

BATES COLLEGE
Lewiston, Maine

FIFTH YEAR INTERIM REPORT
OCTOBER 2005

for

NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES

Bates College Fifth-Year Interim Report, 2005

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Note: Hyperlinks have been added throughout this document to point to Web sites that provide further information about some topics. These appear as active links in the electronic version of the file, or as underscored text in the printed version. The CIHE Data Forms and other appendices are not included in the Web version (<http://www.bates.edu/self-study.xml>), but a copy of the complete report is available in the College Archives.

Statement on Report Preparation

Since the 2000 NEASC review, several initiatives have been planned, undertaken and accomplished. Consistent with the Bates' approach, these initiatives were discussed and developed with much involvement by the campus community.

Thus, in preparing this document we were able to utilize the many public documents and reports already prepared by the various Bates committees and working groups engaged in and overseeing this work. This system of ongoing program development, implementation, reflection and reporting has assisted us greatly in summarizing changes since the 2000 Self-Study. As such, the report compiles the collective work of hundreds of individuals at Bates. The report was announced at the monthly faculty meeting, which is also attended by some staff and student representatives. The core text is also available on the College Web site at: <http://www.bates.edu/self-study.xml>.

All senior administrators have reviewed the report. In particular, the President, Dean of Faculty, Treasurer, and Vice President for Information and Library Services/Librarian assisted in developing their sections of the report and relevant data forms.

The development of the Interim Report was overseen by the three member steering committee that led the 2000 Self Study: James Ferguson, Director of Institutional Planning and Analysis; David Haines, Professor of Mathematics; and Jill Reich, Dean of the Faculty and VPAA.

Ferguson and Haines had also helped to prepare the 1995 Fifth-Year Interim Report. To prepare for this report, Bates requested and received a staff visit by Dr. Robert Froh, Associate Director of NEASC's Commission on Institutions of Higher Education.

Special appreciation is extended to James Ferguson, Director of Institutional Planning and Analysis, for his untiring efforts in providing an ongoing and comprehensive database of the College's work.

October 2005

Introduction / Major Changes at Bates

What major changes have occurred at Bates since the 2000 Self Study and reaccreditation? The College has moved in many directions to better position itself as one of the most respected and challenging liberal arts colleges for the 21st century. We introduce many of the key changes below, and we will discuss them in further detail throughout the fifth-year review document.

- **New President:** On July 1, 2002, [Elaine Tuttle Hansen](#) succeeded Donald W. Harward to become the seventh president, and the first female president, of Bates College. President Hansen came to Bates from Haverford College, where she had been Provost, Chair of the English Department, and Coordinator of the Haverford/Bryn Mawr Concentration in Feminist and Gender Studies. Hansen earned her A.B. at Mount Holyoke College, her M.A. at the University of Minnesota, and her Ph.D. at the University of Washington.
- **Re-focused planning priorities:** The planning priorities of the College have been simplified, consolidated, and tied more directly to our financial resources. Planning efforts in the Harward years referred to the [fifteen priorities](#) (1998) of the “[Goals 2005](#)” documents and to the four elements of a “[Vision for Bates](#)”: “academic rigor and achievement”, “connections and cohesions”, “a distinct ethos and support for engagement”, and “support and attention to individuals”. As we have now reached 2005, the Goals 2005 documents have not been abandoned, but they were revised and updated to reflect our accomplishments and plans. Some considered them to be too numerous or abstract to use as a focused message for some audiences both within and outside the Bates community, especially as Bates was about to enter its largest fund-raising campaign. Furthermore, it has become evident that Bates faces a number of physical plant and competitive challenges that require a much more direct linkage between goals and resources if progress is to be made and evaluated effectively.

President Hansen has led the drive to reshape and integrate the original fifteen priorities into five themes that form the core messages of the Campaign for Bates. These include:

1. Improving **access and affordability** for the most qualified students from a **broad spectrum of backgrounds**, through improved financial aid.
2. **Sustaining academic quality and learning** for a transforming learning experience. This requires significantly increasing support for our faculty and students through improved compensation, academic and administrative support, and improved research opportunities for faculty and students.
3. Raising the unrestricted **endowment** to ensure the future strength of the College. **Increasing annual giving support and participation** through the Bates Fund to maintain the ongoing mission and annual needs of the College.
4. Improving the **quality of residential life**.
5. **Campus revitalization for facilities** that accommodate and inspire the talent and aspirations of faculty and students.

