



**Charles R. Drew University of Medicine and Science  
Special Visit Self-Study Report**

*Submitted to*

**WASC Senior College and University Commission  
(WSCUC)**

*Submitted by*

David M. Carlisle, MD, PhD  
President (CEO)

Carol S. Zajac, PhD  
Interim Provost (CAO)

William L. Shay, PhD  
Assistant Provost (ALO)

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Charles R. Drew University of Medicine and Science  
1731 East 120th Street  
Los Angeles, California 90059  
[www.cdrewu.edu](http://www.cdrewu.edu)



**Excellence of performance will transcend artificial barriers created by man.  
–Dr. Charles R. Drew**

***Vision:*** *Excellent health and wellness for all persons, peoples and communities, in a world without health disparities.*

***Mission:*** *The University develops a diverse group of health professional leaders who seek social justice, promote wellness, provide care with excellence and compassion, and are uniquely qualified to transform the health of underserved populations through outstanding education, research, and clinical services in the context of community engagement.*



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## I. Nature of the Institutional Context and Major Changes Since the Last Visit

Charles R. Drew University of Medicine and Science (CDU) is pleased to submit this special visit self-study report to the WASC Senior College and University Commission (WSCUC) in response to its July 5, 2011 correspondence wherein the Commission among other things received the Special Visit Team Report and removed the University from probation. Dr. David M. Carlisle was named President and CEO of CDU in May 2011 and began his service at the start of the current eight-year WSCUC accreditation cycle on July 1, 2011. Under his leadership and with oversight by the Board of Trustees, the University is undergoing major transformational change—moving from a primary focus on research to an integration of academic programs that is foundational to achieving student success and financial sustainability. Both positive and adverse effects occur in the midst of any large-scale change, and the outcomes of CDU's reorientation are no exception. The current situation of the University must be understood in the context of a change in strategic direction focused on academic excellence, student success, financial sustainability, institutional excellence, community partnership and clinical service while staying true to the founding community vision to create education and health services access in South Los Angeles and other communities that are underrepresented, under-resourced and underserved.

While these transformational changes have been implemented more rapidly in some areas than others, the University has developed a strategic plan and accompanying academic plans with objectives and timetables and assigned persons responsible to keep the University on a positive trajectory and to ensure that CDU students are educated and trained as health providers who deliver care with excellence and compassion. The University has also implemented a budget planning and review process to ensure that the University is fiscally responsible, and operating within its financial means. (CFR 3.7)

### A. University Mission

The mission of CDU is to develop *“a diverse group of health professional leaders who seek social justice, promote wellness, provide care with excellence and compassion, and are uniquely qualified to transform the health of underserved populations through outstanding education, research, and clinical services in the context of community engagement.”*

CDU carries out its mission by educating and training the next generation of health professionals in a unique environment. With a blend of pedagogy, research, community outreach, and clinical service, the University prepares students and graduates to address health disparities and the multiple needs of medically underserved populations. CDU provides students with a distinctive local clinical training experience in socio-economically and culturally diverse communities. (CFR 1.1)

### B. University History and Initial Accreditation

CDU is a private, non-profit, non-sectarian, minority-serving medical and health sciences institution, and is located on approximately 11 acres of land in the Watts-Willowbrook section of south Los Angeles. The institution was founded in 1966 as a post-graduate medical school, following nearly a decade of community-based advocacy for improved medical services, and in the immediate wake of civil unrest in area neighborhoods. The University is designated by the U.S. Office of Civil Rights as a minority-serving institution, and is recognized by the U.S. Department of Education (DOE) as a historically black graduate institution (HBGI under Title III B). CDU is the only designated minority-serving health-sciences university in a county with a population of more than 10 million residents, 70 percent of whom are from minority



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communities. The University is also a charter member of [Hispanic Serving Health Professions Schools](#), a national non-profit dedicated to improving the health of Hispanic people through research initiatives, training opportunities, and academic development.

The University has made a significant contribution to the diversity of the nation's healthcare workforce by graduating more than 600 physicians, 2,000 physician assistants, 2,500 physician specialists, and numerous other health professionals. In addition to direct patient care, CDU graduates work in research centers and university and government settings to redress health disparities and promote health equity. Former students, faculty, and research and clinical fellows have become national leaders in higher education, government service, research institutions, and clinical enterprises. CDU was first accredited in 1995 by the governing commission of the Western Association of Schools and Colleges (now WSCUC).

### C. Educational Programs

At Charles R. Drew University educational opportunities range across a continuum from pipeline (pre-college) to post-secondary degree and continuing education programs. Pipeline programs are coordinated under the Office of the Provost and include the Saturday Science Academy II, Project STRIDE (Students Training in Research Involving Disparity Elimination) and STEP-UP (Short-Term Education Program for Underrepresented Persons). Post-secondary degree and certificate programs are organized into three separate colleges/schools: the College of Medicine, College of Science and Health, and Mervyn M. Dymally School of Nursing. All three primary academic units also offer post-graduate and continuing education programs. (CFR 2.1)

The medical education (MD) program in the College of Medicine (COM) is conducted in partnership with the David Geffen School of Medicine at the University of California, Los Angeles (UCLA), and is registered by WSCUC as a UCLA affiliate degree program. Base funding for the Drew/UCLA program is provided through California state legislation (SB-1026) and is brokered and supplemented by the Regents of the University of California via UCLA. Two program tracks are supported. The first track, a four year MD program, consists of 24 students per cohort who complete their first two years of basic science and clinical applications training at the UCLA Westwood campus, and their third and fourth years at the CDU campus and in rotation with clinics and hospitals affiliated with the University. The second track is known as PRIME (for Program in Medical Education). This track is open to an additional four students per cohort for a five-year, dual-degree program to earn both an MD and a master's degree in an area that complements their medical profession training and the mission of the University to promote healthcare leaders.

The College of Science and Health (COSH) offers an associate degree in Radiologic Technology, a baccalaureate degree and post-baccalaureate certificate in the Department of Health and Life Sciences, and a master's degree in Urban Public Health. Teach-outs of associate degree programs in health information technology and in pharmacy technology were completed recently; these programs were closed as part of a major re-structuring of COSH degree programs in 2010-11 due to concerns over student outcomes and financial viability. A sub-change proposal for a physician assistant (PA) program at a master's degree level is on hold with WSCUC "*pending receipt of formal internal approvals.*" CDU will conduct its final vetting and approval process after a recently recruited PA program director finalizes the initial curriculum design. Both WSCUC and the Accreditation Review Commission on Education for the Physician Assistant ([ARC-PA](#)) must approve the new physician assistant program before any student matriculation, which is expected for fall term 2016 at the earliest.

The Mervyn M. Dymally School of Nursing (SON) offers a master's of science in nursing (MSN) with three tracks: an entry-level master (ELM), family nurse practitioner (FNP), and advanced



nurse educator (ANE) track. SON also offers post-master's certificates in ANE and FNP. The ELM track is designed for non-nurses holding a baccalaureate or master's degree in another field, and its students are eligible to sit for the NCLEX-RN examination and the clinical nurse leader (CNL) certification examination. The FNP track is designed for certified nurses who hold a baccalaureate degree and want to earn a master's degree in nursing. Conversely, the certificate option in SON is open to nurses with a master's degree who are interested in completing course requirements leading to FNP certification.

#### **D. Student and Faculty Profiles**

As of the fall 2014 enrollment snap shot on 10/15/14 for the [Integrated Postsecondary Education Data System](#) (IPEDS), there were 603 students enrolled in CDU degree or certificate programs (121 in COM, 189 in COSH, and 293 in SON). Reflective of the mission of the University and the demographics of California's increasingly minority population, the student body is highly diverse. The student demographic breakdown for race/ethnicity is 19 percent Asian, 36 percent Black, 17 percent Hispanic, 5 percent White, and 23 percent other (including 92 students who self-identify as "multiple" race/ethnicity).

Faculty diversity closely mirrors the student profile. The racial/ethnic composition of 271 CDU faculty members is: 38 percent Asian, 23 percent Black, 5 percent Hispanic, 22 percent White, and 12 percent Other. As of 11/1/2014, there were 56 full-time and 77 part-time compensated faculty members (totaling 81.64 FTE). The remaining faculty members (138 or 51 percent of total) receive no remuneration directly from CDU for their service. These voluntary faculty members include clinical practitioners and community health leaders involved in student learning, participatory research, and other activities advancing the University mission. (CFR 3.1)

#### **E. Major Changes Since the Last Visit**

CDU is in the midst of a major transformation from its origins as a community founded medical science institute in partnership with Martin Luther King, Jr. Hospital and UCLA, to an institution with a vision of serving South Los Angeles and other medically underserved communities as a small, private university. Since the last WSCUC site visit in 2011 and under the direction of its new President, CDU has moved strategically and incrementally to stabilize and solidify its operational foundation and to secure the future of its mission.

The original focus on the University was on research in, and care of, the local community. When President Carlisle took the reins in 2011, he concentrated on financial solvency, and provision of stable leadership through new Trustees and executive officer appointments. Significant accomplishments have been made. As an institution primarily offering graduate degrees, the focus of the University is on academic excellence and establishing an array of academic programs for students seeking a health professions education and who desire to practice as healthcare professionals in underserved communities. CDU continues its medical education program, offers excellent master's programs in public health and in nursing, and provides a baccalaureate-level health and life science degree that can serve as a precursor for admission to health professions education and training programs. Presently, CDU retains one associate degree program in radiologic technology.

Establishing CDU as a University of first choice for students with a focus on health care professions is essential. Each academic program seeks to attract students who are motivated by the CDU mission, increasing the focus of students on the needs of urban, underserved communities, and providing students with opportunities to develop the research and leadership skills that are necessary to make deep and lasting contributions to such communities. The



University is part way to this exemplary goal, never losing sight of its mission. The overarching focus is on students; to provide them with the best educational opportunity of its kind. CDU is concentrating on student success, academic quality, and faculty stability, all of which will lead to robust enrollments and increased retention and graduation, as well as licensure where appropriate. The trajectory is evident and the data presented in this report address the issues of concern to WSCUC with supportive documentation on what has been achieved to date.

Institutional transition and transformation is a noble aspiration and yet, CDU is as a phoenix rising from ashes, now established and continuing to develop as a private university with a public mission. We are excited about what has been achieved and appreciative of the opportunity to demonstrate significant progress on each issue identified for this WSCUC special visit. Major changes since the last WSCUC site visit include: (1) progressive financial stability with balanced budgets; (2) growth of student enrollment and support services; (3) turnover and recruitment of senior academic and business officers; and (4) extension of faculty security of employment and shared governance.

### **1. Financial Stability with Balanced Budgets**

Before 2011 the University faced the prospect of financial insolvency, and the success of CDU in securing financial viability by the time of the last WSCUC site visit was a primary factor in reaffirmation of accreditation. The 2011 WSCUC Commission cautioned, however, that the University remained at risk of losing accreditation if positive trends did not persist. As detailed in the 2013 interim and 2014 progress reports, CDU has fully stabilized its financial foundations with the fiscal controls and discipline required to maintain balanced budgets under a tuition-based business model. As further evidenced below, the University can also now count upon growing financial reserves and unprecedented philanthropic contributions that directly and indirectly support student success. (CFR 3.4)

### **2. Growth of Student Enrollment and Support Services**

Prompted by labor market demand for primary and allied health professionals, as well as the new Mervyn M. Dymally School of Nursing, student enrollments at CDU have increased by over 500% since the 2010-11 academic year, as measured by student headcount, student FTE, or student credit hours. The rapid growth of the school of nursing (SON) in particular has been deeply consequential. Relative to its first term of instruction in fall 2010 (with 18 initial students taking 259 credit hours), SON student enrollments increased by fall term 2013 roughly 15-fold to over 290 students (headcount and net FTE), and almost 13-fold to 3,605 student credit hours. In regard to financial outcomes, the resulting tuition/fees substantially bolstered the revenue side of budget balance sheets. Operational expenses also increased accordingly.

Supporting enrollment growth across the University of over 600 students and particularly in SON to a steady state of approximately 300 students necessitated comparable expansion of student support services to enhance and ensure student success. Before creation of a dedicated enrollment management services (EMS) office in 2010-11, there were only two staff assigned to cover student admissions, financial aid, and registrar functions for the entire university. EMS staff allocations since then have increased to ten FTE. This includes new positions for subject-area experts in admissions, registration and student records, financial aid and scholarships, personal and career counseling, retention coordination, and ancillary student services. The University is positioning EMS to provide effective student services and enhance student retention. Positive trends include: (i) expansive student scholarship and extra- and co-curricular opportunity; (ii) explicit budget allocations for student marketing and recruitment campaigns as of fiscal year 2015; (iii) implementation of financial skills and literacy programs; and (iv) updated



articulation agreements to increase transfer into undergraduate programs. This is especially critical for an institution such as CDU, which must depend on living within the means of a tuition-based business model for the foreseeable future.

### 3. Transition of Academic Officers

The organization charts of the University are presented in *Attachment I.01* and show the evolution of operational structures as manifest in new positions and new incumbents of established positions. The corresponding bio-sketches of the members of the CDU executive management team are provided in *Attachment I.02*. Dr. Richard Baker served as the Dean of the College of Medicine and the Provost of the University until June 2012. For an interim period and until Dr. Mary Boyce was recruited in July 2013 for a two-year Interim Provost position, President Carlisle served as the Provost of the University with administrative and operational oversight led by the former COO, James Main.

