No. 20-1199

IN THE

Supreme Court of the United States

STUDENTS FOR FAIR ADMISSIONS, INC., Petitioner,

v.

PRESIDENT & FELLOWS OF HARVARD COLLEGE,

Respondent.

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

BRIEF OF 1,241 SOCIAL SCIENTISTS AND SCHOLARS ON COLLEGE ACCESS, ASIAN AMERICAN STUDIES, AND RACE AS AMICI CURIAE IN SUPPORT OF RESPONDENT

Liliana M. Garces Associate Professor^{*} College of Education The University of Texas at Austin 1912 Speedway, D5400 Austin, TX 78712 (512) 475-8574 Daniel Woofter Counsel of Record Erica Oleszczuk Evans GOLDSTEIN & RUSSELL, P.C. 7475 Wisconsin Ave. Suite 850 Bethesda, MD 20814 (202) 362-0636 dw@goldsteinrussell.com

* Affiliation listed for identification purposes only.

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INTEREST OF AMICI CURIAE¹

Amici curiae are 1,241 social scientists and scholars with doctoral degrees who have extensively studied education issues related to Asian Americans, college access, and race in postsecondary institutions and society.² Amici comprise researchers and scholars employed at 381 different colleges, universities, and other institutions and organizations across the United States. Their work extends across numerous fields and disciplines, including education, Asian American studies, sociology, anthropology, psychology, public policy, political science, and history. Many amici have been recognized with the highest national honors and awards in their field. Twenty-seven amici are members of the American Academy of Arts & Sciences, 32 are members of the National Academy of Education, 40 are fellows of the American Educational Research Association, and 70 are past or current presidents of national organizations, including the American Educational Research Association, the Association for the Study of Higher Education, and the Association for Asian American Studies.

Amici have a particular interest in providing the Court with social science research findings that address the educational judgments Harvard College considers in designing and implementing its whole-person review process. The brief draws on *amici*'s original

¹ The parties have filed blanket consent for the filing of *amicus curiae* briefs. Pursuant to Supreme Court Rule 37.6, counsel for *amici curiae* certifies that this brief was not written in whole or in part by counsel for any party, and that no person or entity other than *amici* or their counsel has made a monetary contribution to the preparation or submission of this brief.

² A list of *amici* is included in the Appendix.

research and their review of the literature, including the most extensive and up-to-date body of knowledge about how race-conscious admissions processes benefit Asian Americans. It is vital that the Court have the newest and most rigorous peer-reviewed research and statistical analyses when considering an issue that is so critical for the Nation's selective colleges and universities.

As scholars committed to policies and practices informed by research-based evidence, *amici* are deeply concerned by Petitioner's reliance on racial stereotypes and the myth of an Asian penalty; its excessive focus on limited measures of academic success that research has shown to be unreliable as isolated measures of merit; and specious manipulation of data to present an inaccurate and non-empirical argument. Ultimately, *amici* are concerned that the removal of race-conscious admissions will harm Asian American applicants.

SUMMARY OF ARGUMENT

Petitioner treats Asian Americans as a homogenous population, barely pausing to acknowledge the immense diversity within that group or the benefits that applicants of *all* races enjoy from Harvard's whole-person review process. Instead, Petitioner's arguments rely on stereotypes about students of color and the myth of an Asian penalty. In fact, Petitioner's approach would harm Asian American and other racial-minority applicants, because it would deny them the right to present their full selves in their applications and prevent admissions officers from having information that is necessary to counterbalance the racial biases that affect the application materials themselves. It is no surprise that Petitioner must rely on stereotypes of Asian Americans as well as manipulate its data, because as the district court correctly found after a lengthy trial, and the First Circuit correctly affirmed—relying in part on the research *amici* presented below—the data do not, in fact, evidence any racial discrimination. To the contrary, high-achieving Asian American applicants benefit from Harvard's individualized whole-person review because it treats each applicant as an individual and inhibits the influence of racial biases and assumptions. Harvard's approach is well-grounded in social science research, and the district court's factual findings are consistent with the social science data.

Harvard College could fill every incoming class with students who have perfect test scores or high school GPAs. But that is not the educational environment Harvard seeks to create. Instead, Harvard strives to prepare its students as "future leaders" in "an increasingly pluralistic society," "better educating its students through diversity" and "producing new knowledge stemming from diverse outlooks." Pet. App. 31, 59. The First Circuit correctly affirmed the district court's finding that Harvard's holistic race-conscious approach to admissions does not subject Asian American applicants to race-based discrimination. Petitioner expresses views rejected by the vast majority of Asian Americans on whose behalf Petitioner purports to speak.

ARGUMENT

I. Petitioner Advocates For An Admissions Process That Would Actively Harm Asian American Applicants.

Petitioner's arguments leverage racial stereotypes about Asian Americans as an undifferentiated whole, ignoring vast differences among the experiences of Asian American subgroups. In doing so, Petitioner's proposed alternative process would seriously harm Asian Americans who wish to attend selective colleges like Harvard.

Both courts below correctly found that Harvard does not discriminate against Asian Americans in its admissions policies. *See infra* pp. 21-27. Yet Petitioner continues to insist, without evidence, that Harvard does. That isn't just wrong, research shows that advocating such views creates groundless fears of racial discrimination in college admissions that, in addition to the harms described herein, inhibits identity development among Asian American students. *See* Yi-Chen Wu, *Admission Considerations in Higher Education Among Asian Americans*, Am. Psych. Ass'n (2012).³

A. Petitioner Promotes Racial Stereotypes About Asian Americans And Other Students Of Color.

Petitioner argues that Asian Americans "are substantially stronger" than other demographic groups "on nearly every measure of academic achievement, including SAT scores" and "GPA." Pet. Br. 72-73.

³ https://www.apa.org/pi/oema/resources/ethnicity-health/ asian-american/article-admission.

According to Petitioner, these "traits," as Petitioner characterized below, *see* Pet. C.A. Br. 36, mean Asian Americans "should be admitted at a *higher* rate" than other groups, Pet. Br. 72.

That assertion fundamentally rests on a racial stereotype about Asian Americans as a so-called "model minority." That stereotype advances the views that (1) Asian Americans are smarter and value education more than other groups and (2) other racial minorities do not value hard work and education. See, e.g., OiYan Poon et al., A Critical Review of the Model Minority Myth in Selected Literature on Asian Americans and Pacific Islanders in Higher Education, 86 Rev. Educ. Rsch. 469, 473-76 (2016); Yoon K. Pak et al., Asian Americans in Higher Education: Charting New Realities 16-17, 39-40 (2014). The model-minority myth ignores the historical and social forces that drive Asian American academic achievement and reinforces negative stereotypes about other racial minorities.

i. Selective immigration policies, not innate ability, explain key academic differences between Asian American and other racial and ethnic groups.

Contrary to what the model-minority stereotype implies, key historical and policy mechanisms—not innate ability or inherent cultural attitudes—account for differences in GPA and test scores between Asian Americans and other racial groups. Building on decades of scholarship in Asian American Studies to illuminate the historical and social origins of the Asian American educational achievement advantage, sociologists Jennifer Lee and Min Zhou provide strong evidence from quantitative and other sources of empirical data that Asian American academic achievement "cannot be explained by superior traits intrinsic to Asian culture or by the greater value that Asians place on education or success." Jennifer Lee & Min Zhou, *The Asian American Achievement Paradox* 7 (2015).

Instead, a strong body of research shows that Asian Americans' notable educational success (on average) is due to context, including immigration policies that select for highly educated immigrants from certain Asian countries. See, e.g., Jane Junn, From Coolie to Model Minority: U.S. Immigration Policy and the Construction of Racial Identity, 4 Du Bois Rev. 355, 362-65, 368 (2007). The "hyperselecti[on]" of immigrants from certain Asian countries explains why the typical immigrant admitted to the United States from China is much more likely to have a college degree than both the average U.S. resident and the average resident in China. The Asian American Achievement Paradox, supra, at 7, 20-30; Carlos Echeverria-Estrada & Jeanne Batalova, Chinese Immigrants in the United States, Migration Info. Source (Jan. 15, 2020).⁴ In contrast, the typical immigrant admitted to the United States from Mexico is *less* likely than the typical Mexican resident to hold a college degree. The Asian American Achievement Paradox, supra, at 29.

The selective immigration policies that contribute to Asian Americans' educational achievement differences extend prior to the 1965 amendments to the Immigration and Nationality Act, which ended Asian exclusion and created two immigration priorities: highly valued skills and family reunification. Pub. L. No. 89-

⁴ https://www.migrationpolicy.org/article/chinese-immigrants-united-states.

236, 79 Stat. 911 (1965); see also, e.g., Madeline Y. Hsu & Ellen D. Wu, "Smoke and Mirrors": Conditional Inclusion, Model Minorities, and the Pre-1965 Dismantling of Asian Exclusion, J. Am. Ethnic Hist., Summer 2015, at 43, 53-54; Jennifer Lee & Min Zhou, From Unassimilable to Exceptional: The Rise of Asian Americans and "Stereotype Promise," 16 New Diversities, no. 1, 2014, at 7, 10-13. Around the turn of the 20th Century, the United States began to carve out limited exceptions to its widespread formal exclusion of Chinese immigrants for Chinese university students. See Madeline Y. Hsu, The Good Immigrants: How the Yellow Peril Became the Model Minority 47-48 (2015). After 1965, the United States started recruiting highly educated, skilled immigrants from Asia in greater numbers than ever before through employment-based preferences. Arun Peter Lobo & Joseph J. Salvo, Changing U.S. Immigration Law and the Occupational Selectivity of Asian Immigrants, 32 Int'l Migration Rev. 737, 757-58 (1998). The majority of Asian American adults (71%) are foreign-born,⁵ and the vast majority of current Asian immigrants (of all legal statuses) arrived after 1990,⁶ when the numbers of visas based on occupational skills and education increased

⁵ Abby Budiman & Neil G. Ruiz, *Key Facts About Asian Americans, a Diverse and Growing Population*, Pew Rsch. Ctr. (Apr. 29, 2021), https://www.pewresearch.org/fact-tank/2021/04/29/ key-facts-about-asian-americans/.

