

## Capacity and Preparatory Review



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# SANTA CLARA UNIVERSITY

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Submitted to the Western Association  
of Schools and Colleges  
for Reaffirmation of Accreditation, July 2009





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## SANTA CLARA UNIVERSITY AND WASC'S FOUR STANDARDS Introductory Essay

### Introduction and Institutional Context

Santa Clara University, the Jesuit university in Silicon Valley, expresses its central educational objectives in its Strategic Vision: the university will “excel in educating men and women to be leaders of competence, conscience, and compassion,” preparing students for “professional excellence, responsible citizenship, and service to society, especially on behalf of those in greatest need.” Father Peter-Hans Kolvenbach, S.J., the Superior General of the Society of Jesus, speaking at Santa Clara in 2000, articulated a vision for Jesuit universities that has become foundational for Santa Clara’s self-understanding. Emphasizing the crucial role of “solidarity” in the education of the whole person for a new century, Kolvenbach urged students to “let the gritty reality of this world” into their lives, to learn “to feel it, think about it critically, respond to its suffering, and engage it constructively.” A Santa Clara education promotes, in Kolvenbach’s words, “a well-educated solidarity” that gives rise to intellectual inquiry and moral reflection. Santa Clara’s commitment to these educational objectives builds on a tradition of academic excellence in Jesuit education stretching back more than 450 years to the work of St. Ignatius of Loyola, founder of the Society of Jesus, and his followers. CFR 1.1.

Santa Clara’s history and mission provide the foundations for this self-study for reaffirmation of accreditation by the Western Association of Schools and Colleges. On the basis of a series of university-wide conversations and a survey of faculty, staff, students, and board members in 2005-2006, three themes were selected for particular focus: 1) educating for competence, conscience, and compassion; 2) supporting the teaching scholar model; and 3) promoting a community of inclusive excellence. The themes will be addressed in both the Capacity and Preparatory Review and the Educational Effectiveness Review. The WASC accreditation process has given the university an opportunity

to deepen its understanding of strengths and challenges in these three areas, to enhance its tradition of evidence-based decision-making in support of student success and institutional best practices, and to articulate its aspirations. CFR 1.2, 4.1, 4.3.

The structure of the report was discussed with, and approved by, the university’s WASC Associate Director. We have integrated some elements of a standards-based report into our theme-based report. This Introductory Essay of the Capacity and Preparatory Review establishes the institutional context, summarizes briefly how Santa Clara meets WASC’s four Standards, and shows how resources and institutional structures are aligned to achieve educational objectives. The introductory essay is organized according to the Standards. It comments selectively on the Criteria for Review (CFR). Reflective Essays on the three themes follow. A Concluding Essay offers integrating comments and an update on preparations for the Educational Effectiveness Review. Appendices and Data Tables contain the following supplementary material: the Summary Data Form, Data Tables, Inventories, required exhibits, a summary of Santa Clara’s response to the last visiting team report and Commission Action Letter, and other supporting material. This Capacity and Preparatory Review follows, in broad outline, the structure outlined in the 2007 Institutional Proposal. On the recommendation of the WASC Proposal Review Committee and our WASC Associate Director, however, we have been selective in addressing the research questions listed in the Institutional Proposal.

Santa Clara University is a comprehensive Jesuit, Catholic university with approximately 8,500 students, a “Masters University” in the Carnegie Classification. Founded in 1851 by the Society of Jesus, California’s oldest operating higher education institution offers a rigorous undergraduate curriculum in arts and sciences, business, and engineering, as well as nationally

recognized graduate and professional programs in business, education, engineering, counseling psychology, law, and pastoral ministries. The Jesuit tradition of educating the whole person for a life of service runs deep in the university's curricular and co-curricular programs. CFR 1.2, 2.1, 2.2.

Santa Clara is consistently ranked among the top comprehensive regional universities by *US News & World Report*. Nationally known for its undergraduate program featuring a distinctive curriculum, an integrated learning environment, and research opportunities for undergraduate students, the university boasts a retention rate of 92 percent (93 percent for the 2007 cohort) from the freshman to the sophomore year. And the percentage of Santa Clara students who graduate is among the highest in the country. The four-year graduation rate for undergraduates is 80.3 percent; the six-year rate is 85 percent. CFR 1.2.

The MBA program in the Leavey School of Business is annually ranked in the top twenty among the nation's part-time programs and in the top five in California. The School of Law is ranked among the top one hundred of the nation's law schools; its intellectual property program is recognized among the top ten of such programs in the country. The School of Engineering is ranked twenty-ninth by *US News & World Report*. We are proud of our rankings, but we aspire to further enhance our strengths and our rankings. CFR 1.2.

This is an important year of transition for the university. Paul Locatelli, S.J., has stepped down after twenty years as president. He has been named Chancellor of the University. Michael Engh, S.J., assumed the presidency in January 2009. Fathers Locatelli and Engh worked closely to ensure a smooth transition to new leadership. A transition in the university's Strategic Plan is also underway. The Planning Action Council, a group of senior leaders, with leadership from the former and current presidents and consultation with a wide range of constituents, has initiated preparations for a revision of the Strategic Plan. In addition, an

innovative new Core Curriculum highlighting Santa Clara's distinctive approach to Jesuit education will be implemented in fall 2009, and a merger with the Jesuit School of Theology, approved as a "substantive change" by WASC in 2008, began in July. These transitions in the presidency, the Strategic Plan, the curriculum, and the structure of the institution have invigorated and inspired the university community. CFR 1.3, 3.10.

Santa Clara has six Schools: the College of Arts and Sciences; the Leavey School of Business; the School of Engineering; the School of Law; the School of Education and Counseling Psychology; and the Jesuit School of Theology (JST). The JST, located in Berkeley, functions as a regional campus of Santa Clara. Each school is led by a dean. The former interim president of the JST is now Dean of the Jesuit School of Theology of Santa Clara University. And an interim dean for the School of Education and Counseling Psychology will be named in August.

The School of Education and Counseling Psychology has undergone a recent organizational change. The integration of the Jesuit School of Theology with Santa Clara has provided the occasion for Pastoral Ministries, formerly part of Education, Counseling Psychology, and Pastoral Ministries (ECPPM), to return to Religious Studies. This structural change will more effectively support collaboration among the Graduate Program in Pastoral Ministries, the Department of Religious Studies, and the Jesuit School of Theology. The return of Pastoral Ministries has necessitated a change from the 2008-2009 transitional leadership model of two Executive Directors for ECPPM to an interim dean model for Education and Counseling Psychology. See the Appendices for further discussion of the Graduate Programs. Data tables and some references in this report refer to the school as ECPPM. CFR 2.2b.

Santa Clara's student body includes about 5,000 undergraduate students and 3,500 graduate students. The undergraduate population is

approximately 54 percent female. About 35 percent of undergraduates identify themselves as persons of color. About 55 percent of the undergraduates are from California, with the rest from throughout the United States and more than a dozen foreign countries. More than 70 percent of undergraduate students receive some kind of financial aid as scholarships, grants, or loans. Average class size is twenty-five; one third of the classes have twenty or fewer students.

Since the last site visit from WASC in 1999, Santa Clara has experienced an increase in overall number and quality of students; a modest increase in student diversity; the addition of several new academic programs; continued hiring of an excellent team of diverse faculty and staff; improved support for assessment and program review; increased support for information technology; increased attention to student learning and student success; and a successful capital campaign. Improvements in the physical plant include a new learning commons, technology center, and library; a new building for the business school; a new baseball field; and a new aquatics facility.

### **Standard One: Alignment of Programs and Decisions with Institutional Goals**

Santa Clara is committed to rigorous inquiry and scholarship, creative imagination, reflective engagement with society, and, as we often say, “education for a more humane, just, and sustainable world.” The university’s formally approved statements of mission and goals shape the curriculum and co-curriculum, providing a framework for planning and budgeting. Mission and goals also provide the inspiration for the three themes selected for attention in the Reflective Essays. Highlighted here are a number of programs and policies with particular relevance to Standard One. (CFR 1.5, Diversity, will be addressed in a Reflective Essay, in the Response to the 2000 Action Letter in the Appendices, and in [supplementary material](#) posted on the Web.) CFR 1.1.

Santa Clara’s three Centers of Distinction serve as major points of interaction between the university and society. Each focuses on a theme central to Santa Clara’s distinctive mission as a Jesuit university. The Center for Science, Technology, and Society promotes the use of science and technology for the common good. The Ignatian Center for Jesuit Education is dedicated to integrating faith and justice in a scholarly way through the ideal of “contemplation in action.” The Markkula Center for Applied Ethics promotes research and dialogue on ethical issues in critical areas of contemporary life. The centers serve the regional and national community as well as the students, faculty, and staff on campus, providing workshops, seminars, grants, and conferences. CFR 1.2.

Planning and budgeting decisions, both long-term and short-term, involve mission-related considerations as well as data and evidence of educational effectiveness. The approval process for new academic programs requires a demonstration to the Academic Affairs Committee of the “purpose and centrality” of the new program in relation to the university’s mission as well as an analysis of need, student interest, and financial considerations. And the university is committed to careful analysis of data on student success. Data on student achievement, such as retention and graduation rates, are shared with the university community through an internal site maintained by the Office of Institutional Research and through external sites such as the Integrated Postsecondary Education Data System site (IPEDS). Summaries of student responses to the National Survey of Student Engagement (NSSE) are maintained on a public site through *USA Today* as well as an internal site maintained by the university’s Office of Assessment. CFR 1.2, 4.2, 4.3.

The university community is informed about and engaged in the university’s mission. Orientation programs for new employees and students include discussions of central aspects of the university’s mission, including Jesuit history, academic challenge, opportunities for

active involvement in social justice and community-based learning, commitment to inclusive excellence, and research opportunities. CFR 1.2, 3.3.

As a Jesuit, Catholic university, Santa Clara is nevertheless legally and financially independent of both the Catholic Church and the Society of Jesus. The Faculty Handbook includes a statement of academic freedom; the university affirms academic freedom, integrity of operations, sound practices, and fair responses to complaints and grievances in its practices and policies. Due-process procedures and other policies are available in print and online. The university's commitment to academic freedom is visible in the diversity of its curricular and co-curricular offerings, in its uncompromising support for faculty scholarship, and in the lively intellectual exchange characterizing both teaching and scholarship. Faculty are responsible for the curriculum through departmental committees, Faculty Core Committees, the Academic Affairs Committee, etc. CFR 1.4, 1.6, 1.7, 1.8, 2.4.

### **Standard Two: Support for Teaching, Learning, and Scholarship**

We address central portions of Standard Two through a Reflective Essay examining Santa Clara's support for the Teaching Scholar Model. In this Introductory Essay we highlight selected aspects of Standard Two that are not included in the Reflective Essay.

Santa Clara's Strategic Vision expresses the core commitment to teaching, scholarship, and student learning in its affirmation of "teaching and scholarship of high quality, an integrated education in the Jesuit tradition, and a commitment to students as persons." The university delivers challenging academic programs appropriate for the various degree levels that prepare students for professional excellence and for making a contribution to a better world. Graduate students fulfill requirements appropriate to their schools and to the university's mission, with, for example,

an ethics and society requirement for all graduate students in the School of Engineering.

All undergraduate students fulfill the requirements of a Core Curriculum. A new Core Curriculum building on the strengths of the previous Core will be implemented in fall 2009. The new undergraduate Core Curriculum is designed around a set of broad learning goals. Particularly important in the new Core Curriculum are diversity, globalization, justice, and collaboration. All students will take several courses focusing on the global community and at least one focusing on U.S. diversity. Through these courses students will reflect explicitly on their place in the local and global environments and on the effects of increasing globalization. Core learning goals and objectives are posted on the Core Web site, the Core Guide, course syllabi, and other locations. A multiyear Core assessment plan was piloted in 2008-2009. See Standard Four below and the Appendices for a more extensive discussion of the Core Curriculum and its assessment. CFR 2.1, 2.2, 2.3, 2.4.

Santa Clara uses a number of approaches to identify and meet the needs of students and to promote student success. We track student learning (see the discussion of Assessment below) and disaggregated retention and graduation rates. In addition, we gather and study data from the freshman survey, the Cooperative Institutional Research Program (CIRP), the senior survey, the College Student Survey (CSS), the Admitted Student Questionnaire (ASQ), the National Survey of Student Engagement (NSSE), and a number of other external and internal surveys, including a survey of recent graduates. This Introductory Essay comments selectively on NSSE data, drawing primarily on data and reports from 2007 and 2008. The Educational Effectiveness Review will provide more extensive discussions of multiyear trends in NSSE and other data.

