

Appendix 1

Report of the Working Group 1: Size of the College

Strategic Planning Group #1 was asked to consider these related questions:

- What are the academic and economic costs and benefits of having a larger (or even a smaller) student body?
- Is Carleton currently at the best size for its future success and distinction – or should we grow or shrink?

To respond to these questions, Strategic Planning Group #1 met several times to gather and discuss data on the past history of enrollments, infrastructure and program capacity, admissions, academic programs and an economic model of student body growth. We were greatly helped by staff in appropriate offices and by the leaders of other strategic planning groups.

We have concluded that the size of the student body should not shrink, nor should it grow greatly. The College is at or near capacity in several important areas and a budget analysis shows that responsible growth (with new infrastructure matching increased enrollments) will take at least twenty years to pay for itself at a cost of making Carleton more dependent on tuition in the meantime. The sections below outline our deliberations and reasoning. Footnotes refer to key pieces of information we used in our discussions.

Several of the guiding assumptions of the Strategic Planning process relate to these questions, particularly those highlighted below:

- Believing that a liberal arts education is both instrumentally and intrinsically valuable, our overarching goal is to provide an undergraduate liberal arts education that is among the best in the world.
- **We shall remain a principally residential campus.**
- We seek to make Carleton as affordable as possible, within our means.
- Carleton has a unique character...an “intense intellectual life, flavored with humanness, unpretentiousness, and democratic, even egalitarian ideals.”
- Personal interactions/connections between students and faculty/staff are one of our hallmarks; we want to nurture and strengthen such communal bonds.
- While the academic development of our students is paramount, we also care about their social, emotional, spiritual, physical, aesthetic, vocational and ethical development/growth.
- **Our economy should be self-sustaining over the long run.**
- Our competitors...will not stand still.

In addition, our group assumed that:

- Expansion in the size of the student body would be matched by corresponding increases in on-campus capacity, including additional faculty and staff.
- The current three-term calendar (and its effects on Off-Campus Study participation) will not change.

History of Enrollment

Between 1980 and 1999, Carleton’s student enrollment fluctuated around a mean of 1832 students (range from 1791 to 1873). Since 1999, the number of students has grown slowly and steadily (“enrollment creep”), from 1818 in 1999 to 1956 students in FY2011, an increase of 6.8% (124 students) from the 1980-1999 mean. (This period was preceded by spurts in enrollment during the early 1970s and, before that, in the early 1960s).¹ Though fall term enrollment consistently lags behind the enrollment in winter and spring terms, a more sizeable

¹ Office of Institutional Research and Assessment (hereafter IRA), Term-by-term enrollment at Carleton, 1980-2011; Carleton enrollments since 1870-71.

gap between fall and winter/spring develops around 2001 and persists through 2010.² Higher student enrollments in fall-term off-campus programs explains some of this gap in enrollment by terms, but not all of it, because the gap in off-campus program enrollment among terms extends all the way back to the 1980s.

Overall variation in enrollment from year to year has dampened since about 2003. The number of students in residence in Northfield is relatively constant at about 94 % of the total enrollment by year.

The most recent changes in enrollment are due to a) an addition of 30 students in 2008 (moving the budgeted student “base” from 1805 to 1835) and b) an additional 35 students to be added over the next few years and completed by 2014-15. This second increase will be largely accomplished through enrollment balancing among the three terms, an effort expected to be helped by scheduling more Carleton off-campus programs in summer, winter and spring (fewer in the fall trimester) and by the reconstruction of Evans Hall. Increasingly, students are choosing to graduate early (17% in the class of 2012) and this trend, if it continues, may also assist enrollment smoothing.³ Also, additional faculty positions and student life operations money will be added along with the additional 35 students. From 2014-15, the budgeted student base will be 1870.⁴

With a few exceptions (such as Wesleyan), enrollment patterns at colleges comparable to Carleton mimic enrollment patterns here; that is, enrollment at many schools increased in the 1970s and has crept upward since 2000.⁵

Capacity of campus infrastructure, staff and services

Capacity and occupancy of residence halls

Because the Office of Residential Life has some flexibility in how rooms and common spaces are configured, it is much more difficult to pinpoint “capacity” than it is to pinpoint “occupancy.” However, occupancy has been at or above 95% of capacity (as well as we can measure it) since 1985, with the exception of a few fall terms.⁶ Thus, at present there is little excess dormitory capacity, and a further increase in enrollment would require building new dormitory space or allowing more students to live in the Northfield community or both.

The number of students living in (mostly) rental housing in Northfield (“Northfield Option”) reached a peak of 225 in spring term 2008 and has now dropped to about 100 students.⁷ Building Cassatt and Memorial Halls was part of an intentional strategy to reduce the number of students living in Northfield and to fulfill Carleton’s mission as a primarily residential college (in spring term 2008, 12% of students resident in Northfield lived in non-college housing). Northfield’s relatively new rental ordinance (which restricts conversion of one-family homes to rentals) and, to a lesser extent, its social host ordinance (which makes hosts liable for underage drinking) both make it more difficult for the community to absorb more students. The renovations to Evans Hall will add about 39 more beds; this increase will both help whatever part of the student body increase cannot be managed by balancing enrollments across the three terms and will allow Residential Life to bring more students onto campus from the “Northfield Option.”

² IRA: Term-by-term enrollment at Carleton, 1980-2011

³ Jim Ferguson, Office of Institutional Research and Assessment, provided this figure. Since the percent of early graduates is approaching 1/5 of the class, it is a trend (and potential opportunity) that should be considered in the next stages of strategic planning.

⁴ Thanks to Patricia Langer, Office of the VP and Treasurer, for providing the information and numbers about enrollment changes since 2008.

⁵ IRA: Carleton and peer schools changes in enrollment, 1970-2011

⁶ IRA, Residence Hall capacity and Occupancy Trends, table

⁷ IRA, Northfield Option Housing

Other Strategic Planning groups are discussing the possibility of reducing housing capacity in college-owned off-campus houses. Should the College sell or re-purpose some of these houses, the residential capacity on campus may be further reduced, presenting another opportunity to examine enrollment.

Capacity of dining halls, classrooms, library, etc.

According to Dan Bergeson, “both East and Burton dining halls are operating at full capacity. Simply adding more dining hours is not feasible because the popular meal hours are already at capacity.”⁸ Similarly, classroom space (for mid- and large- size classrooms, seating between ~20 and ~60 students) is at or above capacity on Monday through Friday for classes meeting between 9:45 a.m. and 3 p.m.⁹ Because of conflicts with athletic practice, late afternoon class periods can only be used for second sections of courses that also meet earlier in the day (not including labs). Many specific departments (Math, Computer Science, languages, Music, lab sciences) currently have trouble scheduling spaces, despite using all available time periods. Gould Library has seen an increase in the usage of its public and group study spaces, to the point that it is at capacity much of the time.¹⁰

Student Health and Counseling (SHAC) is at capacity in their current facility, with no room to add additional providers; counseling and psychiatric care is at or over capacity for present enrollments. Student support facilities such as the Write Place and the Math Skills Center are at capacity, as is the second-language writing consultant.¹¹

The buildings and services that are at or above capacity are very close to tipping points: small increases in enrollment (≤ 50 , say) would affect campus life noticeably and larger increases would require major infrastructure additions, such as new dormitories, dining halls and classrooms.

Not all campus facilities are at capacity. For instance, the Recreation Center could accommodate a student body increase.¹² We have chiller capacity in Facilities to add one to two more medium size buildings.¹³

Faculty capacity

The Carleton regular faculty (tenured + tenure-track + PEAR) has increased in size at a more-or-less steady rate of about 1.8 positions/year since 1980.¹⁴ During this time period, the student/faculty ratio has decreased from 13.3 in 1980 to 9.6 in 2011. However, this headcount does not correspond with FTE. For instance, note that a 9.6 student/faculty ratio with a student body size of 1956 students predicts a 2011 faculty size (FTE, not head count) of 204, 12 positions more than the ostensible size of the faculty.

One of the major goals of the recently concluded comprehensive campaign was addition of 15 new faculty positions. This hiring was done over four years (~2006-2009). Graphs of faculty size show that these additions barely affect the long-term trend.

Academic program capacity

⁸ Personal communication, Dan Bergeson to John Mathews

⁹ Personal communication, Roger Lasley. Roger reports that 70% occupancy is an optimum usage pattern in the industry; our large classrooms are 86%-87% occupied during key hours.

¹⁰ Personal communications, John Mathews, Andrea Nixon

¹¹ Personal communication, Andrea Nixon (who polled the offices in question)

¹² Personal communication, Mikki Showers to John Mathews

¹³ Personal communication, John Mathews

¹⁴ IRA, Carleton staffing by functions

The challenges of assessing academic program capacity exceed those of assessing residential and faculty capacity. This is because course enrollments and the numbers of majors going through departments vary from year to year. For example, the number of senior majors over recent years in the three departments represented by faculty on this working group are quite variable¹⁵:

Department:	2014	2013	2012	2011	2010	2009	2008
Art History	6	8	10	13	6	10	5
Geology	21	12	17	17	26	14	21
Philosophy	7	9	11	8	7	13	12

In a study of art history, geology, and philosophy departments at institutions comparable to Carleton, there is wide variance in the numbers of faculty and courses offered. Most likely, historical patterns account for these differences; some schools have special programs or museums, for instance.

Within the last ten years, Carleton has added majors in Cinema and Media Studies, Linguistics and Environmental Studies and has added a program in Arabic. In addition to new faculty in these four programs, faculty positions have been added in 11 other departments.¹⁶ These additions represent real gains in capacity for some of these programs (e.g. Linguistics, which has gone from 1 FTE plus visitors to 3 FTE). In other cases, additional positions help balance large major enrollments.

Economic modeling of student body growth

The strategic plan working group was fortunate to have access to a recent economic model of student body growth, completed in the summer of 2009 by Associate Dean Nathan Grawe and others.¹⁷ This EXCEL-based model compares student body increases of 200, 400, and 600 students with Carleton's present size and with a decrease of 200 students. It assumes that infrastructure, staffing, and other capacities increase proportionately to the increased student body size.

Analysis of the model results indicates that reducing the student body size would likely reduce income more than it would reduce costs, primarily because of the fixed costs associated with recent construction of Memorial and Cassatt residence halls and the Weitz Center. The model analysis also shows that under any of the modeled increases in student body size, the College would take more than 20 years to break even on capacity and staff increases. In addition, these increases would have negative effects on Carleton's financing. Carleton's budget would become more dependent on tuition because of a lower ratio of endowment per student. In 2009, tuition represented 60% of the annual budget; this percentage would increase to 66% with an addition of 600 students. As the report says, "Even an increase of 200 students would noticeably reduce endowment per student by over \$25,000 or 9%. An aggressive increase of 600 students would cut endowment per student by \$64,000 or 23%."¹⁸

Nathan Grawe and his partners also modeled the economic costs and benefits of moving Carleton to a year-round calendar, with some fraction of the student body on campus each summer.¹⁹ The year-round model shows similar times to pay-back as does the three-trimester model (19 years for an increase in enrollment of 200 students and longer pay-back times for larger increases), thus increasing tuition dependence in the same way. In

¹⁵ Numbers from the on-line campus directory; because a few students choose not to be listed, these numbers are minima.

¹⁶ Information from Peggy Pfister, Dean of the College Office

¹⁷ Grawe and others, Financial Impacts of Changes to Enrollment Levels; Summer 2009 enrollment model

¹⁸ Ibid.

¹⁹ Grawe and others, Financial Impacts of Changes to Enrollment Levels and Year-Round Operation. During the 2009 discussion of the models, early results showed no positive gain to moving to year round operations and so more attention was paid to the possible increase in students with a (continuing) trimester system.

addition, their analysis concludes that moving to a year-round operation would have large transition costs in additional staff and faculty. Moreover, year-round operations would cut into recent and continuing summer programs for high-school students that are generating revenue for the College and are powerful recruiting tools. These economic models do not include the possibility of increasing the number of summer off-campus programs (such as the annual Cambridge Economics program), which may be one avenue to achieving the 35-student increase by balancing.

Academic programs

Our strategic planning group was asked to think about whether additional academic programs needed to be added at Carleton, a step that might influence our thinking about student body size, because most programs need a certain number of participating faculty and students to be successful. We consulted with the strategic planning group, chaired by Louis Newman, which is examining curricular issues. To date, this group's conclusions focus on bolstering and connecting programs that already exist at Carleton, including global engagement and academic civic engagement. The group has not uncovered any new academic program that Carleton must start and that would need an increased number of students to be successful. In its deliberations, Strategic Planning Group #1 has concluded that no matter what the size of the student body, there will always be some potentially attractive academic program that is "just out of reach" because we need some number of additional students to make it viable.

Another perspective from Paul Thiboutot, Vice-President and Dean of Admissions and Financial Aid, suggests that the appeal of Carleton for most prospective students is the high-quality nature of the liberal arts education here, and more specifically the real and perceived strength in the sciences, as measured, for instance, by graduate fellowships and Ph.D. degrees, rather than presence of a particular program. Having said that, he points out that Carleton currently has some programs (and assets like the Arb and the wind turbines) that are unusual for liberal-arts colleges and help distinguish it from others; however, adding new programs (and adding students to enroll in those programs) would probably not further enhance Carleton's distinctive appeal.²⁰

Admissions

The economic modeling of student body increases also shows that unless numbers of applications increase, "admitting more students would markedly increase our acceptance rate which is currently around 28%. Given a yield rate of 25%, increasing the student body by 200, 400, and 600 students would result in acceptance rates of 32%, 36%, and 40% respectively."²¹ Further, Paul Thiboutot estimates that admitting more than an additional 25 students per class for four years (a total increase of 100 students) will make it difficult both to maintain the quality of entering classes and to maintain their socio-economic status range.²²

Intangibles

Early on in our discussions, one of our members, Margaret Simms, captured a key point: she said, "the student body should be small enough to have a richness and intimacy within majors." We were heartened to hear from

²⁰ Paul Thiboutot, personal communication

²¹ Ibid. "Other schools with acceptance rates between 38% and 40% include Kenyon, Macalester, Lafayette, Spelman, Washington & Jefferson, and Oberlin. By contrast, Swarthmore, Amherst, and Pomona have acceptance rates just over 15%." (See <http://colleges.usnews.rankingsandreviews.com/best-colleges/lowest-acceptance-rate>) Note that applications did rise to 5860 for the class of 2016 and the acceptance rate fell to 25.5%. However, it is not clear if this level of applications can be maintained, given the demographic trend of smaller numbers in the target group of 17-18 year olds (cf. <http://www.nacacnet.org/research/briefing/Projections/Pages/summary.aspx>; this item cites the DOE in projecting a 3% drop in high school graduates between 2008-09 and 2020-21).

²² Paul Thiboutot, personal communication

our student member, Seth Althaus, that he felt his major department, Economics, had such characteristics.²³ We also think Carleton should continue to be small enough so that everyone in the community has a good sense of what is going on. However, it is hard to predict possible changes in institutional culture that might come with a larger student body, including where psychological tipping points might be. In the absence of compelling reasons for growing and some already-identified risks discussed earlier in this report, the risk of losing “richness and intimacy” might not be necessary to take.

Signals of success (or problems)

We have identified a few signals that can be monitored to determine how well the campus responds to the new base of 1870 students:

- a. The number of students in “Northfield Option”: If this number increases greatly or creeps upward, it indicates that the number of enrolled students exceeds the dormitory capacity.
- b. The student:faculty ratio: If this figure increases (absent a deliberate decision), it indicates that the number of enrolled students is probably too high.
- c. The gender, socio-economic, geographic, race/ethnicity (for example) balance of incoming students: If these figure changes (in either direction of imbalance) over a period of a few years, it may indicate a need to examine student body size, campus culture and admissions.
- d. First-year registration, especially for winter and spring terms: If first-year students cannot find enough course openings to create a balanced schedule, it may indicate that on-campus enrollment is too high.

Game-changers

Our analysis is based on the assumptions underlying the strategic planning process and our best guesses about what the academic landscape might look like through the next 10-15 years. We have identified a few “game-changers,” that is, major structural features that might alter those assumptions. These include major changes to the calendar, such as adding evening classes, incorporating a summer term, or changing away from the trimester system.²⁴ They also include decisions to pursue distance learning (broadly defined) as an adjunct to the primarily residential education delivered at Carleton. Such effects of technology might include sharing classes among ACM schools using Skype and other technologies. It is outside our purview to assess the possible effect of such changes; however, we note that each of the ones listed here would create serious, overlapping ramifications.

Conclusions

Given the assumptions we are working with and the data we've examined, Strategic Planning Group #1 concludes that:

1. We probably should not reduce the number of students, although the possibility of doing so in conjunction with taking off-campus houses off-line should be considered.
2. There are no compelling arguments to increase the size of the student body greatly (by more than 100 students within the next ten years).
3. If we continue any incremental growth in student body size, we should do so deliberately with attention to the short- and long-term consequences.

²³ The average number of majors in Economics graduating each year from 2012-2014 is 38; by current numbers of majors per year, it is the fourth largest department at Carleton after Biology, Political Science/International Relations, and Psychology.

²⁴ Though, as noted previously, incorporating a summer term will have probable negative effects on summer academic programs (for high school students, primarily) and will not provide an economic gain.

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Appendix 2 Report of Working Group 2: Ideal Student Body

Question: What would our ideal student body look like (e.g., geographic origin, race/ethnicity, socio-economic status)?

- **How can we convince more of the students whom we most want to enroll at Carleton to do so?**
- **Which dimensions of diversity in the composition of community are most pressing?**
- **What would it cost to recruit our ideal student body?**

“Bright kids have no interest in homogeneity.”

Tom Parker, Dean of Admissions, Amherst College in *The New York Times* (*Colleges Worry That Court Could Make Diversity Harder to Maintain*). February 22, 2012.

“Students learn more and think in deeper, more complex ways in a diverse educational environment.”

Patricia Gurin, Professor Emerita, The University of Michigan in *The Compelling Need for Diversity in Higher Education: Expert Report of Patricia Gurin* (*Summary and Conclusions*). January 1999.

At the start of our strategic thinking we often revisited the planning Assumptions¹, particularly those related to student demographics, recruitment and retention, and educational outcomes. This document makes clear that Carleton will continue to “recruit the most talented, intellectually curious students” and affirms diversity as a “conscious strength” that “adds to the richness and quality of education/learning at Carleton.” These *givens* assert the interconnection of excellence and diversity. They also provide the rationale for Carleton’s commitment to enhancing and sustaining a diverse and inclusive campus. Finally, these Assumptions and our conversations with members of the Carleton community clarified how we might best approach our charge – first, by identifying ideal student attributes (of which diversity is one) and then by prioritizing the most pressing dimensions of student diversity.

What would our ideal student body look like?

Attributes are the range of abilities, experiences, perspectives, interests, identities and personal qualities students bring to a campus community. Our ideal student body is comprised of members whose individual attributes include:

- Academic excellence, as demonstrated by their performance in the most rigorous coursework available to them;
- Academic ambition, as evidenced by an earnest desire to learn and grow;
- Dedication to and enthusiasm for activities and responsibilities outside of the classroom;
- Difficult to quantify – but no less important – characteristics, such as:
 - Intellectual curiosity;
 - Sense of humor;
 - Lack of pretension and entitlement;
 - Genuine appreciation for the liberal arts
 - Ability and willingness to collaborate and/or lead.

¹ Carleton College Strategic Planning Foundation: Assumptions (June 2, 2011)
<https://apps.carleton.edu/strategic/foundation/assumptions/>

In addition, our ideal student body has members with specific attributes. They possess unique skills, talents and experiences in areas including:

- Music, dance, theater and the fine arts;
- Creative writing and journalism;
- Athletics;
- Employment;
- Volunteerism.

Finally, our ideal student body has members with distinctive identities, perspectives and modes of expression. These dimensions of diversity – as outlined in Carleton’s *Statement of Diversity*² – are:

- Race and ethnicity
- Culture
- Political and social worldviews;
- Religious and spiritual understandings;
- Language and geographic characteristics;
- Gender;
- Gender identities and sexual orientations;
- Learning and physical abilities;
- Age;
- Social and economic classes.

We believe Carleton has an enviable student body. All of the aforementioned student attributes are represented within our community. Further, we support Carleton’s philosophy and practice that prospective students be assessed by “how much they might benefit from a Carleton education and how they could contribute to the life of the College.”³ This helps create a student body whose depth and breadth contributes to Carleton’s excellence and distinctiveness.

Diversity is critical to the mission of Carleton. Our institutional challenge is to ensure that students who possess these ideal attributes discover Carleton, are encouraged to apply and enroll, feel welcome and fully engaged in campus life, and value their Carleton experience throughout their lives.

Which dimensions of diversity in the composition of community are most pressing?

Carleton’s student body does not, nor cannot and should not, be representative of all aspects of diversity that exist in the world or even in the U.S. It must also be acknowledged that thinking of diversity solely in numerical terms and seeking too broad a representation can lead to situations in which students feel isolated or pressured into serving as “representatives” of their particular identities, communities and beliefs. And because our ability to create and sustain an ideal student body is intrinsically tied to campus climate, Carleton should be – and strive to maintain – a welcoming environment for all students.

Achieving and maintaining a truly diverse student body requires *intention*. After contemplating Carleton’s listing of the dimensions of diversity, we have identified and prioritized four as most pressing in the composition of our student body⁴. Further we propose the College should redeploy existing resources and provide additional ones to maintain and enhance these aspects of our student diversity.

² Carleton College’s Statement on Diversity (AY2006-2007),
http://apps.carleton.edu/governance/diversity/diversity_statement/

³ Carleton’s Statement on Diversity and Cultural Pluralism (September 1996),
http://apps.carleton.edu/campus/human_resources/assets/Statement_on_Diversity_and_Cultural_Pluralism.pdf

⁴ Please note that our prioritization is not intended as a value assessment of prospective student attributes. Rather our aim is to identify dimensions of diversity we believe should be better represented in the pool of exceptional students who find, apply to, enroll at and graduate from Carleton.

1. Socioeconomic Diversity

- We believe socioeconomic diversity must exist across all populations of Carleton students.
- The College must work to ensure a Carleton education remains and is perceived to be financially accessible.
- This is especially critical so that low- and middle-income students and first-generation students are not discouraged from considering Carleton.
- The College should work hard to ensure that middle-class students have a strong presence at Carleton and are not left behind as the costs of private colleges increase and become affordable primarily for those at the highest and lowest ends of the income spectrum.
- Carleton provides opportunities for group and individual experiences that can and should broaden students' life experiences. These opportunities should be available to students regardless of their ability to pay.
- The College should maintain policies and practices that reduce the impact of economic differences on students' Carleton experience (e.g., no sororities/fraternities; a comprehensive room and board fee regardless of where one resides on campus; no additional costs for academic activities or college-sponsored events).

