



BATES COLLEGE SELF-STUDY REPORT

in preparation for

**REACCREDITATION BY THE
NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES
2000**

Bates College Self-Study Report, 2000

TABLE OF CONTENTS

Institutional Characteristics	i
Chief Institutional Officers	ii
Bates College Accreditation Team Members	iii
Introduction	1
A Brief History of Bates College	3
Standard 1: Mission and Purposes	5
Standard 2: Planning and Evaluation	7
Standard 3: Organization and Governance	15
Standard 4: Programs and Instruction	17
Standard 5: Faculty	36
Standard 6: Student Services	49
Standard 7: Library and Information Resources	64
Standard 8: Physical Resources	73
Standard 9: Financial Resources	75
Standard 10: Public Disclosure	79
Standard 11: Integrity and Concluding Remarks	80
CIHE Data Forms	90

Appendices for Bates College Self-Study Report, 2000

OVERVIEW OF SUPPORTING DOCUMENTS IN THE APPENDICES

(The overview provides a thematic summary outline of *major* groups of supporting documents in the order in which they have been arranged according to NEASC standard. Individual pages have not been numbered. The Appendices are contained in a separate volume that is available in hard copy format only.)

Bates College Accreditation Team Members

Standard 1: Mission and Purposes

- Mission Statement
- A Model for Undergraduate Learning

Standard 2: Planning and Evaluation

- Goals 2005 vision documents
- Planning, Evaluation, and New Programs Timeline
- Assessment Goals: Academic Programs
- Bates Key Indicators by Decade
- Levels of Evaluation and Assessment at Bates
- Recent Survey Research at Bates
- Academic Department and Program Reviews
- The Bates Comprehensive Campaign 2000-2005 (preliminary priorities)
- Statistical Review of Bates College

Standard 3: Organization and Governance

- Organization Charts, 2000 and 1990
- 1999-2000 administrative restructuring
- Committees at Bates (selected list)

Standard 4: Programs and Instruction

- Fields of Study 1999-2000
- New Academic Programs Established
- New "Maxi-flex" Class Schedule (effective Fall 2000) Admissions
- Student Enrollment
- Majors
- Course Enrollment
- Grade Distribution, Dean's List, Summer Research
- Off-campus Study
- Persistence and Retention
- Graduation

Standard 5: Faculty

- Faculty Count Historical Statistics, Demographics, Tenure profile
- AAUP Full-time Faculty Salary Trends, Demographic Profile, and Peer Comparisons

Standard 6: Student Services

- Housing
- Student Activities
- Athletics

Standard 7: Library and Information Resources

- Library Statistics
- Peer Comparisons

Standard 8: Physical Resources

- Major Construction and Renovations
- Net Assignable Square Footage by Building and Function

Standard 9: Financial Resources

- Summary Budget
- Financial Statement Trends and Ratios
- Comprehensive Fee
- Financial Aid
- Capital Campaigns
- Annual Giving
- Endowment
- Staff Counts

Standard 10: Public Disclosure

- Public Request for Comments on Re-accreditation

Standard 11: Integrity

- Commencement and Convocation Speakers
- Affirmative Action Goals
- Y2K Issues

Supplement 1: Selected Survey and Outcomes Data

- Selections from Admitted Student Questionnaire
- Selections from CIRP First-Year Student Surveys
- Selections from Senior Surveys
- Selections from 2000 Senior Thesis Evaluation Survey
- Selections from Alumni Surveys
- Selections from 1997 Alumni Education After Bates Study
- Selections from 1998 Baccalaureate Origins of Doctoral Recipients Study
- Selections from 1999 Self-Study Survey

Supplement 2: Selected Peer Group Comparisons

In a separate appendix:

- Most Recent Financial Report and Independent Auditor's Report (6/30/1999)
- Proof of Insurance

Institutional Characteristics -- BATES COLLEGE

	Date:	June 18, 2000
1.	Corporate name of Institution	Bates College. (Legal name of the corporation is "President and Trustees of Bates College".)
2.	Address, (city, state, zip code)	2 Andrews Road, Lewiston, ME 04240
	Phone	(207) 786-6255
	Internet	http://www.bates.edu
3.	Date institution was chartered or authorized	March 16, 1855, Maine State Seminary incorporated by the Legislature of Maine. On February 14, 1962, the Maine governor signed a bill creating a collegiate course of study within the Maine State Seminary. On January 19, 1864, Legislature of Maine changed name to Bates College and confirmed its collegiate powers.
4.	Date institution enrolled first students in degree programs	September 1863
5.	Date institution awarded first degrees	July 31, 1867
6.	Type of control:	Independent, Non-profit
7.	By what agency is the institution legally authorized to provide a program of education beyond high school, and what degrees is it authorized to grant?	
	Agency:	Legislature of the State of Maine
	Degrees:	Bachelor of Arts, Bachelor of Science
<i>(Attach a copy of the by-laws, enabling legislation, and/or other appropriate documentation to establish the legal authority of the institution to award degrees in accordance with applicable requirements.)</i>		
See the Organization and Governance folder in the Team Workroom, or: http://www.bates.edu/admin/charter.by-laws.html		
8.	Level of postsecondary offering:	4 or 5 year baccalaureate degree-granting program 3 year baccalaureate degree option 5 year Liberal Arts-Engineering Dual Degree Plan in cooperation with Columbia University, Dartmouth College, Rensselaer Polytechnic Institute, Case Western Reserve University, or Washington University, St. Louis.
9.	Type of Undergraduate programs	Liberal arts and general Teacher preparatory
10.	The calendar system at the institution is:	Semester (4-4-1) Fall and Winter Semesters, plus a Short Term
11.	What constitutes a "normal" credit hour load for students each semester?	
	a) Undergraduate (no graduate offerings)	4 courses
12.	Student Population:	
	a) How many full-time students in degree programs?	
	1. Undergraduate	Fall 1999 Headcount: 1706 Total (835 male; 871 female)
	2. Graduate	graduate programs not offered
	b) How many part-time students in degree programs?	
	1. Undergraduate	None. All students take a full-time program
	2. Graduate	graduate programs not offered
	c) How many full-time equivalents (total population)?	
	1. Undergraduate	Fall 1999 FTE: 1706 Total (835 male; 871 female)
	2. Graduate	graduate programs not offered
	d) How many students (headcount) in non-credit, short-term courses?	not offered
13.	List all programs accredited by a nationally recognized, specialized accrediting agency. List the name of the appropriate agency for each accredited program.	
	Undergraduate program:	New England Association of Schools and Colleges
	Chemistry:	Carnegie Foundation for the Advancement of Teaching American Chemical Society
14.	List by name and title the chief administrative officers of the institution.	See list attached.
15.	Supply a table of organization for the institution.	See attached.
16.	Record briefly the central elements in the history of the institution.	See attached.

CHIEF INSTITUTIONAL OFFICERS

FUNCTION OR OFFICIAL	NAME	EXACT TITLE
Chair Board of Trustees	James Leander Moody	Chair, Board of Fellows
President/Director	Donald W. Harward	President
Chief Academic Officer	Jill N. Reich	Vice President for Academic Affairs and Dean of the Faculty
Dean of the College	James Walter Carignan	Dean of the College
Chief Financial Officer	Peter C. Fackler	Vice President for Asset Management and Treasurer
Controller	Terry J. Beckmann	Vice President for Budgeting and Accounting and Controller
Chief Student Services Officer	F. Celeste Branham	Dean of Students
Institutional Research, Planning	James C. Fergerson	Director of Institutional Planning and Analysis
Development	Victoria M. Devlin	Vice President for Development
Library/Information Services	Eugene Lee Wiemers	Associate Vice President for Academic Affairs, Director of Information Services and Librarian of Bates College
Admissions	Wylie L. Mitchell	Dean of Admissions
Registrar	Meredith Horton Braz	Registrar and Director of Student Financial Services
Public Relations	Bryan McNulty	Director of College Relations
Alumni Relations	William C. Hiss	Vice President for Alumni and External Affairs
Affirmative Action Officer	Joanna E. Lee	Director of Affirmative Action

NEASC ACCREDITATION SELF-STUDY 2000

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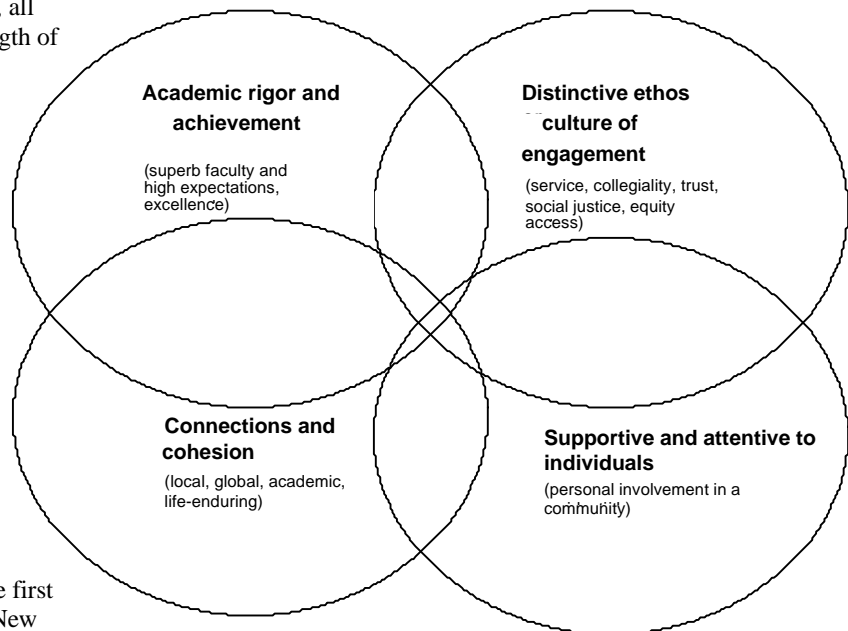
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Introduction

What distinguishes Bates as an outstanding liberal arts college? As the Self-Study Team met throughout the 1999-2000 academic year, it often found its discussions returning to the fact that the experience of a Bates student is more than a collection of courses, more than a series of encounters with teachers, more than four years of residence hall life. As a residential college, Bates provides opportunities for students to weave these threads into an integrated experience that is ultimately greater than the sum of its individual parts. We also expect students to take significant responsibility for their progress in this endeavor. This integration requires awareness of the connection between classroom experiences and the rest of life, awareness that there is something to learn from all people, and awareness that one develops values not by reading about them, but by living them. Integration also requires a balance between attention to the individual and honoring the individual's relationship to the larger community, both local and global.

While different for each student, a Bates education embraces common themes. The student's experience evolves through time, beginning with an introductory year of acquiring the ability to think critically, analyze and communicate clearly, while also learning about the residential community, connecting with faculty, and formulating personal expectations of excellence. It culminates in the final year during which students hone independent thinking and build on earlier experiences, demonstrating their achievements and ability to logically synthesize and construct knowledge and to connect it to action. For most, the interim years include an international experience. Permeating the years are threads of service-learning, exposure to both disciplinary and interdisciplinary work, internships, experiences with research and discovery, and acquisition of confidence with technology and the consequent application of these experiences in internships and summer jobs. By so doing, our students learn to navigate complexity, evaluate vehicles of information, and assess sources of knowledge and belief—all within a broad perspective on culture—local, national, and international. The senior year becomes not only a time of culmination, but also a time of transition to a life that has been enriched by Bates.

This diagram, developed as part of our Goals 2005 planning process, characterizes the Bates educational experience as the intersecting dimensions of campus ethos, attention to the individual, and establishment of linkages, all reinforcing a central strength of academic rigor and achievement. These dimensions permeate a Bates education. In a sense, what distinguishes Bates are not only these dimensions, but most important, their connections.



Bates' history is one of integrating education with egalitarian values in a residential setting. Bates was among the first colleges in the country to admit African-Americans. Bates was the first coeducational college in New England. Bates has never had fraternities or sororities. Bates can move forward on a foundation of confidence we have gained by better understanding our distinguishing qualities and connections to our traditions and past successes.

In 2005 Bates will celebrate its 150th year. These intersecting dimensions are the foundation on which we plan and build our actions. The Goals 2005 plan, built on extensive discussions among trustees, alumni, faculty, staff, and students, connects directly to these institutional values. We can carry out our plans effectively because we can rely on a core of campus leaders and an institutionalized planning process that has been strengthened since our last Self-Study. These leaders are carrying out the Goals 2005 recommendations, enabling them to permeate our initiatives and to connect our activities to our vision. The Goals 2005 planning process has provided us with a formal mechanism with which to address, prioritize, communicate, and evaluate strategic goals for the College.

This 2000 Self-Study has given us an important opportunity to reflect on our goals, achievements, and challenges as a way to understand how we best move forward. With NEASC's knowledge, we have chosen not to rigidly structure this report using the traditional labels of "description, appraisal, and projection". Rather, these elements are interwoven throughout the text in ways that will become readily apparent to the reader. We also point the reader to the Goals 2005 documents for further documentation of the way Bates constructs its present to direct its future.

Although ten years is not long in the life of an institution, the accomplishments of the previous decade have been exciting and most productive for Bates. We have learned how to incorporate planning into our work, to translate ideas into action, and action into outcomes. We look forward to utilizing the successes of the past decade as the building blocks of excellence in the century ahead.

A Brief History of Bates College

As with most New England educational institutions, religion played a vital part in the College's founding. In the mid nineteenth century, Oren B. Cheney, a Dartmouth graduate and minister of the Freewill Baptist denomination, conceived the idea of founding the Maine State Seminary in Lewiston. Within a few years the seminary became a college, and it was Cheney who obtained financial support from Benjamin E. Bates, the Boston manufacturer for whom the College was named. Bates was the first coeducational college in New England, admitting students without regard to race, religion, national origin, or sex. This philosophy means that student organizations are open to all, setting an important tone and culture in our community. For example, there are not, nor have there ever been, fraternities or sororities at Bates.

Oren B. Cheney is now honored as the founder and first president of the College, serving from 1855 to 1894. He was followed until 1920 by George Colby Chase, who led the young institution through a period of growth in building, endowment, and academic recognition — a growth that continued from 1920 to 1944 under President Clifton Daggett Gray, and through 1966 under President Charles Franklin Phillips. Thomas Hedley Reynolds, the College's fifth president (1966 to 1989), brought Bates to national attention by developing both a first-rate faculty and innovative academic programs.

Donald W. Harward, Bates' sixth president, began service to the College in 1989. Under his leadership, Bates has secured its place as one of the nation's finest colleges. By engaging in discussions about the challenges the College faces, planning appropriately, and acting vigorously, Bates is poised for continued excellence in the next century. These challenges include the information explosion, accelerating fragmentation of knowledge, shifting boundaries of traditional academic disciplines and methodologies, an increasingly collaborative approach to discovery and communication, the challenge of articulating the value of liberal education, and the continued fiscal health of the institution.

Consistent with its purpose of providing the benefits of a small residential college, Bates has limited its admissions and grown slowly, yet it also has pursued an ambitious program of building and equipment acquisition to support teaching. Recent additions and renovations in Carnegie Science Hall and Dana Chemistry Hall have increased facilities available for research-based independent student work and have provided laboratory space for the College's new programs in biological chemistry and neuroscience, as well as a state-of-the-art chemical storage facility. At the same time, the sciences have been enriched by the addition of several major instruments, including two electron microscopes, an NMR spectrometer, a PCR thermocycler for DNA sequencing, and a flow cytometer.

The College's newest academic building is Pettengill Hall, named in honor of Frederick B. "Pat" Pettengill '31 and Ursula P. Pettengill. Dedicated in 1999, Pettengill Hall is a ninety-thousand-square-foot structure housing fully networked teaching spaces, faculty offices, laboratories, student research centers, and other facilities for eleven social science departments and interdisciplinary programs once physically dispersed around the campus. Pettengill Hall provides a new arena for intellectual interaction and provides an environment for greater utilization of technology in teaching and research. The building's design also fosters the connection between formal and informal learning; the Perry Atrium, named in memory of Joan Holmes Perry '51, is a flexible and accessible gathering space that encourages students to better integrate their academic experiences with overall life at Bates.

Student life facilities at Bates are also varied and well equipped. The Clifton Daggett Gray Athletic Building, renovated in 1990, provides a versatile center for a wide variety of all-campus gatherings. Three new residence halls and a social center, built in 1993, were designed to help integrate living and learning by mixing dormitory rooms, lounges, seminar rooms, and space for dining and campus events. The Joseph A. Underhill Arena, which includes an indoor ice rink and the Davis Fitness Center, opened in 1995, and two large houses on the campus have been refurbished to serve as the College's Multicultural Center and Alumni House. In 2000-2001, the James G. Wallach

Tennis Center will open, with eight courts for varsity and intramural play. At this writing, the College's fields are being rebuilt in support of the athletic program.

Bates is committed to its home community of Lewiston and neighboring Auburn, which together form a small urban center of about sixty-five thousand people. The College and the two cities are involved in an extensive collaboration known as LA Excels. This effort brings leaders from all sectors of Lewiston and Auburn, together with members of the College administration, faculty, students and staff, to work toward the highest standards in six areas of community life: educational aspirations, economic vitalization, culture and diversity, environment and quality of life, leadership development, and family. LA Excels, initiated by the College, asks what Lewiston and Auburn can become with selective transformative change based on a common community vision of excellence.

Standard 1: Mission and Purposes

The current Mission Statement of the College was adopted in 1990:

Bates is a college of the liberal arts and sciences, nationally recognized for the qualities of the educational experience it provides. It is a coeducational, nonsectarian, residential college with special commitments to academic rigor, and to assuring in all of its efforts the dignity of each individual, and access to its programs and opportunities by qualified learners. Bates prizes both the inherent values of a demanding education and the profound usefulness of learning teaching, and understanding. Moreover, throughout the history of the College, Bates' graduates have linked education with service, leadership, and obligations beyond themselves.

As a college of the liberal arts and sciences, Bates offers a curriculum and faculty that challenge students to attain intellectual achievements and to develop powers of critical assessment, analysis, expression, aesthetic sensibility, and independent thought. In addition, Bates recognizes that learning is not exclusively restricted to cognitive categories, and that the full range of human experience needs to be encouraged and cultivated. The College expects students to appreciate the discoveries and insights of established traditions of learners, as well as to participate in the resolution of what is unknown.

Bates is committed to an open and supportive residential environment. The College's programs are designed to encourage student development and to foster student leadership, service, and creativity. The College sponsors cultural, volunteer, athletic, social, and religious opportunities, which are open to all students, and values participation in these activities.

Bates also recognizes that it has responsibilities to the larger community. Where possible, and when consistent with its primary responsibilities to its students, faculty, and alumni, the College makes available its educational and cultural resources, its expertise, and its collective energies to professional as well as to regional communities outside the institution.

The mission statement is a platform on which we have successfully built for ten years. Mission statements, by their nature, are concise and they cannot list all an institution's activities, given our planning and growth in the past decade. Through our discussions in the Goals 2005 Planning Process, (referred to in more detail under Standard 2), we are now poised to better describe our unique vision and characteristics, and the way in which we might extend and further clarify the mission. New directions, consistent with, but not explicit in the existing mission statement include:

- The introduction of a service-learning program and its incorporation into the curriculum.
- An increase in interdisciplinary work.
- A greater emphasis and support for student/faculty research.
- A greater appreciation of the fact that faculty research enhances the student learning environment.
- More recognition of the importance of diversity to the learning environment.
- The construction of a strong community of students, faculty, and staff.
- An expansion of our off-campus and study abroad programs.

- Development of more connections with the local community and a greater sense of "place."
- Recognition of the importance of the connection between our students' residential and academic experiences.
- Greater emphasis on individual student responsibility for academic and postgraduate development.
- More emphasis on student independent research.
- Increased investment in technologies to support teaching, learning, and research.

Our mission statement not only aims to describe us, but also characterizes our aspirations. It is a yardstick against which we can measure our progress. For example, if we have achieved the "national recognition" referred to in its first sentence, it is not because we sought it, but because others have recognized the quality of what we do. As a college, it is part of our nature to seek excellence, not complacency. We have always wanted to become more than we have been. As a result, we see ourselves as having achieved some aspirations, but others continue to be "works in progress."

A great deal of thought has gone into developing the long-term goals that support our mission. Now would seem to be an opportune time to revisit our mission statement, not only to assure that it meshes well with our extensive planning efforts, but to rephrase it in a way that better describes how we are demonstrably outstanding among residential liberal arts colleges.

Building on our mission statement, the Goals 2005 Planning Group (discussed extensively under Standard 2) restated the values of the Mission Statement into four concise "core" dimensions. These themes permeate our work and will be returned to in our report:

- **Dimension 1:** An institution that presents academic rigor and achievement through its faculty, programs, and students – through its teaching, learning and scholarship.
- **Dimension 2:** A college with a distinctive ethos of civility, respect, equity, engagement, interaction, and service.
- **Dimension 3:** A college that is unequalled in establishing the connections, the cohesion, that express the promise and value of a liberal education.
- **Dimension 4:** A college that is understood and valued as supportive and attentive to individual learners and, in so doing, forges a community of distinction and excellence.

Standard 2: Planning and Evaluation

Planning:

One of the hallmarks of Bates in the last decade has been our attention to planning. Our planning has sought the participation of the various constituencies of the College to the largest extent possible. Planning in the mid- to late 1990s has been led by the Goals 2005 strategic planning effort, which established the four dimensions of the "Vision for Bates" and specified fifteen priorities for achieving that vision. It has been supported by cross-departmental and cross-functional discussions, by increased use of research and modeling, and by a mix of permanent and temporary committees and task forces.

Recently we have set specific annual goals, which we have prioritized as they compete for resources. We have improved our oversight and process management. We now evaluate accomplishment of goals at the end of the year. Most recently we are developing long-range budget and investment strategies and are beginning to plan for risks.

History. That we are in such a strong position with our planning efforts is even more significant when one realizes that before the arrival of President Harward, what planning we did was minimal and involved only a few administrators and trustees. We took our first steps in planning in 1989, when the new President established a task force to determine the priority needs of the College. The recommendations of this committee provided us with a list of projects ranging from capital needs to program and policy support needs. In 1995 the President presented to the Trustees a summary of Bates Planning Activities, which led to the establishment of the Goals 2005 Steering Committee, a group of twenty students, faculty, staff, alumni, and trustees.

The Committee met regularly for over a year to draft fifteen institutional priorities to address the four dimensions of the "Vision for Bates." The priorities are:

- **Priority 1:** Achieve the highest levels of rigorous learning and teaching; put student responsibility more at the center, and encourage the engagement of teacher and learner.
- **Priority 2:** Support additional connections of research to teaching, as well as the value of research by faculty members and by students.
- **Priority 3.** Develop and support linkages among disciplines, as well as among models of teaching, without devaluing or diminishing the importance of the disciplines or the contributions of scholarship.
- **Priority 4:** Enhance learning and teaching by extending the traditional classroom, both on and off campus; create greater flexibility in the calendar, in new venues for learning, and in collaboration among institutions.
- **Priority 5:** Identify and recruit a student population that will have the highest levels of potential for achievement.
- **Priority 6:** Develop and support greater international educational experiences, on campus and beyond, confirming the connection of learning and work in a global context.
- **Priority 7:** Develop new structures and alignment of College resources that allow students more control over their experiences at Bates.
- **Priority 8:** Reinforce the implicit covenants that bind the community; seek to understand and strengthen connections that honor civility, service, collegiality, social justice, and community trust.

- **Priority 9:** Confirm diversity as a College priority both by valuing the increased diversity of our student, faculty, and staff, as well as through the emphases expressed by the College's programs and curriculum.
- **Priority 10:** Provide spaces and facilities that strengthen the connectedness of learning, student and faculty interaction, and reinforce the culture of equal access and use.
- **Priority 11:** Reinforce a work ethic among College employees that values flexibility, cooperation, experimentation and positive responsiveness to change, as well as supports the development of professional advancement.
- **Priority 12:** Envision learning as continuous and cumulative, connecting experiences at the College with those both before and after Bates (including pre-college education), employment, graduate education, and experiences as Bates alumni.
- **Priority 13:** Create adequate resources to accomplish Bates' excellences; creatively and positively manage finances, resources, facilities and environment.
- **Priority 14:** Collaborate with the local community in ways that both serve the College's mission and recognize the reciprocity with the external community of both obligations and opportunities.
- **Priority 15:** Identify, express, and strengthen those aspects of Bates that are exemplary of its leadership and distinctiveness among the nation's finest colleges.

All members of the Bates College community had numerous opportunities to comment on the development of these priorities. Steering Committee members gave presentations to alumni clubs. There were two retreats for faculty, staff, students, and trustees. Several open forums were held on campus.

The final Goals 2005 priorities report was drafted in 1997 and published in the President's Report for distribution to the Bates community and to alumni. In 1998 the Committee distributed "A Tour of Bates in 2005," which envisions and describes what Bates might look like in the near future.

The implementation stage of Goals 2005 began with the establishment of the Goals 2005 Steering Group charged with overseeing the implementation of the priorities. Members were two faculty members, one trustee, the Senior Staff, and additional administrators. The Steering Group establishes formal lists of annual goals and priorities, linked both to the fifteen priorities and to the four dimensions. Each vice president now submits goals and needs, connecting to the vision, which are analyzed and discussed by the Goals 2005 Steering Group. The Steering Group regularly discusses progress toward the goals of the current year as well as goals for the future.

In 1998 the Trustees established the *ad hoc* Trustee Goals 2005 Committee, whose purpose was to connect the entire Board to the Goals 2005 planning effort. The Goals 2005 Steering Group met periodically with the Trustees Goals 2005 committee, whose purpose of engaging the Board in institutional planning has been served. Planning activities are now thoroughly integrated into all of the Board's activities and the committee has been dissolved.

The President communicates regularly the results of Goals 2005 initiatives and solicits feedback by several means: the fall newsletter, the annual President's Report, monthly meetings with the President's Council, monthly Faculty meetings, Trustee meetings, and various communications with students.

Among the key areas of planning focus have been:

- to strengthen key components of our learning model,
- to draft a plan for assessment of outcomes,

- to support the academic strengths of the College, including increasing the number of endowed professorships, and the endowment of programs,
- to implement and monitor the Strategic Plan for Information Technology and Library Services,
- to reduce fee dependency,
- to improve the resource base of the College,
- to connect planning to budgeting, and to establish a five-year budget plan,
- to build a connected and dynamic alumni network,
- to initiate space planning in a way that connects to our vision, and
- to continue building strong links to the Lewiston-Auburn community.

The Planning Cycle. The College now has a well-established planning cycle. Each fall the vice presidents review the previous year's goals and achievements and discuss priorities for the following fiscal year. The various departments and committees make recommendations for new initiatives. From late fall to January, the Steering Group reviews the priorities in the context of the fifteen key priorities and four dimensions grouped by area of responsibility. Some initiatives encompass several areas of responsibility.

In January, the Trustees view the priorities for the coming year and the accomplishments of the previous year. At this same meeting the Trustees set the comprehensive fee and salaries for faculty. Also in January, departments submit budget proposals for the next fiscal year. In May, the Trustees review and approve the budget for next fiscal year, including salaries for non-faculty staff.

Evaluation:

Institutional Research. Critical support for our planning has come from our institutional research office, established in 1993 with support from a Mellon Foundation grant. The goals of the grant were to introduce institutional research for planning and decision-making, to address issues of organizational restructuring and cost management, and to develop expertise in financial planning and analysis. The grant allowed us to hire a Director of Institutional Research and an Associate Vice President for Financial Planning and Analysis.

In 1996 Institutional Research hired an additional professional analyst, whose position is shared with the Registrar. In 1998 the Director of Institutional Research became the Director of Institutional Planning and Analysis and hired an Assistant Director for Institutional Research. The Director is now a member of Goals 2005 Steering Group, and serves on several other planning-focused campus committees, including several related to technology.

The office provides a number of core documents, including *Bates Facts*, the *Bates at a Glance* brochure, the *Bates Online Factbook*, *Strategic Indicators*, and the *Statistical Review of Bates College*. The Office of Institutional Planning and Analysis (OIPA) has been able to make increasing use of peer data and national indicators (HEDS, IPEDS, NACUBO, CAE, ASQ) and tracks Bates and 28 core peer institutions. The Office maintains an ongoing survey suite and reviews existing assessment and evaluation practices.

At the end of 1998, following the reorganization of the Financial Office, the Vice President for Financial Planning and Analysis position was eliminated, and in 2000 the financial planning functions were reassigned to Vice President for Budgeting and Accounting and Controller.

Evaluation Methods. The College participates in a number of surveys, some of them annually (a), some periodic (p), some one-time (o), and some according to varying schedule.

- National surveys include Admitted Student Questionnaire (ASQ) (a), Cooperative Institutional Research Program (CIRP) (a), HEDS Senior Survey (p), CORE Drug and Alcohol Survey (p), and the College Student Survey (o).

- Local surveys include the Non-applicant survey (p), the Campus climate survey (1996) (o), the Withdrawn Students Survey (a), the Alumni Reunion Survey (p), the Alumni Survey (sample 1994, all alumni 2000), Senior Thesis survey 2000, and the Self-Study Survey (1999-2000).
- Reports maintained by the Office of Institutional Planning and Analysis include key trend indicators and ratios; *Bates Facts*, a fall institutional profile (a); *Strategic Indicators*, presenting critical trends from peers and national indicators (a); the *Statistical Review of Bates College*, providing key indicators for alumni and parent audiences (a) as a part of the annual *President's Report*.

The Office provides statistical and staff support to assist such efforts as the Commission on the Status of Women, the Special Committee on Student Retention at Bates, Goals 2005, Senior Thesis Evaluation, and alumni research in anticipation of the next comprehensive campaign. It has also been a major contributor to information technology planning, particularly with the implementation of the Banner administrative system and the development of the Bates web pages.

Institutional Planning and Analysis tracks information about schools in our peer group of 28 institutions, collected from the Higher Education Data Sharing (HEDS) Consortium and other sources. These include Peer IPEDS Finance (HEDS, IPEDS), Peer Admissions (HEDS), NACUBO endowment trends (NACUBO, HEDS), CAE Voluntary Support (CAE, HEDS), Faculty Salaries (AAUP, HEDS), Faculty Starting Salaries (HEDS), Graduation and Persistence Rates (NCAA, HEDS), Tuition and Fees (HEDS), Faculty Demographics (HEDS), Financial Aid (HEDS), Admissions recruitment (Admitted Student Questionnaire), First-year students (CIRP college categories, selected HEDS peers), and Senior Survey (selected HEDS peers).

Little trend analysis was available at the time of the last Self-Study. OIPA now tracks student profiles and trends, including the Profile of the Entering Class (the May profile is provided by the Admissions Office and updated by OIPA as of the October 1 census date.). Other profiles and trends include

- Profile of the Graduating Class,
- Trends in Course Enrollments,
- Bates Majors Trends by Gender,
- GPA Trends,
- Latin and Departmental Honors Trends,
- Faculty Counts and Compensation Trends,
- Financial Trends and Key Ratios,
- Endowment Trends,
- Financial Aid Trends,
- Fall Enrollment Trends,
- Study Abroad Trends, and
- Term by Term Enrollment trends.

We provide annual reports on faculty profiles and trends in such areas as tenure, gender, diversity, gender ratio, teaching FTE, financial FTE, and several others. We also track faculty retirements,

faculty additions, programs/majors added, and maintain a list of facilities constructed and renovated.

The College has retained outside consultants to assess the senior thesis, to draft a marketing plan, to draft a campus plan and determine space allocation, to conduct a financial aid study, and to assist with our pre-campaign planning efforts.

The Registrar's Office administers a course evaluation survey, which has been in place for several decades and is overseen by the faculty Committee on the Evaluation of Teaching. The Dean of Students conducts exit interviews for withdrawing students.

The Role of Committees and Special Task Forces. Ongoing committees and special task forces have played a critical role in formulating, planning, and evaluating implementation of new programs and policies. Cross-departmental committees have been particularly productive. The implementation of online course registration, for instance, was achieved by the Registrar working with a committee of faculty, students, administrators, web programmers, and staff from the Registrar's Office. The Banner Users Group addresses needs of those who use the Banner system. The Enrollment Planning Group involves staff from Admissions, the Office of Institutional Planning and Analysis, and the Dean of Students' Office, the Finance Office, and the Registrar's Office. Our Executive Marketing Committee includes a cross-section of administrators.

In 1999 we amended the by-laws to establish a new *task-oriented Trustee committee structure*. Board members serve on a thirteen standing committees, including Budget, Investment, Development, Audit, Academic Affairs, Student Affairs, etc. The Executive Committee manages Board business between Trustee meetings. A variety of *ad hoc* committees are established from time to time to address specific issues.

Academic planning occurs in *legislated faculty committees*, however faculty regularly serve with staff on search committees and special task forces, such as the Task Force on the Status of Women, the Joint Commission on Alcohol, the Special Committee on Student Retention at Bates (SCOSRAB), the Sexual Assault Task Force, and the Facilities Access and Review Board.

Committees sometimes *address and identify issues and needs* that were not originally foreseen in their charge. For example, the second Commission on the Status of Women led to the establishment of a Pay Equity review. The SCOSRAB report pointed beyond student retention to core issues of student satisfaction that seemed common to most students.

Committees can be established to *advise* (Information Services Advisory Committee, President's Council, Affirmative Action Advisory Committee, President's Institutional Planning and Advisory Committee, Employee Advisory Committee), to *monitor* (Retention Committee, Diversity Group, Enrollment Planning Group, Off-Campus Study Committee), to *plan* (Faculty Educational Policy Committee, Goals 2005 Steering Group, Senior Staff), to *coordinate* (Dean of Student's Staff meetings, Registrar and Student Financial Services Staff meetings, Enrollment Planning Group), to *formulate and implement policy* (Facilities Access and Review Board, Communications Committee), to *report* (Faculty Legal Studies Committee, Faculty Medical Studies Committee, Faculty Honors Study Committee, Faculty Committee on Curriculum and Calendar), or to *review and evaluate* (Hewlett Senior Survey evaluation, Thesis Review Committee).

With so many activities by committees and task forces, it has been important that the Senior Staff and the Goals 2005 Steering Group monitor their recommendations and incorporate them into the strategic planning process. They form an integral part of the planning and governance process, and increase campus wide participation in ongoing discussions about the future of the College.

The active use of committees, especially those involving a number of offices and constituencies, has been effective in producing support for committee actions. It also has fostered acquaintances among those who might never meet one another and connects them in new ways. Meetings, on the other hand, take time, and committees often move slowly. Many of us could benefit from learning

more about how to run and contribute to effective meetings. It is also the case that once a committee is created, it is often difficult to know when its task is complete.

Personnel Planning. The faculty have well-integrated personnel processes that are reviewed and modified regularly. The Division Chairs, meeting with the President and Dean of Faculty, recommend net additions and temporary appointments to the faculty. The Faculty Committee on Personnel makes recommendations on tenure and promotion.

All academic departments and programs and many administrative departments submit annual reports on activity for the year and on future plans. Academic and administrative departments undergo periodic reviews by both internal and external committees.

In the past decade, we established a Personnel Office, and in 1999, reorganized it into a Human Resources Office with broader responsibilities for planning and employee development. We have implemented a pay equity review process to assure that our staff salaries and wages are competitive in the appropriate labor markets — local, regional, or national.

A particular concern for us in the past has been how to coordinate the various systems we have used to track employees. As we move the employee database to Banner, we will have smoother integration of Human Resources and Financial Planning as well as better employee statistics.

Outcomes Assessment. It is important that we set goals for expected learning outcomes and that we discuss and devise ways of measuring and understanding these outcomes. We recognize that we already do much assessment and, in some ways, have more information than we are able to process. We must be alert to better ways to measure outcomes that are less expensive, less labor-intensive, and more directly connected to our planning. Since ultimately, student learning is what the College is about, we must remain aware of national discussions and best practices for conducting assessment. However, we recognize that many are suspicious of the language and "standardized testing" promoted by some national assessment approaches, and that we must carefully develop a program that suits the Bates culture and experience. An assessment program at Bates should review the impact of co-curricular and residential experiences on learning, and it should actively include self-assessment and evaluation by the students themselves, emphasizing their own responsibility in the learning process. Finally, as we use more technology, we must try to understand how our campus and learning environment are being affected by efficient, but sometimes impersonal, electronic tools.

Reporting on Our Planning. Reporting the results of our planning helps involve our constituencies in future planning. A list of annual or five-year priorities, for instance, can point to where we will need future resources. We need to better communicate planning results and help foster a better understanding of the connection between individual elements and a broader vision for the College. We recognize the need to do a better job of making core planning documents, reports, and data more readily available to a broader audience, probably on the web. Although the vast majority of planning documents are typically available upon request, some documents are perpetually in draft or "revision" format, or are available only in the files of the sponsoring office, and are thus not available for public distribution and discussion. We are becoming more aware that policies, updates, and announcements that are issued as paper announcements are soon discarded and lost. We need to preserve and archive critical documents and reports for future reference (in paper and electronic form). The establishment of an official College Archive in 2000-2001 will help these efforts.

