



Building Capacity:

A Study of the Impact of
The James Irvine Foundation
Campus Diversity Initiative

**Final Report and Promising Practices
from the CDI Evaluation Project**



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The Campus Diversity Initiative and CDI Evaluation Project

The James Irvine Foundation established the Campus Diversity Initiative (CDI), a \$29 million effort, to assist twenty-eight independent colleges and universities in California with strategically improving campus diversity. The six-year initiative (2000-2005) supported a range of activities and institutional changes with the aim of increasing access and success of low-income and underrepresented minority students in higher education.

The CDI included a strong evaluation component to help each institution focus its strategies and track institutional goals. A team of researchers from Claremont Graduate University (CGU) and the Association of American Colleges and Universities (AAC&U) designed and led the CDI Evaluation Project to assist the CDI campuses in developing their own evaluation expertise and mechanisms. A larger Evaluation Resource Team (ERT) worked with participating campuses to measure success, make mid-course corrections, and ultimately broaden and sustain diversity efforts beyond the scope and phase of the grant-funded projects.

Another purpose of the CDI Evaluation Project was to contribute new knowledge about effective diversity practices to the higher education field. In addition to this final report, the project is issuing three research briefs, a monograph, and a resource kit. More information can be found at www.aacu.org/irvinediveval or www.irvine.org/publications/by_topic/education.shtml.

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TABLE OF CONTENTS

ACKNOWLEDGEMENTS	4
EXECUTIVE SUMMARY	5
INTRODUCTION	14
THE CAMPUS DIVERSITY INITIATIVE.....	15
CAMPUS GOALS AND STRATEGIES	22
STATUS OF ACCESS	26
STATUS OF SUCCESS	43
STATUS OF INSTITUTIONAL CAPACITY	51
THE STATUS OF OVERALL INSTITUTIONAL CHANGE.....	81
IMPACT OF IRVINE EFFORTS.....	97
LESSONS LEARNED.....	101
CONCLUSION	108
REFERENCES	110
APPENDIX ONE: METHODOLOGY.....	113
APPENDIX TWO: CDI IMPACT STUDY ANALYSIS MATRIX.....	118

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EXECUTIVE SUMMARY

No matter where one turns—internationally, nationally, and in specific locales throughout California—issues of diversity are increasingly coming to the forefront in higher education. The increasing racial/ethnic diversity of the college-going population—and the relative levels of success of various groups—is one important piece of a broad set of activities for many campuses. For many, too, there is a growing awareness that the success of people from underrepresented minority (URM)¹ and low-income groups is critical not only for the individuals impacted, but also for the economic and social well-being of the society in which we live. This means that equity efforts can no longer just address individual needs. These efforts must also address the kinds of systemic changes needed to build and sustain educational environments where all students—and *higher education institutions themselves*—are prepared for effective participation in an increasingly pluralistic society.

In an effort to assist campuses in addressing the individual and institutional needs that greater diversity engenders, The James Irvine Foundation launched the Campus Diversity Initiative (CDI) in 2000 to enhance college access and success for URM and low-income students and to increase institutional capacity to engage diversity. As part of the CDI, the Foundation launched a CDI Evaluation Project, designed to: (1) help the twenty-eight campuses chosen to participate in the CDI increase their capacity to conduct meaningful evaluation of their diversity initiatives and (2) assess the overall impact of the CDI. The evaluation approach taken by Irvine was to help the CDI campuses develop *their own capacity* to evaluate their diversity initiatives through an organizational learning process. The Foundation believed that “helping the campuses to help themselves” would magnify the impact of grant funds directed toward the CDI’s goal of URM and low-income student success. The shift to this process from more traditional evaluation models—which often consist of campus self-reports on progress and, at times, external evaluators assessing impact in isolation from the people doing the work—proved to be an important factor influencing the whole CDI.

The Evaluation Project developed as a collaborative effort between Claremont Graduate University (CGU) and the Association of American Colleges and Universities (AAC&U). Early in the CDI, the two organizations established an Evaluation Resource Team (ERT) to fulfill the

¹ In this report, the term “underrepresented minority” (URM) refers to African American, Latino/a, and American Indian/Alaska Native populations. When we include other minority groups in our discussion, we use the terms “people of color” and “students of color.”

goals of the Project. For the next several years, the ERT would provide technical assistance to the twenty-eight campuses in implementing and evaluating their diversity initiatives and also collect information on progress and on “lessons learned” in the process.

This report, prepared by the ERT, describes the organizational learning processes and outcomes of the various diversity initiatives at the twenty-eight independent California colleges and universities that received CDI grants and highlights lessons learned about building capacity for diversity as well as for evaluating diversity efforts. The Impact Study from which this report is derived was organized around **six key questions** and a **diversity framework** that readers will see reflected in these pages. The six questions relate to progress, impact, and the learning that took place over the course of the CDI. Embedded within them is the framework, which consists of four dimensions: (1) *Access and Success* of URM and low-income students, (2) *Campus Climate and Intergroup Relations*, (3) *Education and Scholarship*, and (4) *Institutional Viability and Vitality*.² This framework also served as a direct resource to the CDI campuses for organizing and evaluating their efforts. In particular, it was helpful in providing an orientation to diversity that was both *inclusive* and *differentiated*—it allowed campuses to focus on increasing access and success for URM and low-income students under the banner of the CDI, yet also engage other aspects of diversity that were salient in their particular contexts, such as gender, religion, sexual orientation, and national origin.

Question One asks: *What goals and strategies made up the Irvine-funded campus efforts?* Here, analyses showed that the specific context in which each campus approached its diversity work was a crucial factor in the kinds and levels of success an institution experienced. Among the twenty-eight schools, there was broad variation in mission, size, selectivity, resources, and geographic location within California. Nonetheless, there was considerable overlap in the kinds of strategies used to enhance college access and success for URM and low-income students, and these strategies spanned the four dimensions of the diversity framework. Specifically:

- Twenty-two campuses used CDI funds to increase student access, and eighteen campuses used funds to increase student success.
- Nineteen campuses allocated funds to support faculty development in curriculum, pedagogy, and research.

² See Smith 1995.

- All twenty-eight schools engaged in some sort of institutional capacity building for diversity efforts, with twenty-two allocating funds to monitoring progress through enhanced institutional research (IR) functions or evaluation efforts, and sixteen allocating funds to help increase the racial/ethnic diversity of the faculty. Nearly one-half of the total grant awards supported institutional capacity-building efforts, of which faculty hiring totaled just over one-third.

Question Two asks: *What was the status of access and success of URM and low-income populations at the CDI campuses?* With regard to access, at the most general level, there was increased presence of URM undergraduate students at the twenty-seven schools with undergraduate programs, although there was sizeable variation in the amount of change among the campuses. Analyses of low-income undergraduate student access yielded less positive findings, while URM graduate student enrollments increased but lagged behind the changes at the undergraduate level. Specifically:

- There was a consistent increase in the racial/ethnic diversity of first-year students from 2000 to 2004 for most schools, and first-year African American and Latino/a students grew by an average of 29% each across the twenty-seven schools over this period.
- URM undergraduate students overall grew both in number and as a percentage of the average total population, although the latter shift was only 3%. Twenty campuses increased in both number and percentage of Latino/a students, eighteen campuses increased in both number and percentage of African American students, and five campuses increased in both number and percentage of American Indian/Alaska Native students.
- Using Pell Grants as an indicator of low-income student access, across twenty-two schools for which there were data, Pell Grant recipients as a percentage of the total population decreased by an average of 3%. URM students receiving Pell Grants increased in presence by an average of 3% vis-à-vis all Pell Grant recipients, but decreased in presence by an average of 4% vis-à-vis all URM students.
- There was some growth in the number of URM graduate students across the eight doctoral-granting institutions in the CDI, though it was less dramatic than the growth across the twelve Master's-granting institutions that were also part of the CDI.

With regard to success, several indicators, including year-to-year persistence and graduation rates, were examined. Overall, the findings suggested that there was increased persistence for URM students and some real success in reducing gaps in persistence among URM students from the first to third years at many of the campuses. Specifically:

- The Latino/a student persistence rate for each entering cohort under examination was the same as or better than the overall persistence rate at seventeen of the twenty-three campuses for which there were robust data. This was true for African American students at eight of the twenty-three campuses.
- The periods of vulnerability for attrition differed among racial/ethnic groups, and African American and American Indian/Alaska Native students appeared to be most vulnerable to attrition, particularly on campuses where overall student persistence was low.
- In general, the CDI campuses showed higher six-year graduation rates than other California colleges and universities. Even the CDI campuses with the lowest graduation rates for URM students had higher rates than California State University (CSU) campuses. Latino/a students graduated at equal or higher rates than most other students more often at the CDI schools than at CSU or University of California (UC) schools.

In terms of lessons learned around access and success, it was clear that monitoring progress through the use of data and undertaking focused interventions as needed were key factors in reducing persistence gaps among groups of students. At the beginning of the CDI, a number of campuses with significant gaps had an overabundance of programs, but these programs were not always targeted to the groups or situations that were likely to close the gaps. The analyses also showed that having high expectations and support for URM and low-income students, as well as sustained, focused, and data-driven efforts directed at institutional-level goals, was necessary for significant change. Also of note, data on other important indicators of success, such as GPAs, presence in honors programs, persistence in science and mathematics fields, and success in gateway courses, were not readily available.

Question Three asks: *What is the status of institutional capacity for diversity with regard to campus climate and intergroup relations, education and scholarship, and institutional viability and vitality?* Findings related to institutional capacity clustered into three areas: (1) leadership (the racial/ethnic diversity of administrators and boards of trustees as well as general leadership issues), (2) the racial/ethnic diversity of the faculty, and (3) centrality and alignment.

Overall, institutional capacity to strengthen and sustain diversity efforts and to monitor progress appeared to improve, although the time frame of the CDI was too short to be certain. Critical factors included establishing a framework for monitoring progress (including the development of key indicators of progress); developing leadership that would embrace and sustain the monitoring process; and aligning diversity efforts with the institution's vision (rationale and motivation for action), mission (the focus of the institution's work and a general reflection of its core values and beliefs), and culture (behaviors generally manifesting core values and beliefs).

With regard to campus climate and intergroup relations, indicators included perceptions of the institution in terms of commitment to and engagement with diversity, and the type and quality of interactions among groups. Analyses of quantitative and qualitative data suggest that the campuses framed what was meant by climate and its assessment very differently. Some developed specific campus surveys that engaged topical issues related to diversity, such as discrimination, inequities, and negative incidents. Others used generic surveys and disaggregated the results by race/ethnicity (and often by gender). The findings related to climate varied a great deal among the campuses. For many, there were notable differences in perceptions of climate among—and sometimes within—various racial/ethnic groups.

In the dimension of education and scholarship, there was considerable variation in institutional approaches and results. Faculty regranting, which gave faculty members the opportunity to pursue academic and scholarly aspects of diversity in relation to their disciplinary interests, proved to be a vibrant and vital strategy, and many campuses plan to continue this practice to help sustain their diversity initiatives. Many of the campuses had not yet made competency in diversity vis-à-vis teaching a core hiring criterion, and so faculty development efforts were focused primarily on building competencies that not all faculty members possessed. Unfortunately, many of the campuses were not aware of the available diversity resources on faculty development and so ended up “reinventing the wheel.” Moreover, only a few campuses had begun to directly assess student learning generally and student learning in relation to diversity specifically.

In the area of institutional viability and vitality, campus efforts focused on assessing the racial/ethnic diversity of faculty, administrators, and trustees; on the place of diversity in foundational documents; and on constituents' perceptions of the institution. Not surprisingly,

analyses revealed that upper-level decision makers, as a group, lacked racial/ethnic diversity, and this contrasted sharply with the changing demographics of students and the population at-large.

Virtually all of the CDI campuses identified URM faculty hiring as a strategic goal within their diversity efforts. Analyses of robust data from twenty-seven of the campuses indicated that between 2000 and 2004, the average percentage of URM core faculty (i.e., tenured and tenure track faculty) increased from 7% to 9%—up from 5% in 1993. Although the percentage of white faculty declined by 3% on average across the twenty-seven schools, the actual number of white faculty increased as a result of overall growth in the size of the faculty. Comparison analyses indicated that California public institutions had greater percentages of URM core faculty (11%) than the CDI campuses (9%), though the CDI campuses had a slightly higher percentage of African American core faculty than the CSU/UC schools.

Because changes in faculty composition are largely dependent on new faculty hires, a central focus of both campus efforts and this report was the hiring patterns of new faculty. Campuses were hiring at a significant rate overall. On average across the twenty-seven campuses for which there were robust data, the number of new faculty hired between 2000 and 2004 was 31% of the base number of total faculty in 2000. URM faculty constituted 12% of all new hires at the twenty-seven campuses between 2000 and 2004. Analyses of turnover indicate that approximately 58% of the new URM hires, on average were going to replace existing URM core faculty, so that nearly three out of five new URM hires, on average, simply replaced URM faculty who had left.

Lessons learned in the area of campus climate included the potential for examining not only disaggregated climate survey data, but also disaggregated general survey (e.g., student satisfaction) data and qualitative data gleaned from focus groups and other means. With regard to education and scholarship, faculty regranting demonstrated institutional commitment to diversity in the area of faculty development and proved to be quite successful. Finally, with regard to institutional viability and vitality, lessons included the need to monitor retention and success of URM faculty as closely as levels of hiring, and the importance of using data to dispel myths around faculty hiring (e.g., “We aren’t hiring in great numbers”; “URM faculty won’t want to come here”).

Question Four asks: *What is the status of overall institutional change?* To respond to this question, quantitative and qualitative data, including semi-annual reports from the campuses

to the Foundation and site visit reports developed by the ERT, were synthesized. In addition, the ERT developed two instruments to examine the degree to which diversity had become more deeply and broadly embedded in the institution: an institutionalization matrix and an institutionalization rubric designed to capture changes in five areas: goals, resources, capacity, leadership, and centrality.³

Little dramatic change might be expected in a three- to four-year period when using a holistic, institutional-level approach, but there was progress. Analyses revealed that most campuses did increase their capacity for diversity work—especially in the degree of centrality and leadership—even when the data indicators varied. A review of the campuses found considerable variation, and there were some common themes among more successful schools. For example, campuses that made the most progress had connected diversity to their mission and to core institutional processes. Moreover, the ERT observed that the campuses that actively utilized the evaluation process to guide their actions had the strongest motivation to achieve their CDI goals, for reasons of institutional survival and viability.

For a campus to seriously engage in organizational learning, three elements needed to be in place: (1) a framework for monitoring progress; (2) a commitment to a process of generating, presenting, and using data for institutional change; and (3) a willingness to take corrective action. It was not always an easy task, and some campuses ended up with evaluation on one “track” and diversity work on another. Lessons learned included the importance of having the IR office be central to campus diversity work and specifically to efforts to monitor progress. It was also important for IR staff to move from being perceived as mere “data crunchers” to fully participating in conversations about diversity goals and helping to make meaning out of data.

Question Five asks: *What was the impact of the Foundation’s efforts on the work done by the campuses?* The Foundation’s philosophy of working with grantees to build institutional capacity to sustain efforts and to monitor progress was critical to the successes that were found within the CDI. The Foundation’s four-step process, whereby campuses: (1) conducted institutional self-studies, (2) outlined strategies to meet CDI goals, (3) developed a plan for monitoring progress, and (4) provided interim reports to the campus community, served the institutions well *when it was followed*. The availability of grants, especially relatively large grants, made an appreciable difference in terms of the weight CDI efforts carried on campus. In

³ Both instruments, designed for the CDI Evaluation Project, are described in the appendix one.

most cases, the grants provided leverage and focus, and funding allowed institutions with limited resources to build capacity (e.g., additional staff and programs) that might not have been possible otherwise. Large grants also permitted the ERT and Foundation staff to ask schools to think intentionally and strategically about how they might link their diversity efforts to core institutional functions and to institutional-level change.

Lessons learned included the importance of moving campuses from compliance (e.g., addressing reports to the Foundation and asking what the Foundation wanted) to organizational learning (e.g., addressing reports to campus constituents and using them to make mid-course corrections). Focusing on the question “How would you know if you are making progress?” was critical. Providing networking opportunities and technical support was essential. Finally, it was also important to help campuses use their CDI grants to build on prior grants and to consider issues of timing and the duration of their grant awards in the context of doing this work.

Question Six asks: *What were the overall lessons learned?* Here, the ERT identified fourteen cross-campus themes related to an institution’s capacity to sustain diversity work beyond the life cycle of the grant. They were:

- “Centrality and Integration”—emphasizes the critical act of linking diversity work to organizational mission and strategic planning efforts, and embedding diversity into the scholarly interests of faculty.
- “Alignment” —refers to configuring diversity goals in accordance with the vision, mission, and organizational culture of the campus.
- “Diversity as an Imperative”—shows how diversity, like technology, is an essential element for institutional viability at all levels.
- “Explicit Framework and Process for Monitoring Progress”—addresses the institutional basis for identifying progress and recognizing areas in need of improvement.
- “Leadership”—refers to the guidance needed at all levels and throughout the institution and to issues of decision making, continuity, and depth of learning.
- “Inclusive and Differentiated Approach to Diversity”—suggests that any aspect of diversity needs to be understood and addressed within the particular social, historical, and political context of a campus.

- “Differential Impact of Diversity Work”—makes explicit and challenges the disproportionate responsibility for diversity that often falls to people of color on campuses.
- “Debunking Myths”—refers to the need to interrupt the excuses and myths used to “explain away” failure or stagnation.
- “Effective Educational Practices”—stresses the relationship between diversity and educational excellence and the practice of tapping *each student’s* background and experiences to enhance *all students’* learning and success.
- “Intra-institutional Collaboration”—refers to the importance of creating partnerships within an institution in order to create synergy, expand resources, and build institutional capacity.
- “Sustaining Work over Time”—encourages campuses to draw on institutional and individual histories to learn from the past and sustain knowledge of past diversity efforts through personnel transitions.
- “Progress Takes Time”—suggests that changes are not always immediately visible and that continued effort is essential for demonstrable results.
- “Organizational Learning Does Not Come Naturally”—acknowledges that interrupting standard practices is not an easy task, but that with an intentional approach to change, new paths to decision making are possible.
- “Attractiveness and Institutional Capacity”—reminds readers that the credibility an institution possesses within diverse communities derives from engaging diversity broadly and deeply.

Ultimately, infusing diversity into an institution necessitates deep change—in how campuses function today and in how they will function in the future. Findings contained in this report attest to the importance of connecting diversity to fundamental matters of educational excellence and institutional vitality. Indeed, the CDI makes a compelling case that only when colleges and universities frame diversity in this way will their campuses, and all of their diverse constituents, truly thrive.

INTRODUCTION

A recent report from The National Center for Public Policy and Higher Education (2005) noted that “education is one of the most effective interventions for improving our social and economic future—for individuals, communities, states, and the country as a whole” (p. 8). Simply providing access to college or providing a transition to college is not enough. Persistent gaps among racial/ethnic groups, in levels of achievement and educational outcomes at every level of schooling, must also be addressed. While a great deal of national and state level attention has been directed to K-12 and to accountability there, increasing attention is being paid to issues of equity and accountability in higher education. In California, where graduates of the public K-12 system today are nearly 70% students of color, this is an even more urgent imperative. The profile of the state is being redrawn particularly with respect to historically underrepresented populations, including Latino/a, American Indian/Alaska Native, and African American populations.

Diversity on campus must be framed in terms of educational excellence and high levels of achievement for students from all communities, not primarily in terms of legal and policy challenges. This educational imperative, along with economic, moral, social, and global imperatives, provides numerous opportunities for campus leaders to build broad support for diversity work among many constituencies. Today, it is also well known that high achievement is not simply a function of the characteristics of individuals or communities. Decades of research in higher education, as well as other levels of education, suggests that student success is also a function of the ability of institutions to: (1) transform themselves in ways to successfully educate diverse groups of students and (2) educate all students to function in a diverse society (e.g., Bauman et al. 2005; Carey 2005; Hurtado et al. 2000; Musil et al. 1999; Milem, Chang, and Antonio 2005; Musil et al. 1999; Smith 1997; Smith 2005; Williams, Berger, and McClendon 2005). Speaking of racial/ethnic achievement gaps in particular, Bauman et al. (2005) note, “...we regard the challenge of narrowing the college education gap and achieving equitable educational outcomes for minority groups as a problem of *institutional responsibility and performance* rather than a problem that is exclusively related to student academic preparation, motivation, and accountability” (p. 2; italics added).

As the United States grows increasingly diverse, the need for institutions to develop the capacity to excel in educating all students is as essential as the need to develop capacity for

technology in an increasingly information-driven world. The diversity imperative, like the technology imperative, necessitates fundamental changes in how institutions function, not only for the benefit of students and student success, but also for the ultimate benefit to institutions and to society.

THE CAMPUS DIVERSITY INITIATIVE

Campus diversity has been a strong focus of the work of California's James Irvine Foundation for the last twenty years. In particular, the Foundation has been committed to "helping institutions to prepare all students for leadership in a diverse society and promoting the success of underrepresented student populations" (Smith 2004, p. 2). After receiving a review of its first ten years of grant making (Smith 1997), the Foundation affirmed its emphasis on diversity in its higher education program and, in 1999, developed the Campus Diversity Initiative (CDI). Under the CDI, all grants to campuses were directed at creating institutional-level change to: (1) enhance college access and success for URM and low-income students and (2) increase institutional capacity to engage diversity.⁴

Under the auspices of the CDI, the Foundation invited twenty-eight private colleges and universities in California to submit narratives about the status of diversity on their campuses. These narratives grew out of extensive self-studies that the campuses completed, and the Foundation then worked with the campuses to develop grant proposals that clearly articulated institutional goals for diversity, strategies for achieving their goals, and the ability to build capacity to evaluate progress toward their goals. The Foundation awarded grants to the campuses ranging from \$350,000 to \$3.6 million. Total funding to the twenty-eight schools was \$27 million. The first grants were disbursed in June 2000 and the last were given in June 2003. At the time of this report, one-half of the grants were completed, with the remainder continuing through 2006.

The CDI Campuses

The twenty-eight campuses in the CDI ranged from selective research universities and liberal arts colleges to small, special-mission institutions. Twelve of the campuses had a religious

⁴ For more detail on the types of activities and processes that made up the parameters for diversity work at the CDI campuses, see the section on Campus Goals and Strategies starting on page 21. A few campuses focused on this work at the graduate level, while most focused their efforts at the undergraduate level.

affiliation, including eight Catholic institutions. Eight were doctoral institutions, ten were Master's institutions, nine were baccalaureate liberal arts colleges, and one was a professional school. All but four campuses had received prior diversity grants from the Foundation.⁵ Student population sizes ranged from less than 500 to 16,000 undergraduate students.⁶ Thirteen campuses had less than 1,200 students, eleven had 1,200 to 3,500 students, and four had more than 3,500 students. While these campuses constituted less than one-third of all full-time, four-year independent, non-profit, accredited institutions in California, they enrolled more than 60% of all undergraduates in such institutions.⁷ The campuses varied greatly in mission, size, selectivity, resources, and geographic location within California, and so the specific context in which they approached diversity work was an important factor in their levels of success.

The CDI Evaluation Project

Foundation staff also wanted to strengthen the evaluation component of Irvine-funded initiatives after they discovered that many campuses focused on implementing programs and projects to the neglect of institutional-level progress and the means to evaluate institutional-level progress. Indeed, the evaluation component had become increasingly important to the Foundation for many reasons, including broad concerns in the philanthropic community about accountability and good stewardship. More significantly, many foundation leaders had begun to ask whether evaluation processes could be designed to facilitate organizational effectiveness and build organizational capacity to achieve goals (Dowd 2005; Pew Charitable Trusts 2001; W.K. Kellogg Foundation 1998). As Campbell and McClintock (2002) asked, could evaluation be used more to “improve...than to prove?” (p. 8).

Parallel to these developments in the foundation world, the research on diversity in higher education began to show that campuses had limited capacity to identify strengths and weaknesses of their efforts and to monitor change. Moreover, the absence of good information, data, and evaluation impeded campus diversity efforts and weakened institutions' ability to respond to legal challenges when they occurred (Bensimon 2005; Bensimon et al. 2004; Musil et al. 2000; Smith et al. 2000).

⁵ Over several decades, the Foundation invested more than \$60 million in private colleges in California.

⁶ One campus enrolled only graduate students.

⁷ Source: California Postsecondary Education Commission on-line data system (www.cpec.ca.gov/OnLineData/OnLineData.asp).

In an effort to address these issues and concerns, the Foundation contracted with Claremont Graduate University (CGU) and the Association of American Colleges and Universities (AAC&U) in 2000 to provide evaluation consultation to the twenty-eight CDI schools and to evaluate the overall impact of the CDI. Called the CDI Evaluation Project, this effort was led by an Evaluation Resource Team (ERT) made up of CGU and AAC&U staff and other experts in diversity and evaluation. The two primary goals of the Evaluation Project were to: (1) increase each institution's capacity to conduct effective and meaningful evaluations and (2) assess the overall impact of the CDI on behalf of the Foundation. The strong collaboration between the Foundation, the campuses, and the ERT was fundamental to these efforts.

This Impact Study reports the progress made on CDI goals as well as CDI Evaluation Project goals. It offers lessons learned about building capacity for diversity and for evaluating diversity efforts. Because CDI campus leaders were so instrumental to the work of the Evaluation Project, this report was written primarily for them and secondarily for the Foundation. It was also written to help advance campus diversity efforts nationwide.⁸

This Impact Study is organized around six key questions concerning the impact of CDI and CDI Evaluation Project efforts. Each of the six sections offers selected findings based on quantitative and qualitative data and a set of promising practices.⁹ Promising practices in this context include not only programmatic interventions and structural changes, but also policies and evaluation approaches that help sustain campus-wide diversity efforts.

Evaluation Approach

The approach taken by the Foundation was to help the twenty-eight campuses develop *their own capacity* to evaluate their diversity initiatives in ways that were more robust and that better served their institutions. Foundation leaders believed that as a consequence of applying this principle of building campus capacity, they would receive much of the information necessary to assess their grant making strategy and the overall impact of the grants. Thus, the Impact Study is fundamentally grounded in the evaluation work undertaken by the campuses themselves.

⁸ As part of the agreements for use of campus data, none are individually identified in the report.

⁹ The report offers "promising practices" instead of "best practices" to remind readers that practices based on evidence of effectiveness cannot simply be transferred from one institution to another without paying attention to institutional context, timing, and appropriateness. This study focused largely on institutional-level processes, and, as such, the unit of analysis is the campus or sets of campuses. This is reflected in the language throughout the document.

As a condition of participation, the CDI schools followed a four-step process—the development of a self-study, a grant proposal, an evaluation plan, and regular, six-month interim reports. Foundation staff helped each campus conduct its self-study, which then guided the proposals for diversity initiatives and the evaluation plans. The documents were designed to be of benefit to the institutions as well as to report on progress to the Foundation. Because each step was steeped in a self-study, the nature of the diversity efforts and the resulting evaluation plans were different for each institution.

CDI campus leaders were encouraged to think about evaluation as a means to facilitate an organizational learning process that would drive change rather than as a means to simply report that the schools accomplished the work outlined in their proposals. The primary question that guided both the design and the implementation of the evaluation work was, “How will we know if we are making progress?” The Foundation thus encouraged campus leaders to use a variety of data to evaluate progress, to ascertain the reasons for progress or lack of progress, and to facilitate ongoing deliberation, informed decision making, and institutional learning. These elements, in turn, formed the basis of the campuses’ six-month reports. While the core of the evaluation process involved institutional data, campus leaders were encouraged to use other forms of qualitative and quantitative data as well. In the end, these data sources provided important information for the Impact Study.

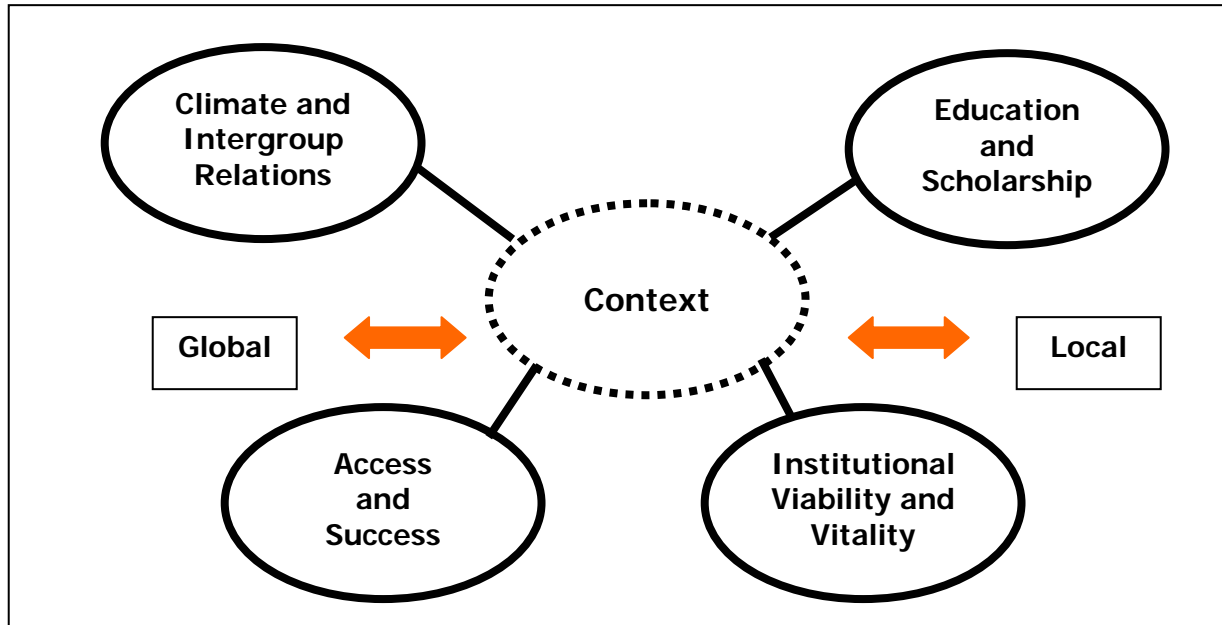
Evaluation Framework

The central goals of the CDI, again, were for the twenty-eight campuses to increase access and success for URM and low-income students and to build institutional capacity to engage and assess diversity. Within the CDI and CDI Evaluation Project, “institutional capacity for diversity” referred to the resources (human and other), expertise, and experience that enabled campus constituents to: (1) educate students from diverse backgrounds at high levels and for a pluralistic society (student excellence) and (2) position the campus to function well in that society by engaging in institutional-level changes (institutional excellence).