2. Racial/Ethnic Diversity

- Since 2005 students of color have comprised at least 20% of Carleton's student body; we believe the College must be able to sustain this minimum percentage for the long term.
- Further, Carleton should work towards a student of color enrollment goal of 25% or more.
- As the overall percentage increases, so should the percentages of all populations of students of color (i.e., African American, Asian/Pacific Islander, Hispanic, and American Indian/Alaskan Native).
- In addition, Carleton must work to increase the yield of admitted students of color. This would particularly impact the total number of enrolled African American and Hispanic students⁵.

3. Geographic Diversity

3a. U.S. Regional

- Carleton must develop a consistent presence throughout the U.S.
- In particular, the College should invest resources in regions that have been traditionally underrepresented in Carleton's student body like the South, Southeast and Southwest.
- The College must also continue to build upon recent successes in recruiting from the Northwest.
- While the population of high school graduates is declining in Carleton's traditional recruiting areas, the College should maintain its ability to attract talented students from these geographies.
- Further, Carleton should take greater advantage of the socioeconomic and racial/ethnic diversity (e.g., first generation students, immigrant communities, students of color) that exists within the upper Midwest and actively engage these communities.

⁵ In our conversations with Carleton community members, particularly those who belong to or work with historically underrepresented and other diverse student populations, most felt quantifying an ideal number of enrolled students from racial/ethnic identities (e.g., African American and Hispanic) should not be a priority. Rather they emphasized the need to create and sustain welcoming environments for all students, which in turn encourages additional students to discover and embrace Carleton. However, others argued that setting a numerical goal is necessary to achieve the overall diversity the College desires. Ultimately we chose not to make a specific numerical recommendation. Calculating an ideal number seemed impractical, and we felt it might inaccurately suggest – contrary to our goal of enrolling multifaceted students with a range of strengths – that a student's racial/ethnic diversity is valued more than their other attributes.

3b. International

- In the last decade Carleton's international enrollment has grown from 2% to 8%. We believe there is room to grow this population of students, but it must be done strategically.
- We propose that Carleton work towards an international student enrollment goal of 12%, which will move the College ahead of most of our institutional peers.
- We believe that international student enrollment should – like the population of domestic students – reflect the full range of ideal student attributes. In addition, the College should work to ensure international students from all socioeconomic backgrounds are enrolled and that there is not overrepresentation among particular countries of origin.
- Further, Carleton should not – as some American institutions of higher education select to do – view increasing our international student enrollment largely as an opportunity to enroll more full pay students.
- In addition, the significant and growing diversity of the Twin Cities and the state (particularly immigrant and first-generation students and communities) should not be overlooked as resources for creating networks/support structures for our international students.

4. Gender Diversity

- Carleton should continue their current efforts to achieve gender balance within the student body.
- Gender diversity should exist across all populations of students.

We also wish to reiterate that there are additional student diversities that enrich the Carleton community, and which should not be neglected – both because they are important in their own right and because they intersect with each of the areas identified above. In particular gender identities and sexual orientations, and religious and spiritual identities were highlighted in our working group discussions and in conversations with community members.

How can we convince more of the students whom we most want to enroll at Carleton to do so?

Enrolling the ideal student body and increasing the number of students from particular populations involves myriad strategies, and requires the considerable efforts of countless individuals. The following are general observations about and potential strategies for enrolling our ideal student body, as well as a few approaches specific to the most pressing dimensions of diversity identified above.

General Observations/Strategies

- Increasing diversity can be achieved without lowering admissions standards and student quality.
- The College should monitor how it communicates student quality. While it is appropriate to publicize the test scores of entering students, overemphasizing standardized test performance may discourage students from specific populations from considering Carleton.
- The College must consider whether prospective students are able to envision themselves at Carleton when they look at our marketing content and whether the content takes into account how geographic and cultural differences may affect how students and their families perceive and evaluate Carleton.
- Carleton's admissions and other marketing materials/resources should continually be assessed to ensure they communicate the College's values and priorities; anticipate the concerns prospective students and families have about issues like cost, financial aid and climate; and highlight the depth and breadth of our diversity.
- We support the findings of other strategic planning working groups that increasing Carleton's visibility and branding is critical to the continued success of the College, and believe such an effort would significantly impact our ability to recruit and enroll the most talented and diverse students.
- This effort would also assist the College in growing the diversity of its faculty, staff and leadership, which in turn positively impacts the recruitment, enrollment and retention of diverse students.
- Carleton should be intentional in celebrating and communicating the outcomes of the College's efforts to create and sustain a welcoming and supportive environment for all students as a means of attracting prospective students – particularly in new geographies and among new or under-enrolled populations – and garnering new and continued support of alumni and friends.

- The College should keep an eye on where clusters of students are developing/have developed (e.g., among particular populations, high schools, geographic regions) and determine how these enrollments were achieved in order to sustain/grow these advances and learn from best practices.

Specific Approaches

1. Current students and alumni consistently report that word of mouth, endorsements from friends and family, and interaction with members of the Carleton community are the primary reasons they considered Carleton. As such, the College should:
 - a. Conduct frequent assessment of publications/electronic content and ensure content – particularly the web and social media – continues to emphasize the perspectives of current students.
 - This is critical as student voices have immense impact and because many prospective students are anonymous until the submission of their applications (so our content has to be as or more compelling than in-person experiences with the campus).
 - b. Create and share key messages about campus priorities and strengths with alumni volunteers, parents, and other prospective-student influencers to maximize their impact as Carleton ambassadors, particularly in/with targeted geographies and populations.
 - c. Be creative in engaging the growing population of alumni of color and international alumni in campus efforts to identify, recruit, enroll and retain talented students.
 - Encourage and charge alumni affinity groups – like Multicultural Alumni Network (MCAN), Out After Carleton (OAC) or other/new cohorts – to use their time, professional expertise, and personal connections on targeted activities (e.g., supporting Alumni Admissions Program activities to increase the student yield) identified and supported by the College (Note: a project-based model like the one used by the Parents’ Advisory Council focusing on admissions, careers and fundraising might be beneficial).
 - d. Continue to engage current (and recent past) parents in the life of the college and more strategically take advantage of their role in marketing the College.
 - Specifically, Carleton should ensure that parents of all socioeconomic backgrounds, students of color, first generation students and international students are represented on the Parents’ Advisory Council, and that their knowledge and experience is used in appropriate and meaningful ways.
 - e. Collect and aggregate information on U.S. and international locations/regions in which Carleton community members – particularly faculty, staff and trustees – have well-established professional and personal connections (e.g., where research is conducted or Carleton off-campus study programs have been consistently held).
 - Connections in these geographies might be better developed to increase Carleton’s visibility and create pipelines for prospective students.
 - The College may wish to focus new recruitment and enrollment efforts in these geographic areas.
 - f. Strategically deploy and utilize the travels of Carleton faculty, staff and administrators to key geographic regions in the U.S. (and abroad as appropriate), and experiment with designing and implementing shared events for alumni, parent, current and prospective students in these regions to create energy where Carleton’s name, reputation and value are less known.
 - g. Continue to develop and expand relationships with high schools that produce talented minority, socioeconomically diverse and/or international students.
 - For example, United World Colleges and national leadership academies attract international students from different socioeconomic backgrounds and different cultures/geographies within countries. These students frequently also have a better sense of the significance of liberal arts, a pre-liberal arts preparation, and in some cases have been better prepared for the personal challenges of entering U.S. institutions.

2. Campus visits and other on-campus activities are consistently cited as profoundly impacting prospective students' decisions to enroll. As such the College should:
 - a. Continue to support existing opportunities for and encourage students from key demographic groups to make campus visits.
 - b. Identify college access programs for diverse and underrepresented populations in key geographies and ensure that information about and relationships with Carleton are established and maintained.
 - c. Assess the value of expanding summer programs for underrepresented and other key student populations (e.g., Carleton Liberal Arts Experience).
 - d. Actively market all Carleton summer programs with students we would most like to enter the admissions pool.

3. Financial aid has a profound impact on a students' college selection. Without a \$160-200M bump in Carleton's endowment, it is not possible to return to and sustain totally need-blind admissions practices. However, the College should:
 - a. Consider creating affinity-giving opportunities for alumni and friends to make gifts in support of specific priorities (e.g., need-based aid for particular populations of students, endowing staff positions that support of student recruitment and retention).
 - b. Make college affordability and financial aid a focal point of the next capital campaign.

How do we measure our efforts to recruit our ideal student body and what would it cost?

Colleges use information about recently enrolled students to assist in developing and modifying strategies for recruiting prospective students. These strategies are also impacted by examining information about non-enrolled students who most resemble the students who do enroll, and by assessing the resources used throughout the admissions cycle. Carleton must continue to use data about a variety of factors to measure our progress towards, and the effectiveness of our approaches for, achieving our goals to recruit and enroll the ideal student body. Therefore, we recommend utilizing metrics to:

Assist in (re)focusing strategies for engaging and enrolling students

- Document when particular populations of students enter and exit the “admissions funnel.”
- Conduct periodic (e.g., every 5 years) studies to determine the top 5-10 competitors who are enrolling our admitted students by income level, race/ethnicity and select geographic regions.
- Assessment of College publications and electronic communications with assistance from current students, parents and alumni.

Measure and monitor the recruitment and enrollment of students

- Add the ranges of student/family financial need to the College's Dashboard Indicators of *Four Year Graduation Rates* and, if possible, to *Admissions Flow*.
- Collect admissions flow data for first generation students and students from targeted states in the South, Southeast, Southwest and Northwest.
- Track the number of prospective students participating in regional college-marketing/engagement activities (*see Specific Approaches If*) and whether these students are more likely to apply and enroll.
- Cost/benefit analyses of new and existing strategies.

Understand the levels of engagement of our alumni and parents

- Identify the demographics (e.g., race/ethnicity, first generation, income/financial need) of alumni and parent volunteers by program (e.g., Alumni Admissions Program, AAF, Parents' Advisory Council).
- Determine the demographics of alumni and parents who contribute to the Annual Funds.

Many of the strategies we have identified above involve a continuation, moderate expansion or refocusing of practices already employed by the College. Refocusing practices may require, and expanding or initiating new ones will require, assessment. We envision this can be done internally using the expertise of faculty and staff. The cost of these strategies is primarily staff time, and we anticipate modest increases

in expenses related to marketing and communications and information technologies. These costs could be shared across multiple areas/units of the College as they are related to increasing Carleton's visibility which directly benefits many.

However, the implementation of new strategies (and the significant expansion of current approaches) involving outreach to new geographies, communities and student populations will require a more significant outlay of financial resources. These resources would go towards personnel, faculty and staff travel, and off-site and on-campus programming. In particular, we recommend that the College invest in hiring an additional staff member in Admissions so the office can focus efforts in new U.S. geographies and expand relationships with college access programs and key high schools. In addition, we propose Carleton assess the needs for and provide additional staffing resources to units that provide web, social media and audio-visual services. This will enhance our ability to communicate the College's character and strengths to prospective students and engage alumni and parents in the life and future of the campus.

Finally, we propose investigating whether and how the College can more precisely calculate the costs of recruiting a truly diverse class. For example, is it possible to determine the tipping point in financial aid packages that results in students from various income levels/levels of financial need enrolling? What prospective student outreach and engagement activities (e.g., high school visits, face-to-face meetings with Carleton community members, overnight campus stays, campus summer programs) are most impactful in recruiting and enrolling specific populations of students? What investment is required to recruit these students, and does the cost change over time?

Appendix 3

Report of Working Group 3: Tuition and Financial Aid

Tuition and Financial Aid Working Group Report:

The working group has produced two policies to support the continued success of our admissions and financial aid team in the very competitive admissions environment. The first is a tuition policy which has loosely existed in the past but is now being formalized. The second key policy is the new financial aid policy to replace the 1993 policy. These policies have been shaped by community engagement involving many faculty and staff members with decades of years of AFAC experience, the admissions team and community discussions.

Tuition Policy

Background

The setting of tuition levels is a balancing act of maximizing net revenue to support sufficient financial aid dollars and keeping Carleton competitive for the types of students we seek to admit.

Overwhelmingly students come to Carleton for the quality of the product we deliver not because it is their least expensive alternative. While we annually focus on the pricing of our Carleton education, we must be mindful of the overall affordability of the Carleton experience and our ability to retain our socio-economic diversity. An appropriate pricing policy is essential to supporting our financial aid policy and enhancing Carleton's academic resources.

Tuition Policy

The objective of Carleton's annual tuition setting should be to be comparable to our national peers. While in any given year these relative measures will vary, tuition should be adjusted to ensure that over the intermediate-term our pricing is neither considerably above nor meaningfully less than our peer group.

Metrics

On an annual basis, the admissions office will report on Carleton's relative rank in comprehensive fee relative to our peer group. We should ensure that we remain in the second or third quartile of this measure.

Financial Aid Policy

Background

Carleton has benefitted from a thoughtful dialogue around its financial aid policy over the past twenty years. Ever since the College recognized its inability to be "need blind" in 1993, the focus of our financial aid policy has been on the method by which we adjust our selections in order to manage the limitations imposed by the financial realities of the college. The objective of this effort has been to

maintain the socio-economic diversity that is a core contributor to the community that is Carleton. And this policy has worked successfully for much of the last twenty years.

The current policy has been focused on the process by which we select students not on the outcomes. As we have approached the thresholds identified in the 1993 policy, the stresses of the policy have caused issues in our ability to attract and admit the best, most diverse class possible. The policy that has emerged focuses on the values that are the core of the decision to award each dollar of financial aid in the building of a Carleton class. It is through articulating and prioritizing these values that we as a community can ensure that financial aid resources support the best admissions and financial aid decisions consistent with our beliefs.

Financial Aid Policy

Our overall goal is to admit students without regard to financial need to the greatest extent possible. To the full extent that we can, our admissions policy and practices will not place students with high financial need at a disadvantage in our admissions process.

We recognize that Carleton exists in a dynamic and competitive environment for the caliber and character of the students we seek to recruit. Our admissions and financial aid policies must be sensitive to these realities. Our practices, therefore, should balance this need to be competitive with the need to live within our means as it attempts to reflect the fundamental principles outlined below.

- Admissions decisions should be consistent with the goals of the Student Body Working Group
- The full demonstrated financial need of current students should be met
- The full demonstrated financial need of all accepted students should be met
- Grants, loans and on-campus employment should be balanced, such that all students have access to the full Carleton experience
- Students with comparable financial need should receive similar financial aid packages

Metrics

The committee recommends and intends to develop metrics to ensure that our financial aid efforts continue to yield the socio-economic diversity that is critical to retaining the character of Carleton. Consistent with current practice, we believe that AFAC should be charged with reporting to the college community on these metrics annually.

Loans

Loans are an important component of the Carleton financial aid package and will continue to be for the foreseeable future. While average loan balances for our graduates have remained at what we view to be manageable levels, the College should remain vigilant that the demands of future loan repayments do not materially constrain the ability of our students to take full advantage of Carleton while here or their schooling and career choices soon after they graduate. We would recommend continuing to evaluate the impact of loans on Carleton students and that thought be given to ways to reduce harmful stresses.

Appendix 4 Report of Working Group 4: Curriculum

The strategic planning group on the curriculum has focused on a few broad issues that shape the scope and content of the curriculum, as well as the way in which it is delivered.

I. We recommend that we work toward greater *integration* in a Carleton education in the following ways:

1. Encourage students to more fully integrate what they learn throughout their four years at Carleton.
 - In keeping with the recommendations of the SP group on advising, make reflection on the interconnectedness of courses an explicit part of academic advising conversations.
 - In accord with the recommendations of the SP group on competition, devise “pathways” or “clusters” of courses that both help students chart their own course through the curriculum and connect their interests to OCS opportunities, internship possibilities, and potential career paths. These “clusters” should also become an explicit part of our advising program.
 - Provide incentives for faculty to develop more interdisciplinary courses, including senior seminars that would include students from a range of majors, requiring them to bring their knowledge and skills to bear on questions that invite study from multiple disciplinary perspectives. In addition, we should promote the development of more dyad/triad course clusters that highlight the interconnections among different fields.

2. Promote greater reflection among students on the ways in which critical thinking skills, information literacy and the capacity for ethical reflection develop within and among their courses throughout their Carleton career.
 - As part of the advising program, require that students write a short reflective piece on the ways in which their course work and/or other pursuits have contributed to their liberal arts education. This piece should be the basis of a conversation with the student’s adviser and could be included in his or her writing portfolio.
 - Create a series of LTC-sponsored faculty workshops that help faculty think about how to model meta-cognitive skills and to make the development of critical thinking skills a more explicit part of their courses.
 - Offer LTC programs and workshops for faculty that focus on ways of engaging ethical issues that arise within their disciplines and introducing them, as appropriate, within their courses.
 - Offer more opportunities for public deliberation on important moral issues from a range of perspectives through speakers, public symposia and faculty-student discussion groups. This might be coordinated through EthIC.

3. Encourage students to more fully integrate curricular and extra-curricular learning.
 - Student Life staff and faculty should collaboratively design programs to help students integrate the skills they learn in extra-curricular activities

(athletics, volunteering, student leadership, etc.) with their academic work, and vice versa. Increasing the level of faculty participation in peer leadership training programs (e.g., for RAs, WAs, prefects, SWAs, OIIL peer leaders, etc.) and, conversely, making faculty aware of the various advising roles played by Student Life staff would be good first steps.

- Consistent with the recommendations of the SP group on advising, integrate exploration of and reflection on extra-curricular activities into an expanded academic advising system.

4. Enhance support for programs and experiences that connect the education students receive on campus with communities beyond campus--locally, nationally and internationally.

- Provide greater financial and administrative support for community and civic engagement work and for programs that contribute to global and intergroup understanding.
- While the overall level of participation in OCS programs at Carleton is very high, require all departments to review their major requirements to ensure that they do not unintentionally preclude students from having an off-campus experience. Especially in majors with many sequential courses, we encourage faculty to develop OCS programs that would contribute to the major and to work toward greater flexibility in the scheduling of required courses.
- Create workshops or other programs that provide opportunities for students to prepare for or reflect on their off-campus experience in order to integrate it more fully with their education on campus. Students should be required to participate in one or more of these programs that help them to fully realize the educational benefits of off-campus study, just as they are required to attend pre-trip sessions regarding health and safety.
- Actively encourage students to travel to areas of the world that are becoming increasingly important (e.g., Africa, Latin America and the Middle East) and that have been underrepresented in terms of OCS participation.
- Continue to explore creative ways of allocating faculty resources (e.g., two or more faculty members splitting responsibility for leading a program) to enable more faculty to develop and lead OCS programs.
- Encourage faculty to integrate sustainability issues into the curriculum, as appropriate, in accordance with the recommendations in the College's Climate Action Plan.

5. Emphasize student research as an integral component of a Carleton education.

- Expand opportunities for student research (both independently and in collaboration with faculty) through additional grants and incentives for faculty. We should particularly emphasize student research in the humanities to complement our well-established support for research in the natural and social sciences.
- Expand and extend our current annual student research celebration to two days, perhaps one in the fall (tied to trustees weekend), and another in the spring. These days (presumably Saturdays) should feature symposia and poster sessions in which students share their research, and a public

celebration of student research across all the disciplines. Printed programs and websites showcasing student research should be widely distributed and utilized as part of admissions and faculty recruitment efforts.

- Provide more financial and logistical support for students to attend conferences where they present papers and share their research.

6. Consistent with the recommendations of the SP group on life after Carleton, create more intentional and sustained connections between the curriculum and the lives students will lead after graduation.

- Expand and “rebrand” the work of the Career Center in ways that tie it more closely to the curriculum and to faculty members
- Integrate planning for “life after Carleton” into an expanded advising system that includes both academic and career advisers and that spans all four years of a Carleton education.
- Create more internship opportunities and draw more extensively on the experience of alumni to expand students’ networks (e.g., “Engagement Wanted” program) and give students experiences that could help them choose a career path and land a first job.
- Provide opportunities for students to develop a “life resume” that highlights both their extra-curricular experiences and the skills they have acquired in their academic work, and then links them more clearly to skills they will use throughout their lives.
- Provide more resources to expand Carleton fellowship opportunities that would be available to students both before and after graduation.
- Provide students with regular opportunities to reflect on ways that their learning at Carleton prepares them to face ethical decisions in their lives.

7. We recommend the creation of a full-time position of “Coordinator of Student Learning and Leadership.”

- This individual, by analogy to the director of the LTC, would be tasked with helping to coordinate the many different programs and activities that currently take place largely in isolation from one another. Having a single “address” for integrated student learning and leadership would insure that student research and off-campus study, community and civic engagement and peer mentoring, academic advising, internships and planning for life after Carleton were integrated and mutually reinforcing.
- This Coordinator of Student Learning and Leadership would have the same high visibility among students that the director of the LTC currently has among faculty and staff. Indeed, it might make sense to have this position included within an expanded LTC, though it could also be located in the Dean of the College office.
- We suggest that we seek funds to launch such a position as a 3-5 year pilot program, which would then be evaluated.

Metrics: Our progress in these areas can be measured through a variety of means.

- A. We should track responses on student surveys to questions about the effectiveness of the advising they received, and on alumni surveys about the extent to which they feel their Carleton education prepared them to face the challenges they face after graduation.
- B. We should add questions to surveys of current students about the degree to which they feel that their educational experiences inside and outside of the classroom are integrated and mutually reinforcing, as well as the degree to which they benefitted from their off-campus experience.
- C. We should track the numbers of students who go on OCS programs, especially math and science majors who have generally participated at lower rates than their peers.
- D. We should track the numbers of students who undertake independent and faculty-supervised research projects, especially humanities majors who have generally participated at lower rates than their peers in the sciences. We should also track the numbers of explicitly interdisciplinary courses, dyads, etc. that we offer.
- E. We should create some focus groups of students, much as the Director of CARS did as part of her research, that would enable us to get direct feedback from students about the degree to which we are achieving the goals articulated here—more extensive integration, greater reflectiveness and more sustained connections to communities and awareness of issues outside the campus community.
- F. We should make assessment a regular part of any new programs that we provide, e.g., of pre- or post-OCS programs, as well as faculty workshops and student internships and research experiences.
- G. The Coordinator of Student Learning and Leadership should submit an annual report to the Dean of the College and that position should undergo a comprehensive review at the end of the pilot period.

II. There are many factors that contribute to the way in which the curriculum is delivered. The economic and competitive environment in which we operate will require that we become even more *efficient, flexible, and creative* in the way we structure the learning environment.

1. Carleton's distinctive calendar, like all academic calendars, has its pros and cons. We believe that, on balance, the current calendar serves us very well in a number of respects. The potential benefits of a semester system do not seem to us to outweigh the costs involved (especially as regards the need for more facilities) of changing our calendar at this time. We do, however, recommend:

- That we actively promote more creativity and flexibility within the calendar by offering more 5-week and 15-week courses, especially if this facilitates longer research projects, more sustained engagement with community partners in civic engagement courses, and/or more collaboration with St. Olaf.
- Continue to consider creative ways of using winter break, not only for faculty development workshops and two-week off-campus programs, but also for internships, student research opportunities and other initiatives.