We can expect more requests for information, from both inside and outside the College. Some of these reports will have little connection to our goals. For example, the Higher Education Act Amendments of 1998, the revised IPEDS reporting system, the Taxpayer Relief Act reporting mandates, and the college guidebooks' Common Data Set impose significant new reporting burdens. In 1996, a resident ACE Fellow compiled a database of at least 375 major external reporting requirements that consume the time and resources of various College offices. Increased demands such as this impose incalculable costs and can prevent us from doing more mission-related research, and we need to find ways to be able to focus on research critical to Bates (such as

in finance and human resources issues). Better reporting tools may make it easier to respond to these requests, and we are studying them now. We sometimes forget that only a decade ago, many reports that are now automated were done by hand, and that few offices had adequate computing resources or the skills to retrieve and manipulate large amounts of data.

Budget Planning. We recently hired a new Treasurer (1997) and Controller (1998), and in 2000 these positions were restructured at the vice presidential level to allow them to concentrate on asset management and budgeting and accounting functions, respectively (See Standard 3 for details). The financial office staff was reorganized and expanded and an improved chart of accounts was adopted. This has already resulted in a streamlined budget process and we are ready now to begin work on multi-year budgeting.

We are now more able to integrate enrollment and financial aid assumptions into our annual budget planning models and we have reduced the imbalances between fall and winter semester populations. We have put in place a separate capital budget process for information technology, renovations, and major equipment. We have begun to use the Banner Finance module to produce a chart of accounts that better reflects reporting needs for financial planning, and will add the Banner Human Resources module enable us to link personnel budget to other financial planning.

The combination of our transition to Banner, our implementation of new FASB accounting guidelines, and turnover in the Financial Office resulted in late financial statements in fiscal-year 1999. Some departments feel that the budget process has been a mystery, especially in how capital funds for information technology will be delivered. We need better and more frequent feedback at the institutional level and at the departmental level about the ongoing status of current year and next-year budgets. The communications process has improved significantly in the fiscal year 2001 budget cycle. We still need better reporting from Banner and more widespread access for academic and administrative departments.

We are establishing clearer definitions for employee classification and better coordination on reporting of faculty and non-faculty employee data. We are working to better coordinate the way in which faculty and staff reporting is managed and distributed among several offices: Human Resources, the Dean of the Faculty, Institutional Planning and Analysis, and the Finance Office. Ten years ago, there was no single database with comprehensive information about faculty and staff. Moving to an integrated Human Resources system in the Banner database, though fraught with challenges, will ultimately improve the quality of our reporting and our ability to conduct integrated planning.

We need to resolve concerns about the optimal enrollment of the College. Recent enrollments have exceeded our target of 1,615 to 1,625. This has been a consequence of high admissions yield and unpredictable returns from leaves and off-campus study. An Enrollment Planning Group meets regularly to monitor and address these issues, and it has been successful in reducing fall/winter enrollment imbalances due to off-campus study.

Planning Challenges for the Future. Many challenges remain and we are addressing them. Bates, with its comparatively modest financial and investment resources, will maintain its position in the next decade by being strategic, efficient, and effective in the way it manages these resources. Our ability to remain a strong competitor among the finest liberal arts colleges in the country may depend on how effectively we can extend the significant accomplishments of Goals 2005 into the future.

To do so, we need to keep clear the linkages of strategic planning to annual budgets. For example, a major goal is to reduce student fee dependency to 65% by FY2006. We must do this by finding the proper balance between improved investment performance, gifts to the Annual Fund, contributions to general endowment, and careful monitoring of expenditures. The Trustees are beginning a review of our endowment spending rule and are effectively improving investment returns, and they will more carefully monitor our risk profile.

We need to continue our strength in the faculty we recruit and the students we attract by maintaining good salaries, financial aid, a learning environment at the cutting edge of excellence. Faculty workloads must be balanced to sustain creativity and to support teaching in all of its forms, in and out of the classroom.

Funding for technology remains a concern. While our technology infrastructure is in excellent shape, the technology itself changes rapidly. Moreover, the persistent goal of translating technology into effective pedagogy and learning remains at the forefront of our efforts. We will need to track ongoing needs carefully and plan for them. One need is to establish a firm technology replacement cycle, a primary recommendation of the Strategic Plan for Information Technology and Library Services. This recommendation is currently being implemented as a part of our five-year budget planning process. This year we have drafted plans to improve our web management structure, which will play an important communication role in the future both within the campus and beyond.

We must continue to establish endowment funds to support ongoing needs, many of which have in the past been funded by the operating budget. New buildings, for instance, require maintenance for which we can plan by specifying how we will pay for it in advance. Our twenty endowed professorships are modest by comparison with other schools, but we are encouraged by the fact that we have achieved them much sooner than our original plan anticipated.

We will not be able to plan for some costs, paramount among them the increasing costs of health care. We were able to absorb an annual increase of almost 25% in the last year, but are not alone among institutions struggling with this problem.

There will be other challenges. One will be to understand our real costs (such as for off-campus study programs) and to balance these costs with the range of benefits they provide to our students. Another is to increase financial aid to provide educational access to a diverse student body, while at the same time attracting a student body that represents all socio-economic classes. We must do all we can to insure that tuition increases do not significantly exceed inflation. Because many of our past planning achievements have been able to be realized by adding on, without having to consider reductions, we have not yet achieved effective strategies for working in a relatively fixed resource environment. The problem of adding on without subtracting is made even more compelling given our growing—but comparatively limited—endowment and the small size of our campus. While aggressive steps are in place to increase resources, our ideas and plans outpace our ability to support them, making it essential to find the right balance.

Standard 3: Organization and Governance

Board Governance. The ultimate governance and oversight of the College is vested in the President and the Board of Trustees under a charter granted by the Maine Legislature, and revised by the legislature in 1937. The operations of the Board are governed by the By-Laws, which were last revised in May of 1999. Bates has a bicameral Board, consisting of the President, 15 Fellows who serve until a mandatory retirement age of 70 years, and not more than 25 Overseers, elected for five-year terms. The Alumni Association of Bates College nominates two of five members elected annually to the Board of Overseers. The full Board meets three times a year, in October, January, and May. In the interim, there are meetings of the Executive Committee and certain other committees of the Board. In May 1999, the By-Laws were amended to establish thirteen official committees of the Board, with a number of *ad hoc* committees to be established as the need arises. (For example, the *ad hoc* Committee regarding Goals 2005 and Strategic Planning met periodically with the on-campus Goals 2005 Committee, until it was determined that the Goals 2005 objectives would be best served by regularly reporting progress to the full Board.)

Administrative Reorganization. The institutional organization chart has changed dramatically since 1990. The Senior Staff of the College now includes the President, the senior vice-presidents, the Dean of Students, the Dean of Admissions, and the Dean of the College, and a senior faculty representative. They meet on a bi-weekly basis to discuss issues of concern to the College. As part of the Goals 2005 process, members of the Senior Staff annually submit goals for their areas. These are prioritized by the Senior Staff and the Goals 2005 Committee for funding and action. At the Senior Staff level, the major changes since 1990 are as follows:

- Information Services, which was divided among three vice presidents in 1990, has been consolidated under the Vice President For Academic Affairs, with an associate vice president who is responsible for the Library and Information Services. (See Standard 7 for a full discussion of these changes.)
- In 1999, a Vice President for External and Alumni Affairs was created, with responsibility for Alumni Affairs, College Relations, and Career Services. This change reflects the goal of more significantly integrating alumni, placement, and career advising, and ensuring that alumni will be more connected and engaged in the life of the College after graduation.
- The Vice President for Business Affairs position was eliminated, and responsibilities were moved to the Treasurer and Vice President for Financial Affairs. The functions of the position of Associate Vice President for Financial Planning and Analysis (1993-1998) were consolidated within an expanded and restructured Financial Office. In 1999, recognizing that multi-year budget planning and investment management are priorities that merit dedicated attention, financial affairs were again restructured. To better focus efforts on budgetary planning and investment management, the Controller's position was upgraded to Vice President for Budgeting and Accounting and Controller, and the Treasurer took on additional responsibilities as the Vice President for Asset Management.

Other major reorganizations over the past decade include:

- The Personnel Office was reorganized as the Human Resource Offices in 1999 under a new director. Payroll has been brought in-house, and a number of new positions have been added, including a training coordinator, benefits administration, and a safety officer.
- Several offices have been assigned to report directly to the President. These include the Chaplain's Office, Affirmative Action (established in 1990), and Institutional Planning and Analysis (established in 1993 as Institutional Research and renamed in 1998.)
- In order to improve service to students and to combine critical functions in a common location, the Registrar, Student Accounts, and Financial Aid were combined in Libbey Forum as the Office of the Registrar and Student Financial Services.

Perhaps more importantly, the way the various offices interact with each other has changed in ways that traditional organization charts cannot reflect. We have become less bound by formal structures, and more accustomed to working in non-hierarchical, cross-functional teams. For example, the Financial Aid Office now is located in the Office of the Registrar and Student Financial Services, but still works closely with the Dean of Admissions. Institutional advancement activities are closely coordinated between the Development and External and Alumni Affairs divisions. Institutional Planning and Analysis and the Registrar share an Enrollment Analyst. Library and Information Services staffs have been closely integrated, and structural barriers between administrative, academic, and technical computing have been eliminated. A management-level Web Coordinator (to be hired in 2000-2001) will help address technical and design concerns of both Information Services and College Relations, as well as the web needs of many campus offices.

Faculty Governance. Rules governing Faculty organization and procedures were adopted by a vote of the Faculty on November 6, 1967. The "Rules and Procedures of the Faculty" have been amended from time to time, and the most recent revisions are published in the *Faculty Handbook*. The composition of the Faculty is determined by statute within the *Charter and By-Laws of Bates College*. The organization of the Faculty is further discussed under Standard 4.

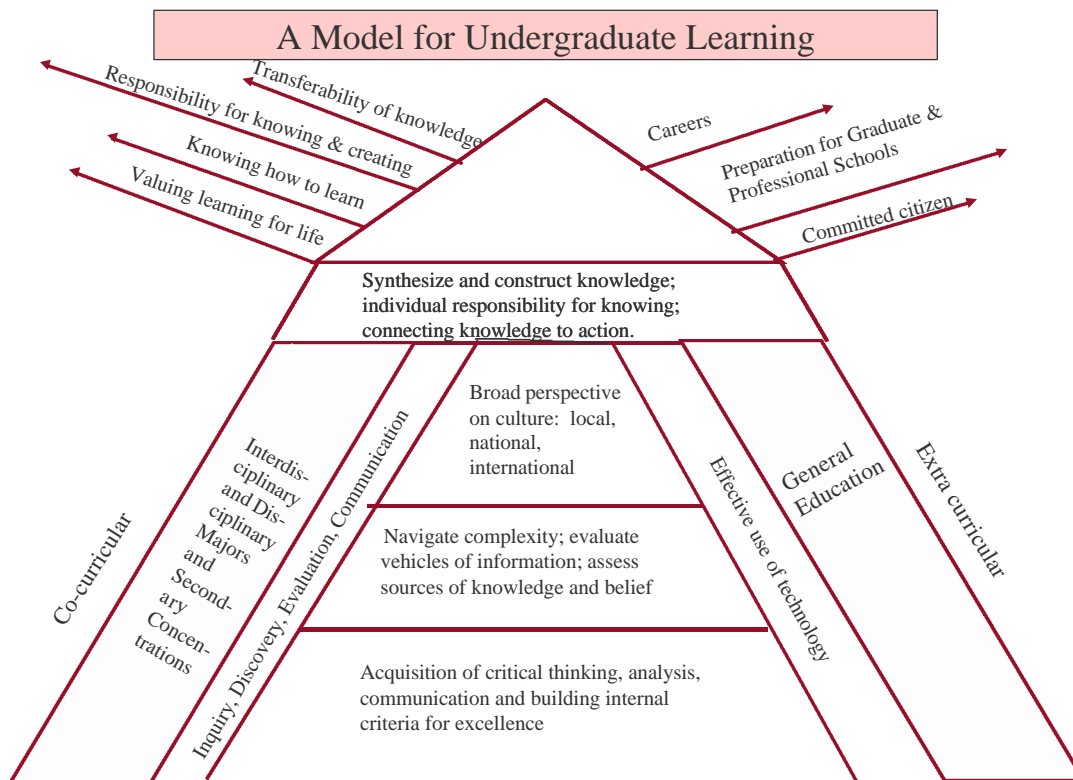
College Committee System. It is impossible to discuss the organization and governance of the College without acknowledging the expanded and critical role of committees in the past decade. The roles and functions of committees have been discussed in detail in the section on Planning and Evaluation. Committees have taken a major role in formulating policies, in planning, in evaluation, and in managing the day to day activities of the College. The President has taken the lead in developing the Senior Staff, the Executive Committee of the Trustees, the President's Council, and other groups to encourage participation in decision-making, to bring together diverse talents and opinions, to develop leadership, and to ensure that tasks are accomplished. In forming committees, care is taken to ensure that they represent the various constituencies of the college. Many committees have student members appointed either by senior administrators or by the student Representative Assembly.

Committees perform a valuable role in bridging hierarchical structures across offices, improving communication and a sense of common purpose in working to support the institutional mission, and as a means to solicit feedback from the broader campus community. The role of committees varies according to their charge and purpose. The President has established a variety of *ad hoc* task forces and special committees (e.g. the Sexual Assault Task Force, the Commissions on the Status of Women) to focus institutional attention on, or to monitor, key issues of concern to the College community. The monthly meeting of the President's Council (senior department heads) and the Faculty (as a committee of the whole) are important areas for communicating and deliberating important policy concerns. The Dean has strengthened the leadership role of faculty groups such as the Division Chairs, the Department and Program Chairs, and the Educational Policy Committee. Faculty committee assignments are elected or appointed and are based upon the recommendation of the Committee on Committees and Governance.

Although the Committee system has become ingrained in the Bates culture of open debate in the past decade, committee work is often slow, time-consuming, and the effectiveness of a committee often depends upon the commitment of its members and leadership in the face of many competing obligations. We continue to take steps to improve these areas while maintaining the benefits of our committee structure.

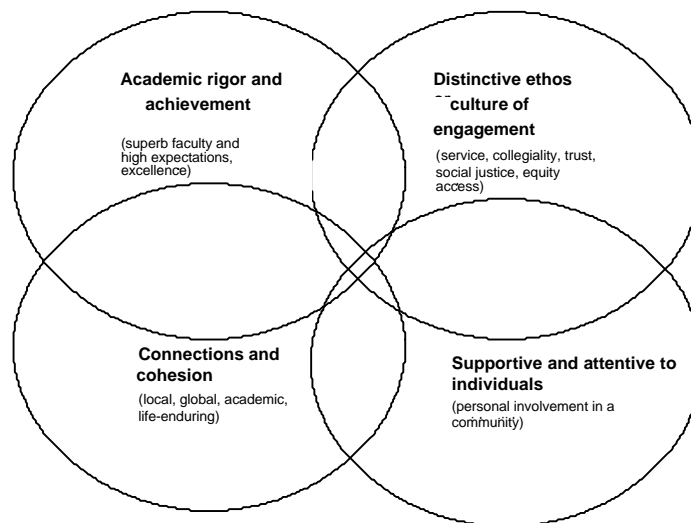
Standard 4: Programs and Instruction

Rather than defining our programs and instruction in terms of specific courses from the curriculum, our approach is better delineated by a new model — still in development. Over the past year we began to articulate the critical factors of our learning environment. Once identified, we asked how these factors are organized and implemented; how do they interact; and how do they work to achieve our vision of a Bates education. The result is a conceptual framework within which to plan, to view new initiatives and review existing ones, to test what we are doing and how it is working. The model serves to focus our questions, test our assumptions, identify what is missing and what might be adjusted, combined, and/or connected to better realize the rich potential of our College. It is a model that is dynamic, and subject to ongoing discussion and refinement.



This model represents the organization of knowledge through disciplinary departments and interdisciplinary programs implemented in the curriculum through majors, secondary concentrations, and general education requirements. Within this organization of knowledge, curricular initiatives are supported and guided by more focused learning objectives, consistent with epistemologic and cognitive stages of development. Also, our pervasive pedagogic goals of building independent thinkers able to engage in inquiry, discovery, evaluation and communication in today's technological world are recognized throughout. We want to use the special opportunities and challenges of our setting as a residential college to make best use of co-curricular and extra curricular activities to enhance the overall goals of our educational community.

The four dimensions of the College's vision provide the particular lens through which we utilize this model. Hence, we use these dimensions as a conceptual framework for this chapter. Because the dimensions overlap, our presentation obscures the fact that their real significance lies in the ways we have chosen to connect them. These connections are some of our distinguishing strengths. Thus, listing a particular topic under one dimension does not signify that it affects *only* that dimension.



Dimension 1: An institution that presents academic rigor and achievement through its faculty, programs, and students – through its teaching, learning and scholarship.

New Majors and Programs. Our academic program offerings not only support traditional disciplines, but also build new ways to connect the disciplines. While we added three new departmental majors over the decade, we also added eight interdisciplinary program majors and fourteen secondary concentrations.

New departmental majors (and the dates they were established):

- East Asian Languages and Cultures (1989)
- Chinese (replaced the major in East Asian Languages and Cultures in 1997)
- Japanese (replaced the major in East Asian Languages and Cultures in 1997)

New interdisciplinary program majors (and the dates they were established):

- Women's Studies (1990)
- African American Studies (1991)
- American Cultural Studies (1991)
- Biological Chemistry (1991)
- Classical and Medieval Studies (1992)
- Environmental Studies (1995)
- East Asian Studies (1997)
- Neuroscience (1997)

For many years students have been able to design their own interdisciplinary majors. We created many of our new interdisciplinary majors to provide greater direction and support for areas that already attracted large numbers of student-designed majors. Hence, while the Environmental Studies major was not formally adopted until 1995, there have been numbers of self-designed "environmental studies" majors since the late 1970s. From 1990 to 1999, the percentage of interdisciplinary concentrations (counting both regular and student-designed majors) rose from 4% to over 14% of the graduating class. It is likely that interest across interdisciplinary boundaries will continue to increase in the next decade.

Interdisciplinary Concentrations by Graduation Year				
	<u>1999</u>	<u>1998</u>	<u>1997</u>	<u>1996</u>
Women's Studies	8	5	7	12
African American Studies	3	3	3	0
American Cultural Studies	13	13	16	12
Biological Chemistry	11	11	9	11
Classical and Medieval Studies	0	1	5	2
Environmental Studies	0	0	-	-
East Asian studies	7	1	-	-
Neuroscience	0	-	-	-
TOTAL	42	34	40	37

(Note: Only regular Bates majors are shown above.)

Number of Declared Majors					
	<u>1999</u>	<u>1998</u>	<u>1997</u>	<u>1996</u>	<u>1995</u>
Women's Studies	16	17	15	13	20
African American Studies	1	2	3	5	3
American Cultural Studies	20	24	23	28	25
Biological Chemistry	30	24	21	19	22
Classical and Medieval Studies	10	4	5	9	11
Environmental Studies	49	38	5	3	-
East Asian Studies	4	10	6	-	-
Neuroscience	12	4	1	-	-
Total	142	123	79	77	81

(Note: as declared in the fall semester; primarily includes juniors and seniors.)

An indicator of student interest in multiple fields is the proportion of graduates who complete a double concentration, which rose from 5.1% in 1997 to 10.6% in 1999. It is possible, then, that interdisciplinary majors will not decrease the number of disciplinary majors.

New Secondary Concentrations. Until recently, Bates did not offer the option of a minor in a discipline. Over the decade, however, the faculty has approved a number of secondary concentrations, which function as minors. Our most recently established secondary concentrations are:

- Music (1996)
- Economics (1997)
- Education (1997)
- Mathematics (1997)
- Philosophy (1997)
- South Asian Studies (1997)
- Dance (1998)
- Sociology (1998)
- Theater (1998)
- Computing Science (1999)
- Anthropology (2000)
- History (2000)
- Religion (2000)
- Rhetoric (2000)

While more students are choosing secondary concentrations, the numbers for the foreign language secondary concentrations, established more than ten years ago, have been particularly dramatic:

	1993	1999
French	4	21
Spanish	5	29
German	5	7
Russian	2	4
Chinese	n/a	1
Japanese	3	2
Total	19	64

Viewed another way, the total number of graduating secondary concentrators (in all areas, including languages) has been:

1993	19
1994	55
1995	56
1996	71
1997	77
1998	78
1999	95

General Education Requirements. During the 1970s the Faculty undertook a major revision of its general education requirements for graduation. As long as 20 years ago these requirements were a source of considerable debate and disagreement among faculty. As the 1979 NEASC visiting team observes:

The new plan [for General Education] seemed to elicit little enthusiasm and in some cases met with outright skepticism and rejection by some faculty. The general criticism was that it was little more than a reshuffling and renumbering, that it would be cumbersome for students, and that no real integration or holism would result.

Ten years later the 1990 NEASC visiting team reported, "there continues to be a general education requirement. It remains controversial and some would like the requirement – or at least its current form – debated. However, departments appear to accept the need to contribute to it."

In January 1992 the Educational Policy Committee began a review of the general education requirements. In June of 1998, after extensive discussion, the faculty approved parts of the Committee's proposal, but rejected any wholesale revision. Since all of the general education recommendations were voted on as a single "package," the defeat of the proposal also meant the defeat of some components (such as expanding the First-Year Seminar Program) which may have passed if voted on separately. The informal discussion notes of the October 18, 1999 Educational Policy Committee meeting provide a useful recapitulation of these considerations:

What We Accomplished

1. Abolition of the "cluster" [which was established in the 1970's]
2. Establishment of new principles for first-year advising which link faculty with the students they are teaching in first-year seminars or other first-year courses.
3. Passage of pass-fail legislation
[Editor's note: a pass-fail grading option became available in 1999-2000.]
4. Reflection on thesis leading to pilot projects/evaluation studies.

What We Learned

1. Heightened awareness of "multi-cultural" and "social justice" issues.
2. Inadvisability of bringing a large legislative package to the floor of the faculty.
3. Importance of small steps.
4. Need for knowing about availability of resources for program implementation.
5. Heightened awareness of tensions among: humanities/natural sciences/social sciences, disciplinary/interdisciplinary philosophies surrounding the idea of a liberal arts education
6. Recognition of widespread support for the "bookends" (first-year seminar and senior project)

Action?

1. Though we agree on the need at some future point to articulate/reflect/re-engage the question of what General Education does or should do, we settled tentatively on the first-year seminar as a more manageable and perhaps less incendiary topic for our immediate consideration. Some possible questions include: How might we be able to provide a small class experience for all first-year students? What can we learn from models drawn from other institutions? What goals are accomplished in the First-year Seminar as currently taught? How might students, looking back on this experience, evaluate its significance to them? What do First-year Seminars tell us about what we want Bates students to know and to be able to know?
2. When the evaluation of the senior project has been completed, we will be in a better position to consider whether to make it one of our educational requirements.

Another outcome of these general education discussions was a revised weekly academic schedule to provide more flexibility for a changing curriculum.

Our debate of our general education requirements generated many ideas, and much thinking and discussion. It is time to use these ideas to inform our work as we attend to what we seek to achieve, making certain that we create, foster, and nurture those opportunities and environments that will promote the desired learning. As discussed earlier and articulated in our model for undergraduate learning, the first year and thesis experience are central to this effort. At the same time, we are working to enrich and strengthen those learning experiences that support the ability to navigate complexity, evaluate vehicles of information, and assess sources of knowledge and belief within a broad perspective on culture. These areas are nurtured and enriched through recently endowed projects such as the Johnson Foundation symposia (providing courses and research support for consideration of issues pertaining to placement and displacement in today's world), and by the Barlow Fellows Program, which strengthens our study abroad program with particular attention to transition from and back to campus-based learning.

The patterns of learning we seek are facilitated and reinforced by interaction and connections with persons and place. They require a strong faculty, able to provide the coursework, pedagogy, research and applied activities central to our curricula. Likewise, to realize the potential and richness of this academic environment also requires a certain kind of student—talented, bright, engaged and committed.

This approach to our work clearly aligns our efforts with our aspirations to prepare our graduates to engage in the intellectual, economic, scientific, ethical, and social challenges of the global community in which we live and for which many will serve as leaders. As we go forward in these efforts, we will continue to test our assumptions and assess our outcomes, making the necessary adjustments to academic requirements, educational policy, and faculty roles and responsibilities.

First-Year Seminars. Central to actively engaging students in learning at Bates is the need to strengthen, from the very beginning, their ability to think critically, to analyze issues in meaningful ways, and to communicate clearly. We want our students to master much more than course

content—they should be involved and responsible partners in their undergraduate careers while they grow as scholars and develop internal criteria for excellence. While learning relevant to these goals can occur in many places, the First Year Seminar Program will underscore these efforts.

First-Year Seminars, with enrollments typically limited to 15, are open to entering students only. Topics vary from year to year, but they always represent a range of issues and questions addressed within the tradition of the liberal arts and sciences. Some of these seminars, such as "Slavery in America" and "Anatomy of a Few Small Machines," have been offered almost annually for two decades. More recent titles include "Einstein: The Man and His Ideas," "Epidemics: Past, Present, and Future," "Reinventing Politics," and "Human Nature and Perfectability." Students work with faculty and other students in a small class; receive training in techniques of reasoning, writing, and research; and develop an attitude of active participation in their education. First-Year Seminars take an in-depth look at an academic subject area and are not a broad introduction to college life, such as the "College 101" courses required by many schools. Although many seminars introduce students to the Library, to computing services, or to the Writing Workshop, most "orientation and adjustment to the college experience" programs are administered by the Dean of Students staff, both during a period before classes begin and throughout the academic year.

From 1990-91 to 1998-99, the proportion of first-year students completing seminars increased from 45.8% to 58.7%. During that same period, the number of seminars increased from 14 to 20. The Dean of Students Office has been able to assign many first-year advisees to advisors who teach their seminars.

Recognizing the importance of establishing from their first encounter at Bates a strong intellectual base on which each student can build their academic experiences, the question of how to structure the first-year experience is before us. While this question is not new, articulating our model for undergraduate learning underscores its importance. The program has general support, but it has not been formalized through either an academic requirement or through curricular policy. During the past year, the Education Policy Committee identified the questions to be raised which will serve as a charge to the First-Year Seminar Committee with resolution of the issue expected during the 2000-01 academic year. These questions include: How should we provide a small class experience for all students? Is the seminar format the only effective approach? Should we connect these classes more closely to the academic advising program? (We address the advising program in more detail in the Student Services Section.) Should we integrate them into residential life?

Not surprisingly, questions about if and how to strengthen the first-year experience quickly turn to questions of resources. These questions raise both concerns about how to support an expanded seminar program and worries that it would detract from other parts of the academic program. Thus, at the same time that we consider how to proceed with this part of our curriculum, we are analyzing faculty workload and are seeking external funds to supplement and support the learning environment.

The Senior Thesis Experience. The culminating experience of our educational program is the Senior Thesis. For many, it will be the singular experience in their lives that challenges them to reach their full potential as scholars, even as it stretches each of our faculty as educators. The thesis experience aims to allow students to synthesize and integrate the best of what they have learned in their major fields, and then turns over to them the responsibility for constructing and demonstrating what they have learned. The thesis is also one of the most important means by which students provide evidence that they have indeed mastered their subject area. Many students consider the thesis project as their most important educational experience. Of the 40 different program and department major tracks, 33 require a thesis experience. Eighty-eight percent of the members of the graduating Class of 2000 did a senior thesis or an equivalent senior project, performance, or creative work.

To support the thesis program requires a large time commitment from faculty. Although we have one faculty member for every three seniors in the Class of 2000, it is a challenge to provide students with the long hours of individual attention required for the kinds of thesis work in which we take pride, and to do this in the range of topics related to student interest and choice. Thesis

advising must compete with other demands for faculty time, including scholarly activity, teaching, participation in college governance, working with department or program colleagues, and other advising. Because student majors are not distributed equally among academic fields, some departments and programs find it particularly difficult to provide adequate thesis support.

A two-year grant from the Hewlett Foundation has enabled the College to look carefully at its senior thesis program. Four pilot grants representing a range of approaches were awarded to departments and programs under the Hewlett Thesis Enhancement Project. Projects were designed to enhance the current thesis program, to enlarge the program so that more students can participate, and to assess and strengthen alternatives to the thesis. For example, the following projects were undertaken in the 1999-2000 academic year:

- The Biology Department hired a half-time teacher/scholar to design and coordinate science education projects. Participating students designed and presented biology workshops for teachers in local schools, in coordination with the Center for Service-Learning. Biology majors carried out twelve to eighteen projects over the course of the year, in service-learning, and in two courses connected to Maine's new K-12 science standards.
- The Environmental Studies Program hired a half-time thesis fellow to help develop (1) a winter colloquium on environmental issues that connects to thesis projects and is required of all seniors, (2) team thesis projects, and (3) thesis opportunities based on environmental internships.
- The Mathematics Department hired replacement faculty so a colleague could develop a model for a "group thesis," in which three to four students undertake, under the direction of one advisor, individual theses centered around a common theme. Grounded in common readings and weekly discussions, the students did considerable work on their own but also worked collaboratively during the fall and winter semesters.
- The Psychology Department hired faculty to create a seminar for students pursuing the department's service-learning option for seniors. The objective was to increase the number and quality of service-learning opportunities, as well as to develop a way to evaluate consistently service-learning projects and to assess their effectiveness, especially in comparison with the traditional thesis.

The Hewlett Grant also supported the first ever college-wide assessment of the thesis program, in which the Office of the Dean of the Faculty evaluated quantitatively and qualitatively the thesis experience, taking into account enrollments and faculty advising workloads. What makes it successful? How can it be improved? How well are students prepared to undertake the thesis? Why do alumni consistently identify the thesis as the high point of their academic careers? Should alternative senior projects, such as group projects and service-learning projects, be more widely available as options for students? How well does the service-learning option function as an exit requirement? These and other questions were addressed by students, alumni, and faculty under the direction of an external consultant.

Over the coming academic year, the results of this assessment will guide us in determining how to address this aspect of our curriculum. As with First-Year Seminars, we will be asking whether and how to establish the thesis as an academic requirement, an educational policy and/or a part of faculty workload. So too, the questions we are addressing have resource implications, not only for the thesis experience itself but throughout the curriculum as we seek to strengthen those aspects of student learning that allow the thesis experience to be a valuable learning environment. Moreover, because of the very nature of the learning we seek as reflected through the particular perspective of a Bates education, our approach to achieving these ends seeks to optimize our strength in technology as well as our commitment to an ethos of social justice and civil responsibility. To this end, we are aggressively engaged in developing and finding support for creative ways to meet the rich array of scholarly, cognitive, and epistemic goals we have set forth.

The Bates College Honors Program. The Honors Program was established over three decades ago. Students are admitted to the Program after their major department or program determines that the initial semester of work toward the thesis appears worthy of honors. After an additional semester, the program culminates with an oral examination by a panel that includes an outside scholar in the field of the thesis. Some departments also ask that the candidate give a public presentation of the thesis results. Some topics reflect the wide variety of their work:

- "Race in the Heartland: Examining Metaphor in Discourse About the Oklahoma City Bombing"
- "A Study of Feminist Spirituality, Empowerment, and Song"
- "Wampum: Its Functions and Role as a Mnemonic Device in Early Colonial North America"
- "A Comparison of American Redstart (*Setophaga ruticilla*) Territory Size and Habitat Selection into Forest Types: Implications for Conservation and Management of the Species"
- "Computer Modeling of Musical Structures: Decomposition and Reconstruction"
- "Computer Applications of Primality Testing and Methods of Factorization"
- "The Nature of Rationality"
- "Phase Locking in Coupled Oscillators"
- "Girls and the Experience of Romantic Relationships in Late Adolescence"
- "The Legal Construction of Disability"

Based on the thesis work and the oral examination, the examination panel votes to award either honors or no honors. In 1990 the panel had the option of highest honors, high honors, honors, or no honors, but the faculty voted to reduce the options to honors and no honors beginning in 1997. It is common for the outside examiner to observe that the quality of the Bates students' thesis work is the equivalent of masters' degree research.

In recent decades, participation in the Honors Program has grown, with an average of 8.3% of graduates earning departmental honors in the 1960s, 8.5% in the 1970s, 10.9% in the 1980s, and 16.6% of graduates during the 1990s.

The Education Program. The Education department offers courses for students who want to include education as part of their general pursuit of liberal arts at Bates, for students who want to pursue the possibility of teaching, and for students who already know that they want to teach after they graduate from Bates. The department offers all of the courses needed for Maine certification as a public school teacher in several disciplines in grades seven through twelve. The department will assist students who wish to teach at the elementary level or in special education to take additional course requirements at other institutions. Department faculty members supervise student teaching and other field work in local schools. Maine currently enjoys certification reciprocity with thirty-four other states. Typically, four or five students complete the certification requirements in any given year. Many students who choose not to seek certification teach in the independent schools after graduation.

Bates does not offer a major in education, since students are encouraged to major in their teaching field so they may explore the area in greater depth. However, in 1997, the department began to offer a secondary concentration with options to focus on either Teacher Education or Educational

Studies. In 1994-95, as part of a periodic review, the teacher education program submitted a self-study to the Maine State Board of Education and the program was re-certified by the state.

Student/Faculty Research. For both students and faculty, research is a fundamental component of the Bates experience. Members of the faculty contribute to their disciplines and enliven their teaching by remaining active scholars. For students, independent research cultivates critical thinking and problem solving, and challenges students to put their intellectual skills to the test. Our students often can participate in faculty research, which at larger universities is reserved only for graduate students.

Research at Bates takes many forms: a course project, an independent study course, a senior thesis or honors thesis, or collaboration with a faculty researcher during the summer. The products of research range from papers, videos, performances, and exhibitions, to presentations at scholarly conferences and publications in academic journals. In the 1999 Senior Survey, 70% of respondents said that they had conducted independent study or research, 29% said they worked with a faculty member on a faculty research project, and 20% reported that they either presented or published a paper off campus. Between 1995 and 1998, more than 30 Bates students were credited as co-author of a faculty publication.

In the last decade, the College has developed numerous new resources to support student/faculty research. Summer research support for students now allows many to work on campus over the summer, often in preparation for the thesis. The number of students engaged in Bates-sponsored student/faculty research programs has grown from 12 in 1990 to 78 in 2000. Some of the well-established summer research funds include Hughes Grants for Student/Faculty Research, Hughes Dental Scholars Program, Merck Fellowships in Biology and Chemistry (1997-2000), Scher Fellowships, Summer Research Apprenticeships, Hughes Grants for Individual Student Research, The Philip J. Otis Fellowships, The Linda Erickson Rawlings Fund for Student/Faculty Research in Mathematics, Sigety Family Fund for Computer Science, The Stangle Family Fund for Student/Faculty Research in Economics and Law, and the Hoffman-Mellon Fund for Student Research.

In addition, in 1998, the College developed the Bates College Coastal Center at Shortridge, a small residential and laboratory facility adjacent to the Bates-Morse Mountain Conservation Area, which supports both summer and academic-year research at these 654 acres of important coastal property. Shortridge is located on 80 acres of land, including a 10-acre fresh water pond. The facilities include a building with meeting rooms and residential accommodations for students and researchers and a field station with a wet laboratory. The facility has been used to support field work, student and faculty research projects, and it has also become a popular locale for College retreats, meetings, and seminars.

There are also funds specifically designed for service-learning experiences. These include the Arthur Crafts Service Awards, the Vincent Mulford Service Internship and Research Fund, and Community Work-Study Internships.

The most recent support for student research, service-learning, and career discovery—components of what we call "connected learning"—came in 1999 through a bequest of Charles F. and Evelyn M. Phillips, which supports undergraduate projects in international and other culturally distinct settings. The fellowships can be for student-designed projects featuring service-learning, career exploration, research, or some combination of the three.

Some examples of Phillips Student Fellowships include: a study of the Orang Asli people of Malaysia; a study of Engaged Buddhism and American Jewish Buddhist movements and the Kopan Monastery in Nepal; a study of musical heritage in lute and drums in Ghana; retracing the pilgrimage route of the early Christian woman diarist Egeria through Egypt, Israel, and Turkey; an ethnographic study of environmental practices in two villages in Ecuador; and work at a medical center and as a basketball coach on the Navajo Reservation in Arizona.

It is important to note that student/faculty research differs from one field to another. In some areas original research that contributes to the frontiers is impossible without more years of preparation than we can expect of our students. Summer research is usually more effective and better supported for students in the laboratory sciences. While we speak with pride about research collaboration between our faculty and students, it is not an option available to all.

From all indications, student interest in working with faculty on research projects will continue to grow. We anticipate that support for those projects will continue to grow, as well. Matching these opportunities with the research interests of Bates faculty and with their busy schedules will be more of a challenge.

Specialized Courses vs. Foundational or Skills-Based Courses. The Office of Institutional Planning and Analysis is often asked by national surveys to answer such assessment questions as "How many of your courses are writing-intensive?" or "How many of your courses have an on-line learning component?" or "How many require the use of Internet skills?" Behind these questions is often a desire to find out how much of student's learning is in basic, foundational education and how much is in what some choose to characterize as "specialized."

