (Important: should be included with other e/c to boost the rating or left as a "5" if that is more representative of the student's commitment).
6. Special circumstances limit or prevent participation (e.g. a physical condition, gap year(s), compulsory service of some kind).

Athletic

Please note: to determine whether an activity should be considered a sport or an extracurricular activity, readers should defer to the student's characterization of the activity on his or her application. Those activities the student lists as "sports" should be considered as part of the athletic rating.

1. Unusually strong prospect for varsity sports at Harvard, possibly desired by Harvard coaches or recognition for individual athletic achievement/championships at the national, international or Olympic level.
2. Strong and long-standing (3-4 years) of secondary school and/or travel team contribution in one or more sports; leadership role(s) such as captain or co-captain; possible individual recognition at the state or regional level; possible walk-on to a varsity team; has an IRF of a 4 from a Harvard coach
3. Active participation, possibly some leadership and/or recognition for individual accomplishments at the local or conference level.
4. Little or no participation (this is not a negative).
5. Substantial commitment outside of conventional extracurricular activities such as family obligations or term-time work (should be included with other e/c to boost the rating or left as a "5" if it is more representative of the student's commitment).
6. Physical condition or other special circumstances prevent significant activity.

### Personal

The Personal rating should be an assessment made by the readers of what kind of effect the student might have on others at Harvard and beyond. It should be based on an assessment of what kind of positive effect this person might have throughout his or her life based on what we have seen so far in the student's application materials. This should include such considerations as what kind of contribution would the person make to the dining hall conversation, to study groups, and to society as a whole after graduation. In assigning the personal rating, readers should consider information we receive from teachers, counselors, applicants, other recommenders, interviewers, and others as well as the applicant's essays, extracurricular activities, and other items in the application file—what the applicant shows us about him or herself and what the applicant has done or accomplished for others. It is important to keep in mind that characteristics not always synonymous with extroversion are similarly valued. Applicants who seem to be particularly reflective, insightful and/or dedicated should receive higher personal ratings as well.

As noted above, though, an applicant's race or ethnicity should not be considered in assigning the personal rating.

We understand that students are multidimensional and ever evolving. Many applicants have grown enormously between the time when they apply in the fall or winter or their senior year and when they arrive in Cambridge the following September. Additionally, we are aware that we work with incomplete information.

1. Truly outstanding qualities of character; student may display enormous courage in the face of seemingly insurmountable obstacles in life. Student may demonstrate a singular ability to lead or inspire those around them. Student may exhibit extraordinary concern or compassion for others. Student receives unqualified and unwavering support from their recommenders.
2. Very strong qualities of character; student may demonstrate strong leadership. Student may exhibit a level of maturity beyond their years. Student may exhibit uncommon genuineness, selflessness or humility in their dealings with others. Students may possess strong resiliency. Student receives very strong support from their recommenders.

3+ Above average qualities of character; Student may demonstrate leadership. Student may exhibit commitment, good judgment, and positive citizenship. Student may exercise a spirit and camaraderie with peers. Student receives positive support from their recommenders.

3. Generally positive, perhaps somewhat neutral qualities of character

4. Questionable or worrisome qualities of character

#### School Support

1. Strikingly unusual support. "The best of a career," "one of the best in many years," truly over the top.
2. Very strong support. "One of the best" or "the best this year."
- 3+ Well above average, consistently positive
3. Generally positive, perhaps somewhat neutral or generic
- 3- Somewhat neutral or slightly negative.
4. Negative or worrisome report.
6. For teacher reports: prose is not in the file.
8. Placeholder for teacher reports.
9. For secondary school report: transcript is in the file but there is no SSR prose.

**PLEASE NOTE:** School support ratings for teacher one, teacher two and a counselor are mandatory ratings for competitive candidates. Teacher three and teacher four are optional, if applicable.

#### **BRIEF ANNOTATIONS FOR SUMMARY SHEET:**

You may choose to insert information about a case – a maximum of three lines – which will appear on the second page of the summary sheet at the top and on the printed docket (unlike prose comments below). These notes should be informational only and not evaluative. They can aid in your preparation of cases. Examples could be: PE on grandmother, Harvard Book, or international credentials not easily captured elsewhere (A level est, Physics A, Math A, Lit A – etc.).

#### **PROSE COMMENTS:**

When making prose comments, first readers should note the important academic and extracurricular accomplishments that are particularly pertinent to the case. It is also helpful to reference teacher reports or other items that may be crucial to our evaluation. In addition to numerical ratings, readers should try to summarize the strengths and weaknesses of the folder in brief paragraphs or comments. Avoid slang and jargon and REMEMBER - your comments may be open to public view later.

#### **INTERVIEW PROFILE (IVP):**

Below is the language for uniform implementation of the Interview Profile number (IVP) for use with all Schools and Scholarship Chairs. The IVP will serve as a guide for chairs to know when our office needs the reports, and therefore how quickly they need to be assigned. All interviewers will be told that they should submit their interview report no later than two weeks after receiving the interview assignment.

1. An applicant for whom the committee needs more information to reach a decision - please have interview report in as soon as possible.
2. An applicant for whom more information would be very helpful during our deliberations - please have interview report in by the sub-committee deadline.
3. Please have interview report in by December 1 (EA) or March 1 (RA).
4. Based on the materials currently available, the committee needs no additional information at this time.

This language has been distributed to the S&S chairs via email and can also be found in the updated handbook and website instructions. (Please ask Bryce Gilfillian if you need help accessing the site). **Please have a conversation with your chairs to determine if you wish to use the IVP, and please make clear that this information should not be shared with other interviewers or applicants.** If your chairs have additional clerical or operational questions about the IVP, please direct them to email Bryce/alum assistant at [HYPERLINK "mailto:SSinfo@fas.harvard.edu"](mailto:SSinfo@fas.harvard.edu).

When reading, please input your IVP code on the First Reader Rating Form. You should input an IVP for all cases for clubs that use this system or if the coding could be helpful for your own interview tracking purposes. Continue to pass on the folder to your chair and/or code out to Committee Review bin.

- **FIRST-GEN:** First readers should check this box on the first reader rating form if the student is of the first generation in the family to graduate from a four-year higher education institution. If first readers do not, chairs should do so on the chair rating form.
- **STAFF DISADVANTAGED**  
After reviewing the file, if the reader has evidence that the applicant may be from a modest economic background, please check “Yes” under Staff Disadvantaged on the Reader Rating Form. In the past, admitted students who has been identified as “Disadvantaged=Y” were found to be economically needy 78% of the time.
- **FACULTY, STAFF:** Code ONLY children of professors at the Faculty of Arts and Sciences as an “F”; children of faculty from other parts of the University as well as children of administrative staff should be coded “S”. If an update is needed, use the First Reader rating form. **Please be careful to apply faculty and staff coding where appropriate as we need to keep accurate statistics on these applicants. All “F” and “S” folders should be routed to the “4<sup>th</sup> bin” (WRF) after the normal reading process has been completed.**
- **ACCESSIBLE EDUCATION OFFICE (AEO) REFERRALS:** Code all applicants who may require special accommodations due to disabilities or special needs with the AEO flag on the First Reader Rating Form. We can then provide a list to assist the AEO and DOS in providing accommodations when appropriate. As you know, a student’s disability may not be considered in connection with his or her application.
- **FYRE:** Use this to indicate a student whom you think might benefit from the First Year Retreat and Experience (FYRE), a no cost pre-orientation program designed to



introduce students to Harvard's resources and give them a solid foundation on which to begin their college careers.

**ASTAT:** If, after reviewing an application you feel that the student may be of interest to one of our athletic teams, but is not a recruited athlete, you can use this flag to indicate to a coach that this student could be a recruit for their sport. Please use a "7" in these cases.

### **GPA and GPA Scale:**

We must try to report an Academic Index to the IVY League for EVERY matriculant. If grades are available, please report a GPA and GPA Scale for your strongest candidates.

The Academic Index is calculated using GPA and GPA Scale. These will be converted automatically to the 20 to 80 scale in Slate.