⁶ Mary Hanna & Jeanne Batalova, *Immigrants from Asia to the United States*, Migration Pol'y Inst. Migration Info. Source (Mar. 10, 2021), https://www.migrationpolicy.org/article/immigrants-asia-united-states-2020.

over past years.⁷ In 2020, China and India alone accounted for more than 85% of all H1-B visa grantees,⁸ and of new legal permanent residents, those from Asia were the most likely to be granted permanent residence through employment-based preferences, Immigrants from Asia to the United States, supra, fig.8. Further, most international student visas now go to Asian immigrants. Neil G. Ruiz, Glob. Cities Initiative, The Geography of Foreign Students in U.S. Higher Education: Origins and Destinations 10 (Aug. 2014). While family-based preferences remain the main pathway to U.S. entry for all immigrants, it is not difficult to see how the selective recruitment of Asian immigrants via visas reserved for those with high levels of education allows for those same immigrants to sponsor, through family-based immigration, relatives who likely share similar educational characteristics.

The United States' hyper-selective recruitment of certain Asian immigrants, particularly Chinese and Indians—the two largest Asian groups—challenges the stereotype that the success of Asian Americans in the United States is due to innate intellect or ingrained cultural characteristics. If that were true, we would expect to see the same kinds of educational achievement in Asia as in the United States. We do not. In 2015, more than 50% of Chinese immigrants in the United States had a bachelor's degree but only 4%

⁷ Muzaffar Chishti & Stephen Yale-Loehr, Migration Pol'y Inst., *The Immigration Act of 1990: Unfinished Business a Quarter-Century Later* 2 (2016).

⁸ U.S. Citizenship & Immig. Servs., *Characteristics of H-1B* Specialty Occupation Workers 8 (2021), https://www.uscis.gov/ sites/default/files/document/reports/Characteristics_of_Specialty _Occupation_Workers_H-1B_Fiscal_Year_2020.pdf.

of adults in China did. Jennifer Lee, From Undesirable to Marriageable: Hyper-Selectivity and the Racial Mobility of Asian Americans, Annals Am. Acad. Pol. & Soc. Sci., Nov. 2015, at 79, 82. Similarly, although approximately 70% of Indian immigrants in the United States have a bachelor's degree, less than 15% of college-aged adults in India enroll in college. Rema Nagarajan, Only 10% of Students Have Access to Higher Education in Country, Times of India (Jan. 5, 2014);⁹ Pew Rsch. Ctr., The Rise of Asian Americans 25 (Apr. 4, 2013). Asian Americans' educational achievement traces to U.S. immigration policies and other contextual factors, not to inherent qualities tied to race.

ii. The academic metrics Petitioner promotes are not the objective measures that Petitioner claims them to be.

While the model-minority stereotype has serious documented downsides, the presumed academic competence it ascribes to Asian Americans may artificially boost the academic performance of many Asian American students, while doing the opposite for members of other racial minorities. *See Unassimilable to Exceptional, supra*, at 9, 16-19. Although all stereotypes are harmful, Asian Americans are the only group able to leverage a stereotype into "symbolic capital" when it comes to education: "The positive perceptions of Asian American students by their teachers, guidance counselors, and school administrators manifest as a form of symbolic capital that positively affects the grades they

⁹ https://timesofindia.indiatimes.com/home/education/news/ only-10-of-students-have-access-to-higher-education-in-country/ articleshow/28420175.cms.

receive, the extra help they are offered with their coursework, and the encouragement they receive when they apply to college." *The Asian American Achievement Paradox, supra*, at 118. Asian Americans are more likely to be placed in AP classes and special programs for the gifted, which are "invaluable institutional resources that are not equally available to all students," especially to Latinx and Black students. *Id.* at 116. In addition, "stereotype promise" can spur Asian American students to perform at higher levels than they would without the positive views and support of parents, relatives, and teachers. *Ibid.* Test scores and grades alone paper over these social and historical forces, disguising positive bias attributed to race as individual effort and merit.

Harvard's academic rating is not the bias-free, "objective" score that Petitioner would have this Court believe. Pet. Br. 15. In fact, Petitioner's own analysis shows that academic and extracurricular ratings that Harvard gives Asian American applicants are *stronger* than expected based on Petitioner's model. Yet Petitioner "doesn't think" this "positive correlation between Asian American identity and Harvard's academic rating" is "because of race," instead attributing the difference to "unobservable factors" without any empirical reason to do so, while at the same time insisting that any "negative correlation between Harvard's personal rating and Asian American ethnicity" is necessarily the result of racial bias. Pet. App. 87-88 n.38 (quoting Petitioner's expert; emphasis added). This is one reason Harvard's admissions officers must be allowed to consider an applicant's race: The academic ratings themselves—and the underlying academic data—may reflect biases that align with the model-minority stereotype and "stereotype promise."

Although grades and standardized test scores may appear more objective, a large body of research shows that neither is a fair and impartial measure of academic talent. Data from the organizations that sponsor standardized admissions tests show that scores are in large part a reflection of parental education and family income. Coll. Bd., 2017 SAT Suite of Assessments Annual Report, Total Group 3 (2017); Krista Mattern et al., ACT, Inc., ACT Composite Score by Family Income 1 (2016); see also Greg J. Duncan & Richard J. Murnane, Growing Income Inequality Threatens American Education, Kappan Mag., Mar. 2014, at 8, 10. Asian Americans as a group do well on these measures because on average they are the ethnic group that exhibits the highest group levels for educational access, parental education, and income. The *Rise of Asian Americans, supra*, at 2. Although it is not true of all Asian American subgroups or all applicants within advantaged groups, Asian American applicant files, including teacher recommendations, may emphasize these students' academic strengths and especially STEM intellectual interests, more so than for other applicants. See Brian Heseung Kim, Applying Data Science Techniques To Promote Equity and Mobility in Education and Public Policy 137 (May 2022) (Ph.D. dissertation, University of Virginia) (on file with author).

Perhaps acknowledging the flaws of tests like the SAT and ACT, more than 1,000 accredited institutions of higher education announced that they would not require standardized tests as part of their admissions practices, even before the height of the COVID-19 pandemic.¹⁰ That number has nearly doubled since.¹¹ This trend recognizes the limitations of such tests as measures of academic potential among prospective students. *See, e.g.*, Kelly Rosinger, *Toppling Testing? COVID-19, Test-Optional College Admissions, and Implications for Equity*, Third Way (Sept. 2, 2020).¹²

Teachers' assessments of students, too, are subject to racial biases, which affect GPAs. Scholarship on implicit bias shows that teachers have higher expectations for white and Asian American students than for Black and Latinx students. See generally Harriet R. Tenenbaum & Martin D. Ruck, Are Teachers' Expectations Different for Racial Minority Than for European American students? A Meta-Analysis, 99 J. Educ. Psych. 253 (2007). A study of more than 10,000 high school sophomores and their teachers found that math and English teachers dramatically underestimated the academic abilities of Black and Latinx students with similar test scores and homework completion as their white peers, and that those lower expectations affected student outcomes, including GPA. Hua-Yu Sebastian Cherng, If They Think I Can: Teacher Bias and

¹⁰ FairTest, More Than 1080 Accredited Colleges and Universities That Do Not Use ACT/SAT Scores to Admit Substantial Numbers of Students into Bachelor-Degree Programs (Current as of Winter 2019 – 2020), https://tinyurl.com/ywcf98mp (archived link).

¹¹ FairTest, 1,835+ Accredited, 4-Year Colleges & Universities with ACT/SAT-Optional Testing Policies for Fall, 2022 Admissions (Current as of May 15, 2022), https://www.fairtest.org/university/optional.

¹² https://www.thirdway.org/report/toppling-testing-covid-19-test-optional-college-admissions-and-implications-for-equity.

Youth of Color Expectations and Achievement, 66 Soc. Sci. Rsch. 170, 179-80, 179 tbl.6 (2017).

iii. Petitioner leverages negative stereotypes about other students of color.

Importantly, by relying on positive stereotypes of Asian Americans' educational abilities and values, Petitioner leverages negative stereotypes about Black and Latinx students' educational abilities and values. By assuming that higher average standardized test scores and grades among Asian Americans result from unique cultural attitudes toward education, Petitioner implies that the lower average scores of other racial minorities reflect cultures that place a lower value on education. This implication capitalizes on documented racial stereotypes.

To the contrary, research shows that a larger percentage of Latinx and Black students than their white peers believe a college degree is necessary for success. Renee Stepler, *Hispanic, Black Parents See College Degree as Key for Children's Success*, Pew Rsch. Ctr. (Feb. 2016);¹³ Ronald Brownstein, *White People Are Skeptical About the Value of a College Degree*, Atlantic (Nov. 7, 2013).¹⁴ Indeed, according to a survey of Americans ages 18 and older, Black respondents (41%) were more likely than Asian respondents (36%) to "strongly agree" that an education beyond high school offers a good return on investment. Rachel Fishman et al.,

 $^{^{13}}$ https://www.pewresearch.org/fact-tank/2016/02/24/hispanic-black-parents-see-college-degree-as-key-for-childrens-success/.

¹⁴ https://www.theatlantic.com/education/archive/2013/11/ white-people-are-skeptical-about-the-value-of-a-college-degree/281238/.

New Am., Varying Degrees 2020, Explore the Data, Value.¹⁵ Nevertheless, racial biases that attribute a lack of individual effort, rather than structural racial inequality, as the reason for Black and Latinx individuals' disadvantage, persist. Race-conscious admissions policies are critical for overcoming those entrenched biases. See infra pp. 18-21.

Even were it the case that the academic measures Petitioner emphasizes were free from bias—and they are not—Petitioner argues that the greater an applicant's past academic success (assessed by limited metrics), the greater their chance of admission to Harvard *should be*. But that argument assumes that *Petitioner's* view of which individual qualities Harvard should value in the admissions process should prevail over *Harvard's* view. Harvard, however, seeks "to educate the citizenry and citizen leaders" of tomorrow, Pet. App. 29-31, and it seeks to do so by choosing *among the thousands of academically qualified applicants* to build a diverse community of individuals who will learn from and challenge each other, *id.* at 131-32.