Bates has none of the universal core courses that were common at colleges several decades ago. We do not, for instance, have a required expository writing course. But it does not then follow that we neglect this important part of an education. First-Year Seminars, many of which have titles that could be considered specialized, are one of the first of many places where students, with the support of the instructor and the Writing Workshop, develop their writing skills.

We have few survey courses, such as "History of Western Civilization" or "Survey of Western Music." This is consistent with a national movement away from survey courses. For example, we find that often graduate schools are not looking for them on transcripts. It is also the case that the idea of a common canon is no longer accepted in many disciplines. The Biology Department, for instance, realizing that there is too much basic information in the field of biology for a one- or two-semester survey course, has restructured its curriculum. The department now focuses more on the processes of thinking as a biologist and less on the "tyranny of coverage."

Further, it is important to note that the distinction between foundational and specialized courses is not same for all disciplines. Our interdisciplinary courses are even more difficult to classify as either "specialized" or "foundational," since what may appear to be specialized today may be foundational in an emerging program that has found new ways to combine old disciplines. Some interdisciplinary majors, particularly those in the sciences, depend heavily on a set of courses drawn from other departments or programs. Certain tracks of Environmental Studies and Biological Chemistry require up to sixteen courses for a major, while Neuroscience requires seventeen. Students in the social sciences, the humanities, or interdisciplinary programs may have fewer required courses in a major, but they have a wider range of choices from which to complement their program, since sequencing is not as relevant.

Over the decade we have increased the number of course options for students. At the same time, interdisciplinary programs have found courses in traditional departments that serve their majors well. We thus "cross-list" courses in the printed catalog: an interdisciplinary program lists under its heading only the titles of those courses in other departments that fulfill its major requirements. Some programs argue that they should be able to list not only the titles, but also the descriptions of the courses. This would certainly increase the size of the catalog considerably, but advocates argued that it was a necessary step to reflect the interdisciplinary character of the course.

As college publications move from print form to electronic form, the location of text in the catalog will not be an issue. For now, however, the "cross-listing" debate is a symptom of a struggle over whether the traditional disciplines have primacy or whether disciplinary barriers need to be permeable to create a more central, perhaps equivalent, role for the interdisciplinary programs. The issues go beyond numbers of pages in the catalog and challenge the question of what is foundational knowledge and what is specialized knowledge.

Grade Inflation. There is ample evidence from national surveys and from an annual Registrar's survey of grade distributions at peer institutions that grade inflation is a national issue, and not merely a problem that is unique to Bates. Bates has long been perceived as being a "tough grading" school in comparison with similar peer institutions. The following chart shows that there has been grade inflation:

	%A	%B	%C	%D or F
1956-57	12	37	39	12
1966-67	12	44	37	6
1979-80	21	44	27	8
1989-90	26	52	18	4
1998-99	37	50	11	2

Reviews of the peer grade study suggested that Bates faculty award slightly fewer As, more Bs, slightly fewer Cs, and about the same percentage of Ds and Fs when compared to the average of grade distributions at peer schools.

Until 1984-85, the Registrar sent each faculty member and chair a report listing the grade distributions in the previous semester's classes, with comparison distributions for the College. This practice helped new faculty understand the grading expectations of the faculty or the department. Some suggest that reporting these data to individual faculty had a tendency to control grade inflation, as well. Institutional Planning and Analysis provides the Dean of Faculty with annual summary grade distribution reports by department or program.

Along with grade inflation, the criteria for Latin honors have changed, and are again under consideration:

	1957-58	1999-2000	EPC proposal (2000)
Cum Laude	3.50 to 3.70	3.40 to 3.60	3.60 to 3.70
Magna Cum Laude	3.70 to 3.90	3.60 to 3.80	3.70 to 3.87
Summa Cum Laude	3.90 or higher	3.80 or higher	3.87 or higher

Reflecting the increase in overall grade point averages at Bates, the percentage of the graduating class earning a form of Latin Honors rose each year from 10% in 1988 to 35% in 1998, before falling to 32% in 1999. The Educational Policy Committee has been attentive to the issue of honors inflation, and plans to recommend to the Faculty steps to increase the GPA levels needed to earn both Latin Honors and to be on the Dean's List.

There seems to be faculty interest in grade inflation and it likely will receive more attention in the next few years. Some argue that the quality of Bates students has increased over the decades and therefore so should grades. Others point out that grades and grade point average measure only one aspect of a student's performance. They do not, for instance, measure how much has been learned at Bates, since students from strong backgrounds often do well, while those from disadvantaged backgrounds must work harder to earn grades. The GPA also is viewed as a poor measure of the nature of personal transformation we proclaim as a key component of a Bates education. In 1998-1999, the faculty adopted a pass/fail option, allowing students to take a total of two Bates courses on a pass/fail basis. The change was intended to encourage students to explore areas they might have avoided if letter grades were required. It is interesting to note that we have already taken one step away from the ranking of students by no longer listing class rank on the transcript.

Should we consider alternative evaluation systems that better assess the educational outcomes we value in our vision? We received national recognition in the 1980s when the Faculty voted admissions applicants the option of not submitting scores on the Scholastic Achievement Tests (now the Scholastic Assessment Test), choosing to redefine for ourselves the meaning of excellence in a college applicant. Can Bates also redefine the meaning of excellence as a graduate

by developing alternate ways to describe the outcomes of the education we provide? To do so would require a new lexicon of evaluation and assessment. One suggestion is to ask students to develop portfolios of their work, not so much as a method for evaluation, but as a way to encourage them to assess their own learning and growth over time. However, in a world in which students still compete for grades and graduate and professional schools hope for linear numerical scales by which to compare candidates, it is unlikely that the College will abandon the traditional four-point linear grading system.

Graduation Credit for Non-Bates Courses. Recently there has been faculty concern that as more students study abroad, bring Advanced Placement Courses to the campus, and study at other schools, non-Bates academic experiences are becoming a higher percentage of credits toward the Bates degree. A number of committees and offices (the Enrollment Planning Group, the Educational Policy Committee, the Registrar, and the Office of Institutional Planning and Research) conducted studies and surveys to learn about policies at other schools and about how Bates students accumulate credits toward graduation. An *ad hoc* committee then presented to the faculty a new transfer credit policy, which was adopted in 1997. The new policy requires all degree candidates entering as first-year students to earn a minimum of 24 Bates course credits or approved program credits. In addition, it allows a maximum of eight Advanced Placement credits to be applied to the Bates academic record. (Before 1997 there was no limit on the number of Advanced Placement courses a student could apply toward graduation.) Finally, we no longer will accept transfer credit for college courses that were taught in a high school setting. These policies are still more generous than those of many of our peer institutions.

We anticipate that students will increasingly seek to apply new credit options, such as distance-learning and internships, for graduation credit. We also expect that there will be economic incentives for more students to seek outside training to earn "certificates" of competency in fields outside of the liberal arts, such as the Microsoft professional certification programs. While the College does not plan to offer such programs, we must continue to monitor these options and determine which are valuable opportunities for our students and which are too disconnected from the Bates experience to warrant academic credit.

Dimension 2: A college with a distinctive ethos of civility, respect, equity, engagement, interaction, and service.

Co-curricular Education. Co-curricular education at Bates takes several forms. An important one is administered by our Center for Service-Learning.

Established in September 1995, the Center is dedicated to the proposition that liberal learning, personal growth and moral development are enhanced through service to others. Students, faculty, and staff learn about themselves, the dynamics of the world in which they live, and those with whom they work when involved in community service. Not insignificantly, they also enhance the quality of community life by the tangible results they add through their service. These ideas are at the heart of the Center for Service-Learning's mission.

The Center facilitates a variety of contacts with the larger community by students and faculty. Service-Learning is distinguished from traditional volunteerism by promoting reflection and discussion on community service within the traditional academic course. It provides valuable experiences for students, it emphasizes the importance of connecting learning to action, and it creates new connections for both Bates learners and the local community.

One-third of the faculty has included a service component in their courses. According to the Center for Service-Learning, in 1998-99, Bates students participated in a total of 1,207 community-based service-learning projects. (These figures do not include projects organized through the Volunteer Coordinator's Office.) Approximately 56,416 hours of service were given, 24,295 of them within public schools. Nineteen different departments and programs and 42 faculty members incorporated some form of service-learning into their curricula. Approximately 144 community agencies and institutions were involved with Bates service-learning projects.

As an example, the Political Science Department currently offers a Short Term unit in service-learning in which students gain exposure to daily living experiences different from their own through service internship placements in such settings as shelters for the homeless and for abused women, soup kitchens, and food banks. Participants meet with the instructor to explore relationships between academic writings related to the people the students serve and their own internship experiences and observations.

In light of the College's vision and student choices, we expect service-learning to continue as a significant part of the Bates educational experience. Yet while several members of the Faculty have connected service-learning to the traditional classroom in innovative ways, others are skeptical about the validity of service-learning as an academic experience.

A second important form of co-curricular learning at Bates is coordinated by the Office of Career Services. These include the Career Discovery Internship Program, designed to give Bates students a glimpse into one of many career fields through week-long internships with alumni at their places of work. The Ladd Internship Program offers sophomores and juniors the chance to work in a "real life" situation, gaining the benefits of exploring a serious job interest as well as getting paid. From 1990 to 1999, 154 students participated in the Ladd program. A variety of other internship options (including student-arranged) are available, and although accurate statistics are not easy to obtain. According to the 1999 Senior Survey, 52% of Bates seniors reported having participated in some form of an internship program. The Bates Seminar Series on Entrepreneurship, which began in 1999-2000, is an ongoing set of lectures and presentations concerning the entrepreneurial process, and its history and manifestations from conception to implementation of a new venture. The series endeavors to expose students and community members to the unique ways that the fundamental characteristics of a liberal arts education can be applied and expressed in a broad variety of new ventures.

Co-curricular and interdisciplinary work often interact in creative ways to reinforce the Bates ethos. The College's commitment to diversity, to interdisciplinary thinking, and to co-curricular work often result in a synergy that energizes class discussions that would not have been possible ten years ago. Bates' long-standing excellence in Debate is joined by more the recent expansion of opportunities to participate in a wide variety of performing arts, including music, theater, and dance groups. Recognizing the importance of co-curricular learning, the Trustees created a standing Committee on Co-curricular Life in 1999, to consider the structure and scope of athletics, cultural, religious, and service experiences at Bates.

Summer programs. Less directly related to the academic-year life of the College, but deeply and strategically connected to its mission are the thirty summer programs that have been developed over the past decade. The selection of programs to sponsor or support demonstrates the College's commitment to the learning community beyond its walls.

The programs, roughly 30 per summer, fall into four groups. Camps and other programs for children provide a safe, high quality educational activities for local youth and alumni children. Another set of programs, including two highly successful programs that target minority high school juniors, provide pre-college learning experiences in areas such as U.S. history, biology, writing, dance, and debate.

The third group of summer programs are those crafted to provide teacher training. As Maine and other New England states have adopted Learning Results initiatives, Bates has been a key player in offering content-rich courses and institutes – often taught by the College's faculty – in areas such as mathematics, science, history, languages and composition.

The final group of summer programs are those that serve the needs of specific constituencies. Most important of these is the Bates Dance Festival, which in the past ten years has grown from a regional program to one of international significance. Now hailed as the premier teaching program of its kind, the Bates Dance Festival also commissions new work, offers a rich variety of free and

low-cost concerts in the community, and has served hundreds of children, teens and senior citizens through its outreach programs.

Dimension 3: A college that is unequalled in establishing the connections, the cohesion, that express the promise and value of a liberal education.

Off-Campus Study. Study abroad at Bates is coordinated through the Off-Campus Study Office in coordination with the Faculty Committee on Off-Campus Study. This office, with two and one-half employees, oversees a larger part of Bates academic experiences than any other department or program.

According to data published by *U.S. News and World Report*, in 1999 Bates ranked 7th among colleges and universities in its proportion of students studying abroad. Between 1990-91 and 1999-2000 the number of students who studied abroad increased from 180 to 268. The percentage of the graduating class that earned some credit for foreign study rose from 46% in 1990 to 65% in 2000. Between 1990-91 and 1999-2000 a total of 1,309 students studied in 70 countries on Junior Semester Abroad Programs. In the same period, a total of 448 students studied in 43 countries on Junior Year Abroad Programs.

At Bates, study abroad can occur during a Junior Year Abroad, a Junior Semester Abroad, a Fall Semester Abroad, or a Short Term. Each year the College sponsors one or more Fall Semester Abroad programs under the direction of Bates faculty. Bates is unusual in that qualified entering students may participate in the Fall Semester Abroad programs. As of fall 2000, Bates will have conducted 26 Fall Semester Abroad programs in 11 countries, with a total of 53 (or 33 unduplicated) faculty leaders. In 2000 these programs will be in Nanjing, St. Petersburg, and Berlin. These programs combine academic work with a cross-cultural learning experience under the close supervision of Bates faculty. By providing students with home-based living environments, they achieve significant improvement in foreign-language proficiency. Further, these programs also provide an opportunity for Bates faculty to conduct research abroad and to explore issues outside their primary academic field.

In 1999, with a grant from the Mellon Foundation, Colby, Bates, and Bowdoin colleges began development of the CBB Off-Campus Study Centers. Each of the three schools in the new CBB Off-Campus Study Consortium is responsible for establishing and administering a Center in a different part of the world: Colby in London, Bates in Quito, and Bowdoin in Cape Town. The programs at the Centers are organized by CBB faculty for CBB students. The first programs for Quito and London were in the fall of 1999. The first program for Cape Town is in the fall of 2000. The Centers will be not just places for students to study, but also opportunities for faculty to establish connections with faculty from other countries and may even result in faculty in the host country visiting and teaching in the CBB schools. (The related CBB Library and Information Technology Consortium is discussed in Standard 7.)

Several factors distinguish study abroad for Bates students. We require those studying in a country where English is not the primary language to have adequate language preparation or to undertake language study in that country. Compared to our peer schools, relatively large numbers of Bates students study in developing countries. Furthermore, Bates recognizes the importance of access to off-campus opportunities by providing financial aid to qualified students participating in these programs, even for Short Term travel and for approved study at institutions that have no formal connection with Bates.

In 2000, Bates received a \$1.5-million gift to establish the David S. and Ann M. Barlow Endowment for Study Abroad to help students to prepare for study away and to better connect their experiences to their overall education. The endowment will enable up to 10 Barlow Fellows to work with faculty advisors to develop a study abroad plan, to pursue additional travel while abroad, and to undertake activities to augment the experience upon their return. The endowment will provide travel opportunities to support senior thesis research, internships, and employment, as well as to support faculty travel to sites and programs frequently visited by Bates students. It will encourage students to share their study abroad experiences through means such as study abroad

fairs, photography exhibits, speakers bureaus, and presentations in area public schools. Finally, it hopes to provide alumni who are teaching at the K-12 level with grants for study abroad consistent with educational and professional goals.

Off-campus study raises several issues that are being or will need to be addressed. One of these has been an imbalance between fall and winter on-campus semester enrollments, caused by a tendency for students to prefer to study abroad in the winter. Through careful advising by the Off-campus Studies Office, through efforts of the Enrollment Planning Group, and by implementing a new pre-registration policy, 1999-2000 was the first year in memory when there was no imbalance between semester enrollments.

Another off-campus study issue involves technology. Students abroad often connect back to Bates only with difficulty. While we recognize that it is important for them to be able to remain connected to the campus for purposes of registration, advising, and other services, many question whether or not the College should allocate resources to make it easy for students abroad to remain intimately connected to their home country and campus when one of the objectives of off-campus study is immersion in a foreign culture.

Connecting with Bowdoin and Colby. Over the decade we have forged closer connections with Bowdoin and Colby colleges. In some cases these connections have been electronic: The libraries share catalogs, select databases in coordination with each other (most with joint licenses), and have developed at CBB web site for shared electronic services. Several of our offices share information and strategies. The Bates Office of Career Services, for instance, coordinates recruiting schedules with Bowdoin's and Colby's offices.

A Mellon Foundation-funded project has enabled the College to extend cooperation beyond the libraries to include the three information technology organizations, which now provide shared video-conferencing systems and high-speed data connection, and collaborative programs in instruction and faculty development for technology. Administrators find the video-conferencing system a convenient way to keep in touch with each other on common issues, such as the CBB Off-Campus Study Centers. Faculty have used the system to conduct classes simultaneously at the three schools. We do not, however, anticipate courses being offered simultaneously at the three schools because our academic calendars and daily class schedules are not synchronized.

The collaboration continues in other ways. The three foreign language programs have developed computer laboratories to support foreign language instruction through shared programs and team teaching projects. The CBB Off-Campus Study Centers, described above, bring together both students and faculty from the three schools not only to study, but also to design, recruit for, and administer those programs.

Yet, consortial activities are not easy. The Bates, Bowdoin, and Colby connection presents opportunities to work out of a lot of wrinkles. The three colleges, however, appear committed to continuing this relationship as a means to more effective and efficient use of technology.

Distance Education. Connecting our residential college to the rest of the world is not new to Bates. We first became involved with distance education in 1969, when we connected to the Dartmouth Time-Sharing System. Today all students, faculty, and most staff now connect to the Internet regularly. This year we completed installation of the CBB video-conferencing system, mentioned above.

The term "distance learning" can have many meanings, only some of which are appropriate in the residential college context. Our primary emphasis in the near future will not be on distance learning, but on the way we can appropriately and effectively use technology in our current curriculum to support the "Model for Undergraduate Learning" elaborated at the beginning of this chapter. However, to the extent that it supports a residential learning environment and connects the campus with wider intellectual resources, we do see opportunities for distance education at Bates. Often members of our community are off-campus on study abroad programs, or at home, using web registration, e-mail advising and mentoring, and doing web-involved theses. Such types of

distance learning activities are likely to increase. Yet we do not plan to offer distance learning courses to nonresidential students. However, in the next decade, we anticipate capitalizing on technology to develop much closer ties to a variety of professionals and other experts able to support our learning environment through the creation of electronic communities, such as between the on-campus community and our alumni body.

Because we cannot create all our learning resources here on campus, distance learning may allow individual students to learn certain skills on their own as they need them. We anticipate that there will be growing economic incentives for liberal arts graduates to be able to provide evidence of certain technical proficiencies, such as those offered by the Microsoft certification program. We may wish to explore outside alliances and cooperative relationships so that those who wish to supplement and complement their liberal arts education by such programs are able to do so. In the next several years, we will need to develop policies for how Bates will (or will not) award credit or other recognition for distance learning and other certificate programs. Advising students about such endeavors is analogous to suggesting that they consult books in the Library. Previous graduates were expected to be able to read, write, and understand the intricacies of library research and the evaluation of books and articles. Current and future graduates will also be expected to have basic skills for navigating and evaluating the world of electronic information.

Not all shifts in our ways of teaching, learning, and administering will result from our own planning and experimentation with new pedagogies. Change will also be thrust upon us by innovations from other organizations, by changing student expectations, or by mandates from governmental or accrediting organizations. We are attentive to trends that encourage questionable types of distance learning and we need to be strategically prepared to respond carefully and critically to such pressures, but within a context that supports the Bates' goals and mission.

Finally, as more distance learning opportunities come on the market, we will need to address public comparisons and perceptions of the value of distance education with that of a residential liberal arts education.

Dimension 4: A college that is understood and valued as supportive and attentive to individual learners and, in so doing, forges a community of distinction and excellence.

Recent Changes in the Academic Schedule. A new, so-called "maxi-flex," weekly academic schedule will debut in the fall of 2000. The change is a response to general dissatisfaction with the previous schedule, which had remained essentially unchanged since 1969. That schedule, which required all classes to meet exactly 160 or 165 minutes, was not meeting the needs of a changing curriculum. As a result, some courses held one or two additional hours of class per week. The inflexibility was further enforced by the "Grid", a system to distribute classes through the day rather than only at the favored midday hours, when there was an insufficient number of classrooms. While the new rooms in Pettengill Hall relieved the pressure on space, the problem of extra hours remained. The new schedule allows faculty to vary the length of classes to show films, facilitate class discussions, or provide individual consultation. An additional evening class period was added, along with a class-free period available for college-wide activities. It is too early to appraise the success of the new schedule. It is critically important, however, that we very carefully track how well it serves its intended purposes and be prepared to make adjustments.

There remain other calendar issues. Few schools have Bates' five-week Short Term at the end of the academic year. All students must complete two Short Terms and have the option of staying for three. Originally eight weeks long and created so students could graduate in three years, it has changed over the decades to become a distinguishing feature of the curriculum. Some departments use the Short Term for off-campus work, whether for a few days or the entire five weeks. Other departments are less satisfied with the format. Over the years, as faculty have taken advantage of the fact that students have no other academic obligations during Short Term, athletic coaches find it difficult to know in advance when students will be available for practices and games. The Short Term is very popular with students and each year many try to stay a fourth Short Term by working on campus or participating in team sports, with the consequence that there always is a fraction of the on-campus student body that is not involved in any academic activity. Another issue

surrounding Short Term is whether the grade should count toward the GPA. It currently does not, although some rigorous core courses for major programs are taught during Short Term. Some argue that giving more weight to grades would encourage a more academic atmosphere, while others feel it would be contrary to the purposes of Short Term, which include fostering experimentation and non-traditional learning.

Another calendar issue that requires attention is the final examination schedule. This schedule has been unchanged for years, with no exams on Monday and some exams on the following Saturday. This aspect of the yearly calendar causes a number of inconveniences that might be easily addressed by modest changes in the schedule. There have been suggestions that giving final exams on the honor system would not only solve the scheduling problem, but would give students and faculty some experience with an honor code.

Recent Changes in Student Choices. A number of brief observations have been made about choices individual students make:

- From 1990 to 1999, the students in the graduating class earning B.S. degrees, rather than B.A. degrees rose from 13.5% to 28.3%, a new record.
- From 1995 to 1999, the most popular concentrations have remained the same (although their rankings change). They include (in descending order for 1999 graduates): Biology, Psychology, Political Science, English, Economics, student-designed interdisciplinary majors, and Art.
- The percentage of seniors graduating with a concentration in the social sciences or the humanities has declined in the past decade, apparently due to the increase in science and interdisciplinary concentrations described above. Since 1990, there has been a steady growth in the proportion of students graduating in the natural sciences. CIRP First-Year Survey data indicate continued strong interest in the natural sciences, at a level much higher than at our peer institutions.

These data do not help us understand why students make the choices they do. If a particular major is popular, is it because students believe the major will improve job prospects, because the teaching reputation of the department is excellent, or because the major is comparatively undemanding? We should, however, be prepared to respond to these shifts in interest.

Assessment of Academic Outcomes. We have been working to develop a culture of decision-making based on data. We have been more comfortable using the language of "improving institutional effectiveness and efficiency" than with the language of "outcomes assessment." We have had debates about how to approach assessment activities, but as those discussions continue, we have determined that the actual "doing" of assessment through various ongoing projects and activities will be more useful than the establishment of formal and elaborate structures, processes, and monitoring mechanisms. When possible, we will use existing committees, structures, and processes. Discussions will be guided by the AAHE's "Principles of Good Practice for Assessing Student Learning" and the Office of Institutional Planning and Analysis inventory of current Bates assessment activities. We recognize that we need to continue to strengthen this aspect of our work, while celebrating the efforts that are already underway.

Since 1993, the Office of Institutional Research (later Institutional Planning and Analysis) has provided a reliable base of historical trend data, current snapshot data, and comparative national data to inform decision-makers. When we speak of assessing learning outcomes, we often must use what crude indicators are readily available, and use them as proxies for the types of measures we would prefer to have. Although current thinking suggests that assessment activities should focus more on academic "outputs" rather than "inputs," we remain very aware that the "environments" and "processes" that distinguish a Bates education are critical components of student learning, and that these also need to be evaluated. Many convenient measurements can at least suggest the quality of our students' experience at Bates. We will continue to seek new methods to learn about those aspects of student learning which are not now amenable to precise measurement techniques.

Although attending small classes does not guarantee a better experience, it almost inevitably assures a closer working relationship among students and instructor. The planned growth in the number of faculty in recent years has had the desired effect of producing smaller classes:

<u>Fall of:</u>	Class sections size	
	% of sections	
	<u>under 10</u>	<u>50+ students</u>
1995	55.6	8.2
1996	58.0	8.7
1997	57.6	7.3
1998	59.0	6.1
1999	64.5	3.9

Note: *U.S. News and World Report* methodology. (Does not include thesis, independent study, or other one-to-one instruction.)

Review of Academic and Administrative Departments and Programs. In 1987, Bates established an ongoing periodic cycle of formal department and program reviews, with participation by faculty outside the department and by peer evaluators from other institutions. Twenty-two department or program reviews have been conducted since then, and a schedule for future reviews has been developed. The academic review process has been extended to other areas, such as the Library, the Dean of the Faculty, the Office of Career Services, and Athletics. Annually, each academic department and program and each academic support department submits a report of its activities to the Dean of the Faculty. While chairs in coordination with the Dean of Faculty have considerable input in determining the focus of the review, efforts are underway to ensure that portions of the report will answer a common set of questions and provide a common set of data for comparison with other College units.

In 1999-2000, the Dean met with each department and program. These meetings included a discussion to determine how they set their goals for student learning and their methods for attaining them. The Goals 2005 Steering Group has adopted a set of specific academic assessment goals for 1999-2000 and 2000-2001. Activities that provide evidence of student learning vary by academic department and program. To be effective, faculty must be engaged in this effort, although they will need data support from administrative offices. Some departments require their majors to take a comprehensive examination; some require a formal presentation or performance; French majors must complete a portfolio of their work. Most faculty would agree that the senior thesis provides the clearest demonstration of student learning in an academic field. Bates' position on optional SAT testing in admissions is reflected in the suspicions that many faculty have about the value of national standardized tests for graduates. Periodic reports by administrative offices or faculty committees provide evidence of grade distribution by department; academic standing and discipline issues; honors and fellowships awarded; independent study courses; and the like. The Educational Policy Committee, the Committee on Curriculum and Calendar, the Committee on the Evaluation of Teaching, and the Committee on Teaching Development all play roles in our academic assessment activities.

The Bates Survey Suite. Much of our assessment of educational outcomes comes from analysis of a suite of surveys with subjects ranging from admissions inquiries and nonapplicants through to some of our older alumni. Although a more comprehensive summary of surveys is included in the appendices, we find the following to be the most useful:

- The Senior Survey is administered in alternate years to students upon graduation and has an average participation rate of about 60%. We now have data for the classes of 1991-1995, 1997, and 1999.

- We have administered the CIRP First-year Student Survey to entering students each year since 1966, and, for the first time, administered the related College Student Study to rising sophomores in 1999.
- We administer a survey to all withdrawn students to understand their reasons for leaving.
- We administer several occasional surveys to help us better understand our students. These include the all-class Climate Survey in 1996 and the CORE Drug and Alcohol Survey and follow-up in 1998 and 1999.
- The Office of Career Services carries out an annual survey of graduates six months after graduation which identifies initial destination after graduation (employment or graduate school), salary; satisfaction with initial destination; methods used to obtain jobs; length of time to obtain employment; willingness to work with OCS as alumni career advisor; personal advice to current students. The results of these "Voices from the Other Side" surveys, for the years 1993-1997, are available at the College's web site, along with a series of interviews of prominent alumni in various career fields, searchable by undergraduate major.
- The Development Office annually collects information about reunion classes. We ask what skills they learned at Bates, their graduate study, and their current career and income. In 1999, for example, we surveyed the Classes of 1949, 1959, 1974, 1989, and several classes from the early 1990s. The Development Office plans to conduct a mail survey of all alumni in 2000.

Our base of survey data is rich and extensive, but there are two limitations: they provide us mainly with subjective perspectives of respondents' learning and they tend to answer questions at the level of the institution rather than providing direct evidence of learning within the student's major field. We are trying to resolve some of these difficulties by making better use of directed local questions in the national surveys in which we participate.

A few examples of other special studies from non-survey data by the Office of Institutional Planning and Analysis include:

- Annual profiles of the graduating class, with sub-profiles of students who earn Latin honors and of those in the bottom 10% of the class
- Preparation of the report of the Special Committee on Student Retention at Bates (1999)
- Alumni Education and Careers After Bates: Mining the Alumni Database (1997)
- Transfer credit study, 1988 to 1997 graduates (1997)
- Summaries of peer data from the Higher Education Data Sharing (HEDS) Consortium, from *U.S. News and World Report*, and from the 1998 Baccalaureate Origins of Doctoral Recipients study
- Publication of a "Bates Outcomes" web page (1998)

Standard 5: Faculty

The Bates Faculty. Over the decade, the faculty has changed in numerous ways. These changes have been the result of institutional investment and planning that have helped develop a faculty better able to serve the mission of the College. Paramount among these have been an expansion of the size of the faculty, the racial and gender diversification of the faculty, and an increase in faculty involvement in interdisciplinary programs.

Reporting and understanding the changes in our faculty required consideration of the many ways we are asked to count faculty. The following table describes the Bates faculty according to six common methodologies.

		Currently				
	Headcount	Teaching Headcount	Financial FTE	Teaching FTE	AAUP/IPEDS FT	Tenure/Tenure track
1989-90	164	152	134.33	125.00	116	113
1990-91	168	154	138.33	128.00	112	112
1991-92	172	157	138.33	130.17	122	117
1992-93	180	170	144.66	133.66	123	121
1993-94	172	165	143.50	137.68	127	119
1994-95	177	166	147.68	141.03	127	119
1995-96	180	171	145.31	138.56	129	120
1996-97	184	170	150.58	143.67	129	117
1997-98	191	176	156.00	142.74	129	121
1998-99	192	178	155.83	143.75	130	123
1999-2000	196	186	164.33	154.50	135	123

Headcount:	All persons designated as faculty by the Dean of the Faculty.
Teaching Headcount:	Faculty who taught at least one course during the academic year.
Financial FTE:	Full-time equivalence of the contractual obligation. Includes faculty on paid leave and replacements.
Teaching FTE:	Full-time equivalence of faculty who taught at least one course during the academic year.
AAUP/IPEDS FT:	Full-time (100%) faculty as defined by national AAUP/IPEDS survey methodologies. Represents the best nationally available means of comparing faculty across institutions.
Tenure/Tenure Track:	Tenured and tenure track faculty.

To understand how we use our most important resource, our faculty, we must be able to track various subcategories. Given increasing requests for data from both internal and external constituencies we may find ourselves doing more counting but holding less useful, and even less accurate, information. Our present internal methods have helped us to follow trends and to plan, but they no longer meet the "best practices" requirements and standards for external reporting. New revisions of Department of Education IPEDS surveys will force us to reexamine our definitions so that reports that were formerly different (IPEDS Faculty compensation and IPEDS Fall Staff) will need to reconcile faculty on a one-to-one basis. For internal purposes we have always considered the financial and teaching full-time equivalency counts to be the best and most meaningful reflection of faculty workload. A full-time Bates faculty member is contracted to teach the equivalent of six courses, usually arranged as 3-2 or 2-3 plus a Short Term unit. Faculties are expected to teach two out of every three Short Terms. Other course-load equivalent reductions are arranged by the Dean or in consultation with the departments and programs.

Over the past decade we have moved our counting methods from typewritten lists and paper notebooks to localized spreadsheets and databases. We have assembled trend data where there were none and have linked many formerly isolated data elements. We have used these data to

guide our planning and budgeting, but must now attend to better ways to understand our larger and more complex faculty.

In 2000-2001 we will implement the Banner Human Resources system, which will allow us to centralize faculty reporting through Banner, our administrative software system. This is an opportunity for us to organize our faculty into clear and unambiguous categories. We recognize that if it is not done carefully, it could become simply another way to count faculty. Our tradition of treating faculty as individuals rather than as members of broad categories is one of our strengths and has allowed us to design joint appointments, to split contracts between departments and programs, and to create new categories of faculty. We currently are discussing ways to write faculty contracts for more than one academic year and new, flexible ways to measure faculty workload. We need to be sure that the benefits obtained by these flexible and individualized ways of treating faculty are realized and do not lead to misunderstanding.

There are a number of issues we must address. These include elimination of duplication of effort and databases, division of responsibility for counting faculty across several offices, procedures and responsibilities for entering changes to faculty data, and resolution of the various ways offices report full-time/part-time status. Since faculty have a broad range of teaching loads, supplemented by formal and informal service and research activities, the traditional categories of "full-time" and "part-time" faculty seem neither meaningful nor descriptive. Even our current use of contractual course load equivalents does not describe well our faculty activities, given the amount of time they devote to advising, thesis supervision, service-learning, committee work, and curriculum design.

Student-Faculty Ratios. From the fall of 1989-90 to the fall of 1999-00 our faculty headcount has risen from 164 to 191 (16.5%), and full-time equivalent faculty teaching courses has risen from 125.00 to 153.33 (22.7%). This planned growth has been helped significantly by the fact that the number of endowed professorships increased from 5 to 20 over the decade. Although the number of students increased from 1,522 to 1,673 on campus, it is notable that teaching FTE student-faculty ratios fell from 11.8 to 1 to 10.9 to 1 in the same period. Financial FTE student-faculty ratios, representing all obligations to permanent faculty, faculty on paid leave, and to their replacements, fell from 11.0 to 1 to 10.2 to 1. This is a significant improvement over 1979-80, when the student faculty ratio was 14.7 to 1.

Our larger faculty has given us declining class section sizes, more students involved in research with faculty, more first-year seminars, more thesis advising, and more interdisciplinary teaching and innovative pedagogy. A large faculty entails high financial and space costs. Its size can also affect collegiality and governance and require a larger bureaucracy.

A More Experienced Faculty. The median age has increased and more faculty have tenure compared to a decade ago. In 1999 the median age was 45.9 years, compared with 43.2 in 1993. In 1991, 54.1% of full-time faculty (as reported to the AAUP) were tenured, compared with 66.8% in 1999. Because we have gone from 27th among our 28 peers to 16th in the percentage of faculty with tenure, we no longer have one of the youngest faculties among our peer group. In the same time period, the number of professors and associate professors increased from 55.7% of the AAUP full-time faculty group to 74.1%, and our rank within our peer group has gone from 26th to 9th.

Faculty by Age Group 1999-00 (October census)

<u>Age group</u>	<u>Headcount</u>	<u>Cumulative %</u>
Under 30	6	3.1%
30 -34.9	28	17.8%
35-39.9	16	26.2%
40-44.9	39	46.6%
45-49.9	34	64.4%
50-54.9	32	81.2%
55-59.9	19	91.1%
60-64.9	10	96.3%
65-69.9	6	99.5%
Over 70	1	100.0%

Faculty by Number of Years at Bates, 1999-00

<u>Years of service</u>	<u>Headcount</u>	<u>Cumulative %</u>
0-5	66	34.6%
6-10	30	50.3%
11-15	29	65.4%
16-20	22	77.0%
21-25	20	87.4%
26-30	16	95.8%
31+	8	100.0%

The College long ago established a policy that prohibits, subject to the needs of the College, the use of quotas for tenure or reappointment. These needs may include financial needs, needs to support faculty-approved academic programs, "relationship of the individual's field to other fields of inquiry in the department(s) and/or programs(s) in which the appointment is held," and student interest. Given these needs, the Trustees are entitled to establish guidelines or percentages to limit reappointment or tenure, but they must announce them in writing before they can take effect.

Summary of tenure reviews since 1989-90

Acad. Year	Females			Males			Total			% Tenured
	Eligible	Tenured	Not Tenured	Eligible	Tenured	Not Tenured	Eligible	Tenured	Not Tenured	
# Reviews	32	29	3	26	20	5	58	49	8	9
Success %	90.6%			76.9%			84.5%			

We have an experienced faculty with established research reputations. Since they have more years of service, we must plan for more resources for salaries and benefits. We thus can hire fewer incoming assistant professors and have fewer opportunities to add tenured faculty unless they are net additions. Experienced faculty also mean more sabbatical leaves and, consequently, more replacements (we have gone from 22 lecturers in 1990-1991 to 42 in 1999-2000) and recruiting costs.

Our salary profiles are affected by the distribution of ages within ranks. Hence, some of the comparative gains we have made in compensation in the early part of the 1990s disappear as large numbers of faculty are promoted to the lower end of the salary range in the next higher rank. Some of these differences should vanish as faculty gain more experience and more years in rank.

We anticipate a large number of retirements beginning in 2005. One fourth of the current faculty will reach age 65 by 2011 and half by 2018. Actual retirement dates, however, can be affected by many factors, both personal and institutional. Two years ago the College established the *Program for Tenured Faculty: Optional Plans Leading to Retirement*. The objectives of the program are: to provide financial security and institutional recognition to tenured faculty who choose to retire sooner than otherwise might be expected; to facilitate change in the composition of the faculty by increasing the turnover rate of appointments; and to control some of the compensation costs incurred where the current cohort of tenured members remain active. Faculty who participate in the program may opt for a two-year terminal contract, including one year of full-time service and a final year of paid leave, or they may gradually phase out their teaching load over three years, while retaining 80% or more of their base salary. Since 1995, eleven faculty members have taken advantage of this program.

Faculty Compensation. Our general planning goal has been to achieve AAUP 1* (95th percentile) rating for category IIB private independent institutions at all ranks. Given our distributions within ranks, these goals have not always been attainable. However, our salaries in all ranks have consistently been above the AAUP average for category IIB.