Here are the rules according to the AI instructions provided by the Ivy League and sent to staff separately:

### **A. ACADEMIC INDEX CALCULATIONS: CGS**

1. **GPA's generally:** The secondary school GPA should be taken as presented on the secondary school transcript; when both unweighted and weighted GPAs are presented, the unweighted GPA should be used. (If there is a question as to whether the school is using an unweighted or 'what the A grade earns in a regular course.\*not a complete sentence – check that new Ivy memo language is ok) Other questions in providing the GPA are addressed in this section.
2. **GPA scales and conversions from Table II:** Table II, the "CGS General Conversion Tables" should be used for the GPA scales shown (100-points, 11.0/12.0, 7.0, 6.0, 4.0, A-D) even if the transcript or secondary school profile provides a conversion to a Table II scale.
  - **The "4.0 Weighted" scale applies to any 4.0 based GPA that is weighted. It should be used only when Unweighted GPA is not available.**
  - **The "4.0 Unweighted Scale" applies to any 4.0 based GPA that is unweighted.**
  - **Note Table II includes a scale to use to convert International Baccalaureate GPAs to a CGS.**
3. **Scales not provided on Table II:** Given the relatively small number of admitted and matriculated students for whom Table II scales are not provided, it is preferable not to create new scales if possible. In such cases, a GPA on a 4.0 scale should be calculated using the following formula, and a CGS then derived using the 4.0 scale on Table II:  

$$\text{HSGPA}/\text{HSGPA scale} = "x"/4.0, \text{ where "x" becomes the value from which the CGS is derived. For example, if on a 5.0 scale a student has a 4.8 GPA (whether the scale's top grade is A or A+), the formula is } 4.8/5.0 = x/4.0, x=3.84 \text{ and the CGS} = 73.$$
4. **Calculating GPA when not provided by the secondary school:** When

the secondary school does not calculate/report a GPA, the institution should calculate an unweighted GPA based on the secondary school's grading scale, using all courses for which grades and credit hours are provided, and weighting semester grades as one-half full-year grades.

**NOTE:** the following grade scale is used to convert grades on a non-traditional scale to a 4.0 Unweighted Scale: HH- 4.0, H- 3.5, HP- 2.5, P- 1.5, U- 0

5. **GPA period:** GPA data always should be for more than one year, including 10<sup>th</sup> and 11<sup>th</sup> grades, 9<sup>th</sup> grade when available, and official trimester or semester grades (as opposed to term grades) in the student's current year if available at the time the athlete's decision is made. If "official" grades from the current year are available but not counted in the school's cumulative GPA, they should be added to the cumulative GPA and weighted appropriately: e.g., grades for first semester or trimester of senior year would be weighted as one-half or one-third year.
6. **GPA's from multiple schools and repeat years:** When a student has attended multiple secondary schools (including a post-graduate year), all GPA's provided by the schools should be used to the extent possible and weighted as in #5 above. If the institution believes this result is not logical and fair, it should describe what approach it believes is better, subject to the Admissions Committee's agreement.
7. **Transfer students:** CGS should be calculated using 50% secondary school GPA and 50% college GPA.

## B. INTERNATIONAL-SYSTEM GPA CALCULATIONS

1. **Generally:** Each school should calculate GPAs from international schools using the attached Appendix of International Calculations. If an international country is not listed on the Appendix, we should calculate an AI as it seems most appropriate. (In this circumstance, we should default to the Committee, using the NCAA International Standards as a reference point, but not necessarily a policy.)

2. **Canadian systems:** Table IIA, for establishing value of CGS of Canadian Students should be used to determine CGS based on the Province of the secondary school. Provinces where a passing grade is 50% use the first column on Table II A (Alberta, British Columbia, Manitoba, Newfoundland, NW Territories, Nova Scotia, Nunavut, Ontario, Prince Edward Island, Saskatchewan, Yukon); Provinces where a passing grade is 60% use the second column on Table IIA (New Brunswick, Quebec).

### 1. British systems:

Count all GCSE (= O Level), AS and A level results in order to calculate a GPA:  $A^*$  (same as A+) = 4.3

A = 4.0

B = 3.0

C = 2.0

D = 1.0

- If the applicant is taking a gap year, actual A-Level results should be used.
- A Level scores are given double the weight of AS and GCSE scores.
- Internal grades are usually not available, and should not be used if they are.
- Predicted A-Level scores should be used when available.
- All courses should be included in calculating the GPA, including physical education courses if the student receives a grade and credit for the course.

### 2. Pre-U:

**The scale for Pre-U were decided on as follows, for Principal Subjects only:**

D1 = A+/4.3

D2 = A+/4.3

D3 = A/4.0

M1 = B/3.0

M2 = B/3.0

$$M3 = B/-2.7$$

$$P1 = C/-1.7$$

$$P2 = D/1.0$$

$$P3 = D/-0.7$$

##### 5. International Baccalaureate systems:

Average grades from the last two years of the IB program are preferred to calculate a GPA:

$$7 = A+ = 4.3$$

$$6 = A = 4.0$$

$$5 = B = 3.0$$

$$4 = C = 2.0$$

$$3 = D = 1.0$$

- If the applicant is still in school, use one year for Early applicants and one year plus one term for Regular applicants.
- If the applicant is taking a gap year, actual two-year IB results are used.
- Use IB predicted grades if available, and only if not available use internal grades.
- For IB schools in the U.S., use the course values given on the transcript; for IB schools outside the U.S., double the weight for Higher Level courses (as opposed to the Subsidiary Level courses).
- All Higher Level/Subsidiary Level courses will be counted from international schools.
- Scales: When IB predictions give split results, use the average of the split (i.e., 5/6 is given, use 5.5 for calculation).

##### 6. Notes on Selected Countries (added fall 2010):

Australia – Require schools to provide a transcript of some sort, but if all else fails and they give the state final exam result or prediction (ex: UAI for NSW, OP for Queensland, usually out of 99.95) use that.

New Zealand – The scale for NZ is as follows...but ONLY for courses in which there is the possibility to get more than Achieved (Achieved/Not Achieved is basically Pass/Fail so we won't count those courses):

$$[E] \text{ Excellent} = A/4.0$$

$$[M] \text{ Merit} = B/3.0$$

$$[A] \text{ Achieved} = C/2.0$$

$$[N] \text{ Not Achieved} = F/0$$

Singapore – for schools using standard Junior College grading conventions – Include H1 (General Paper, Project, etc.) & H2 predictions on a 4.0 scale to calculate GPA. Double weight for H2 marks.

For H3, the scale is:

Distinction = A/4.0  
Merit = B/3.0  
Pass – C/2.0  
Double H3s as well

If provided, include O Level/GCSE marks in calculation of GPA with a single weight like we do with the British System.

General notes – For all national curriculums, the general rule of thumb is to include all courses as part of the GPA calculations.

#### 7. Additional International Scales for Relevant Countries

For GPA scales of other countries Table III has been sent separately and is include in the Ivy League Academic Index Memo. Please see CGM if you need a copy.



**TABLE II: For establishing value of CGS**

Revised May 2015/UPDATED AUGUST 2016

Percentage Average	International Baccalaureate	11.0/12.0 Scale <i>USE FOR WEIGHTED AND UNWEIGHTED GPAS WHERE A= 11.0 AND A+ &gt;11.0</i>	5.0/6.0 Scale <i>USE FOR WEIGHTED AND UNWEIGHTED GPAS WHERE A= 5.0 AND A+ &gt;5.0</i>	4.0 Scale <b>WEIGHTED</b> <i>USE ONLY WHEN UNWEIGHTED NOT AVAILABLE</i>	Letter Grade Equivalent to 4.0	4.0 Scale UNWEIGHTED	CGS
98.00 and above	7	12.00 and above	6.00 and above	4.30 and above	A+	4.0	80
97.00 - 97.99	6/7	11.70 - 11.99	5.70 - 5.99	4.20 - 4.29		3.91 - 3.99	79
96.00 - 96.99		11.40 - 11.69	5.40 - 5.69	4.10 - 4.19		3.81 - 3.90	78
95.00 - 95.99	6	11.00 - 11.39	5.00 - 5.39	4.00 - 4.09	A	3.72 - 3.80	77
94.00 - 94.99		10.70 - 10.99	4.90 - 4.99	3.90 - 3.99		3.63 - 3.71	75
93.00 - 93.99		10.40 - 10.69	4.80 - 4.89	3.80 - 3.89		3.53 - 3.62	73
92.00 - 92.99	5/6	10.00 - 10.39	4.70 - 4.79	3.70 - 3.79	A-	3.44 - 3.52	71
91.00 - 91.99		9.80 - 9.99	4.60 - 4.69	3.60 - 3.69		3.35 - 3.43	70
90.00 - 90.99		9.50 - 9.79	4.50 - 4.59	3.50 - 3.59		3.26 - 3.34	69
89.00 - 89.99		9.30 - 9.49	4.40 - 4.49	3.40 - 3.49		3.16 - 3.25	68
88.00 - 88.99		9.00 - 9.29	4.30 - 4.39	3.30 - 3.39	B+	3.07 - 3.15	67
87.00 - 87.99		8.70 - 8.99	4.20 - 4.29	3.20 - 3.29		2.98 - 3.06	66
86.00 - 86.99		8.40 - 8.69	4.10 - 4.19	3.10 - 3.19		2.88 - 2.97	65
85.00 - 85.99	5	8.00 - 8.39	4.00 - 4.09	3.00 - 3.09	B	2.79 - 2.87	63
84.00 - 84.99		7.70 - 7.99	3.90 - 3.99	2.90 - 2.99		2.70 - 2.78	61
83.00 - 83.99		7.40 - 7.69	3.80 - 3.89	2.80 - 2.89		2.61 - 2.69	59
82.00 - 82.99	4/5	7.00 - 7.39	3.70 - 3.79	2.70 - 2.79	B-	2.51 - 2.60	57
81.00 - 81.99		6.75 - 6.99	3.60 - 3.69	2.60 - 2.69		2.42 - 2.50	55
80.00 - 80.99		6.50 - 6.74	3.50 - 3.59	2.50 - 2.59		2.33 - 2.41	53
79.00 - 79.99		6.25 - 6.49	3.40 - 3.49	2.40 - 2.49		2.23 - 2.32	51
78.00 - 78.99		6.00 - 6.24	3.30 - 3.39	2.30 - 2.39	C+	2.14 - 2.22	49
77.00 - 77.99		5.70 - 5.99	3.20 - 3.29	2.20 - 2.29		2.05 - 2.13	48
76.00 - 76.99		5.40 - 5.69	3.10 - 3.19	2.10 - 2.19		1.95 - 2.04	47
75.00 - 75.99	4	5.00 - 5.39	3.00 - 3.09	2.00 - 2.09	C	1.86 - 1.94	46
74.00 - 74.99		4.70 - 4.99	2.90 - 2.99	1.90 - 1.99		1.77 - 1.85	45
73.00 - 73.99		4.40 - 4.69	2.80 - 2.89	1.80 - 1.89		1.67 - 1.76	44
72.00 - 72.99	3/4	4.00 - 4.39	2.70 - 2.79	1.70 - 1.79	C-	1.58 - 1.66	42
71.00 - 71.99		3.5 - 3.99	2.60 - 2.69	1.60 - 1.69		1.49 - 1.57	40
70.00 - 70.99		2.5 - 3.49	2.50 - 2.59	1.50 - 1.59	D+	1.40 - 1.56	38
Below 70.00	3	Below 2.5	Below 2.5	Below 1.5	D	Below 1.4	35