- **The Campaign for Bates:** The College is celebrating its [Sesquicentennial](#) year in 2005. To better position Bates for the 21st century, the College is engaged in its largest fund-raising campaign. “[The Campaign for Bates: Endowing our Values](#)” has set a goal of raising \$120 million by the end of FY2006. As of June 30, 2005, the College had already raised \$91 million.
- **[Campus Facilities Master Plan](#):** In the spring of 2003, the Board of Trustees approved a comprehensive review of campus facilities, infrastructure, and surroundings. The President established a Master Planning Steering Committee of faculty, staff, students, administrators, and Trustees to work with consultant [Sasaki Associates](#) to evaluate the condition of college buildings, and to identify space needs and priorities for the near future. In reviewing needs, the Committee and the consultants met frequently with trustees, faculty, staff, students, alumni, and members of the local community. In the fall of 2004, the Trustees adopted a three-phase Master Plan for the Bates Campus. The immediate priorities to be addressed in Phase I include a new Dining Facility to replace the aging and overcrowded Commons, and a new Residential Cluster containing 150 beds. This will be the first step in a long range plan to improve the quality of housing, to continue to meet codes, and to “de-densify” our most crowded residential facilities. A new “Bates Walk” will serve as an east-west pathway to connect the new Cluster, the major academic buildings, and the Dining facility. In the spring of 2005, architects were selected to develop plans for the Phase I facilities. Future phases of the Facilities Master Plan will continue to address the need for improved student housing, new student life spaces, improved facilities for interdisciplinary science, expanded athletics facilities and fields, library expansion, and other academic needs.

- **Financial Office re-organization:** The Finance Office has been reorganized, merging two financial vice president positions into a single Vice President for Finance and Administration, and Treasurer. An Assistant Treasurer was hired to help oversee the endowment and other investments. An Assistant Vice President for Financial Planning and Analysis has been hired to help oversee and to maintain the College Multi-Year Financial Plan, to support the budget process, and to oversee the areas of the College Store and ancillary support services including Print and Mail and Contracted Services.
- **Review of the undergraduate program:** The Faculty are reviewing the core curriculum and the general education program. In 2003-2004 the Bates faculty began this process with a discussion of the goals of a Bates Education that culminated in a vote to go forward with curricular revision. To lead this process, the Faculty elected a Coordinating Committee and a Design Team composed of faculty and students elected by the Bates College Student Government. Throughout 2004-2005, the teams held numerous public meetings open to all members of the Bates community to solicit ideas and feedback on what a revised program might look like. They reviewed extensive data about recent course-taking behavior by Bates students, as well as a variety of core curriculum and general education programs at peer institutions. The teams produced a draft document on the "[Goals of a Bates Education](#)", and in the spring of 2005 presented the campus community with [three models](#) for a revised undergraduate program for Bates students. During the summer of 2005, the teams merged into the Bates Education Committee to evaluate feedback and to develop a single draft model curriculum of General Education to meet the goals of a Bates education. During 2005-2006, open meetings will be held with the campus community to provide feedback to the Committee. The Faculty will review and discuss the draft and vote on a new curriculum during the 2005-06 academic year.
- **The Harward Center for Community Partnerships:** In May 2002, the Trustees announced a \$1.7 million gift to establish the Donald W. and Ann M. Harward Center for Community Partnerships. "At the core of Bates' tradition lies a commitment to serve society," said trustee James L. Moody. "The Harward Center for Community Partnerships will provide new opportunities for Bates faculty and students to learn through civic engagement, and for the Lewiston-Auburn community to benefit from true collaborations with Bates." The Center will bring together service-learning and applied research in the community interest and create a permanent structure for partnering with community projects. It will oversee the Center for Service-Learning, the Bates-Morse Mountain Conservation Area, and replace many of the functions once overseen by the Dean of the College and the Special Projects and Summer Programs office. Professor [David Scobey](#) began as the Center's first director in August 2005.

These and other changes will be discussed in more detail in sections pertaining to each of the NEASC standards. We begin, however, by addressing some of the specific concerns raised by NEASC in the accreditation letter that followed the 2000 Self-Study.