2. Explore online learning models, as suggested by the task force chaired by Andrea Nixon.

- Provide increased instruction for faculty to help them utilize the resources already available for "blended" courses that include elements of online learning (e.g., Moodle).
- Continue to study the effectiveness of both established and emerging online courses created by other academic institutions and for-profit entities.

- Explore on a trial basis collaborative models with other peer institutions that would include courses or course modules that could be provided live in one location and accessed online in others. This might be especially attractive for courses and/or programs with especially low (or high) enrollments. Some online courses could also enhance the richness of our curriculum by enabling us to tap into faculty expertise on other campuses.

3. Expand the discussion of curricular development on campus in order to foster a more institution-wide perspective on new initiatives, allocation of FTE and external challenges and opportunities facing the College.

- The Dean of the College office should prepare a summary of curricular developments, enrollment patterns, numbers of majors and concentrators and other information relevant to the evolution of the curriculum. Such a summary could be prepared and distributed approximately every 2-3 years and could become the basis for periodic public discussions of our curriculum.
- The Dean of the College and the FCPC should take over from the Faculty Grants Committee the task of approving curricular development grants. This would create a unified system whereby the same group that has the most comprehensive view of the curriculum and who are responsible for considering and approving proposals for FTE also makes decisions about the development of new curricular initiatives.
- The Dean of the College and the FCPC should consider soliciting informal input from others (perhaps including Admissions, alumni and/or trustees) with perspectives on the ways in which our curriculum is meeting the needs of our students both before they matriculate and after they graduate. Alumni who have chosen careers in academia might be particularly well-positioned to help us think about long-term trends and challenges that we should be addressing.

Metrics:

A. We should track of the numbers of online courses or modules of courses that we offer, as well as solicit feedback from the students enrolled in them about the educational value of their experience.

B. We must also create assessment tools that will enable us to determine the extent to which students have mastered the material covered in online modules, and then compare the results both across time and in comparison to students who have studied the same material in a traditional classroom setting.

C. We should track the numbers of 5 and 15-week courses we offer and determine whether we are missing opportunities to promote them further.

III. Faculty development will be crucial in keeping the curriculum strong and developing it in the ways outlined above. Given the changing nature of the disciplines, the institution of tenure, rapid developments of technology, and the need to help students connect their curricular learning with other parts of their lives, faculty must have opportunities to grow and develop in their disciplines, as well as to make connections beyond their disciplines.

1. Provide increased funding for FDE and Targeted Opportunities grants. It has been

appropriate to target available funding in recent years toward younger faculty preparing for the tenure review, but faculty vitality throughout their careers is also critically important.

2. Provide faculty development opportunities that enable established faculty members to retool in response both to changing enrollment patterns, the development of new subfields, or new technologies. This is critical for ensuring that our curriculum can continue to evolve even with a relatively stable faculty.

3. Continue to seek grants that foster interdisciplinary initiatives by bringing faculty together across disciplinary and program lines (as QuIRK, VIZ and Global Engagement have done). Other smaller-scale initiatives could include interdisciplinary team teaching, interdisciplinary winter break seminars, or international study tours.

4. Provide more opportunities for faculty teaching circles in order to foster further conversation about and innovation in pedagogy. As faculty know more about what their students and advisees are learning in other classes, they will be better prepared to help students achieve their goals of integration.

5. Encourage curricular and other institutional collaborations between Carleton and St. Olaf, including shared faculty development programming and targeted incentives for collaborative work with St. Olaf colleagues (e.g., small FDE grants, curricular development grants).

Metrics:

A. We should track and publicize both the number of internal faculty grants given and the overall amount of money granted, with attention to the rank of the faculty who receive them and the general purposes for which they are given. This would enable us to notice any patterns that emerge and correlations between grants awarded and curricular initiatives undertaken. Special attention should be paid to the number of interdisciplinary and collaborative grants awarded.

IV. Opportunity Costs. We are cognizant that there are opportunity costs involved in every new initiative we undertake. We offer the following recommendations to lighten the burden on faculty in some ways as we call for more responsibilities in other areas (e.g., more intensive advising, more supervising of student research, etc.)

- Devise a system whereby faculty who regularly supervise student research either receive teaching credit or are relieved of some other responsibilities. The same might be done for faculty who voluntarily take on additional advising responsibilities or who have especially time-consuming committee responsibilities (as is currently the case for some committee assignments)
- In accord with the recommendations of the SP group on administrative functions, we propose that we
 - reduce the number of committees and task forces while expanding their mandates,
 - reduce, where appropriate, the number of faculty serving on these committees, and
 - with the exception of key committees that address ongoing and essential functions of the College (e.g., ECC), set termination dates for committees whose work can be completed in a finite period of time
- While we recognize that creating “sunset” provisions for concentrations and other curricular initiatives is unworkable for a number of logistical reasons, we encourage the Dean of the College to continue working with other groups (ECC,

FCPC) to revisit periodically the viability of such programs in light of enrollment patterns, financial costs, faculty turnover and opportunity costs.

- In a similar vein, we encourage the Dean of the College to manage the growth of the curriculum by approving new programs and initiatives that require significant investments of faculty time sparingly. A general (though perhaps not iron-clad) policy might be adopted that new programs will be approved only as others disappear, to ensure that we do not spread ourselves too thin by growing our curriculum in ways that are unsustainable.

Appendix 5

Report of Working Group 5: Compensation

Question:

What should our faculty/staff compensation package (including benefits and professional development) look like to recruit and retain talented faculty and staff?

- **What should be the appropriate mix between salary and other benefits?**
- **What additional measures, if any, should we pursue to recruit, retain and support faculty and staff?**
- **Are different tactics/strategies needed for different groups?**

I. Fundamental Precepts

Carleton College, in its role as a provider of a world class higher education, is committed to having the best possible and most talented employees. We value all persons working at Carleton and are focused on treating everyone with dignity and respect, helping to create a sense of community. We strive for and are pledged to having a diverse workforce.

To hire and retain the best persons available, the institution needs to have an open and transparent process with regard to compensation and benefit programs. Coupled with this process Carleton will strive to use all available methods of recruitment – formal, informal, networking, and the like – to locate those persons we want to hire and then to retain them throughout their careers.

II. Specific Actions

To deliver on the fundamental precepts the college needs to employ specific actions. In fleshing out these tactics the compensation group gathered and analyzed mounds of survey data; both Carleton's own and various outside studies. The group also met with the four employee subsets (Faculty, Monthly Staff, Bi-Weekly Staff and Union Staff) to garner their concerns, issues and general input.

Next, Carleton's Institutional Research Department constructed and released an employee survey (the results may be found at <https://apps.carleton.edu/strategic/>) to each of the four employment groups. The overall response rate was a healthy 52%. We note that the survey places salary issues of paramount importance to benefits. From this information the group was able to formulate what we consider to be the college's compensation priorities for the decade ahead.

Salary and benefits recommendations:

The college budget models currently propose a 2% compensation pool increase for the foreseeable future. We do not think that this proposed rate of growth will allow the college to remain competitive in attracting and retaining outstanding employees over the long term. Inflation or

increases in health care costs could lead to a decrease in real take-home pay for all groups of employees if the compensation pool only grows by 2% annually. Beyond this general concern, we see several compensation issues that potentially have significant budget implications.

1. Starting salaries across all groups are considered excellent. We usually sign our number one faculty prospect and are seen locally as the employer of choice in Northfield. We need to maintain these positions. Despite good starting salaries, there is evidence of salary compression at the Associate Professor level and to a lesser degree with Full Professors. At the Associate Professor level, we are paying in the lower quartile of our twenty college peer group median. We think that over time the college needs to address this issue (estimated eventual annual additional cost is \$200,000-\$300,000) and move closer to the median in order to stem any negative feelings, or potential turnover from this important group. Also while closer to the peer median, compensation for Full Professors needs to be examined.

All groups noted primary importance of annual salary increases. While we encourage efforts to continue to bring faculty salaries near the median of the peer group, if benefits costs rise drastically for all groups, addressing the cost of benefits may have to take higher priority than bringing faculty salaries closer to the median of the peer group.

2. The level and type of benefits provided can, at times, be a thorny issue as well as drawing significant expense against the college's financial resources. We see the need to better control (either by real dollars or percentage of payroll) the cost of benefits. In the last ten years – primarily because of rising health care charges – benefits have gone from 28% to 33% of payroll. While the college would like to get this percentage back to the vicinity of 30%, we cannot afford a similar increase over the next ten years. Such an increase, which would probably be driven by escalating health care costs, would undoubtedly force employees to share more of the burden through revised benefit plan design or reduced salaries. As examples, the current health and retirement plans meet or exceed those provided by our peer group. The employee survey indicates that these two benefit programs take precedence over all other benefits.

The current tuition benefit policy is a concern to some faculty and staff in that it is not uniform in nature to all employment groups. Human Resources estimates that extending the current benefit to all staff would increase the cost by \$400K per annum. We do not believe this would be prudent. However, some of the Working Group aspire to making this benefit uniform. In light of the pressures described in the preceding paragraph, some of us believe that any plan for such uniformity should not include any additional funding beyond the present level. Others believe that we ought not to preclude the possibility that an achievable solution of this long-standing problem would balance cuts in the size of the benefit to current recipients with a modest increase in funding. Others would phase out the tuition benefit over time in favor of broader benefits aimed at attraction and retention. There are issues, both in terms of legal compliance and employee expectations, in modifying this benefit, and we are not in a position to determine how any such transition might be made. Accordingly, we recommend the Benefits Committee, in consultation

with Human Resources, look into low-and zero-cost possibilities for modifying the tuition benefit and report on options to the broader Carleton Community.

Other compensation recommendations:

3. The employee survey outlined that lingering morale issues remain from the difficult economic/budget times of 2008 and 2009. Going forward we need to learn a lesson from this and ensure that our compensation processes and systems are communicated clearly with as much transparency as possible. We recommend the Faculty Compensation Committee, in conjunction with the President and Dean, study the current process of determining faculty salaries, and, if needed, develop a more open and transparent process. We suggest that a similar study of the process and transparency for determining staff salaries in Compease be carried out, with input from the staff.
4. In the non-faculty employment groups, time-off issues are important. We encourage a good discussion of those issues, such as "Paid Time Off", in the Benefits committee and then ask Human Resources to report to the community.
5. In many instances where we do not hire our top faculty pick it is due to the inability to find appropriate employment for the prospective employee's spouse/partner. We understand informal efforts exist in this area but we think a more formalized plan could be developed (there is little, if any, cost associated with this initiative) perhaps with the help of the newly designed career center.

Related to morale, we noted in conversations with new faculty that they do not receive their first pay check until September 30, often creating personal cash flow problems. We recommend the salary advance program/loan program be put in place for these instances, and be communicated to new tenure track faculty.

Also, faculty professional development accounts (PDAs) have recently been restored to the pre-recession level of \$2,000 annually. We believe it is not widely understood that the Dean's office is frequently successful in seeking additional foundation funds to supplement PDAs. Efforts should be made to inform the community of existing professional development funds and opportunities that are being under-utilized.

With regards to professional development for staff, some staff without children commented that it would be desirable to have a tuition benefit in the future that would provide some financial support for them to continue their education or to participate in professional development opportunities/administrative leave program. At the moment, there are not sufficient funds for a program like this, but we encourage the college to support the professional development of all members of the Carleton community.

Appendix 6
Report of Working Group 6: Career Preparation

What does "preparing our students for careers and lives after graduation" really mean?

Strategic Planning, Working Group #6

I. Background

Carleton offers its students an intense academic experience, the intellectual and personal challenges of which develop the skills necessary for success in life beyond college. But it does so without necessarily helping students appreciate the skills they have gained, or to recognize their real and lasting value. Thus, although students leave Carleton well prepared for the challenges to come, they don't necessarily do so with an appropriate confidence in that preparation, or with a clear sense of what to do next.

Of course, our alumni have gone on to enjoy remarkable success in their chosen careers—in medicine, academia, and the law; in business, in public service, and the media. But we cannot claim to have done as much as we might to help them make smart transitions to life after Carleton. The 2009 Alumni Survey offers a remarkably consistent picture on this point, suggesting that, outside of professional academia, we have not done enough to help students understand their strengths and passions, or to gain a realistic sense of the opportunities to which such interests and aptitudes might lead them. We haven't, in short, done enough to help our students think and act strategically about their careers and lives after Carleton.

There are good philosophical and historical reasons for this. We're a liberal arts college, not a vocational or professional school. Historically speaking, a liberal education is an education for the life of a free person; it's defined in opposition to a mechanical education, preparing one for a particular trade. Hence we offer majors in English and Art History, not in Nursing or Accounting. This is our mission and it's one we are properly proud of. Along with it goes a scrupulous sense that we should not be pushing particular career paths upon our students. But there's a fair distance between being over-directive and not offering guidance enough. We've quite a way to go before we need to start worrying that we're talking too much with students about lives and careers after Carleton.

That we need a substantial improvement in this aspect of our programming has been insisted on several times in recent years. The External Review of the Career Center in 2006 called for significant institutional investment in the Career Center in the form of "high-level endorsement" and "the key mustering of financial resources for student experiences." While high-level endorsements have not been wanting, the internal Task Force report on the Career Center in 2009 again pressed the need for "new resources. In its 2010 report on career centers in 31 selective liberal arts colleges, the Liberal Arts Career Network ranked Carleton 19th in terms of spending per student. The annual operating budget of the Career Center—currently \$90,000, excluding staffing—allows us to spend around \$45 per student. A more substantial investment is overdue.

Such investment is a particularly pressing need now because of the economic and political circumstances in which we find ourselves, and in which we should expect to be working for the foreseeable future. There are three major circumstantial factors here, the most immediately obvious of which is the eye-popping price-tag of a college education and the accompanying (and understandable) rise in hard questions about the value of what we're offering and about our accountability for our students' successes or failures. Barely a week passes without some new book or newspaper article telling us that college costs too much, that students don't learn anything while they're there, and that they end up flipping burgers when they leave. We can tell ourselves that such criticisms don't apply to us. But even if we get our pricing under control, it's unlikely that this kind of skepticism will suddenly evaporate. Nor should we expect it to. Questions about the value of a liberal education are not unreasonable; we can and should address them.

The second circumstantial factor impinging upon us is the dire employment climate for graduates. The faltering economy means that short- and perhaps even medium-term prospects look, at best, anxiety-provoking. And although the economy will no doubt improve sooner or later, the long-term prospect for today's graduates is of an employment market characterized by rapid change and attendant uncertainty. We need to prepare students not for specific jobs or careers, but to think about living and working in a world in which they will make repeated and perhaps radical changes in career direction, as new industries develop and old ones fail. Preparation for such a world requires a different philosophy than that of merely job placement.

A third significant circumstantial challenge making it imperative for us now to invest in a significant resourcing of life and career preparation at Carleton is that our competitors are already doing their own versions of this kind of thing: some are guaranteeing internships; others are guaranteeing jobs on graduation. If we don't try to address our shortcomings in this area, an historical weak spot may become a significant liability.

Nor should we think of the need for change in purely reactive terms. There are strong internal reasons for trying more explicitly to integrate life and career preparation into the experience of the Carleton student. Asking questions about one's commitments, about what constitutes an excellent life, a life well-lived and consequential are at or near the heart of a liberal education; they're the kind of question which, in our classes, we're addressing anyway. It wouldn't be inconsistent with our educational philosophy to ask students to think about what such an education might mean for their lives after college. In fact, it ought to strengthen the sense that our curriculum asks students to think hard, from multiple angles, about their place in the universe. And a robust program for life and career planning which builds upon our historical commitment to the liberal arts could form a valuable differentiation point for the college.

II. Principles for a New Program

Currently, we field a variety of programs and efforts designed to help our students make progress in identifying and pursuing interesting and appropriate life paths. These programs range from pre-med and pre-law counseling to jobs sourced through the Career Center to help getting into various PhD

programs to non-profit and community-based internship programs to the newly established Office of Student Fellowships. While many of these efforts are solid, these programs have three limitations. First, they are relatively inconsistent in quality, ranging from superb to marginal. Second, they are not coordinated or integrated. Third, rather than reaching out proactively, the current programs are driven by students seeking them out. Students who wish to ignore them may easily do so.

What we need is a program designed to help each student identify and embark upon his or her own best path; a program designed to make each student ask and answer a few fundamental questions: What do I most care about? What kinds of activity do I most enjoy and succeed at? And how might I channel these interests and aptitudes into a fulfilling life and career? The program needs to allow for both straight and meandering paths. Indeed, part of what we need to do is provide our students with multiple experiences that will allow them to gain a realistic sense of the possible and desirable paths and also to help them exclude undesirable outcomes in a timely fashion. Carleton students are a diverse group with wide ranging interests and they need to be exposed to a great diversity of potential paths, and to be exposed earlier than we have traditionally thought appropriate.

The first principle of this new program is that it begins almost as soon as our first-year students arrive on campus. We need to be clear to our arriving first-years that their Carleton education is not only valuable in the abstract, but that it equips them to achieve great things in the world. And that part of achieving great things is the process of deciding what you want to do and getting help in getting there. So our new approach literally needs to begin on the first day of new-student orientation and continue on through four years, accelerating along the way. To be clear, we are not suggesting active programming for first-term students, but we are suggesting that the idea that your Carleton education is preparing you for something significant needs to be part of the discussion from day one.

The second principle is that the program is fully integrated with academic advising. As part of the strategic planning process, a group is working on an overhaul of the academic advising process. We believe that these two processes—academic advising and life advising—need to be integrated so that they work together and build on each other, rather than moving down parallel and separate tracks. We need to think of them as parts of a larger whole: an advising system that simultaneously helps students to maximize their time at Carleton while preparing them for life after Carleton. However, while participation in the academic advising process is mandatory, participation in the specific Career Center programs will not be. Rather, the goal is to make our improved and expanded programs so compelling that students are lining up to participate.

The third principle is that the program fully integrates the tools, programs, and resources already available on campus. There are many such resources already available—not just through the Career Center, but also through the Center for Community and Civic Engagement, the Fellowships Office, Off-Campus Studies, and so forth. The new approach seeks to integrate such on-campus resources, rather than letting them sit in silos. This sounds easy and is hard to argue with, but in an institution built in silos the obstacles to implementation are considerable.

The fourth principle is that the program is student-centered, encouraging each Carleton student to explore and discover their own path of career and life exploration. Possibly the most important aspect of the new approach is the idea that every Carleton student has the responsibility to find a path for themselves and that the college will provide the tools needed to identify and explore these paths, but that no paths are pre-determined.

The fifth principle is that the program is built on the strength of committed alumni, parents, and faculty, who can be expected to shoulder a significant amount of the responsibility. The resources needed to create these opportunities for exploration are significant, but we believe that the bulk of the burden, in terms both of advice and the creation of opportunities, will be cheerfully borne by Carleton's loyal alumni, parents, and faculty. Over the last few years, the Career Center has established a variety of programs that can be systematized and expanded, and which can become critical building blocks for this effort.

The effect of the changes we are proposing will be to engage students in thinking about the meaning of their education and about their lives after Carleton more consistently, in a wider range of contexts and activities, and at an earlier stage than hitherto.

III. Specific Suggestions

The cornerstone to implementing these principles will be an overhaul of the Career Center. The Career Center is just completing a major restructuring, which began in 2008, and there is no question that today it is more successful than it has ever been, with some dynamic staff and a range of innovative programming. But that said, significant opportunities and changes lie ahead. The Career Center needs to become the central coordinating entity of a wide range of programs and options including internships and research opportunities, work and graduate school, large and small organizations, for-profit and not-for-profit employers. In addition, the Career Center needs to become the central management facility, coordinating both the multitude of programs on campus and the significant network of alumni volunteers which will be needed to execute this vision.

The specific programs and changes we recommend are as follows:

- 1) Completely reimagine the Career Center:
 - a. Hire a new director. This process is well underway, and an independent search committee is now working with three highly-qualified final candidates. We hope a new Director will be named in the coming weeks. That Director will then lead the charge in developing and implementing a variety of new programs, suggestions for many of which are outlined below.
 - b. Adopt a new name and mission statement. For various probably not very good reasons the name "Career Center" tends to signal to students the idea that it is a place you might visit late in senior year after deciding that you want to get a corporate job. We need it to be more than that. We need it to engage all students, and to help them explore, early, a range of possible life paths. To register this wider remit we recommend

both a new mission statement and a name change. We have a suggestion to offer on the latter: "The Gateway to Life and Work," a name broad enough to encompass the new mission of the organization and perhaps enticing enough to draw students in.

- c. Shift focus to better help students early identify aptitudes and interests and translate these into possible life paths.
 - d. Better coordinate existing programs.
 - e. Coordinate and manage a large group of alumni, parent volunteers, and faculty.
 - f. Find a new physical home. The Career Center is currently ill situated either to attract student attention or to facilitate coordination with other offices and programs.
- 2) Make post-Carleton planning a four-year process, integral to each student's Carleton experience, both on-campus and off-campus.
 - 3) Integrate post-Carleton planning and programs into the revised and improved academic advising approach being recommended by the Academic Advising Working Group, with a special focus on integrating the beginnings of post-Carleton exploration into the "first-two-years" advising program.
 - 4) Expand alumni-based programs by increasing alumni involvement, thus providing students with a broader variety of options and information about possible life and career paths.
 - 5) Engage parents more broadly as resources for programs. Broader parent involvement could further expand and enhance many already valuable programs and opportunities. Parents should serve alongside alumni on all volunteer-based programs.
 - 6) Collaborate with Student Employment to ensure that campus jobs teach students about the nature of employment and the expectations of employers. We often hear that Carleton students are unfamiliar with the expectations of a work environment, including those of their on-campus jobs. We should seek ways effectively to use such opportunities to help students better equip themselves to succeed in the job marketplace at Carleton, in Northfield, and in the wider world.
 - 7) Integrate programs offered by offices which manage or raise awareness of different career paths or which develop valuable life skills. Such integration could include everything from pre-professional advising to the newly-formed Office of Student Fellowships to the Center for Community and Civic Engagement. Although we do not foresee the Gateway to Life and Work subsuming these important elements of the Carleton experience, we nevertheless think it important to seek ways to coordinate and make clear the value of the large number of opportunities available to our students. Thus, for example the Center for Community and Civic Engagement occasion and supports many kinds of skill-building and leadership-development opportunities , as well as provides curricular and co-curricular community engagement programs that offer windows into a large variety of important life paths and opportunities.
 - 8) Strive to expose students to the full range of available programs. Carleton is a diverse community of multi-faceted individuals, one in which art majors may end up as environmental lobbyists, and ENTS students may decide to work in the arts. We thus need to make sure that students are exposed to a wide range of opportunities.
 - 9) Maximize the internship opportunities available to and secured by Carleton students. We believe that internships are the best and fastest way to accumulate experiences that lead

students to really start considering and contrasting various paths, and we need to encourage our students to participate in internships, potentially multiple times in different areas. To accomplish this goal, we believe that there should be a position within the Gateway to Life and Work that is devoted to internships. As part of this effort we also need a renewed effort to address the legal, financial, and curricular obstacles to and challenges surrounding unpaid internships.