**TABLE IIA: For establishing value of CGS of Canadian Students**

Revised May 2015, Effective for Class Entering Fall 2017

United States 100 Point Scale	Letter Grade Equivalent	Canada Where passing grade is 50% <sup>1</sup>	Canada Where passing grade is 60% <sup>2</sup>	CGS
98.00 and above	A+	90.00 and above	88.00 and above	80
97.00 --- 97.99		88.00 --- 89.99	87.00 --- 87.99	79
96.00 --- 96.99		86.00 --- 87.99	86.00 --- 86.99	78
95.00 --- 95.99	A	84.00 --- 85.99	85.00 --- 85.99	77
94.00 --- 94.99		82.00 --- 83.99	84.00 --- 84.99	75
93.00 --- 93.99		80.00 --- 81.99	83.00 --- 83.99	73
92.00 --- 92.99	A---	79.00 --- 79.99	82.00 --- 82.99	71
91.00 --- 91.99		78.00 --- 78.99	81.00 --- 81.99	70
90.00 --- 90.99		77.00 --- 77.99	80.00 --- 80.99	69
89.00 --- 89.99		76.00 --- 76.99	79.00 --- 79.99	68
88.00 --- 88.99	B+	75.00 --- 75.99	78.00 --- 78.99	67
87.00 --- 87.99		74.00 --- 74.99	77.00 --- 77.99	66
86.00 --- 86.99		73.00 --- 73.99	76.00 --- 76.99	65
85.00 --- 85.99	B	72.00 --- 72.99	75.00 --- 75.99	63
84.00 --- 84.99		71.00 --- 71.99	74.00 --- 74.99	61
83.00 --- 83.99		70.00 --- 70.99	73.00 --- 73.99	59
82.00 --- 82.99	B---	69.00 --- 69.99	72.00 --- 72.99	57
81.00 --- 81.99		68.00 --- 68.99	71.00 --- 71.99	55
80.00 --- 80.99		67.00 --- 67.99	70.00 --- 70.99	53
79.00 --- 79.99		66.00 --- 66.99	69.00 --- 69.99	51
78.00 --- 78.99	C+	65.00 --- 65.99	68.00 --- 68.99	49
77.00 --- 77.99		64.00 --- 64.99	67.00 --- 67.99	48
76.00 --- 76.99		63.00 --- 63.99	66.00 --- 66.99	47
75.00 --- 75.99	C	62.00 --- 62.99	65.00 --- 65.99	46
74.00 --- 74.99		61.00 --- 61.99	64.00 --- 64.99	45
73.00 --- 73.99		60.00 --- 60.99	63.00 --- 63.99	44
72.00 --- 72.99	C---	Below 60.00	62.00 --- 62.99	42
71.00 --- 71.99			61.00 --- 61.99	40
70.00 --- 70.99	D+		60.00 --- 60.99	38
Below 70.00	D		Below 60.00	35

<sup>1</sup> Passing grade is 50% for the following Provinces: Alberta, British Columbia, Manitoba, Newfoundland, NW Territories, Nova Scotia, Nunavut, Ontario, Prince Edward Island, Saskatchewan, Yukon

<sup>2</sup> Passing grade is 60% for the following Provinces: New Brunswick, Quebec

### III. FILE ROUTING

**INADVERTENTLY CLEARED FILES:** Occasionally, files will be mistakenly “cleared” (considered complete) and placed in your first read bin. Open the Admin Problems Form, note the issue and to which bin the folder should be routed when the problem is solved. Then route the file to the Admin Problems bin.

**FILES SHOULD BE READ AND PASSED IN A TIMELY FASHION:** Readers should take care not to allow files to pile up. First readers need to read files from all assigned dockets as they clear, not just those whose subcommittee meets first. However, because all files will clear regardless of round, readers should read early action files first, as soon as possible. Regular action files can generally wait until after December 1st, but you can read them prior to that if you are able to. This is important, and we will monitor reading progress centrally. If you need help keeping up for whatever reason, let us know immediately. Readers should code out files to the Committee Review bin or pass to the docket chair. First-time readers will use the Optional Additional bin for their first 50-100 files during Early Action. Those files will be redistributed to experienced readers by the operations staff.

**SECOND READERS (OPTIONAL ADDITIONAL READER):** Except for new readers (for whom special routing instructions are provided below), second readings should be used only in the rarest of instances:

- A) If three readings are needed for a complex case.
- B) If the case raises issues of policy.
- C) If the case would be greatly helped by a second reading from the former area person or someone with special knowledge of an area or type of case.

No second reader will ordinarily be assigned. If you want/need a second reading, consult the enclosed docket assignment sheet to identify other readers on your docket. Try not to burden one person inordinately. You should choose “Optional Additional Reader” as the next bin and enter the name of that person which will place the file in their queue. You can add a note for the second reader such as “Please give V docket context” You should also send an email to special second readers to alert them to your requested reading. If you have received a file as a second read for a new reader, please read it as quickly as possible and put it back in the queue of the new reader.

**FIRST-TIME READERS:** New readers should have their first fifty to one hundred Early Action files passed to the Optional Additional Reader bin or to the chair bin, based on relative strength. Some chairs may wish to use different approaches for first year readers.

### **GENERAL ROUTING RULES:**

[ PAGE ]

1) A file should be passed directly to the chair:

- If the first reader rates a file a "2-" or better (i.e. a case the first reader thinks has a very good chance of being admitted)
- If the case will likely (or almost certainly) be discussed in Committee.
- If you want the docket chair's opinion or want simply to have the docket chair informed about the case.

**If the first reader has a significant degree of uncertainty about how to proceed with the case, he or she should consult the docket chair.**

- 2) A case rated a 3+ overall **may** be passed to the chair or routed straight to the Committee Review bin. The first reader should consider carefully the likelihood that additional anticipated information (e.g., a superior music rating) will make the case more compelling, in which case the folder should be passed to the chair. If there is no further information anticipated and the case is qualitatively a 3+ (a strong case but like many others), an experienced first reader does not need to pass it on.
- 3) Typically, a case rated a 3 or lower with no particular attribute that would make it competitive can be routed directly to the Committee Review bin. Obviously late information or school context could change this initial evaluation. The first reader, as an advocate, must be certain to check all late information that might make a difference to the case prior to the Committee meetings. This is particularly important for candidates whose outstanding personal qualities become evident once we have the alumni/ae interview.

Readers new to a docket should discuss with the docket chair any special guidelines about which files should be passed on and which files should not.

## **BINS**

In Slate, various "bins" are used to track an application file's progress through the application cycle. Bins are used for ease of day-to-day work - they do not represent final decisions. The layout of bins can be viewed in the Slate Reader using the Browse tab (Note: the "Freshman Only" preset filter in Reader displays all freshman applicants and previous admits in the current application period).