Dr. Boyce left her post with CDU a year earlier than expected in summer 2014. Therefore, CDU relied upon the national [Registry for College and University Presidents](#) to expedite recruitment of another Interim Provost in the guise of Dr. Carol Zajac. Dr. Zajac has extensive regional and professional accreditation experience from occupying senior leadership positions in a wide variety of higher education institutions (including medical school, community college, four-year institutions, and college-preparatory settings). Her primary responsibility is twofold: (1) to sustain the momentum and quality of the WSCUC self-study process and fully prepare CDU for the special visit; and (2) to co-chair the search committee for recruitment of a permanent Provost by summer 2015. The new permanent Provost will become the second in operational command for the University, as the first Executive Vice President of Academic Affairs. The prospective senior management organization chart of the University, reflecting re-configuration of the chief academic officer role, is presented in *Attachment I.03*.

A search is in process for the permanent Dean of the College of Medicine. Following the March 2013 departure of former Dean Gloria McNeal of the Mervyn M. Dymally School of Nursing (SON), the University named Dr. Shirley Evers-Manly (an Associate Dean) as the SON Interim Dean. On December 5, 2014, after a national search for a permanent SON Dean Dr. Sheldon Fields was appointed to the position. The University is planning to initiate a search for the Dean of the college of science and health given the resignation of Dr. Gail Orum as in late fall 2014. The Board of Trustees, executive management team, and faculty leadership of the University are aware of the significance of these management transitions, and remain vigilant in regard to maintaining continuity of operations. Just as the University has aligned its degree requirements to meet the changing needs of healthcare, these positions are aligned with a focus on strengthening our academic programs. Therefore the University has embarked upon a process to recruit permanent leadership who have the professional background, acumen and expertise that meshes with the cultural context and commitment to the CDU mission. A table that summarizes the status of senior officer searches is presented in *Attachment I.04*. (CFR 3.8)

### 4. Faculty Security of Employment and Shared Governance

WSCUC reviews repeatedly emphasize the need of the University to make good on its own commitment to ensuring faculty due process rights and establishing faculty contract guarantees. CDU addressed these issues on multiple fronts. Substantial policy progress includes: (i) consolidation of faculty peer review and grievance policy and practice; (ii) adoption of an integrated institutional base salary policy that attends to new federal requirements for sponsored fund management; and (iii) removing faculty from “at will” status as employees and codifying peer-driven due process for changes in employment status.



CDU senior executives and the Academic Senate leadership also collaborated on options for funding commitments to faculty. Major changes were needed to reduce the financial insecurity and resulting psychological stress of faculty. Faculty contracts effective the new calendar year offer full-time faculty a measure of security of employment for the first time in the recent history of the University, with new provisions for paid protected time and full funding guarantees.

The Office of the Provost also brokered consolidation of faculty support services, given persistent challenges in payroll processing for research faculty in particular. Improvement was pursued and achieved in several operational areas, including: (i) knowledge of salary plan policy and compensation factors; (ii) the functional utility of payroll processing applications; (iii) the technical expertise of faculty support personnel; (iv) the efficiency of inter-office workflow; and (v) the quality of workplace relations.

Extensive deliberations this past year concerning the trajectory of shared governance constitute the backdrop to decision-making about change in standard operating policy and practice. Interventions during calendar year 2014 in response to issues of transparency and good faith bargaining included: (i) formation of a faculty chapter of the American Association of University Professors (AAUP); (ii) joint sponsorship by the Provost and Academic Senate President of two rounds of external review on CDU shared governance systems; and (iii) a multi-stakeholder retreat on shared governance. Common objectives included education and outreach about best practices for shared governance, effective delegation of decision-making authority, and clarification of faculty due process rights. As a result of these initiatives, the office of the President proposed to the Academic Senate that a standing committee on shared governance be created with a first meeting early in the new calendar year and monthly meetings thereafter.

## II. Statement on Report Preparation

CDU formed four working groups to conduct the self-study process, draft narrative sections of the self-study report, and assemble supporting evidence. Three of the groups addressed a specific area of concern mandated for special attention by WSCUC in its Commission action letter of July 2011, in regard to financial, student, and faculty matters. The fourth group focused on academic infrastructure administration.

### A. Working Groups and Self-Study Process

The specific charge and composition (member names and affiliations) of each working group are detailed in *Attachment II.01*. The leaders of each group (a chair and two vice chairs) are active CDU faculty with only one exception; the vice chair role of the Controller of the University for the financial affairs working group. The members of each group comprise a cross-section of university stakeholders, including faculty, students, and staff plus one or more representatives of the [Executive Service Corps of Southern California](#) (ESC). ESC is a non-profit consortium of former executives who volunteer their services to other southern California non-profits for management coaching, consulting, and capacity-building. The ALO attended the sessions of all four working groups, which met routinely during calendar year 2014. (CFRs 4.5, 4.6)

The working groups proceeded in common through three main phases of analytical activity, yet each determined the self-study scope and methodology most appropriate to their respective areas of inquiry. The first phase of common activity was a gap analysis of CDU compliance with a particular WSCUC standard and its attendant criteria for review (CFR), followed by a thread analysis of Commission action letters, and then a final phase to craft vignettes which illustrate institutional challenges and progress. The analytical phase of the CDU self-study process was completed by early summer 2014, and culminated in a special joint session of the WSCUC



working groups on the evening of July 8, 2014. In addition to presenting their respective findings, the groups identified nine primary gaps or risk factors requiring deeper analysis and remedial action by a regular academic or business unit of the University. *Attachment II.02* provides the full details of their CFR gap and substantive thread analyses, which reach beyond the scope of this self-study report. (CFR 4.3)

### **B. Self-Study Report Consolidation and Vetting**

From mid-summer through early-fall 2014, the ALO and other Office of Provost personnel collaborated with the leadership of each working group to write up the results of the self-study process and to collate relevant evidence. Two kinds and rounds of report vetting were conducted during fall 2014. The first entailed preparation of an elaborated report draft for internal audiences; this long-form draft contained considerable contextual information and empirical detail to facilitate internal stakeholder review.

The second round of report preparation and stakeholder review entailed formal vetting and approval of a consolidated self-study report. The ALO drew upon extensive feedback from the first round of vetting to reduce the main body of the report to a short form for official WSCUC submission. The resulting present report was widely disseminated and underwent formal review and approval by college/school faculty governing bodies, the Academic Senate, Executive Management Team, and ultimately Board of Trustees. Student and staff governing bodies also had the opportunity to provide feedback on the draft document, and participate in the wider dissemination of self-study findings and site visit preparations.

The campus-wide rollout of the self-study results was organized as a poster presentation reception. This event was open to all stakeholders of the University, and was held on November 12, 2014 in the atrium of the life sciences research and nursing education building. Analogous to poster sessions at professional conferences, including the annual the WSCUC Academic Resource Conference (ARC), individuals could review the poster boards as they saw fit and directly engage working group representatives about the various vignettes on display. This approach appeals to multiple senses and learning styles, and was well received by presenters and participants alike. *Attachment II.03* contains a copy of the posters.

A mock site visit was held with two external consultants on December 5, 2014 and was treated as a 'full dress rehearsal' for institutional stakeholders. The consultants were accreditation experts in academic affairs and finance. Dr. Mary Boyce (the former CDU Interim Provost) also serves as a WSCUC accreditation consultant and she participated in the mock site visit as a neutral observer. The collective consultant feedback was helpful to this report's final preparation and preparation for the actual WSCUC special visit in February 2015. A copy of the mock site visit schedule and consultant bio-sketches are available in the document room.

The CDU Board of Trustees received the self-study report for final review and approval in its regular meeting of December 16, 2014.

### **III. Response to Issues Identified by the Commission and the Last Visiting Team**

This main section of the self-study report addresses the specific issues highlighted by the Commission for the CDU special visit in spring 2015. The narrative is fashioned as an extended dialogue with the Commission action letter of July 5, 2011, and the companion report of the special visit team. The dialogue is organized according to the major topics highlighted by the Commission for special scrutiny, and describes the nature and impact of actions taken by CDU to fulfill the recommendations of the special visit team in its [final report](#) of late February 2011.



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The WSCUC commissioners concluded that CDU had demonstrated satisfactory progress on issues of senior leadership and open communication, and they placed primary attention with interim checkpoints on business fundamentals. Therefore, the progress of the University since 2011 in the areas of Presidential and Board leadership and open communication are addressed below first and briefly (sections A and B). The subsequent update on financial sustainability, planning and management (section C) is similarly circumscribed, given the focus of the 2013 and 2014 reports to WSCUC on financial controls and outcomes. In contrast, the coverage of assessment, student success, and program review (section D) and faculty governance, policies and development (section E) refer fully back to the 2011 special visit team report.

### **A. Presidential and Board Leadership**

Continuity of presidential and Board leadership was critical to the success of the University on several fronts over the past four years. As the new President and CEO, Dr. David M. Carlisle led highly transparent and inclusive initiatives to update the master plans of the University. He sponsored a series of strategic planning retreats hosted at the headquarters of The California Endowment (TCE) in downtown Los Angeles; these retreats were facilitated by members of the Executive Service Corps of Southern California (ESC), and engaged a wide cross-section of institutional stakeholders. Outcomes included: (i) a marginally revised mission statement which reaffirms the University's commitment to creating education and health access to South Los Angeles and other underserved communities; (ii) a new vision statement; (iii) adoption of ten values that define institutional expectations for staff, faculty and students of the University; and (iv) a draft of a comprehensive strategic plan to guide CDU operations from 2013-16. (CFRs 1.1, 3.8, 4.6)

Following formal approval of the resulting [strategic plan](#) by the board of the Trustees in August 2013, the chief academic and operating officers led companion initiatives to update the CDU academic plan and capital improvement plan. The new [academic plan](#) was approved in spring 2014 by the council of Deans and the executive management team of the University, and in summer 2014 by the Board of Trustees. The University recently completed a campus master planning process for physical infrastructure growth to eventually accommodate 1,500 students, more than twice the current capacity of the campus. (CFR 4.6)

With the sunset of the current strategic and academic plans, the University expects a comprehensive re-iteration and full synchronization of all master plans effective the 2016-17 fiscal year. CDU is well positioned to capitalize on extramural fundraising efforts in support of these master plans, especially given the continuity of Presidential service, growing numbers and diversity of Trustees, financial sustainability of the University, and consolidation of donor and other outreach initiatives in the Office of Strategic Advancement. Board capacity for evidence-based analysis and deliberation across all institutional functions has increased. As indicated on the CDU website and in contrast to 2010-11, the [Board of Trustees](#) now includes additional expertise in business, legal, and academic affairs. (CFR 3.9)

### **B. Open Communication**

The University is committed to open communication with WSCUC and the CDU community, transparency concerning decision-making processes and implications, and public access to academic achievement and other student success data. The University maintains regular and effective communication with WSCUC executives both telephonically and via email providing them with updates about all significant academic, organizational and fiscal developments (CFR 1.8). In addition, the University has greatly increased its activity addressing both internal and external communication. Examples include:



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1. University forums led by the President.
2. Student forums.
3. President luncheons.
4. President messages.
5. Redesigning the CDU website and establishing a regular request for content updates.
6. Broadcast messages.
7. Developing and implementing a monthly newsletter.
8. Activating regular updates to social media.
9. Regularly preparing press releases to announce events and publicize accomplishments.
10. Producing an [annual report](#).
11. Implementing a university-wide calendar of events.
12. Developing a platform of key messaging strategies for university officials and advocates.
13. Creating a new university folio to profiles education and research highlights.
14. Crafting and distributing a 3-year development/fundraising plan.
15. Contracting public relations services.

Lead responsibility for the images and identity or 'public face' of CDU is now consolidated under the Office of Strategic Advancement. This office services all aspects of alumni, donor, and public relations, and directly supports multiple mechanisms for university-wide communication. In regard to public information, CDU fundamentally re-designed its web site and recently participated in the pilot project of WSCUC to elaborate data indicators of student success and graduation rates. Per new WSCUC annual report requirements effective 2014, the University posted its first [dashboard of student success](#), with aggregated data on student demographics, admissions, retention, graduation, and professional licensure; the new web pages also provide additional summary information on class sizes, faculty demographics and academic rank, and attendance costs and financial aid outlays. (CFRs 1.2, 1.6)

As detailed below in subsequent sections, expansive investment in the University by public and private sponsors evidences the positive impact of these communication initiatives. In contrast, the results of faculty climate surveys in 2012 and 2014 indicate continuing concerns about open and honest communication and the integrity of both executive and faculty leadership (see *Attachments III.01* and *III.02*, respectively). In response, CDU senior officers at university and college/school levels have collaborated with faculty governing bodies to expand routine avenues for informed decision-making about: budget planning and financial results (section C); assessment of student learning and academic program outcomes (section D); and faculty-related policies and shared governance (section E).

### **C. Financial Sustainability, Planning, and Management**

The 2011 WSCUC Commission emphasized the need for CDU to secure financial sustainability by increasing student enrollments, diversifying revenue streams, and exercising due diligence in financial planning and monitoring. Dramatic improvement in the financial status of the University through 2013 was fully demonstrated in the last two written reports to WSCUC (the 2013 interim report and 2014 progress report). CDU maintained the momentum of positive financial performance during the 2014 calendar year as well. With continuing fiscal discipline under a tuition-driven business model, and unprecedented extramural fundraising from federal and philanthropic sponsors, the University is well positioned for long-range sustainability.