Even though the CDI allowed campuses to develop diversity goals and strategies suited to their own institutional contexts, there was considerable overlap in institutional approaches. These approaches were organized using a framework for diversity (adapted from Smith 1995) that consists of four dimensions: (1) **Access and Success** of URM and low-income students, (2)

Campus Climate and Intergroup Relations, (3) Education and Scholarship, and (4) Institutional Viability and Vitality (see figure 1).

Figure 1. Framework for evaluating diversity



This framework provided a useful way of describing the areas in which institutions work and the interrelationships between them. It also offered a set of indicators that could be used in the evaluation process. While the focus of the CDI was on access and success of URM and low-income students (dimension one), the initiative located the responsibility for this work at all levels and across all units of the institution (dimensions two through four). Foundation staff and the ERT realized that if campus leaders focused solely on student access and success, the strategies developed would likely be programmatic in nature and oriented toward “fixing” students rather than toward transforming the institution. It was clear that student success and institutional capacity were inextricably connected and that attention to each was critical.

The framework was also helpful in providing an orientation to diversity that was both inclusive and differentiated—it allowed campuses to focus on increasing access and success for URM and low-income students and also engage other aspects of diversity that were salient in their particular contexts. For example, the campus climate dimension invited investigations of student satisfaction and “fit” with respect to race/ethnicity and socio-economic status, but also with regard to factors such as gender, religion, and sexual orientation. Likewise, under the

education and scholarship dimension, CDI work could weave issues of race/ethnicity and class more broadly and deeply into the curriculum, but a campus could also address how well the curriculum engaged students on matters of globalization and religion. An inclusive and differentiated framework could also illuminate other equity issues, such as differential success among AAPI student populations.

Framing Questions

The Impact Study was designed around six questions. Although URM student access and success form Question Two, they are treated separately in the pages that follow due to the amount and types of data available. The four dimensions of the evaluation framework, discussed above, are reflected in Question Three. The six questions are:

1. What **goals and strategies** made up the Irvine-funded campus efforts? (What patterns emerged regarding effective practices and strategies? What were the funding patterns? How were Irvine resources used?)
2. What was the **status of access and success** of URM and low-income populations at the CDI campuses?
3. What was the **status of institutional capacity** for diversity with regard to: (1) campus climate and intergroup relations, (2) education and scholarship, and (3) institutional viability and vitality? (Have institutions changed in these areas?)
4. What was the **status of overall institutional change** on the campuses? (How did an evaluation framework and organizational learning contribute to institutional change?)
5. What was the **Irvine Foundation's impact** on the campuses?
6. In general, what were the **lessons learned**?

Methodology

For the CDI Evaluation Project, the campuses submitted an array of qualitative and quantitative data to the ERT. Because the CDI afforded institutions wide latitude in developing, implementing, and evaluating campus-specific activities to achieve diversity goals, cluster

analyses¹⁰ were used throughout this Impact Study to identify trends as well as anomalies across the twenty-eight campuses.¹¹

To better ensure consistent, multi-year data for the study, the campuses submitted data for the years 2000-2004, even though most of them began their work after 2000 and approximately one-half of the campuses were still engaged in their grant work at the time of the writing of this report. Data included: (1) quantitative institutional data provided by the campuses, (2) data from the Department of Education's Integrated Postsecondary Data System (IPEDS), (3) qualitative data provided by the member of the ERT assigned to each campus, (4) site visit information from one-half of the campuses, and (5) information from the six-month reports campuses prepared throughout the grant period. When available and appropriate, comparative state and national data were also utilized. In preparation for the writing of this report, information on each of the twenty-eight campuses was summarized for comparison and a cross-institutional database was developed.¹² Appendix one describes the methodology for the study, including all of the data sources and how these data were analyzed, while appendix two summarizes how the data sources were employed to answer the six framing questions.

In nearly all cases, CDI funds supported only a portion of the diversity work on the campuses, a factor that was taken into account in this Impact Study. Also taken into account were the individual campus contexts—where the institutions began with respect to diversity efforts, their missions, how long they had been engaged in diversity work at the institutional level, and particular external forces at play.¹³

Because of the complexity of the CDI and the CDI Evaluation Project and the limitations inherent in the data, this Impact Study was not designed to show causation. Instead, analyses of impact using qualitative and quantitative data show whether campuses had changed and point to a set of promising practices, not only for the CDI schools but also for campuses across the country.

¹⁰ Cluster analyses allow individuals to comprehensively evaluate activities that employ a variety of strategies and approaches while sharing a larger common purpose. The common purpose across the CDI was to improve college access and success for URM and low-income students. This method also allows for the synthesis of a broad range of quantitative and qualitative data.

¹¹ Not all analyses are based on data from twenty-eight campuses. The number of campuses involved in each analysis is listed at the start of that section.

¹² Despite the requirement to provide key data elements, not all campuses provided full complements of data.

¹³ This resulted in different kinds of diversity initiatives, different challenges, and different types and levels of resources.

CAMPUS GOALS AND STRATEGIES

Each campus employed strategies in the four dimensions previously outlined in figure 1. Table 1 summarizes the CDI strategies by dimension and lists the number and percentage of campuses employing the strategy. Data on access and success strategies are clustered separately to provide more detailed information to the reader.

Table 1. Strategies used to achieve goals by dimension of diversity

Strategies by Dimension of Diversity	n	% (n/28)
ACCESS & SUCCESS		
<i>Access</i>		
Admissions-Undergraduate		
<i>Outreach/Pre-College</i>	15	54%
<i>Admissions</i>	6	21%
<i>Financial Aid</i>	4	14%
Admissions-Graduate		
<i>Fellowships</i>	5	18%
<i>Admissions/Outreach</i>	1	4%
SUBTOTAL	22*	79%
<i>Success</i>		
Undergraduate		
<i>Academic Support Programs</i>		
Student Support Services	16	57%
Mentoring/Peer Advising	8	29%
Student Involvement with Faculty Research	5	18%
Summer Programs	1	4%
Graduate		
Program/Development	3	11%
SUBTOTAL	18*	64%
CAMPUS CLIMATE/INTERGROUP RELATIONS		
<i>Student Campus Programming</i>	15	54%
<i>Multicultural Center</i>	1	4%
SUBTOTAL	16*	57%
EDUCATION & SCHOLARSHIP		
<i>Faculty Workshops/Seminars</i>	17	61%
<i>Pedagogy/Curriculum Change</i>	16	57%
<i>Faculty Preparation/Professional Development</i>	14	50%
<i>Faculty Research</i>	7	25%
<i>Study Abroad</i>	2	7%
SUBTOTAL	19*	68%
INSTITUTIONAL VIABILITY & VITALITY		
<i>Assessment/Evaluation/IR</i>	22	79%
<i>Faculty Hiring</i>	16	57%
<i>Diversity-related Support Staff</i>	15	54%
<i>Campus-based Diversity Education</i>	12	43%
<i>Community Outreach</i>	11	39%
<i>Senior Diversity Person</i>	6	21%
<i>Postdocs</i>	4	14%
<i>Administrative Hiring</i>	3	11%
SUBTOTAL	28*	100%

* Subtotal numbers indicate the total number of campuses employing any strategy in the previous cluster. Some campuses employed more than one strategy within a cluster.

To highlight, twenty-two campuses used CDI funds to increase student access and eighteen campuses used funds to increase student success. Nineteen campuses allocated funds to support faculty development in curriculum, pedagogy, and research. All twenty-eight campuses engaged in some sort of institutional capacity building for diversity efforts, with twenty-two allocating funds to the work of monitoring progress through enhanced institutional research (IR) functions or evaluation efforts, and sixteen allocating funds to support increasing the racial/ethnic diversity of the faculty.

As table 2 indicates, nearly one-half of the total grant awards supported institutional capacity-building efforts, of which just over one-third went to increasing faculty racial/ethnic diversity. Twenty-two percent of the total grant funds went toward access and success strategies, which included large allocations for graduate fellowships at just five institutions. Although *undergraduate* college access efforts (\$1,954,000) amounted to only 7% of all CDI grant funds, this is in part because many of these strategies were already built into the campuses' institutional structures and budgets. Fifteen percent of total funds went toward efforts in the education and scholarship dimension, primarily in curriculum enhancement and teaching improvement. Less than 5% of the total funding went to the climate/intergroup relations dimension, largely because these strategies were already in place on many campuses.

Table 2. Allocation of total grant funds by strategy and dimension (in thousands of dollars)

Strategies with Grant Allocations	Funds Distributed (1000s)	%
ACCESS & SUCCESS		
<i>Access</i>		
Undergraduate		
<i>Outreach/Pre-College</i>	1,241	21%
<i>Admissions</i>	405	7%
<i>Financial Aid</i>	308	5%
Graduate		
<i>Fellowships</i>	3,935	66%
<i>Admissions/Outreach</i>	45	1%
SUBTOTAL	5,934	100%
% total CDI funding		22%
<i>Success</i>		
Undergraduate		
<i>Academic Support Programs</i>	3,039	83%
Graduate		
<i>Program/Development</i>	634	17%
Subtotal	3,829	100%
% total CDI funding		14%
CAMPUS CLIMATE/INTERGROUP RELATIONS		
<i>Student Campus Programming</i>	849	72%
<i>Multicultural Center</i>	329	28%
Subtotal	1,178	100%
% total CDI funding		4%
EDUCATION & SCHOLARSHIP		
<i>Pedagogy/Curriculum Change</i>	1,509	39%
<i>Faculty Preparation/Prof. Dev.</i>	783	20%
<i>Faculty Research</i>	689	18%
<i>Faculty Workshops/Seminars</i>	493	13%
<i>Study Abroad</i>	428	11%
Subtotal	3,902	100%
% total CDI funding		15%
INSTITUTIONAL VIABILITY & VITALITY		
<i>Faculty Hiring</i>	4,574	37%
<i>Diversity-related Support Staff</i>	1,863	16%
<i>Assessment/Evaluation/IR</i>	967	8%
<i>Campus-based Diversity Education</i>	918	8%
<i>Postdocs</i>	908	7%
<i>Senior Diversity Person</i>	627	5%
Other		
<i>Indirect/Overhead Costs</i>	572	5%
<i>Miscellaneous</i>	1,740	14%
Subtotal	12,169	100%
% total Irvine Funding		46%
Total Funded	27,012	100%

In sum, the CDI grants were quite targeted because many campus diversity efforts were part of ongoing institutional practices and budgets or were supported by other external funds. Furthermore, it was clear from an examination of the data that the campus evaluation plans, which sought to monitor overall progress on diversity, engaged each of the dimensions. Thus, while strategies to improve campus climate, for example, did not absorb a large part of the grant funds, monitoring climate was an important task on most of the campuses.

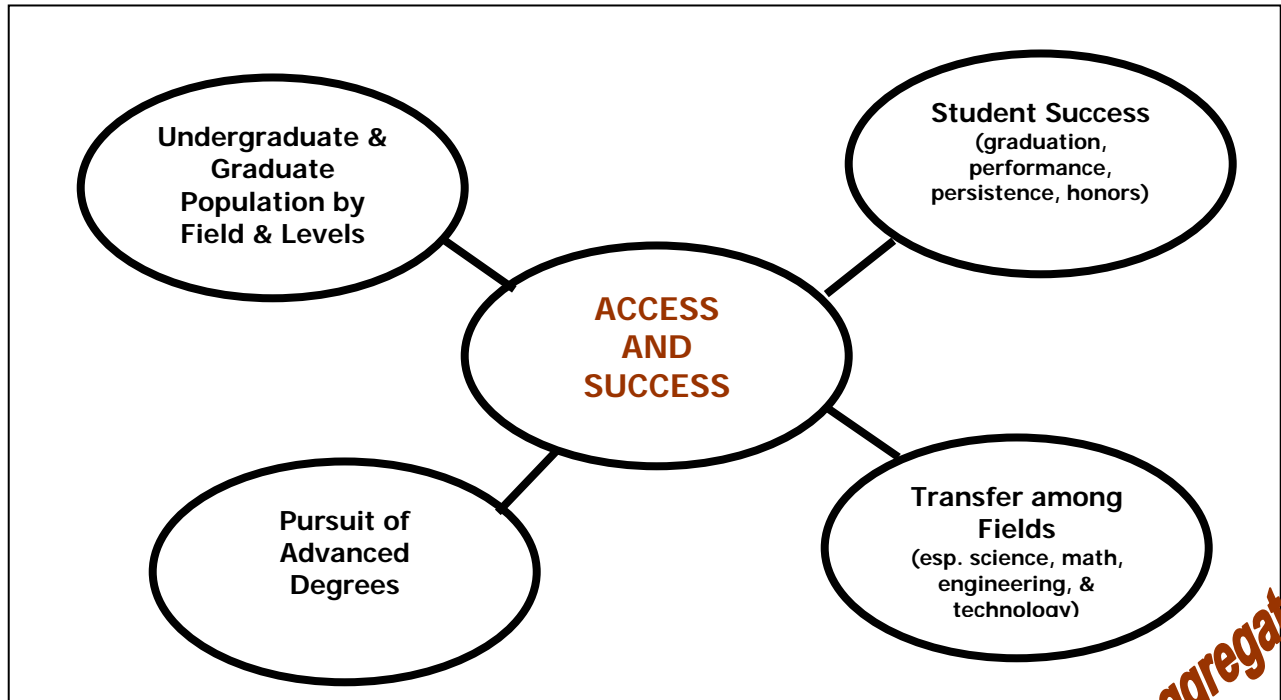
STATUS OF ACCESS

This section describes the access URM and low-income students had to CDI campuses (see figure 2 for access and success indicators). Four areas were examined: (1) URM student access; (2) low-income student access; (3) URM graduate student access, where applicable; and (4) American Indian/Alaska Native student access. As mentioned earlier, all data used in the Impact Study were disaggregated by race/ethnicity. Two data sets were used to examine enrollment trends of URM students: first-year enrollment (i.e., entering first-year, full-time college students) and total full-time undergraduate enrollment. Data were available for all twenty-seven institutions with undergraduate populations,¹⁴ and where possible, these data were compared to enrollment data at California public institutions. Pell Grant recipient data, available from twenty-two campuses, were used to examine low-income student access. Enrollment data from eight doctoral-granting institutions and twelve Master's degree-granting institutions were used to examine URM graduate student access.¹⁵ Finally, because of the sizeable population of American Indians/Alaska Natives in California, there is discussion about access for this group in particular. The section concludes with promising practices to increase college access for all of these student populations.

¹⁴ The remaining CDI campus offers only graduate programs.

¹⁵ Some Master's degree-granting institutions also awarded Ed.D. degrees.

Figure 2. Access and success indicators



Disaggregated

Findings: Access

First-year Enrollment

Data obtained from twenty-seven campuses with undergraduate enrollments showed a consistent increase in the racial/ethnic diversity of first-year students at most of the CDI schools between 2000 and 2004. Table 3 indicates the differences between 2000 and 2004 for each racial/ethnic group.

Table 3. First-year, full time cohorts by race/ethnicity averaged across twenty-seven campuses, 2000 & 2004

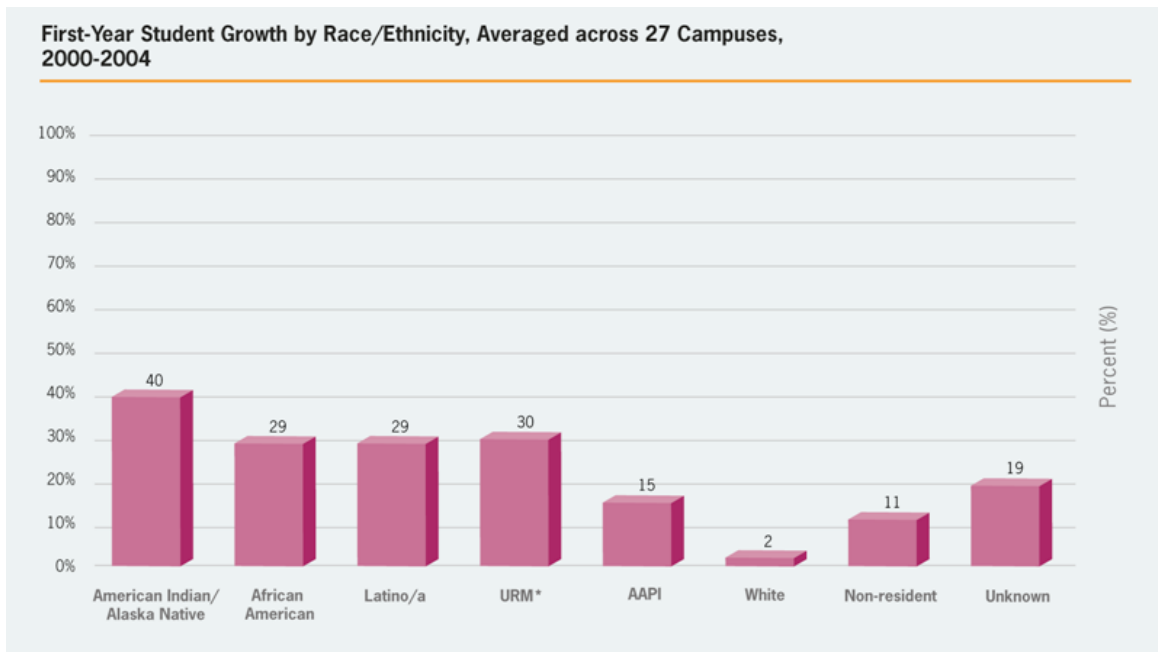
	American Indian/Alaska Native	African American	Latino/a	URM	AAPI	White	Non-resident	Unknown	Total
2000									
n*	5	28	72	105	88	280	19	37	529
% of profile**	1%	5%	14%	20%	17%	53%	3.6%	7%	
2004									
n*	7	36	93	136	101	285	21	44	587
% of profile**	1%	6%	16%	23%	17%	49%	4%	7%	
% growth***	+40%	+29%	+29%	+30%	+15%	+2%	+11%	+19%	+11%

Source: CDI data workbooks, campus data. *Number of students in each racial/ethnic group averaged over the twenty-seven campuses. **Percentage of the total. ***Percentage growth in n from 2000 to 2004.

When comparing 2000 and 2004 data, the overall percentage of URM students in the first-year cohort increased from 20% in 2000 to 23% in 2004, with substantial growth rates for each individual URM group as well (see also figure 3). The URM population in the first-year cohort grew by an average of 30%, from 105 students to 136 students. American Indian/Alaska Native students grew by an average of 40%¹⁶, while African American and Latino/a students grew by an average of 29% each. In contrast, the population of first-year AAPI students grew by an average of 15%, the population of first-year white students grew by an average of 2%, the population of first-year non-resident students grew by an average of 11%, and the population of first-year “unknown” students grew by an average of 19%.¹⁷

Comparing the growth in numbers of URM students to the overall growth in size of the first-year cohort, URM growth accounted for 53% of the 11% average growth in first-year students at CDI schools. Overall, URM students grew both in number and as a percentage of the total average population, even though the overall demographics shifted by only 3%.

Figure 3. First-year student growth by race/ethnicity, averaged across twenty-seven campuses, 2000-2004



Source: CDI Campus Data Workbooks, Campus Provided [n=27]

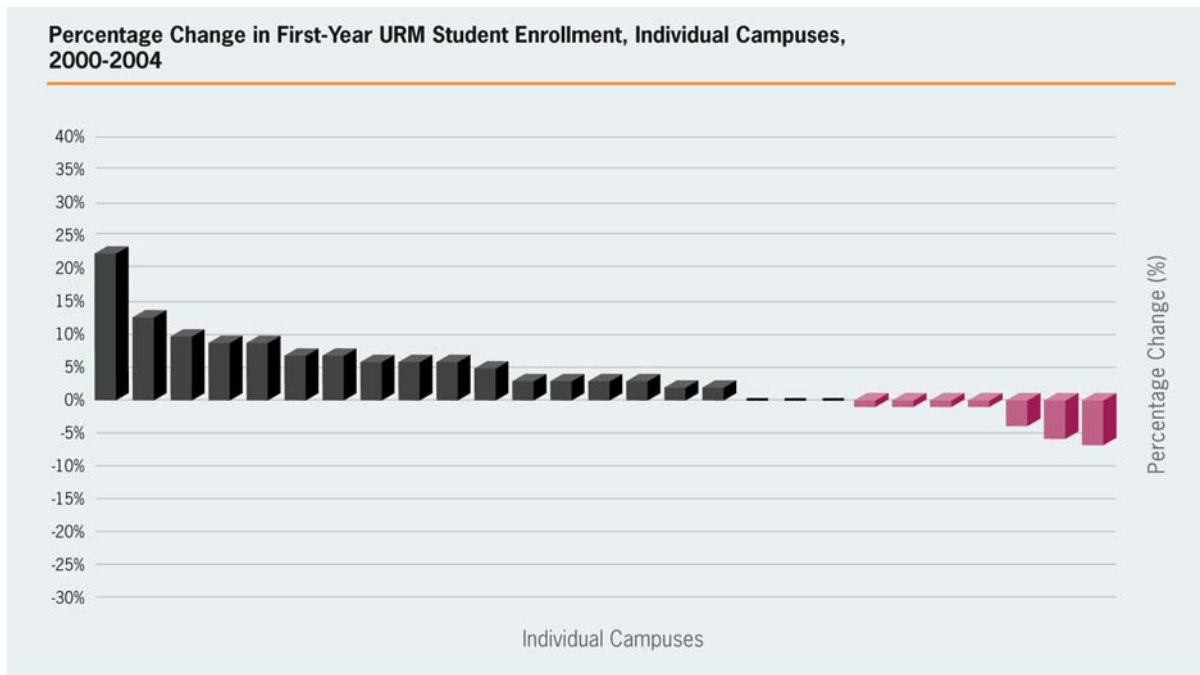
¹⁶ This growth rate is based on small numbers—an average growth from five to seven students across the twenty-seven schools.

¹⁷ Findings from a related CDI report, *‘Unknown’ Students on College Campuses: An Exploratory Study* (Smith et al. 2005) suggest that identifying the racial/ethnic backgrounds of students in the “unknown” category would lead to an increase in the number of white students. See www.irvine.org/assets/pdf/pubs/education/UnknownStudentsCDI.pdf.

While some of these data are heartening, it is important to look at variations among the CDI campuses as well (see figure 4). The following findings emerged from the analysis of individual campus variation for URM students and a more detailed analysis of each racial/ethnic group:

- Seventeen of twenty-seven campuses increased in overall number and percentage of URM students from 2000 to 2004.
- Seven campuses increased in overall number of URM students, but experienced a decline in percentage of these students as a function of an overall increase in class size.
- One campus declined in both the number and percentage of URM first-year students.
- Across all URM groups, a pattern of increase was most consistent for Latino/a students, with twenty campuses increasing in both number and percentage of these students.
- Eighteen campuses increased in both number and percentage of African American students.
- Five campuses increased in both number and percentage of American Indian/Alaska Native students, while thirteen campuses declined in both number and percentage of these students.

Figure 4. Percentage change in first-year URM student enrollment, individual campuses, 2000-2004



Source: CDI Campus Data Workbooks, Campus Provided [n=27]

In order to see if any patterns existed among institutions with different levels of growth, the campuses were divided into three groups (high, middle, and low) based on the degree of growth in URM first-year students from 2000 to 2004. Each group contained an array of institutions in terms of mission and size. The high-growth group (avg. +75%, with a range of 60% to 86%) included some of the most racially/ethnically diverse campuses as well as campuses that made racial/ethnic diversity in first-year enrollments a strategic priority. The middle-growth group (avg. 35%, with a range of 23% to 52%) included some of the more selective institutions in the project, as well as campuses that had some racial/ethnic diversity and were moderately increasing these efforts. The low-growth group (avg. 6%, with a range of -29% to +20%) included campuses that have not had much success in attracting URM students or students of color generally. Other campuses in the low-growth group were already quite racially/ethnically diverse in 2000 and were emphasizing student success rather than recruitment in their CDI goals. For a few of the most racially/ethnically diverse campuses, there was actually a decline in percentage of URM students, but the decline was not necessarily substantial given the existing demographics.

Undergraduate Enrollments

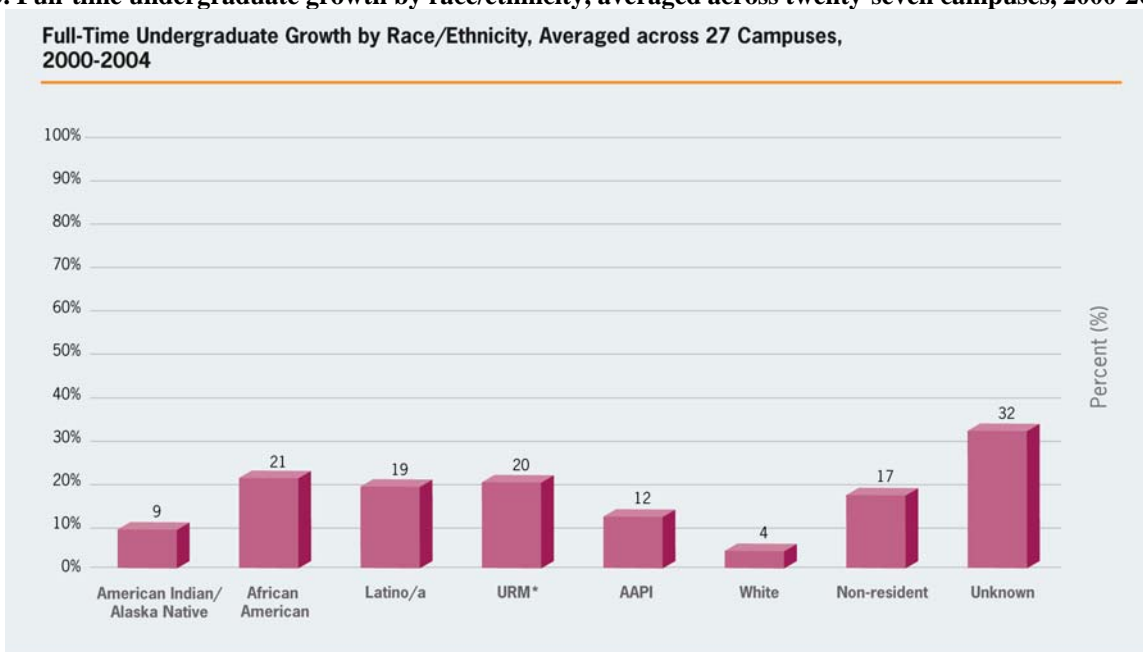
Between 2000 and 2004, changes in overall undergraduate enrollment patterns largely mirrored the patterns found in first-year enrollments. There was a consistent increase in the number of URM students in the undergraduate populations on most of the CDI campuses. The data show that the URM population increased, on average, from 20% in 2000 to 22% in 2004 across the twenty-seven campuses (see table 4). This represented a 20% growth. In addition, this 20% growth in URM students accounted for 36% of the total undergraduate growth. Figure 5 highlights the percentage growth for each racial/ethnic group.

Table 4. Undergraduate enrollment by race/ethnicity averaged across twenty-seven campuses, 2000 & 2004

	American Indian/ Alaska Native	African American	Latino/a	URM	AAPI	White	Non-resident	Unknown	Total
2000									
n*	22	135	327	484	400	1,231	110	141	2,367
% of profile**	1%	6%	14%	20%	17%	52%	5%	6%	
2004									
n*	24	164	389	577	447	1,285	129	186	2,624
% of profile**	1%	6%	15%	22%	17%	49%	5%	7%	
% growth***	9%	21%	19%	20%	12%	4%	17%	32%	11%

Source: CDI data workbooks, campus data. *Number of students in each racial/ethnic group averaged over the twenty-seven campuses. **Percentage of the total. ***Percentage growth in n from 2000 to 2004.