B. Petitioner's Excessive Focus On Numerical Measures Ignores Vast Differences In Experiences Of Asian American Applicants.

Petitioner unduly emphasizes the fact that, on average, Asian Americans exhibit higher academic scores than other racial groups. But mean scores conceal variation, including vast differences in test score

¹⁵ https://www.newamerica.org/education-policy/reports/varying-degrees-2020/explore-the-data/ (last updated June 24, 2020) (select "Race" in "Show breakdown by demographic" dropdown menu).

averages among ethnic subgroups, let alone between individuals. "Asian Americans come from all walks of life. Some are doctors or lawyers; others work in restaurants or nail salons." Asian Am. Ctr. for Advancing Just., A Community of Contrasts: Asian Americans in the United States: 2011, at 2; see also AAPI Data, State of Asian Americans, Native Hawaiians, and Pacific Islanders in the United States (June 2022). Although "[m]any were born in the United States; most are immigrants from many countries, including Bangladesh, Burma, Cambodia, China, India, Indonesia, Japan, Korea, Laos, Malaysia, Nepal, Pakistan, the Philippines, Sri Lanka, Taiwan, Thailand, and Vietnam." *Community of Contrasts, supra*, at 2.

Petitioner's assertion that Harvard's whole-person review discriminates against "Asians" fails to acknowledge that many Asian American subgroups do not demonstrate the high academic ratings assumed by such a claim. As a recent demographic report makes clear, while 56% of Chinese, 75% of Indian, and 80% of Taiwanese adults in the U.S. over age 25 hold at least a Bachelor's degree, less than 25% of Asian Americans over 25 of Cambodian, Burmese, Hmong, and Bhutanese origin have completed college. State of Asian Americans, Native Hawaiians, and Pacific Islanders in the United States, supra, at 49 fig.23. Even among Asian Americans who do attend college, a large proportion (47.3%) attend community colleges, contrary to the common racial stereotype suggesting that Asian Americans primarily attend elite private colleges. Julie J. Park & Amanda E. Assalone, Over 40%: Asian Americans and the Road(s) to Community Colleges, 47 Cmty. Coll. Rev. 274, 275 (2019). Asian Americans who do not fit Petitioner's stereotype of the model minority benefit from holistic review that allows them to tell their whole story, including how their personal experiences differ from others in the varied Asian American community.

Asian Americans not only differ greatly with regard to educational attainment, they are also "the most economically divided racial or ethnic group in the [United States]," displaying the largest degree of within-group income inequality. Rakesh Kochhar & Anthony Cilluffo, Key Findings on the Rise in Income Inequality Within America's Racial and Ethnic Groups, Pew Rsch. Ctr. (July 12, 2018).¹⁶ A natural consequence of such a wide range of family income levels is an equally large disparity in educational opportunities and achievement. Studies show, for example, that many Asian Americans who have roots in Southeast Asia (*i.e.*, Cambodians, Hmong, Laotians, and Vietnamese) and who trace their family's arrival in the United States to wartime displacement have comparatively low rates of college entry and completion. State of Asian Americans, Native Hawaiians, and Pacific Islanders in the United States, supra, at 49 fig.23. Hmong American students in particular continue to experience one of the lowest education-attainment rates among Asian Americans. See Rican Vue, Trauma and Resilience in the Lives and Education of Hmong American Students: Forging Pedagogies of Remembrance with Critical Refugee Discourse, 24 Race Ethnicity & Educ. 282, 283 (2021). Hmong students, the research shows, experience invisibility when Asian

¹⁶ https://www.pewresearch.org/fact-tank/2018/07/12/key-findings-on-the-rise-in-income-inequality-within-americas-racial-and-ethnic-groups/.

Americans are assumed to be a homogenous group, as Petitioner's arguments presuppose. Rican Vue, Visibility, Voice, and Place: Hmong American College Student-Initiated Organizing as Creative Praxis, 62 J. Coll. Student Dev. 276, 276-90 (2021). These educational experiences stand in stark contrast to the educational achievement rates of Asian Americans with roots in China and India, who display relatively high rates of college entry and completion. State of Asian Americans, Native Hawaiians, and Pacific Islanders in the United States, supra, at 49 fig.23.

Numbers on a test or summarized in a GPA cannot fully capture the experience of an individual, nor their potential to contribute to an educational community. Within the large group of academically qualified applicants, Harvard is entitled to ask, for example, whether a student with a 4.2 GPA who searched for opportunities to take advanced math at a community college might have more to contribute to the Harvard community than a student with a 4.5 GPA who did not. Many Asian American applicants with less than perfect test scores or high school GPAs often appear more likely to make important contributions to the campus community than those who have higher academic numbers. These applicants benefit from holistic-review processes like Harvard's. Select quantifiable measures alone do not offer full, reliable, or valid measures of the diversity of achievements among the myriad talented applicants to Harvard.

Petitioner errs in treating Asian American applicants to Harvard as a homogeneous block of high academic achievers from similar socioeconomic circumstances. Although it disclaims doing so, Petitioner's laser focus on statistical analyses that combine all Asian American subgroups together fails to account for the varying rates of admission among them. A whole-person review process like Harvard's allows a school to account for the diverse range of unique experiences—including how race shaped a person's experienceamong Americans of all races and backgrounds. There is no sound reason to ignore the equally diverse range of experiences within the group of Asian American applicants that Petitioner purports to speak for. Compare infra pp. 33-34 (most Asian Americans support admissions practices like Harvard's). Differences in educational and economic opportunity, in social and familial circumstances, and in personal experiences of discrimination all inform a complete understanding of an individual applicant's academic and nonacademic achievements. By employing a system that accounts for such differences on an individual level, Harvard is able to view each applicant's talents, achievements, experiences, perspectives, and potential within the context of the applicant's broader life experience-and to more accurately assess the contributions each applicant would likely make to the undergraduate population and experience.

C. Failing To Consider Race As One Of Many Factors In Admissions Would Harm Asian American Applicants.

"Removing considerations of race and ethnicity from Harvard's admissions process entirely," the district court found, "would deprive applicants, including Asian American applicants, of their right to advocate the value of their unique background, heritage, and perspective and would likely also deprive Harvard of exceptional students who would be less likely to be admitted without a comprehensive understanding of their background." Pet. App. 246. Such a restriction would limit the ability of colleges and universities to build a truly diverse class of students and "to pursue the educational benefits that flow from student body diversity." *Fisher v. Univ. of Tex.*, 579 U.S. 365, 376 (2016) (quotation marks omitted).

Petitioner's contention that the *only* way to mitigate such biases is to remove race as a consideration from Harvard's admissions process defies logic. Eliminating any awareness of race in admissions would only *perpetuate* the biases described above. See Liliana M. Garces & Courtney D. Cogburn, Beyond Declines in Student Body Diversity: How Campus-Level Administrators Understand a Prohibition on Race-Conscious Postsecondary Admissions Policies, 52 Am. Educ. Rsch. J. 828, 849-55 (2015); Elise C. Boddie, Critical Mass and the Paradox of Colorblind Individualism in Equal Protection, 17 U. Pa. J. Const. L. 781, 781-83, 790-803 (2015); Jeffrey F. Milem et al., Making Diversity Work on Campus: A Research-Based Perspective iv (2005).¹⁷

Petitioner's presumption is clearly incorrect—removing any consideration of race would not result in more Asian American students being admitted across the board. Rather, doing so would result in displacing Asian American students at a higher rate than non-Asian American students who have lower median test scores. Research shows that by practicing admissions using Petitioner's preferred approach, "certain students currently attending the most selective colleges would not have been admitted: 21 percent of Asian

¹⁷ https://web.stanford.edu/group/siher/AntonioMilemChang_makingdiversitywork.pdf.

American students as well as 39 percent of non-Asian American students would be displaced and their seats would be given to students who had higher test scores." Anthony Carnevale & Michael C. Quinn, Georgetown Univ., *Selective Bias* 23 (2021).¹⁸ And on average, according to this study, "the Asian American students who would be displaced have higher median test scores than non-Asian American students who would be displaced." *Ibid*.

Perhaps more insidious, though, removing Harvard's limited consideration of race as one of many factors would deny Harvard's admissions officers the ability to account for structural racial biases in schooling. Social science research-and common sense-overwhelmingly indicates that few aspects of any child's educational journey remain untouched by racial biases, which are all too common and can have devastating effects. Brian Kim, for example, found that teachers' letters of recommendation contain more positive sentences when written for white applicants than for Black and Asian American applicants. Applying Data Science Techniques To Promote Equity and Mobility in Education and Public Policy, supra, at 137-39. Those content differences seem to be largely influenced by students' access to, and involvement in, specific activities, coursework, and opportunities from other parts of the educational pipeline. See generally ibid. Supposedly neutral recommendation letters seem to reify other disparities in education, which are themselves affected by racial biases and race-linked opportunities

¹⁸ https://repository.library.georgetown.edu/bitstream/handle/ 10822/1062947/cew-selective-bias-fr.pdf?sequence=1&isAllowed=y.

from preschool onward. Unless admissions officers are aware of this and thus able to effectively account for it in reviewing applicant files, the file materials are poised to magnify the effects of race-based disparities that affect an applicant's submissions.

II. The First Circuit Correctly Affirmed The District Court's Finding That There Is No Evidence Of Discrimination Against Asian Americans.

Magnifying Petitioner's reliance on the harmful stereotypes outlined above, Petitioner also relies on misleading characterizations of Harvard's use of a "personal rating" as a tool for enabling discrimination. In fact, the data do not support that conclusion, and Petitioner refuses to recognize that the purpose of the personal rating is to take account of the full range of assets a student may contribute to the campus community. Although news outlets have mischaracterized the personal rating as a "personality" rating, see, e.g., Anemona Hartocollis, Harvard Rated Asian-American Applicants Lower on Personality Traits, Suit Says, N.Y. Times, June 16, 2018, at A1-something Petitioner's counsel has also done in this case—it is not an assessment of how sparkling or drab an applicant's personality is. Far from it.