In preparation for this report, the acting CFO of the University conducted a comprehensive self-assessment of CDU financial operations (*Attachment III.03*). The following provides a synopsis of the results pertaining to the specific finance-related items mandated by WSCUC in 2011 for on-going scrutiny. Most of the supporting evidence covers outcomes since 2011; however, the



narrative focus below is only on calendar year 2014, given the prior two financial checkups. (CFRs 3.4, 4.1)

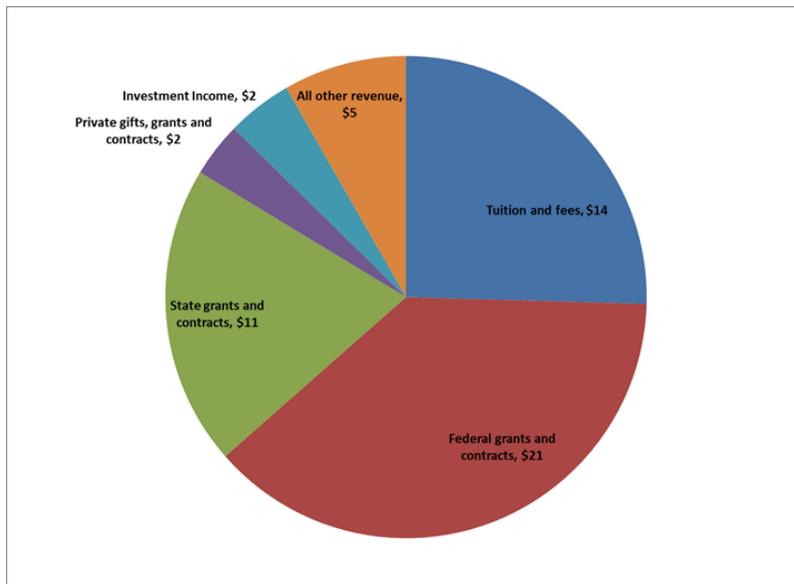
**Finance Personnel**

In June 2014, the chief budget and planning officer (CPBO) left the University to become the CFO of another organization. Anne Embree served as the original CBPO, and she returned in a consultant capacity to assist the University until the open position is filled. In August 2014, James Main completed his contract with CDU to serve as chief operating officer and senior vice President for administration and finance. The controller of the University, John Geraghty, assumed the duties of acting chief financial officer (CFO), as CDU completes a national search for a permanent CFO. (CFR 3.8)

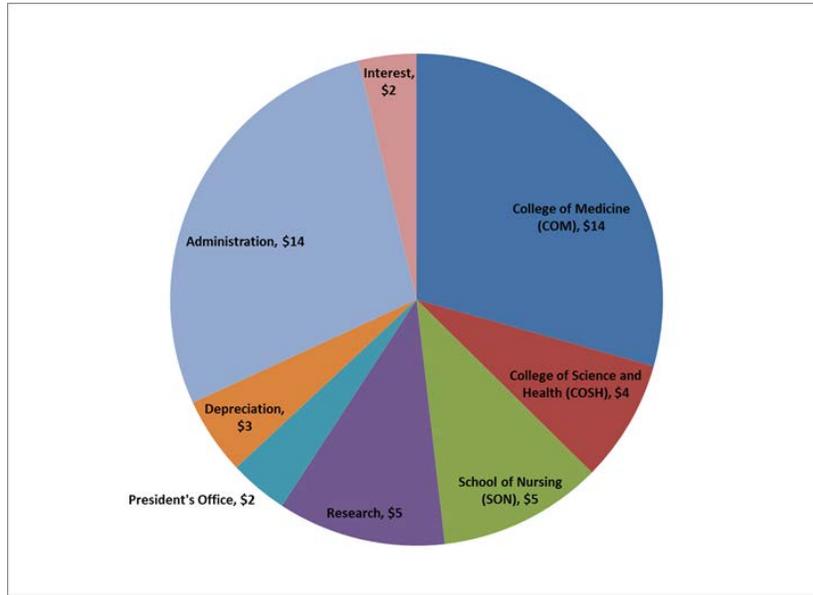
**University Budget (FY15)**

The total budget for the University includes both unrestricted and restricted accounts. The fiscal year 2015 (FY15) budget, as summarized in the pie charts below, includes revenue of \$54.6 million and expenses of \$49.4 million, for a net increase in assets of \$5.2 million. The budgeted increase in net assets is primarily due to a \$5 million grant from the National Institutes of Health (NIH) to increase the CDU research endowment corpus. The unrestricted side of the budget indicates a modest surplus of \$206,000 as the University continues to live within its means. Unrestricted expenses for core operations are budgeted based on expected tuition and fee revenue. As additional revenues are forecasted the University can increase expenses for strategic initiatives.

FY15 Budgeted Revenues



FY15 Budgeted Expenditures



**Annual Budget Planning and Year-over-Year Variances**

The terms and impact of CDU budget planning and management processes remain essentially unchanged since the 2013 interim and 2014 progress reports to WSCUC. Details presented in *Attachment III.03* show that the office of finance continues to offer: (i) a highly inclusive and transparent annual budgeting cycle; (ii) timely preparation and dissemination of a wide array of financial reports; and (iii) close monitoring and remediation of budget variances on a monthly basis. Financial outcomes for the past fiscal year also parallel CDU performance over the prior two fiscal years, with modest manageable budget variances that carry no or relatively low risk. (CFR 3.4)

Total CDU unrestricted revenue of \$28.4 million in fiscal year 2014 (FY14) exceeded budgeted figures by over \$1 million. This favorable increase was attributed primarily to:

- Increases in recent payments for state and local grants.
- Indirect cost (IDC) being ahead of budget.
- Rental revenue from ancillary space ahead of previous year.
- Investment income ahead of prior year.
- Level budgeting of expenditures created a favorable budget to actual variance for the summer months.

Conversely, total unrestricted expenditures in FY14 of \$26.7 million were under budget by \$360,000, net of:

- Unfavorable expenditure variances in the college of medicine and college of science and health due to increased need for adjunct faculty and additional review courses.
- Favorable variance in the school of nursing due to salary savings on open positions.
- Favorable variance in Legal expense due to fewer than anticipated legal cases
- Unfavorable variances in in the office of the President and depreciation schedules.

The unrestricted budget for the current fiscal year (FY15) also anticipates that the University will continue to live within its financial means. Total budgeted revenue of \$28.4 million is approximately \$1 million higher than the FY14 budget due to increases in tuition/fee rates, and



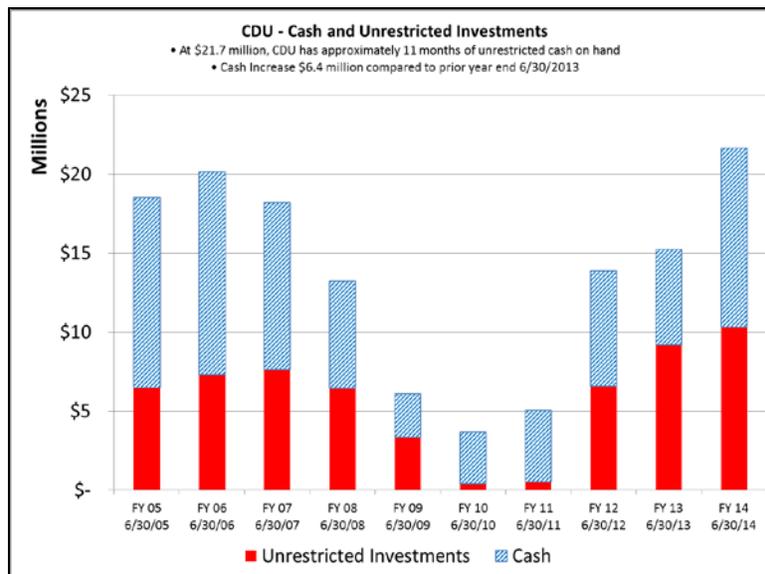
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addition of a new line item for unrestricted gift income of \$500,000 (such gift income was not budgeted previously and has averaged \$502,000 annually over the past 4 years). Other budgeted revenue sources are consistent with current or previous year patterns. Notably, over the past five years the University annually received between \$9.5 million and \$11.2 million from the UC Regents to fund the Drew-UCLA medical education program. CDU continues to base its budget forecast on an average allocation of \$10.0 million as a conservative amount for FY15.

As detailed at an academic program level in *Attachment III.04*, year-over-year budget variances (from FY14 to FY15) include substantial increases in budget allocations to each main academic unit, including net increases of 21% for the college of medicine, 19% for the college of science and health, and 15% for the school of nursing. In regard to year-over-year variances in actual expenditures, the University continues to reduce exposure to historically onerous costs for legal service and settlements. The new position of in-house legal counsel was filled in November 2013, and the need for outside legal services was substantially reduced. The FY15 budget allocation for legal expenses was based on FY14 actual expenditures, which were 46% below FY2013 actual expenditures.

### Cash Reserves and Unrestricted Investments

The cash reserves and unrestricted investments of the University increased by \$6.5 million to \$21.7 million in the past 12 months, the highest level in the past 10 years. The cash reserves are housed in a variety of traditional banking institutions, and the unrestricted investment assets are posted in a money market account managed by the [UCLA Investment Company](#); the most recent certified rate of return for this money market account (as of June 2014) was 1.41%.



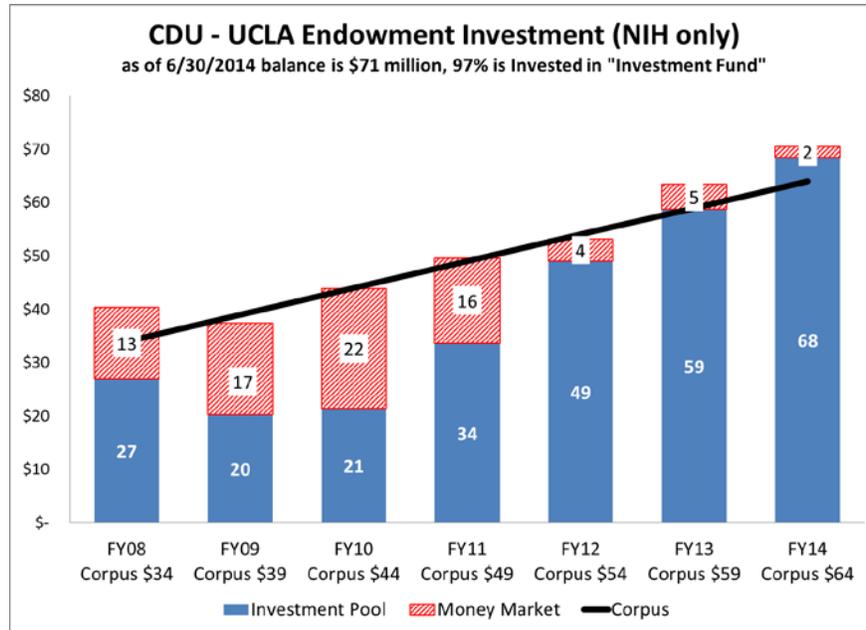
### Endowment

Over the past 13 years, the University received \$64 million in permanent endowment funds from the National Institutes of Health (NIH), as detailed in the following table. Forthcoming allocations will increase the corpus to \$74 million with an additional \$10 million in two annual contributions of \$5 million each. The current balance of the CDU endowment managed by the UCLA Investment Company is \$70.6 million (as of June 30, 2014). The net \$7 million above the NIH-funded corpus, due to earnings in excess of annual appropriations, are classified as temporary restricted net assets. The CDU Board of Trustees approves spending appropriations from NIH



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endowment investment returns on an annual basis. The board approved appropriations of \$2,865,375 for FY15, based on a spending rate of 4.5%. These funds support the general research infrastructure of the University under the umbrella of the Life Sciences Institute (LSI).



The University also secured approximately \$3.3 million in scholarship endowments as of June 30, 2014. The majority of these scholarships were received in the past 18 months, including from:

Emma & Joe Adams	\$ 1,000,000
Cedars-Sinai	\$ 850,000 *
Bill & Sue Gross	\$ 1,000,000 **
Lillian Harkless Mobley	\$ 500,000 *
	<u>\$ 2,850,000</u>

\* Cedars-Sinai original scholarship endowment was \$1 million; however, \$150,000 was used for a Lillian Harkless Mobley Scholarship matching requirement.