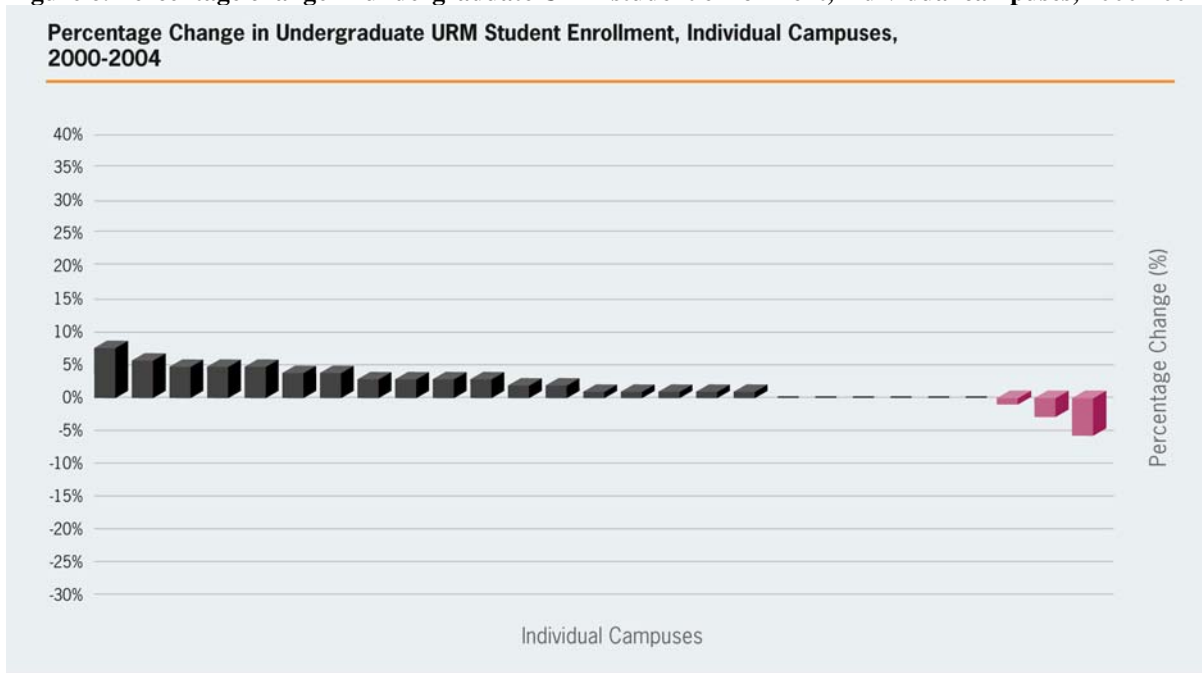
Figure 5. Full-time undergraduate growth by race/ethnicity, averaged across twenty-seven campuses, 2000-2004



Source: CDI Campus Data Workbooks, Campus Provided [n=27]

As with first-year enrollments, there were considerable variations among campuses and among racial/ethnic groups with respect to undergraduate enrollments (see figure 6). Also mirroring the first-year enrollments, the pattern of increases in undergraduate enrollments was most consistent for Latino/a students, with more campuses increasing in both number and percentage of these students than other URM students.

Figure 6. Percentage change in undergraduate URM student enrollment, individual campuses, 2000-2004



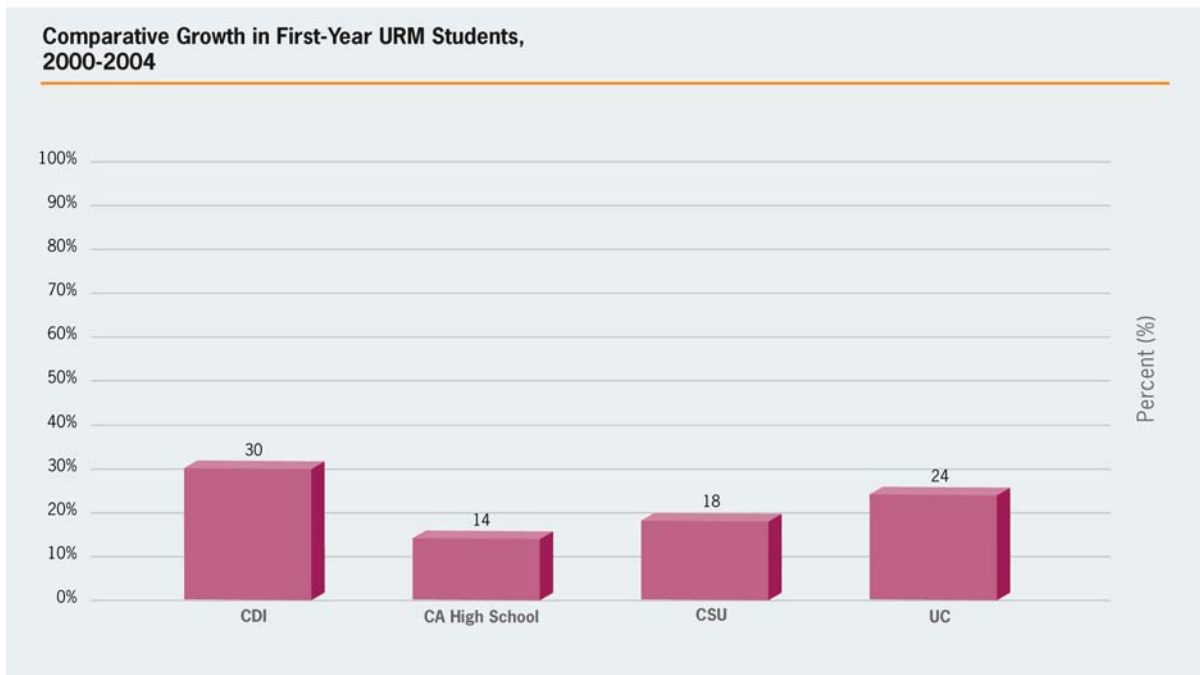
Source: CDI Campus Data Workbooks, Campus Provided [n=27]

URM Student Access to CDI Campuses Compared to California Public Institutions

The University of California (UC) system and the California State University (CSU) system are made up of public campuses with some racial/ethnic diversity within their student populations. Comparisons on key indicators provided a useful benchmark for the CDI campuses and served as a measure of college access for URM students in California overall. Figure 7 shows the overall growth in URM first-year students from 2000 to 2004 for three groups: the cluster of twenty-seven CDI campuses, a cluster of eight undergraduate UC campuses, and a cluster of twenty CSU campuses.¹⁸ The figure also includes the percentage of URM California high school graduates (CaHS) for comparison purposes.

¹⁸ UC Merced, CSU Monterey Bay, and the graduate institutions are not included.

Figure 7. Comparative growth in first-year URM students, 2000-2004



Source: California Postsecondary Education Commission, Online Data System;
CDI data derived from Campus Data Workbooks, Campus Provided Data (n=27)

Among the findings of the comparative analysis were the following:

1. As shown in figure 7, the percentage growth in URM first-year students at the CDI campuses exceeded the growth that occurred at both the UC and CSU schools during this period. However, it must be remembered that the CSU campuses had a larger average percentage of first-year URM students overall (31%) than either the CDI campuses (23%) or the UC campuses (17%).
2. Even though the total number of first-year students on CDI campuses was about one-half the total number of first-year students at either the UC or CSU campuses, the CDI campuses had:
 - More total American Indian/Alaska Native first-year students than the UC schools and more American Indian/Alaska Native students as a percentage of the total undergraduate enrollment;
 - A larger percentage of African American first-year students as a percentage than the UC campuses and an equivalent percentage as the CSU schools; and
 - A higher percentage of Latino/a students than the UC schools.

Pell Grant Recipients

Economic barriers to higher education have been increasingly emphasized in discussions of access, although historically, economic status and race/ethnicity have been treated separately. As part of the data collection for the CDI Evaluation Project, campuses were asked to provide data on Pell Grant¹⁹ recipients disaggregated by race/ethnicity. These data were available for twenty-two CDI campuses and enabled analyses of the intersection of these two important variables. Although there has been considerable concern about the adequacy of Pell Grants as an economic indicator,²⁰ it is the best one to date for cross-institutional comparisons. Individual campuses can do similar analyses with a much broader array of income data available to them and are encouraged to do so.

The distribution of Pell Grants among students at CDI campuses was analyzed in two very different but important ways. The first involved *overall Pell Grant distribution and change in Pell Grant distribution by race/ethnicity* between 2000 and 2004. This began to illustrate both the racial/ethnic diversity and economic diversity—or lack thereof—of the undergraduate student body.

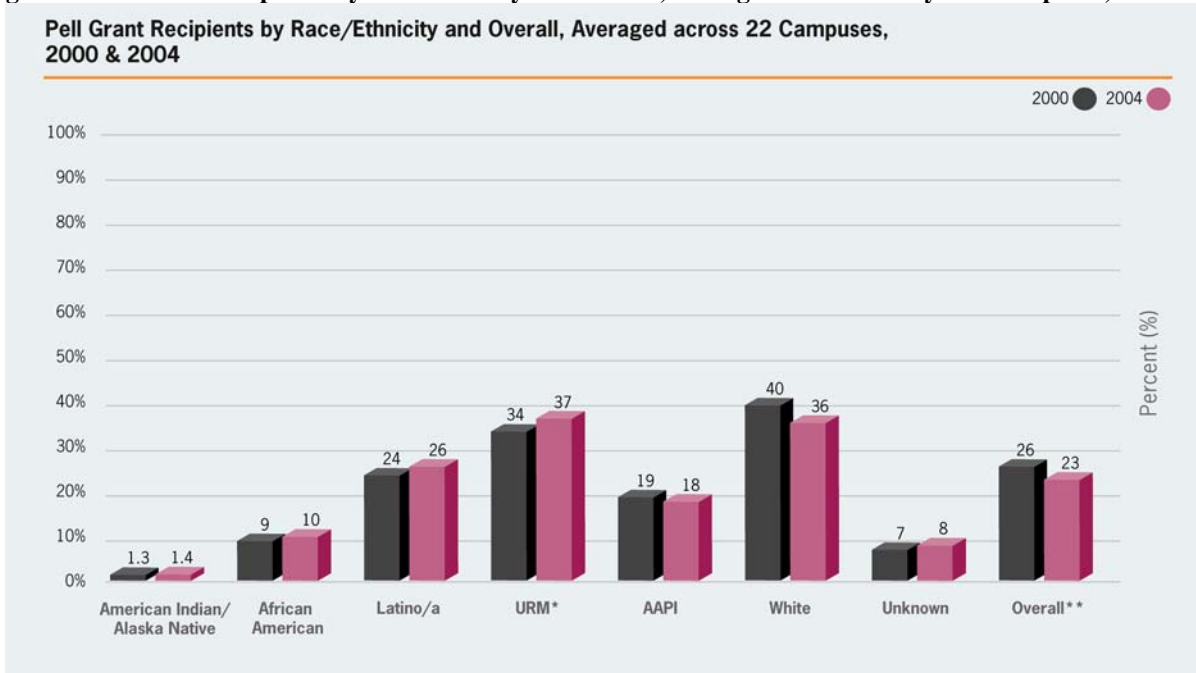
The second involved the *percentage of students within racial/ethnic groups receiving Pell Grants*, which highlighted the economic diversity within each group. Our analyses suggested different results using these two lenses.

Reflecting the first lens, figure 8 shows the change in distribution of total Pell Grants from 2000 to 2004 for the twenty-two campuses who submitted data. On average, the percentage of total students on Pell Grants decreased from 26% to 23% during this period. At the same time, the average percentage of URM students receiving Pell Grants within all Pell Grant recipients increased from 34% to 37% (see table 5). As in our other analyses, individual campuses differed. Between 2000 and 2004, sixteen campuses showed a 6% increase in the overall number of Pell Grant recipients, five campuses showed a 5% decrease, and one campus had no change.

¹⁹ The Pell Grant Program is a Federal program that provides grants to low-income students within 150% of the poverty line.

²⁰ This is due to the lack of consistency of available data as well as unease about the criteria used for Pell Grant selection.

Figure 8. Pell Grant recipients by race/ethnicity and overall, averaged across twenty-two campuses, 2000 & 2004



**Overall Pell as % of Undergraduate Population
 Source: CDI Campus Data Workbooks, Campus Provided [n=22]

Table 5. Pell Grant recipients by race/ethnicity averaged across twenty-two campuses, 2000 & 2004

	American Indian/Alaska Native	African American	Latino/a	URM	AAPI	White	Unknown	Total
2000								
n*	9	62	151	222	135	206	34	593
Average %**	1%	9%	24%	34%	19%	40%	7%	
2004								
n*	9	65	150	225	126	184	39	574
Average %**	1%	10%	26%	37%	18%	36%	8%	
% growth***	0%	5%	-1%	1%	-7%	-11%	15%	-3%

Note: Due to rounding some numbers may not appear as exact sums. *Number of Pell Grant recipients averaged across the twenty-two CDI schools for which data was available. **Average percentage of each school's percentage for that year. ***Percentage change in n from 2000 to 2004.

When the data about the decline in Pell Grant recipients was presented at a CDI evaluation seminar, several campus leaders wondered whether the decline reflected national trends. In order to determine whether these changes corresponded to a similar decline in Pell Grants nationally or in California, those data were obtained from the U.S. Department of Education. Table 6 shows the total number of Pell Grant recipients for 2000 and 2003 nationally,

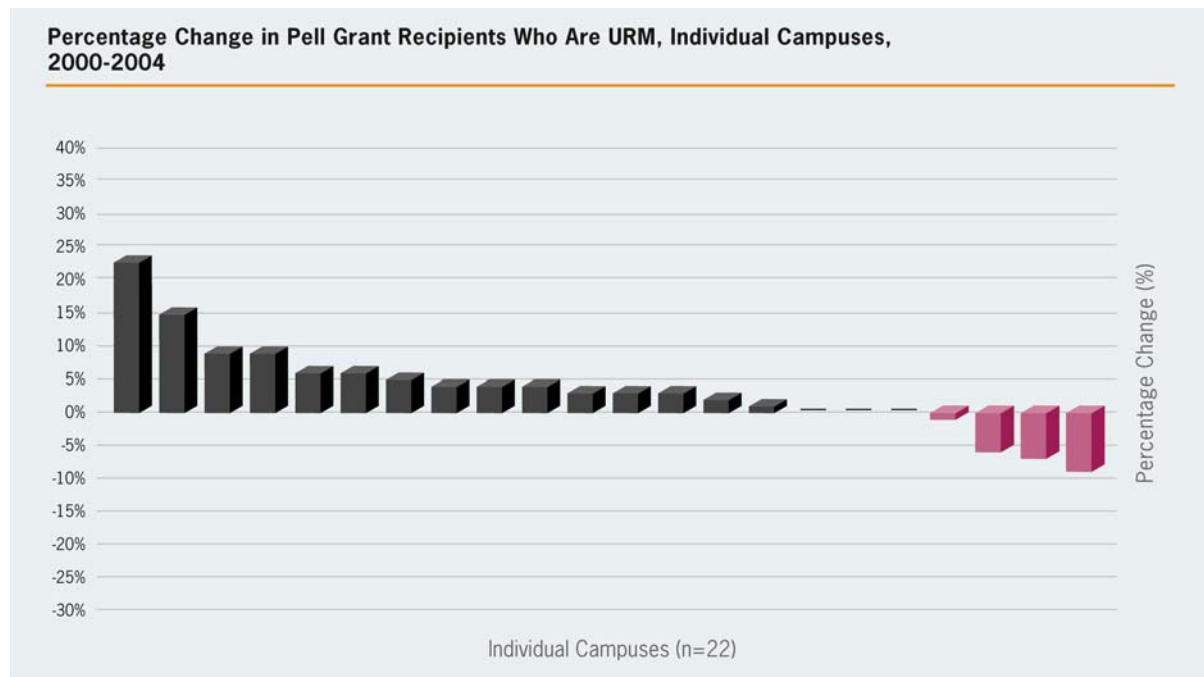
for California public and private institutions, and for the twenty-two CDI campuses. The table shows that there has been an increase in Pell Grant recipients nationally and in California. The CDI campuses, on average, show a decline of 3%. Figure 9 shows individual campus variations.

Table 6. Total Pell Grant recipients by year and level, U.S., California, and CDI (total N)

	U.S.		California*		CDI**
	Public 4 yr.	Private 4 yr.	Public 2 & 4 yr.	Private 2 & 4 yr.	
2000	1,245,363	575,082	341,803	43,514	13,036
2003	1,625,128	751,365	409,020	46,555	12,632
Difference	379,765	176,283	67,217	3,041	-404
% change	+30%	+31%	+20%	+7%	-3%

Source: U.S. Department of Education, Federal Pell Grant Program End-of-Year Reports, 1999-2000 & 2003-2004 (not including proprietary). CDI data derived from data workbooks, campus data. *California data not available disaggregated by two-year and four-year. **CDI includes twenty-two campuses for 2000 and 2004.

Figure 9. Percentage change in Pell Grant recipients who are URM, individual campuses, 2000-2004

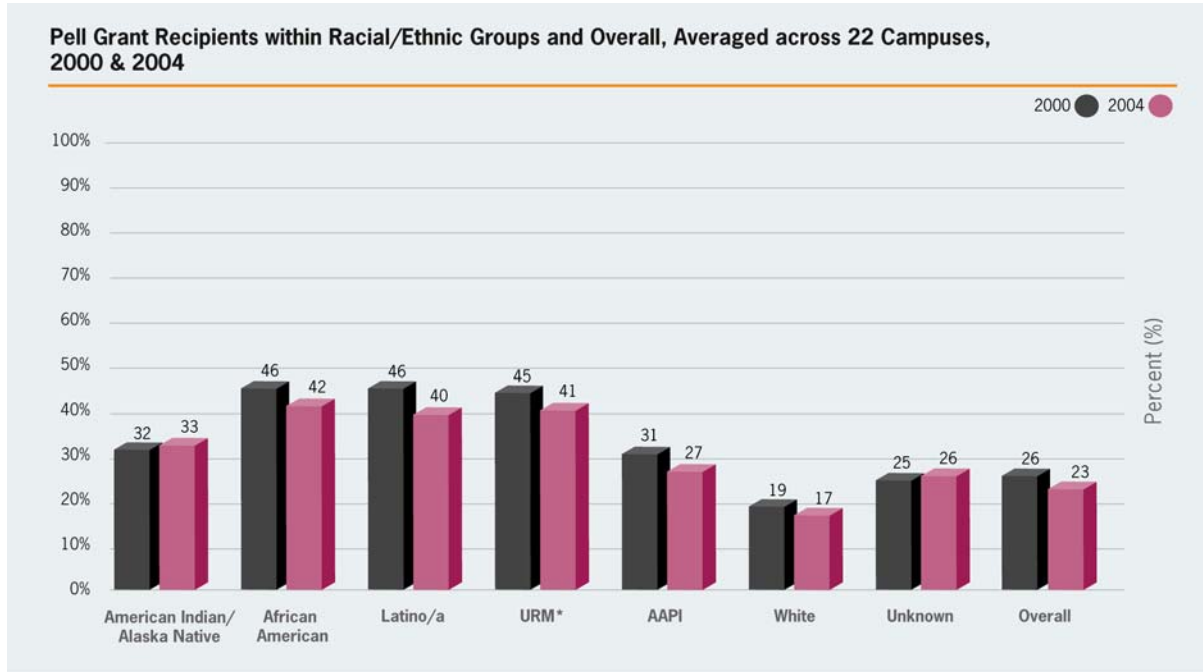


Source: CDI Campus Data Workbooks, Campus Provided [n=22]

Reflecting the second lens, figure 10 displays the within-group changes in Pell Grant recipients versus non-recipients from 2000 to 2004 across the twenty-two CDI schools. The percentage of URM students who received Pell Grants decreased from 45% to 41% between 2000 and 2004, and indeed, the percentage of students in every racial/ethnic group receiving Pell

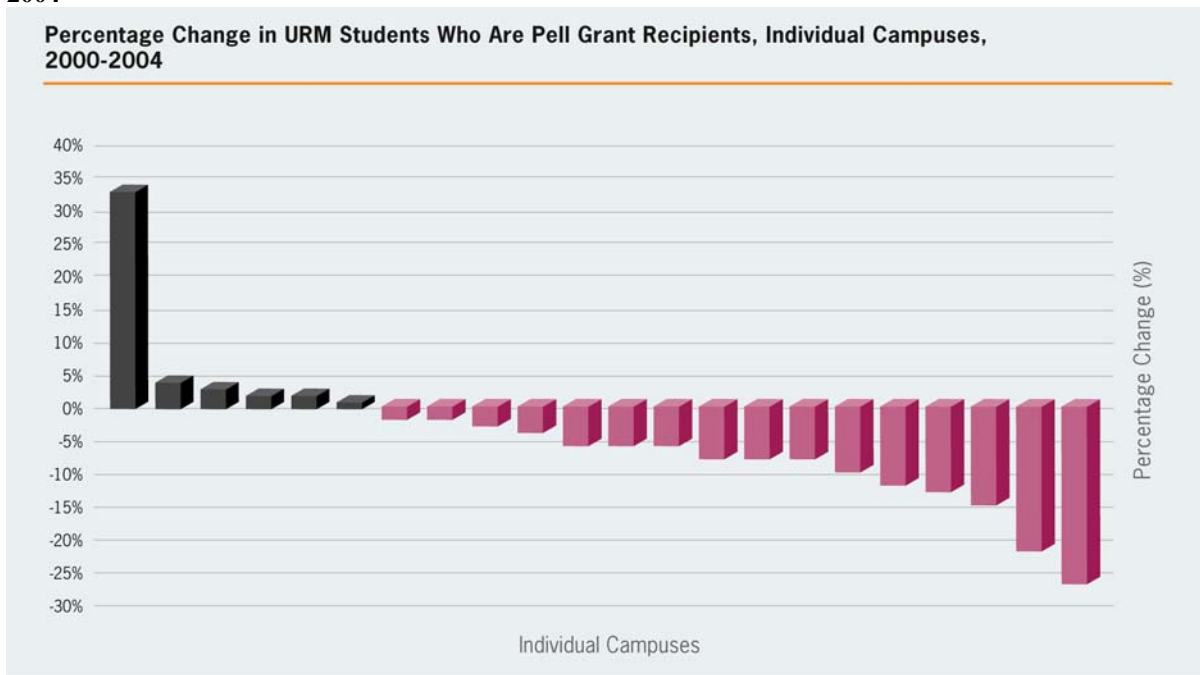
Grants decreased except for unknown and American Indian/Alaska Native students. With regard to differences across campuses in terms of percentage of URM students who were Pell Grant recipients, sixteen campuses decreased by 9%, five increased by 10%, and one had no change from 2000 to 2004 (see figure 11).

Figure 10. Pell Grant recipients within racial/ethnic groups and overall, averaged across twenty-two campuses, 2000 & 2004



Source: CDI Campus Data Workbooks, Campus Provided [n=22]

Figure 11. Percentage change in URM students who are Pell Grant recipients, individual campuses, 2000-2004



Source: CDI Campus Data Workbooks, Campus Provided [n=27]

Graduate Enrollments

Increasing the access and success of graduate students was the primary focus for a small number of the CDI campuses. Five campuses explicitly addressed this goal while stressing the important relationship between URM graduate student success and increasing the racial/ethnic diversity of faculty, professionals, and civic leaders. For this study, the data on graduate students were analyzed first for the eight doctoral-granting institutions in the CDI and then for the twelve Master's-granting institutions.²¹ The data on graduate enrollments from the eight doctoral-granting institutions in the CDI were primarily based on IPEDS data in order to gain some consistency. Table 7 indicates that URM graduate student presence increased slightly as a percentage of total enrollment, from 12% to 14%, with the largest growth in Latino/a students. The change in *numbers* of American Indian/Alaska Native (+7%), African American (+21%), and Latino/a (+51%) also indicates an increase. In comparison, the growth in the overall graduate student body across the sample was 19%, and the growth in the AAPI graduate student body

²¹ As noted earlier, some of these campuses also granted Ed.D. degrees.

across the sample was 18%.²² To put all of these findings in context, data from 1994 showed that the percentage of URM students was 10%, and the percentage of AAPI students was 9%.

Table 7. Graduate enrollment by race/ethnicity averaged across eight doctoral-granting campuses, 2000 & 2004

	American Indian/Alaska Native	African American	Latino/a	URM	AAPI	White	Non-resident	Unknown	Total
2000									
n*	14	107	158	279	316	1017	714	157	2482
Average %**	1%	5%	7%	12%	12%	47%	21%	8%	
2004									
n*	15	129	238	383	373	1047	841	321	2964
Average %**	1%	5%	9%	14%	11%	41%	21%	13%	
% growth***	7%	21%	51%	37%	18%	26%	18%	104%	19%

Note: Due to rounding some numbers may not appear as exact sums. *Number of students averaged across the eight schools. **Average percentage of each school's percentage for that year. ***Percentage change in n from 2000 to 2004.

Because these campuses were among those producing Ph.D.s in California, and because this topic was important in light of increasing the racial/ethnic diversity of future faculty, it was relevant to examine the graduate student racial/ethnic diversity on these campuses compared to the undergraduate student racial/ethnic diversity. Analyses revealed that the racial/ethnic diversity was much lower among graduate students than among undergraduate students. In 2004, for the seven of the eight doctoral-granting campuses with undergraduate populations, the percentage of URM undergraduate students was 22%, and the percentage of AAPI undergraduate students was 21%. Table 7 also highlights the growth in unknown students at the doctoral-granting institutions, which contrasted sharply with the growth of this group at the Master's-granting institutions (see table 8).

Table 8 shows the pattern of racial/ethnic diversity at twelve Master's-granting CDI campuses. The average percentage of URM graduate students in these institutions grew from 18% in 2000 to 24% in 2004, while the average percentage of AAPI students grew from 5% to 9% during that same time period. Again, to put these numbers in context, data from 1994 show the average percentage of URM graduate students was 18%, and the average percentage of AAPI graduate students was 5%, suggesting no progress prior to the CDI.

²² The decline from 2000 to 2004 for white students likely relates to the increase (104%) in the "unknown" category.

Table 8. Graduate enrollment by race/ethnicity averaged across twelve Master’s-granting campuses, 2000 & 2004

	American Indian/Alaska Native	African American	Latino/a	URM	AAPI	White	Non-resident	Unknown	Total
2000									
n*	3	23	40	66	27	216	19	60	387
Average %**	1%	6%	11%	18%	5%	59%	5%	13%	
2004									
n*	2	35	69	106	41	232	15	65	459
Average %	0%	8%	16%	24%	9%	49%	4%	14%	
% growth***	-33%	52%	73%	61%	52%	7%	-21%	8%	19%

Note: Due to rounding some figures may not appear as exact sums. *Number of students averaged across the twelve schools. **Average percentage of each school’s percentage for that year. ***Percentage change in n from 2000 to 2004.

American Indian/Alaska Native Student Enrollments

Even within a focus on URM students, there can be a tendency to ignore American Indian/Alaska Native students because of the low numbers of these students on many campuses. It is true that the small numbers and percentages of American Indian/Alaska Native students adds to the challenge of interpreting *quantitative* data because there can be wide fluctuations from year to year. Though there are always concerns about misrepresentation when using aggregated data, such data may be particularly misleading with respect to these students.

A focus on American Indian/Alaska Native students is particularly important in the context of California. Recent census data indicates that the state has the largest population of American Indians/Alaska Natives of any state in the nation, far exceeding the one percent national population figure.²³ While other states are home to specific tribal populations, the California population is a mix of many indigenous California tribal people and all other North American tribal people. Yet there are shockingly low numbers of American Indian/Alaska Native students attending California colleges and universities—they often constitute less than one percent of the student population at individual institutions. These low numbers also have deep implications with respect to campus climate for those who are attending college.

The demographic data for California suggest that many American Indian/Alaska Native people are urban, rather than reservation-based, residents. This presents California colleges and universities with a special opportunity to increase the numbers of American Indian/Alaska

²³ Statistical Abstract of the United States 2004-2005: The National Data Book. U.S. Census Bureau.

Native students on campus since many institutions already have targeted outreach programs to urban schools. Indeed, the CDI data indicated that five campuses had succeeded in attracting and graduating American Indian/Alaska Native students.

Promising Practices: Access

Connect with High Schools and Communities

The more successful CDI campuses were strategic in connecting with high schools and communities previously neglected in outreach efforts. Significantly, this practice yielded success regardless of campus selectivity. Critical factors included:

- Having admissions staff members who were from or at the least familiar with and comfortable working in these communities, and who found ways to connect with students even when staff members' access to high school counselors was limited or unavailable.
- Building relationships with high school students through summer programs and throughout the senior year of high school (or earlier). It was also important for campuses to link these programs to ongoing processes and activities, such as admissions and financial aid workshops. Successful programs were not designed around financial resources but rather around building relationships.
- Having a racially/ethnically diverse campus had an impact on the attractiveness of the campus to students and spoke to the integrity of campus statements about diversity.

Increase Transfer Student Presence on Campus

A sizeable number of URM and low-income students begin their college careers at community colleges. The more successful CDI campuses developed partnerships with these institutions and the surrounding communities as a key strategy to increase URM student access to four-year colleges.

Focus on California's American Indian/Alaska Native High School Students

There is both an opportunity and an obligation to recruit American Indian/Alaska Native students to attend college in California, given the size of this population in the state. Several of the CDI campuses began to successfully reach out to these students, and did so by connecting this

specific recruitment effort to broader outreach strategies and employing staff who were knowledgeable about the community and their needs.

Gather Qualitative Data from Current American Indian/Alaska Native Students

The current lack of substantial numbers of American Indian/Alaska Native Students on campuses can diminish the attractiveness of the campus and negatively influence persistence to graduation. Paradoxically, while low numbers provide a challenge for quantitative analyses, they provide an opportunity for deeper qualitative work related to American Indian/Alaska Native student experiences on campus.

Coordinate URM Graduate Admissions Efforts across Programs

Because of the decentralization of graduate admissions in departments and divisions, an institutional focus on the racial/ethnic diversity within graduate student populations requires coordination among various graduate programs. Several CDI campuses had begun this coordination process, which included discussions about ways to identify potential talent beyond the traditional indicators of academic potential. Some of the CDI doctoral-granting institutions began to understand that their practices would influence the nation's pool of future faculty, and they realized the potential to help diversify the faculty pool given the racial and ethnic diversity of undergraduate students in California.

Cross-tabulate Income with Race/Ethnicity

Even given the cautions about using Pell Grant data, it was clear from the analyses that income intersected with race/ethnicity with regard to access, and while there was no data related to income for other dimensions, some of the variations in these analyses may have been related to issues of socio-economic status. The absence of this kind of analysis for the other dimensions was telling. All of the CDI campuses would have benefited from rounding out Pell Grant data with their own financial aid eligibility and need-based awards data to more robustly investigate the impact economic status had on recruitment and persistence and to better understand the intersection of income with race/ethnicity as well as other factors (e.g., gender).