Salary increases for continuing faculty have kept pace with inflation, but they have not kept pace with increases in our peer group. While we made significant progress compared to our peers in the first half of the 1990s, we have slipped for the past several years. In particular, professors' annual percentage increases have been below the peer median for five years and associate and assistant professors' annual percentage increases have been below the peer median for the past three years.

Salary of Full-time AAUP Faculty, Fall 1999:

	Professor	Assoc. Prof.	Asst. Prof.	All Ranks
Average salary (\$000s)	80.6	57.9	45.3	62.7
Peer median salary (\$000s)	83.6	60.9	47.4	65.1
Bates peer rank 1999	17/28	22/28	21/28	20/28
AAUP IIB independent avg. (\$000s)	70.5	52.1	42.8	54.7
AAUP IIB independent 95th percentile avg. (\$000s)	80.1	61.1	48.1	n/a

Total Compensation of Full-time Faculty, Fall 1999:

	Professor	Assoc. Prof.	Asst. Prof.	All Ranks
Average compensation (\$000s)	101.1	72.9	57.5	78.9
Peer median compensation (\$000s)	107.7	78.6	59.6	83.3
Bates peer rank 1999	20/28	23/28	22/28	21/28
Benefits as a % of compensation	25.4%	25.9%	26.9%	25.8%
Peer median benefits as a % of compensation	26.8%	27.6%	26.0%	26.2%
Bates rank 1999	24/28	21/28	11/28	23/28
AAUP IIB independent average (\$000s)	89.3	66.2	53.7	69.0

Changing faculty demographics are an important factor in faculty salary comparisons. New hires typically start at the lower end of the salary pool. There have been many promotions from assistant to associate and from associate to full professor as faculty move along the promotion pipeline. Newly promoted faculty enter at the bottom of the pay scale for their new rank. Between 1996 and 1999 only 3 full professors retired and one died, while 11 were promoted to the lower ends of the salary scale. At Bates promotion from associate to full professor is not automatic. Hence, there are 22 associate professors who were tenured in 1992 or earlier but have not been promoted to full professor. Of these 22, five are Physical Education faculty and are not eligible for promotion, while others have not stood for promotion. At the same time, most associates have relatively few years in rank and, consequently, lower salaries.

The College offers all full-time employees a retirement plan in the TIAA/CREF Equities Fund and contributes 6.7% on the first \$16,850 of salary and 11% on the remaining balance per year, which is an increase effective as of July 1996. Normal retirement age under the TIAA/CREF retirement plan is 65. If a member of the faculty teaches beyond normal retirement age, the College contributes to the retirement fund until the date of actual retirement. Faculty have the option of retirement as early as age 55 after 15 years of service.

Under an important new faculty and staff benefit, the College encourages voluntary saving for retirement by matching voluntary employee contributions to a qualifying retirement annuity up to a maximum of 1% of the employee's annual salary.

The College offers a flexible benefits program, which provides choices among a variety of benefit options such as medical insurance, life insurance, and accidental death and dismemberment insurance, as well as pre-tax reimbursement accounts for dependent care and health care. Employees who use dependent care may also apply for a College Dependent Care Subsidy, based on annual household income.

Assistance from the Harry W. Rowe Tuition Grant Fund toward tuition for dependent children is available to each active full-time faculty, administrative staff, and support staff member. This provides tuition assistance at any accredited baccalaureate-degree granting institution. For a faculty member employed before 1988, Rowe Fund payments equal 50% of the tuition and mandatory academic fees of the institution attended, up to a maximum of one-half of Bates' tuition. For a faculty member starting after 1988, payments equal 10% of the College's annual charge.

Faculty Diversity. In his 1995 letter accepting Bates' fifth-year interim report, Jonathan Lawson writes for C.I.H.E, "We take favorable note that the number of women on the faculty during the same period [1989-90 to 1994-95] has increased 40 percent and that of minorities has increased 140 percent."

The number of women faculty increased from 30.5% to 44.0% as a proportion of the total faculty headcount from 1989-90 to 1999-00. Women comprised 55% of new faculty appointments from 1990-91 to 1999-00 and 68% in the past five years.

Fall Female and Minority Faculty Headcounts				
	Female (N)	Female (%)	Minority (N)	Minority (%)
1989-90	50	30.5%	12	7.3%
1990-91	59	35.1%	15	8.9%
1991-92	59	34.3%	18	10.5%
1992-93	63	35.0%	20	11.1%
1993-94	63	36.6%	23	13.4%
1994-95	66	37.3%	24	13.6%
1995-96	67	38.3%	23	13.1%
1996-97	68	37.0%	25	13.6%
1997-98	75	39.7%	26	13.8%
1998-99	80	41.9%	24	12.6%
1999-00	84	44.0%	26	13.6%

Comparative data from the HEDS Consortium for fall 1999 shows that Bates has a slightly higher percentage of women on our full-time faculty (41.5% by the AAUP count) than in our peer group average (39.0%) or the HEDS colleges average (37.4%). While we have a smaller proportion of tenured women on our faculty, we have a higher proportion of women on the tenure track. Bates also has a higher proportion of AAUP full-time faculty of color (15.6%) than either the peer group average (13.1%) or the HEDS college average (10.9%). While our overall gender and minority diversity have improved, a more favorable balance in earning power within the ranks will not occur until more women and minorities move through the promotion pipeline. If one controls for years of service, years within ranks, and academic field, the differences in compensation are minimal.

A summary of new (fall 2000) faculty appointments, as recorded in the Dean's "New Faculty" report:

	1990-91	1991-92	1992-93	1993-94	1994-95	1995-96	1996-97	1997-98	1998-99	1999-2000
Full-time	22	18	18	16	15	9	12	17	13	18
Part-time	6	7	3	4	6	8	10	8	10	7
Total	28	25	21	20	21	17	22	25	23	25

Note: In the table above, all Lecturers are defined as "part-time." (Although some persons are appointed on multiple occasions, they are counted as new each time they appear in the Dean's list.)

Scholarship and Teaching. Our faculty continue their strong tradition of scholarly work and teaching. The Institute for Scientific Information (ISI) database, for instance, credits Bates with 34 ISI publications per 100 faculty members, comparing favorably with many research universities. A recent article in *Change* builds on these ISI data to reinforce Bates' belief that scholarly research strengthens teaching.

Each faculty member submits to the Dean of Faculty an annual report of scholarly activity. These are combined into reports for the faculty, which are published annually and available from the Dean of Faculty. We recognize scholarly productivity by awarding Dana Professorships and Phillips Fellowships and we have several generous programs to support research, listed below. In addition we award the annual Kroepsch Award for Excellence in Teaching, provide course reductions for teaching development, and provide support for teaching in many other ways.

As with all faculties at schools of our caliber, the balance between teaching and scholarship is a significant issue. The *Bates Faculty Handbook* describes the balance expected for tenure: "The two chief criteria for tenure are excellence in teaching and significant professional achievement. Particularly outstanding achievement in either teaching or professional activity may offset a lower level of achievement in the other category. Every decision on tenure inevitably necessitates prospective judgment concerning the promise for further development." For full professor the *Handbook* states: "Continuing excellence in teaching and continuing significant professional achievement are the two chief criteria for promotion to full professor."

Support of Scholarly Work. The recently endowed Phillips Fellowships reward excellence among Bates' scholar-teachers. A Fellowship is an opportunity for faculty to gain a full year's leave at full pay in order to pursue significant scholarship, explore new research areas, or develop new courses or pedagogical approaches. Fellowship leaves will usually take place at a research venue away from campus so that recipients can interact with scholars in their fields. The Fellowship includes support for the replacement of the recipient, as well as travel expenses to research venues. Faculty may request up to \$4,000 for travel.

The President's Fund for Faculty and Curricular Development makes available, at the President's discretion, support of the professional development of the faculty and of curricular development. There are two standing programs supported by this fund: the Fund for Publication of Scholarly Work and the Fund for Postdoctoral Study.

Other funds include the Kathleen Curry Akers '41 Fund for Sabbatical Leave Support, the McGinty Faculty Research Fund, the Lincoln and Gloria Ladd Faculty Research Grant, the Roger C. Schmutz Faculty Research Grants, the Philip J. Otis Faculty Curricular Development Grants, the Howard Hughes Medical Institute Grants for Faculty and Student Research, and the Summer Research Apprenticeships (a student-faculty research collaboration program).

Special Faculty Development Grants provide support to explore new areas of research and new approaches to pedagogy, and to develop new courses. The grants are designed to foster experimentation, exploration, travel, and collaboration. Their aim is to encourage faculty to study something they have not studied before or to go somewhere they have never been to enrich the curriculum, teaching, or research. They support such activities as travel and international experiences, multiple perspectives (to support faculty and student-faculty efforts that look critically at adding greater diversity to the curriculum and to faculty research), and innovation in teaching (especially in the use of technology for teaching).

Over the decade the Development Office has increased its support for foundation and corporate fundraising, as well as for sponsored faculty research grants. During 1999-2000 we were awarded almost \$2,000,000 in institutional proposals and over \$1.7 million in faculty initiated proposals for research and curriculum development.

Travel Support, Leaves, and Release Time. For attendance at professional meetings each year (except during full year leaves of absence), the College reimburses each faculty member up to \$500 for expenses. Those who present a paper receive an additional \$500 and may receive yet another \$500 for a second paper.

An assistant professor is eligible for a one-semester leave with pay and benefits after three years of full-time teaching, subject to certain conditions. The purpose of this pre-tenure leave is to support specific curricular projects or scholarly research. If a faculty member opts to take a pre-tenure leave, the regular sabbatical scheduled is adjusted accordingly.

Faculty are eligible for a first sabbatical leave after tenure (or the initial four-year contract, in the case of Physical Education faculty) and after a period of six years of full-time teaching, unless hired with credit toward the preliminary period for tenure, or unless awarded a pre-tenure leave. A sabbatical leave consists of a half year at full salary or, at the option of the individual, a full year at one-half salary.

For purposes of professional development, members of the faculty may apply for leaves of absence. Normally half-year leaves are not replaced. All full-time faculty are eligible for leaves of absence, without salary and without benefits, for purposes of child rearing or other dependent care. Guidelines for applying for sabbaticals and leaves are published in the *Faculty Handbook*.

Recruiting Tenure-track Faculty. Over the decade we have modified our policies for recruiting tenure-track positions to better reflect our goals.

One change has been in the membership of search committees. For candidates in a single department or program, the search committee has at least two colleagues outside the department or program. The Dean of Faculty or Division Chairs may also require or recommend that faculty of color and/or women serve when there is no such presence in a department, as well as others with special qualifications, when needed.

The search committees' procedures have been modified as well. A search committee for tenure-track appointments invites the Dean of Faculty to its first meeting to discuss the goals of the search, review the procedures, and resolve questions or concerns.

We are intentional about involving students in our recruiting, and encourage search committees to arrange a dinner meeting or discussion group for candidates to meet students and to follow through on students' evaluations of the candidates.

The College goal is to have a diverse pool that includes women and minorities. In addition to placing position announcements in relevant discipline- and minority-based publications, committees are encouraged to recruit by contacting graduate schools with large numbers of women or minorities who could be strong candidates. The chair of the search is expected to urge colleagues to contact associates at other institutions or on our own faculty to assist in developing a strong and diverse pool of candidates.

The search committee provides the Director of Affirmative Action with a short list of the strongest candidates. Final ranking of a three-person interview shortlist requires Director of Affirmative Action approval. It is anticipated that diversity will be represented among the three candidates on the interview short list.

At the end of the interview process, the department submits its final choice to the Director of Affirmative Action for review before conveying the recommendations to the Dean. Throughout this procedure the Director of Affirmative Action has an opportunity to meet the candidates, to understand the committee's thinking and decision-making about its first and second choices, and to inform the chair and the Dean of any concerns. Search committees are always free to select the candidate of their choice, but the process helps to ensure that serious consideration will be given to candidates of diverse backgrounds.

Cost is an important concern about recruiting, both in terms of dollars and time. In one year we can spend more than \$50,000 recruiting the tenure-track candidates and more than \$40,000 for replacement positions, not including hundreds of hours of faculty and administrative time.

Another concern is that as we aggressively recruit for research and teaching excellence, we must also make clear to candidates our expectations for service. We ask all current faculty to serve as advisors, as members of committees, and in other capacities outside of their disciplines. At the same time, we excuse all first-year faculty from these obligations. The Dean of Faculty is currently extending the orientation program for new faculty, increasing meetings with senior faculty and

working with departments and programs and division chairs to develop more optimal ways for faculty to balance the many demands on their time while continuing to seek, and achieve, excellence.

Part-Time Faculty. As do most colleges, Bates has a number of part-time faculty. Over the decade our number of lecturers has increased from 22 to 42 and the number of "assistants in instruction" (who do not have faculty status and teach no classes) increased from 8 to 13. We now employ 17 applied music faculty to give music lessons to students (on demand). We also have added "learning associates", non-faculty professionals who assist faculty with instruction and thesis advising.

We may be unusual in that many of our lecturers have been on the faculty for several decades and have been integrated into the life of the College. Many are part-time by choice and for several their primary appointment is administrative. Some publish research papers, many participate actively in the life of departments and programs, and some have participated in study-abroad programs. All have faculty status and voting rights on the floor of the faculty. We also are unusual in that partial benefits can be extended to lecturers. In most cases lecturers are eligible under the College leave policy. For instance lecturers who have taught ten years may apply for an initial sabbatical leave and apply for Phillips Fellowships.

The faculty has recently recommended legislation concerning lecturers and sent it to the Board of Trustees for consideration. One of its goals is the improvement of the integration of lecturers into the life of the College. That may entail professional achievement, participation in faculty governance, and more engagement with students outside the classroom. These are standards for full-time faculty and we want to encourage them for part-time faculty as well.

The new legislation includes the creation of consistent schedules for and reappointment of lecturers, the establishment of clear criteria for the evaluations of lecturers, the possibility of establishing two new titles for lecturers (Artist-in-Residence and Senior Lecturer), and the establishment of part-time tenure-track positions.

Bates is proud that it ranks first among its selective peer group in average adjunct faculty salary per course. Because we recognize their valuable contributions, we have increased adjunct faculty compensation dramatically over the decade to an average of \$6700 per course. Recently the Division Chairs recommended that we make official our current practice of paying part-time faculty a pro-rated percentage of the salary of a full-time faculty member with similar training and experience.

Status of Physical Education Faculty and Coaches. A number of years ago our Physical Education faculty appointments were changed from tenure-track contracts to continuing contracts. All of the Physical Education faculty with tenure have retired, but there is still a division in the way we appoint professionals in the department. In particular, we have coaches who are full-time employees, but who do not have faculty status and are appointed annually. At the same time, all staff with faculty status are coaches, but have continuing four-year contracts.

Leadership. In its 1990 Evaluation Report, the visiting team noted:

What is more difficult to find is a center of leadership in the faculty. This may stem in part from Bates' tradition of egalitarianism, one of which faculty members are justly proud. No doubt it also comes in part from the firm leadership exercised by past presidents. ... A place where the faculty teaches and does research, and where the administration administers the institution so as to make this possible, may indeed be the ideal, and appears to have worked well in the past. The new administration realizes that, particularly as the College faces difficult choices in the years ahead, it will be necessary to engage the faculty in an appropriate role in making such choices, so that it feels itself to be forming a body that would both carry faculty concerns to the president, and to which the president could turn for the sort of advice and counsel that only a faculty can

give. Such a group should be able to transcend departmental perspectives and give the president a clear faculty view of the institution as a whole. Obviously there are risks in such a course, above all the risk of politicizing the faculty, but presumably the long tradition of trust between faculty and administration will mitigate such a tendency.

In its 1995 letter accepting Bates' fifth-year interim report, Dean Lawson writes for C.I.H.E.:

The Commission commends the College for its progress in addressing the areas of concern identified in the 1990 comprehensive evaluation. We are most pleased to note that the College has made significant strides in developing and implementing a new model of shared governance. Moreover, we are pleased to find that effective means have been established for enhancing communication between the faculty and the president. To the College's credit it has encouraged inclusiveness and participation in the institution's governance and planning processes. We encourage the College to continue its efforts to clarify the role of the faculty in the governance of the institution.

Involving faculty in campus leadership is not always an easy task. As the 1990 Team writes, "Some faculty complain about the demands that committee work places on them, noting the number of *ad hoc* committees that have been set up by the new president, and fearing that committee service may be taking too much time away from teaching and research. There are reports that some faculty, particularly junior faculty facing tenure reviews, are simply unwilling to serve on such groups."

Department Chairs. The Department and Program Chairs are usually appointed to four-year terms by the President in conjunction with the Dean of the Faculty based upon the recommendations of their constituencies. For years, chairs' duties were weighted heavily toward responding to requests from the administration, to recruiting, and to managing the affairs of the department or program, with little time or energy left for leadership or developing the department or program. As a result, serving as chair was sometimes viewed not as an opportunity, but as a burden that each tenured member felt obligated to shoulder at some time. (Because of their duties, department and program chairs receive a one course teaching load reduction.) The new Dean of Faculty, however, has placed a high priority on development of leadership among chairs. Meetings of chairs, which ten years ago were rare or little more than opportunities for airing complaints, occur monthly with agendas and lively debate about issues broader than merely personal, department, or program concerns. For the first time in the history of the College, the Dean of Faculty sponsored in August a two-day retreat at which chairs could focus their attention on academic issues of common concern.

Division Chairs. The Division Chairs have for many years advised the President on net additions to the faculty. For years there were three, one for each of the divisions of Humanities, Natural Sciences and Mathematics, and Social Sciences. Recently, to provide better representation for interdisciplinary programs, we added a Chair of Interdisciplinary Studies.

As compensation, Division Chairs receive one course reduction or 1/6 of their base salary. Over the decade their responsibilities have expanded. They now meet weekly with the Dean of Faculty to discuss and address policies, procedures, and issues affecting the curricular, committee, and institutional work of the faculty, review applications for faculty leaves, sabbaticals, grants and fellowships, review department and program requests for replacements and net additions, write letters of evaluation for faculty scheduled for reappointment, tenure, and promotion, and take on special assignments and research for the Dean of Faculty and/or President.

Administrative Appointments. Several administrative changes have been made to involve the faculty more in the workings of the College. In 1990 the position of Associate Dean of the Faculty was created, with the understanding that it would be filled by a current faculty member. In 2000 a second position of Associate Dean of the Faculty was created and filled by a former Division Chair. These new deans not only have the benefit of having served on the faculty, but are in a position to share the considerable burdens of the Dean of Faculty, allowing her more time to devote to leadership. The promotion of the Librarian in 2000 to serve as an associate vice president to oversee both the Library and Information Services will allow coordinated attention to be paid to these critical areas.

In the last few years we have taken significant steps to involve faculty in strategic planning. The role of the President's Advisory Committee expanded over the decade and its title was changed to the President's Institutional Planning and Advisory Committee. From its inception in October of 1995, the Goals 2005 Steering Committee has always included a number of faculty members. Over the past five years there have been numerous opportunities for faculty to participate in and respond to the comprehensive planning efforts that have established for the first time in decades a common vision for the College.

Interdisciplinarity as It Affects the Faculty. The 1979 visiting team noted: "Although a number of faculty expressed an interest in moving toward interdisciplinary work, they were discouraged from doing so. The College is apparently locked into the department-discipline organized curriculum, and there is comparatively little flexibility in this regard for either teachers or students."

In response to Bates' 1995 fifth-year interim report, Jonathan Lawson writes:

[W]e are most pleased to learn that the College has increased the number of its interdisciplinary programs for students from two to six, and has supported this effort through increased faculty appointments, increased external support for faculty, and the increased allocation of resources such as laboratory and classroom space.

Over the decade the College's vision of the value of nurturing connections between the disciplines has resulted in planning efforts and resources to support interdisciplinary programs. These efforts have resulted not only in more interdisciplinary faculty appointments and high-quality space for interdisciplinary programs in Pettengill Hall, but also in more support for interdisciplinary work by all faculty. It is not unusual for us to appoint faculty directly to the programs or to split their contracts between programs and departments. Faculty regularly receive course reductions to chair programs or to serve as Chair of Interdisciplinary Programs. We award teaching reductions to support development of interdisciplinary courses.

Ten years ago faculty personnel policies and practices assumed that each faculty member belonged to one department in one of three clearly defined academic divisions. Evaluation of interdisciplinary work which, by definition, does not fit within this structure, had become overly complicated and difficult to administer. Consequently the faculty recently amended its personnel policies to clarify, among other things, who evaluates interdisciplinary faculty and how.

It is difficult to know how much faculty time goes toward interdisciplinary work, but it is considerable. There are seven standing faculty committees charged with administering the interdisciplinary programs. Each committee can have up to eight members, almost all of whom have appointments in departments, as well.

There is broad faculty support for interdisciplinary work, much of which takes place outside the programs. Several faculty each year teach either in the CBB Off-Campus Study Centers or administer Fall Semester Abroad Programs, which usually require one to reach outside one's discipline. Many faculty are involved with service-learning projects which are interdisciplinary in nature. It is common for faculty in two departments or programs to collaborate on the development of an interdisciplinary course that explores the intersections of their fields, such as between

chemistry and mathematics. We do not, however, have adequate ways of tracking faculty efforts in these areas, and most of our reporting has been anecdotal.

Despite generous support from the College and despite general faculty enthusiasm for interdisciplinary work, some feel that the programs detract from the strengths of the traditional disciplines. A department that hires and tenures a colleague to teach in a discipline may find its curriculum reduced if the colleague later decides to teach in a program. Should this change in course assignment come about only after a formal re-definition of a colleague's contract? Should, as in some schools, all departments allocate a certain portion of faculty time per year to interdisciplinary programs? Until now the negotiations between the disciplines and interdisciplinary work have been informal, sometimes producing no historical record. As mentioned above, our methods for counting faculty already do not accurately track faculty effort. The allocation of resources between the traditional and the interdisciplinary makes even more compelling the argument that we need to devise better ways of describing faculty work.

Given that interdisciplinary work by our students and faculty is critical to the vision of the College, we must do a better job of understanding and describing how it contributes to our educational outcomes. Some of this understanding will come from the development of a common appreciation not only of the outcomes we seek, but also from a better description of resource investment we need to achieve these outcomes. These descriptions and common understandings will make it easier to maintain respect for each other's work at a level that allows effective communication among all faculty about interdisciplinary ideas.

Administrative and Clerical Support. The 1979 visiting team noted: "One shortcoming, however, is the lack of direct access to secretarial personnel in departmental offices. The 1990 Team noted:

[W]e found many of those to whom we talked complaining about the lack of faculty secretaries. Although the institution has given every faculty member a computer in the hope that this would mitigate the problem, clearly it has not done so and chairs in particular find themselves spending much time on routine administrative tasks. There is a long tradition of not allocating resources towards this kind of support, and it is not for us to pass judgment on it, save to say that it is unusual in institutions of this sort.

In the fall of 1996 the College hired "area coordinators" to resolve the long-standing issue of faculty clerical support. Currently there are eight such persons, two of whom are assigned to single departments. The remaining six are each shared by between two and six departments or programs. Each coordinator is located in a common administrative work area with appropriate office equipment and technology. The coordinators also have the training to provide other administrative services of a non-clerical nature such as support for Banner and scheduling. In addition, a centrally located Secretarial Services Office still supports faculty with other services such as support for recruiting and support for faculty committees and the honors program.

Too often faculty are not aware of the many places to which they could turn for help and therefore do not pass off chores to the appropriate administrators, although the area coordinators have been very helpful in understanding our support systems and channeling tasks to them. We have without question greatly improved our clerical support for faculty since 1990. We still are not in a position, however, to assess how much faculty time is devoted to tasks which could better be more appropriately handled by others.

There remain other sources of support for faculty, most developed in the last ten years. Several departments have hired assistants in instruction, who help with laboratories and administrative work. Some foreign language programs hire native-speakers as teaching assistants. In 1999-2000 we hired our first learning associates, who provide support in instruction and thesis research. We are currently seeking support to expand this program.

Faculty Workload Issues. Bates faculty are hard-working. In 1968, faculty taught four courses per semester, each meeting three hours per week, advised students and their theses, but also had classes Saturday mornings and taught a Short Term that ended in mid-July. Some faculty also carried out research agendas. Faculty now teach two courses one semester, three the other, have no Saturday classes, and Short Term is finished by the end of May. A senior professor might well ask, "Where has all the time gone?" Certainly our faculty spend more time on research than they did in the 1960s, and that is the answer usually given. We do not, however, have a meaningful way of measuring real faculty effort nor does there seem to be useful a way to compare our faculty effort with that at other schools other than by counting courses.

While on the campus, faculty teach classes, advise first-year students and sophomores, advise majors, supervise independent study projects, advise senior theses, supervise student summer research projects, recruit new faculty, supervise service-learning opportunities, mentor other faculty, and serve on committees. The exciting and enthusiastically received new opportunities for interdisciplinary work carry with them a heavy burden of planning and coordination, as well as the challenges of learning new ideas, ways of thinking, and acting. Practically all faculty have active professional lives extending beyond campus that require days or weeks of preparation and travel. Few of these activities are fairly represented by the language of "full-time-equivalency." For this reason the Dean of Faculty is conducting discussions to begin redefining what we mean by faculty work load.

Curricular Review and "Productivity". Bates has been spared the contentious discussions about faculty productivity that have affected many schools. We take pride in our tradition of appreciating each individual's contribution to the common good.

Nevertheless, planning requires assessment. It is necessary to make decisions about courses, taking into account not only content, but type, enrollment, and contribution to the curricula across many dimensions. Evaluations need to take into account disciplinary and interdisciplinary issues, numbers of majors and secondary concentrations, general education requirements, as well as course enrollment patterns. We work in many ways to keep in focus these multiple concerns. These include working closely with the department and program chairs to address broad College needs as courses are planned each year. The Division Chairs and the Dean of Faculty monitor and review standard data such as enrollment patterns, numbers of majors, thesis distributions, the annual reports of departments and programs, and the like. The Curriculum and Calendar Committee reviews all new course offerings. Moreover, these various levels of review examine the quantitative data in the context of qualitative information.

In depth reviews occur both at the time of the department review by the Dean of the Faculty Office, and when the holder of an authorized position leaves the College. At that time, the allocation of an authorized line to a department or program must be reviewed for reauthorization or reassignment to other institutional needs.

No school wants to reduce options for its students and until now, our successful planning and management have left us in the enviable position of not having to do so. Still, as we move forward with new ideas, courses and initiatives, we shall need to find ways to build within a relatively fixed resource base.

Standard 6: Student Services

Academic excellence at a residential college is very much connected with the people, places, and systems we call student services. Our residential mission encourages us to pay close attention the extra-curricular and co-curricular learning elements of the "Model for Undergraduate Learning" outlined in Standard 4. The Office of the Dean of Students is the central locus for many student services. The Dean of the College oversees our Center for Service Learning. The Vice President for Academic Affairs supervises our Writing Workshop, our Mathematics and Statistics Workshop, support for student research, Athletics, and the Office of the Registrar and Student Financial Services. The Vice President for External and Alumni Affairs supervises the Office of Career Services. Again, we turn to the Goals 2005 dimensions to structure this section.

Dimension 2: A college with a distinctive ethos of civility, respect, equity, engagement, interaction, and service.

The Student Residential and Social Environment. One of our distinguishing features is that at least 90% of our students live in campus housing and that most of those who do not live on the campus are within a short walk of the campus. As a residential college we have many opportunities to make connections among academic, residential, and social experiences. The Office of the Dean of Students has primary responsibility for these programs, which have included the establishment of theme houses, the New Student Orientation Program, alcohol education, mentoring, and first-year advising.

Because we recognize the importance of early college experiences, we have for many years required first-year students live in First-Year Centers of 12 to 16 with a Junior Advisor. We also recently began designating a Dean of First-Year Students and a dean who is the primary contact for sophomores. Our retention study found that 97% of students who withdrew from Bates in recent years were active and on campus for four terms or less, suggesting the need for special attention to the first- and second-year experiences.

An important step for non-first-year students was the establishment of theme houses three years ago. We are fortunate that 44% of our students may live in 25 renovated Victorian houses that we have converted to residences. During 1999-2000 we used five of these houses for Community Service, Performance Arts and Creativity, Environmental issues, French, and German themes. During 2000-2001 four will continue, and we will add the Spanish and Spirituality houses. The Dean of Students, through the housing office, assigns space for theme houses in response to student interest. Each house has an advisor and must have a turnover of at least half the students from year to year. The locations of the houses are changed frequently to avoid the presumption of ownership by a particular group. Student interest has increased: for 1998-1999 there were two requests for theme houses, for 1999-2000 seven requests, and for 2000-2001 nine requests.

The Student Activities Office sponsors the Experimental College during Short Term. The Experimental College coordinates 3-4 week non-credit co-curricular or extracurricular courses taught by students, faculty and staff for all members of the community. Many of these activities take place within the residence halls. Examples of past course offerings include ballroom dancing, yoga, basic car mechanics, knitting, woodworking, photography, and introduction to the Internet.

As beneficial as it is to forge stronger connections between residential and academic life, doing so can be difficult. Most of our large residences are traditionally designed and do not have dedicated spaces for connections to academic work. For students, their rooms and lounges are personal space, and more in-residence academic activities might be construed as an intrusion upon their place and time. We designed the Residential Village in 1993 to foster more connections with academic work and some seminar classes meet there, although faculty report that it is distracting to teach there.

In trying to create an atmosphere that is conducive to study, we face a problem common to most residential campuses, in that noise in the residences can make it difficult for some to work in their rooms. In recent years, more students have asked to live in quiet/study and chemical free residences, and we have increased the number of spaces available. Other students say that although they can study in the residences, they simply prefer to study in Ladd Library or in classroom buildings because they enjoy the activity or the atmosphere there. In 2000, we opened parts of Pettengill Hall as an all-night study area, on an experimental basis.

Student social space has increased since 1990. In 1992 we renovated the Gray Cage, formerly an indoor track and field facility with a dirt floor. This very large open building now provides adequate space for concerts, recreational activities, and other large gatherings. In 1993 the Benjamin Mays Center was opened in the Residential Village and provides a place for small gatherings and daily lunch service for students. In 1998 we established a coffeehouse (The Ronj) as a social space free of alcohol. Also in 1998 we established The Pub, an evening social space in the Den (a snack bar during the day) which serves as a model for responsible, legal alcohol use.

The student social environment is affected not only by social spaces, but also by student clubs and organizations. Because Bates does not have fraternities and sororities, our social environment is comparatively open and diverse. In 1999 there were 76 recognized student organizations, up from 58 in 1993. Many of these organizations, however, are requesting more space, and ultimately we must find a long-term solution to house them. In 1999 spaces in a recently vacated faculty office building were temporarily assigned to them. Six student organizations also have offices in the Multicultural Center. Our planning for a Campus Center will include space for student organizations. In response to student concerns about the relative isolation of the campus, we purchased a number of vans which students have been able to borrow through the Student Activities Office. In the fall of 2000, the deans have arranged for expanded and regularly scheduled bus service to allow more convenient access to popular destinations such as Freeport, Portland, and Boston.

We have surveyed students about how their academic life is affected by their lives beyond the classroom using our annual/biannual Senior Survey, our 1996 Campus Climate Survey, and our 1999 follow-up College Student Survey. Based on the results of the surveys the Dean of Students Office has initiated a number of programs, some of which are mentioned below.

The Student Ethical Environment. While some colleges view irresponsible student behavior as a dean's issue, we have raised it to a level of community ethics. We recognize its impacts both on the individual and on the entire college community and so address it as a campus issue. Given the unwillingness of some students to challenge their peers' behavior and the results from the Core Drug and Alcohol Survey that tell us student perceptions about alcohol abuse are worse than the reality, it follows that the most successful solutions will come about only after campus-wide discussions, of which we already have had many.

Alcohol Use and Misuse. Excessive student drinking is a critical issue for most colleges, including Bates. We have taken a number of steps in recent years to confront this problem. In 1997 we revised our alcohol policy to require that licensed caterers provide alcohol service from cash bars at all campus-wide parties. This change was made after advice from Maine State Liquor Enforcement and our legal counsel that student groups and the College could be in legal jeopardy if student sponsors continued the practice of selling advanced tickets to generate revenue to cover the expenses, including alcohol, of campus-wide parties. A consequence of this policy change has been a rise in excessive drinking in private spaces. This problem troubles us and we are addressing it primarily through educational, programming, and policy responses.

Drinking patterns are often established well before students enter college. Before first-year students arrive on the campus, the Dean of Students sends to them and their parents a letter describing the College's alcohol policies, the penalties for violations, and requesting that they have serious discussions about what constitutes responsible consumption.

In the fall of 1998 we instituted a three-strike policy for students involved in abusive drinking that produces second-hand effects such as property damage, assaultive behavior, or noise. This system provides two formal warnings for inappropriate drinking-related behavior. The third warning results in an automatic referral to the Student Conduct Committee for disciplinary review. Particularly egregious first or second offenses are also immediately referred to the Committee.

In 1996 the President and the Dean of Students convened the Joint Commission on Alcohol, a task force of students, faculty, and staff charged with evaluating the atmosphere surrounding alcohol at Bates, and through deliberation and community engagement, bringing forth long-term recommendations for policy and programming to counteract elements of student culture that give license to students to drink excessively and act destructively under the influence of alcohol. In 1998 the Commission concluded a two-year study of student drinking patterns and the impact of alcohol abuse on campus life. After investigating carefully the legal, social, and Bates-specific issues surrounding alcohol use, the Task Force developed and forwarded to the President and Trustees recommendations for responses to the problems associated with binge drinking.

An area of particular concern to most colleges and universities is the pattern of abusive drinking that students often establish during their first year. The Bates College Choices program, a program that was a key recommendation of the Joint Commission on Alcohol and a collaborative venture between the Dean of Students Office and the Athletics Office, uses student athletic leaders as peer educators. This group, called Athletes for Healthy Choices, challenges substance abuse and aggressive behavior through peer-education and social marketing initiatives targeted at first-year students. The Program was initially funded by a grant from the NCAA and is now supported by Bates as an ongoing program. It includes an expanded intramural program to provide recreational alternatives to substance use and structured activities within existing sport team networks. In both cases, the program empowers influential student athletes to exert collective leadership to help the first-year class change alcohol and drug norms that give license to excessive alcohol abuse.

Beginning with First-Year Orientation, the Dean of Students holds programs throughout the year on the health risks associated with binge drinking and the importance of moderation. These efforts are coupled with ongoing discussions in residence halls led by student resident staff on the importance of civility, mutual respect, and responsibility in all aspects of residential life.

Concerns about Sexual Assault and Harassment. In response to widely-held concerns about sexual assault and harassment on campus and to recent Student Conduct Committee cases, the President convened the Sexual Assault Task Force in September 1998 to "(i) gain a greater appreciation of policies and procedures elsewhere through a study of 'best practices' that are being used to address the conditions and consequences of sexual assault on other campuses; (ii) examine and report the conditions and contexts of campus assault: understanding the conditions that are Bates-specific, as well as those that are more general; (iii) consider and report how both rights and responsibilities - institutional and individual - must be reflected in the policies and behavior that should be in place at Bates; and (iv) develop specific proposals regarding initiatives and leadership in these areas."

On October 1999 the Task Force released a thorough 100-page report containing 134 recommendations, which are currently being implemented. Many of them were long-needed clarifications in the processes we use to deal with matters of sexual assault, including both administrative procedures and Student Conduct Committee procedures. It also recommended that the College contract for the services of an independent Sexual Assault Victim's Aide through the Lewiston Sexual Assault Crisis Center, which we will set up in fall 2000. In addition the report included recommendations for more programming to address attitudes toward sexual assault.

Starting in the fall of 2000, the Student Conduct Committee will consist of five students and five full-time teaching faculty. Recent changes in procedures of the Committee include more student participation, with a student serving as co-chair and a student on the committee that hears appeals to Committee decisions. Some suggest that the Student Conduct Committee has become more lenient in the punishments it awards. However, a review of the Committee's decisions over the past

15 years shows no definitive evidence that the proportion of probation decisions has significantly increased over time.

Abuse of Campus Resources. In May 2000 there was a particularly egregious act of dormitory damage, which captured campus attention. Like many other damage incidents, alcohol was involved. Although dorm damage is not uncommon in residential colleges, this incident is important to the life of the College, since it affects the quality of student life, raises questions about student behavior and responsibility, and concerns about the relations of the College with its neighbors in the community. Many faculty expressed their outrage and argued that the faculty should assert its authority to address the issue. At the same time, the Dean of Students was doing exactly that. Faculty members occasionally claim responsibility for dealing with student residential issues while not always understanding the role of or the actions taken by the Dean of Students. Other faculty do not want this responsibility and believe it is best delegated to the Dean of Students. There does not seem to be a consensus on this issue. From the student perspective, the issue often is one of fairness, in that when those who caused the damage refuse to come forward and cannot be identified, damage bills are shared by all residents. At the same time, a "code of silence" often prevents enough evidence from being collected to meet the requirements of the student judicial process.