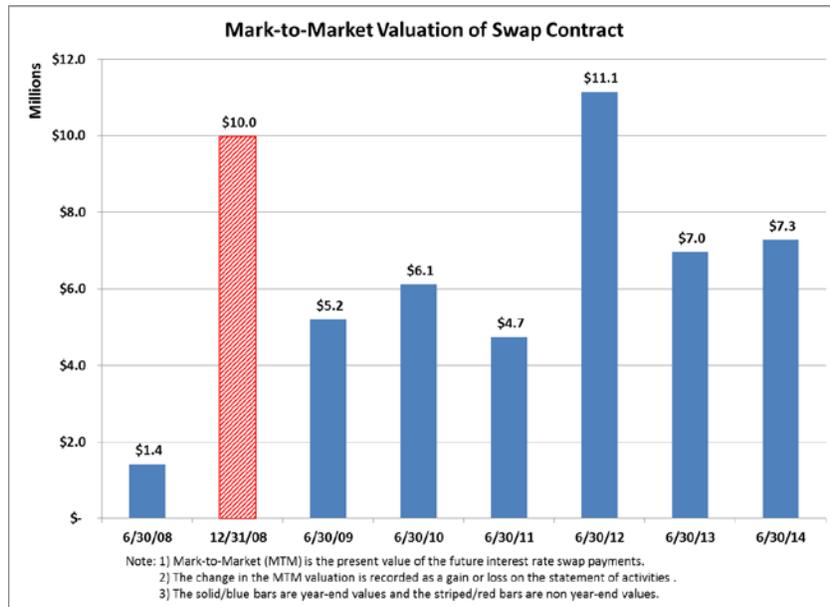
\*\* The \$1.5 million donation from Bill & Sue Gross for school of nursing scholarships will be received in three equal payments. A \$500,000 payment scheduled for Spring 2015 was advanced and received by the University on November 24, 2015. The next and final payment will be received spring 2016.

**Long-Term Debt & Interest Rate Swap Contract**

In November 2007, the University secured long-term financing of the new LSRNE with variable rate tax-exempt bonds. The original bond offering was \$43 million issued by California Education Facilities Authority (CEFA). In 2010, the UC Regents signed a lease with the University and funded a \$10 million reduction of the outstanding balance of the bonds. The terms of the bonds require the maintenance of a letter of credit (LOC). The University received a seven year LOC issued by Santander Bank (former Sovereign Bank) that began on the closing and expired on November 15, 2014. Additionally, CDU entered into an interest rate swap contract in February 2008 as a hedge against rising interest rates. Unexpectedly, interest rates fell to historical levels, and will likely remain low in both absolute and relative terms for the foreseeable future. Therefore, the interest rate swap contract has become a liability. As



indicated in the table below, the current valuation of the interest rate contract is \$7.3 million as of June 30, 2014.

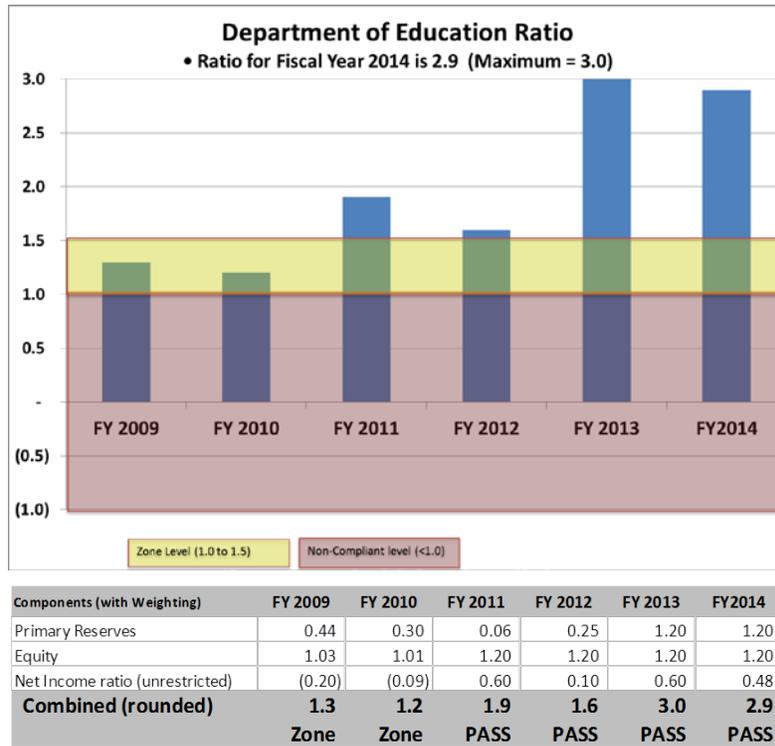


The University recently negotiated a 12 month extension of the letter of credit with Santander bank and the new expiration is November 15, 2015. Next, the University selected Western Alliance (Torrey Pines Bank) as a new banking partner. The University completed a new bond offering of approximately \$33 million issued by California Education Facilities Authority (CEFA) on December 22, 2014. These bonds were purchased by Western Alliance and will be held directly by the bank. The proceeds of the new 2014 bonds were used to redeem the original 2007 bonds and the letter of credit with Santander bank was terminated. The new bonds will be outstanding for a term of five years and will terminate in January 2020, and will have a total cost of capital rate of roughly 6.2% when combined with the interest rate swap (hedge) contract.

The University’s total long-term debt is synthetically fixed due to the matching of the bond interest rates (70% of LIBOR) and the swap interest rates (68% of LIBOR). Therefore this new structure allows the University to have predictable monthly payments for the next five year. The University will still need to monitor the non-cash impact of the changes in the valuation of the swap contract (see chart above). The changes in the swap valuation will impact the University financial performance and financial ratios; however, this valuations change is a non-cash event.

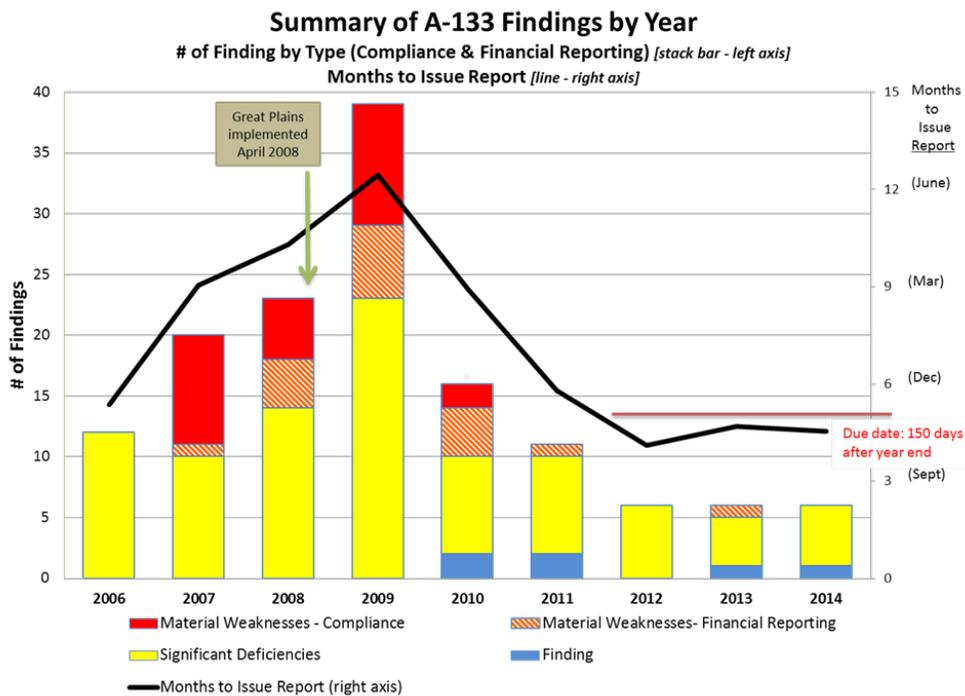
**Financial Ratios (DOE, WSCUC, Bank covenants)**

The Department of Education performs an analysis of the financial health of all schools and colleges annually. The results are documented in a “composite score” with three factors (primary reserves, equity, and net income ratio). The primary reserve and equity factors measure balance sheet strength from a short-term and long-term perspective, while the net income ratio measures current year performance. CDU secured the maximum score of 3.0 for FY13 and a score of 2.9 for FY14.



### External Audit Update

The University continuously works to improve internal controls for quality assurance purposes. The FY13 audit was completed on November 13, 2014 and had one material finding. The FY14 audit had no material findings (see *Attachment III.05* for the full audited financial statements completed this past November 2014). (CFRs 1.7, 3.4)





**Fundraising**

In its March 2013 interim report to WSCUC, the University reported on three core facets of its emergent fundraising efforts, to: (1) create a fundraising infrastructure; (2) identify funding sources; and (3) cultivate, reestablish and develop relationships with potential contributors. As evidenced below, the University made greater progress than originally expected in each of these three core areas of institutional initiative.

In fiscal year 2012, the University’s fundraising apparatus was fundamentally restructured under the leadership of a new senior management post, a vice President for strategic advancement. The advancement vice President reports to the President/CEO, and her team is responsible for overall planning and administration of all development, alumni relations, annual giving, major gifts, external affairs, and marketing programs of the University. The office of strategic advancement personnel now includes several dedicated FTE, including a: (i) director of development and university affairs; (ii) development associate; (iii) alumni associate; (iv) event coordinator; (v) communications specialist; (vi) web administrator; (vii) office assistant; and (viii) telephone solicitor (part-time).

The CDU strategic plan adopted in August 2013 contains a fundraising objective to “generate and increase revenue via the Strategic Advancement/Development unit by \$2 million over the next three years.” Overall, the strategies deployed to facilitate increased giving enabled the University to exceed its three year development/fundraising target of \$8.3 million by roughly 10.5%, having raised approximately \$9.2 million in gifts and pledges from FY2013 through FY2014. (CFR 3.4)

Combined Categories	Historical Average Annual Gift	Fundraising Target 2012-2013FY	Fundraising Target 2013-2014FY	Fundraising Target 2014-2015FY	Target 3 year Total 2013-2015FY	Actual*** (pledges & Gifts) 2013-2014FY
Alumni	\$ 10,940	\$ 13,128	\$ 15,754	\$ 18,904	\$ 47,786	\$ 52,836
Board of Trustees	\$ 26,590	\$ 31,908	\$ 38,289	\$ 45,947	\$ 116,144	\$ 46,085
Individuals *	\$ 43,380	\$ 52,056	\$ 62,467	\$ 74,960	\$ 189,482	\$1,171,859
Corporations	\$ 86,427	\$ 103,712	\$ 124,455	\$ 149,346	\$ 377,512	\$2,463,300
Foundations/ Non-profit Orgs **	\$ 1,734,503	\$ 2,081,404	\$ 2,497,685	\$ 2,997,222	\$ 7,576,311	\$5,448,967
<b>Total</b>	<b>\$ 1,901,840</b>	<b>\$ 2,282,208</b>	<b>\$ 2,738,649</b>	<b>\$ 3,286,379</b>	<b>\$ 8,307,235</b>	<b>\$9,183,047</b>

Note: Fundraising targets for each fiscal year have been multiplied by 20% annually

\* Individuals includes employees and faculty (current & former), individuals and students

\*\* Foundations also includes non-profit organizations and colleges

\*\*\*Actual amount includes pledges and receipts for FY2013 and FY2014

As detailed in the table below, in FY2014 alone over \$4.1 million in restricted and unrestricted funds was raised through grants from individuals, foundations, and corporate contributions (the figures includes pledges along with actual cash gift receipts during the fiscal year).



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Category	Target 2013-2014FY	Actual (Pledges & Gifts) 2013-2014FY	Favorable / Unfavorable
Alumni/Board/Individuals	\$ 116,510	\$ 139,209	\$ 22,699
Corporations	\$ 124,455	\$ 813,800	\$ 689,345
Foundations/ Non-profit Orgs	\$ 2,497,685	\$ 3,219,884	\$ 722,199
<b>Total</b>	<b>\$ 2,738,650</b>	<b>\$ 4,172,893</b>	<b>\$ 1,434,243</b>

The office of strategic advancement also embraces its role as the ‘story teller’ of the University, with wide ranging multiple media outreach to donors, prospective donors, students, faculty, staff, community members, community organizations, elected officials, and affiliated higher education and healthcare providers. The office seeks to heighten awareness of the CDU brand and build its identity while retaining an unwavering commitment to honor the history and legacy of the University as a community founded and focused institution.

These efforts are manifest through a series of annual events that progressively broaden and deepen CDU publicity and campus culture, including:

- 1) State of the University address by the President in early fall.
- 2) Giving Tuesday to kick-off a Mission Maker Annual Fund Campaign.
- 3) Legacy Leaders Spring Gala.
- 4) Donor recognition and alumni receptions.

Under the leadership of the Office of Strategic Advancement, the University is expanding its tools and modes of communication to showcase accomplishments and opportunities. Examples were previously mentioned in the open communication section of this report.

These communication efforts and the resulting “story lines” that accompany each have sparked unprecedented gifts to the University in the last two fiscal years from three donors: Mr. and Mrs. Joe and Emma Adams donated \$1 million; Mr. and Mrs. Bill and Sue Gross pledged \$1.5 million over 3-years; and Cedars-Sinai Health System made a gift of \$1.5 million. These gifts will seed endowments that exceed \$3.5 million, with interest earned on the corpus expected to annually provide in excess of \$165,000 for student scholarships.

These efforts boosted confidence from foundation and corporate entities to engage in new or re-invigorated relationships with CDU; current sponsors include: Kaiser Permanente, Parsons Foundation, Ahmanson Foundation, California Community Foundation, Walgreens, Comerica, and Alta Med. Their investments have supported student scholarships, upgrades to campus security systems, library and general study area improvements, support for pipeline programs, capacity building, and increased community engagement.

Finally, these outreach efforts and new publicity footprints have galvanized an incentive for giving to CDU from Trustees, students, faculty, staff and administrators, all of whom may benefit from proceeds they help raise through the Mission Maker Annual Fund (MMAF). A portion of the MMAF is allocated to a mini-grant program designed to support projects not funded through the normal budget cycle. Priority is given to proposals that demonstrate direct support for students and/or the ability to support and enhance student success more broadly. Proposals that directly benefit the community are also considered. Since program implementation in fall 2012, \$77,617 was awarded for 36 student, staff, and faculty projects.