Each bin column represents a different phase of the application cycle, and generally, work flows from left to right:

- Pre-Review: Folders are incomplete, incorrectly coded, or withdrawn
- Reads: Folders are complete ("cleared") and ready for review by readers
- Committee: Folders are ready for discussion by committee

- Working Decision: Folders have been discussed by the committee and a decision has been recommended
- Final Decision: Decisions have been checked and confirmed; ready for decision release  
(**Note: Files should only be moved to final decision bins on Decision Day by the Slate team. Prior to Decision Day, files should remain in Working Decision bins.**)

### **CHANGING BIN ASSIGNMENTS**

Readers normally change a folder's bin assignment during the reading process using the Review Form in the Slate Reader. Occasionally it will be necessary to change a folder's bin assignment after the Review Form has been submitted. In these cases, the bin assignment can be changed in the Student Record. To edit a bin assignment in the Student Record, click the "Edit Application Details" tab on the right, and select the desired bin from the Bin dropdown menu.

### **CLEARING INCOMPLETES**

Readers should be sure to check the "Not Cleared" bin before each of their subcommittee code-out deadlines and then periodically before decisions are final to check for any cases that could be read with the materials in the file. Sometimes, transcripts may be in various tabs aside from the "SSR" tab. Readers should use their discretion or consult with their chairs but in general, a file that has an application and a transcript can be read and evaluated.

### **SPECIAL READINGS**

- WRF should see cases that could be particularly sensitive or controversial or that raise issues of fundamental policy. When in doubt, send the file on by routing to the 4<sup>th</sup> reader bin.
- Folders of competitive candidates who attended secondary school outside the U.S. and Canada may be passed on to the appropriate U, V or W docket area person or RMW if help in assessing foreign credentials is needed. **Be selective-** don't pass on a case unless you are sure the applicant is competitive or has some unusual attributes.
- A faculty readings memorandum will be distributed later regarding specific procedures.
- Supplemental music/art/dance/academic materials of clearly competitive candidates with an unusually strong talent may be assessed through a supplementary process - through Slideroom (for music and dance) or through the faculty read process (for art or academic work). Handling of this material will be addressed through memoranda over the course of the fall.

### **IV. OTHER ITEMS**



- Slate is made up of data downloaded from the application and supplemental forms. We currently do not have the ability to enter all the information by hand for those applicants who do not submit their forms on-line. However, the data entry staff will enter the most critical bio/demo information as they have in the past. This means that the dockets will be correct, but the summary sheets for these applicants will be primarily blank. You should double-check the data that is important - i.e. parent education, ethnicity, aid status, etc. - basically every field that's on the summary sheet. About 1% of all our applicants will fall into this category.
- Acknowledgments to guidance counselors, teachers, and others: The area person may occasionally feel it worthwhile to acknowledge unusually helpful TRs and SSRs by writing a note to the author. The note should acknowledge that the candidate may or may not be admitted. **Supplementary letters of recommendation may have already been acknowledged with a card or letter, but if not, particularly with recommenders who are alumni or others about whom Harvard might be concerned, you should call the letter to the attention of MEM or WRF and an acknowledgment will be sent. This is important!**
- Support Materials: ALL manually submitted support material should be dropped into the appropriate basket in the mailroom for sorting and scanning.
- Misfiled and Missing materials: If a teacher report, school report or any other material that would be helpful to a competitive candidate is missing, first readers should request a copy be re-sent. Files should be sent on to other readers unless the missing pieces are crucial. In such cases, first readers should hold onto the file by routing the file to the "Area Person Follow Up" bin. Detailed instructions on how to add new materials to an applicant's file can be found in the "Documentation" tab of the Slate welcome page.
- File items that require attention: Unanswered letters should be handled by first readers where appropriate or others including MEM or WRF.

## **V. SCANNING AND INDEXING**

There is a basket in the mailroom to collect and sort hard-copy documents received. The forms collected in these baskets should have content that is \*specific\* to the admission decision of the applicant and are marked as such - for example, mailed applications or supplements, letters of support, teacher reports, Harvard evaluation, (coach, arts, music, Harvard faculty), midyear reports, SSR's etc. We will scan almost everything. If that is not possible, an "oversized support" form will be scanned and added to the file to let you know there is material sitting in the bookcase in Conference Room 5.

Relevant emails to officers from applicants or about an applicant should be saved as a PDF file and indexed directly into the applicant file by the officer. To do so, go into the student record in Slate select the current round tab and scroll down to the “Materials” header. Click to add new material and make the appropriate selection from the drop-down menu. If you receive materials both electronically and in paper, you do not need to have the paper material scanned.

Documents displayed in the Reader are named by the document type that follows the menu down the left side of the Slate e-reader.

- Application (and supplement)
- SSR
- TRs
- Interviews
- Additional academic (additional transcripts, etc.)
- Midyear
- Final Report (potentially greyed out until admitted)
- Ratings Forms (includes IRFs)
- Miscellaneous (notes from family/friends, alums, correspondence, noting of oversized support, etc.)
- Waitlist
- Previous App
- Portfolio (NOTE: a tab in Slate we do not use at this time).

## Message

**From:** Mascolo, Christine Collette [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=C61C8C86863F4A31B11D8B770041B093-MASCOLO]  
**Sent:** 10/5/2018 7:06:10 PM  
**To:** admfao\_officers-list@lists.fas.harvard.edu  
**Subject:** Updated reading instructions  
**Attachments:** Reading Procedures2018.19FINAL.docx

Attached.

Moving forward, please use this versions and disregard all previous versions.

## Reading Procedures - Class of 2023

### I. SUMMARY SHEET APPLICATION DATA

The Summary Sheet captures information as supplied on the application and can be updated as new information is added. Late information can change the likelihood of admission and updates can be provided later for those initially considered less competitive. If any information is **missing** or **incorrect** for competitive candidates, changes should be made on the First Reader Rating Form and noted with prose in the reader comments or “Notes for Summary Sheet” box. This prose will feed onto the Summary Sheet when the rating form is submitted.

One exception: School code changes are NOT made on the First Reader Rating Form; see instructions below on how to do this.

**PLEASE NOTE:** The accuracy of our citizenship coding is CRUCIAL. Miscoding affects many of the important statistics we are required to compile, and we need to keep careful track of who needs a visa to study in the United States.

- **SCHOOL CODE:** If an applicant is coded to the wrong school, please use the Admin Problems update form and route this to the Admin Problems bin immediately so that the operations team can ensure that the interview is reassigned to the appropriate club and group.
- **GENDER:** Occasionally the gender designation reported on the application is coded incorrectly in our system. This should be corrected by submitting the Admin Problems form and routing the file to the Admin Problems bin.
- **RACE/ETHNICITY:** We report exactly what the applicant reports as ethnicity on the application. The ethnic codes on the Summary Sheet come from the demographic fields the candidate checked on the application. **Note that foreign citizens are listed as such. If they opted to check an identifying ethnic code it will appear but is not used for statistics and reporting.**
- **CITIZENSHIP CODE / COUNTRY OF CITIZENSHIP:** There are four options on the application that can be checked: (1) U.S. Citizenship, (2) U.S. Dual Citizenship, (3) U.S. permanent resident and (4) “Other” or foreign citizen.

The applicant holds only American citizenship:

*APP:* Citizenship status will be “US Citizen or US National” and no other country of citizenship will be listed.

*SUMMARY SHEET:* Should read “Citizenship: United States”

The applicant is a dual U.S. citizen (a citizen of both the U.S. and another country).

*APP:* Citizenship status will be “Dual US Citizen”-Other citizenships will show a country (e.g. Sweden)

*SUMMARY SHEET:* Should read “Citizenship: United States/<other country>”

The applicant is a U.S. Permanent Resident.

*APP:* Citizenship status will be “U.S. Permanent Resident or Refugee” and Other

Citizenships will list one or more countries checked with another country listed.

*SUMMARY SHEET*: Should read “Citizenship: PR / <other country>”

*Caveat*: If an applicant has checked the U.S. Permanent Resident box but notes that his or her application for permanent residency (or “green card”) is pending, that applicant should be recoded as “Other citizenship.” Request this change by using the Admin Problems update form. We must prepare an I-20 form if the applicant is admitted and the application for residency is still pending, and the citizenship code is the only way we know to do this.