Responses to Issues Raised in the 2000 Reaccreditation Letter

After a review of the 2000 Self-Study and the report of the Evaluation Team, the NEASC Commission on Institutions of Higher Education determined that Bates College would be continued in accreditation on April 20, 2001. The Commission's letter to President Donald W. Harward requested that the College submit a fifth-year interim report in the fall of 2005, and it asked that specific emphasis be given to its success in three areas:

- “1. Financial planning initiatives to coordinate multi-year revenue projections with reaching strategic institutional goals and annual operating budgets;
2. Addressing the issues associated with faculty workload and streamlining decision procedures;
3. Initiatives undertaken by the Committee on Board Governance to modify board structure.”

We will describe progress and plans in each of these areas, and then address significant additional changes and plans with regard to each of the eleven standards.

Area 1. Financial Planning Initiatives

In its comments on Standard Two (Planning and Evaluation), the Evaluating Team raised several concerns:

1. Its primary concern was the “extent to which the costs of the long-range strategic goals are built into the long-range budget projections”. The team noted that a long-range budget projection did not exist.
2. Planning for information technology should be factored into the long-term budget.
3. It recommended that committees involved in planning exercises be educated about the operating budget and the key budget assumptions, and the College should review ways in which it communicates plans and achievements about specific objectives to the broader community.

Adoption of a Multi-Year Financial Plan: Vice President for Finance and Administration, Terry Beckmann, developed and presented to the Trustees several iterations of a Multi-Year Financial Plan, starting in June 2001. A major update and revision of the Plan was presented in January 2005, to reflect both changing economic conditions, and specifically to address the long range needs and priorities set forth in the Facilities Master Plan. (The Facilities Master Planning process is addressed under Standard 8 [Physical Resources]).

The Multi-Year Financial Plan:

Please refer to Appendix D to view tables with details of the Multi-Year Financial Plan, including Multi-Year Planning Assumptions, multi-year operating and capital budgets, and a Summary of Financial Statistics that the College uses to monitor where we have been, where we are and where we are going.

Executive Summary:

- Enrollment for the foreseeable future is planned to remain at current levels (consistent with assumptions in the Facilities Master Plan).
- Results of the current campaign are projected and reflected.
- The Facilities Master Plan has been incorporated in two ways:
 - Major construction has been built into the capital budget. This is to be funded by the Campaign as well as additional borrowing.
 - The operating budget has been adjusted to reflect increased costs to operate new facilities as well as increased debt service resulting from additional borrowing

The College Priorities have been emphasized, primarily:

Affordability and access: The increase in the comprehensive fee has been kept as low as possible and the amount of financial aid continues to increase at a rate in excess of the comprehensive fee increase.

Academic Excellence: A multi-year plan to raise faculty salaries to the level of our peers has been incorporated as well as continued funding in this area emphasized through the campaign.

Facilities: In addition to addressing the projects identified in the Facilities Master Plan, the Multi-Year Financial Plan includes increased resources allocated to capital renewal. Information technology infrastructure needs have been reflected through the capital budget projections. The College goal of a four-year desktop replacement program has been reflected in the operating budget.

Endowment: The endowment is projected to grow to over \$250 million by the year 2010. This growth comes primarily from gifts coming out of the campaign, but also reflects improved performance and decreased spending. During the last five years the College has changed its investment advisor to Cambridge Associates, increased the diversity of its portfolio, and changed all but one of its external managers. The College now consistently ranks in the top 20% of all endowments with regards to performance. The College has also worked to reduce its endowment spending (as a percentage of endowment) from 5.5% in FY2000 to 4.5% in FY2005. The current level of spending is projected to continue in the Multi Year Plan.

Staffing: A student/faculty ratio of 10:1 is maintained and is the goal during the Plan. The student/staff ratio is expected to fall with a total of 19 staff positions earmarked for elimination during this period. This staff reduction will be accomplished through normal attrition, merging or reassigning functions, and controlling temporary and overtime work. Bates has instituted a three-month hiring freeze for most positions after vacancies occur, which will be used to review the nature of the job description and the ongoing need for the position in its current form. Six positions were eliminated in FY2005 and four positions were eliminated in FY2006.

The Multi-Year Financial Plan reflects balanced operating and capital budgets each year. This plan will be updated annually.

Communication of financial planning and college priorities:

To the Board of Trustees: All committees of the Board are actively involved in discussions surrounding college priorities and resource allocation. The Board approves the Multi-Year Financial Plan after detailed review by its Budget and Finance Committee. In January 2004, the Treasurer presented the first annual Treasurers Report to the Board. Each year the Treasurer reports on the financial health of the College, its past audited results and the future multi-year financial plans. This report is also presented to other groups, including the President's Council, the Advancement Staff, and the Faculty.