## D. Assessment, Program Review, and Student Success

With an imperative to first secure financial stability, WSCUC also called upon the University to fully institutionalize and enhance the educational effectiveness evaluation systems that were established in 2010-11. The Commission emphasized that CDU must continue to fortify emergent assessment and program review mechanisms, and continue to invest in faculty and staff professional development to ensure full fruition of a "*culture of assessment*." In response, the University continues to expand faculty capacity and the variety of ways in which academic and financial data are collected and used to improve student learning outcomes and support services. (CFRs 3.10, 4.3)

Accordingly, CDU focused its self-study of progress on three main areas specified by the 2011 WSCUC special visit team for sustained scrutiny, including demonstrated:

- (1) Articulation, alignment, and assessment of student learning outcomes.
- (2) Rigor and utility of academic program review processes.
- (3) Student success as evident in retention, graduation, and licensure rates.

The working group on assessment, program review, and student success found consistently clear articulation and alignment of student learning outcomes across course, academic program, and university levels. Substantial progress in building out reliable data infrastructure and publicizing student success data is also evident. Concerns were expressed, however, that professional development incentives and faculty capacity for effective assessment and program review are not uniformly strong. Such gaps may be limited to particular academic personnel or programs, yet continue to pose university-wide risks to both individual and institutional success.

### (1) Student Learning Outcomes

The working group evaluated the responsiveness of the University to the WSCUC call for continued evolution of a "*culture of assessment*." Therefore, the working group focused first on three pertinent issues: the extent to which student learning outcomes (SLOs) remain clearly articulated, fully aligned, and routinely assessed by all academic programs. As indicated in the CDU inventory of educational effectiveness indicators (see *Attachment III.06*), the group found uniform strength in SLO articulation and alignment from course to program and campus levels. As detailed in *Attachment III.07*, the current curriculum maps and assessment plans for each academic program devote special attention to how the four university-level learning outcomes (ULOs) are aligned with learning outcomes at the academic track and specific course levels. (CFRs 1.2, 2.3, 2.4)

The four ULOs are:

- *Excellence in Clinical Service*. Students demonstrate excellence in their chosen field of study.
- *Academic and Social Research*. Students evaluate, use, and/or conduct research.
- *Compassion and Cultural Sensitivity*. Students demonstrate compassion and cultural sensitivity, with a special commitment to serving diverse and underserved populations.
- *Professionalism*. Students demonstrate responsible, empathetic, and ethical professional behavior.



The working group members agreed that: (i) academic excellence and student achievement are widely recognized as top priorities; (ii) the mission statement and master plans of the University effectively function as integrative principles; and (iii) accreditation and licensing agency standards offer definitive benchmarks for academic performance. The new CDU strategic and academic plans place a premium on student success as the primary reason for the very existence of the University. Similarly, the CDU vision, mission, and value statements are highly motivating and unifying; these framing documents command considerable integrative power for collective consciousness and action.

The clinical degree programs of the University are accountable to national accreditation agencies and typically state licensing bureaus as well, as detailed in the CDU inventory of concurrent accreditation and key performance indicators (see *Attachment III.08*). For example, the radiologic technology (Rad Tech) program is accredited by the [Joint Review Committee on Education in Radiologic Technology](#) (JRCERT), and must also be certified by the California Department of Public Health. JRCERT frames graduation requirements in terms of specific student learning outcomes embedded under four general goals, including demonstrated competency in: (i) clinical practice skills; (ii) interpersonal communication skills; (iii) problem-solving and critical thinking skills; and (iv) ethical and professional behavior. These overarching goals parallel the four CDU university learning outcomes (regarding academic excellence, research competency, cultural sensitivity, and professional behavior), and the five baseline WSCUC core competencies for baccalaureate students (i.e., oral communication, written communication, critical thinking, quantitative reasoning, and information literacy). (CFR 2.2)

The MSN program was first accredited in 2012 by the [Commission on Collegiate Nursing Education](#) (CCNE), and is also regulated by the [California Board of Registered Nursing](#) (BRN). The BRN oversees ELM programs, certifies faculty for program administration and clinical instruction, and grants licensure for nursing practice in the state of California. SON will host a BRN site visit in May 2015 for first-hand review of the ELM program, and the next on-site evaluation of the MSN program by CCNE is scheduled for spring 2017. CDU also pursued national recognition by the Accreditation Commission for Education in Nursing (ACEN), formerly known as the National League for Nursing Accrediting Commission (NLNAC). With effective oversight by the CCNE and BRN, the University does not need dual national accreditation, and thus voluntarily withdrew from the ACEN accreditation process in 2014 (see *Attachment III.09* for the notification letter to WSCUC).

CDU does not limit application of the five WSCUC core competencies to undergraduate students. Health profession accreditation and licensing agencies for graduate programs have equivalent proficiency requirements. For example, the [UPH program](#) is accountable to graduate-level standards of the council for education on public health (CEPH).

The UPH program embellishes core areas of professional competency with attitudes and values specific to the mission of the University. The public health core includes knowledge and skills in the conduct of epidemiology, statistical methodology, health services administration, and the social and behavioral sciences. The CDU elaboration and branding of these general competencies is evident in the following two program learning outcomes (PLO):

PLO 3. Identify multi-level risk and protective factors influencing the health status of ethnically diverse urban populations.

PLO 5. Identify and appraise public health programs, policy and advocacy processes for improving the health status of urban underserved populations.



The chair of the working group, Dr. Sondos Islam, also serves as interim director of the UPH program, and as chair of the university-wide academic program review committee. She is a resident expert and faculty role model on assessment of student learning outcomes, and led preparation of the multiple case studies on “closing the loop” by the student success working group (which are presented in *Attachment III.10*). The UPH sample on application of core epidemiology concepts shows multiple assessment cycles resulting in discernible improvement.

The case studies on information literacy reflect CDU attentiveness to both its own mission and the new WSCUC core competency requirements. Information literacy is critical to healthcare practitioners, when patient lives and wellbeing are at risk. Over the past few years the chief librarian and director of the health sciences library led a variety of information literacy initiatives for faculty and students, and they have responded in turn with innovations of their own making. Notably, students and faculty in the department of health and life sciences founded a new scientific journal club this past spring 2014 for “critical exploration of academic literature” (CEAL). The CEAL program facilitates student exposure to scientific literature, with journal club meetings for informal discussion and critical analysis of published articles.

The four university learning outcomes (ULOs) include demonstrated student interest and skills in scientific research. Students have multiple opportunities to apply their learning and engage in medical science, healthcare, and community intervention research. CDU offers laboratory and clinical or community service training opportunity in the areas of basic science, clinical practice, or applied policy research, consistent with faculty expertise and extramural funding. Since the University also trains for effective soft skills, informed leadership roles, and social justice advocacy, students have multiple forums for public speaking and presentation of research project and community service results. Several recent examples are profiled in a portfolio available in the document room. (CFRs 2.5, 2.8)

## **(2) Academic Program Review**

The case studies compiled by the working group indicate current faculty assessment capacity for iteratively opening and closing evaluation loops. The group also found that mechanisms for program evaluation are firmly in place: (i) each college/school has assessment and curriculum committees; (ii) incremental program changes are subject to approval by the relevant Dean, Academic Senate, and offices of the Provost; (iii) major substantive change also requires approval by the Board of Trustees, accrediting agencies, and sometimes licensing boards as well; (iv) the office of institutional effectiveness and research maintains a robust technical infrastructure for academic affairs data and reporting; (v) the academic program review committee maintains a comprehensive program review schedule; and (vi) data and findings of evaluations inform budget allocations and strategic investments. (CFR 2.4)

The Academic Program Review Committee (APRC) of the University is advisory to the Provost and is composed of faculty representatives from each college/school (plus various ex officio members), and is charged to conduct comprehensive evaluations of academic program performance. The APRC protocols at CDU (see *Attachment III.11*) are based in large part on the WSCUC resource guide for “good practices” in outcomes-based program review, and also draw upon comparable documents with permission from two other universities. (CFR 2.7)

The committee stages its program docket by synching its master schedule (see *Attachment III.12*) with the corresponding timelines of external regulators. The internal deadline for submission of a self-study report or a feasibility study by a particular program is scheduled well in advance of workflow needed to meet comparable external demands. The payoff from this strategy is most evident in the outcomes of field-specific reviews by professional accreditation agencies. Over the course of the last few years every CDU professional practice program



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secured a maximum reaffirmation cycle from its relevant national accreditor: (i) the Rad Tech program via JRCERT in 2013 for 8 years; (ii) the UPH program via CEPH in 2012 for 5 years; the MSN program via CCNE in 2012 for 5 years; and Drew-UCLA medical education (MD) programs via LCME in 2013 for 8 years (see *Attachment III.13* for a copy of the confirmation letters from professional accreditors)

During 2014, two degree-granting programs were subject to systematic review by the APRC. The MSN program submitted a self-study to initiate an external review by the [California Board of Registered Nursing](#) (BRN) in fall term 2014. The Board regulates entry-level masters (ELM) programs—with a focus on core competencies critical to licensure of a registered nurse in the state of California—and must approve chief administrator appointments and instructional roles of faculty; for example, only registered nurses may serve as clinical educators or clinical site supervisors. The MSN draft report for its BRN site visit was submitted to the APRC and Office of the Provost two months in advance of the bureau deadline. The feedback APRC provided substantially improved the draft report, and the school of nursing (SON) submitted the final report to the board in early October 2014. SON will host a BRN site visit team in May 2015.

The department of Health and Life Sciences (HLS) was also reviewed this past year by the APRC. HLS is uniquely situated to provide a feeder-pathway into all clinical graduate programs, by offering rigorous academic preparation paired with experiences in the community and the research laboratory. The review revealed that HLS had limited evidence of undergraduate student success, and was highly reliant on enrollment in its post-baccalaureate certificate program to compensate for persistently low student headcounts in its baccalaureate (BS) program. The APRC engaged extensively with HLS faculty on several occasions over the past year and provided frank feedback about the learning outcomes and financial viability of the program (*Attachment III.14*). The Office of the Provost also convened periodic special meetings with the HLS program faculty and Dean of the college of science and health to determine the best course of operations for the program. (CFR 4.1)

HLS continues to be assessed for addressing student success challenges, in order to clarify and expand transfer student pathways into its undergraduate program, and to clearly differentiate its undergraduate degree objectives and requirements from those of its post-baccalaureate program. (CFRs 2.2, 2.14) The University identified several major issues affecting enrollment and sustainability of the HLS programs and set in place the following resolutions:

- (a) Support for First-time/Full-time students is not available at CDU.
  1. Retention of Freshmen students was declining.
  2. A decision was made to no longer accept Freshmen into the HLS program as of Fall 2013.
- (b) Transfer/completer students were not being actively recruited.
  1. Articulation agreements with community colleges have been implemented.
  2. CDU is hosting an LACC President's meeting in February 2015 in which CDU will showcase the HSL program and discuss moving to articulation agreements that will accept qualified Community College graduates into the program with acceptance of all credits earned in the AS degree; a 2+2 curriculum is being revised and updated to fulfill the needs of transfer students to the program; merit based Presidential scholarships have been established for AS degree students who meet the qualifications for entry into the BS HLS program.



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3. New annual budget provisions (effective this fiscal year) for student recruitment and marketing campaigns, and newly brokered student transfer articulation agreements.
  4. A new acting chair of the HLS department was appointed in early October 2014, and she meets weekly with program faculty and admissions officers to coordinate recruitment efforts with community colleges.
  5. Each of these interventions will be assessed and adjusted as recruitment for August 2015 is launched. The goal is increased enrollment in the BS program through quality changes in the program curriculum and recruitment mechanisms.
- (c) A major curriculum revision is needed to showcase the uniqueness of the HLS program
1. HLS is seen as a feeder program into all CDU graduate clinical degree programs.
  2. A half-day retreat for data-driven analysis and action plan development by academic affairs administrators and HLS faculty is scheduled to be held early in the new calendar year (January 2015) to brainstorm all program aspects, from curriculum design and recruitment strategies to student retention and timely completion services.
  3. An external reviewer will be recruited to assess the currency and strategy for the new curriculum in February.
  4. The goal is to have an HLS program that exemplifies best practices and is seen as a destination program for students seeking preparation for graduate clinical programs.

The Office of the Provost also brokered new internal policy and procedures for opening or closing of an academic program (see *Attachment III.15*), and the formation of additional faculty mechanisms in the Academic Senate for oversight of assessment rigor and outcomes. The new protocols for opening or closing programs are analogous and draw heavily on accreditation sub-change and teach-out requirements, and therefore entail an elaborated process for vetting proposals and recommendations. The overarching logic is a parallel structure and process for winding up (opening) versus winding down (closing) programs. (CFR 3.10)

### **(3) Student Success Indicators and Challenges**

Posting of a [student achievement dashboard](#) on the website of the University this past spring 2014 was mandated for the first time by WSCUC as part of its 2014 annual report requirements. The new CDU dashboard provides aggregated data on student retention, graduation, and professional licensure rates—which are required by WSCUC—plus summary information on student and faculty demographics, average class size, costs of attendance, and financial aide allocations (for a full copy of the web site charts and tables see *Attachment III.16*). Such public signposts prompt faculty across programs to engage with each other and with senior management of the University about what works well and where scarce resources might be invested and where additional resources are needed. (CFRs 2.10, 4.2)

As implied above, there are two academic programs that occupy opposite extremes on the CDU student success continuum. The Drew/UCLA program lies at a favorable extreme, whereas the HLS program sits at the other end of the spectrum and presents special challenges for continuous improvement and quality assurance. The track records of other CDU academic



programs gravitate toward the positive end of the performance continuum, in regard to both student outcomes and financial viability.