As a response, in the fall of 2000, the President, the Dean of Students, and the Dean of Faculty will bring together faculty, students, and residents of local neighborhoods to discuss the issue, and how it affects our residential community. A goal of these discussions is to develop and begin to implement a plan of action to prevent such incidents in the future.

Exploring an Honor Code for Bates. It is an important College priority that we consider the role of a campus honor code. In January 2000 the President appointed an Ad Hoc Honor Code Committee, including student members, to make recommendations about "the merits of an honor code and its potentiality for success in a community such as ours." Since this is a new area of exploration for us, it will require extensive education and discussion. We recognize that any code must have strong support from students and be firmly grounded in the culture of the community.

As of May 2000, the Committee had not made a formal recommendation to the President, but was leaning toward the establishment of a Statement of Community Principles that would be introduced to prospective students, new faculty, staff, and matriculated students through publications, orientation programs, and its reiteration on public occasions, such as Convocation and Founder's Day. The draft Statement of Community Principles follows:

Our membership in the Bates community requires that we hold ourselves and others responsible for honorable conduct at all times. Together we create the educational and social atmosphere that makes Bates College unique, one that must be characterized by trust and mutual concern in order for each of us to thrive. We affirm as a community that our actions must preserve our ability to work, study, live, and learn together productively and safely.

We are dedicated as a community to the protection of intellectual and personal freedom. In the academic realm, we believe intellectual honesty is fundamental to scholarship and must define our involvement in the enterprises of teaching and learning. In the social arena, we will not behave in a disorderly manner, be involved in any disturbance, interfere with the rights of others, damage property, or individually or as a member of a group be involved in unacceptable social behavior on or off campus. We expect each other to maintain the highest integrity in all of our academic and social undertakings.

Campus Safety and Security. While crime rates in Lewiston/Auburn are well below state and national averages, we cannot escape the fact that our location in an urban environment inevitably results in concerns about security and safety. We have taken many steps to assure that members of our community feel safe and welcome. For many years students have administered the SafeWalks Student Escort Program. Safewalkers are a team of two students, either two females or a male and

a female, who walk around campus and escort people who would like someone to walk with. They also are extra eyes for Security and can be helpful in attending to suspicious behavior. The program has recently expanded to include the SafeRide Program, a student-operated van service that makes pre-designated stops every 20 minutes around the campus.

The Security and Campus Safety Office administers the Whistle Alert Program, the International Student Orientation Program, the Bomb Prevention Program, the Rape Aggression Defense Program, and the Crime Analysis Program, which identifies evolving or existing crime patterns and series. In June of 1995, after extensive research, the Office established the Security Bike Patrol. The Office provides security escorts, training in self-defense, and maintains a network of 117 blue light security phones, each of which is checked twice a day. Whenever there is a serious security incident on campus, yellow notices are posted in all building entranceways. The Office's excellent web page has attracted the attention of security offices from other schools. In addition the Director founded and sponsors the New England Campus Security Officer Training Academy each summer.

Student Participation in Governance. Student governance resides in the Representative Assembly. Besides governing student organizations, the Assembly appoints representatives to all official committees, such as to those 13 faculty committees that have student members. Most special task forces and College committees have student members.

In the early 1990s, the College adopted a two-tier approach to allocating funds for support of student organizations. First, it was decided to increase annual funding to at least the level of the annual increase in the comprehensive fee. Second, there are periodic reviews with participation of the Dean of Students Office and members of the Representative Assembly to consider support for specific organizations at higher levels. The Representative Assembly has authority over assigning budgets for student organizations. The allocation for these budgets increased 11.46% (to \$282,219) in 1999-2000. It will increase 14.3% (to \$322,536) in 2000-2001 and 12.5% (to \$362, 853) in 2001-2002. These sums are apportioned from the Bates comprehensive fee.

Athletics. The number of varsity sports rose from 27 in 1989-90 to 30 in 1999-2000. With the addition of rowing in 1999, we have 14 varsity sports for men, 14 for women, and golf, which is co-ed. According to data provided for the Equity in Athletics Disclosure Act report, in 1998-99, 36% of Bates students (43% of male students and 29% of females) participated in varsity athletics. Bates students ranked 8th among 26 peers in varsity sport participation, or 5 percentage points above the peer group mean. Fifty-eight percent of varsity athletes were male. Club sports include co-ed equestrian, co-ed fencing, men's and women's ice hockey, men's and women's rugby, co-ed sailing, co-ed ultimate frisbee, co-ed water polo, and co-ed water skiing. According to our 1999 Senior Survey, 57% of respondents claimed to have participated in varsity or club sports, and 68% participated in intramural or recreational athletic activities.

In May and June 1999, on-campus and off-campus review teams released reports evaluating the Athletics and Physical Education programs. The off-campus team cited Bates as "an outstanding model of the ideal NCAA Division III institution," and praised the leadership of Athletic Director Suzanne Coffey and President Harward. Among the key issues addressed in the report were: 1) the need to upgrade several outdoor athletic facilities; 2) the controversial limited post-season competition rules in the NESCAC athletic conference; and 3) the role of contracts, evaluation, and workload for coaches. The visiting team also concluded that Bates is a leader in meeting Title IX requirements.

In 1995, we completed construction of the Underhill Arena (an ice arena) and the Davis Fitness Center. To fulfill long-range planning goals and some of the recommendations of the Athletic/Physical Education review, the Trustees in 1999 approved a bond issue that will allow major capital improvements to our athletic fields. Although an ongoing obstacle has always been inadequate space for athletic fields, the current construction will vastly improve the facilities. When work is complete, we will have a new 10-lane synthetic surface track with a grass infield for men's and women's soccer. A multipurpose synthetic field with lights will be added for varsity contests in field hockey and men's and women's lacrosse. Club and intramural programs will be able to schedule evening events that do not conflict with varsity programs. A softball field with a

permanent backstop and dugouts will be next to the track. In 2000, the James G. Wallach '64 lighted tennis facility was opened, funded by gifts in memory of a late Trustee.

Currently each student must complete four five-week physical education credits. The faculty recently revised the requirement so that students graduating in 2003 and later must complete two ten-week physical education activity courses, which stress the importance of lifelong activities. Students may meet the requirement through department-approved participation in intercollegiate athletics, club sports, or activity courses. Currently available courses include: African Dance, Aikido, Alpine Skiing, Archery, Badminton/Pickleball, Ballet, Ballroom Dance, Beach Volleyball, Bowling, Conditioning, Contradance, Cross-Country Skiing, Figure Skating, Golf, Hockey Skating, Indoor Climbing, In-Line Skating, Individual Fitness, Jazz Dance, Juggling, Karate, Kayaking, Lifeguard Training, Lifeguard Instructor, Modern Dance, Racquetball, Self-Defense for Women, Snowshoeing, Squash, Step Aerobics, Strength Training, Swimming, Tap Dance, Tennis, Wallyball, Water Aerobics, and Water Safety.

Parking as a Student Service. Parking has important implications for the campus ethos in the ways it affects how students connect with each other, with the campus, and with the community. We are following our campus plan, under which the core area of the campus will become a pedestrian zone. Parking is a concern made more acute by our campus size and location, changing student expectations of convenient access to their cars, increasing attention to environmental quality issues, and good faith efforts in recent years to comply with requests for more spaces.

In April 2000 the President appointed an all-campus committee that recommended policy and procedure changes regarding parking. These recommendations include holding the number of paved parking spaces to the number available in the fall of 1999 and asking the student Representative Assembly to design a lottery system for student parking permits. The committee also suggested long-term consideration of distant satellite parking and a shuttle service, although cost and other concerns may make these unrealistic. It addresses concerns about living within our available space, environmental and aesthetic considerations, and altering our expectations about convenient access to automobiles. The President adopted most of the recommendations for the fall of 2000.

Dimension 3: A college that is unequalled in establishing the connections, the cohesion, that express the promise and value of a liberal education

The Physical Environment. Connections among people can be both enhanced and diminished by the physical environment. Many of our students have traditionally chosen to live in the College's Victorian houses at the edge of campus. The new residence halls of the Residential Village (Moody House, Rzaza House, and Hopkins House) were completed in 1993, and have provided flexible and modern residential spaces. Other residences follow the traditional dormitory model of double or triple rooms arranged on long hallways. Despite our small campus, some students complain that meeting other students is difficult because we are so spread out. Because of unexpected over-enrollment in recent classes, we have recently given permission for more students to live off campus (about 10%) than we would like. We plan to address the issue by gradually reducing enrollment to our target levels, rather than by adding new residential space.

Pettengill Hall, dedicated in October 1999, is designed to reinforce connections between students and faculty. The Perry Atrium has become an informal gathering place for students and faculty and a place for informal community activities. Pettengill also houses many student/faculty lounges and student thesis work areas designed to encourage interactions among students and faculty. At student request, portions of Pettengill were opened on a trial basis as an all-night study area. We have not undertaken an assessment of how well these areas serve their purpose and suggest that their use would increase if we were to fund activities in the lounges, much as has been successfully done with Perry Atrium.

It is our plan that any new campus construction will be done with special attention to how it expresses our values by facilitating connections among students, faculty, and staff and by integrating social and academic life. Recently the President appointed committees of students,

faculty, and staff to plan for changes in Chase Hall and Coram Library. A similar committee was formed to plan for the construction of a Campus Center. While these committees have an opportunity to make an important impact on the Bates environment, many of our older buildings and classrooms have changed little in over a century and could, with limited expense, be modified to provide better spaces that encourage greater interaction.

Communication. Connections can be facilitated both by communication and by effective processes. Our planning for campus technology, embodied in the recent Strategic Plan for Information Technology and Library Services (discussed under Standard 7 Library and Information Resources) will provide us with even better communication systems than those recently recognized in a *Yahoo! Internet Life* magazine survey, which ranked Bates as the third "most wired" college in the country. Technology cannot by itself, however, improve what are sometimes ineffective processes.

Students today are comfortable with electronic communication. When, in the spring of 1999, we moved course registration to the web, it received almost universal student approval. Next year we will adopt the Banner Faculty web module, which will make it easier for advisors to help their students. Students already regularly communicate with faculty, classmates, and friends using e-mail. All classes have their own electronic discussion lists and other lists have been established to broadcast announcement to groups such as faculty, staff, students, and academic departments. We also maintain at least 345 electronic mailing lists as discussion forums for various interest groups and organizations. Bates was one of the first schools to offer an on-line message board where admitted students can interact with each other before arriving on campus. Bates' WRBC was one of the first campus radio stations in New England to broadcast live streaming audio on the Internet.

As Bates has become a more complex institution, it is important that we monitor the processes we use to communicate. Our first major step on this problem was to improve how students do business with the College which, until recently, often required visits to three separate offices to resolve issues such as financial aid, paying bills, and difficulties with course registration. To address this, in the fall of 1999, we combined the activities of the Registrar, financial aid, and student accounts into a single consolidated office located in Libbey Forum. As we automate more student transactions with the aid of Banner, we plan to make them clearer, more convenient, easier to use, and available outside normal office hours. At the same time, we are aware that merely automating processes does not necessarily improve them.

Some student service offices do not currently have a web presence. This will change over the next year. A first step has been the creation of a first-year student web page, where students entering in fall of 2000 can learn how to prepare themselves for coming to Bates. An off-campus study web page has recently been published. We have an opportunity to integrate policies and procedures for all student services into a common area that allows simple navigation and focuses on students' needs and problem solving rather than on the organizational tree. Such a structure could provide quick access to all of our policies, not all of which are centrally available to students.

While new systems have the potential to provide better access and efficiency, they will also change the connections among us. Because we are a residential college, it is important that we establish means to monitor and understand and changes they are having on our community.

Connections with the Local Community. Bates students (and employees) regularly contribute to the local community through their participation in Red Cross blood drives, holiday food and gift drives, mentoring of local school children, and activities organized by our Volunteer Coordinator. Many are also involved in the L/A Excels strategic alliance. The Office of the Dean of the College has initiated many programs that bring students into the local community, such as internships and the Longley School Initiative, which connect closely to our nationally recognized Service-Learning Program. (These are described more fully under Standard 4—Programs and Instruction.) The Office of Career Services also offers options for intensive exposure to community experiences with alumni through the Career Discovery Internship Program and with alumni and employers through the Ladd Internship Program.

Bates also invites a limited number of area high school students to attend courses at no cost, which provides an additional opportunity for our students to interact with their neighbors.

Connections with Alumni. In the past decade we have become intentional about connecting our students to our over 14,000 alumni of record. We have also worked to increase our contacts with parents and families, through the Bates Parents and Family Association and the publication of an annual *Parents and Family Handbook*. To further these goals, and to ensure that we are more responsive to the changing needs and expectations of our alumni, in April of 2000, the President reorganized the Office of Alumni, the Office of Career Services, and the Office of College Relations under a single Vice President for External and Alumni Affairs.

We are exploring ways to make better use of the Internet and other technologies to keep external constituencies both active and informed about the College. To link our current students to more employment opportunities, the Office of Career Services maintains a network of more than 5,000 alumni, friends of the College, and parents who have volunteered to share their time and professional expertise. Using this database, students may identify graduates by career area, major, class year of graduation, employer, location, graduate or professional school, advanced degree, or any combination of these. Alumni may also request personalized printouts from the Office. This database will be accessible on line in 2001. We are currently studying how we can make an interactive community or portal available to our alumni through the web.

Each year we invite a number of alumni to campus to discuss their careers with students. The Alumni Office, Office of Career Services, and Alumni Council annually sponsor the Alumni-in-Residence Program that features popular career panels of alumni who present their insights to students. These panels are moderated by faculty to reinforce the important relationship between the student's academic experience and the expression of the liberal arts in careers.

Alumni have participated as speakers during the "Bates Seminar Series on Entrepreneurship." This two-year old seminar program explores issues and topics in new venture initiatives by featuring alumni presenters, researchers, and experts from this fastest growing sector of the new global economy.

The Office of Career Services also offers various alumni career panels throughout the year. Student interviews with over 150 alumni are featured on the OCS web site searchable database. Students can select relevant interviews by career field or by major. The office also annually surveys alumni six months after graduation for their advice to students on the relationship between majors and careers. From the results, it produces first destination reports entitled "Voices From the Other Side" which contain recommendations, advice, salary ranges, job hunting strategies, satisfaction with initial jobs or graduate programs, and sample lists of employers and graduate schools.

The Career Discovery Internship Program gives Bates students a glimpse into many career fields. Alumni set up week-long internships at their places of work to introduce students to their jobs. Internships cover a wide range of areas, including medicine, social service, law, business, education, publishing, consulting, finance, manufacturing, psychology, and many others.

The Ladd Internship Program offers students structured paying summer internships in a variety of profit, nonprofit, and public-sector organizations. These opportunities are developed by the Office of Career Services in cooperation with alumni and others and give employers a unique joint venture partnership with the College. Through a bequest from the Ladd Charitable Family Foundation the College pays 50%, up to \$1,000, to employers to cover the stipend of Bates students. The College will also pay up to \$1,800 for non-profit placements.

Dimension 4: A college that is understood and valued as supportive and attentive to individual learners and, in so doing, forges a community of distinction and excellence.

First-Year Students. The New Student Orientation program, run by the Office of the Dean of Students, begins when students arrive and continues through the year. Late in August many

students (57% of those entering 1999) arrived early to participate in AESOP, a student-run program in which continuing students plan and lead outdoor adventure trips to various sites in Maine and New Hampshire. An additional 30 first-year students participate in the "Into the Streets" community service program, organized by the Center for Service-Learning and the Chaplain.

During a student's first year, the Dean's Office directs many programs to help in the transition from secondary school to college. The First-Year Program is an integrated program that draws together the resources of the Dean's Office and other offices to form a web of support. The goals of the program are: 1) to help new students feel connected to Bates and comfortable in a college environment; 2) to assist new students make the jump from high school to college-level academics; 3) to bring the first-year class together for social and cultural activities that allow them to meet one another and develop a class identity; 4) to introduce new students to the history and traditions of Bates. Besides New Student Orientation in the fall, the Office provides Study Skills Seminars and several events to help students meet the people in the Dean of Students Office. In 1999, with grant support, the Dean of Students worked to establish a pilot mentoring program for students of color, transfer students, and students from Maine. This program is now in its second year.

Advising. Every two years most full-time faculty and some non-faculty are asked to advise a group of twelve to fourteen entering students. The advisor stays with these students until the advisee declares a major, usually at the end of the sophomore year. Some advisors consider this one of their most important roles, and devote much energy to meeting with, entertaining, and developing a close relationship with advisees. Other faculty consider advising first-year students to be a burden for which there are few rewards. At the same time, some students enter Bates expecting to have an advisor with whom they can work closely, while others see the function of the advisor as no more than a person to sign forms.

Many changes in the advisory system have been tried or are being proposed. The Dean of Students Office recently published an improved handbook for faculty advisors. Advisors have funds to use for advisee activities. For most of the decade, advisors of first-year students were linked to a group of students living in the same first-year center and sharing the same Junior Advisor. Since 1998-1999, our goal has been to connect all students with their advisors either through a First-Year Seminar, a class, or their academic field of interest. First-year centers continue for other activities and purposes, but we found it to be more effective to connect entering students to their advisors by academic interest rather than geographic location. That the first-year advising system needs attention is based on both anecdotal evidence and compelling data from a number of recent campus surveys of students at several class levels. It is not clear from the data, however, whether the negative opinions are due to inattentive faculty, the bureaucracy of registration procedures, or whether they are simply reflecting the difficulties faced by all first and second year students. We found that a number of students *and* faculty have difficulty understanding the general education requirements. To address this concern, additional text has been added to the faculty advisor handbook, and the Registrar has prepared a brochure that answers frequently asked questions. It is also important to note that national surveys show that most students consider quality advising to be one of their most important concerns. We are analyzing two years of survey data in an effort to learn insights into what students expect from their advisors and are revising advisor training accordingly.

Although surveyed Bates students have given first-year advising low marks, they also rate the faculty very high in approachability and availability outside class. Sorting out these opinions would be useful. It also is important to look beyond advising and examine the entire first-year experience. Most of the students who withdraw from the College do so in their first or second years, and withdraw for a variety of reasons. (As another means to encourage informal faculty-student interactions outside the classroom, *all* students are encouraged to take faculty to meals in Commons, and faculty may invite students to the Peakes Room for lunch. Funds for the program are provided by the President's Office.)

The Special Committee on Student Retention at Bates (SCOSRAB) recommended that the many programs that already support the first- and second-year experiences should be better integrated, with coordination among advising, academics, support programs, residential life, and ongoing

college orientation and student development programs. Many of these concerns will be addressed through the Connected Learning Initiative (CLI). The CLI takes a new approach to coordinating activities of many of the campus offices that are involved in student services and co-curricular learning.

While Senior Surveys show an increase in satisfaction with *overall* academic advising (from 54% in 1997 to 69% in 1999), 60% of survey respondents expressed some level of dissatisfaction with *first-year* advising. There was no gender difference in rating first-year advising, although females were more satisfied with advising in general than males were. (Note: Seniors reported great satisfaction with the faculty as well. Ninety-two percent were "very" or "generally satisfied" with the "out-of-class availability of faculty," and 91% felt the same about the "attitude of faculty toward students.") Seventy-four percent of respondents to the senior thesis evaluation survey indicated that they were generally satisfied (15%) or very satisfied (59%) with their thesis advisor.

Diversity. The stated goals in the "Diversity and Goals 2005" document for the composition of the student body are to:

- Achieve a campus reflecting the diversity in the country at large.
- Increase international enrollments to reflect all regions of the world, and with attention to parts of the world that are historically underrepresented.

In the fall of 1999 a record 12.0% of enrolled students were classified as either nonresident aliens or as members of the federally recognized categories of African-American, Hispanic, Asian or Pacific Islander, Native American or Alaska Native. Federal reporting categories do not present a complete picture since a growing proportion of our students (4.0% in 1999) are considered biracial, multiracial, or "other." We also have a rising number of students who are dual citizens or Americans who reside abroad. Another way to represent trends in differences is by reporting the percentage of enrolled students in the "white, non-Hispanic" category. These were 96% of the students in 1981-82, 86% in 1990-91, and 84% in 1999-2000.

The "Diversity and Goals 2005" document recently established new emphases on multicultural recruitment that include specific goals to:

- Develop and implement a highly focused and personalized Admissions recruitment plan for increasing applications and enrollments from diverse populations in a select number of urban areas in the United States and strategically identified international areas.
- Continue the current financial aid policy to improve grant funding for identified diverse populations, particularly currently and historically under-represented groups.
- To support recruitment by creating a special relationship with one or two urban high schools and one or two community colleges and with the Native American population in Maine.
- Put a retention monitoring group in place to initiate retention analysis and follow-up activities, and to make recommendations to improve diversity retention to achieve parity with the majority populations in the College.

In 1994 we established our Multicultural Center and appointed our first Coordinator of Multicultural Affairs. In 1997 this position was elevated to Director of Multicultural Affairs.

The mission of the Multicultural Center is to acknowledge, celebrate, and promote the diverse cultural experiences that each of us brings to the community. It is a catalyst for exploring issues by initiating discussions about race, class, ethnicity, gender, nationality, and sexual orientation. The Center and its affiliated student organizations develop seminars, off-campus study experiences, cultural celebrations, forums, speakers, workshops, art, and other media exhibits. These programs

explore and support the intellectual, social, cultural, political, and spiritual development of the entire campus. The Center is open to the entire Bates community and to the public.

Nine cultural and ethnic groups are associated with the Center and, along with other campus organizations, promote and support students. Amandla! promotes better understanding of the many communities of the African Diaspora and provides a mentoring program to serve children of African descent in the Lewiston-Auburn area. The American Indian Awareness Organization was formed in 1995 and provides a support network for Native American students on campus. Out Front, formerly The Gay-Lesbian-Bisexual Alliance, provides a forum for education and discussion of gay and lesbian issues, with members serving as a support group for gay, lesbian, bisexual and transgender students. International Club aims to promote understanding and awareness of diverse cultures and ethnicities, and to provide support for international students on campus. Sangai Asia promotes Asian and Asian American awareness, identity, and fellowship. Solidaridad Latina explores Latina/o history, politics, language, and cultural traditions and promotes greater awareness of the diverse Latina/o groups in the United States, in Latin America, and the Caribbean. Women of Color celebrates the rich and diverse experiences of women of color. The group confronts issues of racism, sexism, classism, heterosexism, and other forms of prejudice that affect women of color. A group of Bates women founded Women's Action Coalition to address the need for women's resources on campus, and the President Harward recently appointed a committee to explore the possibility of establishing a Women's Resource Center.

The Office of the Chaplain has sought to address the needs of our increasingly diverse faith community through creating both a Muslim prayer room and a Buddhist shrine, distributing an interfaith religious calendar annually, offering interfaith worship services, and hanging banners representing the major faiths in the Chapel. A new Assistant Chaplain position was created in 1999, in part to implement these new programs. (The Chaplain's role in campus life is addressed in more detail in the section on Integrity.)

Campus climate for and retention of multicultural students are important issues: Are we meeting the needs of our multicultural students? These students have high attrition rates, largely due to transfers to larger universities in big cities. How can Bates' clear commitment to diversity end up improving the climate and result measurable outcomes?

The issues of multiculturalism and diversity have yielded low levels of student satisfaction. Only a quarter (26%) of 1999 seniors were "very" or "generally satisfied" with the ethnic/racial diversity of the campus." There were no differences from prior years or by gender. Fewer than a third (31%) were satisfied with the "climate for minority students on campus," which is the lowest satisfaction level of our peer schools, and the lowest on record at Bates. Some of this dissatisfaction can be attributed to the fact that many of our peer institutions have a higher multicultural enrollment, and other competing institutions are located in more diverse communities. Nevertheless, students are concerned with this issue. Female students (18%) were much less satisfied than males (34%).

Only 19% of Bates seniors are satisfied "with the climate for multicultural students in the Lewiston and Auburn (beyond the Bates campus)." Furthermore, only 11% agree that the "climate for multicultural students at Bates is better than it is in society as a whole." There is ample evidence that many persons of color in the Bates community feel out of place or culturally isolated in Lewiston/Auburn and in a state where 97.7% of the population of is white. We are committed to devote our resources to do a better job of helping multicultural students (as well as staff and faculty) feel comfortable at Bates and in the local community. We are addressing these concerns in part by being more deliberate in our admissions activities and by our efforts to recruit a much more diverse faculty. An informal poll at a meeting of the Maine chapter of the American Association for Affirmative Action suggests that Bates currently has the highest proportion of tenure-track faculty of color among Maine colleges and universities.

Support of Student Learning. Several offices provide special support for student learning. One, the Writing Workshop, was established more than 20 years ago and serves a wide range of students, not just those in need of remediation. In the summer of 2000, the College established the

Mathematics and Statistics Workshop, which will similarly support all students. In the fall of 1995, we established the Center for Service-Learning, which helps students find ways in which they can connect their education with community service. The Dean of Students pays peer tutors for those students who seek help and administers our programs in support of students with learning differences.

One issue that may merit further consideration is support for students for whom English is a second language. The Writing Workshop has been a major source of support, although English as a Second Language training is not part of its original charge. From 1994-95 to 1998-99, the number of tutoring sessions classified as ESL-related rose by over sixty percent. At the same time, most international students come to Bates with excellent TOEFL scores, and their average GPA is significantly higher than the College mean. We will want to review the activities of the Writing Workshop as our international population expands, and as we pay more attention to writing across the curriculum and to senior thesis activities.

Connected Learning Initiative. A new program just underway is the Connected Learning Initiative, sponsored by the Dean of Students, the Dean of the College, the Dean of the Faculty, and the Office of Career Services. Liberal arts learning has always been about connecting learning, but the focus has usually been within the curriculum, with individual courses as the primary building blocks. The initiative expands on this idea and challenges students to extend curricular connections to other activities such as internships, service-learning, off-campus study, summer or academic year employment, extracurricular engagement, research, independent study, fellowships, and volunteer work. The initiative encourages students to build their own interconnected web of learning activities both inside the curriculum and beyond the classroom to create a learning experience in which the whole is more than the sum of its parts. The Connected Learning Initiative is a call to students to take responsibility for Bates' many learning opportunities. In May of 2000, the Initiative sponsored its first "connected learning fair" for first-year students. Finally, this summer, each Bates parent was sent a copy of the Connected Learning brochure along with a letter introducing this initiative and the supporting web site. Sophomore parents were informed that their sons and daughters would be contacted by a member of the Connected Learning team this year to discuss the options of this process.

The Connected Learning Initiative combines the efforts of the Office of Service Learning, the Office of Career Services, the Dean of Students, the Chaplain's Office, the Student Employment Office, the Study Abroad Office, the Dean of the Faculty, and the student research officer by providing an integrated approach to setting personal goals. At its web site students can read stories from their peers about integrating their Bates experience into a multi-dimensional map. The initiative also will work with parents, faculty, staff, outside presenters, and sponsors of internships.

Career Support. Three standing faculty committees (Graduate Studies, Legal Studies, and Medical Studies, the last two of which work closely with the Office of Career Services) have as their purpose the support of students who are entering graduate school or the legal and medical professions. Recently the Graduate Studies Committee has concluded that with their support more Bates students would be awarded Rhodes, Marshall, and other national scholarships. Although Bates students have earned 6 Fulbright Scholarships and 13 Watson Fellowships in the past decade, some feel that the Bates "culture of egalitarianism" prevents students from adequately promoting themselves for opportunities for which they are well qualified. The Office of Career Services also sponsors an annual Graduate and Professional School Fair that brings to campus admissions representatives from over 75 medical, legal, business, health, education, divinity, and arts and sciences graduate and professional schools. (Although we have seen that more students choose to take some time off before attending graduate school, evidence from alumni surveys and the alumni database shows that a higher proportion of alumni from recent class decades are earning more graduate degrees than in the past. Many are returning for graduate degrees years after they leave Bates. A survey of the Class of 1975 showed that 71% of respondents eventually earned at least one higher degree since Bates, and it is probably safe to say that graduates of the 1980s and 1990s will eventually surpass those levels by the time of their 25th Reunion.)

A stated priority of Goals 2005 is to "strengthen the Office of Career Services." In the fall of 1998 we completed an administrative review of the office that involved an extensive self-study, a visioning process, and internal and external review committees. In its July 1998 report the internal review committee noted: 1) a high level of satisfaction with services; 2) a perceived lack of connection between the office and the rest of the campus, particular the academic departments and faculty; 3) that the office should play a larger role in helping students explore the connection between their education and the rest of their lives; 4) that the office needs more support in technology; and 5) that there is a need for closer connections between the office, the Center for Service-Learning, and the Office of Off-Campus Study. The President's April 2000 administrative restructuring and re-assignment of the Office of Career Services from the Dean of Students to the Vice President for Alumni and External Affairs will help to strengthen the ties between career planning and the alumni body.

In the summer of 1998, a new Assistant Director was appointed to the office. Additional computer support has been provided. The office has reinforced its efforts toward the integration of services in a way that stresses the integration of the undergraduate experience into a career continuum. It has oriented its services towards the change drivers in the emerging global economies and pays particular attention to the role of the liberal arts in defining a life of engaged potential. With this rejuvenated focus, it will counsel students and alumni to understand an internship, job, or graduate degree as part of a growth and learning continuum.

Other outcomes of the review include emphasis on early engagement of students; more work with faculty on programming, counseling, and advising; renewed marketing efforts with employers, graduate and professional schools, and internship sponsors; outreach to alumni as intern sponsors, employers, mentors, and role models; enhanced career services for alumni as a life-long benefit; appropriate use of career technology for alumni, students, employers, parents, and faculty; and renewed stress on the role of the staff as consultative professionals.

Registrar and Student Financial Services Office. In October of 1999 we combined certain of the functions of the Registrar, Business Office, and Financial Aid in one attractive, renovated location. The merger was done not for the primary purpose of efficiency, but to give students better service. At the same time, employees have been cross-trained so students can find answers to their questions easily without being passed from one office to another. In addition workers received training in customer relations, resulting not only in a more professional operation, but also in a more supportive environment. The May 1999 Special Committee on Student Retention reported many student complaints of "bureaucratic run-arounds and administrative oversights," mostly where responsibilities crossed office and vice-presidential boundaries, but we anticipate that these complaints will diminish.

We have recently moved course registration online, and we will support advising by implementing the Banner Web for Faculty module in 2000-01. While many schools are making this move, our approach has been to do it in a way that empowers students to easily accomplish routine transactions on their own, and outside of regular office hours, while giving more time for staff to focus on non-routine issues.

Health support. The Health Center is open 24 hours a day when school is in session. Besides providing the usual medical treatment, the staff focuses on encouraging students to be responsible for their own health and emphasizes learning the skills necessary to making well-informed decisions about health.

The Center works with many student groups. The Student Health Link is a club for students interested in contemporary college health issues. Students are active in providing peer education programs and campus wide awareness events including World AIDS Day, National Condom Week, and Eating Disorders Awareness Week. The Sexual Assault Response Line is a 24-hour response line run by specially trained student volunteers. They are available to listen and give support to victims of sexual assault, to answer questions, and to provide information. Adult Children of Alcoholics is a therapy group for adult children and grandchildren of alcoholics. A student-run

grief support group meets for students who have experienced the loss of a parent or sibling. My Body, My Life is a group for women that focuses on issues of food, weight, and body image.

Leadership Development. The Student Activities Office sponsors an annual two-day Leadership Seminar for leaders of student organizations. Its purpose is to encourage self-assessment and foster practical leadership skill development among student organization leaders through an experientially based learning program. The first day of the program is spent off-campus at the Kiev Leadership Decisions Institute in Nobleboro, Maine, where participants break into small groups for a series of experiential exercises or elements, some of which include low ropes. The second day is spent on practical skill development such as how to get things accomplished at Bates using the resources of various administrative offices and in workshops on topics such as multiculturalism and diversity, publicity, and teamwork.

Since 1996, the Dean of the College has conducted a co-curricular Leadership Academy for approximately 30 students, mostly from the entering class. The Dean of Students Office assists with leadership, and several faculty and staff members also take part. Participants typically gather on a monthly basis throughout the year for a series of lectures, dinners, and discussions of common readings. Participants also travel to Outward Bound in Newry, Maine for a weekend of leadership development exercises.

In the fall of 1998, Bates started a modest pilot project to evaluate the efficacy of a proposed Outdoor Education and Leadership Program. Under the direction of full-time coordinator, the pilot project conducted five programs that included two two-hour sessions involving ropes course elements and group initiatives, followed by an overnight capstone experience, either in a wilderness area or at Bates-Morse Mountain Conservation Area and the Shortridge property.

Financial aid. Forty-one per cent of all Bates students received need-based grants during the 1998-1999 academic year and 50% received financial assistance of some type. The average aid package was \$19,064 and the average grant was \$15,052. Fifty percent of the students graduated with debt, with average indebtedness at graduation of \$16,512. Of those students with need, 100% had their need fully met.

In 1996-97 Bates went through a routine Title IV Financial Aid Recertification review and was re-certified for four years.

Student retention. Compared to national norms, Bates does not have a retention problem. In 1998 our 86.3% five-year graduation rate (for the cohort entering fall 1993) was 8.1 percentage points above the average for highly selective institutions and 26.5 points above that of all selective institutions. Bates ranks among the top 50 U.S. colleges and universities for six-year graduation rate and among the top 40 for first-year to sophomore persistence rate, according to data published in *U.S. News and World Report* (August 30, 1999; these data represent a multi-year average). Nevertheless we have concerns. Our six-year graduation rates fell from 87.1% for the 1989 entering cohort to 82.5% for the 1991 cohort. Also of concern is our record low four-year graduation rate of 77.3% for the 1994 entering cohort, although it did rise to 83.0% for the 1995 cohort. The attrition rates among students of color has been much higher than those for students overall. The fact that there have been considerable improvements among more recent cohorts may indicate that these figures were atypical; nevertheless they were instrumental in bringing about attention to retention as an institutional issue of concern. (The most recent graduation figures indicate an 84.4% six-year rate for the 1994 entering cohort and an 87.2% five-year rate for the 1995 cohort.)

In our discussions about student persistence and retention, there are those who argue that dropping out of school for a few years or transferring to another school may be in the best interest of a particular student and that the College is doing these students a disservice by trying to hold on to them. Others suggest that incoming students' own expectations of college are changing such that if they are disappointed, they leave. Regardless of the extent to which we should be trying to "retain" students, our research demonstrated that many of the reasons for dissatisfaction stated by those who

leave are also common to those who remain, and we need address these matters. All students need proper support, which should be (and is) a concern of all faculty and staff.

In the fall of 1998 the President appointed a Special Committee on Student Retention at Bates (SCOSRAB). The committee's important 90-page report, issued in May of 1999, contains ten specific action steps, many of which are already underway. A key recommendation was to focus attention on improving persistence rates of first-years and sophomores, so that supportive action can be taken well before a student makes a decision to withdraw from the College. Another was the creation in October 1999 of the Retention Monitoring Group, led by the Dean of Students, as a follow-up to SCOSRAB. Others recommendations include: group sessions with first-year students five to eight weeks after their arrival on campus; improved efforts to help sophomores select a major and plan their Bates career; better first-year and sophomore advising; improved social, academic, and cultural opportunities for students of color; better communication about and with students who may be at risk of leaving; and more linkages between academic and extracurricular life.

Evaluation of Student Services and Campus Facilities. Perhaps the best evidence of student satisfaction with campus services and facilities is obtained by simply talking to students. The Deans and many other administrators do this regularly, both formally and informally, on a daily basis. For more quantitative evidence, we use a variety of surveys to obtain feedback and comments from our students and graduates. These include the All-class Climate Survey (1996-97), Alumni Surveys, the ACE/HERI College Student Survey (administered to rising sophomores), the Core Drug and Alcohol Survey, and a survey of faculty by the Special Committee on Student Retention at Bates (SCOSRAB).

We note that levels of student and alumni satisfaction ("generally" or "very" satisfied) with a Bates education have consistently been 90% or higher. The highest 1999 Senior Survey levels of satisfaction for student services include: "campus safety and security" (87.7%); "computer services and facilities"; (87.5%); "food services" (85.3%); "recreational and intramural activities" (84.5%), and "student housing" (83.5%). Among the key concerns from the 1999 Senior Survey: only 53% of Bates seniors reported satisfaction with "student government," the lowest level of satisfaction among our peer institutions. There was a similar level of dissatisfaction with the "student voice in college policies," with only 45% of Bates seniors indicating satisfaction. This is the lowest level of satisfaction on record for Bates (68% in 1991). Overall satisfaction with social life is also the lowest on record (63%), down from 82% in 1991, with males (57%) less satisfied than females (66%). This may be a temporary consequence of the 1997 alcohol policy change to assure compliance with state law. The low level of satisfaction with the "campus student center/union" (31%) is striking, especially in comparison with core peer schools, many of which have new campus centers. The construction of a new Campus Center and the renovation of Chase Hall and its dining facilities are, therefore, core goals for the decade ahead.

Standard 7: Library and Information Services

The College's information resources are conceptualized as learning environments. The George and Helen Ladd Library is a place to get information, a place for self-education and learning, and a place to learn with others. The campus network extends learning resources throughout the campus, providing a base line of information content and productivity software in offices, classrooms, and student living spaces. It is intended to enable students and faculty members to construct learning environments with standard expectations of software and information content available to them. Our basic challenge is to maximize the effectiveness of each of these learning environments.