Student support services and co-curricular programs are designed to meet student needs and support their success through student life programming, leadership support, counseling

center programs, residential learning community programs, wellness center programs, disabilities services, career and advising center programs, athletics groups, clubs, international student services, financial aid services, etc. The Drahmman Advising Center plays an important role in tracking student needs and student success by attending to grade point averages through a First Alert and a Probation process. We assess these co-curricular programs regularly. For example, we are completing a new study of the awareness among various constituencies across campus of the services offered by Counseling and Psychological Services, in the hope that this study will help us improve communications and services. And we have initiated a study of minority student engagement that will be described in the EER.

Santa Clara attempts to provide prospective and current students, including transfer students, with all the information they need to make informed academic choices. Print and Web materials are revised every year. Bulletins and handbooks containing student policies and procedures are accurate and are supplemented by additional online and print information. CFR 2.12, 2.14.

We consistently receive high ratings in NSSE's "Supportive Campus Environment" benchmark. In 2008 in both freshman and senior samples, Santa Clara University's mean response was significantly higher than those of our three comparison groups (the Jesuit Consortium, the Carnegie Class, and the NSSE participants). NSSE's multiyear benchmark reports show that freshman data for this benchmark have been stable (and high) since 2002, while senior data have steadily increased since 2001. (See Appendices for NSSE tables.)

Santa Clara seniors report on the NSSE that classroom experiences contributed to acquisition of a broad general education, work-related knowledge and skills, writing and speaking skills, and an ability to work with others. Both seniors and freshmen also report being challenged by high academic

expectations, going beyond rote learning to be critically engaged thinkers, and participating (or planning to participate) in capstones or other culminating experiences. Transfer data is similar to the data of students who first enrolled as full-time freshmen. Both transfer and other NSSE data in these respects are higher than our comparison groups.

Santa Clara's record on student success, measured by both retention and graduation rates, is among the best in the nation. When disaggregated by race and ethnicity, no statistically significant differences in retention are observed. The six-year graduation rates for Hispanic and American Indian students have improved and both are at parity with that of their white and Asian counterparts. The gap between black students and white students has closed by more than two thirds, and under current trends, black students entering in fall 2009 will graduate at a rate equal to their white classmates (charts 3.3.2 and 3.3.3).

Our high retention and graduation rates suggest that our advising processes are functioning well. Nevertheless, a 2006 survey based on WASC's Criteria for Review revealed that more than 25 percent of student respondents expressed some dissatisfaction about advising. We want to be cautious in interpreting this finding for several reasons: only 14 percent of our students responded to the survey; the professional literature suggests that complaints about advising are nearly ubiquitous in the academy; and we offer advising in multiple contexts (through an Advising Center, through assigned faculty advisors, and through a peer advisor program). Preliminary analysis of data such as the NSSE does not reveal significant differences in advising experiences among groups disaggregated by gender, race, or ethnicity. Nevertheless, we have initiated a tracking of advising services to better understand student satisfaction and we are examining our NSSE and CSS data for analysis in the Educational Effectiveness Review. In the meantime, we have asked the Drahmman Advising Center to provide a summary of how and where advising occurs across the schools

and undergraduate disciplines. The [summary](#) is posted on the Web site. CFR 2.10, 2.12.

Lower-than-expected NSSE results in “student faculty contact” several years ago led to a series of conversations with faculty and staff leadership groups. On the recommendation of the university’s Research Committee, a decision was made to expand opportunities for high-quality student-faculty contact through undergraduate research opportunities. One such program initiated in 2002 is the “Faculty Student Research Assistant Program” (FSRAP). More recently, the Provost established a Research Initiatives Web site along with a searchable database of faculty research projects to enable students to explore research opportunities. The Provost has also created an innovative program dedicated to “Integrating Undergraduate Research Mentorship into Teaching Loads” through which several significant projects in the sciences, social sciences, and humanities have been funded. A component of the new [Core Curriculum](#), the “Pathway” requirement (four interdisciplinary courses with a common theme), promises to provide another avenue for undergraduate research opportunities. And an Associate Provost for Research Initiatives position was established in 2007. With these programs we are expanding access to undergraduate research opportunities as a response, in part, to earlier NSSE results. CFR 2.9.

We are proud of the successes of our students. Students who have participated in undergraduate research experiences have presented and published research with faculty mentors. Excellent student work has been published independently in professional journals, internal departmental publications, and journals associated with disciplinary honor societies. Students of exemplary talent and achievement are honored for their scholarship and service in annual ceremonies. The Office of Fellowships offers support for students applying for external fellowships and scholarships. In recent years Santa Clara students have been awarded Marshall, Fulbright, Goldwater, and other major

[scholarships and fellowships](#) including, this year, the coveted Rhodes scholarship. Senior Noelle Lopez, Santa Clara’s second Rhodes Scholar, will travel to Oxford for graduate work in philosophy.

The university’s faculty, of course, are central to student success. The university encourages and supports the scholarly, creative, and pedagogical activities of the faculty and provides support for work-life balance. A centralized Faculty Development Program (as recommended by the 1999 Visiting Team) offers a variety of programs and support structures: internal grants to support scholarship and curriculum, confidential classroom visits and regular seminars and colloquia on pedagogical issues, a full-day orientation for all new full-time faculty, and other services. Curriculum Development funds and workshops provide additional support. Targeted Faculty Development programming focuses on early-career tenure-track faculty. A Web site and newsletter provide additional resources. Receptions for adjunct faculty and retired faculty are scheduled annually.

Working with the Faculty Development Program, the Office of Assessment offers consultations to individuals and departments in support of assessment strategies at both the course and program levels. The Provost’s office provides assistance with survey design and research methods, and the Associate Provost for Research Initiatives provides additional support. The Sponsored Projects Office, significantly expanded in the past two years, assists faculty with grants at both the proposal and the award stage. Technology training is available to all faculty and staff in summer workshops, in training sessions throughout the year, and as needed through individual assistance. The Undergraduate Research Initiative mentioned above supports research-active faculty by providing teaching credit for supervising undergraduates involved in research projects. And a sabbatical program was expanded in 2006 to allow faculty to take more substantial research leaves without significant loss of salary. See the Reflective Essay on the

Teaching Scholar Model and the Appendices for further discussion of challenges and goals. CFR 2.8, 2.9, 3.2, 3.3, 3.4.

### **Standard Three: Resources, Structures, and Infrastructures**

Responsibility for university governance rests ultimately with an independent Board of Trustees which appoints and evaluates the President. The President has full-time responsibility for the university and is supported by a team of vice presidents, including the Vice President for Academic Affairs (the Provost), each with clear areas of responsibility. Senior leaders are highly qualified full-time administrators. An award-winning shared governance system involves administrators, faculty, staff, and students in several University Policy Committees, and is complemented by a Faculty Senate Council, Staff Assembly, and Associated Students. The governance system, designed for broad consultation and collaboration, supports the institution's educational objectives, reflecting a commitment to participatory and evidence-driven decision-making. CFR 1.3, 3.8, 3.9, 3.10.

Santa Clara's dedicated and qualified faculty and staff are central to the university's ability to support student learning in the Jesuit, Catholic tradition. Faculty exercise leadership to ensure academic quality and to maintain educational objectives. Faculty roles and responsibilities are described in the Faculty Handbook. Faculty have responsibility for the curriculum and student learning in their areas of expertise. CFR 2.4, 2.6, 3.8, 3.11.

As detailed in the Reflective Essay on the Teaching Scholar Model, the initiation of a new sabbatical policy, along with growth in the student body over the last decade, led to an increase in the number of faculty. Between the 1999-2000 and 2008-2009 academic years the total increase in full-time faculty was 110 but the total increase in tenure-stream faculty was only 33 (Tables 4.1.3, 4.1.7, 4.1.9). We have attempted, following the previous WASC Visiting Team recommendation, to "reduce the

number of quarterly, one-course part-time teaching contracts in favor of higher numbers of long-term appointments" (page 29, Visiting Team Report, 2000). This has led to an increase in the number of lecturers with contracts lasting at least one year. Our goal has been to maintain a community of faculty well-trained in their disciplines, knowledgeable about the institution, engaged with the mission, and committed to the students. These lecturers receive benefits and usually teach seven courses; 78 percent are "full-time" but not "continuing" and 22 percent are neither "full-time" nor "continuing."

The university is engaged in two different discussions of the composition of the faculty. One discussion involves the status of lecturers. A task force in 2007 surveyed Santa Clara lecturers and examined best practices for non-tenure-track faculty at benchmark universities. The Faculty Affairs Committee, after discussing the recommendations of the report, developed a draft proposal recommending changes in the selection and appointment process for adjunct faculty and renewable/continuing faculty. This draft proposal is under discussion by the university community. The second discussion addresses questions raised by the WASC subcommittee on the Teaching Scholar Model in the Reflective Essay below, recommending an increase in tenure-stream faculty. The outcomes of the two discussions will be considered in forthcoming conversations as we analyze the optimal size and composition of the faculty and initiate an analysis of the resources that would be needed. CFR 3.1, 3.2.

Workload stress: Although tenure-stream faculty experience stress around scholarship responsibilities, teaching commitments, and work-life balance, Santa Clara nevertheless has a well-deserved reputation as a family-friendly institution marked by career flexibility. In the Higher Education Research Institute (HERI) Faculty Survey, 83 percent in 2004 and 82 percent in 2007 reported that "overall job satisfaction" was very satisfactory or satisfactory, compared with 77 percent in 2004 and 75 percent in 2007 of faculty nationally. We attribute the overall satisfaction, in part, to a

number of programs and policies that we hope to enhance. Many, but not all, of these are available to both non-tenure-stream faculty and tenure-stream faculty. These include: Kids on Campus, an on-site child care center; flexible spending accounts (for medical expense and dependent care reimbursements); an employee assistance program (for psychological, legal, and financial counseling); generous tuition benefits; Junior Faculty Leave for tenure-track faculty after a successful mid-probationary review; flexible course scheduling; a summer teaching policy for programs with year-round teaching needs; a phased retirement policy; a Faculty Housing Assistance Program; full salary during maternity leave; family medical leave for new parents; an automatic extension of tenure clocks for new parents; and modified duties for partial quarters not covered by leave. We are enhancing these programs and policies through a Work-Life Committee and a Sloan Foundation grant dedicated to career flexibility. Other benefits include faculty and staff retreats, discounts for plays and concerts, Adobe Lodge Faculty Club, Benefits Expo, fitness center, and other programs. See the Appendices for more complete descriptions. CFR 3.3.

Although the current economic crisis has created challenges for the university, Santa Clara has a long history of financial stability reflecting strong enrollment trends, investment performance, fundraising, and fiscal management. Over the past ten years the university has initiated several changes to fiscal management: an Investment Office was formed to more effectively manage investments related to the endowment; the Board of Trustees established a formal Audit Committee to oversee audits and other financial governance issues; a formal capital budgeting process was incorporated into the annual budget process, enhancing planning and fundraising for future construction; operating cash has been managed more strategically; and the financial system has been improved for better management and reporting of financial data. In addition, a Chief Investment Officer and investment staff were added in 2003 to

more professionally manage the portfolio of assets.

Independent financial audits throughout the history of the university have resulted in unqualified audit opinions. Fiscal 2007 and 2008 audits found no control deficiencies, significant deficiencies, or material weaknesses. Management letter comments reflect adequate financial controls. The financial performance over the past ten years reflects positive changes in net assets at the operational and total change lines which include investment gains. The net asset balance at its highest point (June 30, 2007) surpassed the \$1 billion mark, including investments of \$828 million.

The university has a formal annual budgeting process to establish the next fiscal year budget and projections for five years beyond. The process is coordinated by the University Budget Council (UBC), which presents a budget to the Board of Trustees for approval early in each calendar year for implementation the following fiscal year. The budget proposal is also presented to the entire community in an open forum.

The use of debt has been a major component of the university's strategic financial plan. Since 1996 the university has added or renovated fourteen buildings or other facilities, adding approximately 745,000 square feet (a 51 percent increase). This construction was financed through gifts, debt, and internal funds. The current debt level (winter 2009) is around \$181 million of fixed debt. The university's auction rate and variable rate securities were negatively impacted in 2008 during the credit crisis, but the impact was minimized by restructuring the debt and reissuing fixed rate debt. The financial and facilities staffs have been able to adequately manage and budget for the new debt and additional operational costs.

The value of the endowment assets in June 2008 was \$676 million. Although that figure is down from its peak in June 2007, the university is fortunate to still have a substantial endowment to support its operations. With

oversight by the Investment Committee, the staff regularly analyzes and presents portfolio holdings along with recommendations to change the asset allocations. In 2007, the university exceeded a \$350 million capital campaign goal, raising a total of \$404 million for a variety of needs including \$147 million for endowment, \$150 million for capital facilities, \$59 million for education programs, and \$22 million for specific program areas. The annual goal for fundraising during non-campaign years is \$50 million. The university is currently in the planning stages for the next capital campaign, which will exceed the last campaign total.