The applicant is a foreign citizen:

*APP*: Citizenship status will be “Other (Non-US)”. Other citizenship will show a country (e.g. Poland)

*SUMMARY SHEET*: Should read “Citizenship: <other country>”

- **LINEAGE**: This flag appears if the applicant included Harvard College in the education field for at least one parent/guardian. The folder should be read by WRF (“4<sup>th</sup>” bin) following the normal reading process if appropriate or if another reading might be helpful. Errors in coding should be noted with specific details about the error using the Admin Problems Form and routed to the Admin Problems bin.
- **ATHLETE**: Be sure the appropriate sport is listed as the first extracurricular activity. Changes can be made on the App Update tab on the Student Record. **DO NOT CHANGE ANY PRE-CODED ATHLETE.**
- **INDICATORS FOR ECONOMIC STATUS**: It has long been a priority for Harvard to seek talented students from all backgrounds, including those extraordinary individuals who are able to transcend economic disadvantages and achieve unusual academic distinction. We utilize several indicators to understand the economic background of applicants. They are:
  - Low Income Predictor (Low Inc on Summary Sheet): A value between 0 and 1 based on application information that predicts how likely a student is to be low income and have a \$0 parent contribution. The higher the value (closer to 1) the more likely the student will be low income.
  - IM Pell Estimate (IMP-Est on Summary Sheet): An indication if the student is likely to qualify for a Pell Grant, based solely on IM data. This information will only be available if a student has submitted CSS Profile, allowing Financial Aid to estimate whether the student may be eligible for a Pell Grant.
  - FH info (“Yes, Likely, Unlikely, No” on the summary sheet): After subcommittee meetings, if information is available, a simple indication of a student’s possible eligibility for the Harvard Financial Aid Initiative (HFAI) may be present on the summary sheet.
  - **FEE STATUS**: An indicator of whether the applicant received a fee waiver for their application.
- **SCORES**: By checking their Applicant Status website applicants can see whether their scores requirement has been fulfilled though not all scores will be listed. They can report scores (which will be marked ‘self-reported’ in the student record) as they like. You can check scores by looking under the “Scores” tab in each Student Record



of an applicant. The Summary Sheet will reflect the highest verified or self-reported scores.

Matriculating students will be responsible for changing 'unofficial' scores to 'official.' Only scores sent to us directly from the testing services electronically are considered official. Paper copies of scores sent via fax, email attachment or U.S. mail are not considered official.

We receive secure web downloads of scores, so we do not have to wait for the scores to be mailed to us. Applicants are told not to use 'rush reports,' but if they do, they will arrive electronically as soon as they are scored.

## **II. Reader Rating Forms**

**When a file is in your queue, you will be able to select the “First Reader Form” or the “Chair Form” depending on the file’s bin. The form includes the following fields:**

Reader ratings: All readers must code a preliminary overall rating and a profile (using the codes below and pluses and minuses) for all candidates. Writing prose comments is left to the discretion of the reader and should generally be done only for competitive candidates, those who might become competitive later, or those who might be of interest to the Committee.

For all categories, use “+” and “-” primarily in the 2 and 3 range to indicate relative strength. A rating of 2+ or 3+ is stronger and very different from a 2- or 3- respectively. Readers should take many factors into account as they assign ratings. E.g, students who have taken a strong academic program and/or present other positive evidence of academic achievement should receive higher academic ratings: an applicant with low 700 scores could be rated a 2- rather than a 3+ in some instances especially if there is academic strength in a particular field. However, readers should not take an applicant’s race or ethnicity into account in making any of the ratings other than the Overall rating, as discussed further below.

### **Overall**

1. Tops for admission: Exceptional – a clear admit with very strong objective and subjective support
2. Very strong credentials but not an inevitable admit
3. Solid contender: An applicant with good credentials and support
- 3- Somewhat Neutral: Respectable credentials
4. Neutral: Generally respectable credentials
5. Negative: Credentials are generally below those of other candidates

In assigning the Overall rating, readers may consider whether a student’s background, including his or her race or ethnicity, may contribute to the educational benefits of diversity at Harvard College. The consideration of race or ethnicity may be considered **only** as one factor among many.

### **Academic**

1. A potential major academic contributor; Summa potential. Genuine scholar; near-perfect scores and grades (in most cases combined with unusual creativity and

possible evidence of original scholarship, often substantiated by our faculty or other academic mentors.) Possible national or international level recognition in academic competitions.

2. Magna potential. Excellent student with top grades and,
  - a. SAT and SAT Subject tests: mid 700 scores and up
  - b. 33+ ACT
  - c. Possible local, regional or national level recognition in academic competitions
3. Solid academic potential; Cum laude potential: Very good student with excellent grades and
  - a. SAT and SAT Subject tests: mid-600 through low-700 scores
  - b. 29 to 32 ACT
4. Adequate preparation. Respectable grades and low-to mid-600 scores on SAT and subject tests or 26 to 29 ACT.
5. Marginal potential. Modest grades and 500 scores on SAT and subject tests (25 and below ACT).

#### Extracurricular, Community Employment, Family Commitments

1. Unusual strength in one or more areas. Possible national-level achievement or professional experience. A potential major contributor at Harvard. Truly unusual achievement.
2. Strong secondary school contribution in one or more areas such as class president, newspaper editor, concertmaster etc. and/or significant involvement in organizations outside of school. Possible local or regional recognition; major accomplishment(s) that have had an impact outside of the classroom. Can include significant term-time work or family responsibilities coupled with extracurricular engagement.
3. Solid participation but without special distinction. (Upgrade 3+ to 2- in some cases if the e/c is particularly extensive and substantive.)
4. Little or no participation.
5. Substantial commitment outside of conventional EC participation such as family obligations, term-time work or a significant commute (Important: should be included with other e/c to boost the rating or left as a "5" if that is more representative of the student's commitment).
6. Special circumstances limit or prevent participation (e.g. a physical condition, gap year(s), compulsory service of some kind).

#### Athletic

Please note: to determine whether an activity should be considered a sport or an extracurricular activity, readers should defer to the student's characterization of the activity on his or her application. Those activities the student lists as "sports" should be considered as part of the athletic rating.

1. Unusually strong prospect for varsity sports at Harvard, possibly desired by Harvard coaches or recognition for individual athletic achievement/championships at the national, international or Olympic level.
2. Strong and long-standing (3-4 years) of secondary school and/or travel team contribution in one or more sports; leadership role(s) such as captain or co-captain; possible individual recognition at the state or regional level; possible walk-on to a

- varsity team; has an IRF of a 4 from a Harvard coach
- 3. Active participation, possibly some leadership and/or recognition for individual accomplishments at the local or conference level.
- 4. Little or no participation (this is not a negative).
- 5. Substantial commitment outside of conventional extracurricular activities such as family obligations or term-time work (should be included with other e/c to boost the rating or left as a “5” if it is more representative of the student’s commitment).
- 6. Physical condition or other special circumstances prevent significant activity.

### Personal

The Personal rating should be an assessment made by the readers of what kind of effect the student might have on others at Harvard and beyond. It should be based on an assessment of what kind of positive effect this person might have throughout his or her life based on what we have seen so far in the student’s application materials. This should include such considerations as what kind of contribution would the person make to the dining hall conversation, to study groups, and to society as a whole after graduation. In assigning the personal rating, readers should consider information we receive from teachers, counselors, applicants, other recommenders, interviewers, and others as well as the applicant’s essays, extracurricular activities, and other items in the application file—what the applicant shows us about him or herself and what the applicant has done or accomplished for others. It is important to keep in mind that characteristics not always synonymous with extroversion are similarly valued. Applicants who seem to be particularly reflective, insightful and/or dedicated should receive higher personal ratings as well

As noted above, though, an applicant’s race or ethnicity should not be considered in assigning the personal rating.

We understand that students are multidimensional and ever evolving. Many applicants have grown enormously between the time when they apply in the fall or winter or their senior year and when they arrive in Cambridge the following September. Additionally, we are aware that we work with incomplete information.

- 1. Truly outstanding qualities of character; student may display enormous courage in the face of seemingly insurmountable obstacles in life. Student may demonstrate a singular ability to lead or inspire those around them. Student may exhibit extraordinary concern or compassion for others. Student receives unqualified and unwavering support from their recommenders.
- 2. Very strong qualities of character; student may demonstrate strong leadership. Student may exhibit a level of maturity beyond their years. Student may exhibit uncommon genuineness, selflessness or humility in their dealings with others. Students may possess strong resiliency. Student receives very strong support from their recommenders.
- 3+ Above average qualities of character; Student may demonstrate leadership. Student may exhibit commitment, good judgment, and positive citizenship. Student may exercise a spirit and camaraderie with peers. Student receives positive support from their recommenders.
- 3. Generally positive, perhaps somewhat neutral qualities of character
- 4. Questionable or worrisome qualities of character

School Support

1. Strikingly unusual support. "The best of a career," "one of the best in many years," truly over the top.
2. Very strong support. "One of the best" or "the best this year."
- 3+ Well above average, consistently positive
3. Generally positive, perhaps somewhat neutral or generic
- 3- Somewhat neutral or slightly negative.
4. Negative or worrisome report.
6. For teacher reports: prose is not in the file.
8. Placeholder for teacher reports.
9. For secondary school report: transcript is in the file but there is no SSR prose.

PLEASE NOTE: School support ratings for teacher one, teacher two and a counselor are mandatory ratings for competitive candidates. Teacher three and teacher four are optional, if applicable.