Identify “Unknown” Students on Campus

Not having accurate knowledge about the racial/ethnic diversity of their students made assessing progress difficult for some of the CDI campuses. In particular, several of the campuses were faced with large increases in students who identified as “unknown” in admissions data. Such a phenomenon would require campus leaders to develop data that accurately reflect the racial/ethnic backgrounds of all students, including students who list multiple racial/ethnic categories. Another report from the CDI (Smith et al. 2005) suggested promising practices in this area, most importantly with regard to consistency and timing of data collection and the use of multiple data sources.

STATUS OF SUCCESS

Student success was critical both as a goal and as an indicator of whether CDI campuses made progress in engaging diversity along all four dimensions. Many of the CDI campuses had achieved considerable success in recruiting URM students over the period of the grant, but until the campuses could ensure that these students succeeded academically and socially, they would not reap the full benefits of their outreach efforts. Moreover, lack of individual student success risked alienating all URM students, as well as URM faculty, staff, and home communities.

Equity in student success was critically linked to institutional success and will be discussed further in the section on building institutional capacity. No CDI data were available on success rates for graduate students. Because the most recent graduation data were not available for enough of the CDI campuses, analyses focused on third-year persistence rates for the 2000 and 2001 entering student cohorts and on six-year graduation rates²⁴ for the 1997 entering student cohort.²⁵ Data on three-year persistence rates were available from twenty-three of the twenty-seven CDI campuses with undergraduate programs.

At the outset of the CDI Evaluation Project, the goal was to have campuses analyze success in ways that moved beyond basic indicators of persistence and graduation disaggregated by race/ethnicity. For example, the CDI Evaluation Project requested GPA data as a way to monitor whether students who were graduating were doing so at high levels, but not all campuses submitted these data. A few CDI campuses had begun to examine whether or not various groups

²⁴ This cohort data was obtained from The Education Trust database, which contains IPEDS data. See www2.edtrust.org/edtrust.

²⁵ Persistence and graduation here focus on retention at the institution a student entered. A student who left his/her first institutions may well have graduated elsewhere.

of students were thriving by analyzing additional disaggregated data, such as transfer in and out of science majors, success in science and gateway courses, participation in honors programs, leadership recognition and other awards, and achievement of academic honors. Some of the CDI campuses that participated in the Diversity Scorecard Project,²⁶ for example, developed some key data on gateway courses.²⁷ However, most of the campuses struggled just to develop and use the basic indicators reported here.

Findings: Success

Overall, the findings suggested that there was increased persistence among URM students and that some campuses reduced common persistence gaps associated with the first and third years.

Third-Year Persistence

The analysis for third-year persistence of the 2000 and 2001 first-year entering cohorts is summarized in table 9 and is based on data from twenty-three of the twenty-seven undergraduate campuses. The campuses were divided into three clusters by overall persistence rates: A (81% to 100%); B (70% to 80%); and C (below 70%).²⁸ In general, the emerging pattern suggested that campuses made progress in reducing persistence gaps in both the first and third years for all groups. In many cases, the race/ethnicity gaps that remained were quite small. Still, there were dramatic variations within campuses. For example, these analyses suggested that African American and American Indian/Alaska Native students were most vulnerable to attrition, particularly on campuses where overall student persistence was low.

²⁶ The Diversity Scorecard Project, funded by the James Irvine Foundation, was designed to improve institutional effectiveness for underserved minority students (www.usc.edu/dept/education/CUE/projects/index.htm). The project later became the Equity Scorecard Project.

²⁷ Gateway courses are typically entry-level requirements for access to a major/field of study.

²⁸ Clusters were developed by looking at the groupings according to overall persistence.

Table 9. Third-year persistence for 2000 and 2001 cohorts, averaged across twenty-three campuses

	Number of campuses	Overall	American Indian/Alaska Native	African American	Latino/a	AAPI	White
2000							
A (81-100%)	9	86%	72%	74% ²⁹	83%	88%	84%
B (70-80%)	7	75%	66% ³⁰	87%	78%	80%	77%
C (< 70%)	7	69%	73%	49% ³¹	69%	77%	67%
2001							
A (81-100%)	9	86%	54% ³²	88%	84%	90%	85%
B (70-80%)	7	76%	86%	66% ³³	74%	77%	72%
C (< 70%)	7	62%	27%	55% ³⁴	69%	71%	64%

Source: CDI data workbooks, campus data.

Perhaps the most striking finding in these analyses centered on Latino/a students. For each entering cohort, the Latino/a student persistence rate was the same as or better than the overall persistence rate at seventeen of the twenty-three campuses for which there were robust data. This pattern held regardless of institutional selectivity.³⁵

African American persistence was higher than overall persistence at nine of twenty-three campuses for the 2000 cohort and at thirteen of twenty-three campuses for the 2001 cohort. The analyses confirmed that CDI campuses that intentionally focused on African American student success—along with other campuses that were doing well with persistence generally—either closed or greatly reduced this particular persistence gap.

The data also showed that the periods of vulnerability for dropping out differed among racial/ethnic groups. There was some indication that attrition of African American students was more likely between the sophomore and junior years, though a few campuses experienced sizeable attrition of these students between the junior and senior year as well. American Indian/Alaska Native students, Latino/a students, and white students tended to have a higher dropout rate after the first year.

Adequate graduation data for the 2000 and 2001 cohorts were not available, but some points were worth noting based on institutional data from earlier cohorts:

²⁹ This figure would be 83% were it not for one campus at zero.

³⁰ This figure would be 77% were it not for one campus at zero.

³¹ Four of seven campuses had an average of 76%.

³² This figure would be 72% were it not for two campuses at zero, small n.

³³ This figure would be 79% were it not for one campus at zero.

³⁴ Three of seven campuses had an average of 27%.

³⁵ Similar findings emerged for six-year graduation rates and for GPA at approximately one-half of the campuses.

- There was more attrition from third-year persistence to four-year graduation than one might expect.³⁶
- Generally, the campuses graduated a greater percentage of their URM students in four years than did the California public institutions. Even so, it appeared that fifteen of twenty-three CDI campuses had a range of 10% to 15% of the overall class continuing through to the sixth year (see below for more discussion). This occurs for many reasons, but it is not clear that campuses were carefully examining this phenomenon and the impact it may have on URM and low-income students.³⁷ Low-income and URM students may be overrepresented among those students extending their graduation dates, and this is an area that warrants further investigation.

Six-year Graduation Rates

Figure 12 and table 10 summarize the six-year graduation rates for the 1997 entering cohort (graduation by 2003). The CDI campuses were clustered³⁸ into three groups based on their overall graduation rates (CDI-1 = 81% to 100%; CDI-2 = 65% to 80%; CDI-3 = below 65%). UC, CSU, and national data were used for comparison, and each data set was disaggregated by race/ethnicity. Using national data provided access to data from twenty-six of the twenty-seven CDI campuses that had undergraduate programs.³⁹

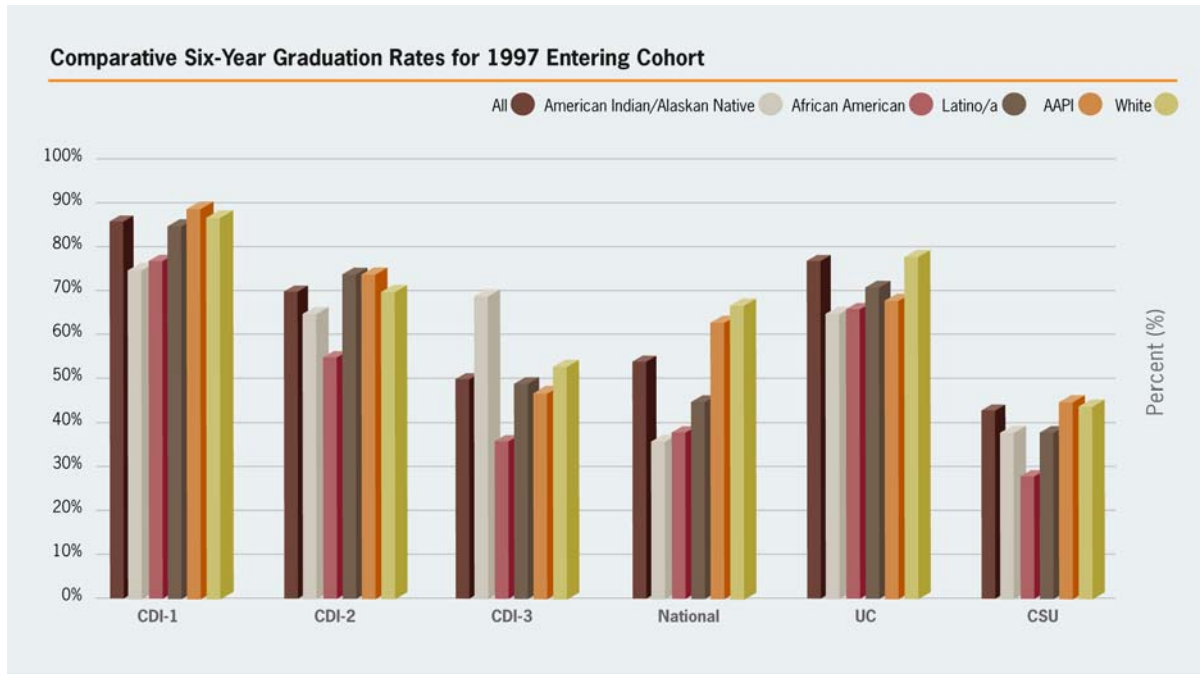
³⁶ This drop varied across CDI campuses, and on individual campuses this varied among racial/ethnic groups.

³⁷ Indeed, generally there were no data available that disaggregated six-year graduation rates by race/ethnicity and income.

³⁸ These three clusters emerged from the data.

³⁹ One CDI campus did not submit national data.

Figure 12. Comparative six-year graduation rates for 1997 entering cohort



Source: Education Trust College Results on line based on NCES (IPEDS) Graduation Rate Survey (GRS) [n=26]

Table 10. Comparative six-year graduation rates for the 1997 entering cohort

	Number of Campuses	Overall	American Indian/ Alaska Native	African American	Latino/a	AAPI	White
CDI-1 (81-100%)	8	86%	75% ⁴⁰	77%	85%	89%	87%
CDI-2 (65-80%)	10	70%	65% ⁴¹	55%	74%	74%	70%
CDI-3 (< 65%)	8	50%	69% ⁴²	36%	49%	47%	53%
UC	8	77%	65% ⁴³	66%	71%	78%	78%
CSU	20	43%	38% ⁴⁴	28%	38%	45%	44%
National⁴⁵		54%	37%	38%	45%	63%	67%

Source: The Education Trust web site, IPEDS data.

A glance at the six-year institutional graduation rates shows some real successes as well as some shockingly low persistence. The CDI campuses, in general, showed higher graduation rates than the other institutional groupings. For example, even CDI-3, with the lowest graduation

⁴⁰ Data available for seven campuses.

⁴¹ Data available for seven campuses.

⁴² Data available for four campuses.

⁴³ Data available on six of eight campuses.

⁴⁴ Data available on thirteen of nineteen campuses.

⁴⁵ Source: National Center for Higher Education Management Systems (NCHEMS), IPEDS data.

rates in the CDI, had a higher graduation rate than the CSU campuses. The CSU data were generally quite low, but most troubling was the low persistence rates for African American and American Indian/Alaska Native students at the national level, at CSU campuses, and at the CDI-3 campuses.

These data also showed that Latino/a students in the CDI clusters graduated at equal or higher rates than many other students in those clusters. This pattern was not as consistent for the UC or CSU schools or nationally, although the graduation gap for Latino/a students was smaller than the graduation gaps for African American and American Indian/Alaska Native students in most cases.⁴⁶

Generally, gaps in persistence occurred at more selective as well as less selective institutions, suggesting that selectivity provided no guarantee of success in terms of persistence and graduation. Also, some less selective institutions, with fewer resources, had reduced or eliminated gaps in graduation rates among racial/ethnic groups.

Promising Practices: Success

Foster Sustained and Focused Efforts

Prior to the CDI, many of the twenty-eight campuses with sizeable achievement gaps among their students had implemented programs, but these programs were not always targeted to the groups or situations that were likely to close the gaps. While the most selective institutions had higher rates of persistence and graduation, the variation among the CDI campuses suggested that across the board, a *sustained and focused effort* directed at achieving institutional goals was critical, and *high expectations and support for URM students* made a substantial difference.⁴⁷ In addition, monitoring data and intentionally undertaking interventions as needed were key factors in reducing gaps in persistence. Many of the CDI campuses were also beginning to learn that examining data disaggregated by race/ethnicity, income, and gender could yield other important findings, and that targeting efforts did not necessarily mean taking away resources from other efforts. Rather it meant identifying needs and then matching resources with needs.

⁴⁶ American Indian/Alaska Native data varied widely from campus to campus.

⁴⁷ In contrast to traditional uses of remediation or assumptions that standards must be “lowered,” these approaches focus on maintaining high standards for all students.

Implement High Achievement Approaches

Within the CDI, the campuses used or reframed a number of programmatic approaches to build URM student success. Successful campuses found that high achievement approaches—which focused on advanced work rather than on traditional remedial methods—were more effective due to the expectations they created for both the student and for the campus. This was true whether the approaches were part of summer bridge programs or went on during the school year.

Examine Gateway Courses

Examining success in gateway courses (disaggregated by race/ethnicity and other factors, such as gender) was an important way to identify and address gaps in persistence. At a few CDI schools, some faculty resisted examining gateway courses because they assumed incorrectly that changing meant lowering standards. Campuses that reorganized gateway courses to focus on high achievement and success for all students did not have this experience and the courses indeed fostered increased success.

Implement Bridge Programs that Focus on Strengths

There was indication from the analyses that properly designed programs made a difference and debunked “deficit models” focusing on remediation. At several of the CDI schools, bridge programs (e.g., programs for admitted students that occur during the summer between high school and college) moved away from assumptions about participants’ “high risk” and focused instead on the social and cultural capital—strengths—that participants contributed. This capital, when tapped, helped enhance student learning and success. Some bridge programs were recast as honors programs, which established high expectations while providing necessary supports.

Utilize Feedback from Participants for Broader Institutional Change

Many of the CDI campuses were sustaining highly effective programs, and program staff learned a great deal about campus-wide policies and procedures that either helped or hindered URM and low-income students. However, a number of the campuses lacked mechanisms by which program staff could convey this feedback so as to influence institutional-level change. A few campuses were beginning to take note of such feedback in larger campus conversations about student success.

Develop First-year Experiences that Resonate with URM and Low-income Students

Several CDI schools found that first-year experiences that were explicitly tied to learning communities or to the study of social justice issues engaged URM and low-income students. In addition, such experiences provided students with opportunities to engage in research with faculty and helped to create a culture in which intellectual curiosity and academic success were expected and supported. It was also evident from the CDI that campus leaders should attend to how faculty approach this pedagogy and provide necessary training to implement and evaluate programs that facilitate persistence and success.

Use Annual GPA Data for Assessment Purposes

A few campuses that had consistent disaggregated GPA data found that gaps across groups were established early on. Monitoring GPAs provided “early warning” of academic difficulties *if reviewed early and frequently enough*. Some CDI campuses found that differences in *cumulative* GPA did not change much over a period of years, and thus did not yield much in the way of useful information.

Maintain Focus on URM Students while also Applying Strategies More Broadly

Using an array of effective practices, many CDI campuses created environments in which URM students were succeeding. It was natural for these schools to want to “scale up” these practices to reach more students. They quickly realized the need to maintain focused attention on URM students while also learning from URM-specific practices what elements could be applied more broadly.⁴⁸ Often promising practices for targeted groups emerged as good practices more generally, but campuses found it important not to ignore the number of students present in the environment, cultural differences, prior life experiences, and other important factors.

Collaborate across Campus

The campuses found that collaborative efforts—between student affairs and academic affairs, among student groups, between student groups and other campus constituents, and between and

⁴⁸ While the data were not complete, there was evidence on several campuses that some AAPI and/or white students were struggling to succeed. This served as a reminder of the importance of disaggregating data within broad racial/ethnic groups (e.g., disaggregating AAPI students by country of origin, first generation status, income, etc.) as well as among these groups.

among departments—were crucial for directing the types and levels of resources needed toward URM student success specifically, and all students’ success generally.

Monitor URM Student Success in Math and Science

Even campuses with the most successful graduation rates for URM students still often experienced fewer gains in helping URM students succeed in math and science areas. Attention to these areas proved to be quite uneven on the CDI campuses, which led to discussions at the CDI evaluation seminars of the need for early and focused attention on these particular areas.

Collect Longitudinal Data for Continued Progress

All CDI campuses collected data and were expanding the ways in which data were being used, but even at the end of the project, four campuses still lacked disaggregated persistence data entirely or lacked useable data. Again, discussions at the CDI evaluation seminars focused on the importance of having the campuses collect disaggregated longitudinal data to monitor progress, which in turn would help them sustain and build upon their successes.

Focus on Multiple Factors Influencing URM Graduate Student Success

Some of the CDI schools with graduate programs assumed that URM graduate student success centered on the availability of fellowships. While CDI-supported fellowships served as budget relief for institutions and financial support for the students who received them, they were not by themselves sufficient for URM graduate student success. On the other hand, substantive programs that linked URM graduate students to each other, to faculty, and to shared intellectual work were successful in creating supportive environments and in contributing to URM graduate students’ interest and success in pursuing faculty careers. While regular use of data pertaining to graduate student success (using indicators such as persistence rate, graduation rate, and time to degree by program, disaggregated by race/ethnicity) was often just beginning on these campuses, this practice has great potential to contribute to the overall success of these students.

STATUS OF INSTITUTIONAL CAPACITY

The first question in the Impact Study focused on efforts to increase access and success of URM and low-income students—a central outcome of the CDI. The second question focuses on

increasing the institution's capacity to sustain these and other related diversity efforts over time and is captured in the dimensions of **Campus Climate and Intergroup Relations**, **Education and Scholarship**, and **Institutional Viability and Vitality**. "Institutional capacity" refers to whether an institution has the resources, expertise, and experience that will (1) enable it to be successful in educating a diverse student body for a pluralistic society and (2) ensure that, as an entity, it will function well in that society. For this part of the analysis, all quantitative and qualitative data obtained during the project were synthesized across the twenty-eight campuses.

While there was little quantitative data on campus climate and education and scholarship, some of the findings point to the need for continuing efforts to monitor climate and to develop the educational focus of diversity efforts. The dimension of institutional viability and vitality focuses on *institutional-level indicators* and are described in more detail later. Findings related to institutional viability and vitality were clustered into three areas: (1) leadership (including racial/ethnic diversity of administrators and boards as well as general leadership issues), (2) increasing the racial/ethnic diversity of the faculty, and (3) centrality and alignment. Each area is discussed in turn, with findings and promising practices kept together for the sake of clarity. Because increasing the compositional diversity of the faculty was central to CDI efforts on so many of the campuses, quite a bit of analysis focused on changes in this area.⁴⁹

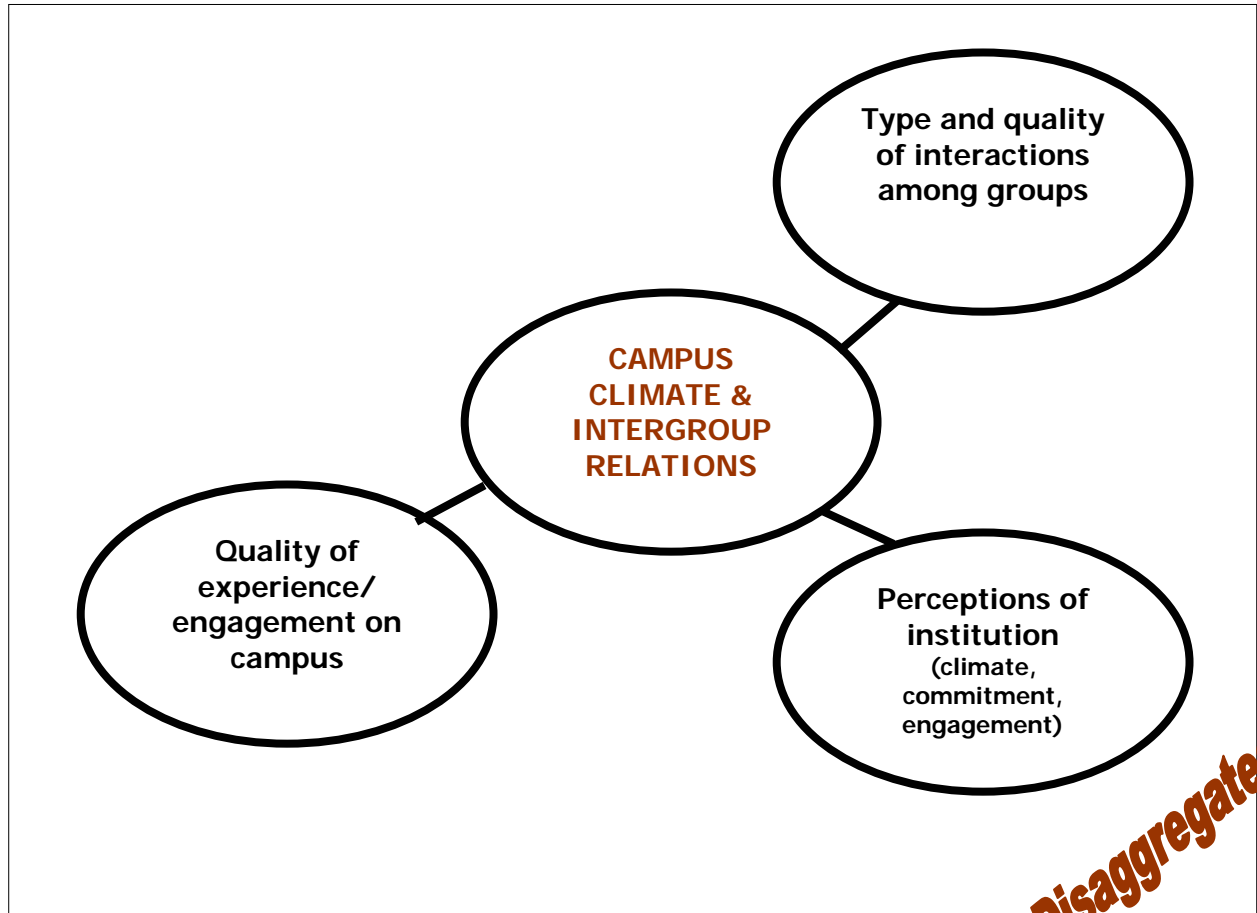
Findings: Campus Climate and Intergroup Relations

Concerns about the "climate" on campus prompted many of the CDI schools to examine their existing diversity efforts as part of their CDI goals. The indicators for the dimension focus on perceptions of the institution in terms of climate, commitment and engagement, and the type and quality of interactions among groups (see figure 13). The campuses typically assessed climate through surveys and less often through interviews and focus groups. They also framed what was meant by climate and its assessment very differently. Some developed specific campus surveys that engaged topical issues related to diversity, such as discrimination, inequities, and negative incidents. Others used generic climate and/or satisfaction surveys and disaggregated the results

⁴⁹ See also the related CDI research brief, *The Revolving Door for Underrepresented Minority Faculty in Higher Education* (Moreno et al. 2006), available at www.irvine.org/publications/by_topic/education.shtml.

by race/ethnicity (and often by gender). Some campuses also attempted more in depth investigations of the degree and quality of cross-racial/cross-ethnic interactions on campus.

Figure 13. Climate and intergroup relations indicators



The differences among campuses in terms of their findings were striking as well. Some campuses discovered few differences among racial/ethnic groups when it came to students' views of the campus culture. Other campuses found differences among one or another group but often not uniformly within any one group.

In addition, the number of overt racist incidents appeared low though on some campuses this was clearly an issue. On many campuses there were reports of microaggressions⁵⁰ that had a negative impact for those who reported them. While there was little hard data on this, experiences with the campuses over the course of the Evaluation Project suggested that the ones

⁵⁰ Microaggressions are often described as subtle insults (verbal or nonverbal) that may be conscious or not. In and of themselves, they may not warrant characterization as incidents, but over time they can accumulate to have significance.

using general climate and satisfaction surveys and disaggregating the results garnered more useable data upon which to focus attention and efforts.

Few conclusions can be drawn on the quality and frequency of intergroup relations, although questions that asked students about interactions with “individuals from racial/ethnic backgrounds different than your own” did not yield much useful data unless the campuses disaggregated the data by race/ethnicity. This was due to a fundamental asymmetry that exists on predominantly white campuses. For example, seeking out interactions with similar persons can be interpreted very differently for an African American student on a predominantly white campus than for a white student on that same campus. Indeed, much research has documented that students of color are more likely to interact with white students than the reverse. Similarly, data evaluating specific intergroup programs were also more useful when disaggregated.

Promising Practices: Climate and Intergroup Relations

Use Multiple Approaches to Assess Climate

Analyses from the CDI Evaluation Project indicated that using more generic instruments and then disaggregating that data yielded very useful information about diversity because these surveys tapped satisfaction, engagement, and other key indicators. Campuses developing their own instruments concerning discrimination needed to be careful to obtain powerful information and to consider how such assessment would be sustained.

It was also the case that survey-based campus climate data, while quantitative, needed to be regarded as a more qualitative type of information since the context, such as a recent hate crime, could influence findings. Finally, it was found that climate data was more useful when analyzed as information *from particular perspectives* than when analyzed as aggregated information on interactions with “others.”

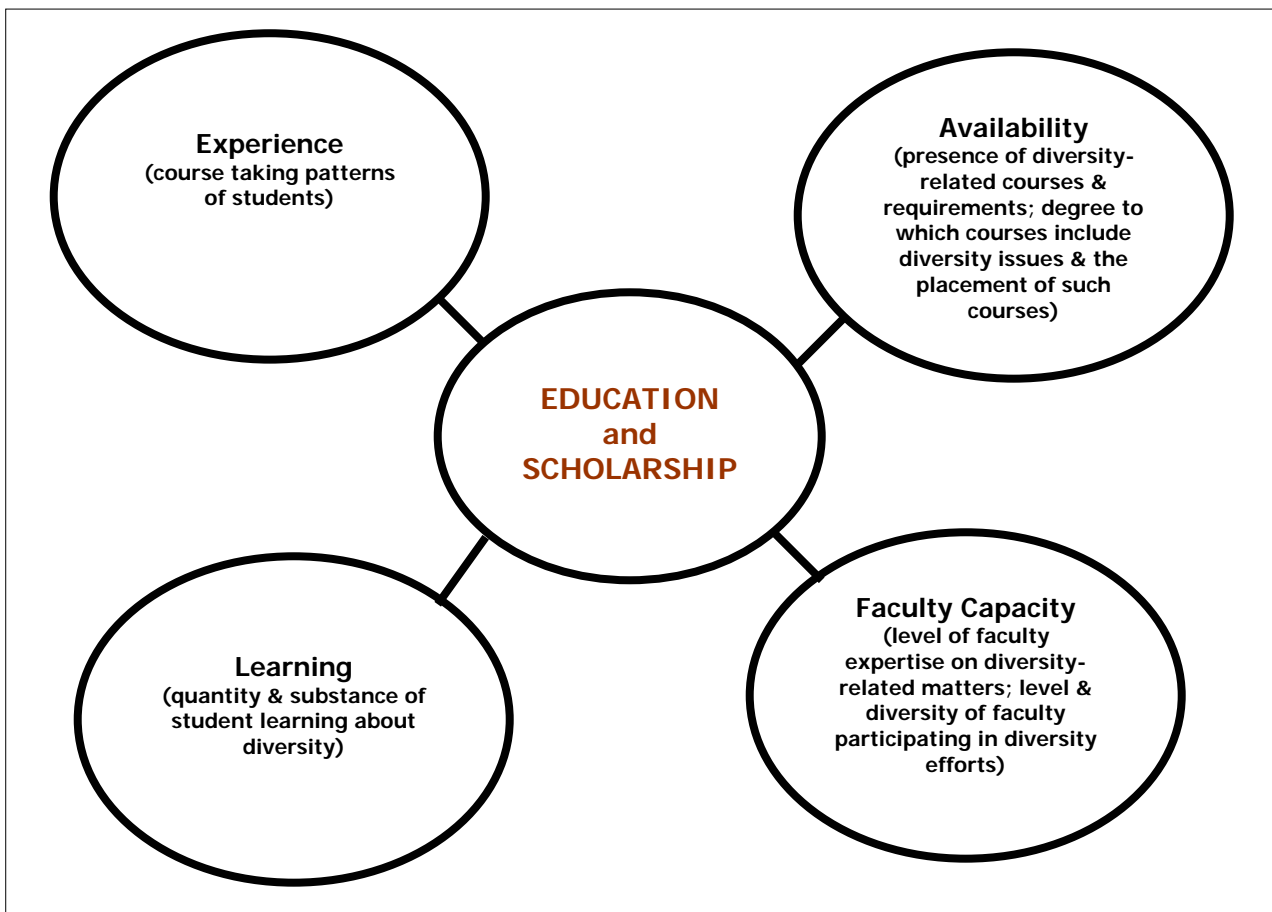
Move Beyond Programming

Significantly, while programmatic approaches (e.g., lectures, concerts) did add to a more multicultural environment, climate issues were very directly tied to the demographics, curriculum, and other institutional factors. Thus, strategies for engaging climate were, in the end, strategies for embedding diversity in general—in the curriculum, mission, hiring practices, pedagogy, and scholarship.

Findings: Education and Scholarship

One important element of this work was the effort to diversify the curriculum, increase faculty capacity in terms of content and pedagogy, and address the degree to which goals for student learning were being met. The evaluation process encouraged campuses to consider how they would know if they were making progress in four areas: the *availability* of curricular offerings, the *experience* of students taking advantage of the diversity in the curriculum, the *learning* that resulted from these experiences, and the *level* of faculty engagement (see figure 14).