Information Resources at Bates. The principal organizations responsible for administering the information resources of the College include the Ladd Library, Information Services, The Edmund S. Muskie Archives and Special Collections Library, and the Museum of Art. There are also several other repositories developed for specialized needs, including a career resources library in the Office of Career Services, a management and personnel administration collection in the Human Resources department, a slide library administered by the Art Department, and several small reading collections run by individual academic departments. Compared to many colleges, Bates has consolidated and centralized its resources: there is one main library serving the entire academic community; computing, media services and telecommunications are run in a single Information Services organization; the administrative information systems are centralized in Banner; information and library services are highly coordinated; and a single committee of the Trustees oversees academic resources.

Bates has placed a high priority on building information resources that serve the College. Ladd Library collections consist of some 525,000 print volumes, 26,000 recorded sound and video materials, 2,000 electronic resources, 2,500 current serials and 320,000 government publications. Financial support for the Library is more than \$2.6 million per year, with acquisitions spending of about \$1.1 million. Among colleges in the Oberlin group (a national grouping of 74 of the top liberal arts college libraries), Bates is in the top quartile with respect to library expenditures per student, acquisitions expenditures per student, number of volumes added to the collection, and the size of the Library staff relative to the size of the student body.

On the computing front, Bates has built one of the most outstanding arrays of services among liberal arts colleges. Over the past decade, the College has extended the campus network to all faculty and administrative offices, classrooms and dormitory spaces. The number of desktop devices (computers, networked printers, scanners, etc.) is well over 1,100, with one on every faculty and staff desktop. A centralized administrative system (Banner) has been purchased and implemented, extending support to all parts of the College administration. Bates supports students through services such as e-mail lists automatically generated for each class and web-based course registration and student records lookup.

Information Services provides network services. HelpDesk services are staffed during business hours and into the early evenings (with service on some weekends). Other related functions include installation and troubleshooting services, and computer sales and purchasing (for the College and for private purchases by faculty, staff, and students). Information Services is also responsible for media services and the campus telephone system.

As with many colleges, Bates Information Services faces its share of criticism from faculty, staff, and students. The strategic planning process undertaken in the past academic year revealed many of these concerns. The recent restructuring of the management of Information Services presents us with new opportunities to address these issues, although the specific changes are still under consideration. The newly-appointed Associate Vice President has made addressing these issues a top priority.

All of Bates College's information services are heavily used. Although comparison of use measures among libraries can not be done precisely, the Bates library rates of book circulation,

circulation of reserve materials, and support of faculty and student research through interlibrary borrowing are also in the top quartile of liberal arts college libraries. The campus computing infrastructure is heavily used, with more than 95 percent of students using networked computers in their rooms, active e-mail use for curricular and non-curricular uses, and a wide variety of web applications and sources. Where building access is measured, comparable heavy use is obvious: the Library records more than 9,000 visitors per week during the academic year.

This use is a result of the Bates curriculum. Bates faculty members expect intense information use and interpersonal communication (in person and via various electronic media) as a normal part of most classes. The typical student learning experience includes regular assigned reading and writing in almost all courses. It includes introductory sessions in first-year seminars and other lower level courses to the basics of information access and transfer. There is integrated use of information and information technology in key courses in several disciplines (history, biology, neuroscience, economics, psychology, for example). Most senior theses and projects require intensive information-gathering, advanced data analysis or sophisticated communications capabilities, all of which draw on the information support structures of the College.

In the last ten-year accreditation review, a weakness in the collections support for interdisciplinary programs was identified as an area of concern. Beginning in 1993, the Library developed an approval plan for U.S. and U.K. university and other academic presses to cover core areas of the social sciences and humanities. This program is intended to make the library collections more responsive to interdisciplinary programs by assuring that a portion of the collecting profile follows trends in publishing rather than the requests of individual faculty members and other users. The plan includes instructions to send books falling into broad interdisciplinary categories (women's studies, African American studies, and other ethnic studies, for example) to assure broad coverage in these areas. Like most approval plans, it also helps build consistent collections that experience fewer disruptions due to leaves, short-term changes in faculty interests, and the needs of temporary faculty members.

Although financial support from the College has been strong, the Library has undertaken efforts to control journal costs. For the last five years of the decade, Library staff conducted annual reviews of the serials collection in consultation with members of the faculty. In this process, staff members have identified titles with potential for cancellation, as well as titles that should be added to support new areas of the curriculum. This has resulted in a net increase in the number of journal titles and a net saving every year in the budget required to support journal price increases. In addition, the Library has aggressively pursued electronic serial formats as an alternative to print. This policy has not resulted in subscription cost savings, but is beginning to show in reduced costs for binding, and as print titles are removed from the collections, in storage costs as well.

For support of administrative functions, the College has moved from the AIMS system in place at the time of the last accreditation to full implementation of the Banner software. Beginning in 1993 when the system procurement was conducted, the Information Services staff has led a phased implementation, beginning with the Finance module in 1994, followed by Alumni/Development and Student modules, and finally with the Human Resources module, which is scheduled for completion in 2000. This process has required the addition of a staff of programmer/analysts and database administrators with sophisticated Oracle software skills. Several administrative offices have found it necessary to add staff to support Banner reporting as well. It has required regular upgrades to server and desktop equipment to support administrative functions. It has also enabled College administrative staff to take advantage of economies in data entry and cross-functional data access. Moreover, the Banner conversion required administrators to work collaboratively, to make decisions by consensus, and to better comprehend the interrelationships among various offices. It has affected our work culture, and has helped make us better colleagues.

While the complexity of the Banner implementation has been a source of considerable frustration for staff and faculty alike, it has become an essential administrative tool, and it allows us to examine and integrate data in ways that were impossible in the past. Many other colleges regard the Bates implementation as a success and seek our advice. In the past two years, the addition of the web modules for student access have enabled Bates to make rapid strides in using web

technology for student registration and transcript access. The web module for faculty is scheduled for implementation in the fall of 2000, which will make real-time registration information available to advisors.

A single campus-wide database for administrative information has had obvious advantages for data access, accuracy, and timeliness of information. This system is much more sophisticated than many others on campus, however, and has presented challenges in training and information management. The tools initially available for data extraction and reporting required a fair degree of programming skill, meaning that managers had difficulty developing easy ways to get management data out of the system. Training for new users, particularly faculty and staff members who need to use financial information, has been intermittent, and has needed to be revised as new modules and new financial charts have been introduced. Development of new reporting tools and an effective training program are high priority projects for the 2000-2001 academic year. In addition, the College will need to examine whether we need interactive products such as Campus Pipeline to enhance users' ability to view and manipulate data.

In the past four years, web services and web applications have become an increasingly important focus of attention for curricular and administrative use. Bates was an early adopter of a campus-wide approach to information sharing, coordinated by a cross-departmental Campus Wide Information Service (CWIS) team. After a short phase of Gopher use, the Bates CWIS became an early example of outstanding web implementation, culminating in a CASE award-winning web presence in Bates Online. In the past two years, it has become apparent that decentralized planning for web services and "volunteer" participation of web content providers will not carry us through the next phase of web development. Information Services and College Relations staff members are engaged in an interdepartmental effort to move toward active management of web applications and services. This effort to strengthen management of web services has broad support among a variety of constituencies within the College, but will be a major administrative challenge in the 2000-2001 year. This includes the challenge to develop a combination of easy-to-use web templates and levels of competence with basic web technology throughout the College. We will also need to move quickly from static delivery of web page content to interactive uses of web for online databases, course content delivery, surveys, and financial applications, among many other potential uses. The Bates web is now the second most important point of initial contact with potential Bates students, after the telephone, and is increasingly important as a tool for communication with constituencies worldwide. It is a major marketing tool for the College, as well as the principal means of delivery of many kinds of information within the College. Demands for sophisticated Internet and intra-net services abound, and managing these demands, while maintaining the high quality of the existing web service will test our ability to direct efforts to the most important web activities.

There are several immediate challenges in information resource delivery at Bates. The marketplace is moving more rapidly than anyone would have expected toward all-electronic versions of scholarly information, due in part to the enormous success of the web. This trend makes the College's investment in electronic access, networking, training and other infrastructure appear wise. There will, however, be constant transitional issues for users who are accustomed to more stable patterns of information access, especially as the basic form in which information is available may change more than once in a given academic year. Though Bates has advanced capabilities in technology, it will be a constant struggle to insist that improvement in teaching and learning will be the driving force in curricular support, rather than to allow technological innovation to drive itself. As the level of sophistication of everyday technology has increased, so have expectations of users regarding the importance of that technology to their daily work and their need for a highly responsive routine service. Thus in the recent planning process for information and library services, the need for service of extraordinary quality, and very high levels of communication with users were constant themes. These will be the major service challenges for the next few years.

Accessibility, Facilities, and Equipment. The College has placed a high priority on providing effective facilities and equipment for information access, particularly for student use. Ladd Library, built in 1973, has had regular attention, with the addition of advanced audio capacity in the 1980s and moveable compact book stacks in the early 1990s. In 1995, a 10-year space plan for the Library was completed, and funded for immediate implementation. A phased renovation program

in 1996, 1998, and 2000 has brought added capacity to use new media (electronic, microformats, audio and video), alongside printed materials. There are redesigned service points for integrated services, and improved seating, group study rooms and accessibility for users with disabilities. In the 1999-2000 academic year, a plan was completed to integrate the administration of the Muskie Archives into the Library organization, to combine the functions of the Muskie Archives with rare book and special collection functions in the Library, and to create a College Archives. This project will be completed by the fall of 2000.

Our variety and number of classrooms equipped for computing and media access has grown tremendously, particularly with the completion of Pettengill Hall in 1999. The number of classrooms with installed projection for media and computing has risen substantially in the past five years. At Bates, campus-wide networking of classrooms, offices, and dormitories has not reduced the demand for computer and multimedia labs. Rather, the level of use has increased throughout the campus, in almost all locations, as students and faculty learn to take advantage of the variety of settings for different purposes. The number of machines in public computer labs has grown, most dramatically with the addition of some 60 networked devices in the classroom and reference area of the Library, and in the large and small computer classrooms in Pettengill. Information Services has adopted a strategy that aims at maximum portability of data among the various locations, and multiple use of classrooms and teaching spaces as open computer labs when classes are not in session. While this strategy has disadvantages with respect to oversight of the equipment, they are offset by wide availability of high quality machines for students.

In the past four years, audio-visual and media services have been integrated into other information service delivery routines, with gradual improvements. This process has been driven by the need to integrate analog and digital technology for media services, and the need to deliver computing as a routine part of classroom and event support. Staffing in AV services was increased from one FTE to two in 1998. A review of budgetary support was completed in 1999, and an increased base budget for routine AV equipment was secured for the 2000-2001 academic year. Media services staff believe that recurring budget support is now at the point where rational planning of classroom and other media equipment is possible. As use of multimedia content grows, and as web applications using advanced multimedia tools become commonplace for curricular and business applications at the College, the greatest challenge for the immediate future is how to integrate AV and computing services into the curriculum and other support services.

The Bates College Museum of Art houses the College's permanent collection of internationally significant works of art and maintains an active schedule of exhibits. A vital resource to the Lewiston-Auburn community and area schools, the Museum had more than 13,000 visitors last year, 65% of whom came from the local area. Attendance from outside the area is promoted by the Museum's inclusion in the "Maine Museum Trail Guide" brochure, published in 1999.

While facilities for public access have been constantly improved, and the Library has been recently renovated, the spaces for staff involved in testing, delivering, supporting, helping and teaching information access are in need of attention. The service and repair facilities have been redesigned for better service delivery, work area and inventory control. There has been some minor remodeling of Pettigrew facilities, and some new staff locations were made available in Pettengill Hall. An issue of concern is that the staff who are charged with delivering an integrated information service to the campus are housed in seven locations around the campus. This leads to two immediate challenges. One is to find ways to bring staff together to coordinate common activities. The other is involvement in campus space planning so that future spaces will meet changing needs.

Like the Banner project for database development, the networking of the campus was a transforming project in the last ten years. From the beginning, this project was conceived as a way to deliver information essential to the learning process to students, faculty and staff, and to make possible the wide varieties of information exchange and communication that now characterize Bates. The basic project to provide network access for faculty and staff was completed in early 1990s, with wiring of the dormitory spaces following in 1992-94. In planning for Pettengill Hall, a new network design was completed, with greatly expanded bandwidth to the desktop. In two

phases, in the summers of 2000 and 2001, the rest of the campus will be brought up to one gigabit per second capacity. With support from the Andrew W. Mellon Foundation, a three-way videoconference link over asynchronous-transmission-mode technology was installed in 1998-99. This technology has provided improved data links among the Bates, Bowdoin and Colby campuses, and new and flexible ways to increase the speed of the College's Internet connection.

The concept of ubiquitous access has extended to software and information content delivery. To the extent possible, Bates skipped the stage of building-level networking and moved directly to campus-wide services. There are now more than 200 applications and software packages on campus, with the most common ones available on the network for user installation. There are more than 70 scholarly databases similarly accessible. This approach was intended to reduce the need for staff attention to individual machines and promote standardization, and it has been successful for those purposes. As a result of assessment begun in the information services planning process, additional standardization is currently being pursued in administrative offices by encouraging offices to move to Windows platforms and Microsoft products. The transition from Macintosh to Windows in administrative offices will require coordinated training efforts. Furthermore, as faculty and staff use of technology from home increases, the College is presented with clear challenges to reduce the array of applications used on at-home devices, and to clearly delineate the kinds of services that will be provided on campus from those that can be expected at home.

With the approach to network accessibility as the principal source of software and data, the need for broad bandwidth on campus and large capacity connections to the Internet is obvious. In the future, the demand for bandwidth will grow continuously, presenting challenges for staging and financing this service. Similarly, the need to adapt to new delivery methods, such as wireless devices, along with continuously increasing demands for bandwidth will create clear challenges. As computing, teleconference, and videoconference links with off-campus constituencies (alumni, students abroad, admissions candidates, parents, and trustees) become more commonplace, the challenge arises to fit these new features into services primarily designed for residential students, faculty, and staff.

In the past five years, College information service providers have pursued deliberate strategies to improve outreach to on-campus constituencies. The Library instituted a formal collection management liaison program with academic departments and programs in 1994-95. Information Services has built targeted programs of instruction for some identifiable user groups, such as first-year students, administrative offices and new faculty. Librarians make regular "visits" to faculty members in their offices to help them find and use particular information sources, and to help identify (and refer to technical staff) difficulties with computing and other equipment. The Associate Librarian has used an appointment, now formalized, to the Curriculum and Calendar Committee to identify issues and trends in new courses, and has helped liaison librarians keep track of each new course. The Librarian has become an ex-officio member of the Educational Policy Committee with a parallel function to help ensure that new programs, majors and curricular innovations have adequate support. The Librarian has interviewed candidates for tenure-track positions to help them understand the information functions of the College, to get timely information on new directions for the curriculum, and to get an early sense of the collection development and computing needs of new hires. Since 1998, the College has provided no-interest loans to staff to help finance computer purchases.

The planning process undertaken for information and library services in the 1998-99 academic year raised some clear challenges for service delivery in the immediate future. While the information services and library organizations provide outstanding services to the campus, there is a need to build them into a truly integrated service organization. This will involve developing service expectations and service delivery standards that are consistent regardless of information format (library, media services, telecommunications, and computing). It will require developing realistic expectations of service, shared with users, and the building of a broadly based service ethic for all IS/Library services. The role and function of the HelpDesk and the development of coherent instructional and training programs need to be addressed, in order to develop ideas regarding information and technical literacy into coherent program with a variety of delivery mechanisms. And the information and library service organizations will need to develop effective and routine

communication ties within all parts of the organization and between the organization and its constituents.

Planning and resource allocation. In part as a response to the 1990 accreditation review, the College has adopted an integrated approach to planning and budgeting for information and library services. This has not been in response to scarce resources, as financial support has consistently been in the top quartile of liberal arts college libraries and computing operations. Rather, this approach has been pursued with an eye to maximizing the impact of these resources. Since the early 1990s, Bates has looked at computing and library resource allocations using a campus-wide approach, regardless of administrative or academic divisions.

Comprehensive long range and strategic planning has been characteristic. The plan for campus networking and an integrated administrative system was completed in 1991, including a plan to create a unified management team for information and library services reporting to the Vice President for Academic Affairs. A ten-year plan for library space was completed in 1995, and a strategic staffing plan for information services was completed in 1996. A comprehensive strategic plan for information and library services was completed in 1999, within the Goals 2005 planning framework. The 1999 plan was presented to the Trustees, and a copy is available on the campus web site. Each of these plans identified key outcomes for the immediate future, with a standard three-year planning cycle for computing (longer time frames being virtually impossible). In each case most of the high priority planning outcomes were achieved.

Since 1999, considerable progress has been made in implementation of high priority recommendations of the strategic plan. One key element has been the creation of a new Information Services Advisory Committee (a faculty, staff, and student committee), which formed the core of the planning committee, and has advised information services and library management on priorities with respect to implementation. Several key objectives, such as funding for the upgrade of the campus network, funding of a four-year replacement cycle for desktop equipment, establishment of a recurring fund for classroom upgrades, and increases in recurring budgetary support for AV equipment have all been achieved. There is continuing strong financial support for the Library's collection development programs, recognition that information costs rise faster than normal price increases, and support for expanded electronic access. As a result of our pay equity studies, better support is available to attract, compensate, and retain staff with valuable and highly marketable skills.

The initial successes of the implementation of this plan derive in part from strong support among the College administration and trustees for Bates to remain a leader among liberal arts colleges in the effective use of information and information technology in the learning process. This financial support underscores the need for strong and effective service delivery to on-campus and off-campus constituencies. It also highlights the need for active and effective assessment of the impact of these expenditures on the operation of the campus and the educational process at the College. We can expect there to be a constant demand to justify this level of support and we are preparing to assess its real impact on learning.

One of the strong recommendations of the last accreditation report was to improve and simplify the management of information services at the College. The response to this recommendation has been a more-or-less continuous attempt to examine the leadership structure in this area and make changes as they are needed. The President created a computing council in 1990. Following an internal assessment, all information services and library functions were put under the administrative oversight of the Vice President for Academic Affairs and Dean of Faculty in 1992. The budgets for computing were unified, and a flat, team-based approach to management was developed. In 1994 the Librarian was added to this team. In 1998, following the departure of two managers from the College, administrative assignments were realigned to four units (Library, Integrated Applications, User Assistance, and Infrastructure). Most recently, based in part on recommendations from the 1999 plan, the VPAA promoted the Librarian to be a new Associate Vice President for Academic Affairs to oversee all information and library service functions. At each stage of this management evolution the focus has been to develop an administrative structure that better serves user needs and deals with the critical issues. In the early 1990s, the key issue was

collaboration to break down arbitrary divisions among various computing organizations. Through the mid-1990s, the need for close collaboration was apparent as a centralized administrative database, a fully deployed campus network, and expanded electronic library services were being developed. As we enter the next decade, the need for coordinated leadership, focused project implementation, and unified service delivery is paramount.

There are some immediate challenges for planning and resource allocation. Though Pettengill Hall has set a new high standard for classroom technology on campus, there is a need to establish predictable and coherent standards in this area. One approach would set campus-wide expectations for three or four levels of technology within each classroom. The challenge will be to identify those standards, and to implement them in such a way that instructors can know what is in their classroom, know how to use it, and know how to move among different devices. Although a plan to require all students to purchase a computer was rejected in the 1999 plan, this recommendation will need regular reexamination. The goal of achieving some minimum equity for computing access, for students and for staff, will often need to be reinterpreted based on changing technology. Information and library services have been driven and shaped by planning, but there is a need to make project implementation, testing, and assessment equally routine.

Staffing, Administration, and Policy. With 29 authorized positions in the Library and 34 in Information Services, Bates has sufficient staff to carry out the core mission of providing information, telecommunications, media and library services to the Bates community. Compared to many of the colleges Bates competes with, these staffing levels are slim, and management of the array of services we provide requires staff to perform multiple functions. In the past ten years there have been marginal increments to the staff in Library public services to allow for expanded hours. There have also been positions added in Information Services, including programmer/analysts to manage the Banner implementation; an audiovisual technician to provide the level of coverage required for evening and weekend special events; positions to instruct users in the use of technology; and a newly authorized position for web development.

As demands for expanded services have grown, internal reallocation of staff has been the norm, with regular reassignment of staff within Information Services, and with reallocation of two positions in Library technical services to direct user service functions. We have also used outsourcing as a strategy both through purchase of cataloging records and cataloging services in the Library, and through an outside contract for repair services in Information Services. As services are reorganized, we expect that a combination of internal reallocation and outsourcing will continue to be the principal strategies used to address new demands for services.

Written policies and procedures are updated and complete in areas of high concern for the public, including Library circulation and access, and computer use and ethics. When appropriate they are published in the Library catalog, the student handbook, the faculty handbook and the staff handbook. In general, service policies are posted and available on the web, which has become the medium of record for both internal and public policies. Furthermore, as more employees gain access to the information in the Banner system, more training will be needed to ensure that College employees are aware of and comply with proper security standards and that they comply with the confidentiality guidelines required by Family Educational Rights and Privacy Act (FERPA) legislation.

Many of the outstanding challenges in staffing, administration and policy relate to organizational and cultural changes recommended in the IS/Library strategic plan. Having developed the logic and achieved the funding for a systematic program of desktop equipment replacement, this policy will need to be articulated and communicated to make the idea a reality. The IS and Office of College Relations plan for providing robust web services for academic and administrative departments will need to be articulated in ongoing support policies and practices. Based upon the recommendations of the plan, a web and systems coordinator was recently hired in College Relations, and a senior-level position will be created to oversee the campus-wide issues of web management. The College will also be contracting with an outside firm to provide support for a web site design makeover for the needs of the next several years. A new focus on support for individual faculty members' use of technology will require establishment of articulate and publicly

disseminated policies and procedures. The strategic plan's call for standardization of hardware and software in some cases, and in eliminating the use of outdated software versions in other cases, will require large changes in the organizational culture.

A consistent staffing challenge has been and will continue to be the need to attract and retain staff with the wide variety of skills required to support information use at Bates. In recent years, the demand for technically skilled staff, particularly those with the advanced programming and computer technology skills, has grown in Maine, with demand for people and market salaries comparable to most other regions of the country. Pay equity work, as well as training, job enrichment, and job advancement will be essential. As the demand for highly trained technical staff extends to other departments of the College, this will be an issue for many units outside the Library and Information Services.

Participation in Exchange of Resources. The Bates curriculum demands access to information beyond that owned by the College, and access to databases, electronic resources and other services from other libraries, outside database vendors and other information providers. The principal driving influence is the senior thesis project required in most academic departments. By the time Bates students are seniors, almost all of them are requiring resources greater than those needed by the typical undergraduate. Faculty members engaged in advanced research require similar services. Thus cooperation with other libraries is an essential core service. Bates is one of the heaviest borrowers among liberal arts college libraries, and in a world where being a borrower requires being a lender, one of the leading lenders in New England. Service is as fast as other libraries will deliver. Over the past three years, the Library has removed all fees for student borrowing to make this service as equitable and effective as possible. We also participate in regional and statewide forums to find ways to improve access, and we will be a participant in a new program currently slated for early 2001 for unmediated patron-initiated borrowing and lending system with academic, public, and eventually school libraries in Maine (Maine Info Net).

A particular emphasis has been our work with the CBB (Colby, Bates and Bowdoin) Library and Information Technology Consortium. With a tradition going back many years, this consortium has in the past five years been pushed to higher levels of cooperation with financial support from the Mellon Foundation. Recent innovations include the integration of search protocols for CBB library catalogs and direct patron-generated borrowing among the three Colleges. This effectively gives the three institutions access to many more resources than they could individually afford. The Mellon project has allowed us to develop collaborative services for information literacy/library instruction, videoconferencing, and collaborative computer networking. Mellon funds will also support Internet connections from CBB Off-Campus Study Consortium centers back to the host campuses. CBB-Mellon Faculty Stipend programs and CBB Off-Campus Study programs are already helping faculty from the three institutions to collaborate on a variety of projects.

In the coming years, the challenges for resource exchange include finding effective ways to make users effectively aware of materials to which the College has electronic access in order to reduce the overall cost of borrowing. Currently we may be borrowing materials from elsewhere because the systems we use to identify electronic collections are not fully integrated with print. CBB programs have become essential to the College, so we will need to work with CBB colleagues to make our collaborative work self-sustaining and not an add-on or afterthought. It will be a particular challenge to extend electronic services to CBB programs abroad, both to provide essential campus services to students studying abroad, and to provide ways to connect these programs (speakers, etc.) back to the Bates College campus. This will involve developing imaginative programs on campus, and working with some unpredictable technological obstacles abroad, particularly for programs outside Europe or the more wealthy industrial countries. Such links should help support programs abroad and contribute to the richness of programs on campus.

Assessment. As in many small libraries and computing organizations, Bates has the capacity to learn from experience and to make frequent changes. The program to review periodicals and serials for potential cancellation over the past five years has freed more than \$70,000 per year for other purposes. Library and Information Services staff members have built regular feedback mechanisms into web design, and have conducted formal usability studies for the Library's web

site, incorporating needed changes into the site. Though it is not a universal practice, library and information services instructors build evaluation routines into instructional sessions, and learn from the process. As we have worked with instructors for first-year seminars, as well as staff responsible for providing first-year orientation programs, we have conducted regular feedback sessions to identify what works and what does not work. Information services staff members have deployed automated tools to measure network usage and identify overloads and blockages. The challenge for the Information Services and Library organizations will be to develop systematic testing protocols and use them consistently, and routinely use effective assessment tools in as many activities as possible.

Standard 8: Physical Resources

The College carefully plans and improves its physical resource base as programmatic needs emerge and funding sources are identified. Since the last re-accreditation visit, a number of facilities have been added to the College. These include: Pettengill Hall (a major academic building housing the social sciences and interdisciplinary programs); the Underhill Arena/Davis Fitness Center; the Cutten Maintenance Center; the Wallach Tennis Center; the Benjamin E. Mays Social and Study Center; the Residential Village (Moody, Rzasa, and Hopkins Houses); the Bates College Coastal Center at Shortridge; and the Ronj (a student-run coffee house). Significant renovations and upgrades were completed, including: Ladd Library; Carnegie Science Hall; Dana Chemistry Hall; 163 Wood Street (administrative offices); 215 College Street (Human Resources); the Multicultural Center; Alumni House; the Keigwin Amphitheater/Lake Andrews; and the Libbey Forum. In addition, efforts have been ongoing to ensure that College facilities are brought into compliance with Americans with Disabilities Act guidelines, and other OSHA and EPA standards.

The planning firm Dober, Lidsky, & Craig periodically works with the College in campus-wide processes to determine how the College's facilities shall be developed over time. The most recent work took place in 1999 and early 2000 with an open invitation to the entire campus community to provide comment on the future of the campus and its facilities. Out of that process has come a determination to add a campus center (new construction), renovate Chase Hall and Coram Library to improve existing dance and theater facilities, and to add new outdoor facilities for recreation and intercollegiate athletics. The last project is funded and construction is beginning at this writing; the others are in the early planning stages and most likely will be a part of the next capital campaign.

The campus facilities are in an excellent state of repair, the product of long years of conscientious care and tending of the College's physical assets. Going forward and as a part of the multi-year budget process, the Vice President for Asset Management in conjunction with the Physical Plant department will work to articulate longer range goals and objectives for capital maintenance funding for the campus. Later on, more detailed plans on a by-building basis will be formulated by Physical Plant management.

Facilities are well equipped and adequate to serve the present size student body with the exception of Memorial Commons, which is scaled to serve a student body of 1525. As a result the Mays Center has been used as an overflow for weekday lunches, a solution which helps alleviate but does not wholly correct the problem. The upcoming renovation of Chase Hall will provide expanded seating space for student dining. In the meantime, the Mays Center will remain pressed in service and slightly lower on-campus enrollment will help ease the burden.

Major New Construction and Renovations, 1989-90 to 1999-2000

Project	Date	Changes
Carnegie Science	1989	Major addition/renovation completed
141 Nichols St.	1992	renovation; conversion to offices
Maintenance Greenhouse	1989	construction
Dana Chemistry	1992	extension; offices, lab and chemical storage facility
163 Wood St.	1991	renovation; conversion to offices
Clapp House, 215 College St.	1993	renovation; conversion to offices (eventually Human Resources)
Multicultural Center, 61/63 Campus Ave.	1993	renovation

(continued)

<u>Project</u>	<u>Date</u>	<u>Changes</u>
Residential Village (Moody House, Rzasa House, and Hopkins House), and Benjamin Mays Center 73/75 Campus Ave.	1993 1994	construction renovation; conversion to Philosophy/Religion offices
Joseph A. Underhill Arena/Davis Fitness Center	1995	construction
161 Wood Street/Connector to 163 Wood Street Cuttan Maintenance Center	1996 1997	addition, renovation construction to replace Andrews Road facility
Alumni House	1997	renovation
Coffee House (the Ronj)	1997	renovation
Ladd Library	1997	renovation
Pettengill Hall and Perry Atrium	1997	construction (opened fall 1999)
Bates College Coastal Center at Shortridge	1998	renovation
Keigwin Amphitheater/Lake Andrews restoration	1998	amphitheater and shoreline redesigned and re-landscaped for environmental and aesthetic purposes
Libbey Forum	1999	renovated for Registrar and Student Financial Services
James Wallach '64 Tennis Center	2000	construction
Athletic fields: Track and Soccer Lighted Lacrosse/Field Hockey Softball	2000	construction

Source: Physical Plant, and the *Annual Report of the President*. Does not include minor renovations and ongoing disability access improvements.

Standard 9: Financial Resources

Bates has Increased its Financial Strength and Stability. Between June 30, 1990 and June 30, 1999, the College grew its asset base by over \$182 million or 164.5 %. The growth in physical and financial resources available to support programs was funded largely by increases in institutional equity as debt (all sources) increased by only \$19.6 million over the ten-year period. (Appropriate adjustments have been estimated to reflect recent major change in generally accepted accounting principles in the 1990 data, i.e., to convert investments to market value in 1990 and to give effect to accumulated depreciation.) Restating 1990 assets in 1999 dollar terms, assets per FTE student grew from \$90,985 to \$171,561 (89%) during a period when student enrollment rose from 1577 to 1706 (8%). Not surprisingly, the lion's share of the gain in the asset base reflects new investments in facilities and growth in endowment.

Operating budget allocations have undergone significant changes since 1990, reflecting evolving planning priorities directed toward academic program growth. Expressed as a share of operating expenses (restated to 1990 basis for purposes of comparability), instruction, research, and academic support in the aggregate grew from 37.2% to 44.8%. Also registering gains were student services up to 12.4% from 10.6% and plant expense (12.6% vs. 9.7%). Declining shares of budget were borne by auxiliaries (down to 12.70% from 23.03%) and institutional support (15.6% vs. 18.2%). We do not know if expense classification practices since 1990 may have caused some of the changes noted at plant and auxiliary expense lines; nonetheless, the overall thrust of the changes is clear and unambiguous. Over the same time period, the student aid discount against comprehensive fee revenue has widened and the prior practice of budgeting for an operating account surplus has been abandoned. Added emphasis on student aid has enabled the College to achieve greater diversity and academic strength in its student body.

A major priority from an operating resource perspective has been to diversify the College's revenue base. The 1990 reaccreditation report noted that the College was heavily dependent on student fees with a share of budget well in excess of 80% in 1990. As a planning priority, the College has set a goal of 65% for net student fee dependency by the year 2005-06; the fiscal 2001 budget has the ratio at just over 67% indicating that the goal is well within reach. The dramatic reduction in dependence on student fees for operating funding is an important gain in the College's financial strength since 1990.

The diversification of the institution's operating resource base reflects a higher level of endowment spending owing to increased market value of endowment, important gains in institutional fund-raising capability, moderating levels of annual increase to the comprehensive fee, and more generous allocations to student financial aid budgets.

In nominal terms, endowment market value grew from \$66.6 million on June 30, 1990 to approximately \$200 million as of June 30, 2000, reflecting healthy investment returns as well as new gifts to endowment. Development results during the decade have improved dramatically. Total giving in 1990 was \$3.4 million; by the end of the decade total giving had reached \$20.9 million (fiscal 1999). Looking at year over year giving results, only two down years occurred during the ten year period through June 30, 1999 despite the effect of a major capital campaign during the decade. Over the last five years, an average of 47% of solicited alumni have made contributions to Bates, compared to an average of 42% in the previous five years. Alumni/ae average gift size nearly doubled from \$476 in 1990 to \$918 in 1999; further improvement in increasing the size of individual alumni/ae gifts is a key challenge facing the Development team as it prepares for a new capital campaign.

Financial Comparisons with Peer Institutions. While the College's absolute improvement in its resource base has been impressive, its peer competitors have not been standing still. A review of financial data comparisons from the Higher Education Data Sharing Consortium reveals generally that the College's relative standing vs. peer institutions has not improved in significant ways even while, in absolute terms, improvements have been noted.

Investment Management / Endowment. Investment returns net of costs for the ten years through June 30, 1999 were 13.8% annualized, placing the College's performance 90 basis points above the NACUBO universe mean and in the top quartile of the survey's rankings. In a group of select peer institutions, Bates ranked 9th out of 28 for the ten-year period.

In more recent years, performance has lagged as the College has pursued a more diversified approach to asset allocation away from large cap domestic stocks, which have had a strong run over the last five years. Over the decade, the endowment's asset allocation under its investment policy has de-emphasized fixed income assets and substituted a more widely diversified group of equity assets. At this writing, policy calls for 50% domestic equities, 15% international equities, 16% alternative assets, and 19% fixed income. Because the actual share of assets invested in alternative assets cannot be actively managed, the investment committee of the Board has authorized any over or under target balances in alternative assets over time to be offset in the fixed income allocation. Domestic equity positions are well diversified between large cap and small cap sectors and between growth and value styles. International allocations are split in three roughly equal segments among a core position, emerging markets, and small cap.

All active management is delegated by the Trustee Investment Committee to professional money managers who are selected and monitored by the committee. Since 1994, the committee has retained a consultant to aid its efforts. In 2000, Cambridge Associates has been brought on board to succeed the previous consulting firm. More recently upon Board request, the Treasurer become more directly involved with investment management and has also taken on the role of Vice President for Asset Management.

Debt Policy: A Change Since 1990. The Board authorized its first bonded financing in October 1991 for \$11.25 million to fund a major new student residence complex and renovations to several campus facilities. In the process, the Board adopted a policy imposing ceilings on debt and debt service. While the institution has grown comfortable over time with strategic use of long-term debt, its debt posture has remained conservative. The bonded debt as a percentage of endowment has remained essentially flat over time (13.75% at fiscal 1992 year's end vs. 15%, estimated, at June 30, 2000). In January 2000, we refinanced the 1991 debt to take advantage of lower interest rates. At the same time, we borrowed an additional \$7.5 million to fund new capital projects and \$3.75 million while awaiting Pettengill Hall outstanding pledges. Debt policy was waived for this financing but no further borrowing will be undertaken pending review of debt policy later this year. Total long-term debt at June 30, 2000 will approximate \$30 million.

Management Resource Changes: Systems, Staffing, and Other Support. With the more complex financial operating environment in which the College and its peers find themselves, the need for more sophisticated administrative systems support was apparent. Implementation of SCT Corp.'s Banner administrative software has brought the College important benefits. With the Human Resources module implementation in July 2000, the complete Banner system is now in place and functioning. The accounting and budget part of Banner was the first module to be introduced at Bates. Last year, that initial implementation was modified to bring simplicity of approach to bear on budget and accounting record keeping.

Along with the gains realized through new systems support, staffing upgrades in the treasury, accounting and budget, and human resources areas of management have been approved by the President and the Board, reflecting the more complex environment facing colleges and universities as the new century dawns. Similarly, the College recently decided to take different approaches in two key areas of consulting help. On the accounting front, the local CPA firm that had served the College well for many years has been replaced by PriceWaterhouseCoopers, a national firm with noteworthy expertise in the college and university market. The change recognizes, again, the higher levels of complexity facing the College in its financial management challenges. Similarly and as mentioned above, Cambridge Associates was recently added as consultant to the Investment Committee of the Board, bringing with them a widely known presence in endowment investment consulting in the college and university marketplace.

Finally, the College will review its banking relationships later this year to determine whether alternative providers may offer advantages that present services fail to deliver. The pace of change in how financial services are delivered in today's marketplace is rapid; the College needs to be sure over time that it is able to enjoy the benefits of the technological changes which are transforming the industry.

Resource Development. Recognizing the College's relatively modest levels of financial wealth as compared with its peer group of national liberal arts colleges, the Board of Trustees approved in 1998 the administration's plan to add significant resources to the College's development operation. The plan contemplates major gains in levels of giving over time and forms the base for expanded capabilities for fund raising over the long term. The added costs borne by operating budget are funded in part during the first three years by added fixed levels of spending from the endowment. To date, planned levels of giving have equaled or exceeded the expectations laid out in the plan.