- 10) Significantly improve student and alumni databases and the ways they can be accessed and used. Make it easy for students to find the right alumni to help them, while protecting privacy appropriately.
- 11) Increase student awareness of and where necessary provide life-skills programs to help prepare students for life after Carleton. These programs should include basic skills like managing and maximizing household finances, marketable skills such as enhanced software knowledge, and career-oriented skills such as interviewing and networking. Several such programs are already available through Student Life; the Gateway could be involved in coordinating and publicizing them. We would look to Carleton's staff and alumni and well as resources in the Northfield community to create additional programs where needed.
- 12) Expand the Career Center/Gateway mission to include helping alumni for at least two years after graduation. This ought perhaps to be a longer-term commitment; but we believe that it is feasible and important now to make it clear that our responsibility to our students does not end with their graduation.

The recommendations described above are reasonable, manageable, affordable, and, most importantly, are sufficient to significantly change how Carleton students think about and manage their transition to lives after Carleton. A program like this draws upon Carleton's traditional strengths: the close relationships between students and faculty, the loyalty of its alumni, the commitment of its parents, and an open-mindedness that embraces the importance of post-graduate planning without introducing institutional biases into the process. Properly implemented, such a program could become an important differentiation point for Carleton.

IV. Resources

All of this activity will, of course, require additional resources. Our recommendations will require a significantly increased annual operating commitment to the Gateway to Life and Work, and other relevant areas. Specifically, we recommend funding four master programs, at costs estimated below, which cumulatively will allow us to implement the changes listed above:

- 1) Build the staff of the Gateway to manage a large group of volunteers, alumni, and parents. We foresee volunteer management becoming a core part of the work of the Gateway, as these alumni and parent volunteers will be the engine running many of its programs, including Carleton Alumni Mentors, Scholars, 30 Minutes, and others. If these programs are going to work for a wider range of students than they currently serve, we will need a staff to manage the volunteer force. Existing staff are already fully committed to their current roles of program

direction and helping students with resumes, cover letters, finding jobs/internships, practice interviews, practicing networking, and so on, all of which remain essential parts of the new model. The mentoring program will require an addition to the current Career Center staffing to support the inflow of additional alumni volunteers. Using the analogy of the Alumni Annual Fund, we anticipate adding an appropriate number of staff members to build and manage this parent and alumni network.

- 2) Find a new physical space for the Gateway. With a new name, a new and transformative mission, a new director, and the additional staff described above, the Gateway would benefit from a new, larger, and higher-profile location. We are not sure exactly where and when such a move ought to take place, but we see much potential in the Physical Plant Working Group's recommendation that a refurbished Scoville might make an excellent home for the Career Center/Gateway. We recommend reserving \$500,000 for the one-time costs of this move. This funding should also cover review and improvement of the virtual infrastructure supporting the Gateway.
- 3) Assign a senior faculty member or senior administrator to lead a two-year initiative to find ways of eliminating or at least mitigating the effects of the silos which divide the various offices and participants in life and career planning from one another. The Career Center is currently under the Dean of Students; faculty advisors report to the Dean of the College; and alumni affairs are housed in External Relations. The objective of this assignment will be to identify the relevant areas, offices, programs, and personnel, and develop appropriate ways for them to work together. The end-result after two years should be both a dramatically improved system for coordinating and communicating between our various programs and personnel, and a real ability to engage our students from early in their time at Carleton, when they are considering possible life and career paths. We estimate the cost of this effort to be \$500,000 over two years.
- 4) Explore the possibility of offering grants for students to take unpaid internships. Such internships can be critical to understanding potential career paths, and it seems unfair to limit participation in them to students who can afford to go a summer or a break without pay. We estimate that a summer internship would pay about \$5000 (\$500/week for 10 weeks), that 80% of our students would take an internship, that 50% of those would be unpaid, and that 50% of students would need funding to take the unpaid internship. That yields 20% of each class (80% \times 50% \times 50%) requiring this sort of funding. Assuming 500 students per class, that is an annual cost of \$500,000 to fund this program.

These four activities represent a cumulative cost of \$1MM for the two one-time activities (#2 and #3) plus an annual operating cost increase of \$900,000 for ongoing activities (#1 and #4). Using 5% as an appropriate draw rate, we need to add \$18MM to the endowment to yield \$900,000 annually. That all means we need to raise \$19MM to fully fund all of our recommendations.

We strongly endorse the idea of a focused effort to raise these funds from our current base of alumni, parents, and friends. There is real passion for this issue within our community, and a fund raising effort

would coincide well with the concurrent effort to build a large alumni career network. This effort could be undertaken on its own, or as a building block of the next capital campaign.

V. Review

Finally, as noted above, we need as a college to develop a series of measurement mechanisms to evaluate the success both of the various particular programs we are proposing and the work of the Gateway as a whole. We recommend four approaches to help us assess progress. Some of these measures are short-term and tactical while others are longer-term and more related to the overall mission of the Gateway; both are important.

- 1) Program-specific measures. We need to establish goals for each of the programs we run, and measure their achievement of those goals. This includes developing clear goals for existing programs like the Carleton Alumni Mentors Program, the Scholars program, and the 30 Minutes program and also for other programs as they are instituted. We need to make sure that each program delivers appropriate results at reasonable cost.
- 2) Integration measures. We need to establish specific goals to assure that our various programs, offices, and departments are becoming appropriately integrated in helping students think about and plan for lives after Carleton. We need both to create integrated tools and assess their degree of success in realizing the goals we have established for them.
- 3) Opportunity measures. We need specific goals for each type of opportunity we pursue. We need to be specific about how many fellowships, internships, interviews, job offers, grad school admissions and other pathways and programs we want to obtain, and about how effective we are at obtaining them. These shorter-term outcome measures are critically important in identifying success so that we can build on it.
- 4) True outcome measures. We need to check in with our alumni base on an ongoing basis to see how effectively they have been helped by the programs offered by the Gateway. We recommend a steady program of alumni surveys, delivered at key points after graduation, focused on what each respondent is doing, whether they are finding it fulfilling, determining what role Carleton played in their choice of career and, within that, what role the Gateway or its predecessors (both the career center and other programs) played in their career.

The Director of the Gateway will need to work closely with the Office of Institutional Research to create and implement an aggressive measurement program across all four areas described above. By implementing such programs we will be able to determine how well our additional spending is being used and how effectively we are helping our students make the transition to rich and fulfilling lives after Carleton.

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Appendix 7

Report of the Working Group 7: Advising and Mentoring

Advising and mentoring play a critical role in helping students to fulfill their potential, be more intentional about their college experience, and become more proactive in determining their futures. In addition, the advising process has the potential to help students both appreciate and articulate the value of a liberal arts education. An advising system that is more visible and intentional could be a competitive edge for Carleton, particularly in this environment of high tuition costs, questions about the value of a liberal arts education, and competition for quality students. Carleton can build on its strong culture of faculty and staff support of students; an excellent system of advising could set Carleton apart from other colleges, thus having an impact on admissions and the recruiting of quality faculty and staff.

To help achieve these goals, our working group recommends the following:

- 1) Incorporate a more *holistic* view of advising, which includes a stronger developmental model as we think about the four-year arc of our students.**

Our Town Hall meetings and interviews with several individuals on campus identified common themes students experience from first through senior year. We propose being more intentional in developing advising programming based on these *developmental stages*. In this developmental model we would encourage first year students to think more deeply about what it means to be a student at a liberal arts college and to begin to think about their futures, perhaps by participating in job shadowing or learning about fellowship opportunities. Many resources are devoted to the transition students make from high school to college, which is both appropriate and essential, however, our discussions suggest additional resources may need to be devoted to the sophomore year. Sophomores may experience what has been described as a “slump,” and often need additional guidance as they think about choosing a major. The sophomore year is also an important time for them to be thinking about moving into leadership roles and exploring possible fellowship, internship, and off-campus opportunities. Juniors are transitioning to advising within the major and should be encouraged to connect liberal arts learning with skills needed for their future work. The junior year is an important time to obtain an internship and to work on developing mentoring relationships. During the senior year, students should be further developing their leadership skills by serving as mentors to other students on campus, as well as developing networking and “real life” skills. Academically, seniors require support through the comps process.

Faculty and staff already expend time and effort on advising students. Our suggested strategies aim to make advising more effective and efficient, without adding substantially to the typical faculty or staff member’s workload.

Strategies:

- a. *Shift from a primarily one-on-one model of advising to a combination of one-on-one and group advising.* Our Working Group noted successful models of group advising that already occur on campus for students involved with TRiO, POSSE, and FOCUS. A group approach minimizes time and effort for the adviser, as many topics are not confidential and can easily be shared in a group setting once rather than individually with multiple students. As observed in the classroom, students often learn from each other and a group advising approach allows them to take advantage of their peer's experiences. We have outlined how a group approach to advising could be incorporated in (b).
- b. *Increase the visibility and intentionality of advising by instituting "Advising Days".* Our working group met with colleagues from Beloit who have developed an exciting advising program that includes one full day each semester devoted to issues related to advising. Classes are cancelled and the entire campus 1) thinks about what it means to obtain a liberal arts education, and 2) takes the time to set goals and reflect. We propose thinking about a model of Advising Days that works for Carleton, perhaps by using one convocation slot each term or following the Beloit model of canceling courses for a day. An alternative approach is to incorporate an Advising Day into New Student Week.

Advising Day sessions would be based on our developmental model, focusing on appropriate topics for students in each class year. Sessions could include alumni panels entitled "what can you do with this major?" Academic Support Center presentations, information on fellowships and internships, as well as topics related to finances or real life "training". In conjunction with advising days, departments and programs could host "open houses." These open houses could be a mechanism for departments or programs to answer questions for potential majors and to share information with a large number of students. Advising Days presentations do not need to be led solely by faculty; there is an important role that staff, alumni, and students could play in planning and leading sessions. Our Working Group felt that formalizing and standardizing the role of SDAs (student departmental advisers) could be of great benefit to advising across campus. SDAs and other student leaders from a variety of centers on campus (GSC, Career Center, ACT/ACE) could plan and lead sessions.

Setting aside formal time during the hectic term to think about advising also provides an opportunity for written reflection. During Advising Days students may be asked to reflect and write about why Carleton has the graduation requirements it does. Students could also be asked to write a personal statement that would become part of their Advising file as well as their Writing Portfolio. Writing a personal statement forces students to think about their future and gives them practice recognizing and conveying the skills they are learning in a liberal arts environment. This particular assignment is also useful as students can revise and use their statement when they apply for fellowships, internships, or graduate school. Advisers

would have access to all of these essays, which will provide meaningful topics for advising conversations. Further, the essays could be used for future assessment (See Assessment section at end of report). Students would arrive for their individual meeting with their adviser after having attended sessions and written reflections. This preparation has the potential to lead to much more productive and effective advising meetings. Participation in Advising Days could be mandatory, and students could be required to attend sessions to be able to register for the following term (similar to how they must now meet with a faculty member before being able to register). Beloit encourages attendance by linking participation in Advising Days with being eligible to apply for campus-sponsored fellowships.

An Advising Day approach minimizes the idea that advising meetings are primarily about “which courses will I register for next term,” and instead encourages students to become more proactive, reflective, and intentional in how they approach their education and the four years they spend at Carleton.

Cost: Many features of Advising Days will have minimal additional costs as several departments and offices, such as the Career Center, already invite alumni back to talk to students about careers or research throughout the year. Reorganizing these visits around Advising Days may not add significant cost, but rather would be a reallocation of resources. Both the Career Center and individual departments could contribute to the cost of alumni travel. For large departments and programs, group meetings will likely save faculty and staff time. Similarly, informational meetings are already hosted by the Academic Support Center, the Internship office and others; shifting the meetings to Advising Days would be a reallocation of time and cost.

If insufficient funds are available for campus wide Advising Days, we would suggest piloting first year Advising Days during New Student Week. The following year Advising Days during the sophomore reorientation could be added. Depending on success and cost, these more limited Advising Days could be followed by full campus Advising Days during the academic term. This approach allows for a gradual change in culture, beginning with the newest students.

- c. *Redefine and clarify the role of first and second year advisers as “Liberal Arts Advisers.”* The job of the Liberal Arts Adviser is to introduce students to the broader community and the richness of Carleton, and to help students *understand the liberal arts and the relevance of a liberal education for the “real world”*. The Liberal Arts Adviser is more than someone who helps students to select courses for the upcoming term; it is someone who plays a major role in helping the student set goals and reflect on their experiences both within and outside the classroom. In addition, the Liberal Arts Adviser

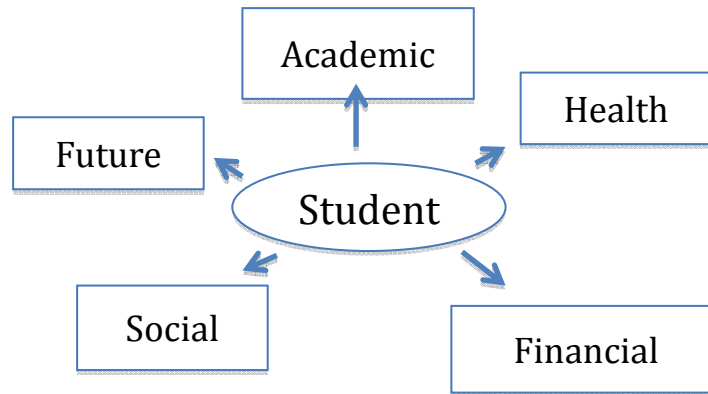
is knowledgeable about who/when/where to redirect a student when needed. It is not the adviser's role to be all things for the student, but rather to know how to access information and link the student to the appropriate resource. We may also want to consider renaming the major adviser as the "Liberal Arts in the Major Adviser."

The advising training developed for faculty and staff needs to match our desired outcomes. We propose restructuring the advising workshop in the fall, and recommend more online resources for advisers, such as sample guides for advising meetings based on class year (see *Advising Meeting: Planning for Winter Term Sophomore Year* example at end of report). In addition, making available additional resources such as the "Pathways" examples for potential careers developed by the Competition Strategic Planning Working Group, would help advisers be more efficient and effective, without adding to faculty or staff workload.

Cost: Improved advising online resources, so advisers can easily identify the appropriate resource for an advisee. Additional faculty and staff development and training; we propose using LTC sessions and/or the faculty fall retreat as development opportunities for training.

- d. *Explore developing an online portfolio of advisers/mentors for each student, a portfolio that could easily be changed in response to a shift in student's interests.* A portfolio approach enhances the visibility of all potential advisers/mentors and expands who "counts" as an adviser/mentor.

An online portfolio may include pictures and names of academic advisers, class deans, work supervisor, potential major SDAs and department chair, alums who can help with career planning, coordinator of student fellowships, and staff from Student Financial Services. Peer advising plays an essential role on campus and the portfolio ideally would also include links to RAs, IPLs, TRiO mentors, career center student workers, and Queer Peers from Gender and Sexuality Center. Portfolios would be tailored to the interests of the individual student and designed to take advantage of digital technology. For example, a graphic such as the one below including all the various dimensions of a student's life could be incorporated. Each dimension could include direct links to appropriate resources, including existing sites, such as "Carls Ask Questions" or the DOC advising information page.



Ideally the portfolio would also contain links to FAQs pages based on class year. Sample first year FAQs: When do I go to a Class Dean? What if my roommate...? Where can I find my program evaluation? How does SCRNC work? Answers could be linked to the appropriate resource if a site exists.

Cost: Additional ITS FTE to develop and maintain portfolios. The cost may be shared, as other Working Groups (Curriculum) have proposed a similar need for increased ITS support. If funds are not available for the proposed full portfolio approach, we suggest immediately revamping the Advising web page and adding FAQs pages and other resources to make it easier for students and faculty/staff to navigate and to find answers to their advising-related questions. Student workers could play a major role in the design of the web pages and maintenance of links.

- e. *Incorporate more of an academic focus during New Student Week and rethink the summer registration process for incoming students.* Although the current system of incoming student registration may be efficient, it may not be the most effective for the incoming student.

We recommend piloting a preview of Advising Days for new students during New Student Week. In a group setting, students and faculty/staff could discuss general registration issues for first year students and set goals for the upcoming year before students register. Advising day sessions could include, but are not limited to, presentations by Academic Support Services to talk about study skills and time management, The Write Place, Fellowships, and off-campus study.

Each incoming first year student could be assigned an upper class “pen pal”, and the two could be in email/Facebook contact over the summer. The student can ask questions that arise as they think about course registration. Student “pen pals” provide leadership training for older students and add advising help for incoming students while minimizing additional faculty/staff time.

We suggest exploring whether another opportunity for group advising could be via freshman floor activities.

- f. *Pilot a two-day sophomore reorientation that parallels first-year orientation. Shift the Academic Fair to sophomore reorientation or early in the sophomore year (rather than during New Student Week).* The suggestion for a special sophomore reorientation is based on the potentially difficult transition from first to second year, and the sophomore “slump” that many on campus have identified as issues.

Cost: We are proposing a new event and recognize there will be increased costs, both in dollars and time. One option is to shift resources by shortening New Student Week; many students reported the week gets long.

2) In order to successfully achieve a more intentional and holistic framework, advising and mentoring need to be recognized as valued work carried out by both the faculty and staff.

Faculty: We propose that advising should be included in a more substantive way for hiring, tenure review, and promotion to full professor.

For some faculty, advising has felt like “service” instead of teaching. There is a general sense that the time spent advising students and/or excellent advising and mentoring has not been rewarded. In our Town Hall meetings, faculty members talked about the need to focus on research and teaching first as these aspects are evaluated during third year and tenure review.

Strategies

- a. Include advisees as student letter writers for third year and tenure review.
- b. Include quality of advising in decision for promotion to full professor.
- c. Incorporate positive incentives for faculty participating in advising workshops or willing to try new advising techniques.
- d. Ask faculty to more formally describe their approach to advising in the Prospectus.

Staff: We propose that the important role staff members play in advising and mentoring should be better recognized.

Throughout the year we had conversations with class deans, representatives from the Academic Standing Committee, and other mentors from across campus, and we were reminded that often when students face academic struggles there is an emotional, family, or drug abuse issue at the root. Many staff members from Facilities to the Business office and Student Financial Services reported that as work supervisors they are often in a position to notice these issues and could connect students with the appropriate resources, thus providing an important safety net. It is important that staff have access to advising/mentoring training and the necessary information to refer students to appropriate resources.

Strategies

- a. Encourage staff to make use of online advising training resources and to attend faculty/staff development workshops or LTC sessions on advising and mentoring. Incorporate positive incentives for staff participating in advising/mentoring workshops.
- b. Formalize evaluation of role in advising and/or mentoring students in annual performance appraisals (as appropriate).

Cost: Time (for *some* faculty and staff) may be the primary cost for a more intentional, thorough, and holistic approach to advising.

3) Improve communication between existing resources on campus, improve online resources, and provide stronger training for both students and advisers.

Strategies

- a. Under our more intentional model, the newly appointed Director of Faculty Development could provide advising support for faculty and staff, develop advising faculty development workshops, coordinate Advising Days, assess advising, promote innovations, and work with an Associate Dean to secure grants for Carleton related to advising. (Note: the Director should be connected to what is happening with the new “career center”.) Our Working Group would like to emphasize the importance of this new position being maintained at the College and we envision the advising component of this position being equivalent to 0.3 FTE.
- b. Develop an updated Advising Page linked from the Dean of the College office web page. It may be useful to convene a short-term committee composed of faculty, students, and staff to work on revisions, with oversight from the Dean’s office.
- c. Develop and distribute an adviser/advisee “Discussion” form, which provides prompts for topics for the adviser to cover at individual advising meetings. (See sample form at end of report.)
- d. Improve the Carleton website to make access to catalog, registration, and class information more seamless, *thus making advising less about time spent on these small details*. Improved clarity of information allows students to be proactive and independent.
- e. Improve communication between students, faculty, and class deans. Possible ideas include inviting class deans to department or chairs meetings.
- f. Time spent on the Academic Standing Committee is perhaps the very best, on-the-job training that faculty could receive to learn about how the advising systems works (and does not work!) at Carleton. Circulate more faculty members - and more often - on two-year rotations through the Academic Standing Committee (ASC).

Cost: There will be a significant cost for improving the Carleton website, but these improvements are ongoing and the need has been echoed by other

Working Groups. Many of the strategies outlined above could be handled by short term working groups, whose purpose would be to develop training and/or adviser resources. Maintenance of active links and updated forms is not insignificant; the Director of Faculty Development may have student workers that could test links and periodically ensure forms and resources are updated.

Assessment Strategies:

1) Our group has proposed an advising system that encourages students to be more thoughtful about their four years at Carleton, as well as more proactive and intentional in thinking about their futures. As part of the revision, we suggest that students write several reflective essays, ideally as part of a formal Advising Days curriculum. The essay prompts help students to think about a liberal arts education, why Carleton has the particular graduation requirements it does, and whether they are making the most of their Carleton experience. Students should also be asked to write a personal statement as a requirement for the Writing Portfolio, an assignment that forces them to think about their future and to convey to others the skills they are learning in a liberal arts environment. *These reflective essays also serve as an important assessment tool and could be scored in a similar manner to the Writing Portfolios.* They, of course, should be made available to advisers and mentors as well to help contribute to richer, more meaningful conversations.

2) As we initially gathered data about advising and mentoring on campus, our group used responses to selected questions from the Enrolled Student Survey (ESS), Senior Survey, and HERI faculty survey put together by Institutional Research and Assessment. *We propose continuing to track the same questions and responses on these surveys over time, which will provide cross-sectional data about student and faculty responses both before and after the proposed changes are implemented.* For example, we noted sophomores were less satisfied in general with advising; we will be able to compare sophomore responses on the ESS before and after the proposed changes. The Institutional Research and Assessment office will be instrumental in analyzing these data.

3) As part of the strategic planning process, we held open Town Hall meetings with students to gather information. These student-led meetings were productive and informational. As we make changes to the advising system, we propose occasionally gathering students to assess their understanding and use of resources on campus. *A successful advising program suggests that most students will demonstrate an awareness and pattern of use of available resources.* Gathering students for advising related discussions will also serve a formative assessment function; we may identify particular student groups that need additional advising and will certainly gather suggestions for continued improvement.

Advising Meeting Planning for Winter Term Sophomore Year

Name:

Date:

Courses this term

Writing Rich (2)
Writing portfolio
Quantitative Reasoning Experience (3)

Language requirement
International Studies
Intercultural Domestic Studies

Lab Science
Formal or Statistical Reasoning
Social Inquiry
PE

Arts Practice
Humanistic Inquiry
Literary/Artistic Analysis

Plan for next term

Balance of coursework/workload

Fulfillment of requirements

Major (plans for break to help clarify?)