Figure 14. Education and scholarship indicators



Consistent both with their own prior campus grants and with national diversity efforts, the CDI schools focused on engaging faculty in workshops and seminars regarding curriculum change, pedagogy, and scholarship on diversity. About two-thirds of the campuses allocated CDI funds in this area, although virtually all of the campuses had some educational efforts underway with

or without Irvine funds. In this way, most of the campuses were focusing on building the curricular and pedagogical capacity of the faculty to engage diversity as a core academic activity.

Examining the Curriculum

Campuses varied in their capacity to monitor the degree to which the curriculum was changing, though an increasing number of the schools were looking at percentages of classes that engaged diversity, the degree to which all faculty were participating in scholarly and academic work related to diversity, and evaluations from students as to whether diversity was an important part of their education experiences. Because each campus varied in its evaluation of these efforts, it was difficult to generalize findings. Still, data indicated that almost one-half of the core faculty on many campuses were examining their courses with respect to diversity, and syllabi reviews showed increasing attention to how diversity connected to specific disciplines. It was also clear from the data that only a few campuses had really begun to address student learning outcomes generally, or for diversity in particular.

Faculty Regranting

On many of the campuses, faculty were given the opportunity to pursue academic and scholarly aspects of diversity in relation to their own interests by applying for small grants to undertake scholarship, travel, curriculum revision, or campus-based seminars. This proved to be a vibrant and vital strategy. Many of the campuses had more faculty members participating than anticipated and had to increase their budget allocations for these efforts. Campus leaders have targeted this area as important for sustaining their diversity initiatives.

Assessment of Student Learning about Diversity

Only a few campuses had begun to directly assess student learning as part of their educational goals. More relied on student self-reports of perceived gains rather than any actual demonstration of learning. Preliminary assessment efforts included:

- Utilizing national instruments (e.g., National Survey of Student Engagement) to look at disaggregated data on engagement and learning. These instruments rely on self-report and focus more on student behaviors.

- Examining other student self reports to understand the extent to which students believed they had advanced in their diversity-related learning.
- Utilizing portfolios to examine the ways in which students engaged academic issues related to diversity in class assignments, readings, and research. These efforts often involved a study of a random sample of students, rather than a comprehensive sample, to keep the assessments manageable. On some campuses this strategy led to changes in curriculum requirements.

Because the campuses did not make competence in teaching and learning with respect to diversity a core hiring criterion, faculty development efforts remained focused to a large degree on building competencies that not all faculty possessed. Several campuses risked “reinventing the wheel” because many administrators and faculty were not aware of available diversity resources. Attendance at regional and national meetings was an important strategy in combating this tendency, and many faculty leaders discovered resources because they participated in national meetings such as AAC&U’s Diversity and Learning conference; in the Equity Scorecard Project; or in the CDI evaluation seminars.

In the end, the lack of real change in the assessment of diversity learning outcomes may have been due to a lack of understanding about these outcomes and why they were important as much as to a lack of general assessment expertise and training.

Promising Practices: Education and Scholarship

Place Diversity at the Core of the Academic Enterprise

Efforts across the CDI campuses to develop scholarship and teaching related to diversity served to locate this work at the academic core of the institution. As with the building of a technology infrastructure, a few campuses approached diversity as something that would fundamentally reshape the campus experience.

Provide Funds and Opportunities for Faculty Regranting

Regranting and seminars designed to help faculty connect scholarly and educational elements of diversity to their own work were very effective.

Link Diversity to Student Learning and Success, Fundamentally and Comprehensively

While a focus on student learning and success was still in its early stages on the campuses overall, this approach had strong potential to be linked to educational effectiveness in general and to diversity in particular. Central to this effort would be faculty having a deep understanding of why diversity is an important learning outcome.

Engage Regularly in Broader Discussions of Diversity

Ongoing opportunities to engage in regional and national conversations about diversity and learning were important to both enhance and sustain campus efforts. This was especially important in light of turnover at all organizational levels.

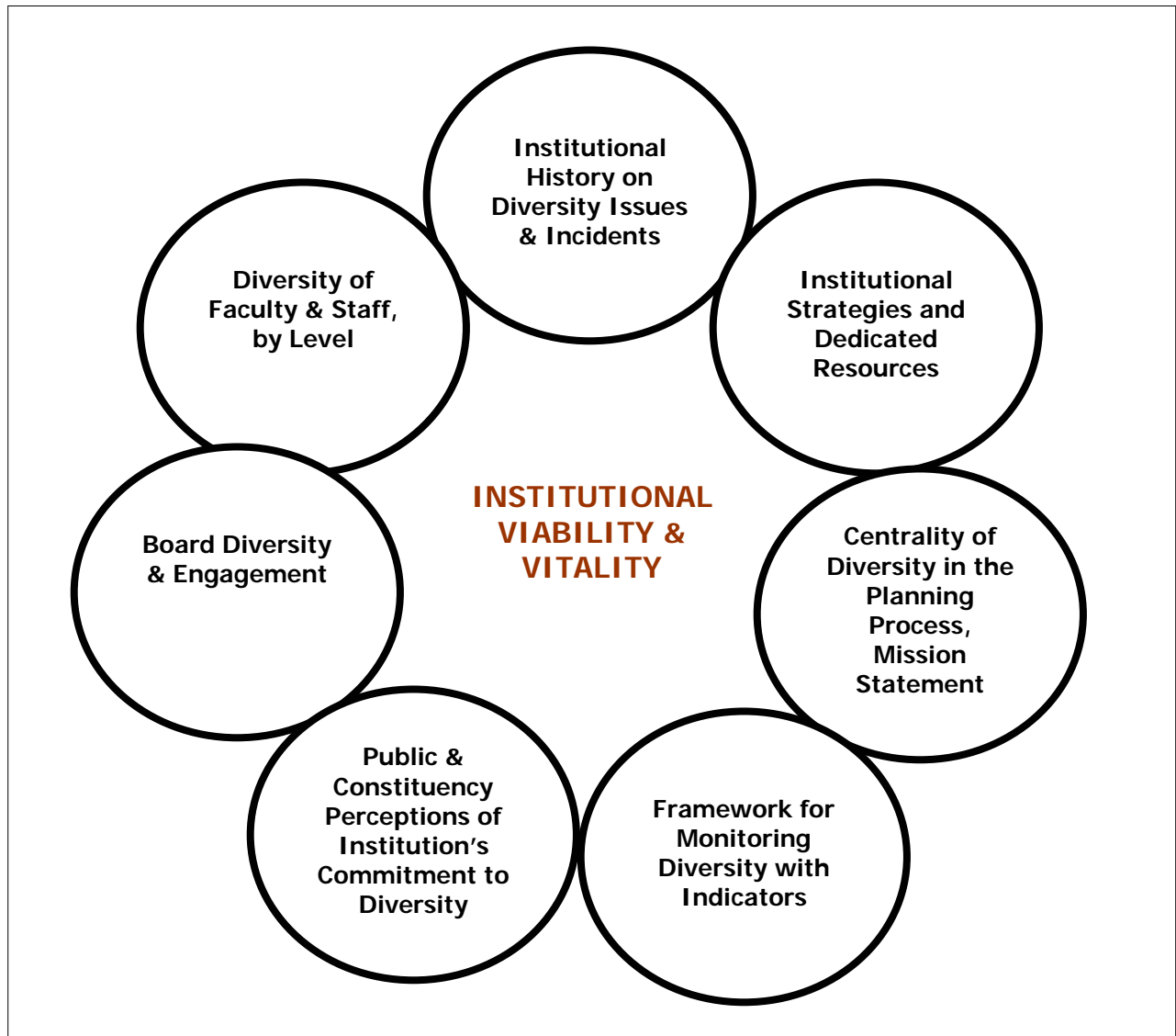
Hire and Promote People with Diversity Competencies

Analyses suggested that hiring faculty and administrators who bring diversity competencies, such as scholarship with respect to diversity and success in working with students from diverse backgrounds, would significantly increase institutional capacity. Promoting these faculty into administrative ranks would assist with this as well.

Findings: Institutional Viability—Leadership

As stated above, this dimension focuses on institutional-level indicators, such as the compositional diversity of faculty, staff, and trustees; the relative centrality of diversity within strategic planning documents and mission statements; as well as constituents' perceptions of the institution's commitment to diversity (see figure 15). In terms of the analyses within the CDI, leadership—as an institutional resource and competence—covered two domains. The first was the racial/ethnic diversity of the leadership, and therefore the decision makers, on the CDI campuses. The compositional diversity of campus leadership, provided through IPEDS data on senior administrators (however defined by the campus) and boards of trustees, provided a lens through which to view changes in this area. The second was the role of leadership and the issues facing all campus leaders with regard to diversity.

Figure 15. Institutional viability and vitality indicators

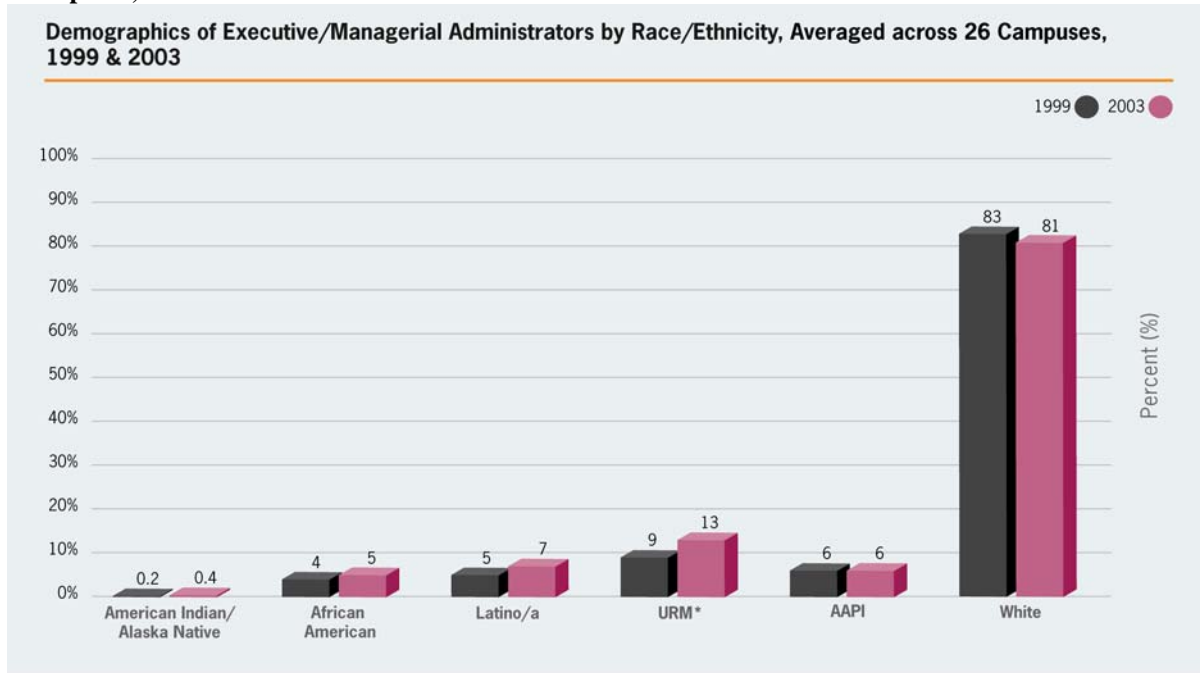


Racial/Ethnic Diversity of Administrations

Figure 16 and table 11 provide data on executive and managerial administrators by race/ethnicity for 1999 and 2003, the two years for which data were available from IPEDS for twenty-six of the CDI campuses. During this period, the percentage of URM administrators increased by 4%, from 9% to 13%. There was no change in AAPI rates and a decline in white administrators from 83% to 81%. American Indian/Alaska Native, African American, and Latino/a administrators grew substantially although the small numbers require that these patterns be viewed with caution. The demographics of decision making remained fairly homogenous, especially in contrast to the

changing demographics both on and off campus. This had significance for the ways in which diversity could be engaged and for sustaining efforts to embed diversity at the center of educational mission and other core functions of the institution.

Figure 16. Demographics of executive/managerial administrators by race/ethnicity, averaged across twenty-six campuses, 1999 & 2003



Source: IPEDS Peer Analysis System, Data Cutting Tool System [n=26]

Table 11. Executive/managerial administrators by race/ethnicity averaged across twenty-six campuses, 1999 & 2003

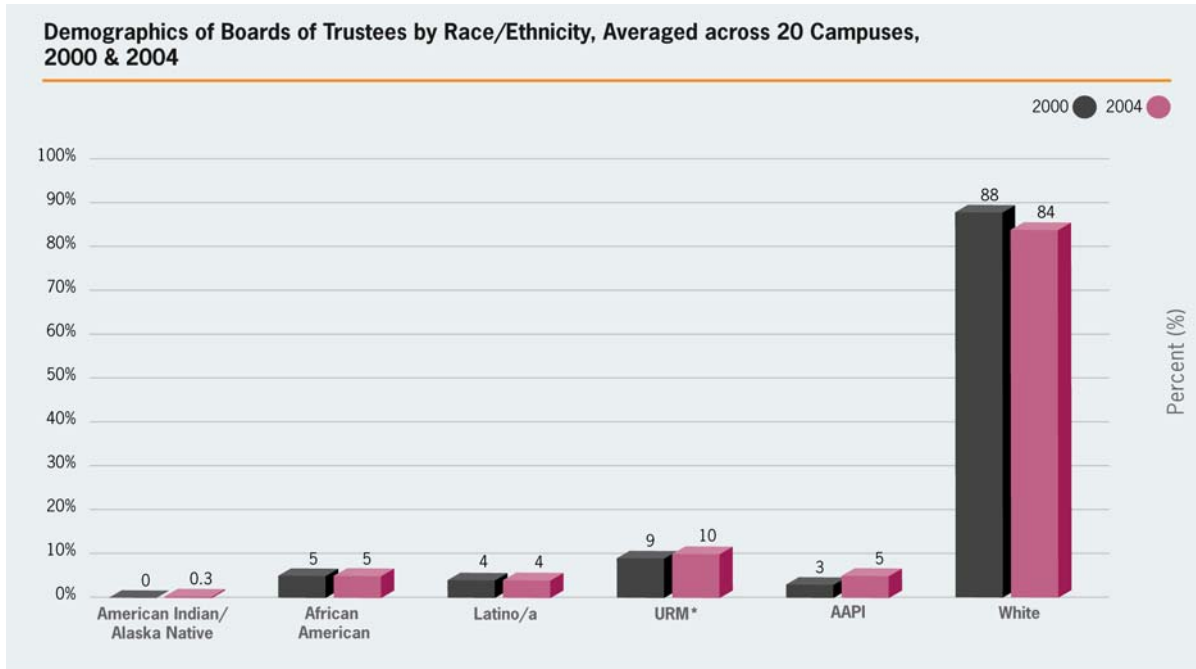
	American Indian/Alaska Native	African American	Latino/a	URM	AAPI	White	Average Total
1999							
n*	.2	3	5	8	5	58	72‡
Average %**	.2%	4%	5%	9%	6%	83%	
2003							
n*	.4	5	7	12	7	68	89
Average %**	.4%	5%	7%	13%	6%	81%	
% Growth***	100%	67%	40%	50%	20%	17%	24%

Source: IPEDS data for 1999 and 2003. *number of administrators averaged across twenty-six campuses. **Average percentage of each school's percentage for that year. ***Percentage change in n from 1999 to 2003. ‡Total N includes non-resident and unknown groups.

Racial/Ethnic Diversity of Boards of Trustees

Figure 17 and table 12 summarize the findings for boards of trustees between 1999 and 2003, also utilizing campus-based data. The average size of the boards across the twenty campuses for which we had data was thirty-four in 1999 and thirty-six in 2003. During this time, the percentage of URM trustees increased from 9% to 10%, the percentage of AAPI trustees increased from 3% to 5%, and the percentage of white trustees decreased from 88% to 84%. Because the role of boards in diversity conversations is becoming more visible and because legal and other matters are requiring board-level decisions, the racial/ethnic diversity (or lack of diversity) is likely to influence the decisions that will be made.

Figure 17. Demographics of Boards of Trustees by race/ethnicity, averaged across twenty campuses, 2000 & 2004



Source: CDI Campus Data Workbooks, Campus Provided [n=20]

Table 12. Boards of trustees by race/ethnicity averaged across twenty campuses, 1999 & 2003

	American Indian/ Alaska Native	African American	Latino/a	URM	AAPI	White	Average Total
1999							
n*	0	2	1	3	1	30	34
Average %**	0%	5%	4%	9%	3%	88%	
2003							
n	.1	2	2	4	2	30	36
Average %	.3%	5%	4%	10%	4%	84%	
% growth***	n/a	0	100%	33%	100%	0%	.5%

Source: CDI campus data workbooks, campus data. *number of board members averaged across twenty campuses. **Average percentage of each school's percentage for that year. ***Percentage change in n from 1999 to 2003.

Leadership Commitment and Capacity

Consistent with much of the literature on change, the role of leadership emerged as a theme focusing on the commitment and capacity of key leaders at all levels of an institution to motivate staff, guide the diversity process, and hold the campus community accountable for achieving diversity goals. In addition, the need for leadership at specific institutional levels was highlighted when the CDI campuses reviewed and validated the themes at the final evaluation seminar. Key leadership levels identified were the president, the provost, and a senior level person charged with monitoring the progress of diversity efforts. The leadership seemed to be most effective when it: (1) lent the power of its voice and authority to champion the effort; (2) *connected the dots*—unambiguously linked individual efforts to the larger effort to achieve institutional goals for diversity; (3) gave meaning to diversity goals within the context of the institution's educational mission; (4) had authority and used it to enact change; and (5) used evaluation to advance institutional goals for diversity.

Because diversity efforts related to nearly every aspect of an institution, an important element of success was having leadership to coordinate diversity efforts and create synergy. Many of the campuses created a position to help put diversity efforts at the center of campus functioning (referred to here as a Chief Diversity Officer, or CDO). Through analyses of the campus findings, a number of critical factors that influenced the overall effectiveness of this strategy were identified. These factors related to context, ability to integrate diversity into institutional values, structure of the job description, and authority to enact aspects of the CDI (see the section on promising practices for more information).

When senior leadership understood the CDI to be an institutional effort,⁵¹ there was more likely to be attention to aligning the CDI with the institutional mission and culture. This, in turn, influenced the CDI's implementation, outcomes, and sustainability.

Many campus leaders lacked a clear understanding of the educational and institutional benefits of diversity, and this made it difficult for them to be effective. There were a few instances where senior leaders engaged in professional development opportunities to increase their own knowledge and capacity to address the challenges of diversity initiatives, of how to use data, and of how to evaluate efforts.

Campuses where oversight of the CDI was located in an active, broad-based committee with leaders representing a variety of campus areas (e.g., departments/schools, library, student affairs) and constituencies (e.g., students, faculty, staff) seemed to have a broader impact. Committee members helped colleagues understand their individual and their unit's contributions to larger campus efforts to enhance student learning around diversity and build capacity for diversity at the institutional level. Intentionally creating racially/ethnically diverse committees helped to broaden the demographics of those in decision making and data analysis roles.

The extent to which leadership understood how to use data and reports as a mechanism to guide a process that led to organizational learning also influenced the attainment of institutional goals.

Finally, there were cases of burnout and turnover where the day-to-day leadership of the CDI was the responsibility of one person of color, and he or she was one of only a few senior administrators. In these cases, the burden of the work, combined with isolation from peers, led to these consequences and reinforced the notion that diversity was not an institutional priority.

Transitions

Early in the CDI, turnover and transitions emerged as very important issues. At meetings of the CDI campuses, it was not uncommon to find that one-third to one-half of the campus teams were new to the CDI effort on their campus. It was clear that new members of committees or teams were less familiar with the history of the campus CDI work, had not read the key documents that

⁵¹ Too often diversity initiatives are perceived as something an institution does to be competitive in the postsecondary education marketplace, or solely as a moral imperative—doing the right thing. As mentioned elsewhere, when diversity goals are meaningfully integrated into an institution's educational mission (in both rhetoric and reality), when the campus community truly understands the link to improved learning outcomes for all students and to institutional excellence, when combined with peer competition and the moral imperative, the goals for diversity can be championed by a broader campus constituency.

charted the course of the campus efforts, and were starting new. The capacity of an institution to manage such transitions effectively influenced progress on diversity initiatives. The turnover in key leadership positions negatively influenced continuity, particularly when much of the advocacy and/or accountability rested with the departing personnel. The loss of employees critical to CDI efforts often had a negative impact on the ability of campuses to achieve their diversity goals.

Having a senior position dedicated to the diversity initiative seemed to influence the progress made in the effort. Having someone whose role included maintaining continuity of action and ensuring that all the appropriate people were involved helped keep the importance of the initiative present for all campus constituents and assisted in maintaining continuity during periods of turnover. However, when such a position ended up being solely responsible for all diversity efforts and programs, the model was ineffective.

Promising Practices: Institutional Viability—Leadership

Framing the racial/ethnic diversity of the leadership of the institution at all levels as a means to build competence, expertise, and credibility was critical for making progress on diversity goals. At the time this Impact Study was written, the leadership demographics of the average CDI campus was markedly out of alignment with the demographics of the students and the state of California (a condition common to most campuses).

Link to Institutional Issues

Campus leaders seemed better able to maintain ongoing campus dialogue about their CDI when it related to larger institutional issues, when feedback was gathered to make corrective action, and when oversight of diversity evaluation was broad-based. For example, discussions about hiring faculty of color often evolved into discussions about the strengths and weaknesses of the process and outcomes of faculty hiring generally as well as about the viability and attractiveness of the campus.

Build Knowledge Networks

CDI campus leaders tapped national conferences on diversity and evaluation for information to use in their efforts. Such information helped these leaders to conduct and use evaluation in order

to make the case for campus action and to effectively “champion” diversity efforts. Leaders could expand the influence of this practice by being intentional about tapping the individual learning gained and sharing it for broader campus learning.⁵²

Prepare to Weather Transitions

Because personnel transitions were inevitable, campuses needed to pay attention to departures and to hiring processes to ensure that the history of diversity efforts was preserved, that efforts advanced, and that knowledge development and learning occurred across the organization. Key to weathering transitions, campuses learned, was to make sure that the initiative’s success was not dependent upon a single individual. In addition, some campuses realized that transitions could be used to overcome stagnated processes by providing the impetus to establish more effective leadership positions to advance diversity work. One 2004 evaluation seminar participant indicated that institutional alignment was fostered through transitions, including an assessment of where diversity was “located” at the institution.

Focus on Diversity Competencies in Hiring

It was clear that campuses needed to develop job descriptions that explicated the diversity expertise and competencies needed for most administrative positions. In addition, many campuses realized the need to develop proactive strategies focusing on identifying talented leaders with these skills and abilities.

Consider Coordinating Campus Efforts through a Senior Officer

Having a means to coordinate all the efforts to serve institutional goals for diversity, in the form of a single senior person, appeared to have more promise than the usual task force or committee (though there was a place for such a group on many of the campuses). However, the design of such a position, and how it connected to broader campus functioning, mattered. From the analyses, several critical factors related to the success of the Chief Diversity Officer (CDO) position were identified.

⁵² For example, selection to attend national conferences might entail a commitment to share the knowledge gained. This can be done in a variety of ways: attendees can make presentations to a larger campus-wide committee meeting, to the relevant board of trustees’ committee, or to the student government association. In this way the campuses maximize their investment in a small number of people by broadening the benefit of the learning derived from the investment to the larger campus community.

Context Matters

Strategies that worked on one campus did not necessarily work on another. In particular, campus dynamics, such as the openness of the leadership to a CDO, the politics of the campus with respect to administrative leadership, and the nature and strength of faculty leadership, influenced where the CDO position was located and whether the person in the position succeeded. For some campuses, the creation of a task force made up of key senior leaders and a strong chair was just as effective as a CDO.

The CDO Keeps Diversity Well-integrated

All campuses would have benefited from someone who kept diversity efforts integrated into general campus processes and initiatives and who kept the conversation focused on the impact of institutional decisions on diversity efforts. The position could be envisioned in the same way that a senior planner or chief information officer is envisioned. Those roles are to make sure that the many dimensions of planning are well integrated and are central to institutional decision making.

Avoiding a “Do Everything” Job Description

Campus leaders were wise to avoid creating a role that included responsibility and accountability for everything related to diversity. This tended to undermine ongoing efforts, and it also set the person up for failure. For example, no one person could focus on policy issues while also being responsible for numerous programmatic efforts. The campuses learned over time that diversity must be a shared responsibility.

Access, Leverage, and Credibility

Campuses that hired a CDO were successful when the position afforded the incumbent access to decision makers and channels of decision making, as well as respect, authority, access to resources, and credibility. In addition, the person hired needed to be able to relate to many different constituents and possess expertise and savvy with respect to institutional aspects of diversity.

Findings: Institutional Viability—Faculty Compositional Diversity

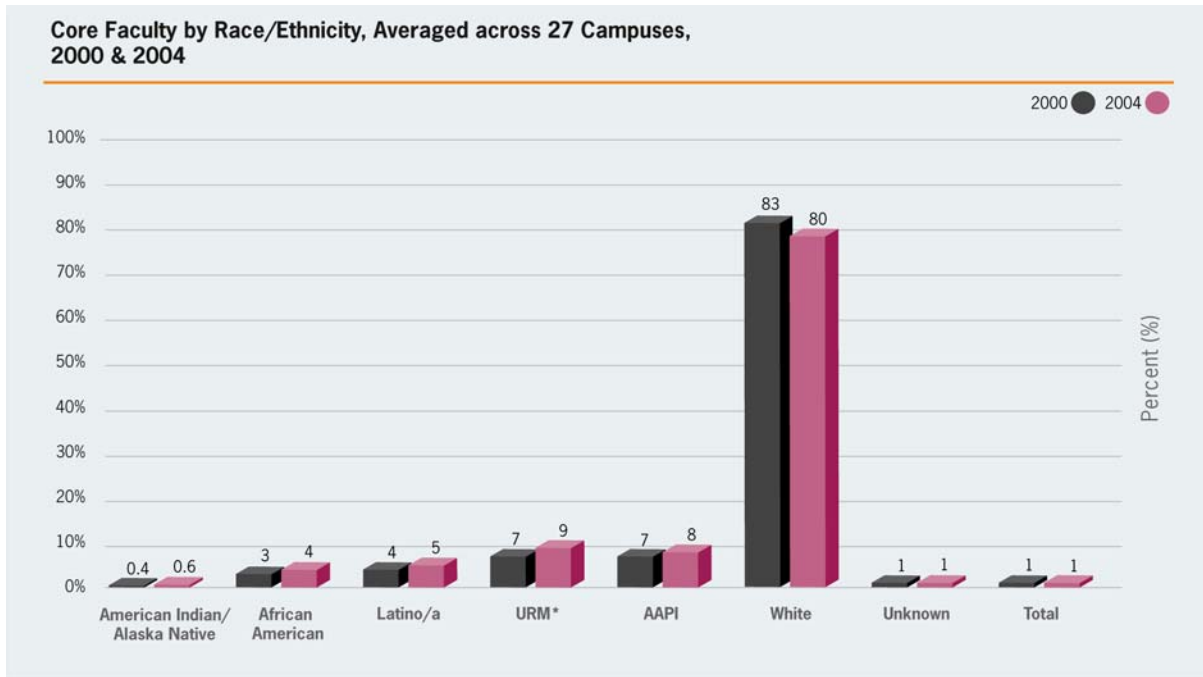
Of all the diversity efforts occurring nationally, increasing the racial/ethnic diversity of faculty is often the least successful strategy in terms of the degree of implementation, yet it is among the most important in terms of the potential power for deep and lasting change. California especially is facing a rapid change in demographics, and so increasing the number of URM faculty is critical if institutions are to remain legitimate and credible in their teaching and research functions. This urgency exists not only because of the faculty's role with advising and mentoring, but also because of evidence that a racially/ethnically diverse faculty contributes to: (1) a broader research and teaching agenda, (2) greater variation in pedagogy, (3) building individual URM faculty members' credibility and leverage in institutional decision making, and (4) leadership to influence institutions to meet the needs of a changing and increasingly diverse society.

Indeed, the diversity of the faculty is central to the viability and vitality of colleges and universities. Few campuses nationally have substantial racial/ethnic diversity at every level of faculty and staff, yet to have diversity (broadly defined) truly integrated into the institution requires having this compositional diversity throughout all areas and all levels of the institution. It is not surprising, then, that virtually all twenty-eight CDI campuses identified faculty hiring as a strategic goal of their diversity efforts. While only one-half of the campuses actually had Irvine funding allocated to this, all were engaged in trying to increase the percentage of URM faculty.

Campus efforts to hire and retain more URM faculty were meeting with some success, but there were clear differences among the institutions. Analyses focused on the period between 2000 and 2004 and on the hiring of tenure and tenure track ("core") faculty at the twenty-seven CDI campuses for which we had useable data.

Overall, the average percentage of URM faculty among the total faculty grew from 7% in 2000 to 9% in 2004 (see figure 18)—up from 5% in 1993. Hiring of AAPI faculty increased slightly, from 7% in 2000 to 8% in 2004. While the overall percentage of white faculty declined by 3%, the actual number of white faculty increased as a result of overall growth in the size of the faculty (see table 13).

Figure 18. Core faculty by race/ethnicity, averaged across twenty-seven campuses, 2000 & 2004



Source: CDI Campus Data Workbooks, Campus Provided (n=27)

The overall data mirror national patterns in tenured and tenure track faculty in four-year institutions. Between 1993 and 2003, the percentage of URM faculty at four-year institutions grew only 2% nationally, from approximately 6% to 8%.⁵³ In California, URM faculty grew from 6.8% to 7.2% within the University of California (UC) system and from 9.8% to 12.1% within the California State University (CSU) system during this same period.⁵⁴ The comparisons for the most current year⁵⁵ reveal that the California public institutions have greater percentages of faculty of color (24%) than the CDI campuses (17%), and all California campuses, not surprisingly, are a bit ahead of the national figures (figure 19). At the national level, the average percentage of African American faculty is higher while in California, the average percentage of Latino/a faculty is higher.