While Santa Clara University has experienced solid growth over the last decade, many financial challenges face higher education today. As a private, tuition-driven institution, a substantial amount of annual revenue is produced by tuition. The challenge will be to limit the growth of costs while enrollment and tuition rates are being limited. In this time of financial instability we are increasing financial aid to retain current students and recruit new students. CFR 1.8, 3.5.

A master plan for the physical plant guides decisions about construction of new buildings and remodeling of old buildings. Most new building projects are currently on hold, although groundbreaking for a new student center is scheduled for fall 2009. Several remodeling projects are in process, including spaces for Education and Counseling Psychology, the Law School, Pastoral Ministries, and the Jesuit School of Theology. We continue to face challenges in the number of classrooms available at the most popular teaching times. Our plan to decrease the enrollment in Core courses for first-year students will require scheduling more classes at less popular hours. CFR 3.5.

#### **Standard Four: Organizational Learning and Improvement**

Santa Clara is committed to institutional learning as well as student learning. The mission statement affirms that the university

“makes student learning its central focus, promotes faculty and staff learning in various forms, and exhibits organizational learning as it deals with the challenges facing it.” The university’s attention to student learning and organizational learning is clearly evident in its support for assessment, program review, and institutional decision-making. Offices and activities include the Office of Assessment, the Office of Institutional Research, and a recently formed task force on Data Quality and Reporting co-chaired by the Vice Provost for Information Services (who also serves as Chief Information Officer) and the Vice Provost for Planning and Administration.

**The Office of Assessment:** Santa Clara supports the assessment of course, program, and institution in both undergraduate and graduate programs. The Office of Assessment provides support and consultation to academic departments. Through assessment workshops, presentations, and one-on-one consultation the Office provides support to faculty and academic administrators. In addition the office provides data analysis and reporting to specific groups as needed. The Appendices provide a thorough summary of the assessment process and the role of the Office of Assessment. CFR 2.3, 4.1, 4.3, 4.6, 4.7.

Santa Clara continues to face some challenges in engaging faculty in assessment and communicating the value of assessment in supporting student learning and institutional learning. An informal survey in fall 2008 by the Faculty Senate Council revealed significant faculty concern (e.g., faculty are not trained for assessment; assessment and program review are time-consuming; effective assessment strategies are difficult to develop; departments have gathered data but have few answers; faculty need guidance and support from experts). Faculty concerns continue to be discussed and solutions sought. Discussions with the [Faculty Senate Council](#) led to the formation of an Assessment Advisory Committee with representatives from each disciplinary area. The Assessment Advisory Committee will report quarterly to the Director of Assessment, the

Senior Vice Provost, and the Vice Provost for Undergraduate Studies to maintain communication about faculty concerns. The [informal survey and report](#) are posted on the Web site.

**The Office of Institutional Research:** The evaluation of student learning outcomes supported by the Office of Assessment augments the data collected by the university's Office of Institutional Research. Institutional Research collects, maintains, and analyzes data about the university; provides reports to senior administrators and others to support institutional planning and decision-making; supports institutional and specialized accreditation self-studies; and provides information to federal and state agencies as well as educational, professional, and commercial organizations. The purpose of the Office of Institutional Research is to provide objective, systematic, and thorough research and analysis in support of the institution's strategic and operational planning, policy formation, and decision-making.

The Office of Institutional Research annually prepares a wide variety of reports. The office maintains an open-access Web site with standard institutional data as well as a limited-access Web site of all previous survey questions and results, allowing comparisons across time and across surveys. The Office of Institutional Research has created the university's first data mart to provide a reliable and consistent solution for data gathering, analysis, and reporting. The data mart facilitates efficient analysis and reporting in areas such as strategic planning, external agency survey preparation, program review, accreditation, routine reporting, and ad hoc requests for information. The systematic approach used to develop the data mart contributes to and supports campus data quality initiatives currently underway. CFR 4.5.

**Task Force on Data Quality and Reporting:**

In spring 2008 the Provost charged the Vice Provost for Planning and Administration and the Vice Provost for Information Services to

serve as co-chairs of a Task Force on Data Quality and Reporting. The Task Force has begun a multiyear process that will standardize data definitions across the institution, correct data of questionable quality, streamline data acquisition processes, and develop a reporting solution for the university that will make appropriate levels of operational and strategic data easily accessible by university administrators. CFR 4.5.

**Conclusion**

Santa Clara University meets or exceeds WASC's four Standards. The university community as a whole is committed to continuous improvement and a culture of evidence, although concerns about assessment expressed by the Faculty Senate Council remain a challenge. Santa Clara is increasingly attentive to evidence of student learning in classrooms, to data on student retention and graduation, and to other indicators of student success. Part of this culture of evidence can be seen in the three Reflective Essays. The Essays outline evidence related to the university's capacity in each area; each reflects in a preliminary way on evidence related to educational effectiveness; and each outlines a vision for a stronger university. CFR 4.8.

## EDUCATING FOR COMPETENCE, CONSCIENCE, AND COMPASSION

### Reflective Essay

To educate men and women to be leaders of competence, conscience, and compassion has been an explicit focus of Santa Clara University for many years. This focus shapes university communications as well as planning and resource allocation. It touches upon all four of the WASC standards. Numerous documents provide definitions and illustrations.<sup>1</sup> For example:

“Competence emphasizes the acquisition of knowledge across multiple areas, the practice of critical thinking, and the pursuit of lifelong learning. Conscience informs and develops the moral compass in students, regardless of their religious or cultural heritage, and establishes the importance of living an ethical life, recognizing consequences, and addressing justice issues. Compassion nurtures the human desire and will to fashion a more humane, just, and sustainable world. It means using knowledge for the well-being of all, especially the poor and powerless.”<sup>2</sup>

The university does not see competence, conscience, and compassion as independent elements but as complementary components of the “whole person.” As stated by Rev. Peter-Hans Kolvenbach, former Superior General of the Society of Jesus, in an address at Santa Clara University in October 2000: “Tomorrow’s “whole person” cannot be whole without an educated awareness of society and culture with which to contribute socially, generously, in the real world. Tomorrow’s whole person must have, in brief, a well-educated solidarity... Solidarity is learned through “contact” rather than through “concepts.” When the heart is touched by direct experience the mind may be challenged to change.”<sup>3</sup>

Father Locatelli, S.J., president from 1987 to 2008, reiterated this goal many times. In a letter to the Hewlett Foundation he stated: “Educating for competence is a sine qua non for all universities; the integration of conscience and compassion makes a Santa Clara education

unique. Efforts to advance the dimensions of conscience and compassion are present in every SCU undergraduate and graduate program.”<sup>4</sup> This vision has driven the development of the university’s new undergraduate Core Curriculum. It was central to the establishment of the three Centers of Distinction: the Markkula Center for Applied Ethics, the Ignatian Center for Jesuit Education, and the Center for Science, Technology, and Society. And it has been a foundational motivation for the university’s participation in the Carnegie Foundation’s elective classification in “Community Engagement” since the first year the classification was available.

The explicit focus on educating for competence, conscience, and compassion dates to the mid-1990s. The 1993 University Guiding Principles and Statement of Purpose emphasized “a learning environment that integrates rigorous inquiry, creative imagination, reflective engagement with society, and a commitment to fashioning a more humane and just world.”<sup>5</sup> Over time, “competence, conscience, and compassion” emerged as a concise statement of the university’s central educational goals. This is explicit in the 1998 Strategic Plan, was reaffirmed in the 2001 revision, and continues in the current revision of the Strategic Plan.<sup>6</sup> Achieving this goal is a complex task.

### The Self-Study

In the Institutional Proposal submitted to WASC in May 2007, three approaches were laid out:

- Enhancing the degree to which Santa Clara educates students for competence, conscience, and compassion throughout the curriculum and co-curriculum.
- Promoting a broader understanding of these characteristics as integrated educational objectives.

- Developing more effective indicators of educational effectiveness in this area.

The Institutional Proposal listed a number of research questions to guide this inquiry during the Capacity and Preparatory Review.<sup>7</sup>

Following the advice of the WASC Institutional Proposal Review Panel, this committee has been selective about researching these questions.<sup>8</sup>

### **Competence, Conscience, and Compassion in Curriculum and Co-curriculum**

There is ample evidence that the university embraces the goal of educating for competence, conscience, and compassion and that there are multiple opportunities for engagement and support of these values throughout the university's programs and offices. All academic departments have formulated the learning objectives required for competence in each major. For a discussion of the assessment of academic success (competence), see the Introductory Essay, the Appendices, and the Index of Educational Effectiveness Indicators. This Essay focuses on the *integration* of competence with conscience and compassion. Many curricular and co-curricular units have explicitly integrated competence and compassion into their learning objectives. For a [list of academic units](#), at both the graduate and undergraduate levels, with learning objectives linked to competence, conscience, and compassion, see our Web site. See the Appendices for NSSE tables relevant to these goals.

**Competence, Conscience, and Compassion in Undergraduate Programs:** All students take a course in ethics. The Markkula Center for Applied Ethics supports a curricular ethics consultant who helps faculty incorporate ethics modules into courses throughout the curriculum. All undergraduates under the new Core Curriculum will also take courses in civic engagement and “experiential learning for social justice.” The new Core Curriculum aims to provide the common learning that all students

need to become people of competence, conscience, and compassion by integrating three learning goals—knowledge, habits of mind and heart, and engagement with the world—across the curriculum.<sup>9</sup> In the new Core, competence is achieved through courses that develop “knowledge of the most profound ideas and ways of knowing that emerge from the arts, humanities, and natural and social sciences.” The development of conscience is a key component of the “habits of mind and heart” that the new Core aims to instill, while compassion is an outcome of Core courses that seek to develop a “disciplined sensibility toward the causes of human suffering and misery, and a sense of responsibility for addressing them.”

The university has developed a number of academic courses that provide direct encounters with those who live on the margins of society. These courses use the resources of the Arrupe Partnerships for Community-Based Learning to connect students with marginalized communities. The Arrupe Partnerships, which operate under the umbrella of the Ignatian Center, engage approximately 1,200 undergraduates per year in justice-oriented experiential learning through academic courses. This type of engaged learning connects the classroom to the real world and happens across the disciplines and the schools.

The Ignatian Center, Campus Ministry, International Programs, and other programs offer immersion trips to domestic and international sites where students have the opportunity to work, study, and live with the marginalized. The Casa de la Solidaridad in El Salvador, for example, lets undergraduate students integrate rigorous academic study with direct immersion with the poor for a semester. The DISCOVER project, funded by the Lilly Foundation, combines scholarly reflection, the Jesuit tradition of discernment, and real-world experience to allow students to explore a calling as well as a career. The Kolvenbach Solidarity Program offers students, faculty, and staff opportunities for vocational discernment through immersion trips. Over 40 percent of

current undergraduate students participate in community-based learning or immersion trips; in the future all students will do so.

The university's Residential Learning Communities (RLCs) also support these goals.<sup>10</sup> Most freshmen and many sophomores live in one of eight RLCs that combine residence life with academic coursework. Nonresidential freshmen are assigned to RLCs through which they participate in activities and linked courses.<sup>11</sup> By placing key courses of the Core Curriculum in the RLCs, competence, conscience, and compassion become integral parts of each student's daily living. RLC residents have also organized many programs integrating competence, conscience, and compassion such as Urban Plunge, an immersion program dealing with the homeless, and the Sustainable Living Undergraduate Research Project focused on the environment.

#### **Competence, Conscience and Compassion in Graduate and Professional Programs:**

The graduate schools are also committed to these goals. The mission of the graduate programs of the Leavey School of Business is to develop "men and women with competence, conscience, and compassion who can provide leadership in technologically advanced and rapidly changing global environments."<sup>12</sup> This objective is implemented in part by coursework that addresses business's impact on communities and environments. The graduate programs of the School of Education and Counseling Psychology pursue "professional competence through advanced knowledge, theory, research, and practice; using conscience, guided by professional ethical standards, to improve self and society; developing compassion to promote social justice and to serve others, especially those in greatest need."<sup>13</sup> The School deploys considerations of conscience and compassion into virtually all of its courses.<sup>14</sup>

The mission of the School of Engineering is "to provide the type of education that nurtures students of competence, conscience, and

compassion into the leaders of tomorrow—leaders who are well-equipped to face the engineering and ethical challenges of the future."<sup>15</sup> The School's new graduate Core Curriculum "emphasizes a global and societal orientation" and requires coursework on ethics and on engineering's social impacts.<sup>16</sup> The School of Law is "dedicated to training lawyers with uncompromising standards of excellence in service to their clients and society, with an emphasis on ethical issues in the legal process." The School strives to educate its students to become lawyers of competence, conscience, and compassion<sup>17</sup> by offering—in addition to required coursework in professional ethics—opportunities for community law service and immersion trips to El Salvador. Working with the Markkula Center for Applied Ethics, the School is in the midst of a project designed to identify ways of incorporating ethics into courses. In the Innocence Project, students investigate wrongful convictions and help represent those with viable claims to innocence (six people have been exonerated since 2001). In the Katharine and George Alexander Community Law Center they provide free legal advice and services to low-income local residents.