Concentration

Fellowship

Off Campus Studies

Internship

Connection with faculty member

Career Center (Spotlight on Careers site)

Other

Class Dean: Julie Thornton x4075 jthornto

Academic Support Center: Scoville 203 x4027

Student Departmental Advisers (SDAs): check bulletin boards,
and

https://apps.carleton.edu/campus/dos/student_departmental_advisers/

Appendix 8

Report of Working Group 8: Sustainable Economy

Introduction: Recent Successes and Near-Term Sustainability

We believe that in the near term -- the next 2-3 years -- Carleton's economic model is sound. The college has faced significant financial challenges in the last decade, and has survived them in very good shape. The endowment suffered at the end of the 1990s stock market boom, and only partly made up this lost ground in the next ten years. After this period of modest growth, the 2008 economic downturn forced some difficult budgeting decisions. But by carefully cutting departmental budgets, inducing some early retirements, holding the line on salaries, and postponing the move to a five-course teaching load, Carleton has weathered the storm up to this point. Most remarkably, the College has managed to preserve morale among faculty and staff, in part by ensuring that budget decisions were clearly explained and widely discussed within the campus community.

Carleton's current fiscal health is the product of long-term discipline, including the careful management of debt and wise stewardship of the endowment. The last few years have seen modest surpluses in the annual operating budget, primarily the product of restrained expenditures and larger-than-expected savings from utility costs. Focused attention to the "envelopes" (roofs and outer walls) of our most vulnerable buildings have ensured that our physical plant will remain useable in the near-term. Carleton also remains very strong in ways that go beyond the balance sheet: 2012 saw a record number of applicants and our lowest-ever acceptance rate, a good indication of our position in the competitive landscape of higher education.

In the next few years, therefore, the College can expect its economic model to remain viable. But as the following sections suggest, over a longer term -- within the 10 year horizon of our current budget forecasts -- Carleton's economy is *not* sustainable.

Revenue Forecasts: Conclusions and Recommendations

Although returns from the endowment do not make up the largest portion of the revenue in our operating budget, they are in some sense the most important piece of the puzzle. We began our deliberations this year by reviewing the endowment spending formula, and came to the following conclusions:

1. The model for endowment spending approved by the Trustees this October offers an appropriate compromise between the present and future needs of the College. This model, with its new "70-30" method for determining the allowable spending from the endowment in each fiscal year, adequately insulates annual budgets from major year-to-year volatility.
2. This model's reduced expectations for the endowment's annual growth rate (2% rather than 4-5%) mean that any significant growth in the College's budget will need to come from other sources.

Student fees provide the largest source of operating revenue. But as the following conclusions suggest, we cannot expect tuition revenue to make up for the slower growth of the endowment returns:

3. There is an increased sensitivity to the cost of attending Carleton. This may inhibit future attempts to increase student fee revenue beyond the rate of inflation. The comprehensive fee has increased faster than inflation for several decades, but this trend seems unsustainable in the long-term.
4. The current projection of 3.75% annual increases in the comprehensive fee will likely hurt the quality of Carleton's student body over time. Our ability to attract students from diverse backgrounds will be compromised, and we will also face increasing competition for those full-paying students who meet our current admissions standards.

Fundraising, the third major revenue source, offers some hope for growth beyond the very modest predictions for endowment returns and tuition revenue, but here too we likely face real limits:

5. Development efforts, if continued at their present scale, will generate increases in gifts to the Annual Fund and major/planned giving, but there are good reasons to restrain our expectations. The rapid professionalization of Carleton's development efforts and the expansion of outreach into new communities (e.g. parents) has created remarkable growth in giving over the past few decades. Future growth in giving seems likely come at more modest rates of return on investment.
6. There are a few significant opportunities for future development efforts, such as expanding outreach to international populations, finding new ways to reach younger alumni (e.g. through an expanded 25th reunion program), and providing a greater range of alumni activities beyond reunions. However, these opportunities do not seem likely to produce returns on investment greater than our traditional sources of giving.
7. Carleton must continue to seek grants from foundations and other non-Carleton donors. Our recent success in attracting grants from the Howard Hughes Medical Institute and the Starr Foundation offer precedent for these efforts. Although these grants are not likely to change our fundamental assumptions about budgeting, they allow us some opportunity to pursue important curricular innovations.

We recognize that the proposals from the "Blue Sky" working group offer some hope for new revenue, from expanded summer programs, increased enrollment in Carleton-run OCS programs, and other sources. But none of these revenue streams seem likely to significantly change our dependence on the three traditional pillars of the College's budget (the endowment, comprehensive fees, and gifts). All of these factors suggest that Carleton must plan for a decade of very slow growth in the overall operating budget.

Future Expenses: Conclusions and Recommendations

The constraints on revenue will have serious consequences for our expenses. Although the College has a 10-year budget model that remains in balance theoretically, there is reason to believe that this model conceals pressures that will make it fundamentally unsustainable. And while a small increase in borrowing might alleviate some of these pressures, it is not a viable comprehensive solution.

1. Our current spending on maintaining our physical plant is not sustainable, at least not over the intermediate term. The backlog of maintenance projects is a major concern, and the current budget models do not address these needs. As a partial solution, we recommend that Carleton adopt a policy of budgeting for a contingency fund of between .5% and 1% of the total operating budget. When not used for contingencies, this would become a modest annual budget surplus that would be reserved for maintenance needs. Opening room in the operating budget for this contingency fund will take several years of adjustments, and in the meantime we recommend that Carleton reserve any end-of-year surpluses for maintenance needs.
2. Compensation for some employees is already drifting below median rates from comparable institutions. The current budget projections of 2% increases (i.e. less than the predicted rate of inflation) for the following decade means that the standard of living for all employees will suffer.
3. Financial aid will need to increase if we are to maintain the quality of our student body. Our current policy of holding increases in financial aid in lockstep with increases in the comprehensive fee (i.e. not allowing financial aid to grow at a faster rate than our fee) will, over time, have significant undesirable effects on the makeup of our student body. Financial aid will need to increase relative to the fee if we wish to maintain (or improve) the socio-economic diversity of our student body.
4. Carleton should work hard to retain our Aa2 debt rating, and not simply because the rating affects the cost of our debt payments or the ability to issue new debt, but because the rating is a good, third-party measure of the sustainability of our economy.
5. We have the capacity to add more debt and still retain our Aa2 debt rating, but we would need make room in the operating budget to service it. We recommend investigating whether modest borrowing for certain badly-needed capital projects may save us money over the long term. That is, it seems possible that the cost of some maintenance projects may increase faster than inflation, and that by delaying these projects we will face significantly greater costs later on. If so, assuming a modest amount of additional debt – even in the absence of directly-related revenue to pay for it – *might* make sense.

Meeting all (or even any) of these long-term needs will be difficult. We believe that increasing financial aid and addressing deferred maintenance are the foremost priorities, but that keeping compensation in line with inflation is only just behind these other needs. Only when it addresses all these needs will Carleton's economic model be truly sustainable.

Making Carleton's Economy Sustainable: Further Conclusions and Recommendations

The unsustainable aspects of Carleton's 10-year budget model mean that we must create room in our operating budget for increases in maintenance, financial aid, and compensation. And a realistic, more sustainable budget model might involve comprehensive fee increases that are closer to the annual inflation rate than the 3.75% increases currently projected. Without significantly increased revenue to fund these needs, we will need to find other solutions. Where will future savings come from?

1. There are only relatively modest savings that can be wrung from the "non-compensation" expenses in the operating budget, e.g. travel, supplies, and equipment. We should continue to seek savings in these areas, and wherever possible, keep growth in these parts of the budget at or below 2%.
2. More dramatic savings will need to come from productivity gains across the College – i.e. doing what we do now (or even more) with fewer people on the payroll. At an absolute minimum, this means keeping the student-faculty student-staff ratios locked in where they are now. This also means finding productivity through the use of technology, to maximize the efficiency of faculty contact hours. For example, faculty in some high-demand areas might choose to experiment with online resources to make the best use of more limited contact time.
3. Given that we still will need to grow in certain areas – both curricular and co-curricular – we will need to end our commitments in other areas. The College should adopt a policy of "start one – stop one" to make sure that the evolution of our offerings does not end up simply adding faculty or staff FTE. To some extent, attrition will provide opportunities to reallocate faculty and staff positions.
4. Carleton should seek further efficiencies through closer partnerships with St. Olaf to share staff and faculty. The precedent of the links between our two libraries is a good one, and might be extended to include more "back office" functions of the College. Sharing positions will involve careful negotiations, including the possible establishment of a third-party entity to manage employment, and this will be especially true of shared faculty positions. But the potential savings and opportunities for growth are significant.
5. To the extent that modest changes to our academic calendar would enable further cooperation with St. Olaf (e.g. by synchronizing the opening of fall term), these changes are worth pursuing. Greater curricular flexibility (as recommended by Working Group #4) might create greater staffing flexibility and is therefore also worth pursuing. To the extent that changes to our academic calendar might also enable greater participation from non-Carleton students on our OCS programs (as recommended by Working Group #11), we also recommend pursuing such changes.
6. At this time, the financial benefits to more radical changes to our academic calendar seem less clear. If a different calendar would allow us to enroll more students without significantly expanding our costs, that would present real benefits, but we are not yet persuaded that this is realistic. Compared to

a semester schedule, Carleton's unique trimester system offers some advantages for our students, and may even be allowing us to maximize our resources (both human and capital).

Final Thoughts: Major Variables and Essential Goals

Naturally, looking ahead 10 years involves some significant unknowns, and these variables might affect our economic model for the better or for the worse. If U.S. household incomes (and not just at the upper end of the scale) were to begin growing again, the pressures on our comprehensive fee and financial aid budget might diminish. If the long-term escalation of health-care costs is finally arrested, our budgets might gain new flexibility. If the endowment consistently outperforms expected annual growth of 5-7%, we will have more options. But there some equally troubling possibilities that the future may be more, rather than less, difficult. The endowment may underperform expectations, reducing our ability to grow in the ways we want to. And if competition from low-cost models of online education makes inroads into our applicant pool, or if there are other unforeseen upheavals in the higher-education market, Carleton will need to make quicker, more radical changes to its economic model.

In the long term, the single most important guarantor of Carleton's sustainability is the endowment. Increasing the College's endowment-per-student ratio should be a major goal, since it allows us to keep pace with (or catch up to) our competitors, and will allow for greater flexibility in the future. This can happen if our investments consistently out-perform our peers' and/or if we attract significant gifts to the endowment. And it must involve a strictly disciplined approach towards the draw on endowment.

Creating a truly sustainable economy for Carleton will require focused attention and commitment from the entire community. All constituents -- faculty, staff, students, alumni and trustees -- will need to be clearly informed of the stakes involved and the available options as the College makes difficult decisions. Historically, Carleton has been able to rely on a strong sense of collective purpose to help preserve morale during challenging circumstances. Though it cannot be measured like a budget line-item, this sense of collective purpose is an essential resource and one we will need in the decades to come. And it is also the reason we remain optimistic that Carleton can meet the challenges ahead.

Respectfully submitted,
Cliff Clark, Mike Flynn, Stefanie Herrick, Rich Kracum, Martha Larson, Bill McLaughlin, Jean Sherwin, George Shuffelton (convener), Sarah Titus, and Wally Weitz

Appendix 9

Report of Working Group 9: Rethinking Administrative and Faculty Functions

Faculty members who serve as both excellent teachers of undergraduate students and as active, accomplished researchers are at the core of Carleton's mission. Accordingly, most faculty members should be able to devote considerable time and energy to teaching or to research while minimizing unnecessary time spent on governance or administrative tasks. Our strategic planning working group has spent the past year investigating how we can better use currently-available resources – the time of faculty and administrators, information technology infrastructure, administrative routines and processes, and of course financial assets – to enhance the ability of faculty to focus on teaching and research without undermining any of the other central values of the Carleton community, such as transparency and inclusivity

I. Governance at Carleton

We need to reduce the amount of time members of the Carleton community, particularly faculty members, devote to governance without undermining our values of transparency and inclusiveness.

Carleton has a complex and extensive governance system consisting of over 60 committees formally recognized on the website of the Dean of the College website as well as numerous other task forces and committees. Faculty, staff, and students devote significant amounts of time to serving in various roles within the governance system; according to the 2010-2011 Higher Education Research Institute (HERI) survey of 138 faculty members at Carleton, Carleton College faculty spend approximately 17% of their time (roughly 7 hours per week) on committee and other administrative work.

This governance system is the result of strong values and good intentions – in particular, our governance system is designed to be transparent, to include and represent various interest groups in the Carleton community, and to foster the building of consensus. However, the time devoted to governance can detract from other important activities, including teaching and research. While the amount of time spent by our faculty on administrative and governance functions does not differ significantly from the time spent by faculty on similar activities at our peer institutions, our working group has concluded that the design of our governance system can be inefficient and, perhaps counter-intuitively, can also undermine our goals of inclusiveness, transparency and consensus-building. In particular, our sense is that there are many committees within the governance structure that lack a clear mandate or clear sense of what their goals are, what the scope of their authority is, to whom they report, and in what time frame they should address issues within their jurisdiction. In addition to wasting the time of those involved, committees that lack these qualities undermine governance at Carleton by creating the impression that our governance system is pointless, unfocused or not designed to truly be inclusive. With that in mind, we recommend, as described more fully below, that the existing governance system be reviewed rigorously to eliminate inefficiencies and overlap while still preserving our central values of transparency and inclusiveness. We

recognize that the successful implementation of these recommendations will require significant effort and commitment from the President's Office, the Dean of the College Office, and the Faculty Affairs Committee (FAC). Specifically, we recommend that:

1. *We should fully review the existing governance system and eliminate duplicative and unnecessary committees, task forces, and initiatives from the Carleton governance structure.* As part of this process, reviewers should ensure that all committees have clear mandates, clear goals and exist within a clear reporting structure. In addition to eliminating committees that are no longer deemed necessary, we recommend the following:
 - a. *Reviewers should look for opportunities to transfer committee work to existing offices and programs or to task forces.* While we did not engage in a detailed review of the work of individual committees, and are not in a position to recommend specific changes, a brief review of the existing structure suggests the types of questions that might be explored. For example, the Japanese Garden Advisory Committee is composed of faculty from the Asian Studies program and key staff from Facilities. Could this work be done through an ad hoc committee within the Asian Studies program, in consultation with Facilities when a specific issues arise? Could the work of the Civic Engagement and Service Committee be done by faculty and staff in the newly created Center for Community and Civic Engagement, in consultation with ad hoc focus groups of faculty, staff, students, and/or community partners? While we have not attempted to determine whether committees such as this should, in fact, be combined in some fashion, we believe that carefully considering this type of issue is critical to rationalizing our governance system and freeing faculty members to spend more time on teaching and research.
 - b. *Similarly, reviewers should look for opportunities to combine committees when the membership and/or goals overlap substantially.* For example, the Academic Technology Advisory Committee and the Administrative Computing Advisory Committee address many similar issues from different perspectives. Could they be combined? Several formal and informal committees address soliciting and funding of speakers on campus. Could these committees be combined into a single committee that serves as a central point of discussion for all on-campus speakers, including ones solicited by departments and programs?
 - c. *Reviewers should also look for opportunities where additional committee membership overlap would increase the transparency, efficiency and effectiveness of existing committees.* Could the work of the Junior Faculty Affairs Committee be aided by working more closely with the Learning and Teaching Center director and/or the newly appointed Director of Faculty Development? If the Academic Computing Advisory Committee included elected faculty from the Faculty Affairs Committee and/or the Education and

Curriculum Committee, might it be more effective in addressing college-wide concerns?

- d. *Finally, the reviewers should collect information from committees on campus that are not currently part of the formal college governance structure.* Collecting this information will assist in both better understanding the structure of our governance system as a whole as well as assist individual groups in defining and focusing on their mission. Examples might include the Humanities Center Advisory Board, the Science Steering Committee, the Foreign Language Committee, and the QuIRK Steering Committee.
2. *Committees should at all times have (i) a clear mandate, (ii) clear authority, (iii) clear lines of reporting and (iv) time limits and deadlines as appropriate.* Each committee should have a clear written mandate, with goals, reporting structure, and time lines. Each committee should be identified as a decision-making committee or an advisory committee, with clear lines of reporting. Committee chairs should be held accountable for furthering the goals of their committee and reporting this progress to the relevant authority and to the college community. Committee chairs should provide annual written reports, outlining tasks accomplished in the previous year and short- and long-term goals for the committee, along with prospective time lines for these goals. These reports could be shared online and/or at a faculty meeting, SAC, or CSA, where appropriate, and be used in the regular review of the committee. Moreover, this process should aid in determining when a particular committee is no longer needed, and thus enable elimination of the committee once it has accomplished its goals.
3. *We should provide mechanisms by which committees, task forces, and initiatives can maintain continuity of records and goals despite changes in chair and membership.* Committees can become inefficient, drift away from their primary goal or fail to recognize when the tasks they were designed to accomplish have been completed in the absence of clear records and institutional memory. We should therefore provide committees with the necessary support to maintain records of committee work either online and/or on paper where appropriate to provide a historical record for committees. In some cases, we should also encourage committees to have overlapping terms for incoming and outgoing chairs.
4. *As part of establishing new task forces or committees, we should also consider whether the committee should have a “sunset clause” – that is, a time after which it will be disbanded.* Doing so should help prevent inadvertent growth in the size of the governance system at Carleton.

These steps should be driven by the goal of maintaining and enhancing the transparency and inclusiveness of the governance system. In presenting this recommendation, we are neither trying to undermine Carleton’s values of inclusiveness and transparency nor trying to reduce the legitimate and important role that the members

of the community play in college governance. In addition, we recognize that on most issues of importance to the Carleton community, various groups (including faculty, administrative staff, and students) should have an opportunity to participate in decision-making. Finally, we understand that parts of the governance system, particularly those that focus on academic issues, are within the purview of the faculty.

II. Administrative Functions and Support at Carleton

We must use administrative resources at Carleton more effectively and flexibly to support the academic mission of the College.

Administrative personnel and support are critical to the effective functioning of the College. In particular, excellent administrative support resources -- in the form of staff, technology, workplace processes, and other assets -- allow faculty to focus on their core teaching and research responsibilities. However, in the current economic environment, administrative-support resources are both limited and unlikely to grow.

In this context, the Committee has worked with faculty members, administrative staff, trustees, and others in the Carleton community to identify four key steps we should take to enhance administrative support at Carleton:

1. *We must do a better job of identifying the new types of administrative support that would be most useful to faculty members and to more effectively deploy the administrative resources we have available.* These resources could include administrative assistants at the program or department level, student workers, IT professionals, new or different IT applications, and improved work processes (in such areas as credit card processing or universal calendaring).
2. *We must ensure that administrative staff are able to continuously develop the skills necessary to advance their careers and to address the highest priority administrative needs of the College.* Administrative staff must improve their professional skills in order to effectively support the rapidly changing needs of the faculty and departments, perhaps through a formal staff development program akin to faculty members' PDA accounts. Doing so will allow us to provide new types of administrative support without increasing the size of the administrative staff.
3. *We should creatively consider new ways to increase the flexibility of our administrative staff, so that we can shift them to areas where they are most needed, whether on short-term, long-term, or permanent bases.* With the increased numbers of initiatives, programs and grants, this need for flexibility has increased in recent years. In response to this changing environment, we should consider ways in which various groups at Carleton can more effectively share support services (e.g., administrative assistants via a "pool"), even if this somewhat reduces departmental autonomy.

4. *We must keep faculty members, particularly new and junior faculty, better informed about the breadth and depth of administrative support available to them.* The focus groups that we conducted revealed that faculty, particularly junior faculty, are often either unaware of the administrative resources that are available to them or have inconsistent understandings of those resources. We believe that if faculty better understood what resources were available to them, they would use them more effectively. We therefore need to take steps to educate the faculty on the College's administrative resources. Several means to this end come to mind: "did you know?" style features in the Carleton Weekly, a centralized and more intuitive directory of online resources, experienced "staff mentors" for new faculty, and/or focused training by key administrative offices (e.g., the Business Office) at events such as the fall faculty retreat or December faculty workshops.

III. Technology

In order to better utilize and develop technology resources at Carleton in support of the College, we need to ensure that our technology spending is driven by established strategic priorities, that the governance processes around technology are sufficiently centralized to ensure that Carleton's technology infrastructure is developed efficiently and coherently and that those governance processes are clear, transparent, consistent, and inclusive.

Technology is ubiquitous at Carleton – it plays a key role (i) in the teaching and research that occur on a daily basis at Carleton, (ii) in supporting all faculty, staff and students at Carleton and (iii) in performing purely administrative functions as efficiently as possible. Technology is also expensive and changes rapidly. Mistakes in addressing technological needs can be costly both in monetary terms and in how they affect the work of the college on an ongoing basis; indeed, a recent risk assessment performed by the Business Office and the Board of Trustees identified conflicting IT priorities across college departments and divisions as the most significant risk facing IT at Carleton.

While Carleton has had a somewhat centralized model of IT decision-making and support, conflicting priorities of the centralized structures (e.g., ITS) and the distributed elements (e.g., staff members performing IT support in various departments) have, at times, complicated the implementation of a unified strategic approach to Carleton's technology infrastructure.. The Technology Planning and Priorities Committee (TPPC) is designed to address this need, but a number of issues, including its structure, membership and meeting frequency can hinder its ability to establish and implement priorities effectively. In particular, the TPPC meets relatively infrequently. As a result, even small issues can take a lengthy time to decide and implement. In addition, in structuring the TPPC, the College needs to ensure that the TPPC's membership consists of an appropriate balance of technological expertise and different types of technology users. Without an appropriate balance, the TPPC will be unable to make decisions that reflect the existing design of the College's technology infrastructure, the costs and opportunities

that new technologies present and the needs of varying users at Carleton. Structured properly, TPPC decisions should be understood and accepted by members of the Carleton community, even when a particular group does not obtain its first choice technology solution or is required to be inconvenienced for the long term benefit of the community.

Finally, at least some of the members of TPPC need to be strongly versed in the opportunities technology presents so that high-level strategic decisions are made with a thorough consideration of both the technical implications and the potential opportunities afforded by technology. This is especially true in decisions relating to the renovation of existing or construction of new buildings, but is also an issue in matters of staffing, academic directions, and cost-saving.

The College's head of IT should be an active participant in the TPCC. In addition, the head of IT should be placed in a position within the College's organizational structure that permits the individual to lead Carleton's approach to technology effectively and provides the individual a high level of visibility on campus, among the faculty and within the College's administration. Defining the position appropriately will permit Carleton to attract and retain individuals with the technological expertise, authority, and strategic vision to provide technology leadership on the TPPC and elsewhere. Moreover, this will enable the early inclusion of the individual in campus-wide projects that will have a long-term impact on the effectiveness of Carleton's technology infrastructure. We also recommend that the head of IT consider establishing an advisory committee on technology. This advisory committee, which would help provide the head of IT with better insight on the needs of technology users at Carleton, should likely represent the views of key constituencies in Carleton community.