⁵³ “Faculty” here refer to tenured and tenure track faculty only, for purposes of comparison with the schools in the current study. This 8% represents 25,250 URM faculty out of 319,280 tenured and tenure track faculty total. Source: IPEDS peer analysis system data, 2003.

⁵⁴ The UC data reflect nine out of ten campuses, while the CSU data reflect nineteen out of twenty-three campuses. The percentages represent campuses that submitted data in both 1993 and 2003. Source: IPEDS.

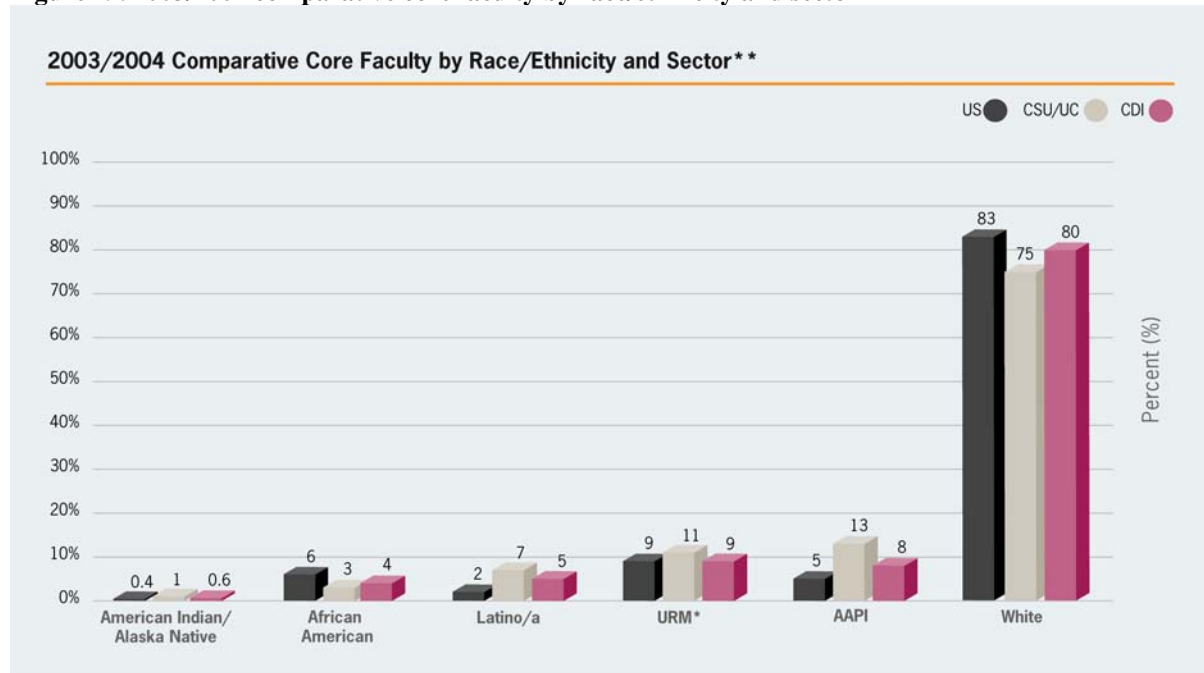
⁵⁵ 2004 for CDI and 2003 for national and UC/CSU data.

Table 13. Faculty by race/ethnicity averaged across twenty-seven campuses, 2000 & 2004

	American Indian/Alaska Native‡	African American‡	Latino/a‡	URM	AAPI	White	Non-resident	Unknown	Average Total
2000									
n*	.4	6.7	7.3	14	18	182	5	2	221
Average %**	.4%	3%	4%	7%	7%	83%	1%	1%	
2004									
n*	.7	7.1	9.6	17	22	185	4	2	231
Average %**	.6%	3.6%	5%	9%	8%	80%	1%	1%	
% growth***	25%	6%	43%	21%	22%	2%	-20%	0%	5%

Note: Due to rounding some figures may not appear as exact sums. ‡ For greater accuracy, the n and % for these groups are given to the tenth decimal point. *Number of faculty averaged across twenty-seven campuses. **Average percentage of each school’s percentage for that year. ***Percentage change in n from 2000 to 2004.

Figure 19. 2003/2004 comparative core faculty by race/ethnicity and sector**

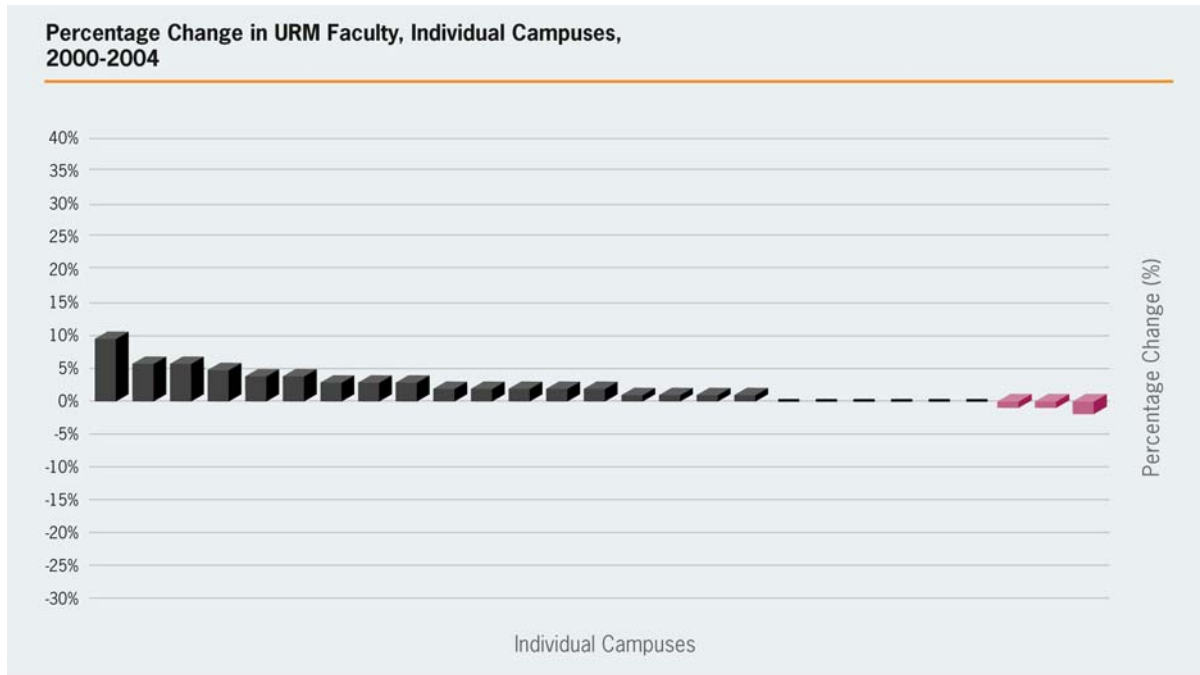


**CDI based on 2004—IPEDS based data differs in year as faculty data via IPEDS is publicly available only in odd years
Source: IPEDS Peer Analysis System, Data Cutting Tool System; CDI Campus Data Workbooks, Campus Provided Data

Overall, the percentage of URM faculty increased on eighteen campuses by an average of 4%, declined on three campuses by an average of 1%, and remained the same on six campuses, as shown in figure 20. There was also great variation among racial/ethnic groups. The percentage of African American faculty increased slightly on thirteen campuses and declined on eight; the percentage of Latino/a faculty increased on twenty-two campuses and declined on three; and the

percentage of American Indian/Alaska Native faculty increased slightly on eight campuses, declined on one, and remained static on the rest. Additionally, the percentage of AAPI faculty increased on seventeen campuses and decreased on eight campuses, while the percentage of white faculty decreased on twenty-three campuses and increased on four campuses.⁵⁶

Figure 20. Percentage change in URM faculty, individual campuses, 2000-2004



Source: CDI Campus Data Workbooks. Campus Provided [n=27]

Because a change in faculty composition was largely dependent on new faculty hires, a central focus of both the campus efforts and the current analysis was on hiring patterns of new faculty. Three questions were relevant. Were campuses hiring? Was the level of hiring enough to make an impact? Was the racial/ethnic diversity of hiring at a sufficient level to have an impact on the overall demographics of the faculty?

Indeed, campuses were hiring at a significant rate overall. On average, the total number of new core faculty hired between 2000 and 2004 was 31% of the base number of total core faculty in 2000. During this period, a total of 1,498 faculty were hired, averaging fifty-five faculty per campus. In addition, the size of the total core faculty increased 5% between 2000 and

⁵⁶ The numbers of campuses do not add up to twenty-seven in all cases because there were institutions where percentages remained the same for some populations.

2004. There was variation from campus to campus. The hiring rate on individual campuses ranged from 13% to 85%, with seven of the twenty-seven campuses hiring at more than 40% of the 2000 baseline.

Within this context of substantial overall hiring, on average, URM faculty constituted 12% of all new hires (n=6) from 2000 to 2004. AAPI faculty also averaged 12% of new hires (n=7), and white faculty averaged approximately 68% of new hires (n=38). There was once again great variation among the campuses, with new URM faculty hires ranging from 0% to 29% of all new hires. Eight campuses hired URM faculty at a level of 17% or higher, while six campuses hired URM faculty at a level of 6% or lower.

Progress?

In tracing whether campuses were likely to make progress, a key indicator was the percentage of URM new hires *in relation to* the percentage in the baseline year of 2000. Presumably, in order to increase the racial/ethnic diversity of the faculty, new hires would need to be more racially/ethnically diverse than the faculty in the baseline year. In 2000, URM faculty constituted 7% of faculty on average. Among new hires, URM faculty constituted 12% of the faculty on average. Thus, one would expect to see some change. The same pattern emerged across most groups when disaggregated by race/ethnicity. In fact, the proportion of new hires among American Indian/Alaska Native, Latino/a, African American, and AAPI faculty between 2000 and 2004 was greater than their proportional representation in 2000.

As with each of the analyses, there was variation among the campuses. Indeed, nineteen of the twenty-seven campuses were “ahead” on their hiring rates of URM faculty, six campuses were “behind,” and two hired at the same rate. Of the six campuses that were behind, three had relatively higher percentages of URM faculty in 2000 than others, suggesting that the new hiring was not sustaining those campuses’ prior efforts.

Calculating Turnover

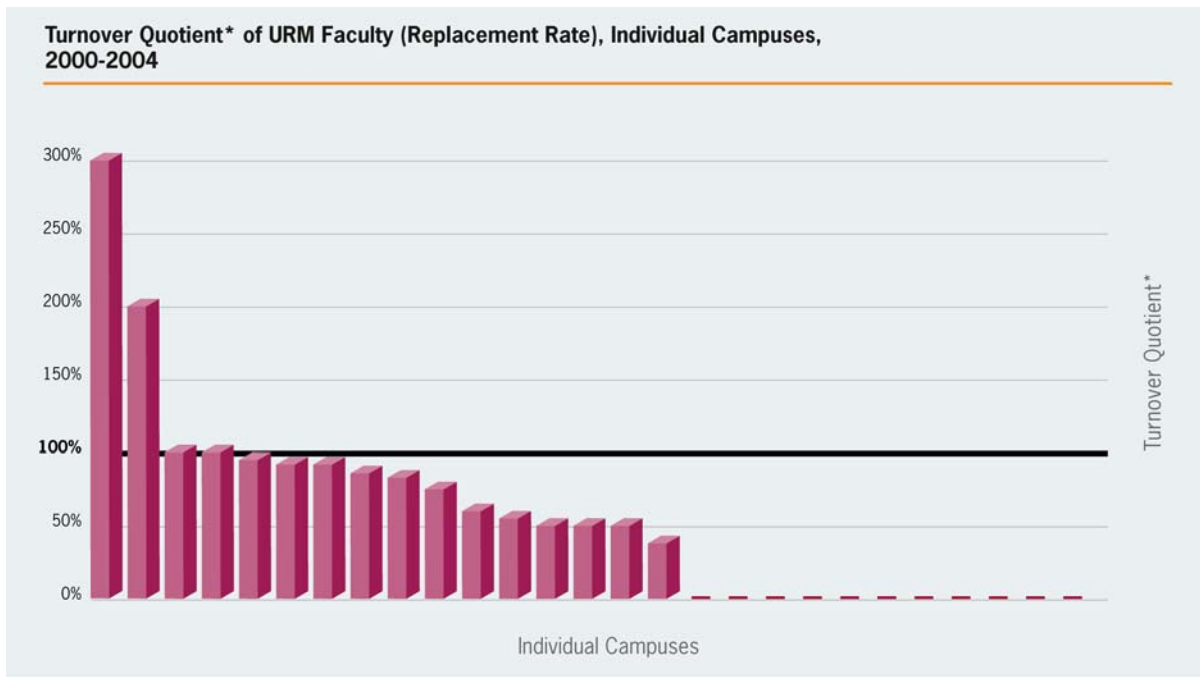
It became clear in the analyses that overall faculty demographics were not changing as fast as the rates of new hiring might have suggested. To understand this phenomenon, a turnover quotient

(TQ)⁵⁷ was developed to show the degree to which new URM hires were adding to faculty compositional diversity or simply replacing URM faculty who had left.

$$TQ = [1 - (\frac{2004URMFac - 2000URMFac}{NewURMHires})] \times 100$$

The key finding here was that on average, 58% of new URM hires were going to replace departing URM faculty. In other words, nearly three out of five new URM hires simply replaced URM faculty who had left. In addition, approximately one-half of all new AAPI hires were going to replace departing AAPI faculty. Again, campuses varied (see figure 21). Eleven campuses had no turnover in URM faculty, fourteen had turnover ranging from greater than 0% to 100%, and two were above 100% (i.e., new hires did not even replace those who had left).

Figure 21. Turnover quotient of URM faculty (replacement rate), individual campuses, 2000-2004.



Source: CDI Campus Data Workbooks. Campus Provided [n=27]

$$*TQ = [1 - (\frac{\text{End Period URM} - \text{Start Period URM}}{\text{New URM Hires}})] \times 100$$

TQ = 0%: No Turnover

TQ = 100%: 100% of URM new hires replaced URM faculty who left the institution

⁵⁷ The TQ formula focuses on turnover for URM faculty, but it can be applied to any subgroup.

Disaggregating the data further to examine the replacement rates for American Indian/Alaska Native, African American, and Latino/a faculty was difficult and unreliable as many campuses did not hire any faculty from one or more of these groups. Of the twenty-seven campuses, twenty-one did not hire any American Indian/Alaska Native faculty; eight did not hire any African American faculty; and five did not hire any Latino/a faculty. Of the nineteen campuses that did hire at least one African American faculty, the average overall replacement rate (TQ) was 62%.⁵⁸ Nine of these campuses had a turnover of 0%, five had a TQ of more than 200%, and the remaining campuses fell in between. For those campuses that hired Latino/a faculty, approximately 30% were replacement hires, with fifteen campuses having a TQ of 0%. For the six campuses that hired American Indian/Alaska Native faculty, the TQ was 33%.

Table 14 displays a set of campus characteristics, including the TQ, as a function of overall change in faculty racial/ethnic diversity from 2000 to 2004. The data are divided into four groups: campuses that declined in the percentage of URM faculty (three campuses), those that had no change in the percentage of URM faculty (six campuses), those that experienced a 1% to 2% increase in the percentage of URM faculty (nine campuses), and those that experienced a greater than 3% increase in the percentage of URM faculty (nine campuses). The results show a strong relationship between the change in overall faculty demographics and turnover. In addition, these data confirm the relationship between the diversity of new hires and the overall change in faculty composition. Campuses that made more progress in diversifying the faculty had lower TQ scores on average.

Table 14. Overall change in URM faculty across twenty-seven campuses, 2000 to 2004

	No. of campuses	% URM 2000	% URM 2004	% new URM hires	% difference between new hires and 2000	Avg. overall hiring rate	Avg. total faculty 2000	Avg. TQ (%)
Decrease	3	11%	10%	10%	-1%	35%	176	169
No change	6	7%	7%	8%	+1%	27%	626	68
+1-2 %	9	7%	9%	12%	+5%	26%	169	61
+3% or more	9	7%	11%	16%	+9%	38%	97	13

From the analyses, it was not apparent that institutional type was a key factor in successful faculty hiring, although larger institutions showed slower rates of diversification even

⁵⁸ One campus with a TQ of 700% was removed as an outlier.

with the same percentage of hiring. Those campuses that had science, technology, engineering and mathematics disciplines as their focus had the lowest rates of URM hiring. In addition, campuses with more racially/ethnically diverse student bodies also showed more racial/ethnic diversity in new faculty hires. Consistency was also a factor—campuses would report a successful year and then report less success for several years following. Finally, from the qualitative analyses, it appeared that campuses where diversity was understood to be central to the academic mission were likely to have greater success in increasing faculty compositional diversity.

Diversifying the faculty thus depended on where an institution began, the rate of hiring, the level of diversity in new hires, and the TQ. These data suggest that there was a “revolving door” that undermined campuses’ ability to make significant changes in their overall faculty demographics. It is clear that campuses need to pay close attention to this revolving door if they expect to actually diversify their faculty. On many of the campuses, myths about URM faculty hiring (“there aren’t any URM candidates out there,” “they wouldn’t want to come here,” “we can’t afford them,” “the Ivies are hiring them all”) continued to provide excuses when efforts to diversify are not successful. During site visits and in campus reports these kinds of statements were routinely made, usually without any data or even a single example. Finally, it was clear that for this group of institutions, an older generation of faculty was rapidly being replaced. The relative lack of success with URM hiring and (especially) retention, however, makes for a gloomy prediction—unless serious action is taken now, *another generation of faculty will be hired without any significant change in demographics.*

Promising Practices: Institutional Viability—Faculty Compositional Diversity

From the analyses, it was clear that additional funds were not always essential to implement new and effective practices to increase faculty compositional diversity. Some of the more successful campuses implemented monitoring systems, developed new approaches to the hiring process, and built institutional commitment and accountability for diversifying the faculty without new expenditures. It was also clear that many campuses realized the importance of creating a welcoming and informative environment during candidate visits, but they were less equipped to do this in practice.

Monitor Progress at the Institutional Level

Campuses needed to be vigilant in monitoring overall progress. Campus data were not always routinely collected in ways that highlighted either institutional movement over time or turnover. At the final evaluation seminar, several campus representatives said that the turnover quotient (TQ) could prove helpful in doing this. The quotient in its more generic form is:

$$TQ = [1 - (\frac{EndPeriodURMFac - StartPeriodURMFac}{NewURMHires})]x100$$

Set Benchmarks to Measure Progress

The CDI campuses struggled with determining benchmarks against which to measure progress. At the evaluation seminars, discussions stressed the need to be multidimensional. One comparison a campus could use is *change over time*, and these data are readily available. The second comparison is the relationship between new hires (the opportunity for hiring) and the percentage of URM faculty actually being hired, contrasted with a baseline year. A third comparison could involve benchmarking against some criterion, such as the TQ.⁵⁹ A fourth comparison could be to other institutions.⁶⁰

Link Hiring to Institutional Priorities, Planning, and Leadership

Overall, the CDI findings showed that there was a greater likelihood of change being sustained over time when faculty hiring efforts were linked to institutional priorities, planning, and leadership. While particular missions did not guarantee the degree of change, the CDI campuses that made more progress in new URM hires had made deeper links to their core academic mission (whether religious, liberal arts, etc.). These institutions saw faculty hiring as central not only to building institutional capacity to engage diversity in governance, curriculum, research, and advising, but also to building credibility within broader communities. These campuses

⁵⁹ For example, most would agree that an average TQ of 58%—nearly three out of five new URM faculty going to replacement—is quite high, especially given the resources campuses put into these efforts. Also, given the nearly 1,500 faculty that were hired during this five-year period, many would be distressed to know that only 157 of these hires were American Indian/Alaska Native, African American, or Latino/a. Some would be especially disturbed because this occurred at a time when these campuses had the racial/ethnic diversification of students and faculty as a focus, and when approximately one-third of the faculty had turned over.

⁶⁰ While overall faculty demographic data can be readily obtained, less information is available on new hires, which makes this comparison more difficult. Additionally, although benchmarking against peer institutions is a common strategy for many endeavors, a great number of institutions have not made meaningful progress. Because of these issues, campuses would be better served if they benchmarked against high-performing institutions.

understood that their attractiveness to both students and faculty was dependent, in part, on the compositional diversity of the faculty.

More successful campuses also found ways to engage faculty in understanding the link between searches and larger institutional purposes and priorities. These campuses recognized and maintained faculty autonomy at the “local” level of the departments and search committees, but also effectively linked these processes to campus-wide strategic imperatives and incentives.

Improve and Streamline the Hiring Process

Overall Approaches

Some of the most successful campuses were creative in their overall approach to URM faculty hiring.

- Some campuses combined multiple searches under one search committee to provide some flexibility in identifying talented candidates.
- Some used “target of opportunity”⁶¹ funds to hire specific individuals who were either internal or external to the campus. In all cases observed within the Evaluation Project, such hires were identified by faculty in the relevant fields so that individuals would come to the department with the support of their colleagues. In many cases, it proved important to communicate that this option existed to all departments in order to maintain trust and perceptions of fairness across the disciplines.
- Some utilized cohort hiring. This was just beginning to be considered by the CDI campuses, but in this strategy, groups of faculty would be brought in and developed as a cohort, based on hiring dates or complementary scholarly interests.
- Some streamlined routine processes, such as placing ads and developing letters, so that departments were equipped to proactively recruit candidates.

Search Committees

It was clear that improving aspects of the search committee led to greater success in diversifying the faculty. Some campuses implemented training to educate potential search committee members on how to evaluate candidates with regard to expertise and competencies related to

⁶¹ “Target of opportunity” hiring usually consisted of institutional-level funds that departments could tap to take advantage of specific hiring opportunities when they arose.

diversity. Some schools equipped search committee members with resources on faculty hiring, including strategies and current research (e.g., Moody 1999, 2001, 2004; Smith et al. 2004; Smith, Wolf, and Busenberg 1996; Trower and Chait 2002; Turner 2002; Turner and Myers 2000). Finally, while ensuring the racial/ethnic diversity of search committees was not always an easy task, several campuses made this a priority, realizing it contributed to the quality of the process and to its credibility.

Position Descriptions

More successful campuses realized the value in keeping faculty position descriptions as broad as possible and in considering the multiple needs that exist when filling a role that spanned so many areas of institutional work. For example, several campuses amended position descriptions to include the need for competency, experience, and demonstrated success in teaching diverse groups of students. Some also made sure that definitions of excellence and proficiency were multidimensional and reflected the broader array of expertise required to work on a campus that was actively engaging diversity.

Candidate Pools

Campuses that were more successful at hiring URM faculty looked for ways to widen the candidate pool. Strategies included contacting networks (e.g., alumni, professional) with connections to the campus; identifying part time and other faculty who were already connected to campus⁶²; identifying candidates at professional meetings through their scholarly presentations and discussions, and bringing to campus promising candidates who did not make the “top three.”

Some campuses also tapped their pool of postdoctoral appointments to diversify the faculty. This varied in its effectiveness depending on how seriously these individuals were considered in the search process. Campuses where postdoctoral appointments were more likely to be hired:

- had senior administrators engaged in the process;
- had members of the department intentionally mentoring these candidates;

⁶² Several campuses were very successful in promoting internal candidates.

- involved the department in the selection of candidates and required a departmental application to have such an appointment;
- made sure that being hired to a tenure track position was a possibility and clearly articulated what constituted potential for hiring.

Learn from the Experiences of Current and Former URM Faculty

Because prevailing myths about URM candidates (“there aren’t any”; “they wouldn’t want to come here”; “we can’t afford them”) provided excuses for failure, it was helpful for campuses to understand why current URM faculty came to the campus and through what networks. Often, these faculty members served to “debunk” the myths.

Likewise, campuses began to realize that examining the extent to which the environment supported URM faculty success provided valuable information. For example, conducting interviews with URM faculty who are leaving—and those who stay—can often point to factors that contribute to retention and success. Some campuses also outlined mechanisms for URM faculty success in hiring plans and agreements. These mechanisms included mentoring programs, clear information about promotion and retention, and clear expectations about duties and responsibilities.

Create a Climate of Shared Commitment and Responsibility

Senior leadership, department chairs, and faculty each had a key role to play in efforts to diversify the faculty in terms of race/ethnicity. On more successful campuses, this included early and continuous involvement. Additionally, campuses were more successful when these efforts were viewed as essential by the departments. Finally, when institutional commitment for diversity was reflected in the “language” of the campus—from the mission and goals to the web site to the statements of academic purpose—it communicated to applicants that the campus might be serious about diversifying the faculty.

Less successful campuses discovered that simple pronouncements that “diversity must be increased” were insufficient and that waiting until a final list of candidates was developed was too late. When these efforts were viewed as optional or someone else’s concern, the myths about URM faculty hiring, mentioned above, often provided a rationale for lack of success.

Findings: Institutional Viability—Centrality and Alignment

Over the period of the CDI, the critical role of both mission alignment and the centrality of diversity to an institution's viability, its understanding of excellence, and its culture became increasingly clear. For some campuses, institutional survival depended on attracting and retaining a changing demographic of students. They understood that to accomplish this, they would need to fundamentally build capacity to engage diversity throughout the leadership, curriculum, and institutional functions. For campuses where survival was not at issue, the depth of their efforts depended largely on the degree to which they located their diversity work at the center of the mission and strategic planning. While issues of mission and culture can be related (e.g., the mission of science and technology can develop a culture in which diversity is not a value), they emerged in the findings as somewhat distinct, with each requiring attention on most campuses.

One of the consistent challenges in institutionalizing campus diversity initiatives was aligning an institution's vision (rationale and motivation for action), mission (the focus of the institution's work and a general reflection of its core values and beliefs), and culture (behaviors generally manifesting core values and beliefs).

As is true on many campuses, for many years, CDI campus mission statements served more of a public relations role and less of a guide for action. With the advent of the CDI, many of the campuses inevitably examined their diversity efforts in light of their missions. Such efforts had an impact on sustainability and also gave the diversity efforts integrity with respect to the core functions of the campus.

Information gleaned from the campuses revealed that the degree to which mission statements included *overt expressions* of diversity goals influenced the level of engagement with these goals. In addition, campus diversity initiatives that were linked to and consistent with an institution's mission and overall goals positively influenced the perception of evaluation, how findings were used, and whether progress toward goals was monitored. Finally, mission statements better facilitated diversity work when the campuses actively linked these two entities. For example, campuses that explicitly included concerns for social justice in their mission had an obvious connection to issues of diversity and equity. At the same time, campuses that were

committed to preparing leadership could also see a direct connection between their mission and their diversity efforts. In a similar way, on a campus with a mission focused on science or research, diversity could be seen as irrelevant unless the campus made the link. It is fair to say that campuses that made compelling links to diversity—regardless of mission—made greater progress than campuses that had the rhetoric of diversity in their missions but had not engaged it deeply. In the latter case, these campuses were sometimes vulnerable to assuming that they were doing well when they might not have been.

Likewise, institutional cultures influenced the level and type of campus engagement with diversity efforts. Some campuses had cultures that were in tension with or resistant to the issues diversity raised. Some also had cultures that were resistant to the use of data to guide decision making. The relationships of culture to mission and to diversity and data were complex. For example, even campuses that had core missions related to social justice had to carefully scrutinize the meaning of diversity. Similarly, even doctoral-granting institutions with strong research cultures had to grapple with the use of research and data for decision making. The aspects of institutional culture related to research, science, or elitism sometimes worked against diversity efforts—and issues of privilege, lack of inquiry about what constitutes excellence, and assumptions about merit all served as barriers.

Campuses also struggled to align institutional policies and planning with diversity goals. Such alignment influenced the retention of key personnel leading diversity efforts. Moreover, alignment strongly influenced perceptions of institutional commitment to diversity. For example, on one campus where the leadership was deeply committed and where the mission called for the centrality of diversity, the strategic plan ignored the topic and its connection to institutional priorities and fundraising. As a result, the commitment of the campus and the leadership was questioned, leading to the frustration of many.

Finally, the external alignment of the Irvine Foundation, other funders, and WASC (Western Association of Schools and Colleges) eventually influenced some of the CDI schools. Alignment of these entities in terms of a focus on diversity, organizational learning, and the use of evidence provided leverage and persuaded additional constituents to contribute to CDI efforts.

Promising Practices: Institutional Viability—Centrality and Alignment

Developing a process in which diversity work was discussed in the context of core institutional documents and processes, such as mission statements, strategic planning, and accreditation, helped to facilitate alignment.

Frame Diversity in Terms of Institutional Viability and Preparation for the Future

Linking diversity efforts to institutional viability and/or educational functioning helped achieve centrality. For graduate institutions this meant linking diversity to scholarly imperatives and to the development of leadership in the professions, schools, and, in the form of future faculty, academia. For undergraduate institutions this meant preparing a diverse student body for effective leadership and citizenship in a pluralistic society and developing a deep understanding of where students come from and what they bring to the educational enterprise.

Broaden Diversity Out from Affirmative Action

Discussions in the evaluation seminars acknowledged that approaching diversity solely through the lens of affirmative action and access removed it from the academic core of the institution and risked inviting political and legal challenges. At the same time, it was acknowledged that affirmative action can be a strategy for proactively identifying talent and for interrupting customary practices that can work against diversity. Unfortunately, affirmative action too often remained a single bureaucratic initiative not centrally linked to the institution.