To the Bates Community: President Hansen established the Ad Hoc Budget and Finance Advisory Committee in the fall of 2003, including representatives of faculty (4), staff (6), and students (6). The Committee has a largely advisory role, and it is charged with offering: "advice to the President and the administration concerning (1) the development of both annual and multi-year budgets, and (2) general issues relative to the College's finances and the economics of higher education. The Committee will also report on these matters to the community." A faculty member chairs the committee, and the Vice President for Finance and Administration provides support.

In its first two years, efforts have centered on educating the committee members about the College budgeting process, and about the primary financial challenges that Bates faces. The Committee has viewed presentations from several areas, including: the Treasurer's annual report; the multi-year financial plan; current revenues, expenditures, and the capital budget; admissions and enrollment planning; physical plant; advancement; financial aid; and faculty salary planning. As the members have attained a baseline level of knowledge about College finances, the Committee is currently exploring ways to better communicate College financial priorities and needs to various constituencies among the faculty, staff, and student body. For example, the Vice President for Finance and Administration has made several budget overview presentations before groups such as the President's Council, the Advancement Office, and the Student Government. A recent staff newsletter contained an overview of the work of the Committee. In 2005-06, the work of the Committee will be reviewed to determine how it would function as a permanent committee. (Faculty legislation is required to for the Committee to switch from an ad hoc to a permanent committee.)

To outside constituencies: Primarily in connection with the Campaign for Bates, the President, Treasurer, and Advancement staff have made numerous financial presentations to Alumni groups across the country.

Area 2. Issues Associated with Faculty Workload and Decision Procedures

The report of the Evaluating Team expressed the following concerns regarding Standard Five (Faculty). These are stated in italics:

1. The Team requested that the next evaluation committee should “revisit the issue of faculty workload and assess the progress made”, and that it “would expect it to be done in the egalitarian way characteristic of Bates.” Some faculty expressed concerns about balancing various responsibilities, including teaching, advising, and thesis supervision. Some pointed out that the burdens may not count equally across lab and non-lab courses, across large and smaller departments. Some faculty desired to see more open discussion about the distribution of work across departments and programs.

- **Teaching load reduction**: Bates phased in a reduction from a six courses per year teaching load expectation to a five-course “normal load” in 2002-03 and 2003-04. The process that produced this change in faculty teaching load was accomplished after a year of planning that included data gathering and analysis of course offerings, enrollment patterns, discussion of faculty interests and Department and Program organization and planning. Several open meetings were held to discuss the issues and proposed approaches in addition to discussions at regular meetings of the Dean with Division chairs and with the Department and Program chairs. An outside consultant visited campus to allow further discussion and to provide a national perspective on faculty workload.

After this year of planning, two models were proposed and discussed at the Division/Department/Program chairs retreat from which the final model was determined, recommended to the President and approved for implementation beginning in academic year 2002-2003.

The article attached at the end of the Area 2 section provides an overview of the process. The guidelines directing Departments and Programs’ planning and implementation are also attached. All Departments and Programs completed this process within two years working with the Committee of Five (elected Division chairs and the Dean of Faculty) for oversight and approval. In all, the process reduced the teaching load, provided for ongoing curriculum planning in each Department and Program, and provided reports to the Committee of Five allowing for a college overview and tool for anticipating curricular needs. It also provided students with information about course scheduling over a two year period and was accomplished without adding additional faculty lines. (Note: We began with a three year plan but found that the third year became so uncertain as to be confusing, so we now have a two year schedule plan.)

- **Course load reduction process:** In addition, members of the Faculty may apply for a *one-course or course-equivalent* reduction in their regular teaching obligation during the two-semester period of an academic year. These may be applications for course development, unusual teaching arrangements and strategies, or other projects related either to the planning or implementation of improvement in teaching. Alternatively, applications may address specific research projects. Selection is made by the Committee of Five (three division Chairs, Chair of Interdisciplinary Programs, and Dean of the Faculty).
- **Credit for senior thesis advising:** Departments award faculty teaching credit to faculty when they advise theses. The faculty workload analysis completed in preparation for the teaching load reduction provided an overview of the approaches developed over the years by Departments and Programs. Based on these data, there was strong consensus across the Humanities, Social Sciences, Natural Sciences and Interdisciplinary divisions that one course credit is equivalent to teaching 18-22 thesis semesters, with three semesters of thesis advising per year as a “typical” expectation. These thesis-semester credits expire after three years.