From FY1991 to FY1999, contributions from the Bates Alumni Fund rose by 113% and donations to the Bates Parents Fund grew by 163%. That the College has improved its ability to raise private contributions is shown by the amounts contributed in recent capital campaigns. In a campaign concluded in 1974, Bates raised just under \$7 million; in the campaign ending in 1984, it raised \$12.5 million; and in the campaign ending in 1996 it received contributions of \$59 million, followed by nearly \$14 million in a special campaign ending in 1999 to help fund the Pettengill social sciences building. In 1998, Bates received its largest gift ever from a bequest by the late Charles F. and Evelyn M. Phillips. Phillips was the fourth president of Bates, serving from 1944 to 1966. The gift of nearly \$9 million is the largest in the College's history and is believed to be the largest gift ever from a U.S. college president and spouse to an institution. We recognize that these statistics do not compare favorably with many of Bates' peer institutions, but they represent a significant improvement over the results of the past decade. (More details are available in the Statistical Appendices).

A new comprehensive campaign is in the planning stages at this writing, with a significantly higher goal. The campaign is scheduled to conclude in FY2006 as part of Bates' sesquicentennial celebrations. A list of potential needs have been reviewed and discussed across the campus, including by the Goals 2005 Steering Committee. Development is conducting focus groups with selected alumni to discuss the goals. The eventual case statement and statement of needs will be closely tied with the College's academic priorities as they have found expression in the Goals 2005 strategic planning materials.

Budgeting, Planning, and Controls. Budgeting and planning at the College is the responsibility of the Vice President for Budgeting and Accounting and Controller. Budget requests are submitted in the fall and alternative courses of action for making final budgetary allocations are later reviewed and discussed by the President's Senior Staff before proposed operating and capital budgets are submitted to the Board for approval. The time between the forwarding of departmental budget requests in the fall and the approval of operating and capital budgets in the spring provides ample time for consultation and review across the campus in numerous departmental venues.

We are moving away from a broad-based budget forecasting and scenarios model developed in the early 1990s to a comprehensive multi-year financial planning approach that integrates strategic planning goals and priorities more directly to budget resources. Preliminary budget decisions will be made annually in early fall with a review by the Board's Executive Committee in October as a prelude to the more detailed process for consideration of annual budgets later in the year.

Responsibility for controlling spending against budgets is vested in departmental managers who receive monthly reports (paper or on-line as they prefer) with close oversight and review by the Vice President for Budgeting and Accounting and Controller.

Human Resources Issues. A decade ago, Bates College's human resources functions were handled out of what was then known as the Business Office. In 1990, the President established a Personnel Office to deal with these increasingly complex issues. This department, now renamed Human Resources, has:

- worked to bring core employee data into a consolidated central database;
- initiated a pay equity study and a plan to address some of the concerns identified therein;
- provided leadership for the development of a flexible benefits plan for all College employees;
- moved Bates off of OSHA's "List of 200" with the implementation of a safety plan under the direction of a full-time safety director;
- addressed an attempt at unionization of dining services employees and engaged in discussions to resolve issues raised therein; and most recently,
- brought the College's payroll system in house, utilizing the Banner software system.

Standard 10: Public Disclosure

In the last few years the College has taken important steps to translate our public documents into electronic form. While the printed *Bates College Catalog* continues to be our official contract with the public, we now maintain a web version of the catalog. We now add new courses to this catalog as soon as they are adopted, resulting in a listing that is more accurate than the annually printed paper catalog. We have created electronic versions of other important print documents, including *The Faculty Handbook of Bates College*, *Bates College Student Handbook*, *Bates Magazine*, and *Bates College Charter and By-Laws*, all of which are linked to the *Bates Online* web pages.

The Internet has changed how the public interacts with the College and what information they expect to find. As we further develop our web pages, the *Bates Catalog* will become but one piece of a much larger public presentation. The Office of Institutional Planning and Analysis developed the *Bates Electronic Factbook*, one of the first of its kind in the country, to provide an easy-to-use guide with links to essentially all of the public data about the College. We are considering expanding the *Electronic Factbook*, in which case we may add to it levels of security that restrict non-public information to those on the campus.

An important issue for us is the maintenance of these documents. We have at least 27,000 web pages on our site. It has been difficult to maintain them for accuracy and currency because responsibility for electronic documents has been dispersed across several offices. With the planned restructuring of our web management in academic year 2000-2001, we will improve our capacities to create, to maintain, and to present effectively our web documents.

As required by the "Student Right to Know Act", we publish yearly crime statistics. We go beyond the requirements of the law by mailing weekly paper announcements on crime statistics to the campus community. Weekly and yearly summary crime statistics are also posted on the Security and Safety web site. We are now implementing the new notification and disclosure mandates of the 1998 amendments to the Federal Higher Education Act. This effort will result in several mailings to individual students and their parents to notify them of the availability of data about various aspects of the College.

Samples of various College publications are available in the self-study evaluation team work area and in the College Relations Office.

Standard 11: Integrity and Concluding Remarks

To address the issue of integrity, we return once more to the College's distinctive ethos of civility, respect, equity, engagement, interaction, and service – one of the core dimensions of our self-assessment and planning.

We believe in engaging our students in ethical issues. Engaging students in discussions of ethical issues in meaningful ways is not always easy. Several times over the last decade students have presented us with unexpected opportunities to include them in addressing ethical issues. Often these began with an event or a misunderstanding that required immediate attention to an issue. On several occasions strong emotions led to student demonstrations or occupations of campus buildings, followed by discussions at all-campus meetings.

These meetings allowed students to voice their concerns and give campus leaders the opportunity not only to respond to these concerns, but also to encourage students to become more involved in resolving the issues. Students soon joined or led discussions, met with task forces, and helped draft policies to address the pertinent ethical issues. Some have found that the consciousness of all parties was raised in the debates, and that Bates became a better place because of the process. Issues that were once perceived in "us vs. them" terms were transformed in ways that created a stronger sense of community and purpose. While such direct actions are unusual and certainly not the only ways students address sensitive ethical issues, both the processes and the outcomes point out ways in which Bates may be unique both in our student population and in our campus culture. Some of these events were:

- A sit-in at the Admissions Office in 1994. Students protested based on their perceptions of inadequate multicultural recruitment. The College responded by re-opening its search to hire a Director of Multicultural Recruitment, by planning a Multicultural Center (and hiring a full-time Director of the same). In a touch that seemed to many as "distinctly Bates-like," Dining Services sent pizza to the protesters during the sit-in, and the students themselves cleaned up the Admissions Office after the protest.
- A Lane Hall sit-in in October 1997 after Physical Plant staff erased chalk slogans on the Quad for Coming Out Day. After discussions, a written policy on chalking messages was issued, to prevent future misunderstandings. A Committee on Homophobia and Institutional Change (CHIC) was established and continues to meet to address issues of concern.
- In 1998, a racially derogatory statement in the tag of a Hispanic student's e-mail, directed at white people, created unrest on the campus. An open forum in the Chapel brought out 700 members of the Bates community and led to a series of roundtable dinner discussions with students and administrators. This resulted in greater efforts by the College to develop a College statement on diversity.
- A midnight gathering of students on the front lawn of the President's house protesting the College's handling of sexual harassment and assault incidents. In response, the College revised the Security Posting Policy to quickly alert the community about major security incidents. The College created an 18-person task force, whose substantial 100-page *Report of the President's Task Force on Sexual Assault* was completed October 1, 1999. Their recommendations resulted not only in changes to Student Conduct Committee procedures and the hiring of Sexual Assault Victim's Aide, but raised campus awareness of this important issue.

There will always be lively debate about whether these student protests were necessary to "move the College to action" or whether they simply hastened the College in directions it would have taken, albeit at the slower pace which typifies institutional policy-making and judicial due process. Does student concern create a crisis which compels the College to act "against its will," or does a

crisis bring heightened awareness of an issue and stimulate speedier action on values that are essentially shared by most members of the community? Some may say that we rely too much on the fervor of students to promote these important foundational issues as priorities for action. However, student actions informed the College community in a more tangible way of the issues at hand, and created an opportunity for mutual learning.

We have created or revitalized college-wide celebrations and ceremonies that connect with our vision and promote our interest in an ethos of engagement and community. In the past ten years, at the initiative of the President, Bates has developed a number of events that serve to mark the passage of the academic year, to celebrate our community, to set the stage for future discussions, and to remind us of our mission. They include:

- Opening Convocation, held on the first day of classes each fall. Each of our speakers over the decade has focused on issues of institutional concern: community, environment, teaching, service, diversity, student life, creativity, and ethics as expressed in honor codes.
- In 1995 the College re-instituted its spring Founders Day Convocation, with Elie Wiesel as speaker. Since then Founders Day speakers have included Mstislav Rostropovich, and Julian Bond. When Maya Angelou was unable to speak at the last minute in 1997, students took over and performed readings of her and other works. In 2000, the speaker was President Diana Chapman Walsh of Wellesley College.
- Bates is unusual in that it not only celebrates Martin Luther King Day, but also presents it as an important part of academic life, with speakers, workshops, and other events held throughout the day instead of regularly scheduled classes. These events include not only students and faculty, but also the staff who wish to participate.
- Community social events. These events are open to the entire Bates community, and include an opening "Carnival on the Quad" and student activities/volunteer fair, an All-Campus Gala, open barbecues during Short Term, Halloween celebrations in the ice arena.

We are responsive to issues of diversity. In 1999 campus leaders drafted a diversity policy for the College, which expresses in concrete terms our commitment to diversity. According to this policy,

Diversity at Bates is understood broadly as difference arising out of characteristics such as cultural identity, race, socio-economic levels, educational background, political perspectives, physical capabilities, geographic or national origins, beliefs or religious heritage, ethnicity, gender, sexual orientation, personal experience, or unique individual skills. All members of the Bates community are called to contribute to the College with difference as they may embody it, but also by wanting to learn from others. A Bates education should inculcate a desire to understand, respect, and value difference, as an individual and as a world citizen.

The document goes on to provide specific implementation steps that reinforce our commitment to diversity in three areas:

- The Composition of the Community: We want to identify and recruit students, faculty, and staff who are representative of national and international pools of talent at the highest and broadest potential for achievement.
- The Curriculum of the Community: We want to develop a curriculum that requires students to be interested in and confident about global perspectives, to be familiar with the world and its populations. In general education and major requirements, in curricular and co-curricular experiences, in departmental and interdisciplinary offerings, Bates should develop in its students a capacity to study and experience multiple cultures. Our graduates

must have the intellectual and technical skills, the historical perspectives, and the ethical, reflective habits of mind to challenge what needs to change.

- **The Climate of the Community:** One of the most powerful facets of a Bates education must be the opportunity for lifelong friendships and profound interactions between people of very different cultures, values, principles, and habits of mind. We want community members to share with and learn from each other, to respect and understand each other, recognizing that everyone owns responsibility for supporting diversity.

We are committed to Affirmative Action. Bates established the Office of Affirmative Action with a full-time director in 1990. The Director reports directly to the President and works closely with an Affirmative Action Advisory Committee. To assist the College in moving toward its diversity goal, the Affirmative Action Office will continue to see that the College is in compliance at all times with federal and Maine state laws. The Director monitors relevant legislation and educates the community about its implications. The Office conducts sexual harassment training for all new employees, and employees who have had the training are invited to attend the sessions each year as a refresher.

At Bates, Affirmative Action is not concerned merely with compliance issues; it also has a leadership role in helping to develop an environment where we can meet the spirit of our diversity goals. The Bates community understands that diversity includes, race, gender, sexual orientation, religious differences, disabilities, etc. We believe that everyone at the College should be able to work and learn in an atmosphere free from any form of harassment.

The College is committed to emphasize that the community should stay focused on these goals during the hiring process. The Director serves on all campus diversity committees. The Office holds a number of campus-wide activities and workshops for faculty, staff, and students. In 1999-2000, the Affirmative Action Office formed a Disability Committee. The committee will continue to educate the community through speakers, performances, and discussion groups. All members of the President's Council were sent updates and other information about the Americans with Disabilities Act, both to inform them and to help them educate others in their departments. In 2000-2001, a community ramp-building activity is planned.

The College Affirmative Action Policy was written in 1989, with revisions in 1997. The policy outlines specific procedures and operating principles for addressing the concerns of each major employee group, as well as the student body. It will be reviewed again in 2000-2001. Policies on nondiscrimination and sexual harassment and grievance procedures are published in the student, faculty, and employee handbooks.

We take seriously our participation in the Lewiston/Auburn community. Fundamental to its purpose, Bates students, faculty and staff define and shape the life of the College; by living, working, volunteering, and raising families in the community they also help define the character of our host cities. Over the last decade we have acknowledged that connecting Bates to the community takes institutional leadership as well as individual relationships among Bates citizens and local residents.

While town-gown connections are not easy to establish and maintain for any college, it is clear to those who have been at Bates for more than a decade that we have made great strides to integrate ourselves into the community at large. That the connections between Bates and Lewiston/Auburn have improved over the decade is symbolically represented by the removal of the many yards of chain link fence that for decades surrounded the campus and fields. For ten years, to establish closer connections between the College and local community leaders, the President has hosted an annual series of six Breakfast Seminars. In the early 1990s, the Breakfast Seminars helped to create the catalyst for L/A Together, an informal group of leaders who sought to discover ways in which the two communities could cooperate and share resources.

In 1998, these relationships were formalized with President Harward's establishment of and leadership in L/A Excels as a "strategic alliance" between the two cities, Bates, and other local

institutions. Maine Governor Angus King has said, "L/A Excels already represents the most ambitious coalition of community leaders in the memory of the Twin Cities." The Governor went on to characterize this alliance as possibly the most extensive collaboration in the history of the State. As we prepare to transition from a visioning phase to a resource identification and project selection phase, L/A Excels has already had a positive effect on the relationship between the College and Lewiston/Auburn community leaders.

Bates has provided L/A Excels with staff support and office space. President Harward proposed six "zones of activity" to guide the alliance: 1) educational aspiration and achievement; 2) economic vitalization and development; 3) community resource and leadership building; 4) culture and diversity; 5) environment and quality of life; and 6) the family. Bates has hosted two Community Conventions to discuss a common vision for the future, and to identify projects that address these six zones. The three projects that have already emerged from this strategic planning process (an arts center, an entrepreneurial program, and a business incubator within a conference facility and a neighborhood revitalization initiative) will provide many more opportunities for student and faculty interaction with the community.

Bates offers its resources to area citizens in a variety of formal and informal ways. In turn, the community welcomes Bates students and staff as neighbors. Some recent examples:

- Bates routinely makes its facilities and services available to not-for-profit organizations for educational purposes. Some of these events have included the statewide Solo & Ensemble Festival, hosted by the Maine State Music Teachers Association, the statewide Odyssey of the Mind tournament, the statewide mathematics meet (for high school students) and St. Mary's Hospital's Health Steps Program.
- During the Ice Storm of 1998, the College opened its doors to those in the community who lacked power, providing meals, warmth, and communication services.
- Bates Dining Services contributes over 21,000 meals from surplus food to the local food banks annually.
- It is now common for community members to come to the campus and interact with Bates students. For example, during the academic year one-third of the DJs on Bates' radio station, WRBC, are from outside the campus. During the summer virtually all DJs are non-students.
- High school students and their families may also receive free college planning and financial aid counseling at Bates. Each semester, a number of qualified students from local high schools take Bates courses for credit. These students may take up to two courses (one per semester) without charge. Local high school students are often seen in our on-campus alcohol-free coffeehouse, The Ronj.
- Even the youngest members of the Lewiston/Auburn community find programs and resources available to them. The Bates Museum of Art welcomes many groups of schoolchildren annually and has added a full-time education coordinator to its staff to support their visits. The dance programs of the Department of Theater and Rhetoric and the Bates Dance Festival offer outreach programs for underserved youth in the community, putting them in contact with nationally recognized artists and art educators. Other summer programs offered by the College provide educationally sound, low-cost camp activities to local children. The College also has a long-standing relationship with the Portland Symphony Orchestra and hosts its "Kinderkonzert" series throughout the academic year – over 4,000 children attend.
- For years, the College has offered a free public Noonday Concert Series every Tuesday during the academic year, and a mid-summer weekly Lakeside Concert Series.

In 1995, President Harward established the Facilities Access and Review Board (FARB) to review the issue of community access to campus facilities. The group quickly discovered that a "Bates ID" could be interpreted in a variety of ways, and that these cards – the entrée to College facilities they represented – were unevenly and unfairly distributed. Local citizens complained, rightfully, that you had to "know someone" to use the College's pool or library. FARB created an equitable, systematic means of determining access to Bates facilities. At the same time, the College adapted a new system of issuing student and employee ID cards, which made enforcing FARB policies more realistic.

Bates also encourages its students and staff to become involved in the community:

- Bates students often are involved in activities away from the campus, such as visiting local schools for the America Reads program or the Martin Luther King Jr. Day read-ins, working at the Auburn Land Lab, student-teaching in the schools, and working at our Adopt-a-School neighbor, Lewiston Junior High School.
- Faculty frequently direct or teach in programs whose primary audience is Lewiston/Auburn, such as Support for Women in Mathematics and Science (SWIMS), whose purpose is to encourage an early interest in science for middle school girls.
- In 1998-99 and 1999-2000, a Community Service theme house conducted a variety of service programs in the L/A community.
- The Chaplain and the Center for Service-Learning have organized an "Into the Streets" community service program in the L/A community as an optional pre-Orientation program for new students.
- College employees have recently "sponsored" the members of a refugee family from Togo, who were brought to the community in co-operation with the Lewiston/Auburn Refugee Resettlement Program.
- The Center for Service Learning wrote over a million dollars worth of grants in partnership with the local school systems in 1998-99.
- Through the Bates K-12 Science Education Grants (supported by the Howard Hughes Medical Institute), faculty and students collaborate with teachers in under-resourced primary and secondary schools in Maine (primarily in Lewiston-Auburn) to enhance science education.

For many decades Bates faculty and staff have participated actively in community organizations. In the last decade, however, the College has given more recognition to these activities. Whether there is now more of this involvement is difficult to assess because in the past it not only was not recognized, but those who were involved did not feel community service was valued by the College. Some of these varied faculty and staff activities include membership in the Downtown Neighborhood Association, chair of the Lewiston School Board, candidate for state senator, serving as officer of the local naturalist club, and serving as organist in a local church. The Dean of the College has recently been re-elected to serve as Lewiston City Councilor. The President is a member of the Lewiston/Auburn Economic Growth Council and was elected Citizen of the Year in 1999 by the Lewiston/Auburn Chamber of Commerce.

We believe that it is important to treat our employees, students, and others both equitably and with a concern for their professional development. In keeping with the College's commitment to its founders, Bates has in the past decade developed several programs to continue our efforts to be the egalitarian institution our founders dreamed we would become. The College is concerned about professional development of all of its employees, not just its faculty. We address these concerns in many ways, including:

- In 1995, the College initiated a Pay Equity Study for all non-faculty positions. Since then, it has taken annual, planned steps to address some of the inequities uncovered in the study.
- In 1990, the President established a leave program for administrators. This competitive program provides a month of paid leave after five years service (two months after ten years' service) and is supported by travel and research stipends. By the end of 1999, thirteen administrators had participated in the program.
- A Training Coordinator position was added in Human Resources in 1999-2000. Recent training opportunities have included a Leadership Seminar Series for administrators, and workshops on communications, career development, and time management. The College regularly provides support for staff members who wish to participate in a community leadership development program run by the Androscoggin County Chamber of Commerce. In 2000, all employees were asked to attend training to revitalize the use of the semi-annual "Conversation Document" as a non-threatening opportunity for employees and staff to discuss job progress issues and concerns. (The "Conversation Document" is not a formal, written "performance evaluation", but a means of improving communication within offices and helping to ensure that the goals of the office and the College are being promoted.)
- Bates supports its employees in preparing for their G.E.D.s, and provides tuition assistance for those employees pursuing undergraduate and graduate courses that support their work at the College.
- Two Commissions on the Status of Women in the past decade examined the climate for female employees. Several policy decisions and clarifications, including a more equitable maternity leave program, resulted.
- The Human Resources Office recently established a monthly employee orientation program to welcome newcomers to Bates and to ensure that they clearly understand College policies and benefits.
- The Human Resources Office is working on our first "Comprehensive Compensation and Benefit Proposal," whose objective is to ensure a fair and equitable system of compensation within the institution. One decision was to address the needs of the hourly staff by determining, as much as fiscally possible, to exceed minimum and market-driven wage standards and to try to approach regional guidelines for "a living wage."
- In 1999-2000, a new Grievance Policy was adopted with the assistance of the Employee Advisory Committee. The system will provide an optional alternative to formal grievance processes, with the assistance of volunteer employee "ombudspersons."
- The Class of 1998 established a scholarship for the children of Bates hourly staff.
- The College established an Employee Assistance Program to help employees, on a self-referred and confidential basis, to obtain counseling and other support for the personal issues that affect their performance while at work.
- A position dedicated to improve environmental health and safety in the workplace was established in the mid-1990s.

We are serious about our responsibilities to the environment. Bates College is committed to being a "green campus." Although we have established major in Environmental Studies and hired a part-time "Environmental Coordinator," most members of the community take some part in these efforts. Some examples follow.

- In 1995, the President endorsed an Environmental Policy Statement, developed by the Environmental Issues Committee, reaffirming the College's commitment to environmental sustainability. In 1998-1999, the College adopted the "Green Action Plan," which calls for campus-wide recycling of paper and paper products, aluminum, glass, and plastics. Students, faculty and staff alike share the responsibility for the success of this program, with recycling bins in every dormitory room and office.
- Bates Dining works closely with the Maine Organic Farmers and Growers Association to purchase organic produce and to recycle food scraps as compost. It has been nationally recognized for its environmental programs. In 1998-99 Bates Dining composted more than 4,500 lbs. of scraps each week for a total of 234,000 pounds of pre-consumer organic waste, including chlorine-free napkins, fruit and vegetable matter, coffee grinds and egg shells. Approximately 50,000 pounds of pre-consumer waste has been sent to a local farmer who composted the matter and returned the finished product for use on college grounds. Dining Services reduces water consumption by not using sink-based garbage-disposal units.
- On May 5, 1999, Bates Dining was honored with the ReNew America National Award for Sustainability and the Christopher and Dana Reeve Award for Environmental Leadership presented by the President's Council on Sustainable Development. One of twenty winners across the nation, Bates Dining was the only collegiate food service to be recognized for its efforts in creating and maintaining environmental initiatives for a better future.
- In 1998, as plans for the new tennis facility were underway, faculty and staff rallied to preserve the trees that surround the proposed location. After community-wide discussion, the plans were revised and trees and tennis now coexist.
- Stanton Environmental Awards are given to Bates staff and students in recognition of their work in advancing Bates' environmental agenda. The award is named in honor of noted ornithologist Jonathan Young Stanton, who, for 55 years, served Bates as professor of Greek and Latin, beginning in 1863.
- The Philip J. Otis Fellowships offer two to five students each year grants of \$2,000 to \$5,000 to support off-campus projects that explore an environmental and/or eco-spiritual topic. Projects that involve substantial off-campus research or reflection, usually accomplished during the summer or during a Short Term leave, are encouraged. The grants may be used for travel and living expenses off-campus; for acquisition of library, computer, or other project supplies; for distribution of the project's results; or as a stipend for working on the project. Following completion of the project, Otis Fellows must present a report to the College community.
- The Philip J. Otis Gathering Fund provides support for students, faculty, or staff members to design and undertake campus-wide meetings, presentations, or programs focusing on environmental issues. The first Otis Gathering, scheduled for fall 2000 and organized by two graduates of the Class of 2000, is a comprehensive examination and discussion of the Northeast Forest (New York, Vermont, New Hampshire, and Maine). The Gathering will include presentations at Bates and at several sites in the four-state region.
- The College donated over \$10,000 worth of trees and flowering shrubs to individuals in the Lewiston/Auburn community to replace those lost in the Ice Storm of 1998. Each year, we mark the anniversary of this initial offering by distributing bulbs at a community-wide picnic.

Over the last decade the Office of the Chaplain has been better integrated with our community. In 1989, the President initiated a review of whether we should continue or abolish the Chaplaincy, in light of our growing diversity and a decline in formal religious practice among our students. The commitment to this office was reaffirmed. Since then, the Office of the Chaplain has had a more prominent role in the life of the College community, with a commitment to reach out to serve the needs of *all* faiths and also of those without formal religious beliefs.

The mission statement of the Office of the Chaplain reflects the values of the institution:

To support the formal, diverse religious life of the campus and to deepen the connections among the intellectual, moral, and spiritual aspects of the lives of *all* members of our community, regardless of their religious affiliation; to point towards the Holy and to help persons and the campus as a whole to acknowledge and reverence it.

The 1998-99 Annual Report of this busy office lists 18 different programs, ranging from visiting lecturers to weekly candlelight services, discussion series, and exhibits. Just one of its programs on Service and Social Justice Opportunities includes six separate sub-programs, from Weekly Local Service Opportunities in the Greater Lewiston-Auburn Area to Urban and Rural Immersion Programs, in which students spend their fall, spring or winter breaks living and serving in urban and rural communities. The office helps to coordinate student service at the Trinity Church soup kitchen in Lewiston and in the Rural Community Action Initiatives in Leeds. An anti-hunger initiative to provide hunger relief in Maine and throughout the world recently involved three quarters of the student body.

Although recent activities have tended to emphasize "service" to the community rather than formal "religious services", the Office of the Chaplain has also developed a variety of programs and resources to support the growing diversity of religious traditions represented in our community and to encourage interfaith dialog. The *Con/Spiracies* newsletter raises community awareness of the many traditions at Bates. Banners with symbols from major faiths now adorn the College Chapel; a multi-faith religious calendar is annually distributed on campus; and the "Spiritual Journeys" lecture series brings to campus visitors from a variety of spiritual traditions. Regular worship opportunities in the Protestant, Roman Catholic, and Jewish traditions have been joined in recent years by Friday Muslim prayers, Hindi Diwali celebrations, a weekly "Busy Life, Peaceful Center" program of music and readings celebrating all traditions, a schedule of off-campus retreats, and a weekly sitting meditation group. A Muslim prayer room and a Buddhist shrine are available in the Multicultural Center.

As an institution, Bates seeks to live by and with integrity. Over the past ten years, we have been working to create policies and practices that reflect the importance we place on institutional integrity. As we grow from a small "word-of-mouth" community to a much larger and more complex operation, we face the danger of losing sight of who we are. We face a number of challenges in the decades ahead:

- Size can bring isolation, with each department producing its own product apart from the others, and with the mission of the whole being lost. We have met this challenge by forming committees and work groups that operate across departments and divisions.
- Policies that are issued as memos are soon lost and forgotten. We need a central site to store key policies and documents, and we are beginning to address these issues both on the web, and by the creation of a formal College Archives program. We need to do a better job of assuring that new and existing policies are readily accessible to all, useful, and understandable. It is not sufficient to have fair and equitable policies if not all employees are aware of them, have easy access to them, and understand them.
- We additionally must adopt practices whereby important documents are reviewed periodically to assure that they continue to meet both our needs and national guidelines. [Examples: What are the necessary steps to declare a major? To declare a leave or to withdraw from Bates? To get a tuition refund?]

- New technologies provide new challenges to institutional integrity. Since the hiring of the College's first Director of Institutional Research in 1993 and the subsequent establishment of the Office of Institutional Planning and Assessment, the College finds itself in a much better position to collect and analyze information about itself. Fortunately this office was established while we were converting our institutional records to electronic form. The director was available both to assist with this conversion, as well with our move from AIMS to Banner as the administrative software system. We also have not yet reached the point where Banner is accepted as the primary and authoritative database and still maintain some independent redundant ones. There remain serious questions about the accuracy and confidentiality of some of our data. We need to be more aware of standards and methodologies for dealing with data. For instance, we currently use a variety of methods to report our faculty. While some of these are required by federal guidelines and others by national guide books, we must attend to the need to favor methodologies that will be useful to our own internal planning. We may need to develop new measures to track issues of growing importance to us. For example, despite our increases in interdisciplinary and thesis work, it is difficult, if not impossible, for us to assess the degree of faculty effort that goes to these important areas.
- Because Bates takes pride in its environment of openness, we have not adequately addressed the question of who should know what about whom. In the Banner database, it is not possible to conceal the birth date of students or employees, but all those who access the database need to be aware that such information should be treated as confidential. In some cases laws are in place concerning confidentiality. We are working to train our employees in these important areas. In other cases we are using default policies that have never been examined closely. There is a committee working on this issue (the Banner Users Group), but we must not underestimate the work it will entail.
- Often we find we have not developed adequate terminology to enable us to discuss some employee issues. Human Resources is now drafting definitions of classes of employees, which will enable us to develop clearer policies on such matters as employee benefits and pay scales.
- As we move more information to the web, we will have to resolve the question of how much information should be available to the public. In particular, should outside visitors to the web be able to see the same information about us as do on-campus users? The growing complexity of the web also forces us to develop mechanisms to seek out and remove or update information that is outdated or no longer accurate. Bates has always prided itself as a place that is unafraid to show its true face, but the importance of the web as a public relations tool will force us to make a decision. It is important that Bates does not monitor, censor, or restrict home pages, Usenet groups, or other Internet use for content.

Finally, Bates will face new challenges in the next several years as it seeks its next president. On June 1, 2000, Donald W. Harward announced that he will conclude his tenure as president in June 2002, at the end of the 2001-02 academic year. He has served the College since October 1989. President Harward stressed that the announcement two years prior to retirement is intended to allow for the most effective and productive planning for the College: "We have achieved much and we have planned much to accomplish at the College and in the community during the next two years — and we are going to do it," Harward said. "There will be no pause and there will be no backing away." The Board of Trustees and the College community look forward to recognizing President Harward's positive leadership over the next two years.

Bates has been fortunate to have had strong and stable leadership throughout its history—the next president will be only the seventh since 1855. The upcoming presidential search will give the College new cause to examine itself in light of its own values and traditions, while remaining open

to new directions, and addressing emerging issues and opportunities that will affect small liberal arts colleges as we approach our sesquicentennial year.

Bates College looks forward to facing these challenges – and others described in this document – secure in the knowledge that we do so from a position of strength, and that we are being intentional in crafting our future. In the past decade, we have developed a greater awareness and confidence in our values and our institutional ethos, and in how we can adapt and expand the ideals of our founders to address our contemporary needs. We have developed, and will continue to refine, a distinctive vision and set of goals for our future. The careful planning efforts of the 1990s are being institutionalized as an ongoing and essential part of our culture. We have strengthened our faculty and staff and we recognize that they, along with our students, may be our greatest assets. We have improved our fiscal and physical resources, and have set the stage to ensure that they will be adequate for future needs. We have taken a leadership role in establishing connections to the local and global community, and we have become a leader and innovator among national liberal arts colleges. Working together, all these forces leave the College well-suited to address change (both anticipated and unanticipated), to strive for continued excellence, and to meet the needs of our students in the new millennium.

CIHE DATA FORMS

GENERAL INFORMATION

Institution Name:	Bates College
FICE Code:	2036
Carnegie Classification:	Baccalaureate Colleges I

Financial Results for Year Ending:		Certified: Y/N	Qualified/Unqualified
Most Recent Year	Fiscal 1999	Y	Unqualified
1 Year Prior	Fiscal 1998	Y	Unqualified
2 Years Prior	Fiscal 1997	Y	Unqualified

Budget/Plans	
Current Year	Fiscal 2000
Next Year	Fiscal 2001

Contact Person:	Terry Beckmann
Title:	Controller/VP for Budgeting and Accounting
Telephone No:	207 786-8339

Note:

When entering data on subsequent forms, please round to the nearest thousand.

STATEMENT OF FINANCIAL POSITION (\$000s)

Fiscal Year:	2 Years Prior	1 Year Prior	Most Recent Year
	FY1997	FY1998	FY1999
ASSETS			
Cash & Short Term Investments	1,424	1,426	3,019
Accounts Receivable, Net	568	705	827
Contributions Receivable, Net	2,930	3,553	5,142
Inventory & Prepaid Expenses	654	968	850
Long-Term Investments	144,818	167,492	185,274
Loans to Students	5,782	6,010	6,007
Funds held under Bond Agreement	5,088	1,009	326
Land, Building & Equipment, Net	63,988	71,952	81,064
Other Assets	7,271	8,428	10,174
Total Assets	232,523	261,543	292,683
LIABILITIES			
Accounts Payable & Accrued Liabilities	3,662	6,831	5,655
Deferred Reenue & Refundable Advances	1,283	1,700	2,463
Annuity & Life Income Obligations	5,952	9,317	10,082
Amounts Held on Behalf of Others	(included in refundable advances)		
Long Term Debt	18,225	18,009	17,814
Refundable Gov't Advances	5,116	5,278	5,481
Other Long-Term Liabilities [Bates: Short Term Debt]	-	1,376	4,500
Total Liabilities	34,238	42,511	45,995
NET ASSETS			
Unrestricted			
Avail for Operations, Plant & Other Trustee Designated Purposes	32,937	34,318	35,244
Accum. Gains & Losses (associated with Permanent Endowment)			
Designated for Long-Term Investments			
Net Investment in Plant	50,851	53,942	58,749
Total Unrestricted Net Assets	83,788	88,260	93,993
Temporarily Restricted			
Available for Operations			
Accum. Gains & Losses			
Designated for Long-Term Investments			
Total Temporarily Restricted Net Assets	58,784	71,084	77,525
Permanently Restricted Net Assets			
Total Permanently Restricted Net Assets	55,713	59,688	75,170
TOTAL NET ASSETS	198,285	219,032	246,688
TOTAL LIABILITIES & NET ASSETS	232,523	261,543	292,683

(\$000s)

STATEMENT OF UNRESTRICTED REVENUES AND EXPENSES

Fiscal Year:	2 Years Prior	1 Year Prior	Most Recent Year	Current Year Budget
	FY1997	FY1998	FY1999	FY2000
FROM OPERATIONS				
Revenue				
Tuition and Fees [Bates: Comprehensive Fee]	44,829	45,687	49,501	52,069
Less: Financial Aid	(9,182)	(9,281)	(10,492)	(11,977)
Net Tuition & Fees Revenue	35,647	36,406	39,009	40,092
Gov't Appropriations				
Contributions used in Operations (1)	1,915	2,207	2,442	3,635
Endowment Income used in Operations	1,619	1,649	1,714	2,524
Federal & State Student Aid	<i>included in Net Assets Released from Restrictions</i>			
Gov't and Private Sponsored Research	<i>included in Net Assets Released from Restrictions</i>			
Other Income	4,418	4,105	4,582	4,997
Auxiliary Enterprises*				
Sales & Services of Educ. Activities*				
Independent Operations*				
Total Revenues	43,599	44,367	47,747	51,248
Net Assets Released from Restrictions	5,853	6,678	8,264	7,126
Total Revenues & Net Assets Released	49,452	51,045	56,011	58,374

* included in Other Income

Expenses				
Instruction	18,509	19,801	21,330	16,890
Research	359	383	527	47
Public Service	156	155	168	170
Academic Services	6,061	6,359	6,919	7,025
Student Services	6,833	7,645	8,347	5,984
Institutional Support	8,746	8,257	8,860	11,156
Other Expense	-	-	-	9,395
Total Educational & General Expenses	40,664	42,600	46,151	50,667
Auxiliary Enterprises	9,777	10,379	10,493	7,707
Independent Operations	-	-	-	-
Total Expenses	50,441	52,979	56,644	58,374
Increase (Decrease) in Net Assets from Operations	(989)	(1,934)	(633)	-

NON OPERATING				<i>(do not budget)</i>
Gifts, Bequests & Contributions not used in Operations	3,326	3,080	4,540	
Restricted Equipment Purchases				
Reinvested Gains & Losses & Income from Investments	4,869	3,326	1,884	
Gains & Losses on Disposal of Property				
Other revenues and expenses, net			(59)	
Increase (Decrease) in Net Assets from NonOperating Activity	8,195	6,406	6,365	
Increase (Decrease) in Unrestricted Net Assets	7,206	4,472	5,732	

Footnote: (1) Includes receivables of:				
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Note: Significant year-end allocations and adjustments are not represented in the budget column.