Have Diversity at the Table during Decision Making

Whenever the campuses were engaged in major planning or evaluation activities, it was important for the consequences for diversity to be discussed as part of the process. This applied to budget priorities, downsizing, strategic planning, capital campaigns, and accreditation, to name just a few areas. On several campuses, the CDO ensured that diversity was “at the table.” The role of the CDO in this regard was analogous to that of the Chief Information Officer ensuring that implications for technology are discussed during such decision making.

THE STATUS OF OVERALL INSTITUTIONAL CHANGE

This broader analysis was guided by the question, “Overall, have institutions changed in terms of depth, breadth, and institutionalization of diversity?” An important part of the work of the campuses was to deepen and broaden the work of diversity so that it could be sustained over

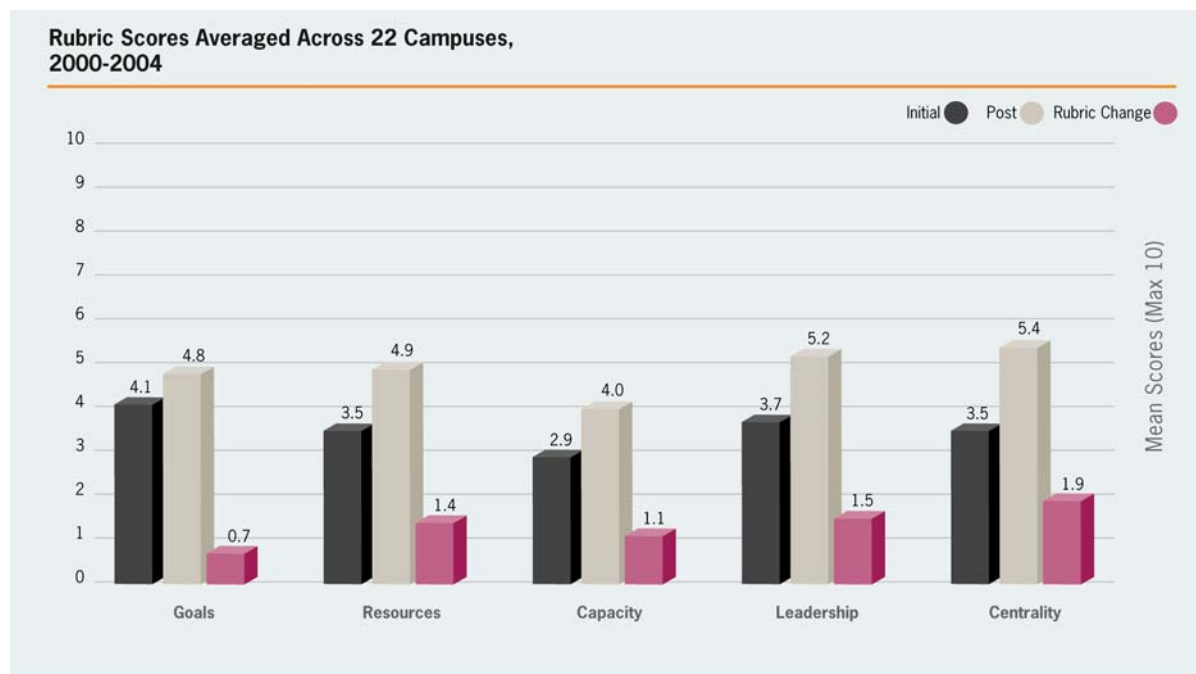
time. It was clear, however, that change could mean different things to different people, depending on one's location in the institution. For senior leaders, evidence of institutional change could be found in data on increased access for URM students or in data showing success in attracting a racially/ethnically diverse group of new faculty. To others on campus, institutional change could appear slow or nonexistent. Still others might see changes occurring solely as a result of Irvine-funded activities with little assurance of these changes being sustained beyond these focused efforts.

For this part of the analysis, all of the quantitative and qualitative data were synthesized. With regard to data sources, the campus six-month reports were essential to understanding the ongoing efforts, as were the site visits to one-half of the campuses that occurred over the grant period. In addition, the ERT developed two instruments to examine the overall degree to which diversity had become more deeply and broadly embedded in the institution. An institutionalization matrix was designed to locate the depth and breadth of diversity efforts on a 3×3 grid, and members of the ERT identified where a campus began and ended in the depth and breadth of its diversity work. An institutionalization rubric was developed to capture changes in five areas: goals, resources, capacity, leadership, and centrality.⁶³ Here again, members of the ERT evaluated each campus at the beginning and at the end of the CDI, and each campus received a rating of 1 to 10 in each of the areas. A cross-institutional comparison was conducted to see if any patterns emerged.

Findings: Overall Change in Capacity

The analyses suggested that there was progress on virtually all of the campuses, though in many cases the change was more subtle than dramatic. Figure 22 shows the mean change in overall institutional capacity using the institutionalization rubric. The most significant changes occurred in centrality, leadership, and resources. From pre-CDI to post-CDI, campuses did appear to build their capacities in these areas.

Figure 22. Rubric scores averaged across twenty-two campuses, 2000-2004



Source: CDI Evaluation resource project [n=28]

The overall changes in means reflected an increase in rubric “scores” on eighteen of the campuses, no change in scores on seven campuses, and a decline in scores on three campuses. Campus scores on the institutionalization matrix, for the most part, mirrored these changes.

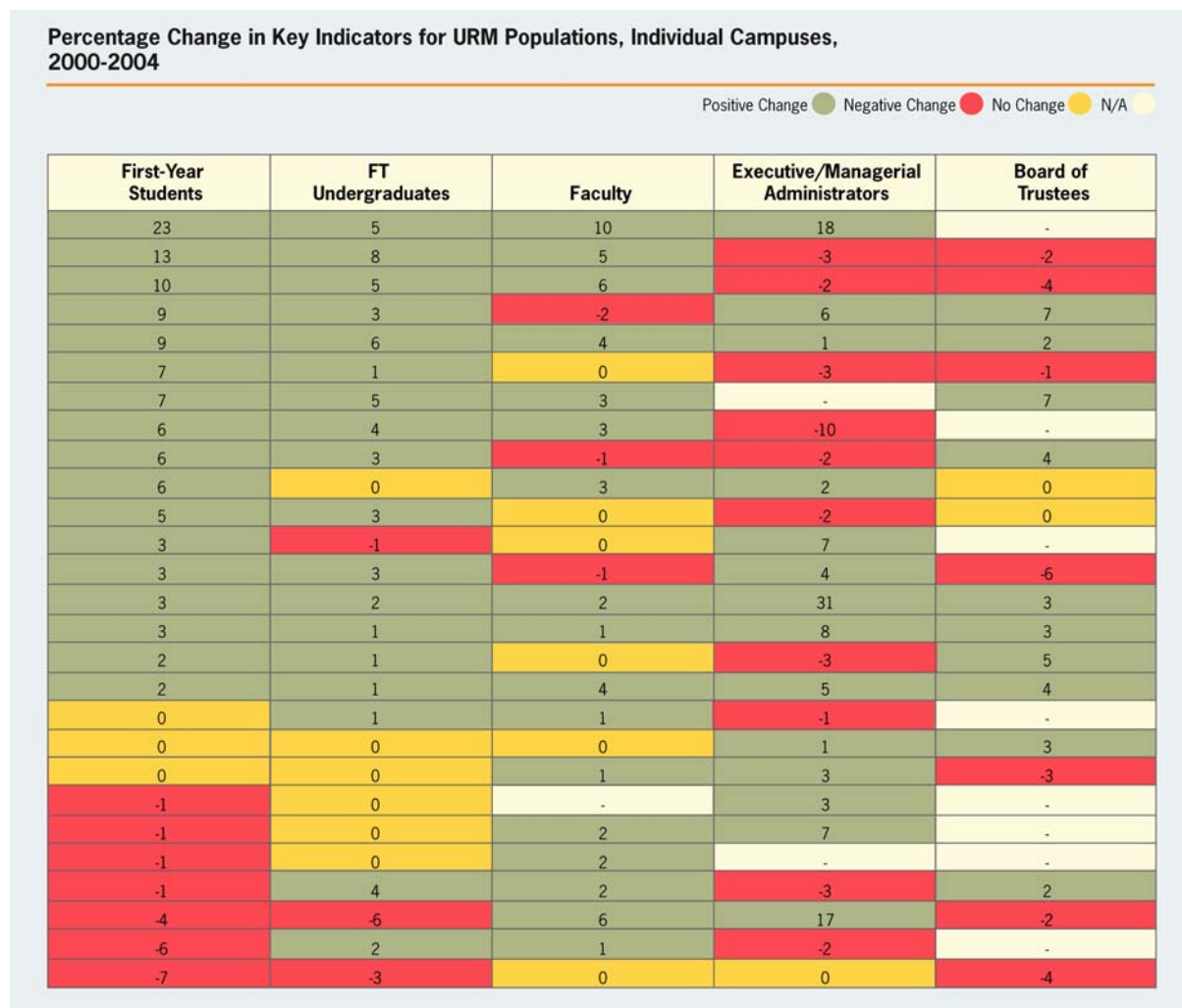
An assessment of the relationship between changes in these scores and other key indicators used for the Impact Study showed some patterns. Most prominently, there were strong correlations between scores on the rubric and the baseline percentages of first-year and undergraduate URM students, suggesting that campuses with greater percentages of URM students began with higher scores on goals, centrality, and capacity. These campuses also exhibited more positive change in the percentage of URM administrators.

Figure 23 captures those campuses with positive changes and those with negative changes for several key indicators. Significantly, of the twenty-seven campuses with undergraduate programs, nine campuses showed consistent positive change, fourteen had mixed

⁶³ See appendix one for a description of the institutionalization matrix and the institutionalization rubric.

results, and five showed little or no change. Analyses of these institutions yielded no simple conclusions, but a few patterns emerged. Those campuses that had made consistent and positive change embraced a coordinated focus on institutional goals for diversity and made an effort to monitor them on a regular basis. Most had a CDO who led the coordination efforts. A number of the campuses had growing trustee engagement with diversity. In addition, a few of these institutions started at a very low level with regard to basic campus diversity and showed progress.

Figure 23. Percentage change in key indicators for URM populations, individual campuses, 2000-2004



Source: CDI Evaluation Resource project (N=27)

The campuses with mixed records tended to have racially/ethnically diverse student bodies at the start of the CDI. For some, slight declines in the percentage of first-year URM students were not a cause for concern because their levels were relatively high and focus was

more on student success than access. Other campuses in this middle group appeared to make progress and then decline as a function of poor monitoring or lack of consistent effort.

Ironically, the campuses with little to no change represented institutions with strong mission statements and some racial/ethnic diversity within their student bodies. Nonetheless, they often lost focus, relied on programmatic approaches to diversity, had weak links between monitoring and decision making, and had weaker senior leadership as defined by the rubric measures.

Little dramatic change might be expected in a three- to four-year period using a holistic institutional approach, although there was progress. Dramatic changes may occur in the next five years due to significant organizational changes made during the period of the grant, provided these changes are sustained. While a few campuses were exemplary in their approach to the CDI and to monitoring progress, one would have to point to different institutions to find promising practices in different areas. Some succeeded more in faculty hiring, while others did so with regard to student success. A few campuses were good models of approaches to student learning, while others understood how to create synergy among their efforts. This is consistent with national findings, where it is difficult to identify whole institutions that would serve as “the” benchmark for successfully institutionalizing diversity efforts.

Promising Practices: Overall Change in Capacity

Link Diversity Work to Other Institutional Effectiveness Efforts

On the CDI campuses, links to accreditation and other institutional effectiveness efforts were emerging. At the beginning of the project, even though CDI and WASC processes were occurring simultaneously, they often operated on parallel tracks, with few campuses mentioning one in the context of the other or coordinating them. A similar parallel process was occurring with strategic planning efforts. Now, out of the twelve final CDI campus reports submitted as of early 2006, six mentioned WASC accreditation efforts as a coordinated and sometimes combined effort. Now, rather than developing separate goals and objectives in a diversity strategic plan, many institutions were beginning to embed diversity into regular strategic planning processes. In addition, boards of trustees appeared to be increasingly asking about indicators of success with regard to diversity.

Rely Less on External or Special Funding

The degree to which campuses had embedded diversity into ongoing efforts (in access, success, curriculum change, teaching and learning, URM faculty and staff hiring, and campus climate) was often revealed when the issue of financial resources arose. Some campuses still viewed diversity as a separate set of activities that would require additional outside resources once Irvine funding had ended.

Turn Indicators into an Ongoing Framework for Monitoring Progress

The CDI Evaluation Project provided a framework that all campuses adapted for their evaluation efforts. Still, many campuses did not make the connection between the sets of individual indicators they chose and the use of these indicators as part of a larger framework to monitor progress on diversity. There were several reasons for this. Some campuses continued to grapple with a conceptual understanding of the framework. Others were wary of the potentially sensitive nature of the data. Still others failed to recognize that even the use of a limited set of indicators would still provide useful information about the progress of campus diversity efforts overall.

Nonetheless, several of the campuses—including those that have used the Diversity Scorecard—created templates and frameworks for monitoring progress that could help guide and sustain diversity efforts over time. Analyses revealed that the adoption of a larger framework for monitoring process was and will be critical to achieving and sustaining success.

Plan for Later Phases of the Work

Campuses that had worked on diversity issues for several years and that had made some progress seemed to have more difficulty figuring out strategic “next steps.” This challenge often emerged when campuses had achieved a certain level of compositional diversity in their student bodies and sometimes among their faculties, and when they had achieved some success in the curriculum. Campuses were wise to acknowledge this “plateau” and to push themselves to articulate how to move diversity more broadly and deeply into the institution, especially with regard to sustaining efforts over time. In this case, and with overall diversity efforts, it appeared that strategic use of external resources was useful. For many campuses, the site visits, the use of consultants, and the presence of teams at national meetings provided opportunities for campus discussions, sharing of promising practices, and even individual coaching.

Findings: Evaluation and Organizational Learning

The CDI was designed from the beginning with evaluation as a significant component of the initiative rather than as a post-grant activity. The intent was to help the CDI schools undertake an evaluation process utilizing campus-based data that not only examined the outcomes of particular strategies, but also monitored progress toward institutional goals for change related to diversity. Such assessment also was intended to respond to the Irvine Foundation's goals to build institutional capacity and improve college access and success for URM and low-income populations. Consequently, the CDI Evaluation Project built into its work a process of assisting campuses in the design of their evaluation plans and providing ongoing advice on resources needed to implement the plans.

Organizational Learning

Critical to the campus evaluation process was the utilization of an organizational learning approach. Organizational learning takes into consideration the *process* of the work and requires *action* to ensure progress toward goals by making adjustments or corrections to the process as needed. Unlike evaluation models that are designed simply to evaluate program activities, an organizational learning model shifts the focus *to the effectiveness of the effort to achieve desired outcomes* (Hernandez and Visher 2001; Preskill and Torres 1999).

At a conceptual level, using an organizational learning model in colleges and universities seems obvious and sensible. One would imagine that a culture of evidence or a culture of inquiry would be central to the academy. Nevertheless, given the conventional model of evaluation—examining components of programmatic initiatives upon completion—campuses had to become familiar with this new model to meet the grant requirement of developing an evaluation plan and utilizing it to regularly monitor progress.

The ability of a campus to learn from its efforts was critical to making progress on diversity goals. Those institutions that continually engaged in a cross-institutional analysis of progress, or its absence, understood how and where the process needed correction to ensure successful attainment of goals. This process helped campuses that were successful understand why they were successful. Furthermore, having a systematic means to monitor and interpret efforts brought together key participants, and this collective approach contrasted sharply with

other evaluation models that often rely on a single person or small group to evaluate and create reports.

Perhaps the best example of organizational learning was a campus that had been highly regarded for its successful strategies in hiring a racially/ethnically diverse group of new faculty. In one of its six-month reports, the campus reported that the first year of hiring had been very successful, but the next year had not been as successful. The campus then identified what had happened and made modifications.

A Holistic Perspective

The use of an evaluation framework was also critical for increasing organizational learning. The framework provided a holistic approach to diversity work across the institution and helped avoid marginalization. The framework provided a tool for evaluating progress on a continuing basis. In contrast, evaluation efforts that relied on conventional approaches reduced the process to a pro forma procedure whose primary purpose was to satisfy a requirement. This resulted in little to no corrective action over the course of implementation.

When campuses understood the link between their diversity efforts and fulfilling their core educational missions, they could see the need for a holistic process that had an impact not only on URM and low-income populations, but also on all campus constituents. However, reaching this level of understanding remained a challenge for most of the CDI campuses. For instance, Irvine staff and the ERT encouraged each campus to establish an internal, cross-campus team that would be accountable for implementing and evaluating the institution's initiative. Where campuses created teams that were truly representative of institutional constituents and where the president or provost made teams feel central to the effort, the resultant plans and activities were more broad-based and more focused on institutional success. This approach provided an example of processes that cut through institutional hierarchies.

Successful implementation of the CDI also needed to rely on many key people on a campus—including senior leaders. Unfortunately, in many cases only those persons engaged in the day-to-day work of diversity efforts remained focused on achieving the results, and these leaders were often African American, Latino/a, or American Indian/Alaska Native themselves. This was a concern for two reasons. First, while these leaders were champions of the CDI, there was a risk that they would be held *solely* accountable if the initiative was not successful. Some of

these leaders faced the difficult situation of needing to have a successful initiative when, in fact, the work was not progressing as desired. Second, the ERT observed that leaders who were more removed from the efforts were more apt to view these efforts as successful, while day-to-day leaders and staff expressed ongoing frustration with the lack of success. This dissonance stemmed from not having an agreed upon institutional framework where perspectives on progress or lack of progress could be shared and where different perspectives could be understood. The dissonance also represented the inability of each group to recognize the expectations and demands for success of the other, as well as the absence of dialogue to create a common understanding of the initiative's status. On these campuses, the framework had not been deeply connected to evaluation efforts.

Motivation and Focus

Motivation to achieve CDI goals influenced whether the work was approached from an institutional perspective. Motivation came from a number of sources, including funders and funding; moral imperatives; competition for students; and institutional viability, legitimacy, and politics. The ERT observed that the campuses most actively utilizing the evaluation process to guide their actions were strongly motivated for reasons of institutional survival and viability. The ERT also found that campuses that were motivated to learn from evaluation had a greater chance of achieving their diversity goals.

It was not uncommon to have campus diversity committees develop “laundry lists” of issues. Several CDI campuses pointed to the self-study process as helping to focus in on areas of concern and to develop strategies for addressing them. Because diversity issues involve virtually all aspects of the institution, being strategic and focused was often difficult. The self-study process allowed campuses to reflect on their particular needs and contexts so that important and often sensitive areas could be addressed.

Building Data Use and Institutional Research

Another aspect of organizational learning related to the collection and use of data and the use of dialogues to help constituents make meaning of data. Fundamental to the evaluation framework and to organizational learning was the process of generating, presenting, and using data for institutional change and corrective action. Having useable data and manageable amounts of data

analyzed and reviewed across constituent groups made it possible to determine if progress had been made.

Within the CDI, campuses did not routinely use data to inform decision making for several reasons. Not all leaders had access to relevant data. Campuses that did not use data routinely to inform their decision making found the CDI requirement to collect information to be onerous. Many had little experience with this process, and they often had no IR person or office to take on the task. In some cases, basic data such as longitudinal information on graduation and retention, disaggregated by race/ethnicity, had to be developed.

Another barrier involved the political significance of findings. When data became available on campus, it sometimes generated challenges for the leaders' and for the institutions' reputations. Many campuses wanted to maintain a good public face, and for many, data related to diversity was especially controversial. In protecting a public face, however, campuses undermined their efforts due to distrust and lack of transparency. Another challenge involved the complexity of the data involved, including multiracial designations and the collapsing of such designations in IPEDS.

The role of the IR office emerged as central to campus diversity work and specifically to efforts to monitor progress. Campuses with the least resources and even some with significant resources had to develop IR capacity in order to monitor progress on diversity as requested by the CDI. Some campuses built this into their grants. Those that did not had to find ways to build IR functions using other means. Because of its increasing importance in accreditation processes, IR capacity building appeared to be sustained over time. Analyses also showed that the most effective situations were those where IR leaders (and others) saw their role as more than simply "crunching" data. They engaged with CDI goals, participated in the conversations, and helped others to make meaning out of the data.

Connecting Data to Goals

Some campuses saw how disaggregated data contributed to their understanding of progress toward their institutional goals. Others only reluctantly collected data as required but failed to connect the information to their intended goals. However, what appeared to be resistance to diversity was, in some cases, resistance to an initiative that seemed to be outside of the

institution's mission. When the initiative was not aligned with the institution's mission, progress was hampered.

Benchmarks

The campuses did very little as far as setting benchmarks by which to measure progress. This was no doubt a function of several factors, including a reluctance to do comparisons in general and a lack of concern for what comparisons would reveal. In the Impact Study, four kinds of comparative data were used:

1. Change over time. These data would allow an institution to chart progress made in terms of its own efforts and goals.
2. Change in relation to some criterion or criteria. These data would allow an institution to evaluate whether its efforts were adequate in terms of some "yardstick." The analysis of faculty turnover demonstrated that having nearly three out of five new URM hires, on average, simply replaced those who had left was too high a ratio to make substantial progress.
3. Change compared to national, statewide, or peer institutional data. It is a common practice for campuses to compare themselves to other institutions on many fronts, but this was rarely done within the context of the CDI. Moreover, with diversity work there is a danger that doing as well as a group of peers would give license to an institution to remain static. Some of the comparative data for the CDI campuses demonstrated this.⁶⁴
4. Change compared to outstanding performers. None of the campuses chose to set their goals to match outstanding institutions. Even within the CDI, individual campuses could have played this benchmarking role on different indicators.

While benchmarking can be complex and controversial, the first two approaches—change over time and the significance of key data points—would seem to be essential.

Connecting Organizational Learning to Day-to Day Diversity Work

⁶⁴ Finding comparable data and consistent data over time presented problems for the campuses and for this study as well.

Despite the best of intentions of campus leaders to monitor the progress of diversity initiatives, some institutions placed evaluation and data use on one track and day-to-day diversity work on another. Using an organizational learning approach in conjunction with the CDI was a challenge because the process interrupted typical campus patterns at almost every point. For example, this approach brought together constituents from across institutional boundaries and hierarchies, and it required the use of campus information systems to obtain data. Continually linking diversity and evaluation efforts at all levels was critical to facilitate deep change.

Use of Diversity Resources

An additional factor contributing to organizational learning was the degree to which participants in the CDI were aware of and made use of resources related to diversity. Each time there was a personnel transition, institutional knowledge related either to diversity or evaluation work was diminished. At the final evaluation seminar, more people seemed to know about resources such as DiversityWeb,⁶⁵ handbooks on faculty hiring, and relevant research and practice literature, yet this lack of knowledge was an impediment during the course of the CDI.

Communication

Effective communication was a key factor in generating organizational learning across the institution. Many campuses found it challenging to communicate to constituents about the CDI vision, the goals, the actions needed to achieve goals, and the use of data to monitor progress. When communication and data sharing throughout the institution was not the norm, isolated evaluation processes emerged, resulting in the formation of “data silos” that were only called upon in times of crisis rather than in the service of ongoing learning.

In the absence of effective communication, criticism of the initiative’s data collection methodology often became a major barrier to organizational learning and appropriate action. It was not uncommon for campus individuals to attack the methodology rather than address the significant issues revealed by the data, such as a lack of URM faculty hiring.

Promising Practices: Evaluation and Organizational Learning

Use a Holistic Framework with Relevant Indicators

⁶⁵ See www.diversityweb.org.

Using a holistic framework increased the possibility that diversity would be embedded throughout the institution, and thus increased the likelihood of sustaining institutional change. While there was considerable variation in institutional contexts and diversity needs, there was also considerable overlap in goals and strategies. Using the framework to organize diversity in four dimensions (Access and Success of URM and low-income students, Campus Climate and Intergroup Relations, Education and Scholarship, and Institutional Viability and Vitality) served the purpose of linking diversity to the core of institutional functioning. Such a framework provided a way to connect disparate diversity efforts and enabled diversity champions to see how their programs contributed to institutional goals. The framework also helped campuses have generative conversations about what diversity meant in their contexts and also helped them avoid being paralyzed by such discussions.

Early in the CDI, the campuses were introduced to the following analogy. If a diversity framework and indicators were used by campus leaders to audit campus progress in the same way that a financial audit provided a regular glimpse of financial progress and health, campuses would be more likely to sustain their efforts and make needed changes. This analogy proved to be a key point for CDI campuses in launching their initiatives.

Use an Organizational Learning Approach

Evaluation that utilized an organizational learning approach based on institutional data had greater potential to prompt corrective action and to lead to greater effectiveness of diversity initiatives. When a campus viewed itself as a learning organization and used such an evaluation approach, it helped to ensure that the CDI was not only headed in the intended direction, but also was adjusted as needed to reach institutional goals for diversity.

The need for campuses to link organizational learning and diversity was one of the most important lessons that emerged from the CDI Evaluation Project. The act of linking an organizational learning approach with diversity work and aligning the diversity initiative within the organizational culture required intentionality. These linkages did not simply happen—they needed to be explicitly built into the planning and implementation of diversity work from the outset.

Cultivate both Broad and Focused Leadership

Leadership at many levels of the institution was another important element for success. Leaders guided and contributed to efforts and held the campus community accountable. A key leadership role was that of the chief diversity officer (CDO) who understood how important organizational learning would be in changing institutional culture and practice with respect to diversity. On many of the campuses, this person ensured that there were timely and effective processes (e.g., a regular review of data), coordinated campus constituents, and sought greater involvement from across campus. Yet it was important that this person not be viewed as having to perform all the tasks or be accountable for everything. Broad leadership was required—including the president, provost, deans, faculty, staff, and students. These leaders were most successful when they understood the larger context of their work by using the diversity framework. Moreover, when the efforts were coordinated, a synergy was created that carried the larger initiative forward in ways beyond what could be accomplished individually.

Develop Institutional Research Functions

Building IR functions that were connected to campus diversity efforts was essential for success. Through such simple practices as disaggregating data by race/ethnicity and income and embedding diversity into all data collection and analyses (including student, staff, and faculty satisfaction; student and faculty success; campus climate; and student learning and engagement), IR functions provided links among many disparate campus efforts.

Establish Benchmarks to Measure Progress

The need for campuses to establish comparisons for benchmarking purposes was revealed through the CDI Evaluation Project. Such comparisons include change over time, criterion referenced evaluations, as well as comparisons to other institutions. Using more than one of these comparisons would strengthen the process.

Gather and Review Disaggregated Data

The promising practices identified here were based on the collection and analysis of institutional data by a diverse and broad-based campus group. The campuses only knew how well they were doing in reaching diversity goals by establishing baseline data and comparing these data with later data sets. Such data—disaggregated not only by race/ethnicity but also by gender, economic

status, and other factors in some cases—allowed campuses to examine whether or not progress had been made in each of the dimensions of the diversity framework: Access and Success, Education and Scholarship, Campus Climate and Intergroup Relations, and Institutional Viability and Vitality.

Disaggregated data collected on a regular and consistent basis was essential to success, but this was insufficient without analysis. When campus constituents from across the institution engaged in thoughtful review and reflection to make meaning of the data, adjustments were quickly made to ensure that the initiative continued to make progress. In addition, this collective approach fostered the development of relationships built around shared goals.

Attend to Communication

Communication proved to be an important element not only with regard to the diversity work itself, but also with regard to organizational learning. Key elements related to communication included: (1) who shapes the story, (2) who tells the story, (3) who hears the story, and (4) who gives feedback.

Who Gets to Shape the Story of Diversity on Campus

The effectiveness of the story was influenced by who called for the story to be told. The knowledge of diversity and level of authority held by this person (or persons) influenced the shape of the story to be told and its credibility. More effective reports were structured to focus on programs and institutional progress toward goal achievement. A focus on the institution and on organizational learning also helped campuses use the data contained in the report to guide action.

When a report was guided by the collaborative efforts of an evaluation team, it benefited from being shaped by a broader and sometimes divergent set of perspectives. Likewise, it was important to have an even broader base of constituents weigh in on the structure and content of the report as part of the process. Participation from across the campus (students, faculty, staff, and administrators) and from external communities influenced how the data were interpreted and used for organizational learning and enriched the story.

Who Gets to Tell the Story

Depending who told the story, the intent behind sharing it changed. Both effective campus engagement with diversity and clarity of vision on diversity were influenced by the degree to which communicators used data to increase the institution's capacity to achieve diversity goals.

Senior administrators of color were sometimes cast as the "diversity experts" regardless of their expertise or position. As such, they sometimes came to symbolize the advancement of diversity initiatives. Such situations were problematic in that they rejected the experience and expertise of other campus constituents, isolated "ownership" of the initiative to one person, and risked arousing suspicion about the outcomes of the initiative.

Campus development/advancement personnel often drafted required reports to external agencies. However, that often resulted in just highlighting successes rather than demonstrating organizational learning, which would include missteps and failures. Such neglect of pressing issues and barriers limited the campuses' ability to learn from their data collection efforts. However, with input from other campus constituents, advancement personnel can play a key role by telling the story of progress and describing the challenges faced in the journey towards achieving diversity goals.

Campuses with greater success often had IR staff play a role beyond collecting and "crunching" data. Their interpretation of data also contributed to telling the story of progress and challenges.

Who Gets to Hear the Story

Many campuses were challenged in using institutional data to advance the work of the CDI. Data were not always shared openly out of fear of damage that could be incurred when the information was viewed negatively or when there was lack of progress. This fear sometimes impeded efforts to keep all campus constituents informed and involved in diversity efforts. Some institutions lacked a process and an infrastructure to analyze information and make it broadly accessible.

Work with the campuses also indicated that the communicator's knowledge about diversity and level of authority influenced the flow and interpretation of information for purposes of institutional learning. Also revealed were efforts, at times, to suppress information by those responsible for aspects of the work, due to fear that lack of progress would reflect badly on their professional standing. Finally, the CDI campuses were encouraged to utilize their six-month

reports as opportunities for organizational learning. When teams developed reports to serve the campus, they moved from compliance mode to learning mode. They not only intended for a wider audience to have access to the data, but also expected to obtain broader feedback to guide change.