2. The Team recognized the growth of interdisciplinary programs at Bates, but expressed concern about the growth of resources to support them. It noted that some faculty felt tension in trying to fulfill their obligations to both departments and interdisciplinary programs. The report stated that not all programs were “at the same stage of development, nor accorded the same legitimacy as sites for the production of knowledge.” It recommended that the College “continue to hold campus-wide conversations regarding what is meant by interdisciplinary” and “resolve the practical limits that deter both interdisciplinary and disciplinary programs”.

- **Interdisciplinary Programs and the Departments.** Faculty in departments frequently teach courses in interdisciplinary programs. Several years ago there was contention about whether interdisciplinary programs were taking faculty away from departments. Interdisciplinary programs have matured and there is general support among faculty for them, so that there is fluid movement of faculty between programs and departments, with departments and programs working cooperatively. This is partly because a very high percentage of faculty members also teach in one or more interdisciplinary programs. Several organizational and administrative steps have been taken to keep the interests and needs of the Interdisciplinary Programs visible and included in curriculum review and planning. For example, the Dean of Faculty now requires departments and programs to design a two-year curricular plan that is available to all, so departments and programs can anticipate which faculty will be teaching in programs. Bates takes pride in the fact that what was once a contentious issue has been turned into an opportunity for our students and faculty that supports interdisciplinary work at

almost no cost to the departments. In the graduating Class of 2005, 17% of completed majors were in interdisciplinary programs.

- **Cross-listing of courses:** To better identify courses with an Interdisciplinary perspective and to better maintain the integrity of the college catalogue, beginning in fall of 2003, cross-listed courses are listed in both departments, with a single course designation. (For example, a cross-listed course formerly designated as History 201 and Economics 201 would now be listed in the catalog under both the History and Economics departments as HI/EC 201.) Any three-way cross-listed subjects are listed simply as interdisciplinary (INDS). The new cross-listing system helps to ensure that students with an interest in either subject can easily find the course in the College Catalog.

3. *The Team expressed concern about the multiple demands placed upon faculty of color and on junior faculty. How might activities such as committee service, advising, and community service be addressed along with scholarship and teaching as they come up for reappointment and tenure?*

4. *The Team mentioned concerns expressed by faculty about the “lock-step nature of the faculty pay structure which does not allow for either merit increases or market-driven, discipline-based differentials.”*

We address issues #3 and #4 together below:

- **Multiple Demands:** Several steps exist to assist faculty in finding a balance among the many demands on their time and expertise. For example, first year faculty are not expected to provide service to College Committees and most often are protected from extensive service in their Departments or Programs. Steps are taken to adjust this workload as the individual becomes more settled. Overall, the Committee on Committees and Governance has made progress each year in tracking the committee assignments of faculty so as to more equitably distribute the service workload across all faculty with attention each year to particular needs of junior faculty, faculty of color or other faculty who may be carrying particular, but less visible, time and energy demands.
- **Committee Service:** Article V of the [Faculty Handbook](#) lists extensive faculty-approved guidelines for the establishment of standing and ad hoc committees, and the procedures for electing committee members. The Committee on Committees and Governance (CCG) is charged with preparing a slate of candidates for most committees, and ensuring that nominees meet any stated qualifications. While membership on multiple committees may be expected, the CCG attempts to take into account faculty interests and a balanced workload when preparing lists of candidates for elections. There are term limits for membership on a

particular committee, and there are sunset provisions for ad hoc committees. “Continuous Faculty membership on a committee, except for *ex officio* members, shall normally be limited to a term of four years.” The charge for Ad hoc committees normally expires after two years, unless the Faculty approves an extension or establishment as a standing committee. With some exceptions, Bates has taken care to assign new tasks to the most appropriate standing committees, rather than to expand the number of short-term committees.

CCG evaluations: Since FY2003, the CCG has requested annual committee reports from chairs to help them understand faculty workload and to continue ongoing assessment of the College’s committee structure. Annual reports include responses to a brief survey about workload, resources, and task concerns that may affect the work of a committee.

Improving Faculty salary/compensation

With the completion of the faculty teaching load plans and its successful implementation launched, the Dean of Faculty turned to her next area of consideration, faculty salaries.