A. There Are Nondiscriminatory Reasons For Differences Among Average Personal Ratings.

Petitioner relies on an observed negative statistical correlation between Asian American identification and assigned personal ratings, arguing that the only possible explanation for that correlation is intentional anti-Asian discrimination by Harvard's 40-member admissions committee. Pet. Br. 73. Petitioner's conclusion has no basis in logic, to say nothing of social science research or data, which offer explanations for differences among average personal ratings across different racial groups. Relying on that research, which *amici* presented to the court below, the First Circuit correctly affirmed the district court's intensely factual finding that "when controlling for a number of other factors, race" is merely "correlated with the personal rating," but does not necessarily "influence[] the personal rating." Pet. App. 87-89.

i. Asian Americans are more likely to attend public high schools, where larger workloads can prevent staff from writing strong recommendation letters.

The district court found that "[a]t least a partial cause of the disparity in personal ratings between Asian Americans and white applicants appears to be teacher and guidance counselor recommendations. with white applicants tending to score slightly stronger than Asian Americans on the school support ratings." Pet. App. 173; id. at 188-89. The court explained that "teacher and guidance counselor recommendation letters are among the most significant inputs for the personal rating"-and that "apparent race-related or race-correlated difference[s] in the strength of guidance counselor and teacher recommendations" are "significant" in understanding any observed disparity in personal-rating trends. Id. at 192-93. The First Circuit correctly held that "the district court did not clearly err," in part because Petitioner's statistical expert did not "control[] for" "factors external to Harvard" that "correlate with race" and "affect the personal rating." *Id.* at 89-90.

Amici's data show that racial differences in high school enrollment patterns can help explain the difference in recommendations and in average personal ratings. "Among Ivy League applicants, Asian Americans are more likely to attend public schools where the counselor to student ratios are usually quite large, possibly resulting in less personalized or enthusiastic recommendations from counselors." Julie J. Park & Sooji Kim, *Harvard's Personal Rating: The Impact of Private High School Attendance*, 30 Asian Am. Pol'y Rev., Oct. 2020.¹⁹ Although only 56% of white applicants to hyper-selective universities like Harvard attended public high schools, 75% of Asian Americans with elite university aspirations did. *Ibid*.

Because counselors and teachers at large public high schools have heavier workloads than their counterparts at private high schools, they have less time to offer in-depth letters of recommendation for each student. Robert T. Teranishi, Asians in the Ivory Tower: Dilemmas of Racial Inequality in American Higher Education 78-79 (2010); Ashley B. Clayton, Helping Students Navigate the College Choice Process: The Experiences and Practices of College Advising Professionals in Public High Schools, 42 Rev. Higher Educ. 1401, 1404-05 (2019). In private high schools, the student-toteacher ratio is 11.9 to 1; in public schools, it is 16.2 to 1. Ke Wang et al., U.S. Dep't of Educ., School Choice in the United States: 2019, at 20 (2019).²⁰ And as the

¹⁹ https://aapr.hkspublications.org/2020/10/04/harvards-personal-rating-the-impact-of-private-high-school-attendance/.

²⁰ https://nces.ed.gov/pubs2019/2019106.pdf.

National Association for College Admissions Counseling stated in 2019, "48 percent of private schools reported that they employed at least one counselor (fullor part-time) whose sole responsibility was to provide college counseling for students, compared to only 29 percent of public schools." Melissa Clinedinst, Nat'l Ass'n for Coll. Admission Counseling, 2019 State of College Admission 19 (2019).²¹ The "counseling staff at private schools spent an average of 31 percent of their time on college counseling, while counselors at public schools spent only 19 percent of their time on that task." Ibid.

The smaller average workload for teachers and counselors at private schools allows them to spend more time drafting letters of recommendation with greater depth than their counterparts in public schools. In turn, higher quality letters from private schools make it more likely that private school students—who are less likely to be Asian American—will receive higher school support ratings, which are key to Harvard's assignment of personal ratings. *See* Pet. App. 173, 189-92.

None of this accounts for the likelihood that even unintentional racial bias, too, likely affects how teachers and counselors write the recommendations. The "district court's reasoning does not itself imply that teachers and guidance counselors are racially biased and," the First Circuit concluded, "should not be so understood." Pet. App. 92 n.41. Research shows however that Asian American students "are slightly less likely than" otherwise similarly situated white students "to

²¹ https://www.nacacnet.org/globalassets/documents/publications/research/2018_soca/soca2019_all.pdf.

have positive statements about them in their letters." Applying Data Science Techniques To Promote Equity and Mobility in Education and Public Policy, supra, at 139. In fact, Asian American students "receive less positive letters than [w]hite students do from the same teacher, even conditional on having the same observable characteristics," indicating that "the differences in letter positivity ... observe[d] for Asian students are primarily happening at the individual teacher level, rather than the result of sorting to different teachers." Id. at 140. The potential for implicit bias is yet an additional reason why it is critical that admissions officers at Harvard be able to consider an applicant's race. See supra pp. 18-21.

ii. Asian Americans are more likely to apply to highly selective colleges like Harvard.

Differences in application patterns can also explain the marginal differences in personal ratings. Asian American students are more likely than students of other racial and ethnic groups to apply to highly selective universities. Brian P. An, The Relations Between Race, Family Characteristics, and Where Students Apply to College, 39 Soc. Sci. Rsch. 310, 317 (2010); see Pet. App. 207-08. Asian American students, particularly those from high- and middle-income families, are more likely to apply to more colleges than the national population. See Mitchell J. Chang et al., Beyond Myths: The Growth and Diversity of Asian American College Freshman, 1971-2005, at 16 (2007). And recent research shows that over 60% of Asian American college applicants' "first-choice college was a highly selective, four-year institution, which was 1.6 times higher than that of white students, about 2.6 times higher than [Black] students, and about twice as high as Latinx students." Michael Bastedo & Sooji Kim, Who Gets Their First Choice? Race and Class Differences in College Admissions Outcomes 4 (2020).²² Among those Asian American applicants, aspirations of attending highly selective four-year institutions differ by ethnicity: Among the students surveyed in the High School Longitudinal Study in 2009, over 71% of Chinese Americans and over 66% of South Asian Americans applied to highly selective four-year institutions as their first choice, while less than 50% of Filipino Americans and about 37% of Southeast Asian Americans did so. *Id.* at 3, 12 tbl.11.

Moreover, research shows that Asian American applicants, especially those who identify as East Asian, are more likely than white applicants to prefer being a lower-performing student in a higher-status university than to be a higher-performing student in a lower-status university. See Kaidi Wu et al., Frogs, Ponds, and Culture: Variations in Entry Decisions, 9 Soc. Psych. & Personality Sci. 99, 101 (2018). Asian Americans may also be more likely than other students to fill out an application to Harvard even if Harvard may not be the best fit-the cross-section of Asian American students who apply to Harvard is likely to be materially different from the cross-section of applicants of other ethnicities. See Julie J. Park, Race on Campus: Debunking Myths with Data 90-91 (2018). Because a materially disproportionate number of Asian American students apply to Harvard every year, it is no surprise that many of them—like many high

²² http://www-personal.umich.edu/~bastedo/papers/ BastedoKim.AERA2020.pdf.

achieving students of all races and ethnicities—do not receive the highest possible personal rating at Harvard, which rejects more than 95% of applicants every year.

B. The Personal Rating Benefits All Students By Capturing The Diversity Of Their Experiences.

Consistent with the research and data, the district court credited trial evidence that Harvard admissions officers do not consider race when assigning a personal rating, and the First Circuit correctly concluded that the district court did not clearly err in so finding. See Pet. App. 89. Admissions committee members review applicant files containing myriad data—including personal statements, teacher and counselor recommendation letters, and notes from interviews-to assign a personal rating that acknowledges an applicant's perspectives, interests, and talents that are not fully represented in other ratings. The personal rating reflects a range of qualities that are vital in determining an applicant's potential to succeed and contribute while at Harvard and beyond-such as persistence in overcoming adversities, personal commitment to community, and potential for future growth. The personal rating also allows Harvard's admissions committee to account for the diversity of students' academic and career interests. See, e.g., id. at 125, 190-91; JA1419; JA668-70.

Trial testimony illustrated how Asian American applicants benefit from Harvard's approach to the personal rating. Harvard students Thang Diep and Sally Chen both testified and placed their Harvard applications into evidence. C.A. J.A. 2673-92, 2729-46. Each demonstrated academic qualification and highlighted their Asian American identities. Id. at 2676-77, 2679-80, 2733-37. Thang opened his personal statement by explaining that he was "no longer ashamed of [his] Vietnamese identity" because his high school "program allowed [him] to embrace it." Id. at 2679. Thang's identity, experiences, and leadership in confronting racism as a low-income Vietnamese American immigrant were central to his successful application, even though his SAT score was "on the lower end of the Harvard average." Id. at 2679-81. Sally Chen similarly did not have test scores stellar enough for her high school counsellor to encourage her to apply to Harvard-but her admissions file noted that her Chinese American cultural background and engagements *contributed* to her sense of "responsibility to advoca[te]" and "speak[] up," and bolstered her "Personal Qualities Rating." Id. at 2736-38. She testified that she "appreciated the ways in which [her] admissions reader saw what [she] was trying to say when [she] was talking about the significance of growing up in a culturally Chinese home." Ibid. Petitioner would have this Court deprive Asian American students like Thang and Sally of the opportunity to attend a college like Harvard, by proscribing admissions officers from considering at all the racialized experiences that contextualize their application materials.

III. The First Circuit Correctly Concluded That Harvard's Whole-Person Review Is Narrowly Tailored To Meet A Compelling Interest.

Every year, the number of academically qualified applicants who seek admission to Harvard's freshman class exceeds by tens of thousands the number of available slots. As the district court found after a lengthy trial, Harvard, in choosing among that vast pool of well-qualified applicants, "engages in a highly individualized, holistic review of each applicant's file," and "its 'race-conscious admissions program adequately ensures that all factors that may contribute to student body diversity are meaningfully considered alongside race in admissions decisions." Pet. App. 242 (quoting *Grutter v. Bollinger*, 539 U.S. 306, 337 (2003)); see id. at 68 (First Circuit holding that district court's factfinding "supported" its conclusion).