Who Gets to Provide Feedback About (or Validate) the Story

A difficult aspect of organizational learning and communication for the campuses was structuring a feedback loop where different constituents could react to data and translate it into individual and institutional action. Institutions struggled to design effective infrastructures for facilitating two-way communication. Open forums, for example, provided opportunities for multiple constituencies to give feedback, but systems to capture and process the feedback were often not in place. Efforts to disseminate findings and process feedback that were not perceived to be genuine negatively influenced the effectiveness of communications systems and hindered campus diversity goals.

The capacity of the campuses to deeply engage diversity evaluation for organizational learning in ways that facilitated institutional change is still unknown. The CDI and the related evaluation process required participants to use data and evaluation. Whether these processes will be sustained remains an open question. Five years from now, would a visitor who asked the president how the campus was doing on diversity receive an institutional perspective that reported broad and deep progress on outcomes or would the visitor simply receive glowing descriptions of people and programs?

IMPACT OF IRVINE EFFORTS

The fifth question in the Impact Study concerned the impact of the Foundation's efforts on the changes that emerged. While it may be self-serving to the ERT and to the campuses to affirm the value of the Foundation in the CDI Evaluation Project and its outcomes, this section provides a critical reflection on the Foundation's role. The findings section analyzes some of the Foundation's strategies and their impact. It was apparent that some of the strategies and approaches advanced by the Foundation were successful, and these can be offered as promising practices for other foundations as well as for the campuses themselves.

Findings: Impact of Foundation Strategies

Leverage and Focus

The availability of grants, especially relatively large grants, made a difference in terms of the weight these efforts carried on campus. In most cases, the grants provided leverage and focus. Funding allowed institutions with limited resources to build capacity in the form of added staff and programs that might not have been possible otherwise. In many cases, strategies or approaches that proved to be successful are now being sustained on virtually all of the campuses. Large grants also permitted the ERT and Foundation staff to ask institutions to think intentionally and strategically about how they might link their diversity efforts to core institutional functions and to institutional-level change. However, for some institutions, the CDI remained a separate effort that was not well integrated into ongoing institutional practices.

The self-study and grant proposal development process developed by the Foundation, along with the technical assistance provided, was very important to the success of CDI efforts on the campuses. On several campuses where this process was skipped or hastily done, the weaknesses in the proposals haunted the campuses for the entire period of the grant. At its best, this reflective proposal development process started a campus on a path of using data to evaluate its status rather than simply generating a list of programs. It also helped campuses that had little capacity for data generation and interpretation (often lacking functioning IR units), to build this capacity into campus budgets post-grant.

From Compliance to Learning

It was a very intentional and difficult effort to move campuses beyond addressing reports to Irvine and to asking Irvine for what it wanted—that is, moving them from compliance to learning. In the end, it appeared that most campuses came to understand the distinction. Compared to earlier reports on diversity work funded by the Foundation, the final CDI reports were much richer in terms of information about institutional change and did not simply tally individual projects or program beneficiaries.

Several other factors contributed to this shift as well. Focusing on the question “How would you know if you are making progress?” rather than focusing on evaluation language and methodology was important. Providing networking and technical support was also key. Bringing the CDI campuses together was useful for participants for information sharing, support, and

feedback. It became apparent, however, that while the CDI evaluation seminars were focused on helping campus leaders monitor progress, they needed additional information and consultation about specific diversity efforts, such as faculty hiring strategies. Supporting attendance at conferences was an effective way to help participants learn from efforts occurring nationally.

Providing consultation early on also helped campuses frame proposals that addressed institutional level issues. Subsequently, the ERT member assigned to each campus was available on an ongoing basis. Some campuses made greater use of this resource than others.

Impact of the Funding and Support Process

There were a number of elements related to the funding and support process that influenced campus efforts as well.

Building on Prior Grants

Many campuses appeared to “begin anew” using their CDI funding until they were reminded to build on earlier efforts. A review of the final reports from earlier grants suggested a real shift due to the focus of the CDI on organizational learning and institutional-level change. Instead of reporting largely on programs and individuals who benefited from funds allocated, the current final reports were much more likely to report progress on institutional change.

The Rationale for Funding

It appeared that the grant allocations were not always related to institutional commitment, size, or mission. As a result, some of the grants were much larger than might have been warranted, but were based on historical relationships between the campuses and the Foundation. Other campuses with greater need, focus, and commitment to change received smaller grants.

The Role of the Program Officer

The program officer helped foster outside accountability and brought the leverage of the Foundation to bear on campus efforts. The program officer also helped to focus institutional attention at times and provided technical assistance throughout the grant period.

Timing

The expectations of deep and broad institutional change over a three-year period were not entirely reasonable. Moreover, one-half of the campuses were still working at these efforts as of early 2006. Hence, while a three-year grant might allow for the development of programs, it was not enough time to make measurable change given the new focus on institutional-level change. Analyses revealed that the speed with which campuses began to implement their efforts was dependent on their academic calendars. Campuses that were awarded grants in January or March could not immediately begin implementation because much of that academic year was complete.

Organizational Learning

This was an important approach with which to engage campuses. While it was still not clear that all campuses had developed their capacity to be learning organizations, efforts in this direction were more likely to sustain regular monitoring of progress than traditional approaches to evaluation. The Foundation's use of this approach in the CDI paralleled a number of other efforts to use this approach to increasing academic effectiveness (e.g., WASC accreditation, the Diversity Scorecard). Thus, the CDI served to reinforce other such efforts and was, in turn, reinforced by them.

Promising Practices: Foundation Processes

For Campuses

Several promising practices for campuses can be derived from Irvine's approach to the CDI. It was very useful for campuses in early stages of diversity work to start with a reflective component, which in the case of the CDI was a guided self-study. The use of a framework with key indicators assisted campuses in their efforts to monitor progress and to keep the work manageable. The model of requesting interim reports that were short and that reflected the campus-based framework for monitoring progress kept diversity efforts moving forward and provided a vehicle by which campus constituents could agree on areas of progress and areas where work was needed. Requesting that campuses choose a "location" (e.g., a task force, an existing group or groups, etc.) where discussions of the work and the interim reports would take place helped to facilitate campus action, as did working with senior leaders to support and use an evaluation framework to guide discussions about the data.

For Funders

The model of self-study, proposal development, evaluation plan implementation, and reporting on organizational learning is an important and viable one for other foundations to adopt.

Technical assistance to support the development of institutional capacity was critical in helping this model to work. Most campuses do not have the infrastructure or expertise in place to undertake efforts in evaluation, capacity building, or making meaning of data.

For Those Providing Technical Assistance

It was important for the ERT to help campuses place current diversity efforts in a longer time frame to minimize the chances that they would simply start anew. The use of the central question, “How will you know if you are making progress?” was useful in avoiding overly technical connotations of an evaluation methodology. Finally, encouraging the use of data to evaluate and point to the most pressing issues reduced the likelihood of a project or program approach to diversity.

LESSONS LEARNED

The final question in the Impact Study provided an opportunity to reflect broadly on the earlier sections of the report. Many of the elements that impeded or enhanced progress are captured below in a set of themes based on observations over the five-year period, and they relate to the lessons learned. Many of these themes can be seen reflected in the responses to the earlier questions. The themes capture factors that influenced campuses’ capacity to sustain their diversity initiatives beyond the life of the grant. Although these themes represented separate, distinct variables that helped in understanding the issues campuses faced in institutionalizing their diversity initiatives, they are interdependent, and the challenge for institutions was to establish a way to ensure that changes in one thematic area intentionally affected other areas in a positive way. Higher education leaders at all levels could use these emerging cross-campus themes as another institutional learning framework, to identify ways of improving institutional practices, policies, and structures around building institutional capacity for diversity and better serving underrepresented populations.

Centrality and Integration Are Key

A significant measure of centrality was how well linked diversity efforts were to core institutional functioning, including the ways in which diversity was part of the work of all faculty and staff. Some campuses still lacked sufficient integration of diversity efforts with “mainstream” issues of institutional planning, effectiveness, accreditation, budget, and overall mission. While there was progress in linking diversity to what it means to be a successful institution in California in the 21st century, diversity efforts were too easily moved to a parallel path where they proceeded without the same level of support. The most successful campuses made greater strides toward integrating diversity with core institutional functions.

Linking diversity to campus mission was critically important. A number of the campuses deeply connected diversity efforts to mission rather than having diversity as an add-on statement. Some campus missions seemed better suited for this linking than others, and institutions that made deeper connections to core mission and culture seemed more likely to be able to sustain these efforts over time.

Linking diversity to strategic planning was also critical. More strategic planning and WASC documents now have diversity embedded as part of the strategic goals of the campus, in much the same way that technology capacity might be embedded. Given the demographics of California, embedding diversity deeply in the institution was key to survival and viability for some campuses. For others, it spoke to the institution’s credibility in terms of mission, links to neighboring communities, or a mandate to develop leadership in and for our diverse society. Thus, seeing diversity embedded in key documents was both an indication of the depth and breadth of efforts at a campus as well as part of a strategy for sustaining these efforts. Linking diversity to institutional goals and priorities and to WASC efforts also helped campuses avoid “projectitis,” where numerous diversity projects crop up but lack synergy and coherence.

Embedding diversity into the scholarly interests of faculty, into the development of the curriculum (in both general education and the majors), and into new approaches to pedagogy were essential for sustaining and deepening diversity as a core part of educational effectiveness and institutional excellence. At the same time, making diversity central to student learning and success—the degree to which different racial/ethnic groups were thriving academically and all students were developing the competencies to function in a diverse society—complemented faculty work. The “academic work” of diversity was and remains critical to its success. This

intellectual core also served to draw URM students into the graduate school/faculty pipeline and engage new URM faculty more deeply on campus.

Alignment

A challenge to institutionalizing campus diversity initiatives was aligning them with an institution's vision (rationale and motivation for action), mission (the focus of the institution's work and a general reflection of its core values and beliefs), and institutional culture (behaviors generally manifesting core values and beliefs). Not surprisingly, diversity initiatives had greater potential for success when the organizational culture, institutional mission, and the diversity initiative were aligned. In this way, the diversity work would not run counter to the main direction of the campus or encounter as much resistance. Moreover, when aligned, the organizational culture actually reinforced diversity efforts and vice versa.

Diversity as an Imperative

When technology began to make sweeping changes in society, many campuses—even those with few resources—understood the need to build an infrastructure for technology and to build capacity for students, faculty, and staff to be successful in employing technology in light of societal needs and expectations. Technology is an essential element of institutional life today and necessary for viability. Change and sustainability were more likely on campuses that understood diversity in a similar way. When diversity was a desirable goal but was largely disconnected from any requirements for institutional success and excellence, it was likely to result in programs and activities that left central processes, such as hiring and even admissions, unexamined and unchanged. In the University of Michigan cases, the Supreme Court affirmed diversity's compelling national interest and left to campuses the mandate to locate diversity in their missions and throughout their core functions.

Explicit Framework and Process for Monitoring Progress

Every time campuses had a diversity “incident” or started an effort to engage diversity, a conversation emerged as to whether there had been progress made on diversity. These

conversations often included selective evidence for or against progress depending on the perspective of the individual or group. Having an agreed-upon institutional framework and data for monitoring and analyzing progress focused campus efforts, provided a shared basis for identifying progress, and highlighted areas in need of improvement. A framework created an opportunity for an evidence-based approach geared toward educational effectiveness and institutional capacity building. Monitoring diversity in the way one would monitor budget changes was essential but not yet deeply embedded.

Moreover, few campuses had sufficient faculty or staff with the competencies or experience in diversity to have an impact on decision making or to reliably make meaning of the data. The credibility and reliability of this process depended on engagement and participation at various institutional levels. Reaching out to diverse communities and developing effective communication strategies were underdeveloped areas that will be important to address in the future.

Leadership

Maintaining a cadre of leaders (faculty, staff, and students) throughout the institution who were active in diversity efforts was essential for high-quality decision making and sustainability. The lack of racial/ethnic diversity among staff, faculty, and senior administrators on most campuses remained an impediment to change. Developing a position with access to core institutional decision making was one way to provide both continuity and depth in sustaining diversity efforts. Creating a Chief Diversity Officer position was a promising approach when done well.

An Inclusive and Differentiated Approach to Diversity

While campus diversity was certainly improved by hiring and enrolling individuals who differed in terms of field of interest, point of view, race/ethnicity, socio-economic status, gender, physical/learning ability, sexual orientation, religious background, and country of origin, campuses needed to be clear that any aspect of diversity required an assessment of how it would be engaged in institutional practice. Diversity needs to be both *inclusive* and *differentiated* so that aspects of diversity are understood in terms of particular historical contexts and in terms of particular ways they may play out in a campus environment. For example, adding issues of globalization to the curriculum and internationalizing the faculty may be important, but these do

not substitute for building the institution's capacity to function effectively in terms of domestic racial/ethnic diversity. Issues concerning sexual orientation may highlight concerns about climate, policies, or the curriculum, but it is not usually a factor in terms of faculty hiring in the way that race/ethnicity can be. In the CDI, some campuses collapsed data on international and domestic racial/ethnic groups in ways to suggest growth in people of color, when in fact such growth was mainly a result of hiring international faculty or admitting international students. There may be numerous reasons for doing this, but doing so runs the risk of creating suspicion and distrust when changes are described in ways that do not match reality. All of these aspects of diversity are important, but they are not substitutes for the presence of URM students, faculty, and administrators, a group with a long history of exclusion from the academy.

Developing this ability to both disaggregate and differentiate aspects of diversity will become increasingly important as the complexities of diversity—in terms of other underrepresented populations, multiracial populations, and diversity within communities—grow in significance. In addition, regardless of the level of inclusiveness developed in an institution's approach to diversity, staying focused on issues of equity and success will also prevent efforts from focusing on so many things as to impact very few.

Differential Impact of Diversity Work

One recurring theme throughout the project was the differential impact that diversity efforts had on people of color, and underrepresented people of color, in particular. URM faculty and staff often shouldered a large portion of responsibility for diversity work on the campuses. These individuals were clearly important to the success of URM students and of the institution, but they were disproportionately called upon to mentor URM students, serve on numerous campus committees, and even assume public leadership in a crisis. Paradoxically, as campuses make diversity more central, the possibility of this burden increases because there are not sufficient human resources developed to contribute expertise, commitment, and perspectives that institutions now require.

Likely outcomes of consistently being called upon to “go above and beyond the call of duty” include burnout and departure, especially if such efforts are not recognized or rewarded and if it is not clear that efforts are making a real difference at the institutional level. These dynamics have significant costs for those who are committed to advancing diversity efforts.

Many campus leaders do not understand these dynamics well enough nor do they acknowledge or respond to them adequately.

Debunking Myths

It was not uncommon for there to be elaborate discussions on campuses about the reasons for a particular failure related to diversity. For student success, issues of K-12 preparation emerged in absence of any examination of institutional practices. For URM faculty hiring, there were standard explanations about availability, desirability, fit, and salary. There was the oft-told narrative about the URM faculty member who was hired away or who failed to accept a very desirable offer. These excuses and stories served as self-fulfilling prophecies for failure and lack of progress. Indeed, the promising practices that emerged suggest that institutions can and must interrupt these narratives in order to move to a record of success and progress. However, the myths themselves often served as impediments to getting new information and to trying new approaches.

Effective Educational Practices

High-quality educational experiences that tapped students' backgrounds and experiences enhanced student success. Absent powerful educational practices, traditional factors related to attrition and failure emerged. Educational excellence in engagement, high expectations, and effective pedagogies were essential for achieving equity, and they are the hallmarks of educational effectiveness generally.

Intra-institutional Collaboration

Consistent with work across the country, it was apparent that cross-institutional collaborations—between academic affairs and student affairs, between and among academic departments, between faculty and administrators, between student groups and other constituents, and between IR and other segments of the campus—were critical to creating synergy among resources and efforts and to building institutional capacity. In addition to the necessity of within-institution collaboration, making use of national resources was also important.

Sustaining Work over Time

Campuses that achieved some level of success in a year or two of focused efforts often did not sustain these efforts over time, and furthermore, rested on the accomplishments of prior years. Drawing on institutional and personal histories for learning and avoiding mistakes of the past were especially important to maintain momentum. This was particularly true during personnel transitions, which occurred frequently on the campuses throughout the grant period and involved roles ranging from line staff to the president.

Progress Takes Time

The CDI Evaluation Project provided evidence of change, often at the level of infrastructure, being put into place. Conversations were richer and deeper on a number of campuses. Some of the changes made during the grant period have not yet yielded dramatic quantitative changes. For some of the campuses, however, there was significant optimism that with continued focus and leadership, these changes may yield demonstrable results.

Organizational Learning Does Not Come Naturally

While taking an organizational learning approach to monitoring progress on diversity is very important, organizational learning, like diversity work, interrupts many usual practices and thus is not simple to embed in institutional culture. Indeed, like diversity efforts, the development and use of data often occurred on parallel paths to decision making and may or may not have been engaged in a coordinated fashion.

Attractiveness and Institutional Capacity

Ultimately, engaging diversity efforts at the institutional level will build campuses' capacity to function in an increasingly pluralistic society. In so doing, campuses will become more attractive to diverse communities, begin to see more diversity reflected in education and scholarship, find new ways to serve a variety of communities, develop new approaches to research, and help develop much needed knowledge for the 21st century. Institutions that were effective at engaging diversity broadly and deeply in the implementation of their missions were, in the end, more attractive, credible, and robust.

CONCLUSION

Many of the CDI campuses intensely engaged in efforts to make diversity more than the sum of the parts of the diversity framework. They also attempted to become learning organizations where systematic information, gathered and discussed, provided the means to monitor progress over time. There was progress, more modest on some campuses than on others, in the relatively short period of the CDI. Indeed, the summary charts show positive change in access and success of URM students for the vast majority of campuses. The same could be said for building institutional capacity, though here the depth of the changes may be more tenuous. There was real progress in reducing or eliminating gaps in some areas of student success as indicated by persistence and graduation, in reaching out to diverse communities, and in continuing efforts to diversify the faculty. Increased access and success for Latino/a students on these campuses, along with increased success for African American students on many of them, cannot be understated, though the study was able to use only the most basic of indicators. It is clear that when diversity efforts are directed to the educational and academic mission, the faculty can be very engaged in curriculum transformation and in directing research toward important societal needs with respect to diversity. Outside entities—funders, accreditors, and external programs—also provided the impetus to focus institutional attention, develop better data and data availability, and build institutional capacity to make diversity a core part of educational excellence. All of these things indicate that change can take place when campuses are strategic and intentional.

At the same time, there was much less progress in substantially changing the demographic profile of these campuses. The lack of racial/ethnic diversity among the administrative leadership, the faculty, and the boards of trustees (this study did not look at gender) makes it more likely that the kinds of perspectives, information, and even priorities that diversity requires will not be on the table during decision making. This lack of diversity has significance not only for the quality of decision making but also for the credibility of institutions in dealing with increasingly diverse campus and community constituents. The lack of diversity at all levels limits the institution and also places an undue burden on those trying to advance diversity efforts. There is urgency here—during the time of the CDI, for example, the data

suggests that one-third of the faculty across these campuses had been replaced, and hiring of this magnitude rarely occurs in higher education.

There is also a growing list of promising practices. Some mirror work occurring nationally and others are fresh additions to the field. The key to sustaining and building on the CDI work to date is integrating diversity work with organizational learning, and then embedding both processes into core efforts to improve institutional excellence and effectiveness. Leadership, a framework, relevant indicators, and deep connection to an institution's mission and core functions are critically important for sustaining these efforts. Significantly, in all of the themes and findings, there is a focus on educational excellence and strategies for fostering excellence in student success, in identifying talent for hiring, and in building institutional capacity. The work of diversity, in the end, is the work of achieving educational and institutional excellence. Of course, the ultimate test of the impact of the CDI will be whether visitors to these campuses will find continued progress at a later point in time. There is reason to believe that with the use of the capacities developed to date, a framework to monitor progress, and intentionality across campus, they could.

Higher education has an opportunity and responsibility to contribute to the health and well being of individuals, communities, and society. Eliminating achievement gaps, developing educational communities that are sophisticated in engaging the opportunities that a diverse society brings, producing the relevant research on broad societal and global issues, and building the diverse leadership for the future requires deep and sustained institutional change—change that can be seen through this study, but which must be sustained if it is to truly take root.

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APPENDIX ONE: METHODOLOGY

Cluster analyses were chosen because this method permitted an assessment of the progress toward the goals of the CDI while acknowledging the different strategies and approaches chosen by the twenty-eight campuses. In this way, cluster analyses also provided an opportunity to identify common themes and lessons learned. They served a strategic goal in that they permitted the evaluators to assess the overall impact of the CDI in spite of the variation among twenty-eight different case studies (W. K. Kellogg Foundation 1998).

Data Sources

Baseline Data

Using archival information, an initial picture of institution-wide diversity efforts was developed for each campus to put their CDI work into a larger context. These data provided a qualitatively and quantitatively defined baseline for the institution at the beginning of their CDI funding period. For the cluster analyses, the baseline year was established as 2000 for all campuses.

Previous Reports to the Foundation

Campus reports to the Foundation from past diversity grants were reviewed.

Institutional Overview

The Foundation's grant making process required most campuses to develop a written narrative that described the past and present status of diversity efforts and included significant amounts of data. The overview could also include WASC self studies, strategic plans, and other relevant documents.

Nationally Derived Institutional Data

A database was developed that established a common set of IPEDS data points for each campus.

Interviews and Observations

ERT members documented initial impressions of the campuses at the start of their CDI grants, gleaned from the campus CDI teams and Irvine staff. These impressions were followed by

observations concerning the climate for diverse populations, leadership involvement, and other relevant issues. This information became part of the qualitative baseline for each campus.

Institutional Indicators

Institutional indicators were developed to consider some of the ways that institutional change might be described and monitored (these indicators were linked to the diversity framework described in the main text). While there was no assumption that all of the campuses would have developed information on all of the indicators, there was considerable variation in terms of available data. Still, these variations could be accounted for using the cluster analyses methodology. Campuses that developed surveys were encouraged to include a question concerning perceptions of “institutional commitment to diversity” as a way to reflect campus-wide perceptions, but most did not have such an item. These campuses were also encouraged to disaggregate data by race/ethnicity, gender, and socio-economic status when possible.

Longitudinal Data

Basic data concerning level of student, faculty, staff, and governing board racial/ethnic diversity for the CDI campuses were collected during the period of the recent grants (and over a ten-year period of Irvine’s grant making on diversity—1994 to 2005). Many of these data were collected from the national IPEDS database. The ten-year period represents the years during which the Irvine Foundation was deeply engaged in campus diversity efforts and during which data were available. With the institution as the unit of analysis, the data elements below were included for the period of the current grants.

- Student Enrollments
- Student Retention
- Faculty Racial/Ethnic Diversity
- Board Racial/Ethnic Diversity
- Administrator Racial/Ethnic Diversity
- Strategies Employed

Comparative Data

Data on the racial and ethnic diversity over time was collected from a set of other California institutions and national data as appropriate and available. Diversity within the CDI campuses emerged as an important focus for all the analyses.

Formative Aspects of the CDI Projects

Part of the study of the impact of the CDI involved developing an understanding of the campus processes being used. For this purpose, the six-month reports to the Foundation, institutional data, and liaison field notes provided ongoing data. In addition, liaison field notes and the concluding campus visits helped identify how ERT activities influenced the actions of the campuses. Finally, a subset of the final reports for the CDI campuses was compared with final reports from earlier grants.

Campus Site Visits

The purpose of the concluding site visit was to discuss the CDI experience and its evaluation with campus representatives and to collect qualitative data to aid in evaluating the impact of the CDI. A three- to four-person team visited one-half of the campuses to develop a rich picture of several dimensions deemed important to the success of campus efforts. Campuses were selected for site visits with consideration of their institutional mission, level of selectivity (as determined by their endowment), timing of their grant, and the level of diversity within the student body. Each campus was debriefed about the team's observations at the end of the site visit and received a letter that captured the observations.

Summary Documents

A summary document was prepared on each of the twenty-eight CDI campuses using case study methodology and drawing on all of the data sources described. Institutional change (including sustainability, depth and breadth of institutionalization), effective strategies, lessons learned, and the impact of the Irvine strategy were the key concerns of each summary. These documents summarized the core of the data used to conduct the overall impact study analysis.

Although each campus used different instruments to monitor aspects of their efforts, both the institutionalization matrix and institutionalization rubric allowed for comparisons even when particular data sources were different. A cross-campus analysis was developed to address the questions described above.

Data Analyses and Instruments

Institutionalization Analyses

A key goal of the CDI was to facilitate change with respect to diversity in ways that would foster the success of URM and low-income students and build institutional capacity to function more successfully with respect to diversity. A central concept related to institutional capacity is the degree to which diversity has been or is being institutionalized throughout the campus.

Developing a generic tool to evaluate institutional change was difficult because of the diversity among institutions, the complexity of each institution, the different points of development, the role of multiple resources and efforts, and the challenge of making judgments about these observations. Nevertheless, the body of literature concerning organizational change, and change in higher education in particular, has begun to develop analysis frameworks that have been useful for this effort. A study conducted by the American Council on Education (ACE) and funded by the Kellogg Foundation proposed using a depth and breadth analysis to capture the level of change on a particular campus (Eckel, Green, and Hill 2001). In addition, a prior Irvine Foundation review of its diversity efforts (Smith 1997), and the results of the national evaluation study of diversity (Musil et al. 2000) suggest that depth, breadth, and institutionalization can be reflected by a number of indicators.

Two instruments were developed for this project to capture the status of diversity efforts in terms of the depth and breadth of institutionalization. This approach was also used to look at change over time, and to make comparisons among the CDI institutions.

Institutionalization Matrix

A 3×3 matrix was prepared and used for each campus at the beginning and end of the CDI evaluation effort. The rater was asked to evaluate how deeply embedded and how broadly based diversity was on the campus by placing an "X" on the matrix.

Institutionalization Rubric

A five-part rubric (with each part having a score of 1 to 10) were created to determine the level of institutionalization of diversity by asking the degree to which the items below were evident relative to campus diversity efforts.

- GOALS—Widely accepted and known as an institutional goal
- RESOURCES—Resources (human, financial, etc.) exist to mount the effort
- CENTRALITY—Connected to core institutional activities (rather than isolated activities for a few)
- LEADERSHIP—Leadership commitment at all levels Organized and developed through some institution-wide mechanism (rather than an isolated committee)
- CAPACITY—Capacity exists to undertake and sustain the initiative

These instruments provided a way to look at the degree of institutionalization at the beginning and at the end of the CDI. At least two people from the research team assigned rubric values to a subset of the campuses to assess reliability. The overall reliability of the rubric scores was 70%, suggesting reasonable reliability among the raters.

Descriptive Analyses

Each CDI campus was described using a rich description of their Irvine-related efforts over the period of the CDI grant. These descriptions were analyzed to identify the strategies being used, resources committed, and alignment between strategies, resources, and goals.

APPENDIX TWO: CDI IMPACT STUDY ANALYSIS MATRIX

CDI Impact Study Analysis Matrix								
Impact Study Questions Note: The first question is given in bold and stated in the most general form, while the subsequent questions provide more specific guidance. All of the data sources helped provide answers to the general question.	Data Type/ Data Source ⁶⁶							
	Qualitative ⁶⁷					Quantitative		
	Institutional Overview/ Proposal/ Evaluation Plans	Other Campus Documents	Interim/ Final Report Narratives	Campus Visit/ Liaison Observation Notes	Institution-alization Matrix	IPEDS/ Campus-generated	Institution-alization Rubric	Budget Analysis/ Strategy Documents
What is the status of the success of underrepresented populations in Irvine-funded institutions? a. How is student success being defined? b. How has success changed over the fifteen years of the CDI and the five years of the most recent initiative?	X	X						
What is the status of Institutional Capacity for diversity? a. Have institutions changed? If they have, how have they during the period of the most recent Irvine grants compared to the previous ten years of Irvine grants and to other institutions? b. How are change and the institutionalization of diversity efforts influenced by the dynamics of campus context, its developmental stage, and its external and internal circumstances?			X	X	X			
What goals and strategies are part of the campuses' Irvine-funded efforts? a. What patterns emerge regarding effective practices and strategies? b. How were Irvine resources used?		X	X	X				X

⁶⁶ Indeed, many data sources were used to answer most of these questions. This matrix is designed to indicate the major sources from which data were collected to answer the more specific questions posed.

⁶⁷ While interim and final reports contain quantitative data about progress, for purposes of this matrix the parts of the reports are separated out such that the quantitative data are given as IPEDS and campus reported data.

Impact Study Questions (cont.)	Data Type/ Data Source							
	Qualitative					Quantitative		
	Institutional Overview/ Proposal/ Evaluation Plans	Other Campus Documents	Interim/ Final Report Narratives	Campus Visit/ Liaison Notes	Institution-alization Matrix	IPEDS/ Campus-generated	Institution-alization Rubric	Budget Analysis/ Strategy Documents
What has been the impact of Irvine-funded efforts? a. What might have happened if there had not been Irvine funds? b. What role has Irvine played in terms of the presence of Irvine support (e.g., strategies of the Foundation, new processes, the role of evaluation and the activities related to evaluation)? c. What is the role of external sources of funding in facilitating change?			X X	X X				X
To what extent does <i>how</i> the campus implemented CDI activities (process) enhance or impede goal attainment? a. What mechanisms seemed to facilitate progress toward campus goals?		X	X	X				
In general, what lessons have been learned? a. To what extent can the lessons learned be used at other California campuses? b. Which lessons can be used to shape grant-making strategies of the future?			X	X	X X	X X	X X	X X