In academic year 2001-2002, the Dean of Faculty and President alerted the Trustees that faculty salaries were reaching a point of concern. All agreed to undertake a study of salary trends and to develop a plan to ensure a strong and competitive salary structure.

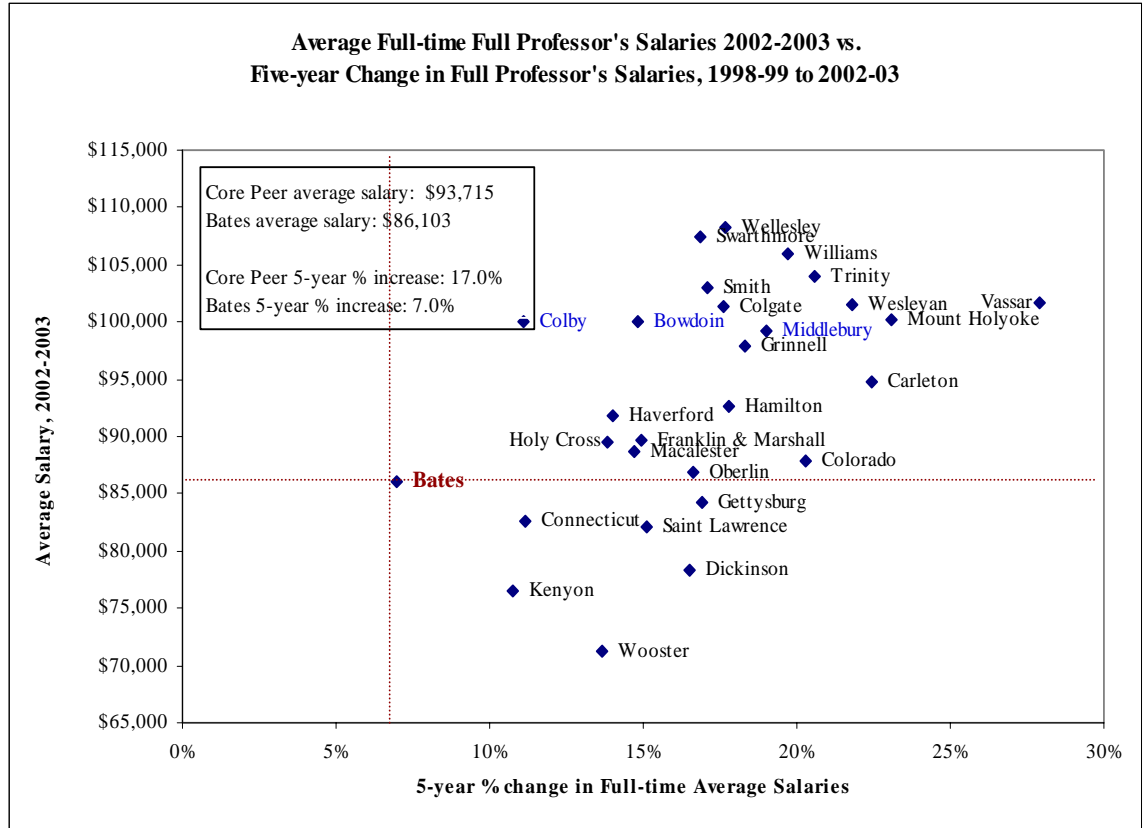
Analyses by the Institutional Planning and Analysis Office show that throughout much of the late 1990s Bates faculty salaries had been falling behind all of its benchmark groups in all ranks:

- National AAUP IIB Baccalaureate Colleges 95th percentile
- 29-college core peer group
- Primary regional peers: Bowdoin, Colby, and Middlebury (the “BCM” colleges)

Throughout the late 1990s faculty salary increases had been effectively set in budget planning at “inflation plus one or two percentage points”. While this kept real earnings above inflation and slightly increasing, it paid little attention to how Bates faculty salaries compared to salaries at peer institutions. For several years, members of the Bates peer group were increasing average AAUP full-time salaries in the ranks at one or two percentage points above Bates increases. Bates had also been falling further behind its peers in starting salaries, average percentage increases for continuing faculty, and overall AAUP average full-time salaries.

Several of Bates’ core peers have acted very strategically to keep their salaries at a certain level with their comparison groups. To prevent further

decline, and to improve its position, Bates couldn't simply continue to *react* to where its comparison groups are at present; it needed to assign resources and to set clear targets that aim to compete favorably with its competitors' projected positions in future years.