In doing so, Harvard treats "each applicant as an individual, and not simply as a member of a particular racial group." *Parents Involved in Cmty. Schs. v. Seattle Sch. Dist. No. 1*, 551 U.S. 701, 722 (2007). The entire Harvard community benefits from that whole-person approach to admissions—including Asian American students and applicants.

A. Harvard's Whole-Person Review Furthers Its Compelling Educational Mission.

The First Circuit correctly held that Harvard's holistic review process furthers its compelling interest in assembling a diverse student body that will learn from and challenge each other while creating a pluralistic environment in which "to educate the citizens and citizen-leaders for our society." Harvard Coll., Mission, Vision, & History;²³ see Pet. App. 29-30. Critical to that mission is providing students with "a diverse living environment, where students live with people who are studying different topics, who come from different walks of life and have evolving identities," so that

²³ https://college.harvard.edu/about/mission-vision-history (last visited July 29, 2022).

students may "deepen[]" their "intellectual transformation" and "create[]" "conditions for social transformation." Mission, Vision, & History, *supra*.

In service of its mission, Harvard employs a robust process of whole-person review that permits students, including individual Asian Americans, to demonstrate the *full range* of contributions each applicant can make to Harvard's educational environment. Even when assessing an applicant's academic potential, Harvard does not limit itself to considering narrow metrics of academic achievement like high school grades and test scores. Harvard also considers teacher and counselor recommendations, submitted student work, the relative academic strength of an applicant's high school, the types of classes an applicant took in high school, and academic and career interests, among other factors. Pet. App. 13-14, 17-19.

Because previous academic achievement alone is a necessary, but insufficient, requisite for admission to further Harvard's mission, Harvard also considers an applicant's personal and family history, non-academic achievements, personal goals, and any other available information that would inform a full assessment of how each applicant can contribute to the Harvard community. Pet. App. 17-20.

Research demonstrates the benefits of Harvard's holistic approach, which assesses an applicant's individual characteristics in light of "environmental factors such as socioeconomic background, racial identity, and school and family context that have shaped a student's academic and extracurricular achievements." Michael N. Bastedo et al., *What Are We Talking About When We Talk About Holistic Review? Selective College* Admissions and Its Effects on Low-SES Students, 89 J. Higher Educ. 782, 793 (2018). Such a contextual consideration of each applicant's achievements permits admissions officers to "contemplate[] how applicants maximize available educational offerings and push themselves academically within their unique contexts." Ibid. As one admissions officer who participated in that research explained, "it is impossible to understand the achievements of a student without also understanding the various external influences-school setting, socioeconomic status, ethnic background, geographic background, and family background-that have contributed to his or her journey." Ibid. Petitioner's approach "over emphasizes grades and test scores and undervalues other less quantifiable qualities and characteristics that are valued by Harvard and important to the admissions process." Pet. App. 69 (quoting Pet. App. 181).

B. Harvard's Whole-Person Review Benefits Asian American Applicants Given Their Extremely Diverse Experiences.

Research shows that Asian Americans greatly benefit from Harvard's whole-person review, even when (wrongly) treating Asian Americans as a monolith as Petitioner does. Holistic-review practices like Harvard's can increase the odds of admission for Asian Americans at elite universities, while also maintaining high academic metrics of achievement, as well as socioeconomic and racial diversity, within an admitted class. Michael N. Bastedo et al., *Information*

Dashboards and Selective College Admissions: A Field Experiment 3 (2017).²⁴

Harvard's statistics confirm those social science findings. Even among the subset of applicants Petitioner focuses on-non-ALDC (athletics, lineage, dean/director lists, and children of faculty/staff) applicants—for the years under review in this case, Asian American applicants were admitted at a higher rate (5.15%) than white applicants (4.91%). Dist. Ct. Doc. 419-33 ¶¶ 70-71 & Ex. 7; Dist. Ct. Doc. 420 ¶ 229; Dist. Ct. Doc. 414-2 ¶ 638. And the proportion of Asian Americans in each admitted class at Harvard increased by 29% in the decade leading up to the years under review. Dist. Ct. Doc. 420 ¶ 113; see also Pet. App. 207-08. Petitioner's allegation of intentional discrimination against Asian Americans—who are 6% of the U.S. population, over 25% of students admitted to Harvard's incoming class, and nearly 30% of enrolled students—lacks a basis in common sense as well as evidentiary support. U.S. Census Bureau, Quick Facts, Population Estimates (2021);²⁵ Harvard Coll., Admissions Statistics;²⁶ see also Pet. App. 113, 207-08, 264. Those statistics and research indicate that Asian American applicants benefit from Harvard's wholeperson review. The fact that Asian American applicants benefit from Harvard's whole-person review is surprise-because individual Asian America no

²⁴ http://www-personal.umich.edu/~bastedo/papers/ ASHE2017.paper.pdf.

²⁵ https://www.census.gov/quickfacts/fact/table/US/ PST045217 (last visited July 29, 2022).

²⁶ https://college.harvard.edu/admissions/admissions-statistics (last visited July 29, 2022).

applicants come from a diverse set of backgrounds and experiences. *See supra* pp. 14-18.

C. A Large Majority Of Asian Americans Support Race-Conscious Admissions Policies.

Although Petitioner purports to speak for Asian Americans, its position misrepresents and subverts the views of Asian Americans.

Multiple surveys conducted between 2001 and 2020 of Asian American adults in at least five different national-origin groups have asked whether race-conscious admissions measures are good or bad for Asian Americans or whether the respondents support such programs. And each of those surveys has revealed strong support for such programs among Asian Americans—support ranging from 61% to 70%. Jennifer Lee et al., Asian American Support for Affirmative Action Increased Since 2016, AAPI Data (Feb. 4, 2021); AAPI Data, Inclusion, Not Exclusion: Spring 2016 Asian American Voter Survey A25; AAPI Data, An Agenda for Justice: Contours of Public Opinion Among Asian Americans 8-9 (2014); Nat'l Asian Am. Survey, Where Do Asian Americans Stand on Affirmative Action? (June 24, 2013);²⁷ Pei-te Lien et al., The Politics of Asian Americans: Diversity and Community 17, 191 (2004). Even Asian American opponents of race-conscious admissions policies support principles of wholeperson review. OiYan A. Poon et al., Asian Americans, Affirmative Action, and the Political Economy of

 $^{^{\}rm 27}\,$ http://naasurvey.com/where-do-asian-americans-stand-on-affirmative-action/.

Racism: A Multidimensional Model of Racial Ideologies, 89 Harv. Educ. Rev. 201, 223 (2019).

That support likely reflects the benefits that Asian American applicants reap from processes that evaluate them as individuals. Even when they are not accepted into their first-choice colleges, Asian Americans are not harmed. Findings show that an overwhelming majority are greatly benefiting from their college experiences, even if they were not admitted to their firstchoice school. Mike Hoa Nguyen et al., Asian Americans, Admissions, and College Choice: An Empirical Test of Claims of Harm Used in Federal Investigations, 49 Educ. Researcher 579, 587-88 (2020). Petitioner's narrative in this case does not reflect concerns that are actually held by Asian Americans. It is therefore no surprise that at no point below was Petitioner able to "present a single admissions file that reflected any discriminatory animus, or even an application of an Asian American who it contended should have or would have been admitted absent an unfairly deflated personal rating." Pet. App. 246.

* * *

Amici have studied and documented the pernicious effects of racial discrimination against Asian American communities. Amici would be the first to sound the alarm if that were happening in Harvard's admissions practices. But it is not. Instead, a powerful tool that benefits Asian Americans—a tool that is necessary to counteract the racial biases that infect a prospective Asian American student's application materials—is threatened by false charges of anti-Asian discrimination that hurt us all.

CONCLUSION

Harvard's admissions practices are well-grounded in social science research and benefit Asian American applicants. This Court should affirm.

Respectfully submitted,

Liliana M. Garces Associate Professor* College of Education The University of Texas at Austin 1912 Speedway, D5400 Austin, TX 78712 (512) 475-8574 Daniel Woofter Counsel of Record Erica Oleszczuk Evans GOLDSTEIN & RUSSELL, P.C. 7475 Wisconsin Ave. Suite 850 Bethesda, MD 20814 (202) 362-0636 dw@goldsteinrussell.com

July 29, 2022

* Affiliation listed for identification purposes only.

APPENDIX

APPENDIX: LIST OF AMICI CURIAE

Institutional affiliation is provided for identification purposes only and does not reflect the views of the institutions.

Marisa Abrajano, University of California, San Diego Jasmine Abukar, Ohio State University Nancy Acevedo-Gil, California State University, San Bernardino Annie Adamian, California State University, Chico Gabrielle Adams, University of Virginia Katherine Adams, University of North Georgia Aditya Adiredja, University of Arizona Anthony Affigne, Providence College Tara Affolter, Middlebury College Jody Agius Vallejo, University of Southern California José M. Aguilar-Hernández, California State Polytechnic University, Pomona Earl Aguilera, California State University, Fresno Julie Ajinkya, Cornell University Jessica Albrent, Johns Hopkins University Ursula Aldana, University of California, Los Angeles Arshad Ali, George Washington University Syed Ali, Long Island University-Brooklyn Keisha Allen, University of Maryland, Baltimore County Walter Allen, University of California, Los Angeles Alexandra Allweiss, Michigan State University

Sigal Alon, Tel-Aviv University Kal Alston, Syracuse University Alvin Alvarez, San Francisco State University Cynthia Alvarez, University of California, Los Angeles Robert Alvarez, University of California, San Diego AJ Alvero, University of Florida Ifeoma Amah, University of California, Los Angeles Evelyn Ambriz, Cornell University Mauriell Amechi, University of Illinois at Chicago Akhila Ananth, California State University, Los Angeles Subini Annamma, Stanford University Marshall Anthony Jr., The Institute for College Access & Success Anthony Antonio, Stanford University Pavan Antony, Adelphi University Ana Carolina Antunes, University of Utah Andrew Aoki, Augsburg University Sofya Aptekar, City University of New York School of Labor and Urban Studies Adele Arellano, California State University, Sacramento Diana Arya, University of California, Santa Barbara Nina Asher, University of Minnesota Aeriel Ashlee, St. Cloud State University Amanda Assalone, University of Tennessee, Knoxville