**BRIEF ANNOTATIONS FOR SUMMARY SHEET:**

You may choose to insert information about a case – a maximum of three lines – which will appear on the second page of the summary sheet at the top and on the printed docket (unlike prose comments below). These notes should be informational only and not evaluative. They can aid in your preparation of cases. Examples could be: PE on grandmother, Harvard Book, or international credentials not easily captured elsewhere (A level est, Physics A, Math A, Lit A – etc.).

**PROSE COMMENTS:**

When making prose comments, first readers should note the important academic and extracurricular accomplishments that are particularly pertinent to the case. It is also helpful to reference teacher reports or other items that may be crucial to our evaluation. In addition to numerical ratings, readers should try to summarize the strengths and weaknesses of the folder in brief paragraphs or comments. Avoid slang and jargon and REMEMBER - your comments may be open to public view later.

**INTERVIEW PROFILE (IVP):**

Below is the language for uniform implementation of the Interview Profile number (IVP) for use with all Schools and Scholarship Chairs. The IVP will serve as a guide for chairs to know when our office needs the reports, and therefore how quickly they need to be assigned. All interviewers will be told that they should submit their interview report no later than two weeks after receiving the interview assignment.

1. An applicant for whom the committee needs more information to reach a decision - please have interview report in as soon as possible.
2. An applicant for whom more information would be very helpful during our deliberations - please have interview report in by the sub-committee deadline.
3. Please have interview report in by December 1 (EA) or March 1 (RA).
4. Based on the materials currently available, the committee needs no additional information at this time.

This language has been distributed to the S&S chairs via email and can also be found in the updated handbook and website instructions. (Please ask Bryce Gilfillian if you need help accessing the site). **Please have a conversation with your chairs to determine if you wish to use the IVP, and please make clear that this information should not be shared with other interviewers or applicants.** If your chairs have additional clerical or operational questions about the IVP, please direct them to email Bryce/alum assistant at [{ HYPERLINK "mailto:SSinfo@fas.harvard.edu" }](mailto:SSinfo@fas.harvard.edu).

When reading, please input your IVP code on the First Reader Rating Form. You should input an IVP for all cases for clubs that use this system or if the coding could be helpful for your own interview tracking purposes. Continue to pass on the folder to your chair and/or code out to Committee Review bin.

- **FIRST-GEN:** First readers should check this box on the first reader rating form if the student is of the first generation in the family to graduate from a four-year higher education institution. If first readers do not, chairs should do so on the chair rating form.
- **STAFF DISADVANTAGED**  
After reviewing the file, if the reader has evidence that the applicant may be from a modest economic background, please check “Yes” under Staff Disadvantaged on the Reader Rating Form. In the past, admitted students who has been identified as “Disadvantaged=Y” were found to be economically needy 78% of the time.
- **FACULTY, STAFF:** Code ONLY children of professors at the Faculty of Arts and Sciences as an “F”; children of faculty from other parts of the University as well as children of administrative staff should be coded “S”. If an update is needed, use the First Reader rating form. **Please be careful to apply faculty and staff coding where appropriate as we need to keep accurate statistics on these applicants. All “F” and “S” folders should be routed to the “4<sup>th</sup> bin” (WRF) after the normal reading process has been completed.**
- **ACCESSIBLE EDUCATION OFFICE (AEO) REFERRALS:** Code all applicants who may require special accommodations due to disabilities or special needs with the AEO flag in the Student record. We can then work with the AEO and DOS when appropriate. As you know, a student’s disability may not be considered in connection with his or her application. Anyone for whom the AEO flag is used should also be flagged for an advising form.
- **FYRE:** Use this to indicate a student whom you think might benefit from the First Year Retreat and Experience (FYRE), a no cost pre-orientation program designed to introduce students to Harvard’s resources and give them a solid foundation on which to begin their college careers.

**ASTAT:** If, after reviewing an application you feel that the student may be of interest to one of our athletic teams, but is not a recruited athlete, you can use this flag to indicate to a coach that this student could be a recruit for their sport. Please use a “7” in these cases.

#### **GPA and GPA Scale:**

We must try to report an Academic Index to the IVY League for EVERY matriculant. If grades are available, please report a GPA and GPA Scale for your strongest candidates.



The Academic Index is calculated using GPA and GPA Scale. These will be converted automatically to the 20 to 80 scale in Slate.

Here are the rules according to the AI instructions provided by the Ivy League and sent to staff separately:

#### ACADEMIC INDEX CALCULATIONS: CGS

1. **GPA's generally:** As noted in ¶B-7 above, the secondary school GPA should be taken as presented on the secondary school transcript; when both unweighted and weighted GPAs are presented, the unweighted GPA should be used. (If there is a question as to whether the school is using an unweighted or weighted system, the scale should be defined as unweighted, based on what the A grade earns in a regular course.) Other questions in providing the GPA are addressed in this section.
2. **GPA scales and conversions from Table II:** Table II, the "CGS General Conversion Tables" should be used for the GPA scales shown (100-points, 11.0/12.0, 7.0, 6.0, 4.0, A-D) even if the transcript or secondary school profile provides a conversion to a Table II scale.
  - The "4.0 Weighted" scale applies to any 4.0 based GPA that is weighted. It should be used only when Unweighted GPA is not available.
  - The "4.0 Unweighted Scale" applies to any 4.0 based GPA that is unweighted.
  - Note Table II includes a scale to use to convert International Baccalaureate GPAs to a CGS.
3. **Scales not provided on Table II:** Given the relatively small number of admitted and matriculated students for whom Table II scales are not provided, it is preferable not to create new scales if possible. In such cases, a GPA on a 4.0 scale should be calculated using the following formula, and a CGS then derived using the 4.0 scale on Table II:  $\text{HSGPA}/\text{HSGPA scale} = \text{"x"}/4.0$ , where "x" becomes the value from which the CGS is derived. For example, if on a 5.0 scale a student has a 4.8 GPA (whether the scale's top grade is A or A+), the formula is  $4.8/5.0 = \text{x}/4.0$ ,  $\text{x} = 3.84$  and the CGS = 73.
4. **Calculating GPA when not provided by the secondary school:** When the secondary school does not calculate/report a GPA, the institution should calculate an unweighted GPA based on the secondary school's grading scale, using all courses for which grades and credit hours are provided, and weighting semester grades as one-half full-year grades.
 

NOTE: the following grade scale is used to convert grades on a non-traditional scale to a 4.0 Unweighted Scale: HH- 4.0, H- 3.5, HP- 2.5, P- 1.5, U- 0
5. **GPA period:** GPA data always should be for more than one year, including 10<sup>th</sup> and 11<sup>th</sup> grades, 9<sup>th</sup> grade when available, and official trimester or semester grades (as opposed to term grades) in the student's current year if available at the time the athlete's decision is made. If "official" grades from

the current year are available but not counted in the school's cumulative GPA, they should be added to the cumulative GPA and weighted appropriately: e.g., grades for first semester or trimester of senior year would be weighted as one-half or one-third year.

6. **GPA's from multiple schools and repeat years:** When a student has attended multiple secondary schools (including a post-graduate year), all GPA's provided by the schools should be used to the extent possible and weighted as in #5 above. If the institution believes this result is not logical and fair, it should describe what approach it believes is better, subject to the Admissions Committee's agreement.
7. **Transfer students:** CGS should be calculated using 50% secondary school GPA and 50% college GPA

INTERNATIONAL-SYSTEM GPA CALCULATIONS

1. **Generally:** Each school should calculate GPAs from international schools using the attached Appendix of International Calculations. If an international country is not listed on the Appendix, we should calculate an AI as it seems most appropriate. (In this circumstance, we should default to the Committee, using the NCAA International Standards as a reference point, but not necessarily a policy.)
2. **Canadian systems:** Table IIA, for establishing value of CGS of Canadian Students should be used to determine CGS based on the Province of the secondary school. Provinces where a passing grade is 50% use the first column on Table II A (Alberta, British Columbia, Manitoba, Newfoundland, NW Territories, Nova Scotia, Nunavut, Ontario, Prince Edward Island, Saskatchewan, Yukon); Provinces where a passing grade is 60% use the second column on Table IIA (New Brunswick, Quebec).

1. British systems:

Count all GCSE (= O Level), AS and A level results in order to calculate a GPA:

A\* (same as A+) = 4.3

A = 4.0

B = 3.0

C = 2.0

D = 1.0

- If the applicant is taking a gap year, actual A-Level results should be used.
- A Level scores are given double the weight of AS and GCSE scores.
- Internal grades are usually not available and should not be used if they are.
- Predicted A-Level scores should be used when available.
- All courses should be included in calculating the GPA, including physical education courses if the student receives a grade and credit for the course.