Source: AAUP. *Annual Report on the Status of the Profession. Academe.* Various years.

Since academic year 2000-2001, Bates has been phasing in elements of a comprehensive faculty compensation program. The program has led to improvements in faculty workload, salary, start-up funds, pre-tenure leaves, and retirement plans. Fiscal year 2006 marks the third year of the faculty salary plan, with the goal that salaries will be comparable with those of our closest regional peers. The next step is to review and improve sabbatical and professional development policies.

Goals of the Faculty Salary Program:

- Focus attention on salaries, instead of total compensation (Some benefits grow as salaries grow, but others, such as the cost of health care, aren't easily controllable.)
- Use the Bowdoin/Colby/Middlebury (BCM) schools as the most appropriate peer reference group
- Raise starting assistant professor salaries to competitive levels
- Raise salary "floors" at the associate and full professor ranks to create a significant "step increase" following promotion. In the

past, there had been a one-year delay between review for tenure or promotion and the formal change in faculty rank. This delay had a negative effect on the morale of newly-reviewed faculty.

Beginning with FY2005, the one-year delay in promotion in rank to Associate Professor following successful tenure review is eliminated. Promotion to Full Professor is now also immediate after review.

- We have reviewed salary distributions within ranks to identify individuals who were not earning at the predicted level for their length of service, and we have brought those salaries up to the predicted levels.
- Identify and reduce salary gaps between Bates and peers for faculty with similar “years in rank”

Issues: While Bates has been working to improve average salaries in each rank, it has also strongly encouraged eligible associate professors to stand for promotion to full professor. This program has been successful. There were 26 promotions from associate to full professor between 2000 and 2005. At the same time, senior professors have been taking advantage of the Bates retirement program, so there have been 16 retirements in the same period. The combination of a large influx of faculty at the low end of the full professor rank and retiring senior faculty at the high end of the rank impacts the average salary at that rank. In FY2005, Bates studied both the demographic distribution of salaries within rank and average salaries by years of service within ranks in our core comparison group. Although we found that Bates does have a somewhat higher proportion of faculty concentrated at the lower and less-compensated end of the professor rank than our peers, that alone does not account for the differences in salary gaps between Bates and the peer means.

Salary Floors and Median Increases:

Salary Floors	2001-02	2002-03	2003-04	2004-05	2005-06
Professor	\$63,500	\$65,500	\$67,000	\$70,500	\$75,000
Associate	\$52,250	\$56,000	\$56,000	\$58,250	\$61,000
New TT Asst. Prof.	\$44,000	\$47,000	\$51,000	\$53,000	\$55,000

Median Salary Increases	2001-02	2002-03	2003-04	2004-05	2005-06
Professors	3.7%	4.0%	4.2%	8.7%	7.2%
Associates	4.2%	4.6%	3.6%	5.6%	6.0%
Assistants	4.0%	5.7%	5.2%	6.4%	4.3%
Overall Salary Pool	4.0%	4.6%	4.2%	7.5%	7.0%

Evaluation: Bates developed its salary improvement program in FY2004, and implemented it in FY2005 and FY2006. Bates succeeded in bringing starting salaries for new tenure-track assistant professors up to the averages for its immediate and larger peer groups by FY2005. Two years into the program, we have made progress in stopping the decline in salaries relative to the peer mean we would have projected had we done nothing. On the other hand, we fell slightly

further behind the target in FY2005, in part because our peers also aggressively increased salaries. Our models show that we must continue to aggressively increase salaries now, or it will cost us more to catch up later. Also, by making improvements at the initial hire and providing more significant “step” increases at promotion, we are raising salary base levels in ways that will have lasting and beneficial impact over time as a faculty member progresses through a rank.

Improving sabbatical and professional development opportunities: With the salary plan in place and implementation underway in 2004-2005, the Dean of Faculty is now turning attention to the College’s sabbatical program, first by investigating our peer’s programs and then examining ways to improve sabbatical and professional development opportunities. Bates’ current policies are not comparable to those of our closest peers. The Dean of Faculty made an initial presentation of the results of the study to the Trustees in May 2005, along with a series of options being considered for improving professional development opportunities.