Annabelle Atkin, Purdue University Kathryn Au, University of Hawai'i, Mānoa Larry Au, The City College of New York Wayne Au, University of Washington - Bothell Aram Ayalon, Central Connecticut State University William Ayers, University of Illinois at Chicago Jennifer Ayscue, North Carolina State University Sahar Aziz, Rutgers University-Newark Maria Azmitia, University of California, Santa Cruz Hannah Baggett, Auburn University Monisha Bajaj, University of San Francisco Bruce Baker, University of Miami Dominique Baker, Southern Methodist University Bianca Baldridge, Harvard University Estela Ballon, California State Polytechnic University, Pomona Tracy Ballysingh, University of Vermont Martha Banks, Independent Scholar Lori Barker, California State Polytechnic University, Pomona Erica Barnett, St. Norbert College Cassie Barnhardt, University of Iowa Ryan Barone, Colorado State University Matt Barreto, University of California, Los Angeles Tonya Bartell, Michigan State University Michael Bastedo, University of Michigan Abigail Bates, University of California, Office of the President

Geoff Bathje, Adler University Kevin Bazner, Texas A&M University - Corpus Christi Cameron Beatty, Florida State University Thomas Bell, University of Michigan Corina Benavides Lopez, California State University, **Dominguez Hills** Margaret Beneke, University of Washington Pamela Bennett, University of Maryland, **Baltimore** County Estela Bensimon, University of Southern California Keisha Bentley-Edwards, De Anza College Ellen Berrey, University of Toronto Michael Beyerlein, Texas A&M University - College Station Zeynep F. Beykont, Harvard University Rachel Bhansari, Portland State University Saurabh Bhargava, Carnegie Mellon university Kakali Bhattacharya, University of Florida Margarita Bianco, University of Colorado, Denver Jalil Bishop, Villanova University Mollie Blackburn, Ohio State University Horatio Blackman, National Urban League **Richard Blissett**, University of Georgia **Reginald Blockett**, Auburn University Gilda Bloom-Leiva, San Francisco State University Courtney Bonam, University of California, Santa Cruz

Stephanie Bondi, University of Nebraska Eileen Boris, University of California, Santa Barbara Ginny Boss, University of Georgia Mildred Boveda, Pennsylvania State University Nicholas Bowman, University of Iowa Mark Branson, Fuller Theological Seminary Bryan Brayboy, Arizona State University Allison Briceno, San José State University Leah Bricker, Independent Scholar Anita Bright, Portland State University Ellen Broido, Bowling Green State University Charlotte Brooks, Baruch College, City University of New York Ashley Brown, University of Chicago Bryan Brown, Stanford University Kenly Brown, Spencer Foundation Michael Brown, Iowa State University Khalilah Brown-Dean, Quinnipiac University Jazmin Brown-Iannuzzi, University of Virginia David Brunsma, Virginia Polytechnic Institute and State University Lyudmila Bryzzheva, Adelphi University Wen Bu, Indiana University Bloomington Jessica Buckley, University of Louisville Tracy Buenavista, California State University, Northridge Long Bui, University of California, Irvine Beth Bukoski, Virginia Commonwealth University

Erika Bullock, University of Wisconsin - Madison Jungmiwha Bullock, University of Southern California Edelina Burciaga, University of Colorado, Denver Rebeca Burciaga, San José State University **Orville Vernon Burton**, Clemson University Adam Bush, University of Southern California Kenneth Butler, University of Dayton Sheretta Butler-Barnes, Washington University in St. Louis Ajani Byrd, Foothill College Carson Byrd, University of Michigan Alberto F. Cabrera, University of Maryland, **College** Park Nolan Cabrera, University of Arizona Altheria Caldera, American University Maria Apolonia Calderon, University of Maryland, **College** Park Shannon Calderone, Washington State University Rebecca Callahan, University of Vermont Keith Camacho, University of California, Los Angeles Asian American Studies Center Patrick Camangian, University of San Francisco Albert Camarillo, Stanford University Luiz Augusto Campos, Universidade do Estado do Rio de Janeiro Nancy Cantor, Rutgers University-Newark Brendan Cantwell, Michigan State University

Kevin Carey, University of Waterloo Josefina Carmona, New Mexico State University Nusta Carranza Ko, University of Baltimore Deborah Carter, Claremont Graduate University Jesus Casas, University of California, Santa Barbara Elise Castillo, Trinity College Milagros Castillo-Montoya, University of Connecticut Erin Castro, University of Utah Chase Catalano, Virginia Polytechnic Institute and **State University** Colin Cepuran, Independent Scholar Jacob Chacko, Rutgers University T. Chahin, Texas State University Crystal Chambers, East Carolina University Esther Chan, University of Wisconsin - Milwaukee Jason Chan, Haverford College Nathan Chan, Loyola Marymount University Komal Chandra, Rutgers University-Newark Briana Chang, Temple University Connie Chang, University of Pennsylvania Ethan Chang, University of Hawai'i, Mānoa Mitchell Chang, University of California, Los Angeles Paul Chang, Harvard University Sofia Chaparro, University of Colorado, Denver Karina Chavarria, California State University, **Channel Islands** Laura Chávez-Moreno, University of California, Los Angeles

Charissa Cheah, University of Maryland, Baltimore County Anthony Chen, Northwestern University Brittany Chen, Health Resources in Action Edith Chen, California State University, Northridge Jondou Chen, University of Washington Michael Chen, Independent Scholar Stephanie Chen, California Institute of Integral **Studies** Charise Cheney, University of Oregon Katherine Cheng, Stanford University Wendy Cheng, Scripps College Hua-Yu Sebastian Cherng, New York University Christabel Cheung, University of Maryland, **College** Park Vichet Chhuon, University of Minnesota Warren Chiang, Stanford University Anita Chikkatur, Carleton College Christina Chin, California State University, Fullerton Cheryl Ching, University of Massachusetts Boston Erica Chito Childs, Hunter College, City University of New York Katherine S. Cho, Loyola University Chicago AnNa Choi, University of Texas at Austin Yoon Ha Choi, Florida International University Sapna Chopra, California State University, Fullerton Candace Chow, University of Utah

Lily Chow, University of San Francisco Leah Christiani, University of Tennessee Christina Christie, University of California, Los Angeles Jennifer Chudy, Wellesley College Angie Chung, University at Albany Patrick Chung, University of Maryland, College Park José Cintrón, California State University, Sacramento María Cioè-Peña, University of Pennsylvania Joyce Clapp, University of North Carolina at Greensboro Christine Clark, University of Nevada, Las Vegas Danielle Clealand, University of Texas at Austin Kevin Close, Spencer Foundation Casey Cobb, University of Connecticut Krystle Cobian, University of California, Los Angeles Diane Codding, Northwestern University Elizabeth Cohen, Syracuse University Dana Cohen Lissman, University of Oregon Carl Cohn, Claremont Graduate University Kevin Cokley, University of Texas at Austin Christopher Collins, Azusa Pacific University Lisa Collins, Lewis & Clark College Roland Sintos Coloma, Wayne State University Eddie Comeaux, University of California, Riverside Catherine Compton-Lilly, University of South Carolina

Gilberto Conchas, Pennsylvania State University Lauren Contreras, University of Denver Andrew Coppens, University of New Hampshire Sean Corcoran, Villanova University Kathleen Corley, Arizona State University Krista Cortes, University of Pennsylvania Rebecca Covarrubias, University of California, Santa Cruz Rebecca Crandall, Oregon State University Kareem Crayton, Independent Scholar Gloria Crisp, Oregon State University Dean Cristol, Ohio State University Margaret Crosbie-Burnett, University of Miami Cindy Cruz, University of Arizona Marcela Cuellar, University of California, Davis Edward Curammeng, California State University, **Dominguez Hills** Sarah Dahlen, University of Illinois at Urbana-Champaign Mary Kunmi Yu Danico, California State Polytechnic University, Pomona Desa Daniel, Palo Alto University Loan Dao, Saint Mary's College of California William Darity Jr., Duke University Denise Davidson, Bloomsburg University Bridgette Davis, University of Chicago Jonathan Ryan Davis, College of New Jersey Charles H.F. Davis III, University of Michigan

Breanna Davis Tribble, School Readiness Consulting Noah De Lissovoy, University of Texas at Austin Cati de los Ríos, University of California, Berkeley Martín De Mucha Flores, University of San Francisco Janine de Novais, Independent Scholar Linda DeAngelo, University of Pittsburgh Elizabeth DeBray, University of Georgia Janet Decker, Indiana University Bloomington Sherry Deckman, Lehman College, City University of New York Jessica DeCuir-Gunby, University of Southern California Jean Paul deGuzman, University of California, Los Angeles Dolores Delgado Bernal, California State University, Long Beach Donna Demanarig, Wheaton College Menna Demessie, UC Washington Center Patrick Denice, University of Western Ontario Meera Deo, Southwestern Law School Maharj Desai, San Francisco State University Shruti Desai, Duke University Gregory Desierto, Alliant International University Louis DeSipio, University of California, Irvine John Diamond, Brown University Sarah Diem, University of Missouri Erich Dietrich, New York University

Sandra Dika, University of North Carolina at Charlotte Khanh Dinh, University of Massachusetts Lowell Jude Paul Dizon, Rutgers University Ashley ("Woody") Doane, University of Hartford Ligaya Domingo, Asian Pacific American Labor Alliance Kira Donnell, San Francisco State University Jamel K. Donnor, William & Mary Kevin Dougherty, Columbia University Alison Douglas, Northern Illinois University Alicia Dowd, Pennsylvania State University Noah Drezner, Columbia University Faustina DuCros, San José State University Mary Duenas, University of Tennessee, Knoxville John Dugan, The Aspen Institute Ebony Duncan-Shippy, Washington University in St. Louis Julia Duncheon, University of Washington Antonio Duran, Arizona State University Richard Duran, University of California, Santa Barbara Elizabeth Dutro, University of Colorado, Boulder Susan Eaton, Brandeis University Eilene Edejer, Loyola University Chicago Jongyeon Ee, Loyola Marymount University Dora Elias McAllister, University of Maryland, **College** Park