Finally, the IT decision-making processes should align with the college's strategic priorities and need to be clearly delineated, transparent, consistent, and inclusive. These processes need the ability to be flexible and responsive in the face of inevitable exceptions. They should also be clearly communicated, so that the community understands the processes, policies, and their rationales, as well as why, when and how exceptions are made. A campus community education campaign should be launched, with an emphasis on communicating the benefits of following IT policies and the costs of non-compliance to the community at large to encourage greater compliance, resulting in greater efficiency.

IV. Cross-Institutional Collaboration

In recent years, Carleton has taken significant steps to identify opportunities to collaborate with other institutions, including with St. Olaf, with other educational institutions in Minnesota and with peer colleges across the nation. Many of these collaborative opportunities either have or have the potential to allow Carleton to achieve significant savings.

Given the success of cross-institutional collaboration, we believe that, as a strategic matter, looking at opportunities for collaboration should be embedded in all

decision-making processes at Carleton. The working group believes that even though we are not recommending a specific change, identifying cross-institutional collaboration as a goal in the forthcoming strategic plan will help embed collaborative thinking in the culture of Carleton.

That said, as the College moves forward to implement its strategic plan in the coming years, leaders in the College community should look for opportunities for collaboration that have not been previously discussed. For example, various issues discussed in our report, including using administrative staff and resources more flexibly and managing the ongoing build-out of technology, may well provide new and unexplored opportunities for collaboration with St. Olaf and other colleges and universities.

Appendix 10

Report of Working Group 10: Physical Plant

Physical Plant Working Group: Recommendations

The Physical Plant working group was tasked with answering the following question: *What are our greatest existing and projected physical plant needs, in priority order?*

The recommendations of this group grew from conversations with individual departments, faculty members, facilities staff, and others. Preliminary recommendations were presented to the board of trustees in May 2012 and subsequently, two public sessions to share recommendations with the Carleton community were held.

1. Sciences

Carleton cannot maintain its strength in the sciences with its current facilities, and this group recommends beginning a planning process to address teaching and research needs of the sciences, including research, teaching, and infrastructure. As the group deliberated, it became clear that additional expertise is needed to determine where and how our science facilities should be renovated or expanded, and we urge that the planning process commence immediately, recognizing that the timeline for planning a major science project is several years.

2. Music

Numerous studies have addressed the chronic problems and shortcomings of the Music & Drama complex, and this group echoes previous reports and recommends that the College abandon and raze the Music and Drama complex.

We recommend that the College build music space in order to increase, replace and improve classrooms, storage, rehearsal and practice spaces for the music department and extracurricular activities, including a small recital hall.

We recognize a need for a large campus performance space (seating 400-500 people) to serve Student Life, Convocation, large music performances, student events and other campus needs. We recommend that planning commence to determine whether existing campus facilities or a new building/space would most appropriately meet this need.

3. Teaching and learning spaces

We recommend that the College renovate, modernize and increase the number of classrooms, especially in 30-50 student size, in order to allow for multiple teaching and learning approaches, including need for innovative technologies. Buildings that have classrooms inadequate for today's teaching pedagogies include Leighton, Laird, Willis, Olin, Boliou, and Goodsell. The art department's need for an additional 1000sf+ for classroom space and storage is included in this recommendation although their technical requirements are minimal. Building renovations should be configured for best use of classroom, departmental and administrative space.

4. Deferred maintenance

The College must also make meaningful headway in addressing its considerable backlog of deferred maintenance projects by (1) continuing with renovations of extant campus buildings (e.g., Evans and Scoville and other projects noted above), (2) restoring the annual maintenance budget at least to its pre-2008 recession level; and (3) budgeting for a contingency fund of between .5% and 1% of the total operating budget. When not used for contingencies, this would become a modest annual budget surplus that would be reserved for maintenance needs.

5. Gould Library

Centralize academic support and expand research and teaching space in Special Collections and Archives in Gould Library.

6. Scoville

Renovate and restore Scoville for a highly visible and important purpose.

7. Current Plans

Endorse *2007 Residential Life Strategic Plan* to build student townhomes to accommodate student interest in semi-independent living and board options, and consider Sayles-Hill's function as a student center, using the Committee on Student Life report, *Sayles-Hill Campus Center Master Space Plan Exploratory Potential* (Zarr, 2011) as a starting point.

Appendix 11

Report of Working Group 11: Community

Our Community Working Group makes the following four recommendations based on information gathered this past year from our Carleton Community. Our Community Working Group has identified our “community” as all students, faculty, staff and alumni of Carleton. We understand that one of our strengths is recognizing that our community consists of members of multiple, intersecting, more exclusive communities that enrich the larger Carleton community precisely by bringing in different perspectives.

“How best to retain and enhance our sense of community?”

1. Adopt an Honor Code

- We recommend that, if there is student support, a community committee be formed to adopt a written honor code that outlines the academic and social rights and responsibilities of faculty, staff, and students in creating and supporting an open and inclusive environment. We recommend that a 5th year intern be put in place to oversee and implement these recommendations and direct this committee. This honor code should be based on Carleton’s inherent principles and publicly stated values, which promote equity as a value, reflect our commitment to helping the whole individual grow and develop, and inform all other college policies and practices; the honor code will be revisited and reaffirmed on an annual basis. (For further information on our Honor Code research and questions raised on campus, please see the attachments).

2. Improve Campus Health and Safety Initiatives and Emergency Preparedness

- Our community must commit to making “emergency preparedness” a priority through communication and education. The goal is to enhance our community by making our members better resources to each other. We recommend that security services and the safety committee be charged with empowering our campus leaders and community to inform and educate their peers.
- We strongly recommend that we adopt a policy that requires students living on campus, all faculty and all staff to sign up for the Emergency Notification System by the 2013-14 academic year. We currently only have one third of our community who have opted to sign up for this free email and/or text notification service.
- We see the need to create a centralized website that would inform our community on campus health, safety and emergency information and would include direct links to: our Emergency Notification System, Emergency “Flipchart” PDF (that is currently near completion by the safety committee), AED locations (we have 16 new devices on campus), Blue light locations, Security Office, Safety Committee, CPR training, Student Health and Counseling center (SHAC), alcohol policies, community concerns form, Ombudsperson, and others.

3. Expand Inclusion Initiatives

- Make the existing diversity statement more visible as a tool to build an inclusive community by using it as a foundation for our Honor Code discussion.
- Expand training and practice in community communication to include all members of the Carleton community, modeled on Intergroup Dialogues, Chili Nights, and Restorative Practices. Create additional campus-wide forums for community dialogue and training through speakers, workshops, and Community Lunches.
- Create a culture of mentorship by building on existing support programs and services that offer students the tools they need to succeed, and by creating complementary programs for faculty and staff. These programs should be developed in consultation with groups like TRIO/SSS and the Learning and Teaching Center that already have some mentoring programs in place.

4. Prioritize and Expand Community Space

- Prioritize creating shared office space and meeting space for representatives from diverse groups to collaborate, and create a stronger sense of community among diverse communities.
- Expand safe spaces for inclusive exchange and discussion. These safe spaces involve developing physical locations that encourage interaction and break down silos among different groups, and build on existing opportunities for free and frank conversation, like the intergroup dialogue program.

Based on our four recommendations, we do not predict the use of many, if any, college funds. We have identified two grants that specifically promote campus community and inclusion initiatives, which we would recommend be used to fund the 5th year intern position and/or any costs associated with conducting research into adopting an honor code at Carleton.

Measuring the results of our community recommendations pertaining to inclusion, health and safety, and space should be continued through annual campus and committee surveys that are already conducted with alumni, exiting seniors and through CEDI. We recommend that if an honor code is adopted it is “reviewed and ratified” each year or at least once every four years by the entire Carleton Community as a means of evaluating and measuring the Code’s purpose.

Thank you for the opportunity to serve our Carleton Community in this important strategic planning process,

The Community Working Group

Appendix 12 Report of Working Group 12: Blue Sky

Question:

Are there entrepreneurial ideas, new revenue streams, ways to raise the profile of our “brand,” or partnerships with colleges/universities in other parts of the country or world that we should pursue?

I. Carleton Institute for Teaching Excellence

Carleton is very clear about its mission and overarching goal: to provide an exceptional undergraduate liberal arts education that is among the best in the world. An annual Institute for Teaching Excellence, modeled after the Learning and Teaching Center's (LTC) December New Faculty Workshop, would make available to an external audience what we already do so well for our own faculty and staff in fostering and encouraging a tradition of pedagogical excellence. The institute would help us ‘own’ this particular attribute, demonstrate in concrete ways why we are ranked #1 (USNWR) in undergraduate teaching among national liberal arts colleges, encourage us to keep on top of innovations in liberal arts pedagogy, and also be a financial plus.

Recommendation #1: Create an Institute for Teaching Excellence open to external audiences.

Structure, experience: We envisage the Carleton Institute of Teaching Excellence (CITE) as a 1-2 week summer workshop program intended for academics who are interested in developing as teachers and in learning about pedagogical issues beyond content delivery. The institute would be structured along the familiar lines of the annual New Faculty Workshops that have been run by the LTC for new and visiting Carleton faculty for the last twenty years, and which have proved invaluable in developing our own faculty. Carleton LTC leaders and faculty have led such workshops for external audiences (ACM consortia) as well as national conferences on the scholarship of teaching and learning. CITE would formalize and expand upon such offerings for the external academic world.

Audience: Just as for the LTC New Faculty Workshops, the targeted core audience would be faculty who are newly embarking upon academic careers. After an initial launch, we anticipate that CITE’s audience could be broadened to include other groups such as graduate students/postdocs and international faculty interested in the liberal arts teaching model. If we have a successful version of the institute, we can also imagine expanding to more specialized workshops based on distinctive Carleton initiatives and programs, e.g, Visuality or QuIRK, which could also attract more senior faculty seeking renewal. We expect to provide longer-term benefits to those who “graduate” from this program -- a virtual cohort that would share questions / post-institute teaching experiences on electronic fora possibly hosted by SERC, have access to videos of LTC faculty development sessions, etc.

Benefits: CITE would produce modest financial benefits (depending on the financial model, ranging upwards from \$30K - \$50K annually) but would benefit Carleton more significantly by enhancing our brand and national reputation in current areas of strength and motivating us to further success in areas where we already excel.

Partners: It would be advisable to partner with consortia and foundations to direct participants to the institute. For example, we can imagine in the initial experimental stages that ACM colleges would gladly send their new faculty to the institute if funded by the Teagle foundation, which might view CITE as an opportunity to influence teaching across a broad spectrum of institutions. Other external funding

partnerships might come from the Mellon foundation, NSF, etc.

Opportunity costs / Measurements: The initial costs for creating and advertising these programs would be relatively modest (the equivalent of 0.25 faculty/staff persons, perhaps) and would draw largely on in-house expertise, off-set by the value of keeping current on teaching innovations. Underutilized facilities would be tapped for use. Success would be measured by enrollments and revenue, as well as through assessment of participant experience and what difference CITE has made in teaching/learning on home campuses. There is some risk to our reputation if participants do not highly rate their CITE experience; but a successful, valued institute would better position Carleton to be a leader in national discussions on teaching and learning, including those currently addressing rising expectations for higher ed.

II. International Off Campus Studies (OCS)

International OCS programs are central to a liberal arts education in a “globalizing” world. Carleton students go on OCS programs (of which ~90% are international and 10% are domestic) in remarkably large numbers compared to our peers (~70% of each class). About 60% of these experiences are on our own programs. We have developed a strong portfolio of programs, distinctive in that they are a natural outgrowth of our faculty’s interests and our curriculum; are based on thoughtful, integrated pedagogy; and come with a signature academic rigor. We should build on this strength for several reasons: to better prepare our students for life after Carleton, to increase our visibility among our peers and prospective students, and to add new net revenue to our bottom line.

Recommendation #2: a) Expand, innovate and further integrate off-campus studies programs for Carleton students; and b) open some Carleton off-campus studies programs to non-Carleton students. *

2(a) Expansion, innovation, and thoughtful integration of OCS programs for Carleton students: We support several ideas of the Global Engagement Initiative, including: (i) a pre-matriculation summer program with internationally themed courses plus language; (ii) pre-departure and re-entry OCS course work; (iii) multi-disciplinary global-themed core courses. Important, too, is heightened on-campus visibility of returning students’ OCS experiences through high profile poster exhibitions, digital story-telling, publication/ coverage of OCS research, etc. Building sustainable connections with specific international communities through developing “sites of activity” -- where Carleton has existing infrastructure, logistical resources and faculty local connections -- would allow cost-effective program expansion on the same site for different departments and faculty throughout the year. Thoughtful innovation in our OCS programs to attract Carls back from non-Carleton programs would help retain the financial aid that otherwise goes off-campus (~\$700,000 annually).

2(b) Open some Carleton OCS programs to non-Carleton students: Offering OCS programs to non-Carleton students would both increase Carleton’s visibility and generate additional revenue. The **simplest model** is to open *unfilled* spots in OCS programs to non-Carls from our “peer” schools, broadly defined. Calendar differences are problematic but may be viewed as advantageous by some non-Carls (including grad students) – e.g., less time off-campus, allows for internships, use of distance learning. A **second model** is for Carleton to be a service provider by offering OCS programs that don’t follow our calendar (semester, J-term). We would focus on a few unique “signature” OCS programs where we have an established reputation, unique competitive advantage, and costs are reasonable (such as Mali, Peru, Guatemala, Australia, Tanzania). These programs are dependent on individual faculty, so we should rotate a bag of carefully selected programs. Being a service provider to non-Carls carries some risks: *in loco parentis* liability; unknown reputational risks, changed relationships with other private and institutional service providers (stressed or strengthened). However, potential *financial benefits* are significant: a Carleton program for non-Carls on the term program would net \$120K - \$150K for 20 students. Pricing needs to be carefully tailored for each program to find the sweet spot between the Carleton tuition-based price (scaled to semester) versus the market price. Initial marketing is key; we would target quality schools without strong OCS programs (e.g., Harvard).

Opportunity costs / Measurements: 2(a) In OCS programs for Carleton students, expansion and innovation costs would include modest additional curricular innovation time (seek external funding) and OCS staff time; the development of more cost-effective “sites of activity” would trade off costs of some stand-alone OCS programs. We can measure success through increased enrollment rates. **2(b) Managing non-Carls** would require new systems and software support, as well as potential restructuring and added marketing capability of the OCS office. A potential drain on faculty resources can be mitigated with judicious use of quality non-Carleton faculty with strong Carleton connections (e.g., the alum-conducted Australia biology program). We suggest evaluating this program based on revenue goals of: (i) net positive revenues at the end of 3 years; and (ii) \$250K generated annually by the end of 5 years; measuring increased visibility may be trickier.

[*Note: We considered and rejected establishing an international satellite campus as a risky, prohibitively expensive investment that puts too many eggs in a one geographic location. We also rejected imposing a mandatory international OCS requirement for increased visibility purposes, concluding that very high voluntary participation is more impressive than 100% mandatory participation.]

III. Online / Blended Learning

Online educational materials and platforms have begun to proliferate widely, allowing lecture-style classes to be delivered to massive numbers of globally dispersed students of all ages. While based on a fundamentally different educational model than Carleton’s (18-22 year-olds, small classes, residential setting, stellar graduation rates), these low- or no-cost educational offerings could pose a serious threat to residential liberal arts colleges. Online teaching and related technologies, however, provide opportunities to improve our pedagogy and our efficiency. In response, we must balance addressing the cost of the academy while continuing to do what Carleton does best: provide exceptional undergraduate liberal arts education through effective student-faculty interaction. If quality education can be purchased at a low-enough cost, or if employers and professional/graduate schools do not value our diploma enough, we will have three choices: compete, adapt, or close our doors. We endorse taking an adaptive approach, reflecting Carleton’s mission and identity, that monitors and aggressively confronts the developments / disruptions ahead in this fast-changing landscape.

Recommendation #3: Establish a permanent Future Learning Technologies group (FLT) to investigate, evaluate and demonstrate ways to: a) use online tools and related technologies for developing effective blended learning models, and b) increase efficiency in delivering a high quality liberal arts education in the face of quality, cheaper online education offerings. We endorse the March 2012 recommendations from the Online Learning Models group as a starting point for the FLT group.

FLT Composition and Charge: FLT would be composed of those with the expertise to understand the content and implications of rapid developments in online education; the influence on campus to encourage faculty and staff experimentation and buy-in on needed changes engendered by these technologies; and the financial skills to analyze the cost savings and additional costs of particular models, as well as determine the financial investment needed for adoption of appropriate learning technologies. The FLT would be charged to:

1. Monitor, investigate and make recommendations regarding:

- joining with other institutions in new and established technology consortia (e.g., Bryn Mawr’s Next Generation Learning Challenges, Carnegie Mellon’s Open Learning Initiative, Mellon’s Project Bamboo) and in partnerships to explore sharing technology resources (e.g., with St. Olaf, the ACM);
- existential threats to the residential liberal arts model from lower-priced, quality online alternatives (currently, massively open online courses [“MOOCs”] such as those offered through partnerships/

companies like edX [Harvard and MIT], Coursera [Stanford, Princeton, Penn and Michigan], and Udacity);

- use of online teaching and related technologies by our competitors, including both pedagogical and cost effectiveness of such use (as also recommended by the Competition working group);
- relevant emerging trends such as employer/ institutional/ societal acceptance of new online learning credentials (badges, tokens, certificates) versus traditional degrees;
- assessments of learning outcomes of online education, particularly for 18-22 year-old undergraduates.

2. Evaluate and audition new opportunities for using online tools for blended learning pedagogies in classes and in programs like LTC and CITE, for some regular course offerings, and for non-academic institutional uses such as alumni connections.

3. Educate and raise awareness campus-wide of threats and opportunities posed by online technologies and regularly update the campus on progress and failures, what seems to be effective and what is not.

4. Identify mechanisms (e.g., grants, course releases, workshops, hardware/software options) to help faculty/staff develop online tools and materials for blended learning, utilize other technology platforms (e.g., tablet/PC apps, touch/mobile tech), and experiment with new learning technologies and equipment.

Rationale for adaptive approach: Core to Carleton's strength in teaching and learning is our focus on deep, personal interactions between students and faculty. Regardless of the medium of exchange, this type of individualized interaction, education, and mentoring cannot be effectively "scaled up" to a larger student audience without fundamentally changing its character or adding to faculty time commitment. We have difficulty seeing Carleton reinventing itself as a major producer of online content and competing with MIT, Stanford, or Udacity to create full courses delivered online, but should leave that option open as it may be the best chance for continued institutional health and success. However, access to open source and other online courses may enable us to efficiently provide certain kinds of courses: for example, some introductory prerequisite courses or courses in off-campus settings or certain kinds of language courses. We have relevant experience to use as a jumping off point; we already use online technologies such as Moodle, Skype, pod-casting, Piazza, Lynda.com, Khan Academy, and YouTube to enhance efficiency and focus more class time on interactive, team-based work. With further investment in learning technologies and in developing professional expertise, we will continue to build an effectiveness/efficiency learning model rather than a volume model.

Opportunity costs / Measurements: The primary costs are in faculty and staff time to explore new online learning platforms and incorporate them into classes. More investment in IT (bandwidth, faculty support, new media infrastructure, etc.) will also be required and will be costly. We should partner where feasible, make full use of our cadre of skills (e.g., in technical arts, media, computer science), and utilize support from our advantageous combination of technology resources (e.g., IdeaLab, LTC, Coordinated Support model, SERC). We may want to examine potential new administrative functions and structural changes to address rapid changes in learning technologies (e.g., a distinct division, CIO); also, this is one of a number of reasons that collaboration efforts with St. Olaf, given the proximity of the campuses, may be useful. We can measure progress through student/faculty surveys on the use of, and satisfaction with, online tools and learning models. New ways of measuring learning (and teaching) strategies are developing via cognitive science. Moodle may record data useful for analytics. Frequent FLT reports will provide crucial markers. While we need not jump on any or every fad in this area, a too-cautious reluctance to participate will see us forfeit opportunities to improve efficiency and the bottom line and could leave the college vulnerable.

IV. Visibility and Branding

Students, faculty, staff, families and trustees associated with Carleton know the value of a Carleton education. However, the findings of a 2004 comprehensive visibility study showed that Carleton neither commands a significant national presence nor is even as recognized regionally as might be hoped. Carleton is well known and highly respected among academics because of our reputation for teaching excellence (reflected in our rankings), but we do not see evidence that Carleton's visibility among broader, non-academic audiences has changed significantly since the study.

Why should raising the profile of Carleton's "brand" be a priority among competing demands for college resources? Increasing visibility to make a compelling case for the unique value of a Carleton education is critically important in an increasingly competitive environment to continue to: (i) attract and retain the best students, faculty and staff; (ii) maximize graduates' employment prospects; and (iii) secure financial support for Carleton's future. Raising Carleton's profile should be based on amplification of its genuine strengths -- not a manipulation of image, window dressing or advertising jingle. We do not envision a national branding campaign to influence the general public (requiring large expenditures); rather, our goal is to raise awareness of Carleton among three key audience segments: 1) prospective students and those who influence them (parents, guidance counselors, etc.) 2) opinion leaders; and 3) prospective employers.

Recommendation #4: Increase visibility and raise the profile of the Carleton brand by:

4(a) Retaining national professional marketing expertise to formulate and implement strategies to increase awareness of Carleton among the three audiences identified above.

- Do not conduct additional market research at this point – we have sufficient study data to get started
- Seek *pro bono* advice (<5 hours) of a leading Twin Cities ad agency with a consumer product focus regarding initial planning steps to identify the scope and goals of a broad visibility campaign (time frame: immediate)
- Budget and commit resources to retain branding expertise of a national ad agency with public relations, advertising, research, and digital capabilities (time frame: as soon as possible within budget cycles)
- Identify and reach out to alums with high level advertising expertise and contacts to assist in these efforts

4(b) Determining the feasibility of a post-baccalaureate pre-med program to increase visibility by highlighting Carleton's strength in the sciences, as well as to produce significant new revenues.

- Partner with Mayo, if possible – key to increasing visibility and marketing the program
- Market: those who decide to apply to med school late in college; no nearby competitors
- Consider year-round model (facilities and staffing challenges) versus summer model (use existing summer program infrastructure; could include undergrads)
- Supplement with non-Carleton faculty to mitigate strain on faculty resources

4(c) Utilizing the Carleton Institute on Teaching Excellence (CITE) and recommended innovations in international off-campus studies in strategies to increase visibility by highlighting Carleton strengths in undergraduate teaching and in global engagement. (See Recommendations #1 and #2)

4(d) Launching a range of low-barrier internal efforts to increase visibility, including: (i) annual Blue Sky convo with a high profile speaker, and partnering with MPR to live-stream all convos; ii) Carleton as leading authority / source of daily information (*The Carleton Index of ___?___ ... carbon footprint? climate change?*); iii) Carleton YouTube channel; iv) Celebrate Winter series: politics/culture/physics/literature of winter; v) low-cost marketing tools such as an elevator speech or tag line related to rankings or other high profile trait.