The WASC visiting team a decade ago noted a lack of graduate students' voices in discussions of the university vision. Although graduate student groups flourish in each of the graduate programs and student representatives serve on the Student Affairs University Policy Committee, this remains an area of concern.<sup>18</sup>

#### **Recommendations**

- Enhance opportunities for educating for competence, conscience, and compassion by expanding community-based learning and immersion opportunities; developing new domestic and/or international sites similar to the University's Casa de la Solidaridad program in El Salvador; and strengthening education for competence, conscience, and compassion in graduate and professional programs.

- Develop more effective indicators by encouraging co-curricular as well as curricular units to clarify goals and objectives related to competence, conscience, and compassion and by fine-tuning analysis and research methods to evaluate their integration.
- Better communicate an understanding of competence, conscience, and compassion as integrated educational objectives; improve coordination of programming across schools and colleges; and consider integrating the goal of educating for competence, conscience, and compassion into periodic evaluations or recognition of staff.

### **Preparation for the Educational Effectiveness Review**

A number of faculty have developed analyses of student development and student success in relation to competence, conscience, and compassion: a professor in the psychology

- A study of Santa Clara students' critical thinking skills tracked through a longitudinal "community of scholars" study using the CCTST (California Critical Thinking Skills Test) and the DI (Dispositions Inventory).

department administered a "compassion scale" to students before and after immersion trips; philosophy and management faculty have administered the "defining issues test" of moral development at the beginning and end of their courses on ethics; and a faculty member in counseling psychology has taught students to meditate and observed the effects on grades and health. The Educational Effectiveness Review will summarize some of this research. In addition, several specific studies have been initiated that will lead to the development of more effective indicators to evaluate our success in integrating competence, conscience, and compassion. A preliminary report on "measuring the ineffables" presented at the 2009 WASC annual conference can be found on the Web site of the Office of Assessment with data including:

- Selected questions on the NSSE and the Jesuit consortium of NSSE participants.
- Selected questions on the CIRP and the CSS (a longitudinal study examining change over a decade).
- A planned study of undergraduate student success in achieving the learning objectives associated with our "experiential learning for social justice" Core Curriculum requirement.

<sup>1</sup> "Future Directions: Conversations" at <http://www.scu.edu/strategicplan/futuredirections/index.cfm>. Charles Currie, S.J. discusses SCU and Jesuit Education in the 20th century at "Keeping the Light On: Identity and Mission Activity at Jesuit Colleges and Universities," May, 2008, at [http://www.scu.edu/ignatiancenter/events/conferences/archives/bannan/upload/s08\\_currie.pdf](http://www.scu.edu/ignatiancenter/events/conferences/archives/bannan/upload/s08_currie.pdf)

<sup>2</sup> "Educating for Competence, Conscience, and Compassion, Executive Summary," January 3, 2008, at <http://cms.scu.edu/provost/ugst/wasc/upload/Hewlett-Ex-Summ-CCC012408.pdf>

<sup>3</sup> See complete speech at [http://www.scu.edu/news/attachments/kolvenbach\\_speech.html](http://www.scu.edu/news/attachments/kolvenbach_speech.html)

<sup>4</sup> "Educating for Competence, Conscience, and Compassion, Executive Summary"

<sup>5</sup> "Strategic Plan 2001" at <http://www.scu.edu/strategicplan/plan2001/appendixb.cfm>

<sup>6</sup> "Strategic Plan," at <http://www.scu.edu/strategicplan>.

<sup>7</sup> These included: (1) Is the goal of educating for competence, conscience, and compassion clearly defined and understood? (2) Is it expressed in the learning outcomes of the university's curricular and co-curricular programs? (3) Are there the physical, informational, financial, and organizational resources to support the goal? (4) How do the Residential Learning Communities support the goal? (5) How do the university faculty and staff incentive practices, evaluation procedures, and development programs support the goal? (6) Do the university's quality assurance processes (new program approvals, program reviews, assessment of student learning) take the goal into consideration?

<sup>8</sup> See <http://www.scu.edu/provost/ugst/wasc/Data.cfm> for summaries addressing these research questions.

<sup>9</sup> See Core 2009, "Learning Goals," at [http://www.scu.edu/provost/ugst/core2009/learning\\_goals.cfm](http://www.scu.edu/provost/ugst/core2009/learning_goals.cfm)

<sup>10</sup> "The Integration of Campus Life," at <http://www.scu.edu/rlc>

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- <sup>11</sup> “Residential Learning Communities,” at <http://www.scu.edu/oncampus/studentlife.cfm>
- <sup>12</sup> Dean Barry Posner, “The Dean’s Challenge,” <http://www.scu.edu/business/graduates/academics/bulletin.cfm>
- <sup>13</sup> ECPPM Mission Statement, at <http://www.scu.edu/ecppm/admissions/ECPPM-Mission-Statement.cfm>
- <sup>14</sup> See “How does ECPPM educate students for Conscience and Compassion?” at <http://www.scu.edu/provost/ugst/wasc/upload/dale-conscience-and-compassion-in-ECPPM.pdf>
- <sup>15</sup> “School of Engineering Mission Statement,” at <http://www.scu.edu/engineering/mission.cfm>
- <sup>16</sup> “The Graduate Core,” at [http://cms.scu.edu/engineering/graduate/courses\\_registration/core.cfm](http://cms.scu.edu/engineering/graduate/courses_registration/core.cfm)
- <sup>17</sup> Law School Mission Statement: <http://www.scu.edu/law/about/mission-statement.cfm>
- <sup>18</sup> This was noted by the 1998 WASC visiting team: “The Self-Study in what it includes and does not include on graduate education indicates the need of greater alignment between the professional programs and the vision of competence, conscience, and compassion.” <http://www.scu.edu/strategicplan/selfstudy/pdf/report.pdf>

## SUPPORTING THE TEACHING SCHOLAR MODEL

### Reflective Essay

The Introductory Essay commented on a number of issues related to the Santa Clara teaching scholar model, providing a summary of resources, structures, and infrastructures exemplifying the university's support for teaching, learning, and scholarship of high quality (Standards Two and Three). This Reflective Essay focuses on two particular areas relevant to the teaching scholar model: the number and percentage of tenure-stream faculty, and the teaching load of tenure-stream faculty.

The Santa Clara University teaching scholar model was introduced to the campus community in 1986 when Father Paul Locatelli, then academic vice president, publicly articulated the centrality of both research and teaching for faculty. The 1998 WASC re-accreditation Self-Study affirmed that faculty are at the heart of the initiative to create a community of scholars and “must be teaching scholars in the fullest sense: committed to top-flight scholarship and creative work; deeply involved in the fabric of student learning; and, as a whole, representative of diverse perspectives and experiences.”<sup>1</sup> Father Locatelli reflected again on the teaching scholar model in public remarks to the university community in 2004: “The ideal teaching scholar cannot claim to be a great teacher and do no or little research. Nor could one claim to be a great researcher and neglect teaching.”<sup>2</sup>

These principles are reflected in the Faculty Handbook's statement that tenure-stream faculty are hired, evaluated, and tenured/promoted on the basis of their equal excellence in teaching and scholarship, as well as in service (with a typical 40 percent, 40 percent, 20 percent commitment to each, respectively).

Substantial progress has been made toward Father Locatelli's vision for a community of scholars at Santa Clara. Today the majority of

Santa Clara's tenure-stream faculty are engaged in high-quality scholarship or creative activity, while providing excellent teaching in the classroom. In recent years many faculty have expanded their research programs to include student-faculty collaborations, acknowledged by the [National Survey of Student Engagement](#) as one of the primary educational practices empirically linked to high levels of learning and development. In support of these collaborations, the university has developed programs such as the Undergraduate Research Initiative to provide teaching course credit for faculty who significantly involve student collaborators. This initiative seeks to incorporate non-traditional teaching practices as a component of faculty workload. These programs have already proved successful: students who have participated in undergraduate research experiences have published and presented their research with faculty mentors in professional venues and have received competitive research-related awards such as the Goldwater, Marshall, and Oxford fellowships.

Support for faculty includes the following: a centralized Faculty Development Program offers support of various types including internal grants to support scholarship and curriculum development; a recently expanded Sponsored Projects office that assists faculty with external grant proposals; a technology training support system available throughout the year; a sabbatical program providing thirty to forty tenure-stream faculty and senior lecturers with research leaves each year; an Assessment Office that provides guidance in the assessment of student learning; a family leave policy that supports work-life balance; a series of curriculum development workshops and honoraria supporting curriculum innovation; and a phased retirement policy. See the Introductory Essay and Appendices for additional examples of support for faculty. CFR 3.4.

Variables affecting the vitality of the teaching scholar model include the standard teaching load, class size, student body size, staff support for advising and laboratory preparations, faculty salaries, sabbatical policies, and the proportion of tenure-stream to contingent faculty. Commitment to the teaching scholar model has served the university well in establishing an excellent reputation marked by high rankings in *US News & World Report*, an increasingly well-prepared student body, and a faculty recognized for scholarly contributions to their disciplines. Tenure-stream faculty maintain an active scholarly life, publishing books and articles, receiving grants and fellowships, and serving on editorial boards. They model excellence as teaching scholars and serve as mentors for students. An enhanced commitment to supporting the teaching scholar model will be crucial in moving the university toward an expanded ability to recruit excellent and diverse faculty; a national reputation for excellence in teaching and scholarship; and greater student opportunities for research and overall success.

### **The Self-Study**

The Institutional Proposal submitted to WASC in May 2007 posed a number of research questions focusing on Capacity in relation to the support of the teaching scholar model. The research into those questions resulted in two primary recommendations: over time and as resources permit, increase the percentage of tenure-stream faculty; and reduce the standard teaching load for research-active faculty. CFR 3.1, 3.2. A related recommendation, to be pursued as part of the Educational Effectiveness Review, is to perform a resource analysis to determine cost and timeline for a responsible, multiyear trajectory toward these goals.

This reflective essay divides faculty appointments into two major categories:

tenure-stream (both tenured and tenure-track) and contingent. Tenure-stream positions are permanent and involve significant research expectations. Contingent faculty includes all others: senior lecturers, renewable term lecturers, annual year lecturers, and adjunct or quarterly part-time faculty. These positions are temporary and have few, if any, research expectations. (This definition differs from the IPEDS definition—see Appendices.<sup>3</sup>)

Tenure-stream faculty have greater responsibility for service to the university through committees, task forces, evaluation processes, and the like. Many committees require tenure-stream status for membership. As the percentage of contingent faculty has increased, tenure-stream faculty have taken on greater service burdens, reducing their time for teaching and scholarship. Since it is the tenure-stream faculty who most fully exemplify the teaching scholar model and most fully participate in the university community through excellent teaching, student mentoring, long-term programs of scholarship or creative work, and service, the university has assumed an aspirational goal to gradually increase the percentage of tenure-stream faculty.

Although the standard teaching load has remained at six courses per year for many years, faculty report an increasing workload. Even in 1990, 73 percent of tenure-stream faculty responding to a survey said that the teaching load was an obstacle to scholarship. More recent data from 2007 show that the standard teaching load remains a central point of concern. Therefore, the university aspires to move toward a reduction of the teaching load for research-active faculty.

### **Faculty Size and Composition**

Santa Clara's 2001 Strategic Plan articulates a commitment to support the ideal of the teaching scholar (1.B), stating the following

goal: “with a judicious use of adjunct faculty, maintain a full-time faculty that is sufficient in size and composition to promote excellence in teaching, learning, and scholarship.” As noted in the Introductory Essay, this goal has led to an increase in the number of full-time faculty, although more faculty are contingent than tenure-stream.

Santa Clara’s Office of Institutional Research has provided data on faculty composition and turnover from 1999-2008. During this period, 220 full-time faculty were hired: 90 tenure-stream and 130 non-tenure stream. The total increase in full-time faculty is 110 after subtracting departures, but the increase between 1999 and 2008 is only 33 tenure-stream faculty, due to retirements and departures. Tenure-stream faculty decreased from 77 percent of all full-time faculty in 1999 to 67 percent in 2008. (Tables 4.1.3, 4.1.7, 4.1.9, IPEDS and IR data.) Full time faculty, following IPEDS categories, include renewable term lecturers and senior lecturers as well as tenure-stream faculty.