The Drew/UCLA medical education program sets an exceedingly high bar for faculty and student performance: it is the original and continuing flagship program of the University, has a strict cohort model with a tightly structured curriculum, and a rigorous annual review process for student academic advancement. As with any medical or clinical practice program, the most critical checkpoint is for progression from basic training to clinical rotations. Each student undergoes close scrutiny before moving forward in the base MD and PRIME programs, and very few require remedial action or off-the-clock accommodations.

The three-year retention rate for the medical education program is 100%, and CDU match day results for clinical residency placements rival those of any top-tier medical school in the country. Drew/UCLA graduates also fulfill the mission of the University, as indicated in the following summary of results from the 2014 national MD resident matching program. The data show a high proportion of primary over non-primary care placements; this is typical for CDU, atypical nationally (see Attachment III.17 for the fully disaggregated list of specific placements by location and by primary versus non-primary care). These indicators of student interest and success in the medical education program reflect a stellar quality assurance system for assessing, tracking, and continuously improving the learning of students.

**2014 National MD Resident Matching: UCLA-DREW Results**

**By Speciality**

Primary Care	#	Non-Primary Care	#
Family Medicine	5	Anesthesiology	2
Internal Medicine	10	Pathology	1
Obstetrics & Gynecology	3	Emergency Medicine	2
Pediatrics	5	Psychiatry	1
Internal Medicine/Pediatrics	1	Surgery	1
<b>Total (77%)</b>	<b>24</b>	<b>Total (23%)</b>	<b>7</b>

**By Region**

Western Region	#	Other Regions	#
Northern California	6	Eastern	4
Southern California	17	Midwest	3
Other West	1	Southern	0
<b>Total (77%)</b>	<b>24</b>	<b>Total (23%)</b>	<b>7</b>

The following table presents retention and graduation rates for other CDU academic programs, plus licensure rates as a trailing indicator of student success. Most of the aggregate results for three-year averages are comparatively strong relative to field-specific national norms, with the exception of the outcomes of the degree and certificate programs in the department of health and life sciences (HLS).



CDU Student Success Indicators by Academic Program

Degree	Curriculum	3 yr. avg. Retention to 2 <sup>nd</sup> academic year	3 yr avg. of 150% Graduation Rate	3 yr licensing pass rate*
AS	Radiologic Technology	92%	73%	80%
BS	Health and Life Sciences	63%	12%	N/A
PostBac	Pre-Medicine	82%	14%	N/A
MSN	Entry Level Masters (ELM)	95%	79%***	68%
MSN	Family Nurse Practitioner (FNP)	92%	98%***	95%
MPH	Urban Public Health	98%	86%	N/A

\* For FNP (AANPCP); ELM (NCLEX) and RadTech (ARRT) \*\*\*2 cohorts

The disaggregated (annual) data for licensure pass rates of professional practice programs are presented in *Attachment III. 18*, and reveal a few recent outcomes for special consideration. While the licensing pass rates for College of Medicine (MD) students are uniformly strong over the past three years, there were substantial declines in the credential pass rates for Rad Tech and MSN-ELM students in the most recent reporting year relative to the prior two years. The benchmark rate of both of their professional accreditors is 75% of first-attempts. The Rad Tech program rate for passage of the ARRT examination dropped from 85% in 2012 to 61% in 2013, which the University attributes in part to an extended leave of the program Director/chief educator as of fall term 2013; the clinical coordinator for the program and adjunct faculty had to cover his workload in addition to their regular responsibilities. CDU expects a rebound in ARRT passage rates in 2014 with the return of the Director of the Rad Tech program in late spring 2014, and if faced again with extended leaves of core faculty (in any program) will determine the extent to which additional rather than re-allocated faculty resources are needed to ensure student success in preparation for licensing examinations.

The MSN-ELM student passage rate on the NCLEX licensing exam dropped to 48% in the 2013-14 academic year from 95% in 2012-13. This is partially reflective of a nationwide decline in passage rates due to introduction of new NCLEX standards. To address other contributing factors as well, SON has implemented a wide range of interventions to identify students at risk of NCLEX failure, and to strengthen preparation for the exam, leading to higher passage rates. These include HESI testing after admission to identify foundation skills remediation needs, an on-line remediation curriculum, and a three-month structured NCLEX preparation program, including a 4-day Kaplan Review. Faculty development to identify at-risk students and to enhance awareness of remediation and preparation resources, have also been introduced.

Student retention rates are high compared to historically black colleges and universities, but there are specific programs where retention is lower than acceptable. The post-baccalaureate program in pre-medicine has a population of students who are not actively seeking the certificate offered by the program, but rather are focused on applying to medical school. If they are successful, they no longer need to complete the certificate, and if they are unsuccessful, the certificate does not necessarily enhance their alternative career paths. This leads to a low retention and completion rate. The department of health and life sciences is currently re-



examining the certificate program to craft a certificate that meets the needs of the students while also fostering program completion. (CFR 4.1)

The BS program in Health and Life Sciences underwent a major curriculum revision and had new leadership appointed in 2011, following internal program reviews that called out issues in retention and graduation performance. Additional emphasis was placed on advising, and a decision was made to stop enrolling first-time-in-college students and focus on transfer students. Since that time, year to year retention in that program has increased to 86% from 29%, demonstrating the effectiveness of the new curriculum and other changes. This program continues to evolve to make it more successful in graduating students, as well as to make it more attractive to transfer students who want to pursue health professions careers and in order to reach a sustainable level of enrollment.

Entry Cohort	Number of Students	Year to Year Retention Rate	3 year rolling average:
2010-2011	7	29%	23%
2011-2012	7	71%	44%
2012-2013	10	70%	58%
2013-2014	14	86%	77%

HLS faces special challenges in regard to student success and program viability, and analogous to tough decisions about academic programs in 2010-11, HLS remains at substantial risk of modified admissions goals or outright program closure due to persistently low undergraduate student recruitment, retention, and graduation rates. The results of multiple interventions over the past several years include curriculum re-configurations and change in the formal name and faculty leadership of the program. The program faculty responded promptly to consultant recommendations in 2013 to streamline their student learning outcomes, and recently renewed articulation agreements offer the prospect of serving transfer students from regional colleges and universities. The current HLS student recruitment and marketing strategy calls for growing transfer of ‘completers’ (rather than ‘starters’) of bachelor of science (BS) degrees. At present, HLS faculty train undergraduate with post-baccalaureate students in the same classrooms and lab sessions, and some undergraduate students were concerned about competing with students who have already earned an undergraduate degree. A major emphasis on student success and identification of appropriate SLOs and pathways to achieving those outcomes is putting this program on the path to success.

Since 2011, the University effectively addressed and resolved concerns of students and thereby demonstrated that it is appropriately engaged and responsive to their stated and otherwise apparent difficulties. *Attachment III.19* provides three examples, plus a wider inventory of the nature of and institutional responses to recent student concerns. (CFRs 1.6, 1.7, 3.1)

The success of CDU students and graduates is represented in their retention, completion of degree programs, licensure in professional fields, and subsequent employment. (CFR 2.6) Current awareness of graduate employment is largely anecdotal and based on relationships of faculty and staff with its former students. Students achieving licensure in professional areas with high demand (i.e., radiological technology, nursing, and/or medical school) are rapidly employed. In alignment with its commitment to expand student services, a position is now posted for a career and personal counselor who will begin to systematically track these data for the University.



## E. Faculty Governance, Policies, and Development

Concurring with the 2011 site visit team, the WSCUC concluded that: "*although still in need of further improvement, there is evidence of good practice in the faculty Senate involvement in decision-making processes with senior leadership.*" Areas cited for continuing improvement included completion and implementation of policies on faculty rights and responsibilities, and the clarification and elaboration of an appropriate role for faculty in the shared governance of the University. The Commission specifically encouraged sustained focus on finalizing and activating faculty workload policies and grievance procedures, and on provision of new faculty contracts.

This section reports progress accomplished in five areas of faculty affairs concern specified in the WSCUC special visit team report for concerted CDU attention, as follows:

- (1) Peer review capacity and outcomes.
- (2) Workload and grievances.
- (3) Contracts and support services.
- (4) Self and shared governance.
- (5) Professional development and continuing education.

### 1. Faculty Peer Review Capacity and Outcomes

Each college/school of CDU has its own faculty peer review guidelines and committee, and the Deans have final signature authority on appointment and promotion (A&P) actions at the rank of instructor or assistant professor. The faculty A&P committee of the Academic Senate was fully operational since the start of the 2011-12 academic year and is responsible for peer review of candidates proposed for an academic rank of associate, full, or emeritus professor. Since its formation, the Academic Senate A&P committee has processed over 30 cases for initial faculty appointment or promotion in academic rank (on an annual base of roughly 260 faculty members university-wide).

The Academic Senate committee presided over the alignment of college/school A&P guidelines with university-level policy; the resulting revised policy circular for the College of Science and Health (COSH) is provided in *Attachment III.20*. The committee also conducted university-level review and approval of inaugural peer review policy and systems for the relatively new school of nursing (SON). The SON guidelines for faculty appointment and attendant employment options were ratified in February 2012 (see *Attachment III.21*). While awaiting official peer review, SON faculty members occupy in-process appointment status at the discretion of the Dean; they nevertheless hold all the rights, privileges, and responsibilities of fully confirmed (peer reviewed) faculty in COM and COSH. An ad hoc A&P committee for SON was activated in 2014, with three voting faculty members, plus two faculty-at-large representatives. All in-process SON faculty members will undergo rigorous peer review by the end of academic year 2014-15, including review by the Academic Senate A&P committee for candidates at the rank of associate, full, or emeritus professor, consistent with university-wide policy.

A final area of routine business for the Academic Senate A&P committee concerns the drafting and vetting of collateral academic personnel policy and procedures. Since 2011, the committee has worked in close collaboration with the Office of the Provost and the leadership of the Academic Senate to craft and confirm new policies concerning emeritus and distinguished professor appointments, and rights of reconsideration when a promotion action is not approved. The latter is especially critical toward ensuring the appropriate elaboration and protection of faculty rights for peer-driven due process. To date, only two promotion actions have not



received final approval (one each at associate and full professor levels); both candidates were given a copy of the new reconsideration policy along with a brief rationale in writing for why their proposed promotion in academic rank was judged as premature. *Attachment III.22* provides a copy of the reconsideration policy and an executive summary of accomplishments from the chair of the Academic Senate A&P committee. (CFR 3.2)

## 2. Faculty Workload and Grievance Policy

The outcomes of the 2009-11 downsizing at CDU had repercussions well past the 2011 WSCUC review. Some salary cuts remained in effect for several years, and as academic programs under teach-out wound down, various personnel lost compensation altogether as a reduction in force. Accordingly, issues of contestation concerning faculty-related policies and shared governance at CDU since 2011 must be understood in the context of major structural and systemic cultural change.

Under the stewardship of the Office of the Provost, priority was given to consistent and compliant implementation of faculty workload policy across all colleges/schools. The policy was fully implemented with the 2011-12 academic year, and an educator workload form validated by a Dean or a researcher faculty plan based on funded awards, remains a standard component of the annual faculty contract. *Attachment III.23* provides the current workload policy and samples of the contract packet. (CFRs 1.6, 3.2)

The biggest test since 2011 of then emergent faculty-related workload, compensation, and contract policies—and shared governance by extension—arrived with the turnover of the chief academic, research, and business officers of the University in mid-2012. As a result and as manifest in climate surveys at the time, faculty and administrative staff expressed concerns about employment instability. Faculty leadership prompted a vote of no confidence in the President, albeit narrowly defined in regard to protection of due process rights for faculty separations.

While climate surveys are an important means of assessing faculty and staff perceptions of campus climate, climate surveys at CDU do not have a significant history of administration, and low response rates hamper the ability to generalize from responses. In 2012, the Academic Senate conducted a climate survey of faculty and staff at the University, and received an overall response rate of 33%. The survey indicated that since 2009, there had been significant improvements in the campus climate (62% said the climate was more open to communication), but saw 41% perceiving a climate of “fear and retribution” on campus. (See *Attachment III.01*.)

In 2014 another climate survey of faculty was conducted by the Academic Senate, with a 25% response rate. This survey was substantially different than the 2012 survey (it was developed by an expert in survey design, using other institutions’ climate surveys as models), making direct comparison with the 2012 survey difficult. However, there 49% of responding faculty still agree that “there is a climate of fear and retribution at CDU.” 67% agree or are neutral on the question of whether “CDU’s current climate is more open to communication compared to previous years>”. Major areas of concern identified in the survey include responsiveness to the administration to the needs of the faculty (79% say fair/poor), communication of administration with faculty (62% fair/poor), transparency of budget allocations (75% fair/poor), and consultation with faculty on policy decisions (72% fair/poor). (See *Attachment III.02*.)