Becki Elkins, University of Wisconsin - La Crosse Charity Embley, Texas Tech University Health Sciences Center Rachel Endo, University of Washington - Tacoma Mark Engberg, Independent Scholar Andrew Engelhardt, University of North Carolina at Greensboro Frederick Engram Jr., University of Texas at Arlington Laura Enriquez, University of California, Irvine Frederick Erickson, University of California, Los Angeles Cindy Escobedo, University of California, Los Angeles Michelle Espino, University of Maryland, College Park Lorelle Espinosa, University of Southern California Kevin Esterling, University of California, Riverside James Fabionar, University of San Diego Susan Faircloth, Colorado State University Flora Farago, Stephen F. Austin State University Keisha Farmer-Smith, University of Illinois at Chicago Pamela Felder-Small, Black Doctorates Matter Cecilia Fernandez, Rice University Frank Fernandez, University of Florida Beth Ferri, Syracuse University Nicole Filler, University of Massachusetts Boston Michelle Fine, The Graduate Center, City University of New York

Ashley Finley, American Association of Colleges and Universities Kara Finnigan, University of Rochester Gustavo Fischman, Arizona State University Seth Matthew Fishman, Villanova University Linda Fitzgerald, University of Northern Iowa Rebecca Flanagan, UMass Law School Terry Flennaugh, Michigan State University Amanda Flores, Michigan State University Elena Flores, University of San Francisco Nelson Flores, University of Pennsylvania Stella Flores, University of Texas at Austin Susana Flores, Central Washington University Nadirah Farah Foley, New York University Kelly Fong, University of California, Los Angeles Karly Ford, Pennsylvania State University Gabrielle Foreman, Pennsylvania State University Michael Forman, University of Washington - Tacoma Tyrone Forman, University of Illinois at Chicago Zak Foste, University of Kansas Raymond Foxworth, First Nations Development Institute Valerie Francisco-Menchavez, San Francisco State University Erica Frankenberg, Pennsylvania State University Jeremy Franklin, University of Utah Lorrie Frasure, University of California, Los Angeles Rhoda Freelon, University of Houston

Sydney Freeman, Jr., University of Idaho Regina Freer, Occidental College Julio Fregoso, San Diego State University Alexandra Freidus, University of Connecticut Rachel Friedensen, St. Cloud State University Henry Frierson, University of Florida Sharon Fries-Britt, University of Maryland, **College** Park Milton Fuentes, Montclair State University Eugene Fujimoto, California State University, Fullerton Diane Fujino, University of California, Santa Barbara Michael Fultz, University of Wisconsin - Madison Michael Funk, New York University Sara Furr, The Field Museum Francesca Gaiba, Northwestern University Sarah Gallo, Rutgers University Denisa Gándara, University of Texas at Austin Patricia Gándara, University of California, Los Angeles Shreena Niketa Gandhi, Michigan State University Herbert Gans, Columbia University John Ganzar, University of Denver Laura Garbes, Brown University Liliana M. Garces, University of Texas at Austin Crystal Garcia, University of Nebraska Eugene Garcia, Arizona State University

Gina Garcia, University of Pittsburgh Nichole Garcia, Rutgers University Yolanda Garcia, Northern Arizona University Lisa Garcia Bedolla, University of California, **Berkelev** Inmaculada García-Sánchez, University of California, Los Angeles Susan Gardner, Oregon State University Emma Gargroetzi, University of Texas at Austin Juan Carlos Garibay, University of Virginia Stacey Garrett, Appalachian State University Rachel Garver, Montclair State University Jason Garvey, University of Vermont Regina Garza Mitchell, Western Michigan University Melanie Gast, University of Louisville LaGina Gause, University of California, San Diego Tanya Gaxiola Serrano, University of Texas at San Antonio Gilbert Gee, University of California, Los Angeles Casey George, University of Louisville Chrystal George Mwangi, George Mason University Kim Geron, California State University, East Bay Christina Getrich, University of Maryland, **College** Park Cyril Ghosh, Wagner College Matt Giani, University of Texas at Austin Kathleen Gillon, University of Maine Amir Gilmore, Washington State University

Ricki Ginsberg, Colorado State University Terri Givens, McGill University Steven Gold, Michigan State University Laura Gomez, University of California, Los Angeles Rachel Gomez, Virginia Commonwealth University Gena Gong, California State University, Fresno Leslie Gonzales, Michigan State University Teresa Gonzales, Loyola University Chicago Deena González, Gonzaga University Michael A. Goodman, University of Texas at Austin Hava Gordon, University of Denver Cynthia Gordon da Cruz, Chabot College Isaac Gottesman, Connecticut College Amelia Gotwals, Michigan State University Kenneth Gould, City University of New York Kimberly Goyette, Temple University Sandra Graham, University of California, Los Angeles Sandy Grande, University of Connecticut Tricia Gray, University of Nebraska Terrance Green, University of Texas at Austin Christine Greenhow, Michigan State University Dennis Gregory, Old Dominion University Zareena Grewal, Yale University Briellen Griffin, Northwestern University Kimberly Griffin, University of Maryland, **College** Park Nora Gross, Boston College

Sara Grummert, Institute for Mixed Methods Research Juan Guardia, University of Cincinnati Tonia Guida, University of Texas at Austin Florence M. Guido, University of Northern Colorado Patricia Gurin, University of Michigan Suchitra Gururaj, University of Texas at Austin Kris Gutierrez, University of California, Berkeley Lorraine Gutierrez, University of Michigan Rose Ann Gutierrez, University of Nevada, Reno Justin Gutzwa, University of Utah Alana Hackshaw, University of Maryland, **College** Park Linda Hagedorn, Iowa State University Meseret Hailu, Arizona State University Gordon Hall, University of Oregon Wendell Hall, Independent Scholar Tyler Hallmark, Alfred P. Sloan Foundation Anne-Lise Halvorsen, Michigan State University Floyd M. Hammack, New York University Victoria Hand, University of Colorado, Boulder Craig Haney, University of California, Santa Cruz Peter Hanink, California State Polytechnic University, Pomona Sharim Hannegan-Martinez, University of Kentucky Jessica Hardie, Hunter College, City University of New York Linda Harklau, University of Georgia

Andre Harper, Columbia University Casandra Harper, University of Missouri Shaun Harper, University of Southern California Michael Harris, Southern Methodist University Frank Harris III, San Diego State University Jeni Hart, University of Missouri Nicholas Hartlep, Association of Public & Land-Grant Universities Matt Hartley, University of Pennsylvania Megan Haselschwerdt, University of Tennessee, Knoxville Siduri Haslerig, University of Oklahoma Deryl Hatch-Tocaimaza, University of Nebraska Qian He, Princeton University Dan Heiman, University of Texas at El Paso Walter Heinecke, University of Virginia Robert Helfenbein, Mercer University Darryl Heller, Indiana University South Bend Donald Heller, University of San Francisco Portia Rae Hemphill, University of Michigan Jeffrey Henig, Teachers College, Columbia University Pa Her, University of Wisconsin - Madison Beth Herbel-Eisenmann, Michigan State University Amelia Herbert, Rutgers University-Newark Jane Hereth, University of Wisconsin - Milwaukee Edwin Hernandez, California State University, San Bernardino Susana Hernandez, Northern Arizona University

Estee Hernández, National Louis University Kirsten Hextrum, University of Oklahoma Elizabeth Higginbotham, Brandeis University Michiko Hikida, Ohio State University Nicholas Hillman, University of Wisconsin - Madison Kip Austin Hinton, University of Texas Rio Grande Valley Daniel Hirschman, Cornell University Evelyn Ho, University of San Francisco Phoebe Ho, University of North Texas Sandra Hodgin, Claremont Graduate University Jennifer Holme, University of Texas at Austin Aja Holmes, University of San Francisco Harry Holzer, Georgetown University Delia Hom, Independent Scholar Laureen Hom, California State Polytechnic University, Pomona Catherine Horn, University of Houston Anne Hornak, Central Michigan University Daniel HoSang, Yale University Ernest House, University of Colorado, Boulder Derek Houston, Southern Illinois University Edwardsville Tyrone Howard, University of California, Los Angeles Carollee Howes, University of California, Los Angeles Ariane Hoy, Bonner Foundation Betina Hsieh, California State University, Long Beach

Amy Hsin, Queens College, City University of New York Carolyn L. Hsu, Colgate University Funie Hsu, San José State University Madeline Hsu, University of Texas at Austin Susan Hua, Community College of Aurora Belinda Huang, University of Maryland, College Park Ellen Huang, University of Oregon Nancy Hudspeth, California State University, Stanislaus Adrian Huerta, University of Southern California Álvaro Huerta, California State Polytechnic University, Pomona Bryce Hughes, Montana State University Tarry Hum, Queens College, City University of New York Yuen Huo, University of California, Los Angeles Noelle Hurd, University of Virginia Aida Hurtado, University of California, Santa Barbara Sylvia Hurtado, University of California, Los Angeles Sarah S. Hurtado, University of Denver Vincent Hutchings, University of Michigan Jennifer Huynh, University of Notre Dame Liane Hypolite, California State Polytechnic University, Pomona Jason Immekus, University of Louisville Arpana Inman, Rutgers University-Newark

Iheoma Iruka, University of North Carolina at Chapel Hill Ann Ishimaru, University of Washington John Ishiyama, University of North Texas Mackenzie Israel-Trummel, College of William and Mary Susan Iverson, Manhattanville College Curtis Ivery, Wayne County Community College **District Detroit** Huriya Jabbar, University of Texas at Austin Elizabeth Jach, University at Albany Charlotte Jacobs, University of Pennsylvania Dimpal Jain, California State University, Northridge Sarah James, Harvard University Ashley Jardina, Duke University Uma Mazyck Jayakumar, University of California, Riverside Rashné Jehangir, University of Minnesota DeMarcus Jenkins, Pennsylvania State University Louise Jennings, Colorado State University Russell Jeung, San Francisco State University Monik Jimenez, Harvard University Korina Jocson, University of Massachusetts Amherst Indrawati Joe, Stanford University Amrik Johal, University of California, Los Angeles Austin Johnson, University of California, Riverside Dawn Johnson, Syracuse University Royel Johnson, University of Southern California