Opportunity costs / Measurements: Opportunity costs of doing something small are small; but effecting a real boost

in the profile of the college requires commitment of real financial resources to retain national professional branding expertise. We suggest setting a goal for national visibility efforts to double awareness of Carleton among the three target segments, as measured by branding metrics, within a reasonable time frame (e.g., 5 years). As we go forward, we will have to determine costs that may be funded through re-allocation and those requiring additional revenues. The postbac pre-med program has the potential to generate both significant net revenues and visibility. Enrollment net income will measure financial success of new programming; resulting visibility will be harder to measure.

[Note: We considered efforts to raise awareness of the value of liberal arts in concert with other colleges but concluded that is not a fruitful path – multiple past efforts have not succeeded.]

Appendix 13

Report of Working Group 13: Competition

Notable activity in the competition:

- Mass open online courses (MOOCs) currently offer free alternatives. Some of these are credit bearing.
- Some schools offer online courses in small scale (ie traditional model with roughly 20 students per faculty member) that use technology to break the barriers of geography.
- Competitors are more aggressive in preparing students for life after Carleton both in career service offices (internships, externships, alumni networking, etc.) and in the curriculum (creating pathways in the curriculum that connect to post-College vocations and avocations).
- Virtual Centers are used to raise profile without creating significant new programming and costs. Some are “physical” in the form of a one-term seminar (eg Wellesley’s Albright Center) while others appear to exist purely in the ether—web pages that connect faculty scholarship and courses around a narrow topic with little additional structure.
- Collaborations have developed to save money (eg Tri-Colleges—Bryn Mawr, Haverford, and Swarthmore—library system), to connect to professional schools (eg Wellesley’s collaborative environmental and sustainability degree that includes professional school coursework), to capitalize on faculty and student interests (eg international campus collaborations in regions studied by faculty), and to generate revenue (eg Middlebury’s franchise in summer language instruction or Penn’s Dubai campus).
- Large flagships increasingly offer Honors Colleges which promise an experience like that at a small liberal arts college at much lower cost (however, the promise doesn’t appear well-met).
- Some competitors are eyeing the same demographic shifts we are and responding with various targeted shifts in recruitment strategies.
- Several discipline-specific surges are noteworthy: Middle Eastern studies and interdisciplinary science. The latter may be an emphasis at Grinnell which has shown signs of increasing success in the sciences and recently hired a president out of the NIH and Chicago which has built large, new facilities.
- Several campuses have striven to sharpen their image. For example, Claremont McKenna emphasizes leadership as their unique strength throughout their website and campus. They live this out with a curriculum tied to the workplace, next steps, jobs and careers, and “Centers” which routinely point to leadership (eg “Center for Human Rights Leadership”). They have recently built a \$75M Center for Leadership which houses administrative offices and classrooms. In other words, they are very consistent in messaging.

Pay Attention to the Competition: The Working Group found our systematic examination of the competition to be very useful. By “competition” we mean a broad range of alternatives including any institution that might affect our ability to attract the students or faculty we seek. We strongly encourage administrators to revisit this process on a regular basis, drawing on publicly available information in addition to surveying faculty and staff who pick things up from peers. Carleton has always paid careful attention to its own performance and we have found it very useful to complement this information with a study of our peers.

Recommendations

(Note on Prioritization: The Working Group reached strong consensus that the first recommendation below was of the highest priority and the remaining three were more or less equally ranked. There was a feeling that “Profile” is incredibly important, but because it is hard and a bit nebulous it doesn’t rise to the top. If the administration had a clear sense on how to move that forward it might move into a clear second ranking.)

A. Enhance Connection between Career Planning and the Curriculum: From a competitive perspective, we support the recommendations of the Career Planning Working Group, and particularly those supporting the expansion of internships and improving accessibility of the alumni directory. These are areas of relative weakness compared to our peers. We propose to complement the recommendations of that group with one more: Carleton should create stronger connections between the quality liberal arts education we provide and productive post-Carleton career opportunities. We propose a collaborative effort involving the career center and faculty departments:

- Each department should designate a liaison to act as the point person between the career center and the department, developing and promoting department specific internship opportunities and alumni networking endeavors, and coordinating when alums are invited to give talks within departments.
- We propose that the Dean of the College office oversee the creation of “pathways” through our curriculum. These would not be degree programs. Rather they would be resources that help students and “Liberal Arts Advisers” (as envisioned by the Mentoring/Advising Working Group) organize the rich liberal arts experience into a coherent narrative that students can use to launch their post-Carleton lives. These resources might live on the web and a paragraph or two describing how a liberal arts education that integrates multiple perspectives provides a distinctively strong foundation for a particular vocation, and would name relevant staff and faculty who might help students in their vocational pursuit. “Alumni mentors” recommended by the Mentoring Advising Group may also be listed as potential resources on appropriate pathways. Relevant parents should also be included as resources. The webpages would also suggest relevant courses, co-curricular activities, and student work opportunities that prepare students for future endeavors in the area. In addition to helping students envision how Carleton’s education can be structured to empower them to achieve their goals, these resources could also be helpful to students as they articulate the power of their experience to potential employers.

How to Pay: The first is a matter of better communication rather than financial cost. We propose that the second be paid for by earmarking money already allocated to the Dean of the College discretionary fund as this is a modest investment in the continual rejuvenation of our curriculum which that fund supports. We imagine that the curricular “pathways” could be designed by faculty in consultation with staff and appropriate students. At a cost of \$200 per pathway to provide faculty “summer time,” \$20,000 total would pay for the creation of 100 curricular pathways.

Metrics:

- Fraction of students on exit interviews who indicate that their current post-Carleton plans are not part of a larger vision for their future. This probably requires new/additional questions on the senior survey.
- Fraction of faculty who say “prepare students for employment after college” is an “essential” or “very important” goal for undergraduates. (See HERI survey.)

B. Anticipate Demographic Shift in Admissions: To mitigate the risk associated with upcoming demographic change (loss of students or stagnation in the Northeast and slow growth in the Midwest) and our competitors’ potential efforts to attract students from growing areas, we propose to strategically shape the student body toward areas with growing numbers of prospective students. Specifically, we recommend the College continue to place greater recruitment emphasis in the west coast (Washington, Oregon, and California), which is an area of some strength, and the Southeast (Florida, Georgia, South Carolina, and North Carolina), an area of current weakness. To accomplish this, we recommend devoting additional staff resources to support this effort, particularly using technology to “meet” students virtually

such that operating expenses play a smaller role in expanded activity. In the Southeast we suspect better success in cities with universities/intellectual centers and in select schools with high-achieving students.

How to Pay: We expect this will take 1 more admissions staff position (at around \$50K salary or \$75K with benefits). We propose that Admissions continue to shift resources from operations (particularly when electronic resources displace more expensive physical documents or travel) and admin support lines (as online applications reduce the need for those services). We further recommend that \$15,000 of the increases in operating budgets projected for the next fiscal year be targeted for alumni relations to foster the growth of alumni group activities in the Southeast to increase our profile in these states. The next recommendation will also support this goal.

Metrics: In the near term (1-3 years) successful expansion in these markets will be seen by increased application activity—10% and 3% in the west and southeast respectively. Looking out 10 years we propose those targets be raised to 10% more applications from the southeast and 25% more from the west (relative to 2012). In addition, we propose a base target that by 2022 the fraction of the class hailing from the west rise by 10%; an aspirational goal might be to increase students from the west by 20%. These increases should be accommodated by reductions in students from the Northeast and/or Midwest. Of course, all of this must be open to change should demographic patterns deviate from the predicted patterns.

C. Attend to our Profile: Carleton's ambition is to compete in national and international, rather than just regional, arenas. The Carleton community affirms that the College's profile and reputation for excellence among key constituencies--prospective students, faculty, donors, and employers--is a critical variable in whether we can compete in these wider arenas and is deserving of sustained focus and commitment of resources by the College administration and trustees. Carleton should in all instances promote its reputation in ways that are consistent with its historic values of academic quality and egalitarian spirit. The Working Group recommends that Carleton set itself on a long-term trajectory toward a culture that values a higher profile. Specifically:

- Integrating external relations and the campus: Greater connection should be made between faculty, student, and staff scholarship/artistic production/work and external relations. We should aggressively push stories based on the work of our faculty, students, and staff through our webpage and through media outlets in Minneapolis/St. Paul, Chicago, and beyond.
- Making news: Carleton's administration should more creatively use the College's convening power--our ability to draw prominent speakers and illuminate vital issues of the day--as a way of increasing our public profile, nourishing relationships with high-achieving alumni, and instilling an ethos of leadership in its student body. Examples might include efforts to improve weekly convocations (perhaps not planning all dates far in advance so that timely speakers can be added), host debates, or sponsor symposiums on subjects that would engage students and faculty and draw upon the College's collective expertise. This may involve coordination between departments so that resources are less diffusely spent when arranging speakers. (One such example is the Chesley lecture.)
- Awareness building: Some of our successes are not even known among students, staff, faculty, and alums. Campus leaders should design annual plans to share stories of our success at new student week, reunion, faculty and chairs meetings, quarterly meetings and other venues.
- Reaching out: Faculty routinely travel to conferences and other academic institutions. With help from external relations, such travel could sometimes be coordinated with talks to local business and community organizations on topics related to faculty research and/or the liberal arts. This might be a useful way to create informal relationships with potential employers and to reach out to new prospective student markets.

- To ensure sustained attention, a brief annual report should be submitted to the trustees highlighting key profile-raising activities of the past year and notable evidences of success.

How to Pay: Many of these recommendations are about how to use existing resources rather than spending new ones. However, we expect that “doing this right” will take new resources, probably situated in External Relations (estimate = \$50,000 to \$75,000 per year). This investment would be worth cutting operating budget growth by 1 percentage point for one year.

Metrics:

- Number of positive stories in national media outlets recorded in Lexis/Nexis
- Number of applications/matriculants in key markets (see admissions recommendation above).
- Alums’ perception of the value of Carleton’s reputation in landing their first job on senior or alumni survey
- Google analytics (or equivalent) measures in SE and NW markets

D. Experiment with Teaching Technology: While Carleton is not immediately threatened by the recent rise of online courses, the technology is changing quickly and its use is becoming more widespread. The best way to ensure that Carleton remains nimble in responding to these changes to our competitive environment is to experiment continually with the technology and know it well. In addition to placing the College in a strong position to respond to changes in the future, such experimentation can identify ways to adapt new technologies and techniques to enhance the residential liberal arts teaching model. We recommend the College support experimentation in at least two directions over the next five years:

- The Faculty Grants Committee should organize a competitive internal grant program offering summer support to faculty revising their courses to experiment with hybrid, blended, “flipped,” or other technology-infused course models.
- The College should create a series of distance learning courses for alums. In addition to giving faculty and staff experience with the technology, such “alumni college” courses would serve the College’s mission of creating life-long learners and increase alumni connection with Carleton. The length of courses could vary from as short as a lecture to as long as a term.

To reiterate, the point of these experiments is not the specifics of the experiments themselves, but the learning process that flows from playing with the technology so that we are prepared for whatever the future holds. For example, the Blue Sky Group’s recommendation for the Carleton Institute for Teaching Excellence may also be a wonderful way these experiments could unfold.

How to Pay: We (crudely) estimate the five-year cost of these experiments to be \$600K: \$250K for faculty course creation/revision grants (equally divided between experiments in the traditional curriculum and in the alumni college), \$300K for support staff (including student assistants working with faculty to create and administer online content), \$50K to identify and purchase distance learning technology. We believe this cost modest enough and the need pressing enough that the College should consider reducing operating budget increases in FY14 sufficiently (ie by about 1/3) to fund these experiments. However, it may be possible to raise outside funding to support this effort, including modest tuition payments from alumni users, or perhaps a dedicated development effort from interested alumni to support understanding these new technologies.

Metrics: In the 3rd and 5th year, the College should report success—both on campus through the LTC and to the trustees— on progress as measured by the number of courses created/revised, the number of students/alums in those courses, assessments of student/alumni learning and satisfaction, and interviews with teaching faculty. Both reports should include a summary of “lessons learned” in the experimentation with the final report providing direction for another round of 5-year experimentation. (Note: the direction of the second round of experiments may differ from what we recommend here depending on how

technology evolves and what we learn.) To provide context for this report, the Dean's Office should present a report to the board the various ways we already experiment with new technology in the classroom.

Appendix 14
Report of the “Meta-Group”: How preparing our students for post-Carleton lives and careers should best be linked to and supported by the College’s curriculum

Members: Bev Nagel (convener), David Diamond, Laura Goering, Louis Newman, Annette Nierobisz, Arjendu Pattanayak, Paul Thiboutot, Debby Walser-Kuntz

The group was charged with answering the following five questions:

1. Should we offer academic credit for internships or off-campus learning experiences?

The meta-group considered two primary goals in discussing this question. First, we seek to make high quality internships more available to students, and second, we want to encourage students to think about ways to integrate internship (or other off-campus learning experiences) into their learning and preparation for life after Carleton. Attaching credit to the internship experience would not, in and of itself, necessarily address the range of issues that currently affect student participation in internships or similar experiences. These issues include a lack of awareness of internships and financial issues, related to both foregone summer or winter break earnings and/or the cost of paying tuition for credits earned outside regular terms. Academic credit may be desirable (even necessary, for international students), but it is important to reinforce the message that the internship experience is valuable either with or without credit. We recommend the following:

1. Develop more high-quality internships.
2. We endorse the Career Working Group’s recommendation to provide fellowships to replace lost summer earnings for students on unpaid internships – thus making these opportunities more available to all students and not just those whose economic means makes it possible for them to forego summer earnings.
3. Strengthen advising regarding internship opportunities (and include discussion of internships in academic advising), and build internships into the proposed “pathways.”
4. In addition to the current model of enabling students to earn academic credit for an internship through a concurrent or post-internship “context/reflection/analysis of the experience” independent study, further explore a model that several departments have employed already, of offering a 2 or 3 credit seminar for students returning from summer internships or other off-campus experiences, to debrief, share experiences, process and reflect. (Biology has offered this kind of seminar.) These seminars should adapt well-established pedagogies for experiential learning employed in OCS internships and others, and provide a good way for students to learn from each other’s experience as well as reflect on their own. We should explore the possibility of designating a specific course number for internships, as we do currently for independent reading courses or independent studies. This would help to identify and distinguish the different kinds of independent and experiential work that students can get credit for, make it easier to track them, and help raise the visibility of the internship option.
5. We also recommend that the LTC sponsor events or programs to highlight what we are already doing regarding internships and experiential learning, and to create more of a conversation and visibility around these possibilities.

The group saw no reason to limit the number of academic credits that a student could earn for internship activity.

2. Should we offer selected courses (but not concentrations or majors) in more “practical” topics such as accounting, banking and finance, or journalism?

The group noted that we do offer several courses in journalism now and have offered more “practical” courses in other areas as well (clinical biology and psychology, green design). These courses have all been promoted and supported by departments or programs, though taught by visiting faculty. We recommend that the College explore ways to make available to students more such courses with practical implications, grounded within disciplinary frameworks. In particular, we recommend:

1. The College should make available some funds from appropriate endowed funds to support visitors to teach such courses. For example, several endowed funds exist that could be drawn on to bring visitors to campus to teach accounting, banking, or similar courses.
2. We should also explore ways to make it easier for students to take courses that have a more practical focus at other institutions, and especially at St. Olaf, or as online courses. In order to qualify for academic credit at Carleton, such courses would need to be vetted and approved by appropriate faculty bodies and the Registrar.

3. Should we more aggressively promote, expand, and add 3-2 programs and other direct links to top graduate and professional schools?

We should more aggressively and intentionally pursue connections with top professional and graduate schools, with the goal of building stronger networks and deeper understanding, to strengthen career advising, and to help students in the application process. New constituencies (alum, parents) should be activated to help us build connections with professional schools. But our resources would more effectively be deployed in building these stronger networks and relationships, rather than formal 3-2 or 3-3 programs.

Committee members also felt that there are specific career areas in which developing stronger linkages to professional schools and clearer pathways for students would be especially helpful. In the health fields, these include nursing, veterinary, and public health schools. In education, these include education certification, especially for elementary education, and science education. Connections with masters programs in these latter, in particular, may be helpful to our students.

4. What is the best form and implementation of curricular career “pathways” or “threads,” as recommended by the Competition Working Group?

We endorse the format suggested by the Competition Working Group, for which Nathan Grawe developed several prototypes. The pathway is presented as a website, and includes a brief description of the area/focus, names of resource people (faculty, staff, and alumni), a list of

relevant classes from multiple departments and programs, related off-campus study programs, work opportunities, internships, service opportunities, and student co-curricular activities. The committee concurred that it is important to have a single individual responsible to coordinate and curate these pathways – that is, to work with faculty, alumni, and others to develop the pathways and to make sure that they are up to date and accurate. Alumni, along with parents and other friends of the College, can play an especially valuable role in the development of pathways and as mentors or resources for students pursuing given pathways, and should be engaged in this process early and consistently. There will be an initial phase in which considerable work will be needed to develop a robust set of pathways (and we can envision there being many), which will require temporary dedication of additional FTE in order to be successful. We estimate that setting up the initial set of pathways will require a year-long initiative, involving outreach to alumni and others, and gathering of faculty and staff input. The responsibility for this initial development of pathways could be given to a retiring or recently retired faculty member; or, we could also envision this as a professional development opportunity for a staff member. If a staff member assumed this role, we would most likely need to hire temporary staff to cover work they would not be doing during the initial “launching” phase. After the initial development of the pathways, there should be an annual review of the pathways to ensure their accuracy. An educational associate or student worker might be able to do this, for example during the summer. This review and updating could be overseen by an associate dean or other staff member, perhaps with collaboration of the Career Center or LTC advisory committee(s).

5. How can we help our graduates to understand that their skill at critical thinking should be a huge asset, and to articulate and demonstrate this talent to potential employers?

We endorse the Advising and Mentoring Group's recommended template to be filled out before the sophomore advising meeting, and recommend that this idea be expanded and employed to help students reflect on and articulate the value of what they are learning. Specifically, we recommended that students be required to provide their adviser periodic Personal Statements written in response to prompts which we will provide, that address the questions above. This would probably be best done every year, possibly in Fall, since much of the incentive for students will likely be to prepare for applying for internships, fellowships, research opportunities, jobs, graduate school applications, etc. Some of the group advising sessions could focus on the personal statements, and how they can be used to think more deeply about the issues raised by this question.

Other Issues:

The group also discussed the possible complementarity of the position of Advising Coordinator recommended by the Advising and Mentoring Group and that of Director of Student Learning and Leadership, recommended by the Curriculum Working Group. Louis Newman developed a new position description that combines these two. (See attached.) The committee discussed this description and believes that it successfully incorporates the key elements of both positions. However, the description requires more discussion including input from the Dean of Students.

The committee also recommends that the impact of these changes on faculty workload be monitored. We note as well that perhaps some of the added work implicit in these

recommendations can be done through committee service. For example, the Career Center Committee could help review/update the pathways and/or assist in creating some of them. The LTC Committee could help with the group advising and development of prompts for the personal statements.

New FTE (hybrid of suggestions emerging from Working Groups on Curriculum, Advising and Mentoring, and Life after Carleton)

I. Advising

- provide advising support for faculty and staff, through workshops, distribution of resources, and consultation,
- coordinate Advising Days,
- organize the group advising sessions and events
- track developments in the field of academic advising and promote best practices in this area,
- work with IRA to assess advising,
- work with DOC and Development to secure grants to support ongoing development and assessment of our advising programs

II. Integration and Reflection

- create a bridge between curricular and extra-curricular student learning by facilitating ongoing communication among faculty, DOC and DOS staff
- develop programs that invite students to reflect on the value and goals of their education, both within the advising system and through other activities (campus-wide events, speakers, etc.) that encourage them to reflect on the ways that their coursework and their extra-curricular activities can be mutually reinforcing
- work with the Career Center to develop new internship opportunities for students that are linked to various academic disciplines; support faculty in developing seminars and other opportunities for students to bring what they have learned through internships back into the classroom
- work with OCS to develop programs (both before and after the off-campus experience) that help students both prepare intellectually for the challenges of off-campus study and capitalize on their OCS experience when they return to Carleton

III. Leadership

- work with DOS staff to develop programs to help train student leaders in all areas of campus life (athletics, ACT, RAs, SWAs, WAs, prefects, MPLs, SDAs, etc.) [Texas A&M holds an annual day-long training for this purpose that might be a model for us.]
- coordinate annual celebration of student research
- work with directors of CCCE and EthIC to help students make connections between community service and civic engagement courses and various ideas about social responsibility, democratic values, and citizenship.

Potentially: Provide oversight and curation of Pathways.

Appendix 15 Assumptions

FINAL

June 2, 2011

Carleton Strategic Planning Process

Assumptions

Believing that a liberal arts education is both instrumentally and intrinsically valuable, our overarching goal is to provide an undergraduate liberal arts education that is among the best in the world.

We shall remain a principally residential campus.

We shall continue to serve primarily traditionally-aged (18-22 year old) students.

We seek to recruit the most talented, intellectually curious students from across the nation and around the globe.

We seek to make Carleton as affordable as possible, within our means.

We will continue to award financial aid primarily on the basis of need.

Our faculty should be superb teachers who are also seriously engaged in scholarly/artistic endeavors; such endeavors redound both directly and indirectly to the benefit of our students.

Our staff should be superb in their roles supporting academic excellence and learning.

We aim to recruit and retain the best faculty from nationwide/international pools.

We aim to recruit and retain the best staff from appropriate pools.

Carleton faculty and staff maintain a collegial atmosphere and genuinely enjoy each others' company. This atmosphere is precious and should be nurtured.

The diversity of our community—in every dimension (as outlined in our Statement on Diversity)--is a conscious strength and thus an affirmative good we seek. Diversity adds to the richness and quality of education/learning at Carleton.

We want all members of our community to be able to take full advantage of the opportunities for learning and growth available here.

Our inclusive community helps prepare our students to lead productive and fulfilling lives in a diverse world.

Continuing to attract the best students, faculty and staff will require heightened national and international visibility and recognition.

Carleton has a unique character...as described in the Navigating the Nineties report, it is an “intense intellectual life, flavored with humanness, unpretentiousness, and democratic, even egalitarian ideals.”

Personal interactions/connections between students and faculty/staff are one of our hallmarks; we want to nurture and strengthen such communal bonds.

We want the education we provide and our graduates’ outlooks to embrace the global nature of the world.

While the academic development of our students is paramount, we also care about their social, emotional, spiritual, physical, aesthetic, vocational, and ethical development/growth.

We are directly concerned with our students’ preparation for careers and lives after graduation, and support our graduates as they take their first steps post-College.

Our economy should be self-sustaining over the long run.

Our budget must balance.

We shall set an endowment spending rate that appropriately balances the needs of current and future generations.

We should have first-rate buildings and facilities. We shall maintain our physical plant to appropriately balance the needs of current and future generations.

We should leverage advantages from our location in Northfield, near the Twin Cities, and in Minnesota and the upper Midwest. Being situated in a small river town and having an arboretum as part of our campus are positive distinctions.