Comparing tenure-stream faculty to total faculty shows a decrease in tenure-stream faculty from 51 percent to 45 percent between 1999 and 2008.<sup>4</sup> (See Figure 2 below.) There are several reasons for the decline, including increases in sabbatical, medical, and family leaves and the effects of phased retirements. Tenure-stream faculty on leave are usually replaced by contingent faculty, many of whom are quarterly part-time faculty. Faculty on phased retirement typically teach less than full time over a five-year period and a portion of what had been their full load is assigned to temporary faculty until the faculty member is close to retirement and the faculty line is released for another full-time tenure-stream hire.

Quarterly faculty are hired for two major reasons: to replace faculty on leave of absence or administrative assignment (as department chairs and the like); and to obtain the expertise of outstanding practitioners in

academic disciplines or professional fields. The professional schools (Business, Law, Engineering, and ECPPM) are committed to a continuing practice of hiring outstanding practitioners with special expertise as quarterly faculty to meet the specialized needs of their curricula. The presence of business, engineering, legal, psychological, and educational professionals with unique qualifications brings benefits and innovations to the Graduate and Professional programs that would not be otherwise possible. The undergraduate students in the College of Arts and Sciences also benefit from well-known quarterly professors such as philosopher Robert Audi, politician Leon Panetta, and other widely known visiting instructors. However, an increasing number of quarterly faculty are hired on an ongoing basis as replacements for permanent faculty on leave.

Disaggregating the quarterly part-time faculty by school in 2008-2009 shows that the College of Arts and Sciences hires a significant number of this group. Continuing efforts to decrease these numbers are a priority. This issue is also of concern in the Leavey School of Business.<sup>5</sup>

An analysis of faculty teaching undergraduate courses in the College of Arts and Sciences indicates that only 46 percent were taught by tenure-stream faculty during the years 2002-2006. Recent efforts to reduce the number of quarterly faculty have led to an increase in tenure-track faculty teaching undergraduate courses: for the three-year period from 2005 to 2007, approximately 50 percent were taught by tenure-track faculty.<sup>6</sup> A continued clustering of quarterly faculty positions into tenure-stream or full-time lecturer positions, especially in the College of Arts and Sciences, and a concomitant increase in tenure-track faculty would benefit the students and the institution. The new Core Curriculum may provide opportunities in this direction. Retirements may provide another opportunity as 30 percent of full-time faculty are fifty-nine or older.

Most contingent faculty are excellent teachers and many have significant regional reputations. However, they are not eligible for sabbatical leave, they have low priority for internal research grants, they teach more courses than tenure-stream faculty, and they obtain limited rewards for scholarly activity. With few exceptions, the responsibilities of contingent faculty are defined predominantly in relation to teaching; therefore, they do not fit the teaching scholar model. The increasing number and percentage of contingent faculty does not strengthen the teaching scholar model.

### **Faculty Support: Teaching Load**

In 1987, Santa Clara University reduced the teaching load to six courses per year from the standard seven for research-productive tenure-stream faculty. The six-course load has become the university's de facto standard for tenure-stream faculty. For planning and budgeting the university calculates a course load of 5.2 courses for each full-time faculty member overall. This incorporates medical leaves, phased retirements, administrative leaves for faculty serving as department chair, etc., and provides a metric for estimating current and future needs.

Since the teaching scholar model was introduced, faculty workload has increased due to higher research expectations for tenure and promotion, increased service and governance responsibilities, and other factors. The teaching load, however, has remained unchanged. The result is a tension between workload expectations and the time needed to meet those expectations.

As noted above, the university has developed programs and services to support scholarship and teaching. Particularly important are the Faculty Development Office, the new sabbatical policy, the undergraduate research initiative program, the Office of Research Initiatives, and the expansion of the Sponsored Projects Office. In order to

improve efforts to recruit and retain tenure-stream faculty,<sup>7</sup> the university has begun offering new tenure-track faculty a five-course teaching load in their first year of teaching. These programs have strengthened the teaching scholar model. But the fundamental challenge remains time. The increase in workload, measured in hours per week, is documented in the Higher Education Research Institute (HERI) survey and confirmed by the 1990 Faculty Survey, the 2004 Report on Associate Professors, the 2005 Thought-Paper on the Teaching Scholar and Response, and the 2007 Women's Faculty Group survey. (See Figure 1 below.) These sources also indicate that the 40-40-20 distribution used for tenure, promotion, and evaluation of tenure-stream faculty does not reflect the amount of time dedicated to each area.

### **Recommendations**

- Consider reducing the teaching load for research-active faculty to accommodate increased demands for research, student interaction, and assessment, with the goal of gradually bringing the teaching load to five courses per year.<sup>8</sup>
- Consider increasing the number and percentage of tenure-stream faculty and decrease the number and percentage of contingent faculty (including quarterly faculty). The committee recommends, as an aspirational goal, a tenure-stream faculty of 60 percent of the total faculty. FTE (full-time equivalent) as well as total headcount should be considered in the analysis.
- Consider increasing the percentage of university courses taught by tenure-stream faculty. The committee recommends that at least 60 percent of the courses at the undergraduate level, especially in the College of Arts and Sciences, be taught by tenure-stream faculty.

### **Preparation for the Educational Effectiveness Review**

The Educational Effectiveness Review will continue the focus on the theme of the Teaching Scholar. Two projects will provide the primary evidence for the EER report: the HERI faculty survey, and a survey conducted by the Faculty Development Office focusing on current best practices on campus for supporting teaching scholars.

The EER will pursue an additional question with both Capacity and Effectiveness dimensions. The university will perform an initial resource analysis of the recommendations in this Capacity report. A more extensive resource analysis is also planned to guide our next strategic plan. The resource analysis will examine the costs of increasing the percentage of tenure-stream

faculty and decreasing the teaching load. The goal will be to determine the feasibility of meeting the recommendations as economic conditions shift. The plan will be flexible enough to sustain competing priorities. One possibility is that all research-active faculty become recipients of course reductions. Another is that new tenure-track faculty receive a reduction in teaching load each year until the mid-probationary review. Other alternatives will be considered. The Provost's office will communicate with the WASC committees on the resource analysis. The analysis will outline cost, feasibility, and timeline for a multiyear plan to decrease the teaching load to five for research-active tenure-stream faculty, and to increase the percentage of tenure-stream faculty. The plan will be both responsible and aspirational.

**Figure 1. Hours Worked per Week**

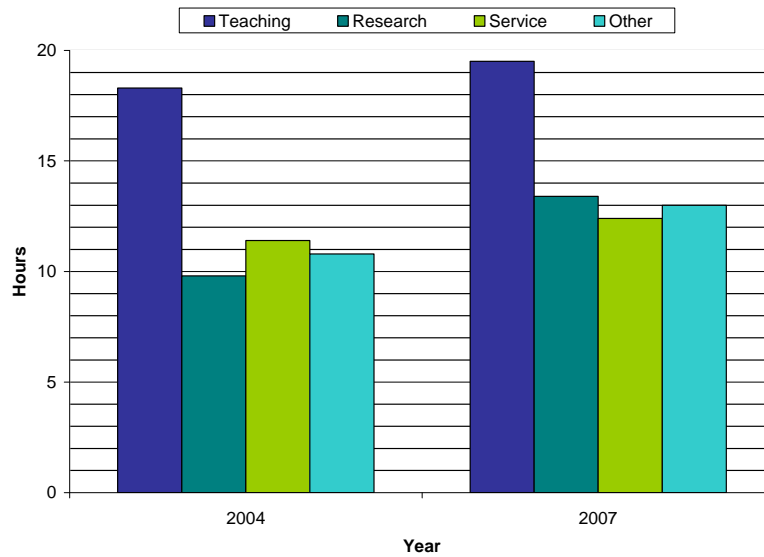
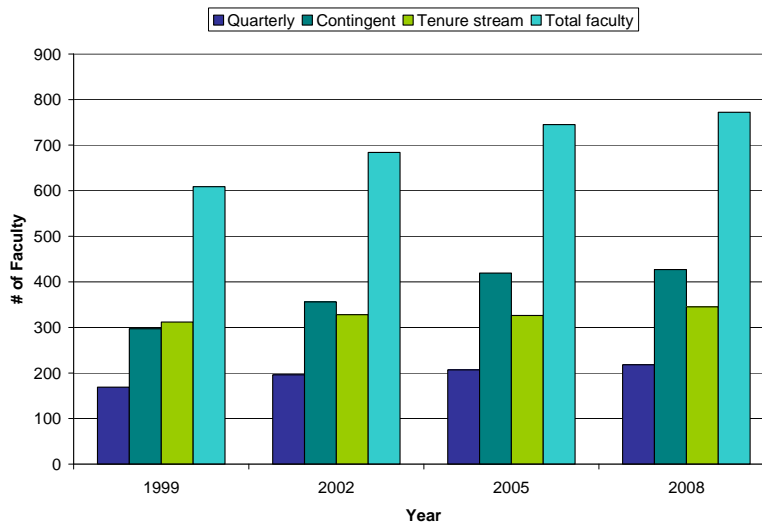


Figure 1 shows recent Santa Clara faculty data from the HERI survey, indicating the breakdown of hours reported per week in each category by tenure-stream faculty. (N=146 in 2004; 157 in 2007.) The total hours worked per week in 2004 was 50.3; in 2007, 58.3. Tenure-stream faculty report working close to 60 hours per week during the academic year. “Teaching” includes teaching and advising; “research” includes research and creative products; “service” includes meetings and administration; and “other” includes consulting, public service, and time spent on e-mail. More than 60 percent of the “other” category represents time spent on e-mail (7.1 hours in 2004 and 8.5 hours in 2007). Faculty consistently spend more time on teaching and service, and considerably less on scholarship.

**Figure 2. Faculty Composition Fall 1999-Fall 2008**



In Figure 2, contingent faculty include quarterly faculty. See Table 4.1.1 for additional information. The percentage of quarterly faculty during the past decade has stayed roughly the same (26 percent to 27 percent of total faculty) and the numbers have increased. Most quarterly faculty teach one or two courses.

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<sup>1</sup> (<http://www.scu.edu/strategicplan/selfstudy/chp3/homepage.html>)

<sup>2</sup> (<http://www.scu.edu/president/reports/2004/teach/index.cfm>)

<sup>3</sup> IPEDS is the Integrated Postsecondary Educational Data System.

<sup>4</sup> Tenure stream faculty numbers, 1999 – 2008: 312, 319, 327, 328, 325, 326, 326, 333, 341, 345. Few tenure-track faculty were added between 2003 and 2006, a period of lower-than-usual enrollment. Data exclude full-time administrators. See Table 4.1.3.

<sup>5</sup> Quarterly Part Time Faculty 2008

College of Arts and Sciences 87\*

Leavey School of Business 21

School of Engineering 51

ECPPM 24

Law 32

Other 3

Total 218

\*Arts and Sciences numbers do not include post-doctoral students or artists-in-residence.

(See Table 4.1.7)

<sup>6</sup> LS Dancer: Provost's Office 7/10/2008

<sup>7</sup> The Dean of the Business school suggests that teaching load may be a liability in recruiting top candidates.

<sup>8</sup> The committee recommends that increasing the teaching load to seven courses for faculty who are not research-active should be a voluntary option in exchange for a re-weighting of teaching/scholarship/service expectations.

## INCLUSIVE EXCELLENCE

### Reflective Essay

Inclusive excellence is central to the mission of Santa Clara University. CFR 1.5. The 1998 Strategic Plan (revised in 2001) lists community and diversity among the fundamental values of the mission as a Jesuit Catholic university. (The others are academic quality, integrated learning, commitment to students, service to others, and Jesuit distinctiveness.<sup>1</sup>) In 2007 the University Council on Inclusive Excellence<sup>2</sup> adopted the definition of “inclusion” published by the American Association of Colleges and Universities:

“The active, intentional, and ongoing engagement with diversity—in people, in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographical) with which individuals might connect—in ways that increase one’s awareness, content knowledge, cognitive sophistication, and empathic understanding of the complex ways individuals interact within systems and institutions.”<sup>3</sup>

Both this definition and the AACU definition of “diversity” have informed the university’s reflection on inclusive excellence in the period under review: “Individual differences (e.g., personality, learning styles, and life experiences) and group/social differences (e.g., race/ethnicity, class, gender, sexual orientation, country of origin, and ability as well as cultural, political, religious, or other affiliations) that can be engaged in the service of learning.”<sup>4</sup>

The university community has worked to develop and implement policies, structures, and initiatives aimed at achieving a diverse community. Enacting this fundamental value has been an ongoing process. Primary measures of accomplishment include changing racial/ethnic and gender demographics of students, faculty, administrators, and staff, and providing curricular and co-curricular enhancements. These have all improved, and the School of Law has shown particular improvement. However, room remains for advances in demographics and retention, the coordination of efforts, and the campus climate,

particularly in the area of racial and ethnic diversity.