Cheryl Johnson-Odim, Dominican University Illinois Marc Johnston-Guerrero, Ohio State University Alden Jones, Merrimack College Antwan Jones, George Washington University Nikki Jones, University of California, Berkeley Sosanya Jones, Howard University Amy Jones Haug, Columbia University Michael Jones-Correa, University of Pennsylvania Tiffany Joseph, Northeastern University T.J. Jourian, Loyola University Chicago Jane Junn, University of Southern California Meiyang Kadaba, Wright Institute Margaret Kahn, University of Michigan-Flint Aurora Kamimura, Washington University in St. Louis Vijay Kanagala, Salem State University Byung'chu Dredge Kang, University of California, San Diego Miliann Kang, University of Massachusetts Amherst Lauren Kapalka Richerme, Indiana University Bloomington Michael Karim, Fuller Theological Seminary Philip Kasinitz, The Graduate Center, City University of New York Micere Keels, University of Chicago prabhdeep singh kehal, University of Wisconsin -Madison Bridget Kelly, University of Maryland, College Park

Matthew Kelly, Pennsylvania State University Nathan Kelly, University of Tennessee Ivy Ken, George Washington University Peter Kiang, University of Massachusetts Boston William Kidder, UCLA Civil Rights Project Melanie Killen, University of Maryland, College Park Barbara Kim, California State University, Long Beach Brian Kim, The Common Application, Inc. Claire Jean Kim, University of California, Irvine David Kim, University of San Francisco David Kyuman Kim, Stanford University Eui Kyung Kim, University of California, Riverside Hyejung Kim, Binghamton University Jae Yeon Kim, KDI School of Public Policy and Management and Johns Hopkins University Jeongeun Kim, Arizona State University Jung Kim, Lewis University Nadia Kim, Loyola Marymount University Richard Kim, University of California, Davis Rose M. Kim, City University of New York, Manhattan Community College Stephanie Kim, Georgetown University Veda Hyunjin Kim, University of Massachusetts Amherst Victoria Kim, University of Texas at Austin Ezekiel Kimball, University of Massachusetts Amherst

Kathryn Kirchgasler, University of Wisconsin -Madison Daniel Klasik, University of North Carolina at Chapel Hill Emily Klein, Montclair State University Christopher Knaus, University of Washington -Tacoma Jana Knibb, Community College of Rhode Island David Knight, University of Washington Corinne Kodama, University of Illinois at Chicago Rita Kohli, University of California, Riverside Shabnam Koirala Azad, University of San Francisco Kari Kokka, University of Nevada, Las Vegas Suneal Kolluri, University of California, Riverside Susan Komives, University of Maryland, **College** Park Dorinne Kondo, Harvard University Mindy Kornhaber, Pennsylvania State University Carrie Kortegast, Northern Illinois University Diana Kotzin, University of Pennsylvania Yacine Kout, University of North Georgia Karen Kozlowski, University of Southern Mississippi Kevin Kumashiro, Independent Scholar Anindya Kundu, Florida International University Scott Kurashige, Independent Scholar Michal Kurlaender, University of California, Davis Paul Kuttner, University of Utah Yvonne Kwan, San José State University

Jihye Kwon, University of Southern California Yaejoon Kwon, Reed College Frankie Santos Laanan, University of Utah Celia Lacayo, University of California, Los Angeles Clement Lai, California State University, Northridge James Lai, Savannah Law School Jennifer Lai, University of Vermont Chryl Laird, University of Maryland, College Park Vinay Lal, University of California, Los Angeles Son Ca Lam, Dartmouth College Candace Lamb, Independent Scholar Sonja Lanehart, University of Arizona Michael Lanford, University of North Georgia Alex Lange, Colorado State University Regina Langhout, University of California, Santa Cruz Argelia Lara, Santa Clara University Cristina Lash, University of Nevada, Reno Anna Lau, University of California, Los Angeles Chrissy Lau, California State University, Monterey Bay C.N. Le, University of Massachusetts Amherst Vicente Lechuga, Savannah Law School María Ledesma, San José State University Alice Lee, University of California, Riverside Amos Lee, University of California, Riverside Barbara Lee, Rutgers University C. Aujean Lee, University of Oklahoma

Fred Lee, University of Connecticut Helen Lee, University of Chicago Helene Lee, Dickinson College Jennifer Lee, Columbia University Erika Lee, University of Minnesota Na Youn Lee, San José State University Naeyun Lee, University of Chicago Richard Lee, University of Minnesota Robert Lee, Brown University Sharon Lee, University of Illinois at Urbana-Champaign Stacey Lee, University of Wisconsin - Madison Taeku Lee, Harvard University Ung-Sang Lee, University of Nevada, Las Vegas Katherine Lee, Sonoma State University Lisa Lee, University of Illinois at Chicago Jane Lehr, California Polytechnic State University Elaine Leigh, Strada Education Network Richard Lempert, University of Michigan Maxwell Leung, California College of the Arts Vivien Leung, Bucknell University Harry Levine, Queens College, City University of New York Rhonda Levine, Colgate University Amanda Lewis, University of Illinois at Chicago Consuella Lewis, Transformations Organizational Consulting Cynthia Lewis, University of California, Santa Cruz

Edith Lewis, University of Michigan Maria Lewis, Pennsylvania State University Tammy Lewis, City University of New York Ramsay Liem, Boston College Pei-te Lien, University of California, Santa Barbara Roman Liera, Montclair State University Naitnaphit Limlamai, Colorado State University Ann Chih Lin, University of Michigan May Lin, California State University, Long Beach Robyn Linde, Rhode Island College Mitchell Lingo, Independent Scholar Daniel Liou, Arizona State University Daniel Lipson, SUNY New Paltz Michael Liu, University of Massachusetts Boston William Ming Liu, University of Maryland, **College** Park Kristina Lizardy-Hajbi, Iliff School of Theology Teresa Lloro, California State Polytechnic University, Pomona Angela Locks, California State University, Long Beach Deborah Loewenberg Ball, University of Michigan Jinee Lokaneeta, Fielding Graduate University Kelly Long, University of North Georgia Susan Longerbeam, University of Louisville Francesca Lopez, Pennsylvania State University Gerardo Lopez, Michigan State University Lori Lopez, University of Wisconsin - Madison

Miguel Lopez, University of California, Los Angeles Patricia Lopez, California State University, Fresno Patricia D. López, California State University, Fresno Tehama Lopez Bunyasi, George Mason University Yang Lor, University of California, Merced Aaron Lorenz, Ramapo College Erica Lovano McCann, University of Southern California Hailey Love, University of Wisconsin - Madison David Low, California State University, Fresno Karla Loya, University of Hartford Ashley Lucas, University of Michigan Audrey Lucero, University of Oregon Cecilia Lucero, University of Notre Dame Courtney Luedke, University of Wisconsin -Whitewater Joyce Lui, San José City College David Luke, University of Michigan-Flint Belinda Lum, Sacramento City College Cathy Lussier, University of California, Riverside Amy Lutz, Syracuse University Valerie Luzadis, SUNY Environmental Science and Forestry Pearl Ly, San Diego Mesa College Jasmine Ma, New York University Tamarie Macon, UNC Chapel Hill Michelle Madore, Stanford University Theresa Mah, Independent Scholar

Maria Malagon, California State University, Fullerton Luz Maldonado Rodriguez, Texas State University Mei-Ling Malone, California State University, Fullerton Maruice Mangum, Jackson State University Bryan Mann, University of Kansas Kathleen Manning, University of Vermont Lester Manzano, Loyola University Chicago Dina Maramba, Claremont Graduate University Ann Marcus, New York University Patricia Marin, Michigan State University Susan Marine, Merrimack College Bryant Marks, Morehouse College Helen Marrow, Tufts University Mark Martell, University of Illinois at Chicago Blake Martin, North Carolina State University Paolo C. Martin, Uniformed Services University Andrea Martinez, Weber State University Brandon Martinez, Providence College Danny C. Martinez, University of California, Davis Magdalena Martinez, University of Nevada, Las Vegas Ramón Martínez, Stanford University Eligio Martinez Jr., California State Polytechnic University, Pomona Ana M. Martinez-Aleman, Boston College Carlos Martínez-Cano, University of Washington

30a

Valerie Martinez-Ebers, University of Borth Texas Gina Masequesmay, California State University, Northridge Jessica Masterson, Washington State University Natalie Masuoka, University of California, Los Angeles Cheryl E. Matias, University of Kentucky Martha Matsuoka, Occidental College Madeline Mavrogordato, Michigan State University Lanney Mayer, University of La Verne Edwin Mayorga, Swarthmore College Martha McCarthy, Loyola Marymount University Paula McClain, Duke University George McClellan, University of Mississippi Katherine McClelland, Franklin and Marshall College Laila McCloud, Grand Valley State University Pace J. McConkie, Morgan State University Alexander McCormick, Indiana University Bloomington Adam McCready, University of Connecticut Kathryn McDermott, University of Massachusetts Amherst Patricia McDonough, University of California, Los Angeles Ligaya McGovern, Indiana University Brian McGowan, American University Theresa McGuinness, Boston University

Keon McGuire, Arizona State University Maxine McKinney de Royston, University of Wisconsin - Madison Conor McLaughlin, San Diego State University Ty McNamee, Teachers College, Columbia University Jessica McQueston, Sam Houston State University Mollie McQuillan, University of Wisconsin - Madison Patrick McQuillan, Boston College Catherine McTamaney, Vanderbilt University Darris Means, University of Pittsburgh Taneisha Means, Villanova University Carmen Medina, Indiana University Rocio Mendoza, University of Redlands Natasha Merchant, University of Washington Bothell Julie Lee Merseth, Northwestern University Melissa Michelson, Menlo College Roslyn Mickelson, University of North Carolina at Charlotte Jeffrey Milem, University of California, Santa Barbara Vanessa Miller, University of Florida Adrienne Milner, Brunel University London Michael Minta, University of Minnesota Beth Mintz, University of Vermont Jeffery Mio, California State Polytechnic University, Pomona Nicole Mirra, Rutgers University Joya Misra, University of Massachusetts Amherst

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