A new survey of faculty and employees, administered by the Provost’s office, was also conducted in 2014, with a response rate of 26%. This survey found that 72% of respondents agreed or strongly agreed that they “like working at CDU.” Areas of concern included a sense of team spirit, coordination between departments, administration listening to concerns, and



differences in how shared governance should work at CDU. The findings generally echoed concerns that were already well known, and which are being addressed on campus in a number of ways.

CDU is working on improving our ability to administer climate surveys that will be informative, can provide longitudinal data, and that receive an adequate response rate. An ad hoc committee is being assembled under the auspices of the Provost to create a unified climate survey that can be administered across all campus groups, while also being tailored to them (e.g. staff, faculty, and students will have some questions in common, and others only for them). This should help overcome the challenges of competing surveys for different constituencies that may lead to low response rates. Also, the intention is to have the survey administered by a third party in order to overcome trust issues that may have limited response rates in the past. (CFR 2.10)

WSCUC officials were updated about these shared governance challenges, either periodically in person or electronically as warranted, by both the President and ALO of the University (see *Attachment III.24*). Various faculty members filed formal grievances during this difficult period of institutional re-calibration. Analogous to its work across college/schools aligning faculty peer review policies, the Academic Senate presided over a reconciliation of grievance policies and procedures. Since 2011, the resulting protocols were field tested as grievances were filed and investigated by the faculty grievances committee of the Academic Senate. In order to be heard in this venue, the cases must entail faculty issues across college/school lines or raise policy compliance concerns of institution-wide import. *Attachment III.25* provides the grievance policy of the Academic Senate, plus an executive summary of committee performance from the committee chair. (CFR 1.7, 3.2)

### **3. Faculty Contracts and Support Services**

Provision of faculty employment contracts comprises a third concern highlighted in 2011 by the WSCUC Commission and its CDU special visit team. CDU does not offer tenure and faculty have pressed for “meaningful” contracts with employment guarantees. Historically, the faculty of the University have occupied the same employment status as staff: an “at will” relationship aligned with default state labor laws. With the understanding that increased employment stability was needed by faculty, the senior management of the University worked from fall term 2013 through early 2014 crafting new approaches to faculty contracts and enhanced services for faculty appointment and employment. The members of the task force convened to address these issues included: Dr. Mary Boyce (interim Provost/chief academic officer), Mr. James Main (senior vice President of finance and administration/chief operating officer), Dr. Toni ELBoushi (assistant vice President/chief human resources officer), Mr. Paul Craig (chief budget and planning officer), and Dr. William Shay (assistant Provost of academic personnel/accreditation liaison officer).

Transformative operational change was pursued on two fronts. The first front is policy based. Effective July 1, 2014 all CDU core faculty members with Academic Senate membership (versus contingent adjunct faculty) were removed from an “at will” status and their compensation options became governed by a new consolidated institutional base salary (IBS) policy. The new IBS policy (posted as *Attachment III.26*) was specifically designed to ensure compliance with the forthcoming federal office of management and budget (OMB) super-circular, a uniform guidance on funding awards and management effective December 26, 2014 for all higher education institutions and other recipients of federal awards. The task force also recommended implementation of a contract with payroll guarantees for all full-time faculty members (those earning at least 80% paid workload as an educator or researcher).



The second major front for institutional progress is practice based. The task force recommended enhanced academic affairs support services and upgrades to an electronic personnel action form (e-PAF) that rosters the terms of faculty and staff payroll (see *Attachment III.27* for the e-PAF self-study conducted by the office of human resources). The concrete remedies proposed for adoption and pilot study in fiscal year 2014-15 were two pronged: (1) to increase faculty employment stability by providing contract guarantees and paid 'protected time' for full-time faculty, and (2) to centralize lead responsibility for faculty support services within the Office of the Provost. The former was presented as a permanent accommodation, the latter as a transitional to build capacity for academic personnel administration and support services.

During 2014, the proposals underwent extensive stakeholder vetting, with presentations to multiple faculty leadership, senior management, and staff constituencies. The breadth and depth of stakeholder outreach set a CDU benchmark for shared governance engagement. *Attachment III.28* provides the full faculty contract and service cluster proposals considered, and a detailed timeline of the multiple checkpoints and feedback loops with the senior management and faculty of the University. (CFR 4.6)

The final terms of CDU faculty contracts were settled by mid-November 2014 and included guarantees of paid protected time and full payroll for full-time faculty, effective January 2015. The Office of the Provost hired its first faculty cluster coordinator effective November 1, 2014, and he is responsible for research faculty based in the college of medicine, including: (i) preparation of e-PAFs; (ii) oversight of faculty payroll processing; (iii) the integrity and security of faculty data and records; and (iv) the formation of a cross-functional advisory team to oversee employment terms and systems for the research faculty cluster.

Removing faculty from "at will" status and offering contract guarantees comprise a significant and transformational change in the employment relationship of faculty to the University, and offer faculty a measure of financial security as CDU consolidates and builds upon its financial recovery. By beginning to redress faculty concerns about security of employment and satisfactory support services, the University is creating conditions to improve faculty morale and productivity. By the time of the WSCUC special visit in late February 2015, the initial impact of these critical faculty employment security and support service initiatives will be apparent, since all full-time faculty who want a contract will have one effective January 1, 2015.

#### **4. Faculty Self and Shared Governance**

Clarifying and elaborating appropriate engagement of faculty in the shared governance of the University are deeply embedded in the narratives and supporting evidence cited above. The SWOT analysis of the CDU working group on faculty affairs suggested substantial strengths and weaknesses across the three main dimensions of governance systems (pertaining to political, economic, and civic functions). Positive outcomes in the evolution of faculty capacity for effective shared governance include: (i) annual election cycles for faculty governing body leadership; (ii) extensive engagement by and among faculty in the annual CDU budget and planning process; and (iii) the unwavering commitment of faculty to the service mission of the University in support of student success and the public good. (CFR 3.10)

Shared governance challenges include concerns over: (i) the delegation and legitimacy of authority; (ii) role of faculty in budget planning and decision-making processes; and (iii) the expanding weight on junior faculty of institutional and community service. Both the faculty leadership of the Academic Senate and senior executives of the University remain committed to fully establishing mutual respect and trust as a foundation for effective administration of CDU academic affairs.



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The explicit steps toward effective shared governance taken since 2011 coalesced around the expertise of the [American Association of University Professors](#) (AAUP) and [Association of Governing Boards](#) (AGB). Concrete examples include:

- (a) Participation of faculty in AAUP workshops on shared governance.
- (b) Formation and regular meetings of an AAUP chapter on campus.
- (c) External review by a team of two consultants with deep AAUP experience.
- (d) A second external review by an AGB consultant.
- (e) An off-site retreat facilitated by the AGB consultant.
- (f) Creation of a university-wide committee on shared governance.

A team of CDU faculty members attended an AAUP shared governance workshop conducted in Washington, DC in mid-November 2011. Faculty participants concluded that shared governance at the University was comparatively weak, and they prompted various Academic Senate initiatives to deepen faculty engagement across college/school lines and with the senior executives of the University. A campus chapter of the AAUP was officially recognized on September 11, 2013, and three college of medicine faculty were elected as presiding officers on January 31, 2014. The chapter cites climate surveys as chief sources of information on stakeholder sentiments, and in order to reduce adverse sentiments, their stated priorities include promoting faculty rights and shared governance, and encouraging open communication and increasing transparency in relations with senior management (see *Attachment III.29* for the executive summary and slide show that the inaugural chapter President presented in February 2014 to the Academic Senate of the University about the establishment and proceedings of the local chapter).

Concurrently, the interim Provost and Academic Senate President collaborated to sponsor an external review of CDU shared governance capacity and effectiveness by two consultants with extensive AAAUP experience, Dr. Deborah Faye Carter and Dr. Jack Schuster. They visited the University on January 14, 2014 and conducted evidentiary interviews with several executive and faculty leadership constituencies, including: (i) the executive management team; (ii) college of medicine faculty executive board; (iii) college of science and health faculty; (iv) school of nursing faculty; (v) legislative council of the Academic Senate; (vi) full Academic Senate; and (vii) council of Deans.

Dr. Carter and Dr. Schuster submitted their report on March 14, 2014 (*Attachment III.30*). They recognized the recent history of institutional (primarily financial) instability that motivated mistrust, were impressed by the common deep commitment to the mission of the University as a strong foundation for collaboration, and concluded that appropriate structural elements were in place to make substantial progress on shared governance relations and outcomes.

Recommendations advanced in their report included:

- (a) Improve communication between faculty and administrators.
- (b) Clarify administration and faculty roles in governance.
- (c) Increase faculty numbers in university governance structures.
- (d) Convene workshops or retreats focused on shared governance.

A companion external review, also jointly sponsored by executive and faculty leadership, was conducted on May 22, 2014 by Dr. Zeddie Bowen, an official representative of the association of governing boards (AGB). He met with many of the same stakeholder groups, plus the general counsel of the University and chairs of the bylaws and academic affairs committees of the Board of Trustees. Dr. Bowen returned to campus the following week (on May 31, 2014) to present his findings and recommendations, first to the full Board of Trustees and then to the legislative council and committee chairs of the Academic Senate (see *Attachment III.31*). He concurred



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with and echoed the findings of the former consultants, and concluded that: (1) faculty lack experience with a mature and progressive shared governance system; and (2) board of trustee and senior management engagement with faculty must increase. With a call to lead by example, his four general recommendations were directed primarily at the Board of Trustees, including:

- (a) Embrace shared governance as a way to develop shared priorities and effort. Give it a public face.
- (b) Acknowledge and address concerns of the faculty. Understand that faculty angst affects the staff and erodes effectiveness. View it as a strategic issue with significant risk to CDU.
- (c) Begin a collaborative process involving the active participation of leaders of the board, administration, and faculty to define what shared governance means at CDU and clarify the roles and responsibilities of each of the three in the process.
- (d) Focus the board's attention on issues impeding healthy collaboration in shared governance.

The President of the University, in collaboration with the Board of Trustees and Academic Senate leadership, brought Dr. Bowen back to facilitate a multi-stakeholder retreat on shared governance. The full-day retreat was held at the headquarters of The California Endowment in downtown Los Angeles on September 10, 2014, and engaged a cross-section of over 40 individuals. Participants included representatives of the CDU Board of Trustees, executive management team, and Academic Senate leadership, plus several student leaders and staff members responsible for academic affairs administration. (CFR 3.6)

The proceedings catalyzed deep and frank discussion about the status and stakes of shared governance at the University. In addition to review of long-standing AGB and AAUP perspectives on definitions and core operating principles of shared governance, exercises conducted that day included comparative analysis of the CDU statement on shared governance ratified by the Board of Trustees in December 2010, relative to similar documents from two other higher education organizations.

Participants in the retreat recognized the critical importance of mutual respect and trust as a pre-requisite to effective shared governance. They also concurred that CDU could capitalize on the unifying mission, vision, and value statements of the University as the strongest possible foundation for future institutional progress. Actionable results included a commitment to releasing a joint university-wide broadcast message about the retreat substance and outcomes from the Board of Trustees, office of the President, and Academic Senate. *Attachment III.32* provides the packet of materials prepared for the retreat and subsequent joint communiqué. A university-wide committee composed of faculty, senior management, and Board of Trustee representatives is being established in part to draft a new Board of Trustees statement on shared governance. (CFR 3.10)

### **5. Professional Development and Continuing Education**

CDU continues to invest heavily in the professional development of faculty at large, faculty administrators, and other academic affairs officers of the University. Recent engagements with AAUP consultants and AGB representatives comprise just one facet of professional development activities for CDU faculty, executive officers, and support staff. Since the 2010-11 academic year, the University opened multiple new avenues for meaningful participation of faculty in professional development, continuing education, and inter-professional programs. (CFR 3.3)



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The first phase in 2012-13 entailed extensive external engagement with WSCUC and other accreditation agencies. CDU invested over \$20,000 for faculty, staff, and student participation in off-site training workshops and regional conferences on regional and professional accreditation. *Attachment III.33* provides details on the WSCUC proceedings attended by CDU personnel during that academic year. During 2013-14, CDU focused on intensive internal engagement, through in-house workshops facilitated by accreditation consultants. The consultants included Dr. Mary Allen from September 12-13, 2013 on assessment, and Dr. Cyd Jenefsky from October 31 - November 1, 2013 on academic program review. They met with specific departments and oversight committees, provided evaluations of faculty capacity and academic program effectiveness, and offered concrete recommendations for assessment protocols and program review re-calibration. Specific outcomes for HLS faculty, for example, included streamlined objectives and new curriculum maps: a dramatic reduction in the number of program learning outcomes (PLOs) in conceptual alignment with the five new WSCUC core competencies for baccalaureate education. HLS also consulted over several months with Dr. Laura Martins in regard to program design options and faculty development needs. The consultant bio-sketches and meeting schedules are available in the document room. (CFRs 3.3, 4.4)

Since the start of calendar year 2014, the University focused on learning-by-doing as its primary avenue for professional development. Faculty and professional support staff had several opportunities for higher-order analysis of assessment practices and implications, in tandem with the WSCUC working group self-study process. COSH faculty and administration held a variety of faculty development retreats over the past year to ensure compliance with regional and professional accreditation standards through clearly articulated program learning outcomes, related multi-year assessment plans, and curriculum mapping that demonstrates how the five WSCUC core competencies are met in COSH programs (a copy of the proceedings materials and resulting work products is available in the document room).