In 1989, then-President Paul Locatelli, S.J., identified “cultural and racial multiplicity” as one goal for the 1990s: “[We intend] to build a campus community that is both knowledgeable and appreciative of cultural and racial multiplicity to insure that students, faculty, and staff better reflect the demographics and needs of the communities, and [to provide] students with a broad-based education that prepares them for an increasingly multicultural society.”<sup>5</sup>

While recognizing the importance of a wide range of diversity issues—religion, physical ability, age, sexual orientation—the president focused on the retention of underrepresented groups such as African Americans and Hispanics, adding that Santa Clara would “go beyond mere compliance with minimum legal requirements.”<sup>6</sup> The Plan for 1990-1995, which grew out of WASC recommendations from 1987, made an increase in cultural and ethnic diversity a major goal.<sup>7</sup> In 1993, the President’s Office drafted a Rationale Statement in Support of a Diverse University Community that stressed diversity as a goal embedded in the tradition of a Jesuit university,<sup>8</sup> and the 1998 Strategic Plan included a specific recommendation to increase the presence of historically underrepresented ethnic groups among faculty, staff, and students.<sup>9</sup> The university’s 1999 WASC Accreditation Self-Study reported some success toward a more diverse community of students and staff since WASC’s prior campus visit,<sup>10</sup> emphasizing in particular the improved representation of women on the faculty, although they noted that the university had failed to advance the goal of increasing faculty of color.<sup>11</sup> The self-study concluded that the university needed to improve its efforts to recruit more faculty, staff, and students of color.<sup>12</sup>

Between 2001 and 2007, the university community continued its discussions of diversity. A Thought Paper of 2005 proposed

making a distinction between two concepts: compositional diversity and diversity competence.<sup>13</sup> Compositional diversity refers to the process of numerically increasing underrepresented groups at the university. Diversity competence prepares our students to make critical and ethical choices in a country and world stratified by differences of race, ethnicity, social class, religion, ability, and sexual orientation. This broader goal of treating diversity as necessary to the life of our community and the formation of our students is encompassed by the term “inclusive excellence.” This new vision has not fully taken root. Most of our assessment mechanisms are still oriented around compositional diversity. However, we regard diversity competence to be a vital complement.

In 2005, the university’s trustees, regents, and alumni association board members published joint reflections on future directions for the university in a summary report, noting a “new density in the treatment of these questions and the development of these skills.”<sup>14</sup> The joint reflections touched on many features of diversity and called for a faculty, staff, and student body at least as diverse as California’s population, while recognizing the need for financial resources to accomplish this goal.

In September 2007, the Provost formed a Council on Inclusive Excellence. The Council provides leadership through activities and structures that enhance the “active, intentional, and ongoing engagement with diversity—in people, in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographical) with which individuals might connect—in ways that increase one’s awareness, content knowledge, cognitive sophistication, and empathic understanding of the complex ways individuals interact within systems and institutions.”<sup>15</sup> Restructured and expanded as the University Council on Inclusive Excellence in December 2008, the Council is divided into five working groups: 1) definition working group, 2) Core Curriculum and learning environment (curricular and co-curricular), 3) staff mentoring, education, and training, 4) faculty recruitment, retention, and mentoring, and 5) student recruitment, mentoring, and

retention. The Council’s Web site serves as a centralized resource for campus diversity resources.<sup>16</sup>

In spring 2008, the Provost also established the Provost’s Student Advisory Council, composed of elected student representatives from undergraduate and graduate organizations. In the same year, the Provost initiated a faculty and a student award for outstanding commitment to enhancing Santa Clara University’s multicultural community.

### **The Self-Study**

The university’s Institutional Proposal identified three goals for promoting a community of inclusive excellence: increase diversity and inclusiveness; foster a deeper understanding of the goal of inclusive excellence; and develop structures and resources to support inclusive excellence throughout the curriculum and co-curriculum.<sup>17</sup> The Institutional Proposal developed five research questions for the Capacity and Preparatory Review:

- To what extent is the goal of inclusive excellence clearly defined in the university’s documents, policies, and practices?
- What is the campus climate for diversity? What tensions and challenges are being encountered? How are staff integrated into the community?
- How diverse is the university community? How many underrepresented minorities are part of the community? How can we increase these numbers?
- How does the university support the goal of promoting a community of inclusive excellence in its recruitment and retention practices and its evaluation procedures for students, faculty, and staff?
- What physical, informational, structural, and financial resources does the university provide to promote inclusive excellence?

These goals and questions guided the collection of historical and contemporary data. Outcomes have been measured by both qualitative and quantitative research methods.

In its official literature, the university welcomes people of all origins, without regard to religion, race, ethnicity, gender, or sexual orientation.<sup>18</sup> While each of these categories is worthy of scrutiny, we have focused our attention on diversity by race/ethnicity and sex, as recommended in the 2000 WASC Commission Action Letter.<sup>19</sup>

### **Diversity of University Community<sup>20</sup>**

**Students:** A comparison of undergraduate applications, admissions, and enrollment of first-year, first-time students by race/ethnicity for cohort years 1999 through 2008 shows mixed results, with both gains and losses. (Table 1.4.1.) Of note is the increase in the proportion of students not reporting an ethnicity or race, making it more difficult to see trends and patterns. From 1999 to 2008, total applications have more than doubled, with increases shown, at varying rates, from each of the ethnicity groups considered. In the most recent three-year period (2006-2008), African American and Hispanic enrollments rose well above the ten-year average, while whites and Asian/Pacific Islanders declined. The trend in African American and Hispanic enrollment is matched by admissions rates that, during 2007 and 2008, exceeded the average admissions rate for all undergraduate applicants. Undergraduate Admissions uses many innovative strategies to recruit students of color, particularly African Americans (see the Policies, Practices, and Programs, below).

A review of gender admissions trends from 1999-2008 reveals a regular majority of female over male, consistent with national trends.<sup>21</sup> In all years, applicants, admissions, and enrolled candidates had more females than males. However, since 2002, there has been a downward trend in this difference from 18 percentage points to just 2 points, near parity, in 2008. (Table 1.4.9.)

The university's retention and four- and six-year graduation rates are quite high. (Table 3.2.1.) The four-year average retention rate is 93.5 percent, with no statistical difference in retention among races. Six-year graduation rates have improved overall, and there have been

relative improvements by Hispanic, black and American Indian students such that Hispanic and American Indian students are at parity with their white and Asian classmates and the cohort of black students entering this fall are predicted to graduate at parity. See the discussion of Student Success in the Appendices, where disaggregated data is discussed.

In graduate applications, admissions, and enrollments among the various schools,<sup>22</sup> the trend between 1999 and 2008 has been one of increased ethnic and racial diversity, as shown in the report, [Supplementary Material Inclusive Excellence](#), on our Web site. A modest decline in the proportion of white students has been complemented by a modest increase in Asian/Pacific Islander enrollment and a 30 percent increase in African American and Hispanic enrollment (although from an admittedly small base). The greatest decreases in the proportion of white students have occurred in the Leavey School of Business and in the School of Law. The percentage of Hispanics has nearly doubled in ECPPM (14 percent in 2008) and increased modestly in the School of Engineering (6.7 percent in 2008). African American student representation has increased so modestly in all schools and from such a small base as to be unremarkable. Asian/Pacific Islanders represent a quarter of the Law School enrollment and 46.1 percent of enrollment in the School of Business; their numbers have increased in ECPPM and have declined in the School of Engineering. When graduate gender diversity data is disaggregated by school, female enrollment shows declines in all schools but the Law School over the past decade.

The School of Law has achieved the greatest success in diversifying its student population. It has been consistently recognized as one of the top ten most diverse law schools in the country by *US News & World Report*.<sup>23</sup> The percentage of Asian/Pacific Islander Law students is approximately 26.1 percent, and the school continues in its efforts to recruit from other racial/ethnic groups.

**Faculty:** The university maintains a strong commitment to recruiting and retaining faculty of color and women, in accordance with the

2000 WASC Action Letter. As the Institutional Proposal reported, the percentage of women in leadership positions increased, but men continue to outnumber women, and the number of women on the Board of Trustees increased only from six to seven. (See [Responses to the 2000 Commission Action Letter](#).) The proportion of female faculty has increased from 36.5 percent to 40.4 percent. (Exhibit 4.1.) The gains are more impressive for the subset of full-time tenure-stream and continuing faculty, where the proportion of female faculty increased from 31.0 percent to 38.2 percent. (Table 4.1.1.) The School of Law has come closest to gender parity, with twenty female and twenty-four male full-time tenure-stream or continuing faculty members in 2008. (Table 4.1.5.) See the Appendices for a more extensive discussion of gender diversity.

In the past decade, the number of faculty of color has increased at a faster pace than the overall number of faculty; nevertheless, their percentage of the whole has remained between 15.6 percent and 19.3 percent. (Table 4.1.2.) The results are modestly better if one looks only at full-time tenure-stream and continuing faculty of color, with increasing percentages for Hispanic and Asian/Pacific Islander faculty but no improvement for African American faculty.<sup>24</sup> Among the schools, the proportion of full-time tenure-stream and continuing faculty of color has on average been lowest in Arts and Sciences (13.7 percent), followed by ECPPM (18.7 percent), Law (18.8 percent), Business (25.1 percent), and Engineering (29.8 percent). However, if Asian/Pacific Islander faculty are removed from the calculation, only Law shows a clear upward trend; the representation of African American, Hispanic and Native American tenure-stream and continuing faculty is 5.9 percent in Business, 8.8 percent in Arts and Sciences, 5.6 percent in Engineering, 15.9 percent in Law, and 21.7 percent in ECPPM. (Table 4.1.6.)

**Staff:** The university's staff is more racially/ethnically diverse than the faculty. While the average of white faculty was 79.1 percent from 1999 to 2008, the average for staff was 61.4 percent. (Exhibit 4.3.) The second largest ethnic group among students and faculty

is Asian/Pacific Islander, but among staff it is Hispanic. Although the number of full-time staff has grown over time, from a total of 664 in 1999 to 791 in 2008, the proportions of male and female have been quite stable (42.5 percent male, 57.5 percent female). The number of part-time staff has decreased by almost half over this period, dropping from 12 percent of total staff in 1999 to 6.6 percent in 2008. Women constituted 70 percent of part-time staff in 2008.

### **Promoting a Community of Inclusive Excellence: Policies, Practices, and Programs**

Programs supporting compositional diversity and inclusive excellence throughout the university include Undergraduate Admissions' outreach to local high schools and churches; a very successful outreach to Catholic high schools in the Los Angeles area; the AVID program (Advancement Via Individual Determination) for regional high school and middle school students; a National Science Foundation Scholarship opportunity for underrepresented Engineering students; Ambassador efforts by Modern Languages Professor Francisco Jimenez; the LEAD Scholars program for first-generation students; the tracking of bias incidents by the Office of Student Life; the initiation of a Perspectives program of workshops to train student leaders in multicultural sensitivities; a Multicultural Center with eight student organizations; a Residential Learning Community, Unity, focused on multicultural identities and awareness; a disabilities resources program; and other services. More than one third of undergraduates participate in the Kolvenbach Solidarity Program, immersion experiences or studies abroad in more than fifty countries. There are also many opportunities at the national and local levels to engage with diversity, through Women's and Gender Studies internships, Arrupe community-based learning projects, the Local Religion Project, immersion trips sponsored by the Ignatian Center or other groups, etc. For a description of each of these programs, see the Appendices.

The university's schools and colleges continue to design strategies for achieving a more diverse

faculty. Deserving special mention is the School of Law, which since 1975 has had “a well-earned reputation for . . . the diversity of its faculty, staff, and students.”<sup>25</sup> The College of Arts and Sciences has initiated an Inclusive Excellence Initiative.<sup>26</sup> In 2007, the college revised its hiring protocol; now department chairs receive “The Search Committee Handbook” outlining strategies to recruit faculty from diverse backgrounds.<sup>27</sup> The college offers support for inclusive excellence through undergraduate research fellowships, post-baccalaureate fellowships, teaching and research post-doctoral fellowships, and a Distinguished Visiting Scholars Program.<sup>28</sup> Each of the other Schools identifies diversity in its mission statements or learning goals. (See the Leavey School of Business Statement of Purpose;<sup>29</sup> the Engineering School Mission and Goals;<sup>30</sup> and the School of Education, Counseling Psychology, and Pastoral Ministries list of learning goals.<sup>31</sup>) In the Office of Student Life, the annual review process for all staff members includes an inclusive excellence component. The University Council on Inclusive Excellence has also taken a role in overseeing recruitment. The Council established an Inclusive Excellence Roundtable in fall 2008 to identify best practices for faculty recruitment. Important goals include identifying shared norms and best practices and enhancing the university’s efforts to further diversify its recruitment and candidate pools. All job postings for faculty and staff include a statement of commitment to Equal Opportunity/Affirmative Action.<sup>32</sup> The Office of Affirmative Action continues its efforts to design policies that will contribute to Santa Clara’s mission of inclusive excellence. An inclusive excellence training component was added to new staff orientation in May 2009, and there is discussion about including such a component in new faculty orientation as well. See the Appendices for additional information on the Office of Affirmative Action.