We have a responsibility to be a wise steward of our man-made and natural environment. Accordingly, we shall seek to reduce our carbon footprint in accordance with our Climate Action Plan.

Our competitors (broadly defined—not just traditional top liberal arts colleges but also honors colleges at large public universities, international schools, and perhaps even some for-profit entities) will not stand still.

We seek to promote and nurture lifelong alumni connections with and loyalty to Carleton.

We shall regularly assess whether and how well we are achieving the educational and operational goals of the College.

We seek to meet ideas that enhance the College's goals and mission with encouragement and help.

Appendix 16
Questions to be Answered

FINAL

June 2, 2011

Carleton Strategic Planning Process

Questions to be Answered

What are the academic and economic costs and benefits of having a larger (or even a smaller) student body?

What would our ideal student body look like (e.g. geographic origin, race/ethnicity, socio-economic status)?

How can we convince more of the students whom we most want to enroll at Carleton to do so?

Which dimensions of diversity in the composition of our community are most pressing?

What would it cost to recruit our ideal student body?

Are we able to sustain our current tuition and financial aid policies?

Given our aspirations for academic quality and current and anticipated financial constraints, how do we make Carleton as affordable as possible for prospective/current students?

At present Carleton only gives merit-based financial aid to National Merit Scholarship finalists, National Achievement Scholars, National Hispanic Scholars, and Posse. Should we alter this approach?

As the world changes, what should we be doing to keep our curriculum and academic programs strong?

Are there intellectual areas that we need to make a priority for investment?

Are there intellectual areas from which we should retreat over time?

How to strike the right balance between disciplinary and interdisciplinary work?

What does being a “global” liberal arts college mean/require of us?

How might new learning and teaching technologies change our answer?

Would a different academic calendar enhance student learning and growth?

What should our faculty/staff compensation package (including benefits and professional development) look like to recruit and retain talented faculty and staff?

What should be the appropriate mix between salary and other benefits?

What additional measures, if any, should we pursue to recruit, retain and support faculty and staff?

Are different tactics/strategies needed for different groups?

What does “preparing our students for careers and lives after graduation” really mean?

What do Carleton students need in order to move into top graduate and professional schools and to get good starting jobs?

Do we have a responsibility to help our graduates shape their careers five, or ten years or later after graduation?

How might we prepare and equip students to play leadership roles in society, if that is what they aspire to?

Are there distinctive strengths or gaps in our co-curriculum?

What are our expectations for graduates’ lives, careers, and the impact they should have post Carleton?

How might our advising/mentoring systems work better to help students succeed and take full advantage of Carleton?

What does an "economy that is self-sustaining over the long run" really mean, operationally?

What can we prudently spend out of the endowment?

What are appropriate expectations for long-term endowment returns?

What are appropriate expectations for fundraising?

Would further investments in the development operation alter these expectations?

Would a different academic calendar provide economic and/or operational benefits?

Are there ways to rethink administrative functions and/or faculty work to free up time and resources for core academic activities?

What are our greatest existing and projected physical plant needs, in priority order?

How best to retain and enhance our sense of community?

In what ways do we fall most short of being an inclusive community where all can take full advantage of Carleton?

How can we make the learning environment at the College more inclusive?

How can we better promote health and safety across our community?

Blue sky/Out of the box thinking--Are there entrepreneurial ideas, new revenue streams, ways to raise the profile of our "brand," or partnerships with colleges/universities in other parts of the country or world that we should pursue?

How can we anticipate what our competitors are likely to do? How should we respond?

Appendix 17

Working Group Membership

#1. What are the academic and economic costs and benefits of having a larger (or even a smaller) student body?

Seth Althausen '13

Bill Feldt '61 P'87

Baird Jarman

Joy Kluttz

John Mathews

Mary Savina '72 [Convener]

Anna Moltchanova

Margaret Simms '67

#2. What would our ideal student body look like (e.g. geographic origin, race/ethnicity, socio-economic status)?

Mary Amy

Deborah Appleman

Marty Baylor Reed

Max Bearak '12

Nancy Braker '81

Bill Brinkman '12

Leslie Kautz '80

David Lefkowitz '85

Lori Pearson

Marc Noel P'06

Dana Wright '95 [Convener]

#3. Are we able to sustain our current tuition and financial aid policies?

Roy Grow P'03

Isaac Hodes '12

Pavel Kapinos

Daniela Kohen

Gnagna Lam '12

Marilyn McCoy

Sam Patterson P'97

Jack Schuler P'97

Julie Stoeckel P'14

Mike Tompos '83

Justin Wender '91 [Convener]

#4. As the world changes, what should we be doing to keep our curriculum and academic programs strong?

Larry Cooper

Chris Frills '13

Sue Jandro

Beth McKinsey

Stephen Mohring

Louis Newman [Convener]

Theo Rostow '12

Susan Singer P'07

Christina Sinkler-Miller

Gary Sundem '67

Sidney Wolff '62

#5. What should our faculty/staff compensation package (including benefits and professional development) look like to recruit and retain talented faculty and staff?

Kristen Askeland

Brian Boudreau

Bill Craine '70, P'00 [Convener]

Melissa Eblen-Zayas

Jennifer Hantho P'11

Steve Kennedy

Mark Williams '73, P'06, P'11

Cathy Yandell

#6. What does "preparing our students for careers and lives after graduation" really mean?

Michael Alexander '12

David Diamond '80 [Convener]

Sydney Delp '15

Ross Elfline

Lauren Feiler

Don Frost '83. P'13

Krista Herbstrith

Jason Matz

Muir McCammon '13

Dave Musicant

Steve Parrish P'12

Tim Raylor

Naja Shabazz '05

#7. How might our advising/mentoring systems work better to help students succeed and take full advantage of Carleton?

Patrick Burke '14

Adriana Estill

Michael McClellan '13

Al Montero

Ralph Neil

Andrea Nixon

Gary O'Brien P'08, P'10, P'14

Kristen Vellinger '12

Debby Walser-Kuntz [Convener]

#8. What does an "economy that is self-sustaining over the long run" really mean, operationally?

Alsa Bruno '12

Will Candrick '12

Cliff Clark P'95, P'01

Mike Flynn

Stefanie Herrick '01

Rich Kracum '76, P'07

Martha Larson

Bill McLaughlin

Jean Sherwin

George Shuffelton [Convener]

Sarah Titus

Wally Weitz '70, P'96, P'99, P'02

#9. Are there ways to rethink administrative functions and/or faculty work to free up time and resources for core academic activities?

Cam Davidson P'15

Christine Lac

Keith Libbey '59, P'88, P'91

Tami Little

Austin Robinson-Coolidge

Danny Shields '14

David Smith '88 [Convener]

Christopher Tassava

Mija Van der Wege

#10. What are our greatest existing and projected physical plant needs, in priority order?

Reed Andreas

Joe Chihade

Diane Fredrickson

Asiya Gaildon '14

Patrick Ganey [Convener]

David Ignat '63

Justin London

Erin McDuffie '13

Victoria Morse

Brent Nystrom '92

Larry Perlman '60, P'89

Steve Strand

Caesar Sweitzer '72, P'02, P'06

#11. How best to retain and enhance our sense of community?

Megan Braddock '12

Ken Brackee

Dan Bruggeman

Dennis Ea '14

Dev Gupta

Susan Jaret-McKinstry P'14

Heidi Jaynes [Convener]

Martha Kaemmer '66, P'95

Pam Kiecker Royall '80

Noel Ponder

Maribel Zagal '14

#12. Blue sky/Out of the box thinking--Are there entrepreneurial ideas, new revenue streams, ways to raise the profile of our "brand," or partnerships with colleges/universities in other parts of the country or world that we should pursue?

Peter Balaam

Alan Bauer '74

Julia Burmesch

Adele Daniel '14

Beth Boosalis Davis '70 [Convener]

Doug Foxgrover

David Liben-Nowell

Annette Nierobisz

Arjendu Pattanayak

Nic Puzak '80

#13. How can we anticipate what our competitors are likely to do? How should we respond?

Tim Daugherty

Eric Egge '94

Nathan Grawe [Convener]

John Harris '85

Elise Holschuh '77

Sara Hooker '13

Cathy Paglia '74

Dana Strand

Julie Thornton

Gerald Young

Suggested Metrics to Support Strategic Planning (DRAFT)

A key charge to the working groups was to suggest possible measures to evaluate progress in meeting the goals of the Strategic Plan. While the working groups varied in the extent to which they offered suggested metrics, all made extensive use of data in their discussions. Some groups were very specific in suggesting indicators, while others stated their recommendations as "goals", delegating much of design of metrics to those directly charged with implementing the goals. The list of suggested metrics provided here are either recommended specifically in the final reports, or implied as indicators of interest throughout the document.

A broad and very much draft outline of suggested metrics to support the Plan is shown below. Since many working groups proposed similar indicators, here they are organized not by working group, but according to the six broad themes of the Plan. Some indicators have been suggested by the Office of Institutional Research and Assessment as common and comparable standard indicators that address the goals and recommendations of the working groups. Many of the indicators already are tracked by the various offices of the College, while others will need to be developed. Assessment and evaluation is a necessary and integral part of implementing the Plan, but the metrics themselves will range from clear quantitative indicators that can be collected every year to more vague and qualitative periodic progress reports and evaluations.

General notes: Although indicators are generally presented in summary form below, many of them will need to be tracked in greater detail, including breakouts by gender, racial/ethnic status, socio-economic status and/or level of financial need, geographic region, etc. Trends at Carleton will need to be tracked (to show changes and progress towards meeting Plan goals), and many will be monitored with comparisons to Carleton's 25-member peer group or other appropriate benchmarks.

THEME: Strengthen the socio-economic diversity of the student body

Including metrics recommended or suggested by:

- Size of the College
- Ideal Student Body
- Tuition and Financial Aid
- Competition

And others

Admissions indicators

Monitor flow in greater detail through all phases of the "Admissions funnel"

Number of applications

Percent admitted

Yields of admitted students in specific categories

Conduct periodic studies of who applies (or doesn't), and where admitted applicants enroll, if not at Carleton (ex. Admitted Student Questionnaire, National Student Clearinghouse)

"Environmental Scanning": demographic changes over 10, 25, and 50-year periods; changing enrollments in types of institutional outside our standard peer group, such as universities with honors programs, online education, for-profit and public sectors, etc.

Demographics of the student body (First-year and total enrollment)

Maintain gender balance

Race/ethnicity

Sustain current U.S. enrollment of students of color at 20% or more, aiming towards 25%

Geographic diversity

Maintain a national presence across all regions of the U.S.

Monitor recruitment of students by region with attention to regions that have been traditionally underrepresented, such as the South, Southeast, and Southwest, and West

The Competition group recommends a goal of increasing applications from the Southeast by 10% and from the West by 25% by 2012

Work toward an international student enrollment goal of 12%

Work toward an international enrollment that reflects:

all socioeconomic backgrounds

a variety of countries of origin

Monitor that admissions standards and student quality are not lowered as diversity increases

Costs, Financial Need and Socio-economic Diversity

Annually monitor Carleton's charges relative to its peer group and a larger group of colleges

Annual tuition should be comparable to our national peers; we should rank in the second or third quartile of the peer group.

What are the "tipping points" with regard to cost and financial aid that would encourage or discourage the enrollment of various types of students.

We should admit students without regard to financial need to the fullest extent possible.

The full demonstrated financial need of accepted students should be met

The full demonstrated financial need of current students should be met

Students with high need should not be at a disadvantage in the admissions process.

Can the College calculate the costs of recruiting a more diverse class?

What are the "tipping points" with regard to cost and financial aid that would encourage or discourage the enrollment of various types of students.

Grants, loans and on-campus employment should be balanced, such that all student have access to the full Carleton experience

Students with comparable financial need should receive similar financial aid packages

Monitor legislation and changes in public policy that may help or hinder access to higher education

Specific indicators:

Percent of graduating seniors with loans, and average loan debt at graduation
Percent of first-year (and/or all students) on aid, and average award by aid package
Percent of students receiving Pell Grants (as a proxy measure for low income)
Average aid packages by income level and/or financial need level
Tracking average scholarship over time as a percentage of the comprehensive fee or total student budget
Comparison to peers and over time of "net price after aid" at several income levels (as published by the Department of Education)
Monitor Carleton fees relative to national family income measures
Percent of first-generation college students
Annual percentage increases in student fees vs. inflation vs. institutional grant
Monitor the "tuition and total charges discount" as percentage of the total College budget
Survey data: "Reasons for attending this college", "Concern about ability to finance college", "student estimates of parent's income" (as our only estimate of income for those who do not have an aid application)
Selected admissions, enrollment, and diversity measures from the Trustee's Dashboard Indicators

The Admissions and Financial Aid Committee (AFAC) will be charged with reporting to the College annually on the metrics.

Enrollment Indicators: (maintain the size of the College at about current levels)

Fall term enrollment in Northfield (A)
Off-Campus Studies enrollment (B)
Total Fall enrollment (A+B)
Changes in enrollment across Fall, Winter, and Spring terms
Annual Average Full-time Equivalent (AAFTE) +enrollment in Northfield (Fall/Winter/Spring) target for budget planning
Carleton housing occupancy and capacity / Northfield option
Meal plan usage
Enrollment patterns at peer institutions

Retention indicators

First-year to sophomore persistence
Year-to-year graduation rates (4, 6, and 8 year rates reported nationally)
Monitor graduation rates by socio-economic status as well as gender and race/ethnicity

HEOA-required disclosures of graduation rates for students with Pell grants, unsubsidized Stafford loans, or neither

Monitor graduation rates for students in programs such as TRIO, POSSE, FOCUS, and QuestBridge

Faculty/Academic and Co-curricular Capacity

Faculty counts - Maintain stable size
Student/Faculty ratio - Maintain a 9 to 1 ratio
Monitor classroom space and utilization
Average class size and number of class sections in class size ranges
Use of Academic Support services and Student Life services
Academic program capacity (# of course enrollments vs. course capacity, # of majors)
"Card-swipe" monitoring of student visits to the Career Center
Programming Staffing/Resources studies as needed (ex. recent Wellness and Career Center studies)

THEME: Enhance our curriculum to improve liberal arts teaching and learning

Including metrics recommended or suggested by:

Curriculum
Advising and Mentoring
Community
Blue Sky

And others

Throughout: Periodic reviews and evaluation of new programs using surveys, focus groups, interviews, and/or annual progress reports

Greater "reflection" and "integration" throughout a Carleton education

Track numbers, satisfaction, and/or types of internships
Track numbers, satisfaction, and/or types community engagement and service opportunities
Monitor numbers of students engaged in independent or faculty-supervised research, and fields of research (monitor especially humanities, where participation has been lower)
Track numbers and types of fellowship applications and awards
Monitor off-campus studies participation, with particular attention to participation by students who might find OCS difficult (ex. STEM disciplines, athletes, low-income students)
Monitor off-campus studies countries, with particular attention to non-traditional regions of study
Before and after surveys, interviews, or focus groups for OCS participants
Track Student Life Division activities in annual "Student Life Briefing Book"
Annual reports of proposed "Coordinator of Student Learning and Leadership"
Review of student discussions and interest in implementing a possible Honor Code

Improving student advising throughout a Carleton career

Track responses to student surveys about effectiveness of advising (Enrolled Student Survey, Senior Survey, National Survey of Student Engagement, etc.) New and more specific local questions may be needed.
Track responses to alumni surveys about the extent to which Carleton prepared them to face the challenges they face after graduation
Have students write a reflective essay on their education pathway either as part of advising, or perhaps evaluated as part of sophomore Writing Portfolio
Evaluation of effectiveness of proposed programs such as "Advising Days" or Sophomore "re-orientation"
Devise ways to include evaluation of the effectiveness of faculty and staff advisors in performance appraisals

Experiments with course delivery

Experimentation with proposed "pathways", "clusters", or "dyads" to integrate learning across disciplines
Experimentation with online courses, blended learning, and other new technologies for course delivery
Experiments with 5 or 10-week courses / exchanges with St. Olaf and/or others
Monitor number and enrollments over time
Develop tool to assess student learning in online courses, with comparisons to similar traditional classroom settings
Track and publicize grant awards to faculty to encourage participation in new methods

Develop a way to award teaching credit or other workload reduction to encourage development of new practices
Share experiences through the Learning and Teaching Center

THEME: Prepare students more robustly for fulfilling post-graduation lives and careers

Including metrics recommended or suggested by:

Career Preparation

Curriculum

Advising and Mentoring

Community

Blue Sky

And others

Improving our understanding and communication of alumni outcomes

Significantly improve and integrate student and alumni databases and the ways they can be accessed and used to help students explore career possibilities, and to better understand and communicate the value of a Carleton liberal arts education

Respond to public and government demands for better and more transparent data on alumni outcomes and earnings; incorporate outcomes indicators in Carleton messaging and "branding"

Determine better ways to collect and communicate alumni earnings in various fields

IRA/Career Center reports on educational and employment outcomes of alumni; publicize on web and include with periodic department/program reviews

Monitor law school and medical schools attended and application success rates

Track graduate schools most frequently attended by field of study (Ph.D., professions)

Track doctoral degrees earned and Carleton's rank in the disciplines through NSF's Survey of Earned Doctorates

Conduct periodic alumni surveys of recent and older alumni to determine what they are doing, how Carleton helped them, and their satisfaction with their post-Carleton life

Senior Survey at graduation and follow-up Alumni Directory update (1 to 2 years out)

Periodic surveys of alumni at different times since graduation (5, 10, 15, reunions)

Periodic reports of alumni employment by occupation categories and key alumni employers

Expand alumni and/or parent participation in providing mentoring, networking, internship, and employment opportunities for students

Identify the demographics of alumni/parent volunteers by program

Determine the demographics of alumni and parents who contribute to the Annual Fund

Collect measures to indicate participation and success of Career Center programs such as the Carleton Alumni Mentors Program, the Scholars Program, 30 minutes

Regular reports on efforts to better integrate advising, mentoring, student development and career activities across various offices (Career, Alumni, Advising, Student Life, Fellowships, etc.)

THEME: Maintain a self-sustaining economy with a growing endowment per student

Including metrics recommended or suggested by:

Sustainable Economy

Faculty/Staff Compensation

Rethinking Faculty and Administrative Functions

Physical Plant

Blue Sky

And others

Maintain healthy and competitive compensation programs for faculty and staff

Track Carleton's success in recruiting/retaining top faculty and staff (DOC, HR)

Monitor competitive compensation position for staff using data from sources such as: Compease, CUPA, COFHE, etc.

Monitor competitive faculty compensation against peer and other benchmarks through AAUP, CUPA, IPEDS, and other sources

Will we continue to rank well in starting salaries for new tenure-track faculty?

Monitor efforts to bring Associate Professor and Professor salaries closer to the median of our peer group

Monitor impact of compensation pool increases relative to annual increases in inflation

Maintaining an appropriate and sustainable number of employees

Track numbers of faculty and employees by function over time; compare against peer benchmarks

Review all vacancies and consider opportunities for position re-allocation, integration of functions, etc. before hiring. Track numbers of new hires, and projections for upcoming retirements.

Carefully review all new programs and consider a "start one, stop" one policy.

Explore savings in staff and business functions through collaboration with St. Olaf.

Periodic evaluation of the Rethinking Administrative and Faculty Functions working group recommendations to:

Streamline and reduce the number and size of committees, and clarify their mission and longevity

Make better use of technology to improve efficiency

Free more faculty time for teaching by empowering and improving skills of administrative staff

Reports from HR and/or the Benefits Committee on:

Controlling the growth in the expense of benefits (especially health care) while retaining quality

Explore issues raised in the Compensation Survey concerning tuition benefits, paid time off, and prioritization of benefit options by employees

High-level monitoring in institution budget planning

Track trends in salaries and benefits as a percent of total expenditures

Track performance of endowment against benchmarks with a goal of achieving annual returns that exceed the policy spending rate plus inflation.

Carefully explore alternate scenarios in the five-year budget model, recognizing that we may expect lower investment returns, slow growth in giving, increasing resistance to fee increases, as well as rising costs in many areas.

Periodically review the recently revised endowment spending rule.

Track and make efforts to increase our endowment per student position relative to our peers.

Work toward increasing financial aid relative to fee increases. Monitor and seek to increase the proportion of scholarships funds that are supported by endowment funds, rather than the operating budget

Closely track deferred maintenance needs, restoring allocations to pre-Recession levels and budgeting contingency funds (at 0.5% to 1.0% of budget) and/or reserving surplus funds towards maintenance needs

Monitor Carleton's debt capacity to sustain our Aa2 bond ratings, and evaluate the pros and cons of using low cost debt vs. waiting to raise money for capital projects

Careful analysis of the financial implications of developing a sustainable budget that reflects the ongoing College mission as well as the goals and new initiatives and staff recommended in the Strategic Plan

Selected Financial measures from the Trustee's Dashboard Indicators

THEME: Make focused investments in facilities that directly advance our mission

Including metrics recommended or suggested by:

Physical Plant

Sustainable Economy

Curriculum

And others

While the Physical Plant working group has developed a clear list of physical plant priorities (informed by other element of the Strategic Plan), specific metrics will need to be developed after more study on how best to implement the recommendations.

The natural next phase is a Facilities Master Planning process, where expert consultants can work with campus constituencies to determine the best ways to implement the Physical Plant recommendations, and the best uses of existing spaces, and the pros and cons of renovation vs. new construction. What is the appropriate time frame to implement each of the priorities?

Inventory of condition and capabilities of existing spaces and their current and potential best uses

Reports from campus working groups on space needs for programs identified as priorities (ex. Sciences, Music, academic support spaces, student center, residence life)

Improving monitoring and reporting on campus energy use and progress in implementing the Climate Action Plan.

Ongoing benchmarking by Facilities about best practices at comparable institutions

Improving monitoring and reporting on campus energy use and progress in implementing the Climate Action Plan.

Improving monitoring and reporting on campus energy use and progress in implementing the Climate Action Plan.

Ongoing implementation of projects in the current maintenance cycle and developing a schedule for future improvements

Improving monitoring and reporting on campus energy use and progress in implementing the Climate Action Plan.

THEME: Embrace collaborative opportunities with other institutions to enhance our academic programs and save costs

Including metrics recommended or suggested by:

Sustainable Economy

Blue Sky

Curriculum

And others

Reports and conclusions resulting from the Mellon Planning Grant on increasing collaboration between Carleton and St. Olaf

Reports about consulting visits or trips to other institutions (ex. The Claremont Colleges, Beloit)

Discussion, explorations, or report on other collaborations

Associated Colleges of the Midwest collaborations

Opening some off-campus studies programs to non-Carleton students

Updates, progress reports, or evaluations about suggested experimental programs that may raise revenue, support the curriculum, and give Carleton greater visibility

Carleton Institute for Teaching Excellence (CITE)

Future Learning Technologies group (FLT) on online/blended learning activities and possible collaborations with other institutions

Possible post-baccalaureate pre-med program (possibly with Mayo?)

Explorations of possible new joint Carleton/graduate degree programs with selected universities