2. Pre-U:

**The scale for Pre-U were decided on as follows, for Principal Subjects only:**

D1 = A+/4.3

D2 = A+/4.3

D3 = A/4.0

M1 =

B+/3.3 M2

= B/3.0 M3

= B-/2.7 P1

= C-/1.7 P2

= D/1.0 P3

= D-/0.7

### 5. International Baccalaureate systems:

Average grades from the last two years of the IB program are preferred to calculate a GPA:

7 = A+ = 4.3

6 = A = 4.0

5 = B = 3.0

4 = C = 2.0

3 = D = 1.0

- If the applicant is still in school, use one year for Early applicants and one year plus one term for Regular applicants.
- If the applicant is taking a gap year, actual two-year IB results are used.
- Use IB predicted grades if available, and only if not available use internal grades.
- For IB schools in the U.S., use the course values given on the transcript; for IB schools outside the U.S., double the weight for Higher Level courses (as opposed to the Subsidiary Level courses).
- All Higher Level/Subsidiary Level courses will be counted from international schools.
- Scales: When IB predictions give split results, use the average of the split (i.e., 5/6 is given, use 5.5 for calculation).

### 6. Notes on Selected Countries (added fall 2010):

Australia – Require schools to provide a transcript of some sort, but if all else fails and they give the state final exam result or prediction (ex: UAI for NSW, OP for Queensland, usually out of 99.95) use that.

New Zealand – The scale for NZ is as follows...but ONLY for courses in which there is the possibility to get more than Achieved (Achieved/Not Achieved is basically Pass/Fail so we won't count those courses):

[E] Excellent =

A/4.0 [M] Merit =

B/3.0 [A]

Achieved = C/2.0

[N] Not Achieved = F/0

Singapore – for schools using standard Junior College grading conventions – Include H1(General Paper, Project, etc.) & H2 predictions on a 4.0 scale to calculate GPA. Double weight for H2 marks.

For H3, the scale is:

Distinction =

A/4.0 Merit =

B/3.0 Pass =

C/2.0 Double

H3s as well.

If provided, include O Level/GCSE marks in calculation of GPA with a single weight like we do with the British System.

General notes – For all national curriculums, the general rule of thumb is to include all courses as part of the GPA calculations.

7. Additional International Scales for Relevant Countries

For GPA scales of other countries, Table III has been sent separately and is included in the Ivy League Academic Index Memo. Please see CGM if you need a copy.



**TABLE II: For establishing value of CGS**

APPROVED SEPTEMBER 2016

Percentage Average	11.0/12.0 Scale	6.0	5.0	4.0 Weighted GPA	Grade Equivalent to 4.0	4.0 Unweighted	CGS
98.00 and above	12.00 and	6.5 and	6.00 and	4.30 and above	A+	4.0 and above	80
97.00 - 97.99	11.70 -	6.30 -	5.70 -	4.20 - 4.29		3.91 - 3.99	79
96.00 - 96.99	11.40 -	6.15 -	5.40 -	4.10 - 4.19		3.81 - 3.90	78
95.00 - 95.99	11.00 -	6.00 -	5.00 -	4.00 - 4.09	A	3.72 - 3.80	77
94.00 - 94.99	10.70 -	5.85 -	4.90 -	3.90 - 3.99		3.63 - 3.71	75
93.00 - 93.99	10.40 -	5.70 -	4.80 -	3.80 - 3.89		3.53 - 3.62	73
92.00 - 92.99	10.00 -	5.55 -	4.70 -	3.70 - 3.79	A-	3.44 - 3.52	71
91.00 - 91.99	9.80 -	5.40 -	4.60 -	3.60 - 3.69		3.35 - 3.43	70
90.00 - 90.99	9.50 -	5.25 -	4.50 -	3.50 - 3.59		3.26 - 3.34	69
89.00 - 89.99	9.30 -	5.10 -	4.40 -	3.40 - 3.49		3.16 - 3.25	68
88.00 - 88.99	9.00 -	4.95 -	4.30 -	3.30 - 3.39	B+	3.07 - 3.15	67
87.00 - 87.99	8.70 -	4.80 -	4.20 -	3.20 - 3.29		2.98 - 3.06	66
86.00 - 86.99	8.40 -	4.65 -	4.10 -	3.10 - 3.19		2.88 - 2.97	65
85.00 - 85.99	8.00 -	4.50 -	4.00 -	3.00 - 3.09	B	2.79 - 2.87	63
84.00 - 84.99	7.70 -	4.35 -	3.90 -	2.90 - 2.99		2.70 - 2.78	61
83.00 - 83.99	7.40 -	4.20 -	3.80 -	2.80 - 2.89		2.61 - 2.69	59
82.00 - 82.99	7.00 -	4.05 -	3.70 -	2.70 - 2.79	B-	2.51 - 2.60	57
81.00 - 81.99	6.75 -	3.90 -	3.60 -	2.60 - 2.69		2.42 - 2.50	55
80.00 - 80.99	6.50 -	3.75 -	3.50 -	2.50 - 2.59		2.33 - 2.41	53
79.00 - 79.99	6.25 -	3.60 -	3.40 -	2.40 - 2.49		2.23 - 2.32	51
78.00 - 78.99	6.00 -	3.45 -	3.30 -	2.30 - 2.39	C+	2.14 - 2.22	49
77.00 - 77.99	5.70 -	3.30 -	3.20 -	2.20 - 2.29		2.05 - 2.13	48
76.00 - 76.99	5.40 -	3.15 -	3.10 -	2.10 - 2.19		1.95 - 2.04	47
75.00 - 75.99	5.00 -	3.00 -	3.00 -	2.00 - 2.09	C	1.86 - 1.94	46
74.00 - 74.99	4.70 -	2.85 -	2.90 -	1.90 - 1.99		1.77 - 1.85	45
73.00 - 73.99	4.40 -	2.70 -	2.80 -	1.80 - 1.89		1.67 - 1.76	44
72.00 - 72.99	4.00 -	2.55 -	2.70 -	1.70 - 1.79	C-	1.58 - 1.66	42
71.00 - 71.99	3.5 - 3.99	2.40 -	2.60 -	1.60 - 1.69		1.49 - 1.57	40
70.00 - 70.99	2.5 - 3.49	2.25 -	2.50 -	1.50 - 1.59	D+	1.40 - 1.56	38
Below 70.00	Below 2.5	Below	Below	Below 1.5	D	Below 1.4	35

Table IIA- CGS Canadian Conversion Table

**TABLE II-A: For establishing value of CGS of Canadian Students**

Revised May 2015

<b>United States 100 Point Scale</b>	<b>Letter Grade Equivalent</b>	<b>Canada Where passing grade is 50%<sup>1</sup></b>	<b>CanadaWhere passing grade is 60%<sup>2</sup></b>	<b>CGS</b>
98.00 and above	A+	90.00 and above	88.00 and above	80
97.00 - 97.99		88.00 - 89.99	87.00 - 87.99	79
96.00 - 96.99		86.00 - 87.99	86.00 - 86.99	78
95.00 - 95.99	A	84.00 - 85.99	85.00 - 85.99	77
94.00 - 94.99		82.00 - 83.99	84.00 - 84.99	75
93.00 - 93.99		80.00 - 81.99	83.00 - 83.99	73
92.00 - 92.99	A-	79.00 - 79.99	82.00 - 82.99	71
91.00 - 91.99		78.00 - 78.99	81.00 - 81.99	70
90.00 - 90.99		77.00 - 77.99	80.00 - 80.99	69
89.00 - 89.99		76.00 - 76.99	79.00 - 79.99	68
88.00 - 88.99	B+	75.00 - 75.99	78.00 - 78.99	67
87.00 - 87.99		74.00 - 74.99	77.00 - 77.99	66
86.00 - 86.99		73.00 - 73.99	76.00 - 76.99	65
85.00 - 85.99	B	72.00 - 72.99	75.00 - 75.99	63
84.00 - 84.99		71.00 - 71.99	74.00 - 74.99	61
83.00 - 83.99		70.00 - 70.99	73.00 - 73.99	59
82.00 - 82.99	B-	69.00 - 69.99	72.00 - 72.99	57
81.00 - 81.99		68.00 - 68.99	71.00 - 71.99	55
80.00 - 80.99		67.00 - 67.99	70.00 - 70.99	53
79.00 - 79.99		66.00 - 66.99	69.00 - 69.99	51
78.00 - 78.99	C+	65.00 - 65.99	68.00 - 68.99	49
77.00 - 77.99		64.00 - 64.99	67.00 - 67.99	48
76.00 - 76.99		63.00 - 63.99	66.00 - 66.99	47
75.00 - 75.99	C	62.00 - 62.99	65.00 - 65.99	46
74.00 - 74.99		61.00 - 61.99	64.00 - 64.99	45
73.00 - 73.99		60.00 - 60.99	63.00 - 63.99	44
72.00 - 72.99	C-	Below 60.00	62.00 - 62.99	42
71.00 - 71.99			61.00 - 61.99	40
70.00 - 70.99	D+		60.00 - 60.99	38
Below 70.00	D		Below 60.00	35

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<sup>1</sup> Passing grade is 50% for the following Provinces: Alberta, British Columbia, Manitoba, Newfoundland, NW Territories, Nova Scotia, Nunavut, Ontario, Prince Edward Island, Saskatchewan, Yukon

<sup>2</sup> Passing grade is 60% for the following Provinces: New Brunswick, Quebec

### III. FILE ROUTING

**INADVERTENTLY CLEARED FILES:** Occasionally, files will be mistakenly “cleared” (considered complete) and placed in your first read bin. Open the Admin Problems Form, note the issue and to which bin the folder should be routed when the problem is solved. Then route the file to the Admin Problems bin.