STATEMENT OF CHANGES IN NET ASSETS

(\$000s)

Fiscal Year:	2 Years Prior	1 Year Prior	Most Recent Year
	FY1997	FY1998	FY1999

Increase (Decr) in Unrestricted Net Assets	7,206	4,472	5,732
Contributions (1)	1,357	3,886	3,498
Reinvested Endowment Income & Gains	12,263	10,606	5,684
Net Assets Released from Restrictions	(3,325)	(3,080)	(3,441)
Other	-	889	699
Increase in Temporarily Restricted Net Assets	10,295	12,301	6,440
Contributions (2)	3,920	3,718	13,278
Reinvested Endowment Income & Gains	704	227	313
Other		30	1,892
Increase in Permanently Restricted Net Assets	4,624	3,975	15,483
Net Assets at Beginning of Year	176,160	198,285	219,033
Net Assets at End of Year	198,285	219,033	246,688

(1) Includes receivables of:			
(2) Includes receivables of:			

SUPPLEMENTAL DATA (\$000s)

SECTION 1: FINANCIAL AID				
	2 Years Prior	1 Year Prior	Most Recent Year	Current Year Budget
Fiscal Year:	FY1997	FY1998	FY1999	FY2000
Source of Funds:				
a) Unrestricted Institutional	6,461	6,056	6,986	8,220
b) Federal, State & Private Grants	371	594	584	590
c) Restricted Endowment Funds	2,350	2,631	2,922	3,167
TOTAL	9,182	9,281	10,492	11,977

SECTION 2: CONTRIBUTIONS RECEIVABLE (most recent year)				
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Less than 1 year		1,384	607	1,991
1 year or greater		2,708	2,042	4,750
less: allowance		(217)	(111)	(328)
less: discount to present value		(469)	(802)	(1,271)
Total Contributions Receivable	-	3,406	1,736	5,142

SECTION 3: ENDOWMENT INCOME USED IN OPERATION (most recent year)		Most recent year amount:
Please check source of funding:	Formula:	FY1999
X Spending policy	no more than 5% of expected end Mkt. Value	7,482
Interest & Dividends Only		
Unrealized Gains & Losses		
Total Endowment Income Used in Operations		7,482

SECTION 4: INSTITUTIONAL SUPPORT COST ADJUSTMENTS (most recent year)	
Cost reported on CIHE Form 2-1	8,860
Add: costs previously allocated:	
Auxiliary Services	
Independent Operations	
Sales & Services of Educ. Activities	
Other	
Total Institutional Support Costs	

SECTION 5: FACILITY COST ALLOCATIONS (most recent year)				
	2 Years Prior	1 Year Prior	Most Recent Year	Current Year
	FY1997	FY1998	FY1999	FY2000
Breakout costs allocated to all lines on CIHE Form 2-1				
Operations & Maintenance	5,371	6,142	6,885	7,360
Depreciation & Amortization	1,725	1,995	2,098	<i>not budgeted</i>
Interest Expense	914	755	838	1,188
Total Facility Costs	8,010	8,892	9,821	8,548

STATEMENT OF UNRESTRICTED REVENUES AND EXPENSES (\$000s)
(modified for Bates reporting practices, with reconciliation to financial statement format)

Fiscal Year:	Most Recent Year	Current Year Budget
	FY1999	FY2000
FROM OPERATIONS		
Revenue		
Comprehensive fee revenue*	49,501	52,069
Less: Financial Aid	(10,492)	(11,977)
Net Revenue from Students	39,009	40,092
Annual Fund and other current gifts used	2,442	2,850
Spending from Endowment	7,482	8,868
Other Income	4,583	4,997
Net Assets Released (other than endowment spending)	2,496	1,567
Total Revenue, net of student aid	56,011	58,374

Expenses		
Instruction	16,395	16,889
Research	528	47
Public Service	168	170
Academic Support	6,652	7,025
Student Services	5,738	5,984
Administration	10,123	11,157
Physical Plant	6,885	7,360
Auxiliary Enterprises	7,206	7,707
Debt Service	1,316	1,189
Transfer from Reserves (inc. capital projects)	824	848
Total Expenses	55,835	58,374
Budget excess (deficit) of revenues over expenses	176	-

Reconciling items to financial statements:

Add: Depreciation Expense	(2,098)	-
Less: Interest Expense Capitalized	270	-
Less: Bond Principal Payments	195	-
Less: Capital Project Expenses	824	-

**Increase (decrease) in net assets from Operations
per financial statements**

(633) -

	FY1999	FY2000
Comprehensive Fee *	30,070	31,400

* Bates has a single Comprehensive Fee which includes Tuition and Fees, Room, and Board.
The Comprehensive Fee for FY2001 is \$32,650.

STATEMENT OF CAPITAL CASH FLOWS (\$000s)

	2 Years Prior	1 Year Prior	Most Recent Year	Current Year Budget	Next Year Forward
	FY1997	FY1998	FY1999	FY2000	FY2001
SOURCES OF FUNDS					
Cash flow from Depreciation					
Cash from Gifts/Grants			12,700	1,900	500
Debt Proceeds			-	-	6,990
Other [Operations]			1,600	1,400	1,556
Total Sources			14,300	3,300	9,046
USES OF FUNDS					
Renovations & Maintenance			710	600	867
Space Alterations					
New Construction			12,720	2,240	6,025
Equipment & Furnishings [includes technology]			870	460	2,154
Total Uses			14,300	3,300	9,046
NET CAPITAL CASH FLOW					
INDEBTEDNESS ON PHYSICAL PLANT					
Beginning Balance on Principal	10,635	18,189	18,009	22,314	
Additional Principal Borrowed	7,729	-	4,500	24,440	
Principal Payments Made During Year	(175)	(180)	(195)	(205)	
Extraordinary Balloon Pymts/Refinancings	-	-	-	(17,485)	
Ending Balance on Principal	18,189	18,009	22,314	29,064	
Interest Payments Made During Year	712	1,106	1,115	1,038	
Maximum expected annual debt service obligation (principal and interest) on all outstanding debt					
Accumulated Depreciation	19,848	21,843	23,941		

**STUDENT ADMISSIONS DATA
(Fall Term)**

CIHE Data form 6

Credit Seeking Students Only - Including Continuing Education

	2 years Prior	1 Year Prior	Most Recent Year	Next Year Forward
ENTERING FALL OF:	1997	1998	1999	2000 preliminary*
Academic year of application	1996-1997	1997-1998	1998-1999	1999-2000

Freshman - Undergraduate				
Completed Applications	3636	3527	3860	4240
Applications Accepted	1240	1355	1266	1200
Applications Enrolled	458	473	479	459

Aptitude Indicator: (Define Below)				
Middle 50% Math SAT Scores**	610-690	630-690	630-700	630-700
Middle 50% Verbal SAT Scores**	600-680	613-700	630-700	630-710
% in top 10% of high school class***	53.10%	52.60%	61.50%	57.4%

Transfers - Undergraduate				
Completed Applications	91	88	90	145
Applications Accepted	18	21	10	17
Applications Enrolled	7	8	2	9

Master's Degree				
Completed Applications	n/app	n/app	n/app	n/app
Applications Accepted	n/app	n/app	n/app	n/app
Applications Enrolled	n/app	n/app	n/app	n/app

First Professional Degree - All Programs				
Completed Applications	n/app	n/app	n/app	n/app
Applications Accepted	n/app	n/app	n/app	n/app
Applications Enrolled	n/app	n/app	n/app	n/app

Doctoral Degree				
Completed Applications	n/app	n/app	n/app	n/app
Applications Accepted	n/app	n/app	n/app	n/app
Applications Enrolled	n/app	n/app	n/app	n/app

* Data for 2000 represents May Admissions profile prepared by Admissions Office. Data for all other years represents figures updated as of October 1 census.

** Submission of SAT scores is optional at Bates by faculty legislation. Typically, between 55% and 65% of the class submits SAT scores.

*** Class rank is not provided by all High Schools. Typically, between 50% and 60% of the class come from High Schools with valid class rankings.

CIHE Data Form 7
STUDENT ENROLLMENT DATA
Fall Term by Class Level

	96/97	97/98	98/99	99/00
First Year				
Full-Time Headcount	498	453	483	495
Part-Time Headcount	0	0	0	0
Total Headcount	498	453	483	495
Total FTE	498	453	483	495
Second Year				
Full-Time Headcount	401	459	451	436
Part-Time Headcount	0	0	0	0
Total Headcount	401	459	451	436
Total FTE	401	459	451	436
Third Year				
Full-Time Headcount	295	312	362	302
Part-Time Headcount	0	0	0	0
Total Headcount	295	312	362	302
Total FTE	295	312	362	302
Fourth Year				
Full-Time Headcount	478	387	417	473
Part-Time Headcount	0	0	0	0
Total Headcount	478	387	417	473
Total FTE	478	387	417	473
Unclassified				
Full-Time Headcount	0	0	0	0
Part-Time Headcount	0	0	0	0
Total Headcount	0	0	0	0
Total FTE	0	0	0	0
Total Undergraduate Students				
Full-Time Headcount	1672	1611	1713	1706
Part-Time Headcount	0	0	0	0
Total Headcount	1672	1611	1713	1706
Total FTE	1672	1611	1713	1706
% Change in FTE	2.2%	-3.6%	6.3%	-0.4%

Undergraduate Retention Rates

(years are staggered by cohort)

First-year cohort entering in Fall of:

	1995	1996	1997	1998
% of first year cohort returning for fall of second year	93.1%	90.2%	94.3%	92.6%
	1992	1993	1994	1995
% of cohort graduating in four years	78.9%	82.9%	77.3%	83.0%
	1991	1992	1993	1994
% of cohort graduating in five years	81.4%	83.0%	86.3%	83.7%
	1990	1991	1992	1993
% of cohort graduating in six years	85.8%	82.5%	83.5%	86.9%

Note: Beginning in fall 1998, Bates Fall Semester Abroad and Bates students enrolled in Colby-Bates-Bowdoin international centers in London, Ecuador, and South Africa are included in official IPEDS enrollment counts.

Source: as reported on IPEDS Fall Enrollment Surveys.

FACULTY PROFILE, Part 1
 CIHE Data Form 8-1 (adapted for Bates methodologies)

Currently Teaching Faculty, academic year

Number of Faculty		1996-97			1997-98			1998-99			1999-2000		
		FT	PT	TOT.	FT	PT	TOT.	FT	PT	TOT.	FT	PT	TOT.
Professor	Total	44	3	47	46	3	49	46	2	48	48	2	50
	Male	40	1	41	41	2	43	42	1	43	40	1	41
	Female	4	2	6	5	1	6	4	1	5	8	1	9
Associate	Total	45	2	47	46	2	48	49	1	50	50	1	51
	Male	23	1	24	26	1	27	26	1	27	28	1	29
	Female	22	1	23	20	1	21	23	0	23	22	0	22
Assistant	Total	40	0	40	37	0	37	34	0	34	39	0	39
	Male	21	0	21	18	0	18	12	0	12	10	0	10
	Female	19	0	19	19	0	19	22	0	22	29	0	29
Instructor	Total	5	0	5	7	0	7	5	0	5	4	0	4
	Male	5	0	5	3	0	3	4	0	4	4	0	4
	Female	0	0	0	4	0	4	1	0	1	0	0	0
Lecturer	Total	22	16	38	16	17	33	25	14	39	24	13	37
	Male	12	8	20	9	10	19	11	8	19	11	9	20
	Female	10	8	18	7	7	14	14	6	20	13	4	17
Total Currently Teaching	Total	156	21	177	152	22	174	159	17	176	165	16	181
	Male	101	10	111	97	13	110	95	10	105	93	11	104
	Female	55	11	66	55	9	64	64	7	71	72	5	77

FACULTY PROFILE, Part 1, continued

Total headcount: includes annual faculty list as defined by Dean (includes faculty on leave or sabbatical and replacements)

Total Faculty	M	F	T	M	F	T	M	F	T	M	F	T
Professor	45	7	52	45	8	53	46	8	54	45	10	55
Associate	27	22	49	29	25	54	30	27	57	30	25	55
Assistant	19	22	41	19	22	41	12	23	35	10	30	40
Instructor	5	0	5	3	4	7	4	1	5	4	0	4
Lecturer	20	18	38	20	14	34	20	20	40	20	17	37
Total	116	69	185	116	73	189	112	79	191	109	82	191

Financial FTE (fall)	150.09	156.00	155.33	163.16
Teaching FTE (fall)	143.17	142.74	143.25	153.33

Age (total headcount)		FT	PT	TOT.	FT	PT	TOT.	FT	PT	TOT.	FT	PT	TOT.
Professor	Minimum	42.9	47.1	42.9	43.9	57.8	43.9	44.0	48.0	44.0	43.1	54.0	43.1
	Maximum	67.0	63.2	67.0	66.7	68.0	68.0	68.0	59.0	68.0	68.7	62.0	68.7
	Mean	52.9	55.7	53.1	53.4	63.3	54.0	54.4	53.5	54.4	54.8	58.6	55.0
Associate	Minimum	34.9	43.5	34.9	35.9	50.2	35.9	37.0	59.0	37.0	33.5	48.6	33.5
	Maximum	63.3	57.0	63.3	64.3	58.0	64.3	65.0	59.0	65.0	59.4	60.0	60.0
	Mean	44.6	50.2	44.7	44.4	54.1	44.8	45.5	59.0	45.3	45.4	54.3	45.7
Assistant	Minimum	27.7	n/a	27.7	28.5	n/a	28.5	27.0	n/a	27.0	28.1	n/a	28.1
	Maximum	52.0	n/a	52.0	50.7	n/a	50.7	59.0	n/a	59.0	59.6	n/a	59.6
	Mean	37.4	n/a	38.0	38.5	n/a	38.5	38.1	n/a	27.0	37.0	n/a	37.0
Instructor	Minimum	31.0	n/a	31.0	28.8	n/a	28.8	31.0	n/a	31.0	29.5	n/a	29.5
	Maximum	40.4	n/a	40.4	47.7	n/a	47.7	47.0	n/a	47.0	41.6	n/a	41.6
	Mean	35.7	n/a	35.7	34.4	n/a	34.4	36.8	n/a	36.8	36.0	n/a	36.0
Lecturer	Minimum	27.8	27.9	27.8	26.6	29.9	26.6	29.0	31.0	29.0	25.9	31.9	25.9
	Maximum	64.5	81.5	81.5	64.7	82.5	82.5	66.0	84.0	84.0	67.4	84.5	84.5
	Mean	43.5	42.8	43.2	43.1	48.4	45.8	42.5	50.6	45.1	45.1	44.4	44.8

Notes:

The faculty profile varies from the standard CIHE forms, to reflect Bates practice in counting faculty. Faculty counts at Bates are more meaningful when viewed in terms of headcount and full-time equivalency (FTE) than full-time/part-time status.

- All figures reflect faculty for the full academic year (Fall/Winter/Short Term) counted as of fall October 1 census.
- "Currently Teaching" means that the faculty member was contracted to teach at least one course in the academic year.
- In these tables, faculty are considered full-time if their contract states a teaching load equivalent of 50% or more. Faculty are considered as part-time if their teaching load equivalent is less than 50%. (The contractual teaching load FTE equivalent does not account for time spent in advising, thesis and independent courses, research, committee work, and community service.)
- The age calculations reflect the annual Dean's faculty headcount, which includes permanent faculty members on leave or sabbatical. Full-time/part-time status here reflects the "Financial FTE", which reflects the financial obligations of the College to all faculty in the Dean's headcount (permanent faculty and replacements). A full-time/part-time division from the Dean's headcount will differ slightly from the "currently teaching" faculty count shown in the first table.
- Only teaching "Statutory faculty" (those with faculty status as defined by Bates By-Laws) are included. Statutory faculty include the President, the deans, the chief financial officer, the Registrar, the Librarian, and the principal Assistant Librarian.
- The members of the Physical Education department who have faculty status and rank are counted.
- Bates lecturers can teach between 1 and 5 courses. Several lecturers have essentially "permanent" status on the Bates faculty. Leave replacements can be hired as lecturers or as ranked non-tenure-track visitors. Visitors may be hired for between one and three years.

FACULTY PROFILE, Part 2
CIHE Data form 8-2 (adapted for Bates methodologies)

	1996-97		1997-98		1998-99		1999-2000	
	FT	PT	FT	PT	FT	PT	FT	PT
Highest Degree Earned: Doctorate								
Professor	47	0	47	0	47	0	51	3
Associate	40	1	45	0	48	0	48	0
Assistant	33	0	31	0	30	0	35	0
Instructor	0	0	0	0	0	0	0	0
Lecturer	6	1	6	5	9	6	7	10
Highest Degree Earned: Master's								
Professor	1	0	1	0	1	0	1	0
Associate	5	0	5	0	4	0	4	2
Assistant	4	0	7	0	5	0	5	0
Instructor	2	0	4	0	2	0	1	0
Lecturer	12	4	12	6	16	4	14	8
Highest Degree Earned: Bachelor's								
Professor	0	0	0	0	0	0	0	0
Associate	2	0	2	0	2	0	1	0
Assistant	0	0	1	0	0	0	0	0
Instructor	3	0	2	0	3	0	3	0
Lecturer	1	0	0	0	0	1	2	1
Highest Degree Earned: Professional License								
Professor	0	0	0	0	0	0	0	0
Associate	0	0	0	0	0	0	0	0
Assistant	0	0	0	0	0	0	0	0
Instructor	0	0	0	0	0	0	0	0
Lecturer	0	0	0	0	0	0	0	0
Total	156	6	163	11	167	11	172	24

Note: All figures reflect Dean's financial FTE faculty count for the full academic year (Fall/Winter/Short Term).
Table includes the members of the Physical Education department who have faculty status and rank.

% of tenured or tenure-track faculty with doctorate or terminal degree in their field	100.0%	100.0%	99.2%	99.2%
% of tenured or tenure-track faculty with doctorate	98.3%	97.5%	97.6%	96.7%
% of AAUP FT faculty with doctorate or terminal degree in their field	96.2%	98.5%	96.9%	97.8%
% of AAUP FT faculty with doctorate	94.5%	95.3%	90.0%	91.8%

FACULTY PROFILE, Part 3
CIHE Data Form 8-3 (adapted for Bates methodologies)

	1996-97	1997-98	1998-99	1999-2000
Base Salary for Academic Year				
Professor, Full Time				
Minimum	\$ 63,100	\$ 62,280	\$ 64,460	\$ 63,500
Maximum	\$ 108,000	\$ 112,100	\$ 116,030	\$ 119,520
Mean	\$ 75,075	\$ 78,431	\$ 80,461	\$ 80,648
% increase for continuing faculty	4.1%	4.4%	3.5%	3.4%
Professor, Part Time				
Minimum	n/a	n/a	n/a	n/a
Maximum	n/a	n/a	n/a	n/a
Mean	n/a	n/a	n/a	n/a
Associate, Full Time				
Minimum	\$ 46,000	\$ 51,000	\$ 50,000	\$ 52,250
Maximum	\$ 69,500	\$ 80,000	\$ 83,200	\$ 87,000
Mean	\$ 53,462	\$ 54,745	\$ 56,827	\$ 57,894
% increase for continuing faculty	6.3%	4.5%	4.3%	5.4%
Associate, Part Time				
Minimum	n/a	n/a	n/a	n/a
Maximum	n/a	n/a	n/a	n/a
Mean	n/a	n/a	n/a	n/a
Assistant, Full Time				
Minimum	\$ 40,000	\$ 40,000	\$ 40,000	\$ 41,000
Maximum	\$ 49,680	\$ 50,030	\$ 52,000	\$ 53,000
Mean	\$ 44,574	\$ 44,274	\$ 45,236	\$ 45,320
% increase for continuing faculty	6.4%	4.8%	4.7%	5.6%
Assistant, Part Time				
Minimum	n/a	n/a	n/a	n/a
Maximum	n/a	n/a	n/a	n/a
Mean	n/a	n/a	n/a	n/a
Instructor, Full Time				
Minimum	N = 2 (masked)	\$ 38,000	\$ 39,330	N = 2 (masked)
Maximum	N = 2 (masked)	\$ 41,600	\$ 43,030	N = 2 (masked)
Mean	\$ 41,000	\$ 38,920	\$ 41,473	\$ 42,000
% increase for continuing faculty	5.1%	4.0%	4.5%	4.6%
Instructor, Part Time				
Minimum	n/a	n/a	n/a	n/a
Maximum	n/a	n/a	n/a	n/a
Mean	n/a	n/a	n/a	n/a
Lecturer, Full Time				
Minimum	n/a	n/a	n/a	n/a
Maximum	n/a	n/a	n/a	n/a
Mean	n/a	n/a	n/a	n/a
Lecturer, Part Time				
Minimum	n/a	n/a	n/a	n/a
Maximum	n/a	n/a	n/a	n/a
Mean	n/a	n/a	n/a	n/a

Base salary per course for an adjunct faculty member with an appropriate degree:

Bates	\$ 6,000	\$ 6,000	\$ 6,000	\$ 6,700
HEDS colleges mean	\$ 3,164	\$ 3,355	\$ 3,311	\$ 3,542

Typical Entry-level Assistant Professor Salary
(tenure-track, Ph.D., no prior experience, not hard-
to-hire field)

Bates	\$ 40,000	\$ 40,000	\$ 40,000	\$ 42,000
HEDS colleges mean	\$ 35,955	\$ 37,223	\$ 38,211	\$ 39,976

Note: All figures reflect faculty for the full academic year (Fall/Winter/Short Term). Full-time salaries represent salaries for the specific set of faculty reported on the AAUP/IPEDS surveys. The headcount set of AAUP "full-time" faculty (100% by contractual course FTE) is considerably less than the "full-time" faculty reported for other purposes, and the calculated minimum salaries for the AAUP set may sometimes differ slightly from "salary floors" announced in internal Bates documents. (AAUP reports include some replacement faculty.)

Part-time salary averages are not shown, since comparisons would be meaningless, given variable contract loads and year to year counts. A more meaningful indicator of compensation is given: "base salary per course for an adjunct faculty member with an appropriate degree". The per course salary varies according to field and length of service. (As reported to Higher Education Data Sharing Consortium (HEDS).)

FACULTY PROFILE, Part 4
Data Form 8-4 (adapted for Bates methodologies)

	1996-97			1997-98			1998-99			1999-2000		
	FT	PT	TOT	FT	PT	TOT	FT	PT	TOT	FT	PT	TOT
Number of Faculty Appointed												
Professor	0	0	0	0	0	0	0	0	0	1	0	1
Associate	0	0	0	0	0	0	2	0	2	0	0	0
Assistant	9	0	9	13	0	13	8	0	8	15	0	15
Instructor	3	0	3	4	0	4	3	0	3	2	0	2
Lecturer	0	10	10	0	8	8	0	10	10	0	7	7
Total	12	10	22	17	8	25	13	10	23	18	7	25
Number of Faculty in Tenured Positions												
Professor	49	0	49	51	0	51	51	0	51	52	0	52
Associate	38	0	38	43	0	43	45	0	45	45	0	45
Assistant	0	0	0	0	0	0	0	0	0	0	0	0
Instructor	0	0	0	0	0	0	0	0	0	0	0	0
Lecturer	0	0	0	0	0	0	0	0	0	0	0	0
Total	87	0	87	94	0	94	96	0	96	97	0	97
Number of Faculty Departing												
Professor	0	0	0	0	0	0	0	0	0	2	0	2
Associate	1	0	1	1	0	1	1	0	1	2	0	2
Assistant	9	0	9	7	0	7	10	0	10	5	0	5
Instructor	0	0	0	3	0	3	2	0	2	0	0	0
Lecturer	0	6	6	0	11	11	0	8	8	0	12	12
Total	10	6	16	11	11	22	13	8	21	9	12	21
Number of Faculty Retiring												
Professor	1	0	1	0	0	0	1	0	1	1	0	1
Associate	1	0	1	0	0	0	1	0	1	1	0	1
Assistant	0	0	0	0	0	0	0	0	0	0	0	0
Instructor	0	0	0	0	0	0	0	0	0	0	0	0
Lecturer	0	0	0	0	0	0	0	0	0	0	0	0
Total	2	0	2	0	0	0	2	0	2	2	0	2

Note: All figures reflect faculty hired for the full academic year (Fall/Winter/Short Term) as of the opening of the College.
Source: Dean of Faculty Office. Summarized from annual fall "New Faculty Appointments" lists. (The lists may not include certain last minute hires, or an occasional promotion from instructor to assistant professor once a faculty member has notified Bates that they have received the Ph.D. In this report, only lecturers are considered as "part-time". Counts of "Faculty Departing" are reporting in the year following the last year in which they taught. The counts include both permanent and temporary faculty.

Faculty Profile, Part 5
CIHE Data Form 8-5 (adapted for Bates methodologies)

Number of Faculty by Department	1996-97		1997-98		1998-99		1999-2000	
	FT	PT	FT	PT	FT	PT	FT	PT
African American Studies	1	0	1	1	1	0	1	0
Amer. Cultural Studies	0	0	0	0	0	0	1	0
Anthropology	5	1	5	1	5	1	4	2
Art	4	4	4	5	4	6	5	6
Biology	11	1	11	1	11	2	11	1
Chemistry	6	0	6	0	7	0	7	0
Classical. & Medieval Studies	2	3	2	3	2	3	3	2
Classical & Romance Lang.	8	4	10	6	9	5	10	7
Economics	8	2	8	2	8	1	8	1
Education	3	1	3	1	3	0	3	2
English	10	1	10	1	10	1	10	2
Envir. Studies Program	1	0	1	0	1	0	2	0
Geology	4	2	4	2	4	1	4	2
Ger., Rus., E. Asian	7	5	7	5	7	5	7	4
History	12	1	12	1	12	3	12	2
Mathematics	7	4	7	4	7	3	9	2
Music	7	1	6	2	6	3	6	3
Philosophy & Religion	11	3	11	3	9	4	11	1
Phys. Ed.	11	0	11	0	10	0	9	0
Physics & Astro.	7	0	7	0	8	1	6	0
Political Science	10	0	10	0	9	0	8	0
Psychology	9	0	9	0	8	1	9	2
Sociology	4	0	4	0	3	0	3	0
Theater & Rhetoric	5	4	5	5	5	7	5	7
Women's Studies	1	0	1	0	1	0	1	0
Total	154	37	155	43	150	47	155	46

In the table above, all lecturers, and administrators with rank who are teaching less than 3 courses are considered "part-time"; all others are considered to be "full-time". In the case of a split contract, faculty are reported in both departments or programs. Classical & Medieval Studies faculty are also counted in Classical and Romance Languages and Literatures.

Faculty Profile, Part 5, continued
CIHE Data Form 8-5 (adapted for Bates methodologies)

Full-time Equivalency Counts

Number of Faculty by Department	1996-97		1997-98		1998-99		1999-2000	
	Financial FTE	Teaching FTE	Financial FTE	Teaching FTE	Financial FTE	Teaching FTE	Financial FTE	Teaching FTE
African American Studies	1.00	1.00	0.50	0.67	0.50	0.50	1.00	1.00
Amer. Cultural Studies	0.50	0.50	-	-	-	-	1.00	1.00
Anthropology	4.67	4.67	5.17	4.33	5.50	4.50	5.00	4.50
Art	6.67	6.17	6.83	5.67	7.67	5.67	8.50	8.00
Biology	8.83	8.08	9.50	8.75	9.50	9.00	10.17	10.17
Chemistry	6.50	6.00	6.00	5.50	7.00	6.00	6.50	6.00
Class. & Med. Studies	0.17	0.17	0.17	0.17	0.17	0.17	-	-
Class. & Rom. Lang.	9.83	9.33	12.00	11.00	11.33	11.33	12.50	12.50
Economics	7.83	6.83	9.17	7.83	7.83	7.00	7.83	7.33
Education	3.25	2.75	3.50	2.50	3.00	3.00	3.00	2.50
English	9.83	9.33	10.17	9.67	10.17	9.67	11.33	9.83
Envir. Studies Program	1.17	1.17	1.00	1.00	1.00	1.00	2.00	2.00
Geology	4.50	4.17	4.25	3.92	4.25	3.75	5.33	5.33
Ger., Rus., E. Asian	9.33	9.33	9.17	8.67	9.83	8.83	9.50	9.00
History	9.00	9.33	9.17	9.50	9.50	9.92	10.00	10.17
Mathematics	7.83	7.83	8.17	7.50	7.83	7.33	8.50	7.00
Music	4.83	5.00	4.83	5.00	4.83	4.83	6.33	5.00
Philosophy & Religion	9.83	8.83	10.00	9.50	10.17	10.33	10.50	9.17
Phys. Ed.	10.67	10.67	11.00	9.50	10.00	9.50	9.00	9.00
Physics & Astro.	6.50	6.00	7.00	6.50	6.75	6.25	6.00	6.00
Political Science	7.50	7.00	8.50	8.00	8.50	6.50	8.00	7.00
Psychology	9.50	9.00	9.00	8.50	8.83	8.33	9.17	8.67
Sociology	2.83	2.83	3.50	3.50	3.00	2.50	3.00	3.00
Theater & Rhetoric	7.33	7.00	7.50	6.17	7.67	6.83	8.00	8.16
Women's Studies	0.67	0.67	0.50	0.50	1.00	1.00	1.00	1.00
Total	150.58	143.67	156.58	143.83	155.83	143.75	163.16	153.33

Classical & Medieval Studies (included with Classical & Romance Languages)

2.67	2.67
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Classical & Medieval Studies faculty are listed here with Classical and Romance Languages in 1999-2000, but they have joint appointments in both departments, beginning in 1999-2000.

Notes:

- All figures reflect faculty for the full academic year (Fall/Winter/Short Term)
- Financial FTE represents the College's financial obligation to faculty (on leave and replacements).
- Teaching FTE represents the contracted courseload for the current academic year.
- For a variety of reasons, the FTE counts represent Bates faculty more accurately than FT/PT counts.
 - Several faculty members share full-time tenured or tenure-track appointments.
 - Several faculty members have contracts to teach in more than one "home department".
 - Lecturers can teach from 1 to 5 courses. A number of lecturers have essentially "permanent" status on the Bates faculty.
 - Contracted teaching loads for permanent faculty are not typically broken out in detail by term.
- A typical "full-time" teaching load is five course equivalents per year, plus one Short Term unit two out of every three years. As a rule of thumb, Faculty are considered "full-time" by financial or teaching status if their contracted courseload FTE equivalency is 50% or higher. Faculty are considered "part-time" if their contracted courseload equivalency is less than 50%. This reflects the fact that contracted courseload equivalency does not account for time spent in advising, thesis and independent courses, research, committee work, and community service. Contracted courseload equivalencies will not always equal the number of courses actually taught, because of release time, adjustments for lab courses, or departmental practice. Faculty are expected to teach two out of every three May Short Terms. A Short Term year "off" does not reduce the full-time status of permanent faculty.

STUDENT HEADCOUNT BY UNDERGRADUATE MAJOR
Fall term

CIHE Data Form 9-1, 9-2

Fall of:	1995		1996		1997		1998		1999	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Certificate	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Associate	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Baccalaureate										
African-American Studies	3	0	5	0	3	0	2	0	1	0
American Cultural Studies	25	0	28	0	23	0	24	0	20	0
Anthropology	32	0	31	0	31	0	24	0	22	0
Art	48	0	37	0	42	0	38	0	33	0
Biological Chemistry	22	0	19	0	21	0	24	0	30	0
Biology	105	0	106	0	113	0	100	0	70	0
Chemistry	15	0	10	0	11	0	12	0	14	0
Chinese	0	0	0	0	3	0	3	0	0	0
Classical & Medieval Studies	11	0	9	0	5	0	4	0	10	0
East Asian Languages and Cultures	9	0	13	0	5	0	1	0	0	0
East Asian Studies	0	0	0	0	6	0	10	0	4	0
Economics	53	0	50	0	50	0	72	0	65	0
Engineering Dual Degree program	6	0	6	0	2	0	4	0	4	0
English	93	0	100	0	94	0	77	0	64	0
Environmental Studies	0	0	3	0	5	0	38	0	49	0
French	14	0	16	0	17	0	13	0	14	0
Geology	22	0	26	0	27	0	30	0	22	0
German	6	0	7	0	5	0	8	0	10	0
History	60	0	55	0	54	0	56	0	47	0
Interdisciplinary (Student-designed)	21	0	19	0	32	0	29	0	14	0
Japanese	0	0	0	0	1	0	2	0	4	0
Mathematics	23	0	19	0	21	0	23	0	31	0
Music	16	0	10	0	10	0	11	0	11	0
Neuroscience	0	0	0	0	1	0	4	0	12	0
Philosophy	20	0	17	0	10	0	6	0	11	0
Physics	22	0	20	0	25	0	26	0	22	0
Political Science	62	0	59	0	66	0	81	0	87	0
Psychology	99	0	112	0	108	0	86	0	73	0
Religion	11	0	16	0	12	0	11	0	11	0
Rhetoric	11	0	7	0	6	0	10	0	8	0
Russian	3	0	4	0	3	0	5	0	1	0
Sociology	31	0	23	0	8	0	12	0	26	0
Spanish	25	0	16	0	16	0	20	0	18	0
Theater	7	0	8	0	16	0	12	0	12	0
Women's Studies	20	0	13	0	15	0	17	0	16	0
Total Declared majors	895	0	864	0	867	0	895	0	836	0
Master's	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Doctorate	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
First Professional	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Other	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a

Note: The count includes all students currently enrolled, on off-campus study programs, or on leaves of absence as of 10/1/1999. Note that the majority of first-year and sophomore students will not have a declared major by the fall census. Double majors are reported in each department.

Source: Banner database. (Note that numbers of declared majors change frequently, even up to graduation.)

CREDITS GENERATED BY DEPARTMENT/PROGRAM

CIHE Data form 10

(NOTE: Bates is on a one credit per course system; each Bates credit is equivalent to four semester hours.)

	3 years prior	2 years prior	1 year prior	Most recent year	Current year
Academic Year	1995/96	1996/97	1997/98	1998/99	1999/2000
Art	635	635	580	543	572
English	1,115	1,057	1,057	1,088	1,067
Chinese	81	98	132	101	121
Classics	15	19	75	34	18
East Asian Lang. & Cultures	2	0	6	0	0
French	331	337	320	341	313
German	118	155	158	163	135
Greek	12	8	18	14	18
Japanese	87	68	62	46	101
Latin	30	22	27	32	35
Russian	96	103	65	54	51
Spanish	407	440	534	409	405
Music (excl. 271- 279)	386	439	365	300	362
Philosophy	417	516	437	458	408
Religion	675	677	871	944	683
Rhetoric	170	110	90	130	234
Theater	364	471	307	417	329
HUMANITIES	4,941	5,155	5,104	5,074	4,852
Biology	1,035	1,075	1,057	1,026	1,054
Chemistry	784	564	665	638	609
Geology	292	371	429	352	499
Mathematics	680	702	668	696	754
Physics & Astronomy	600	718	704	706	634
NATURAL SCIENCES	3,391	3,430	3,523	3,418	3,550
Economics	596	765	863	897	955
Education	224	210	181	208	200
History	761	923	836	741	801
Political Science	757	918	982	880	927
Psychology	1,004	1,184	1,082	999	1,033
Anthropology	602	631	528	700	562
Sociology	558	404	426	293	365
SOCIAL SCIENCES	4,502	5,035	4,898	4,718	4,843
African-American Studies	0	54	46	80	108
American Cultural Studies	19	66	26	41	135
Biological Chemistry	0	0	0	0	0
Classical & Medieval Studies	2	11	53	36	61
East Asian Studies	n/a	n/a	0	8	13
Environmental Studies	50	101	229	228	311
Freshman Seminars	235	257	264	250	248
Interdisciplinary Major Theses	27	18	24	23	17
Neuroscience	n/a	n/a	26	58	78
Women's Studies	99	124	101	149	186
INTERDISCIPLINARY	432	631	769	873	1,157
Totals (regular programs)	13,266	14,251	14,294	14,083	14,402

CREDITS GENERATED BY DEPARTMENT/PROGRAM

CIHE Data form 10

(NOTE: Bates is on a one credit per course system; each Bates credit is equivalent to four semester hours.)

	3 years prior	2 years prior	1 year prior	Most recent year	Current year
Academic Year	1995/96	1996/97	1997/98	1998/99	1999/2000
Miscellaneous programs					
Music 271-279 instruction	116	108	78	92	101
Physical Education courses	76	69	62	32	48
Phys. Ed. requirement	335	0	0	0	0
Advanced Placement credits	218	0	0	0	0
Bates Semester Abroad (BSA)	92	179	184	192	94
JYA/JSA/YA programs*	24	0	0	0	43
Other programs or exchanges	10	0	0	0	0
Other languages (FL&L, UTC)	0	3	0	2	7
Miscellaneous programs	871	359	324	318	293
GRAND TOTAL	14,137	14,610	14,618	14,401	14,695

ANNUAL TOTAL COURSE CREDIT SUMMARY BY DIVISION					
CREDIT IN ALL LISTED SECTIONS (includes Senior Theses, Independents)					
	1995/96	1996/97	1997/98	1998/99	1999/2000
Humanities	4,941	5,155	5,104	5,074	4,852
Natural Sciences	3,391	3,430	3,523	3,418	3,550
Social Sciences	4,502	5,035	4,898	4,718	4,843
Interdisciplinary	432	631	769	873	1,157
Credit Total	13,266	14,251	14,294	14,083	14,402
Miscellaneous Programs	871	359	324	318	293
Total credits	14,137	14,610	14,618	14,401	14,695

Regular Departmental/Program Credit, percent by Division

	1995/96	1996/97	1997/98	1998/99	1999/2000
Humanities	37.2%	36.2%	35.7%	36.0%	33.7%
Natural Sciences	25.6%	24.1%	24.6%	24.3%	24.6%
Social Sciences	33.9%	35.3%	34.3%	33.5%	33.6%
Interdisciplinary	3.3%	4.4%	5.4%	6.2%	8.0%
	100%	100%	100%	100%	100%

Source: Administrative database.