A number of campus units take responsibility for curriculum development, co-curricular programming, and research opportunities tied to inclusive excellence. The new Core Curriculum requires courses in diversity. The College of Arts and Sciences takes the lead on providing undergraduate diversity courses in its

effort to graduate students who appreciate and respect diversity.<sup>33</sup> In June 2009, the Women’s and Gender Studies Program (WGST) and the Ethnic Studies Program jointly sponsored a two-day workshop to assist undergraduate faculty across the university as they develop diversity courses. Also supporting inclusive excellence are the Office of Multicultural Learning, Women of Color Network, LGBTQ Allies Network, Women Faculty Group, [Latino Faculty Group](#), On Our Way Out group, an African American staff and faculty group, the Multicultural Center, Campus Ministry, Markkula Center for Applied Ethics, Ignatian Center for Jesuit Education, the Religious Studies Department’s Local Religion Project, and others. The Ethnic Studies program celebrates its fortieth anniversary this year and has submitted a proposal to become a major. An interdisciplinary Latin American Studies minor proposal is under discussion. Particularly noteworthy for their support of inclusive excellence are the Katharine and George Alexander Community Law Center; the Global Women’s Leadership Network of the Leavey School of Business; and the Global Social Benefit Incubator of the Center for Science, Technology, and Society. See the Appendices for details.

Because Santa Clara is a Jesuit, Catholic university, its policies are at times in some tension with full inclusion. For example, faculty and staff members who are in long-term, committed homosexual, or unmarried heterosexual, relationships have not been invited to live in the dorms as RLC (Residential Learning Communities) faculty. There are reasons for these positions, but they do limit the inclusiveness of the community, even as the Jesuit, Catholic character of the university enhances its commitment to inclusion in other areas.

### **Campus Climate for Inclusive Excellence**

**Student Perspectives:** Santa Clara University has initiated several studies related to campus climate for students, some of which will be completed as part of the Educational Effectiveness Review. An analysis of 2007 NSSE data comparing students of color with white students on selected questions has been

compiled; trend data are being compiled for the EER. The university is participating in a study focusing on minority student engagement which will allow us to compare our students against benchmark institutions. And we are examining freshman and senior survey data on attitudes toward race/ethnicity.

An initial analysis of the 2007 NSSE data exposes a dichotomy between student perception of exposure to diversity issues and their sense of the institution's commitment to encouraging contact with students from diverse backgrounds. While a consistent two-thirds majority reports attention to diversity competence in the classroom and on their own, and while this percentage remains consistent from first-year to fourth-year students, the students' perception of the institution's commitment to encouraging contact with students from diverse backgrounds drops from 64 percent in the first year to 51 percent in the fourth year, and from 56 percent to 39 percent for students of color.<sup>34</sup> There are additional gaps in perceptions between students of color and white students, and between men and women, on whether the institution helps them to thrive socially<sup>35</sup> and on engagement in co-curricular activities.<sup>36</sup> These findings are under discussion by the Office of Student Life, International Programs, and other groups.

Campus events have triggered student, faculty, and staff concerns about the campus climate for diversity. In fall 2003, five Santa Clara student members of GALA (Gay and Lesbian Alliance) received an anonymous hate mail message with homophobic and racial slurs. This followed an earlier incident in which a vandal wrote homophobic and anti-Semitic messages in library books.<sup>37</sup> A more positive climate for LGBTQ students and students of color is developing through the hard work of students, staff, faculty, and administrators who accept the responsibility of working to enhance inclusive excellence. This has included inviting several LGBTQ speakers to campus, such as the panel of LGBTQ alumni who discussed their experiences of life on campus in January 2009 ("Coming Out and Coming Back").<sup>38</sup>

During the 2007 winter quarter, a small group of students organized a "South of the Border Theme Party," in which attendees disparaged Hispanics. This incident led to a series of difficult dialogues about race and racism. Students and faculty organized a grassroots committee to address this and similar issues. Santa Clara students produced a short film in which several students responded to this incident. A faculty member in the Communication Department is also producing a film in which faculty, administrators, students, and staff are interviewed. Faculty posted on a Web site a record of "teachable moments," recounting how they responded in the classroom.

Students have collaborated to host several important conferences and colloquia around diversity issues. In summer 2006, Santa Clara students organized the Third National Gay, Lesbian, Bisexual, Transgender & Ally Conference for Jesuit Colleges. Students have managed an annual drag show for several years. In 2007, several students in the Department of Religious Studies formed a "Gender Studies Initiative" and hosted a campus-wide symposium on Gender, Sexuality, and the Return of Religion.

**Faculty Perspectives—Focus Groups and Interviews:** A study of campus climate involving the faculty was initiated in 2007 as preparation for the Educational Effectiveness Review. The study involved focus groups with forty randomly selected full-time faculty and separate interviews with a group of faculty of color. The data on faculty perceptions and attitudes toward Santa Clara's mission of inclusive excellence reveal two themes: 1) the acknowledgement of the university's strong commitment to enhancing inclusive excellence, and 2) skepticism about the success of the university's actions to diversify the campus.<sup>39</sup>

Faculty in the focus groups generally agreed that the university has a fundamental commitment to inclusive excellence.<sup>40</sup> Faculty of color expressed a stronger belief that Santa Clara is committed to improving the climate for diversity; senior faculty of color expressed the strongest agreement. Further discussion

revealed a general view that the university has made excellent use of the James Irvine Foundation grants to provide funds for research, professional development, curriculum innovation, and programming. Participants outlined the ways that the 1999 grant, “Building Partnerships for Diversity,” gave them opportunities to work toward a more inclusive university.<sup>41</sup> The establishment of the Multicultural Center represented a major innovation in supporting students of color by providing them with both a “safe space” to gather and funds for diversity programs.

At the same time, faculty, particularly faculty of color, questioned the extent to which grant funds actually contributed to an improvement in the campus climate for diversity. One familiar topic emerged: the need to increase the number of students and faculty of color.<sup>42</sup> Many noted that the university has been successful in increasing white women faculty although very few female faculty of color have been hired.

Faculty agreed that experiential learning opportunities, immersion trips, and study abroad have enhanced student learning: faculty agreed that students might better understand the consequences of a globalizing world, particularly for marginalized groups, in a national and international context after community-based work.<sup>43</sup> Faculty who mentor undergraduate students are supported with grants for research assistants, many of whom are students of color, through the Faculty-Student Research Assistant Program. Several faculty in the study described how this program provided opportunities to work with students of color.<sup>44</sup> Other faculty have worked on projects dealing with communities of color, integrating their findings into courses and presenting their findings to the community.<sup>45</sup> Many believe that the Ethnic Studies and Women’s and Gender Studies Programs, as well as the Women Faculty Group and the Latino Faculty Group, have been instrumental in the mentoring of women and faculty of color. Faculty are optimistic that the new Core Curriculum will provide Santa Clara students with a better appreciation for women and for communities of color and other

underrepresented groups, such as the LGBTQ community.<sup>46</sup>

Faculty expressed various levels of skepticism, however, regarding the university’s commitment to promote inclusive excellence, and failed to reach consensus on what “significant campus diversity” means. Some senior faculty of color were particularly critical of a perceived disconnect between the university’s words and actions. This group considered the creation of the Council on Inclusive Excellence a concrete step forward, yet expressed concerns based on the limited success of past diversity committees.

Faculty identified the need to recruit and retain more faculty of color as a major goal, noting that low numbers make it difficult to recruit enough others to reach a “critical mass.” An increase would reduce the overwhelming mentoring and advising pressure currently experienced by faculty of color. Faculty of color expressed their willingness to help recruit more students of color by working with existing recruiting programs.<sup>47</sup> They also suggested a more proactive stance involving deans and department chairs and more innovative hiring programs such as the College of Arts and Sciences’ Inclusive Excellence Post-Baccalaureate or Post-Doctorate Fellowship Program. In general, faculty acknowledge the progress made by the university to achieve greater diversity.

For additional analyses of inclusive excellence at Santa Clara University, see the Appendices, especially Appendix A, Response to the 2000 Commission Action Letter, and the [supplementary material](#) on our Web site.

## Recommendations

The university has made gradual progress toward inclusive excellence over the last decade, and a number of new initiatives are promising. Continuing efforts will be necessary to enhance the climate and increase the representation of diverse groups within the community. See the Appendices for the full list of recommendations.

**Climate and Communication:** Enhance programs and policies contributing to inclusive excellence. Expand the categories of compositional diversity and inclusive excellence to include sexual orientation, national origin, religion, ability, and economic class. Coordinate data collected by various offices on campus for better communication of retention and graduation rates, NSSE data, and other metrics of campus climate.

**Community:** Enhance recruitment and retention of students, staff, and faculty of color. Expand innovative recruitment strategies for faculty and students. Explore ways to increase scholarship support for the LEAD Scholars program for first-generation students and for students of color wishing to participate in “high impact” practices such as study abroad. Design more effective recruitment and retention strategies for faculty of color. Adjust reward structures to accommodate the additional advising and mentoring responsibilities of faculty of color. Analyze withdrawal surveys and exit interviews of departing faculty of color to enhance retention.

## Preparation for the Educational Effectiveness Review

The Educational Effectiveness Review will continue to pursue this theme. Studies initiated include an analysis of NSSE data; a survey focusing on minority student engagement; a longitudinal study of freshman and senior survey data on attitudes toward race/ethnicity; and a further analysis of the faculty focus group data described above. See the Concluding Essay for further details.

<sup>1</sup> Board of Trustees, “Strategic Plan: 1998 Update” (20 February 1998), <http://www.scu.edu/strategicplan/1998.cfm>.

<sup>2</sup> The Council was established in 2007 as the Provost’s Council on Inclusive Excellence; it was redesignated and expanded in December 2008.

<sup>3</sup> Association of American Colleges and Universities, Office of Education and Institutional Renewal, “Making Excellence Inclusive,” Association of American Colleges and Universities, [http://www.aacu.org/inclusive\\_excellence/index.cfm](http://www.aacu.org/inclusive_excellence/index.cfm), 23 January 2009; cited by the Office of the Provost, “Diversity and Santa Clara University: Council and Its Goals/Activities,” [http://www.aacu.org/inclusive\\_excellence/index.cfm](http://www.aacu.org/inclusive_excellence/index.cfm), 23 January 2009.

<sup>4</sup> AACU, “Making Excellence Inclusive”; cited by the Office of the President, “Santa Clara University: Excellence through Diversity” (May 1989). Over the years, the term “inclusive excellence” has been used interchangeably with “excellence through diversity” and “diversity.” This essay uses both “inclusive excellence” and “diversity.” The WASC committees have also found WASC’s Diversity statement to be valuable.

<sup>5</sup> Office of the President, “Santa Clara University: Excellence through Diversity.”

<sup>6</sup> Ibid.

<sup>7</sup> Office of the President, “1999 WASC Accreditation Self-Study, Chapter 1. Context for Self-Study” (1999) 7; <http://www.scu.edu/strategicplan/selfstudy/chp1/homepage.html>, 23 January 2009.

<sup>8</sup> “Rationale Statement in Support of a Diverse University Community,” 12 December 1993.

<sup>9</sup> Strategic initiative 1.C.3 in Board of Trustees, “Strategic Plan: 1998 Update,” <http://www.scu.edu/strategicplan/1998.cfm>.

<sup>10</sup> The goal for undergraduate enrollment diversity at the time was that it match that of college-bound high school graduates in California; Office of the President, “1999 WASC Accreditation Self-Study, Chapter 3. Community of Scholars” (1999) 107; <http://www.scu.edu/strategicplan/selfstudy/chp3/homepage.html>, 23 January 2009.

<sup>11</sup> Office of the President, “1999 WASC Accreditation Self-Study, Chapter 3,” 107-108, 112.

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<sup>12</sup> Office of the President, “1999 WASC Accreditation Self-Study, Chapter 3,” 112. The 1999 Self-Study addressed faculty, staff, and student diversity at the end of its chapter on the community of scholars, whereas the WASC Visiting Team featured it more prominently at the beginning of both its third chapter, “Community of Scholars/Integrated Education,” and its list of “Critical Issues” in Chapter 5 (WASC Visiting Team, “Report of the WASC Visiting Team to Santa Clara University” [January 2000] 18 and 48; [http://www.scu.edu/strategicplan/selfstudy/pdf/wasc\\_report.html](http://www.scu.edu/strategicplan/selfstudy/pdf/wasc_report.html)). Also, while the 1999 Self-Study treats the goals of increasing the diversity of the community of scholars in a section separate from its discussion of improving the quality of the community of scholars, the WASC Visiting Team addressed diversity concerns as a *means* of improving the quality of the community of scholars.