The office of the Dean in COM remains in the forefront of elaborating continuing education programs in close partnership with the college of science and health and the school of nursing and affiliate clinical institutions. The continuing medical education (CME) program recently received professional accreditation with commendation by the [Accreditation Council for Continuing Medical Education](#) (ACCME). Only 21% of CME programs have achieved this commendation status, by fulfilling all regular accreditation requirements plus an additional six criteria concerning a provider's commitment to outreach with the larger healthcare environment. According to the ACCME review, CDU has "*demonstrated an engagement with [its] environment in support of physician learning and change that is part of a system for quality improvement.*"

The COM grand rounds initiative constitutes an exemplar of the field-specific and inter-professional synergy at the heart of these value-added educational activities. Every month there is a one-hour training event regarding current topics in medicine with both didactic and interactive activities; the grand round sessions are often hosted at the health center facilities adjacent to the CDU campus, and are open and advertised to all CDU faculty, students, and community affiliates. Topics addressed recently include: (i) cervical cancer prevention; (ii) health care behind bars; and (iii) integrating social determinants of health and clinical care. A cancer journal club also meets routinely, and a copy of the publicity and proceeding materials for these and other CME events over the past year is available in the document room.

The school of nursing (SON) is also rapidly expanding continuing education and other nursing profession training initiatives, including funding via UCLA to participate in the "*bridges to the doctorate*" program of the health resources and services administration (HRSA) of the US department of health and human services (HHS). Most recently, the



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interim Dean of SON, Dr. Shirley Evers-Manly, was awarded a \$1.1 million grant from HRSA for support of advanced nursing education (effective 7/2014 - 6/2017).

SON faculty members are required to receive specialized training in simulation technology and delivery. In early November 2013 the school hosted its first annual national nursing conference on “*finding our theoretical voice.*” Founders and frameworks at the forefront of nursing theory innovation were the focus of the conference proceedings, and participants could be certified for six contact hours of registered nurse continuing education under the auspices of the California board of registered nursing. The second annual “*finding our theoretical voice*” conference was held at CDU on October 22, 2014, and was focused on a call to serve military families; proceedings addressed health and psycho-social issues that affect active-duty military personnel, veterans, and their families.

Significant progress has been achieved since 2011 in the areas of concern regarding faculty affairs, including establishing a foundation for continued engagement of faculty with senior executives and the Board of Trustees within a shared governance framework. (CFRs 3.3, 3.10)

### **IV. Identification of Other Changes or Issues the Institution is Facing**

For WSCUC self-study report preparations, CDU also formed a fourth working group to explicitly evaluate the progress of the University in elaborating and refining its one-university approach to academic affairs administration. The focus of this group was on issues of building and managing infrastructure capacity. Specific topics addressed by the supplemental working group included: (i) campus safety and public security; (ii) information technology and services; (iii) data integrity, accessibility, and security; (iv) library resources and services including student learning platforms; and (v) simulation program capacity and cost center consolidation (see *Attachment IV.01* for an inventory of the terms and status of infrastructure projects over the past few years).

The University is an open campus, with a variety of evening and weekend courses of instruction to accommodate executive-style, pipeline, and community service programs. The campus is situated next to several other educational and healthcare organizations, including an elementary school and the King-Drew medical magnet high school, the MLK Jr. out-patient center, and multiple collateral healthcare, medical research, and community service facilities. There are no student dormitories, but CDU does own and oversee the management of an adjacent apartment complex. For a relatively small higher education institution, the campus encounters a flow of diverse individuals and groups at various times every day of the week.

The mandatory [Clery reports](#) for CDU reveal a safe campus environment, with only a few instances of actionable personal or property crime in any given year. Recent campus security incidents prompted substantial investment by the University to deploy several new public safety technology and services. Feedback from students, faculty, and staff motivated: (i) new emergency communications, campus lighting, and video surveillance systems; (ii) installation of speed bumps and crosswalks; and (iii) courtesy shuttle services with security officers to mass transit hubs. For example, in late 2013 with support from the Parsons Foundation, the University purchased and installed over 50 high-definition Internet Protocol (IP) security cameras across six campus structures, including main parking structure of the University's. The upgrade from the prior analog security camera system to a more modern IP-based camera system expands the reach of CDU safety and security officers across all operational facets, including for real-time surveillance and post-incident investigations (see *Attachment IV.02* for the full report on campus facilities and security).



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CDU also manages complex arrays of information technology and services. Reliable communications and data infrastructure are critical to both academic and business affairs; these systems must be simultaneously accessible for normal operations and secure for regulatory compliance (e.g., to protect student and patient rights, FERPA and HIPAA, respectively). Over the course of the past three years the University faced periodic campus-wide power failures, several e-mail and other computer server outages, and a few minor earthquakes. Affected areas included: (i) loss of communication channels; (ii) cancelled classes and missed meetings; and (iii) loss of data or blocked access to data infrastructure.

In response, information systems (IS) personnel conducted a thorough self-study over the past year on how best to manage and mitigate the risk of such recurrent challenges. The IS self-study process and results (see *Attachment IV.03*) inform the current terms of accelerated CDU investment in educational, communications, and data infrastructure development. The cost objectives of substantial Title III funding for 2012-14 included improved management systems infrastructure and improved performance of the office of institutional research and effectiveness. Specific operational areas with the broadest exposure and deepest impact included provision of data and technical services for: (i) accurate and timely regulatory reporting; (ii) public release data platforms; (iii) climate and alumni surveys; (iv) long-range tuition modeling; and (v) academic program review committee deliberations. (CFR 4.2)

The University continues to invest strategically in new and improved facilities, physical resources, and support services that directly support or impact instructional or research activities. Several campus classrooms and teaching facilities, particularly simulation labs and clinical teaching sites, are undergoing upgrades to educational technology infrastructure through a \$5 million capital equipment grant (through state proposition 1D/University of California). Upgrades range from classroom audio-visual and clinical simulation equipment to high-definition video-conferencing technology and support services for tele-clinical programs in medicine, ophthalmology, and psychiatry. (CFR 3.5)

As a health profession, medical science, and clinical research university, expansion of library resources and services over the past four years is especially consequential. An external review of the health sciences library in the 2010-11 academic year prompted progressive investment and improvement in several areas, including for: (i) increased library staffing and hours; (ii) enhanced technical resources and services for educational programs; (iii) provision of learning system management and information literacy workshops; (iv) expansion of physical capacity with new computer workstations, upgraded audio-visual equipment, and dedicated quiet study rooms.

Similarly, the University continues investment in building simulation capacity and educational programs. Instructional space in the new \$50 million life sciences research and nursing education (LSRNE) building was purposefully designed to facilitate seamless transitions from didactic lectures to simulation exercises. CDU maintains a sophisticated simulation technology portfolio, and a specialist in simulation technology was hired for the school of nursing in spring 2014. In addition to supporting targeted instruction on nursing practice skills, these new CDU facilities and personnel are being leveraged for university-wide training programs that involve faculty and students from all three main academic areas (medical, nursing, and allied health education).

The impulse for cross-training initiatives is to bridge traditional schooling methods with current working environments. Students tend to learn in disciplinary silos, yet must work in team settings. Inter-professional education (IPE) training requirements are now widely embraced by clinical program accreditation and licensing agencies. CDU is progressively well positioned to fulfill external regulatory requirements, with rapidly expanding simulation programs for 'soft



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skills' training in cultural sensitivity and inter-professional collaboration, performance areas where emotional and social intelligence are as important as clinical knowledge and practical skills. Cost objectives of the current Title III funding cycle (roughly \$10 million over five years as of fall 2014) include IPE program support (\$100,000 annually) and a new activity for creation of a dedicated academic resource center. Budget provisions for center start-up include funding of professional staff in the areas of learning skills, student retention, assessment, and career counseling; a search for a director of assessment is underway. (CFRs 2.8, 4.4, 4.7)

In 2013 the interim Provost tasked the three academic Deans of the University to form a joint simulation program oversight committee. The general intent was twofold: (1) to organize the growth of faculty capacity and stimulate cross-program synergy; and (2) to more effectively manage expansive simulation resources, personnel, and program options. Specific objectives in progress include: (i) nurturing shared understanding about field-specific curricular requirements for team-based training; (ii) profiling current simulation programs in each college/school and identifying overlapping needs and collaboration opportunity; (iii) creating a master inventory control system for simulation technology and supplies; (iv) identifying the 'true costs' of simulation technology, personnel, and program logistics; and (v) conducting a feasibility study for a consolidated university-wide simulation cost center, for both internal consolidation purposes and out-sourcing of capacity for facility use by other higher education and healthcare providers. A portfolio on the simulation oversight committee charge and composition, and a roster of simulation events hosted at CDU during the past few years, are available in the document room.

### V. Concluding Statement

CDU has been consistently responsive to WSCUC on accreditation issues raised in the 2011 WSCUC Commission action letter. The University demonstrates significant improvement since the last special visit by WSCUC, and is normalizing mechanisms and benchmarks for continuous improvement in the near future. The institutional trajectory is set and CDU continues to make measurable progress in moving toward academic excellence and the opportunity to realize its mission as a private university serving the public good.

The working groups which led the 2014 self-study process are now standing committees of the University, and will continue to meet in anticipation of, and preparation for, the comprehensive review for CDU reaffirmation in 2017-18. (CFR 4.5) The results of self-study process identified nine action items which set the stage for future institutional progress (see *Attachment II.02* for details). Operational continuity during senior officer transitions, and maturation of effective shared governance systems, comprise top management priorities. Critically, the President and Board of Trustees are committed to hiring a permanent Provost by summer 2015, to serve as second in command with expanded authority as an Executive Vice President for academic affairs (EVPAA).

The long-term debt and SWAP agreements of the University were successfully re-negotiated in fall 2014, and reduced exposure to cash flow and macro-economic risk. CDU is assembling the critical elements that must factor into any new long-range financial sustainability plan. Unrestricted budget balance sheets are stabilized, the sponsored research portfolio and endowment of the University remain secure, and CDU can count on growing returns from investment in consolidation of donor, alumni, and public relations under the office of strategic advancement. CDU is now focused on confirmation of the draft capital improvement plan, and preparation of a master research plan by the interim Executive Vice President for Research and Health Affairs. The senior management of the University expects completion and initial



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implementation of a long-range financial sustainability plan by the sunset and reset of the current strategic and academic plans in summer 2016.

The University has made substantial strides on four other strategic priorities.

1. In close collaboration with the policy steering committee chaired by the general counsel of CDU, to lead efforts at timely policy enactment, education, and enforcement. Specific initiatives include:
  - a. On-going confirmation of policy authorization and attendant delegation of authority by the Board of Trustees.
  - b. Re-deployment of a consolidated web-based inventory of university-wide policy and procedure documents (see CDUNET).
2. Brokering continuing negotiations between senior management and faculty leadership for provision of meaningful employment contracts and effective faculty payroll and due process systems.
  - a. Implementation as of January 1, 2015 of faculty contracts for all fulltime faculty that include 20% protected time.
  - b. Already envisioned for FY16, faculty contract terms for part-time as well as full-time compensated faculty.
  - c. Additional support services to expand management of faculty payroll. Telling evidence will include the extent to which faculty payroll problems are reduced and faculty satisfaction with support services is increased.
3. Continued emphasis on student success as manifest in student recruitment, retention, and graduation rates, and in licensure exam passage and gainful employment rates. Current trends are acceptable and benchmarks with stretch goals have been set for the next fiscal year (FY16).
  - a. Best practices for routine assessment of student learning outcomes and rigorous academic program review are now embedded in some programs and being shared interdepartmentally. The University will continue to leverage the best practices of WSCUC and specialized accreditation agencies to ensure academic program financial viability and educational effectiveness.
  - b. The health and life sciences (HLS) department is in the midst of a major review and revision. By the time the special visit team is on campus in February 2015, HLS faculty members will have completed a self-study of program design and demand, and devised appropriate and new student admissions and course enrollment goals. As enrollments grow in this program a side effect of will be greater faculty job security and stability from year to year. A new HLS program director as well as a new Dean of COSH will help bring fresh insight, energy, and ultimately success to this important program for CDU.
4. Building and evaluating infrastructure capacity under a one-university model for academic affairs administration. This includes:
  - a. New technical platforms for data repositories and reports, integrated effort reporting, omnibus climate surveys, and records retention compliance.



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- b. External reviews of core administrative units and university-wide academic programs during FY16 and FY17, including, independent evaluation of the functions and performance of the office of institutional effectiveness and research, and a feasibility study of simulation program and cost center consolidation. This will prepare us for program expansion within the term of the master plans of the University. (CFR 4.2)

### **Reaching Forward**

The present self-study report is primarily retrospective by design, with critical analysis and assembly of supporting evidence on CDU institutional progress since the last special visit in spring 2011. The University has not lost perspective on the significant progress made since 2011, and remains faithful to its mission and stated goals even as it undergoes appropriate change and growth. CDU is deepening its one-university model for academic affairs administration with open and transparent communication systems and shared governance initiatives, and all of the cultural changes involved in such a transformative process. These changes now have a strong foothold and the University can anticipate positive developments for many years. CDU stakeholders are excited at the energy and focus on the future that this vision provides and the institution will continue on its pathway to greater distinction in all academic, research, and student success areas.

With its own clear and unwavering commitment to serve underserved communities, the University remains confident of meeting WSCUC expectations as it progresses through the mid-point review in early 2015 and prepares for the comprehensive review for reaffirmation of accreditation in 2017-18.