**FILES SHOULD BE READ AND PASSED IN A TIMELY FASHION:** Readers should take care not to allow files to pile up. First readers need to read files from all assigned dockets as they clear, not just those whose subcommittee meets first. However, because all files will clear regardless of round, readers should read early action files first, as soon as possible. Regular action files can generally wait until after December 1st, but you can read them prior to that if you are able to. This is important, and we will monitor reading progress centrally. If you need help keeping up for whatever reason, let us know immediately. Readers should code out files to the Committee Review bin or pass to the docket chair. First-time readers will use the Optional Additional bin for their first 50-100 files during Early Action. Those files will be redistributed to experienced readers by the operations staff.

**SECOND READERS (OPTIONAL ADDITIONAL READER):** Except for new readers (for whom special routing instructions are provided below), second readings should be used only in the rarest of instances:

- A) If three readings are needed for a complex case.
- B) If the case raises issues of policy.
- C) If the case would be greatly helped by a second reading from the former area person or someone with special knowledge of an area or type of case.

No second reader will ordinarily be assigned. If you want/need a second reading, consult the enclosed docket assignment sheet to identify other readers on your docket. Try not to burden one person inordinately. You should choose “Optional Additional Reader” as the next bin and enter the name of that person which will place the file in their queue. You can add a note for the second reader such as “Please give V docket context” You should also send an email to special second readers to alert them to your requested reading. If you have received a file as a second read for a new reader, please read it as quickly as possible and put it back in the queue of the new reader.

**FIRST-TIME READERS:** New readers should have their first fifty to one hundred Early Action files passed to the Optional Additional Reader bin or to the chair bin, based on relative strength. Some chairs may wish to use different approaches for first year readers.

### **GENERAL ROUTING RULES:**

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1) A file should be passed directly to the chair:

- If the first reader rates a file a "2-" or better (i.e. a case the first reader thinks has a very good chance of being admitted)
- If the case will likely (or almost certainly) be discussed in Committee.
- If you want the docket chair's opinion or want simply to have the docket chair informed about the case.

**If the first reader has a significant degree of uncertainty about how to proceed with the case, he or she should consult the docket chair.**

- 2) A case rated a 3+ overall **may** be passed to the chair or routed straight to the Committee Review bin. The first reader should consider carefully the likelihood that additional anticipated information (e.g., a superior music rating) will make the case more compelling, in which case the folder should be passed to the chair. If there is no further information anticipated and the case is qualitatively a 3+ (a strong case but like many others), an experienced first reader does not need to pass it on.
- 3) Typically, a case rated a 3 or lower with no particular attribute that would make it competitive can be routed directly to the Committee Review bin. Obviously late information or school context could change this initial evaluation. The first reader, as an advocate, must be certain to check all late information that might make a difference to the case prior to the Committee meetings. This is particularly important for candidates whose outstanding personal qualities become evident once we have the alumni/ae interview.

Readers new to a docket should discuss with the docket chair any special guidelines about which files should be passed on and which files should not.

## **BINS**

In Slate, various "bins" are used to track an application file's progress through the application cycle. Bins are used for ease of day-to-day work - they do not represent final decisions. The layout of bins can be viewed in the Slate Reader using the Browse tab (Note: the "Freshman Only" preset filter in Reader displays all freshman applicants and previous admits in the current application period).

Each bin column represents a different phase of the application cycle, and generally, work flows from left to right:

- Pre-Review: Folders are incomplete, incorrectly coded, or withdrawn
- Reads: Folders are complete ("cleared") and ready for review by readers
- Committee: Folders are ready for discussion by committee



- Working Decision: Folders have been discussed by the committee and a decision has been recommended
- Final Decision: Decisions have been checked and confirmed; ready for decision release  
(**Note: Files should only be moved to final decision bins on Decision Day by the Slate team. Prior to Decision Day, files should remain in Working Decision bins.**)

### **CHANGING BIN ASSIGNMENTS**

Readers normally change a folder's bin assignment during the reading process using the Review Form in the Slate Reader. Occasionally it will be necessary to change a folder's bin assignment after the Review Form has been submitted. In these cases, the bin assignment can be changed in the Student Record. To edit a bin assignment in the Student Record, click the "Edit Application Details" tab on the right, and select the desired bin from the Bin dropdown menu.

### **CLEARING INCOMPLETES**

Readers should be sure to check the "Not Cleared" bin before each of their subcommittee code-out deadlines and then periodically before decisions are final to check for any cases that could be read with the materials in the file. Sometimes, transcripts may be in various tabs aside from the "SSR" tab. Readers should use their discretion or consult with their chairs but in general, a file that has an application and a transcript can be read and evaluated.

### **SPECIAL READINGS**

- WRF should see cases that could be particularly sensitive or controversial or that raise issues of fundamental policy. When in doubt, send the file on by routing to the 4<sup>th</sup> reader bin.
- Folders of competitive candidates who attended secondary school outside the U.S. and Canada may be passed on to the appropriate U, V or W docket area person or RMW if help in assessing foreign credentials is needed. **Be selective-** don't pass on a case unless you are sure the applicant is competitive or has some unusual attributes.
- A faculty readings memorandum will be distributed later regarding specific procedures.
- Supplemental music/art/dance/academic materials of clearly competitive candidates with an unusually strong talent may be assessed through a supplementary process - through Slideroom (for music and dance) or through the faculty read process (for art or academic work). Handling of this material will be addressed through memoranda over the course of the fall.

#### IV. OTHER ITEMS

- Slate is made up of data downloaded from the application and supplemental forms. We currently do not have the ability to enter all the information by hand for those applicants who do not submit their forms on-line. However, the data entry staff will enter the most critical bio/demo information as they have in the past. This means that the dockets will be correct, but the summary sheets for these applicants will be primarily blank. You should double-check the data that is important - i.e. parent education, ethnicity, aid status, etc. - basically every field that's on the summary sheet. About 1% of all our applicants will fall into this category.
- Acknowledgments to guidance counselors, teachers, and others: The area person may occasionally feel it worthwhile to acknowledge unusually helpful TRs and SSRs by writing a note to the author. The note should acknowledge that the candidate may or may not be admitted. **Supplementary letters of recommendation may have already been acknowledged with a card or letter, but if not, particularly with recommenders who are alumni or others about whom Harvard might be concerned, you should call the letter to the attention of MEM or WRF and an acknowledgment will be sent. This is important!**
- Support Materials: ALL manually submitted support material should be dropped into the appropriate basket in the mailroom for sorting and scanning.
- Misfiled and Missing materials: If a teacher report, school report or any other material that would be helpful to a competitive candidate is missing, first readers should request a copy be re-sent. Files should be sent on to other readers unless the missing pieces are crucial. In such cases, first readers should hold onto the file by routing the file to the "Area Person Follow Up" bin. Detailed instructions on how to add new materials to an applicant's file can be found in the "Documentation" tab of the Slate welcome page.
- File items that require attention: Unanswered letters should be handled by first readers where appropriate or others including MEM or WRF.

#### V. SCANNING AND INDEXING

There is a basket in the mailroom to collect and sort hard-copy documents received. The forms collected in these baskets should have content that is \*specific\* to the admission decision of the applicant and are marked as such - for example, mailed applications or supplements, letters of support, teacher reports, Harvard evaluation, (coach, arts, music, Harvard faculty), midyear reports, SSR's etc. We will scan almost everything. If that is not possible, an "oversized support" form will be scanned and added to the file to let you know there is material sitting in the bookcase in Conference Room 5.

Relevant emails to officers from applicants or about an applicant should be saved as a PDF file and indexed directly into the applicant file by the officer. To do so, go into the student record in Slate select the current round tab and scroll down to the “Materials” header. Click to add new material and make the appropriate selection from the drop-down menu. If you receive materials both electronically and in paper, you do not need to have the paper material scanned.

Documents displayed in the Reader are named by the document type that follows the menu down the left side of the Slate e-reader.

- Application (and supplement)
- SSR
- TRs
- Interviews
- Additional academic (additional transcripts, etc.)
- Midyear
- Final Report (potentially greyed out until admitted)
- Ratings Forms (includes IRFs)
- Miscellaneous (notes from family/friends, alums, correspondence, noting of oversized support, etc.)
- Waitlist
- Previous App
- Portfolio (NOTE: a tab in Slate we do not use at this time).