<sup>13</sup> Marilyn Fernandez, “Diversity/Cultural Competence/Understanding: A Model for Inclusive Excellence” (2005), <http://www.scu.edu/strategicplan/futuredirections/themes/diversity.cfm>.

<sup>14</sup> “Summary of Meeting of Trustees, Regents and Alumni Board Members: Future Directions: Achieving National Prominence as a Catholic, Jesuit University” (27-28 January 2005) 16-17; <http://www.scu.edu/strategicplan/upload/final-summary.pdf>.

<sup>15</sup> This definition of “inclusion,” cited earlier in this report (p. 1), is embedded in the description of the “Council and Its Goals/Activities” at Santa Clara University: Diversity, <http://www.scu.edu/provost/diversity/council/meet-the-council.cfm>.

<sup>16</sup> Office of the Provost, “Diversity at Santa Clara University,” <http://www.scu.edu/provost/diversity/>.

<sup>17</sup> Santa Clara University, “Institutional Proposal” (2007); <http://www.scu.edu/wasc>

<sup>18</sup> “About SCU: Diversity,” <http://www.scu.edu/aboutscu/>.

<sup>19</sup> WASC Commission Action Letter (10 March 2000) 3.

<sup>20</sup> The summaries in this section are based on data collected by Institutional Research. Illustrative graphs of trends and summaries of the most salient features of the data may be found in the supporting documentation.

<sup>21</sup> Jacqueline E. King, *Gender Equity in Higher Education: 2006* (Washington, D.C.: American Council on Education, Center for Policy Analysis, 2006), [http://www.acenet.edu/bookstore/pdf/Gender\\_Equity\\_6\\_23.pdf](http://www.acenet.edu/bookstore/pdf/Gender_Equity_6_23.pdf).

<sup>22</sup> “About SCU: Students, Student Profile,” <http://www.scu.edu/about/students.cfm>.

<sup>23</sup> US News & World Report, “Best Graduate Schools. Law: Law School Diversity Index,” [http://grad-schools.usnews.rankingsandreviews.com/grad/law/law\\_diversity](http://grad-schools.usnews.rankingsandreviews.com/grad/law/law_diversity).

<sup>24</sup> This category includes tenured, tenure-track, senior lecturer and other continuing faculty. In this essay, “tenure stream and continuing faculty” includes faculty working full-time in administration.

<sup>25</sup> Santa Clara University School of Law, “A.B.A. Self-Study Report and Strategic Plan” (January 2008) 3.

<sup>26</sup> Santa Clara University College of Arts and Sciences, “Chapter 1: Policies and Procedures for Tenured and Tenure-Track Recruitment and Appointment” (Revised September 2007),” in *College Protocols, Policies, and Procedures* (October 2007) 1-9, <http://www.scu.edu/cas/facultyandstaff/upload/CollegeProtocolPoliciesandProceduresOct2007.pdf>.

<sup>27</sup> Theodore J. Marchese and Jane Fiori Lawrence, assisted by Caitlin Anderson, *The Search Committee Handbook: A Guide to Recruiting Administrators* (2<sup>nd</sup> rev. ed.; Sterling, Virginia: Stylus, 2006) 17.

<sup>28</sup> Of all of these opportunities, only the Inclusive Excellence Postdoctoral Fellowship has an online profile; see Department of Human Resources, “Inclusive Excellence Postdoctoral Fellow,” <http://www.scu.edu/hr/careers/faculty.cfm?id=1627>.

<sup>29</sup> Leavey School of Business, “Leavey School of Business: Mission and Vision,” <http://www.scu.edu/business/about/mission-and-vision.cfm>.

<sup>30</sup> School of Engineering, “Mission and Goals,” <http://www.scu.edu/engineering/mission.cfm>.

<sup>31</sup> School of Education, Counseling Psychology and Pastoral Ministries, “ECPPM Mission Statement,” <http://www.scu.edu/ecppm/admissions/ECPPM-Mission-Statement.cfm>.

<sup>32</sup> See Faculty Opportunities or Staff Opportunities in the Career section of the Department of Human Resources Web site, <http://www.scu.edu/hr/careers/work.cfm>.

<sup>33</sup> Office of the Dean, “Dean’s Message,” <http://www.scu.edu/cas/dean/message.cfm>.

<sup>34</sup> “NSSE Results (2007): Promoting Inclusive Excellence and Diversity,” Compare questions 1e and 6e with 10c. See Appendices.

<sup>35</sup> “NSSE Results (2007): Student Involvement in Extra- or Co-Curricular Activities,” question 10e.

<sup>36</sup> “NSSE Results (2007): Promoting Competence, Conscience, and Compassion,” question 9d.

<sup>37</sup> For a summary of the incident, see Allie Gottlieb, “Thrown to the Lions,” *Metroactive* (24-31 March 2004), <http://www.metroactive.com/papers/metro/03.24.04/hatemail-0413.html>.

<sup>38</sup> The event was funded by an Identity grant from the University Council on Inclusive Excellence. Coordinated by the Xavier Residential Learning Community, it was cosponsored by the Office of Multicultural Learning-Office of the Provost, the Office of Residence Life, and the Residential Learning Communities.

<sup>39</sup> See Appendices and supplementary material at <http://www.scu.edu/provost/ugst/wasc/preparatory-review-report-2009.cfm> for a more complete discussion of the methodology used in drawing two samples of SCU faculty to discuss their perceptions of inclusive excellence. Two samples were used: 1) a random sample of 40 faculty drawn from the entire university and 2) a purposive sample of faculty of color from different professorial ranks.

<sup>40</sup> This section of the reflective essay uses the term “faculty” as an inclusive term for all faculty who participated in the focus groups, including faculty of color. “Faculty of color” includes African American, Asian-Pacific Islanders, and Hispanics. A decision was made to use this umbrella term rather than identify respondents by their race and ethnicity in order to maintain strict anonymity given the small numbers of faculty of color within each racial/ethnic group.

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<sup>41</sup> Santa Clara wanted the Irvine Grant to be used to achieve “the broadest possible participation and learning by all members of the University community, including the larger community within Santa Clara County. Through its faculty and staff development and Open Grants components, [the goal was to] engage SCU faculty and staff in the development of multicultural curricula, pedagogy, and co-curricular programs...[and] encourage broad student participation and creativity in furthering the multicultural climate and culture of Santa Clara University.” For more an assessment on the Irvine Grant (1999–2002), see the Final Interim Report (June 2002), <http://www.scu.edu/wasc/>.

<sup>42</sup> For an assessment of the Irvine Grant ending in 2007, see “Final Report, James Irvine Foundation, Phase II,” <http://www.scu.edu/wasc/>.

<sup>43</sup> International Programs Office, “Welcome,” <http://www.scu.edu/studyabroad/>.

<sup>44</sup> Office of the Provost, “University Grants,” <http://cms.scu.edu/provost/facultydevelopment/universitygrants.cfm>.

<sup>45</sup> For a list of recently approved FSRAP applications, see the link under “FSRAP (Faculty-Student Research Assistant Program) Grants” at <http://cms.scu.edu/provost/facultydevelopment/universitygrants.cfm>.

<sup>46</sup> Office of the Provost, “Core 2009,” <http://www.scu.edu/provost/ugst/core2009>.

<sup>47</sup> For a description of recruiting programs for Latino students, see Undergraduate Admission, “Noche Latina,” Santa Clara University, online <http://www.scu.edu/ugrad/events/nochelatina/>. For a description of recruiting programs for African American students, see Undergraduate Admission, “SADIE,” <http://www.scu.edu/ugrad/events/sadie/>.

## CONCLUDING ESSAY

Between 2006 and 2009 Santa Clara conducted a Capacity Review focused on WASC's Standards and on three themes selected by the university community. With more than thirty-five faculty and staff serving on a steering committee and three subcommittees, the self-study engaged a significant portion of the university community. The study showed that the university meets the Standards and Criteria for Review. The Introductory Essay outlines the strengths and challenges in relation to each Standard. The evaluation of the three themes demonstrates both strengths and challenges in the areas selected.

The recommendations emerging from the self-study are listed below in brief form. A more detailed discussion of the recommendations can be found in the Appendices. These recommendations serve to point the university toward an important set of goals and aspirations, ranging from increasing diversity among faculty and students, to increasing the number of tenure-stream faculty, to expanding domestic and international opportunities for experiential learning focused on social justice.

### **Recommendations Emerging from Capacity and Preparatory Review**

#### *Competence, Conscience, Compassion*

- Enhance opportunities for educating for competence, conscience, and compassion.
- Develop more effective indicators of competence, conscience, and compassion.
- Enhance integration of competence, conscience, and compassion.

#### *Supporting the Teaching Scholar Model*

- Undertake resource analysis.
- Consider reducing teaching load for research-active tenure-stream faculty.
- Consider increasing tenure-stream faculty.

#### *Promoting a Community of Inclusive Excellence*

- Enhance climate for, and communication regarding, inclusive excellence.
- Enhance the community through recruitment and retention of students, staff, and faculty of color.

#### *Additional Institutional Recommendations*

- Track and disaggregate retention, graduation rates, and learning among graduate and professional students; communicate findings to university community; provide support for graduate student success where needed.
- Address faculty concerns about assessment.

### **Preparation for the Educational Effectiveness Review**

During the period of the self-study a number of projects have been initiated that will be completed during the [Educational Effectiveness Review](#). A timeline is included in the Appendices.

The effectiveness of our Program Review process will be one focus of the EER, as specified in the WASC Handbook. The WASC Steering Committee will collaborate with the Academic Affairs Committee, the Senior Vice Provost, the Director of the Office of Assessment, the Deans, and the Department Chairs to evaluate the program review process and its alignment with planning and budgeting, identifying ways to make it more effective in the next cycle of program review. Initial planning is currently underway.

The EER will focus explicitly on student learning and student success. We are gathering evidence of disciplinary-based competencies derived from the assessment of student learning in individual academic units. Evidence of generalized competencies will come from Core Curriculum assessment

strategies. We have also initiated a study investigating students' integration of competence, conscience, and compassion through four approaches:

1. A "Community of Scholars" study tracking Santa Clara students' critical thinking skills over four years using the CCTST (California Critical Thinking Skills Test), the DI (Dispositions Inventory), and a written task.
2. An analysis of selected questions on the NSSE and the NSSE Jesuit consortium questions.
3. A longitudinal analysis of selected mission-related questions on the CIRP and the CSS.
4. A study of undergraduate student success in achieving the learning objectives associated with selected Core Curriculum requirements.

A preliminary report on this project was presented at the WASC annual conference in April 2009 on a panel about measuring "the ineffables."

As part of our commitment to "the alignment of institutional resources with activities designed to achieve the institution's educational objectives" (WASC Handbook page 34), we are planning a resource analysis examining a possible reduction in teaching load (for selected groups of successful research-active faculty) and a possible increase in tenure-stream faculty. We have also initiated a study of two areas related to the teaching scholar model:

1. Work-life balance for faculty.
2. Departmental best practices on campus for supporting teaching scholars (open discussions of a survey conducted by the Faculty Development Program).

We have initiated four studies related to campus climate for students and faculty as preparation for the Educational Effectiveness Review:

1. An analysis of 2007 NSSE data comparing students of color with white

students on selected questions; trend data are being compiled for the EER.

2. A study focusing on minority student engagement.
3. A longitudinal study of CIRP and CSS data on attitudes toward race/ethnicity.
4. A study of faculty attitudes toward inclusive excellence involving focus groups with randomly selected faculty and interviews with faculty of color.

We are in dialogue with colleagues at the Jesuit School of Theology (now the Jesuit School of Theology of Santa Clara University) about how best to structure the Educational Effectiveness Review.

### **Reflections on the self-study process**

The WASC steering committee and subcommittee members have worked collaboratively since their appointment in January 2007 to develop the Institutional Proposal, to pursue the Capacity and Preparatory Review, and to maintain open communications with the university community. The process has involved some tensions and difficulties, but it has also been transformative. The process has enacted a significant cultural change at the university. Santa Clara has benefited immensely from the opportunity afforded by the self-study process to closely examine our strengths and challenges; to compare our structures and practices with those of other institutions; and to explore the shape of our own commitments to capacity and educational effectiveness. The WASC committees, the university administration, and a significant number of faculty and staff are increasingly fluent in the vocabulary of retention and graduation rates, learning objectives, rubrics, and assessment. And evidence-based decision-making can increasingly be found throughout the university.

Through the Capacity Review we have developed greater clarity about our educational objectives. We have a deeper understanding of student learning. We have

engaged the faculty in articulating student learning objectives, assessing student achievement, and openly discussing the results. We have improved our infrastructures supporting data quality, data collection, and data analysis. We look forward to the Educational Effectiveness Review and the opportunity to further pursue not only what we do, but also how well we do it.