Options being considered include the following:

- **Phillips Faculty Fellowships:** Funded by a bequest from Bates’ fourth president, Charles F. Phillips, and his wife, Evelyn M. Phillips, the [Phillips Fellowships](#) reward excellence among Bates’ top scholar-teachers. Faculty members compete for full-year leave at full salary, and up to \$4,000 for travel to research venues. Two or three Phillips Fellowships are awarded annually. Since the beginning of the fellowship in 1999-2000, twenty faculty members have participated in the program. The Fellowship includes support for the replacement of the Faculty recipient, as well as travel expenses to research venues.
- **Provide more year-long sabbatical opportunities:** Current sabbatical policy provides a semester of leave at full pay, or a year of leave at half pay. Bench-marking our peer colleges’ programs demonstrates that they offer more year-long sabbaticals to faculty who have at least 6 years of service (with up to 80% of annual salary covered). These programs expect faculty to seek some outside funding.
- **Provide more flexibility:** Options are being studied to determine the implications of allowing faculty to choose between more frequent short sabbaticals and less frequent longer sabbaticals.
- **Support for other professional development:** Over the past five years, Bates has increased start-up funds to new tenure-track faculty, continued its internal faculty development grants, and continued its strong funding for travel to professional conferences (at \$1500 per faculty per year). An important category in the capital campaign is funding for faculty scholarship and the Dean of Faculty’s office works with the Office of Corporate and Foundation Relations to identify sources of funding and

write proposals to garner additional resources. For example, in fall 2005, under the lead of Bates, the Colby, Bates, Bowdoin consortium was awarded a \$300,000 grant from the Mellon Foundation for collaborative faculty development projects. [Summaries of faculty scholarship and internal and external grant activities](#) in recent years are now published on the Dean of Faculty Web site and distributed to faculty in a monthly newsletter from the Dean of Faculty's office.

- **Implementation:** Since 2000-2001, the Dean of Faculty in conjunction with the President and with the support of the Trustees has systematically planned and implemented steps to strengthen faculty compensation. To date, the faculty teaching load has been reduced to five courses, starting salaries have been increased and salaries at all ranks have been improved. Research funds for new faculty ("start-up funds") and pre-tenure leaves have been strengthened. Faculty development seminars have been initiated to address pedagogy, scholarship and academic leadership. Much has been accomplished with the support of the President and Trustees and we look ahead with enthusiasm to continuing this progress.

5. *The Team mentioned that the faculty expressed a need for increased support staff located in closer proximity to faculty offices.*

Academic Support Services:

Bates provides administrative support services to all faculty through **Area Coordinators** and **Project Assistants**:

Area Coordinators provide support to several assigned departments and programs. The nature of their work varies according to the needs of those departments and programs. Area coordinators are located in several central locations throughout the campus. They assist faculty with materials pertaining to course work. They also support departments, programs, and committees. They assist in organizing and publicizing special events sponsored by departments and programs. They oversee student workers, maintain supplies and equipment, provide word processing and database management, and conduct day-to-day operations such as photocopying, answering telephones, and filing. The positions of Area Coordinators were created many years ago. Because they were not designated "department secretaries," it was not immediately obvious how they might serve faculty. It took a few years for this new system of faculty support to evolve. Today eleven Area Coordinators serve faculty in many different ways, often doing tasks, such as scanning photographs, that weren't even imagined when their positions were created. Their work has been an unqualified success and they have relieved faculty and department chairs of the incredible administrative and secretarial burdens that they had to bear for decades. This year the Dean of Faculty appointed a new staff member to supervise the Area Coordinators to ensure that they can continue to serve faculty's needs (see below).

Project Assistants are located in the administration building and are available to all faculty members. They obtain copyright permissions for course pack compilation; coordinate faculty recruitment; and support and coordinate events for the Honors Committee Curriculum and Calendar Committee, Graduate Studies Committee, Martin Luther King Jr. Day Planning Committee. They provide desktop publishing services for various types of publications. They also provide support for course-related materials, manuscript editing, and day-to-day operations.

Coordinator of Academic Administration: In 2005-06, the College established a new “Coordinator of Academic Administration” position. The Coordinator will supervise, support and coordinate the work efforts of 20-30 staff members in support of academic departments and programs with general office, clerical and administrative support. A major responsibility will be to manage the workflow and evaluate the quality of the services delivered. The position will also assist the Dean of Faculty’s office with special projects and other administrative tasks.

6. *With regard to Standard Three (Organization and Governance), the Team questioned whether the number of faculty committees was “sustainable,” whether some faculty committee functions might be more effectively allocated to administrators.*

Over the past five years, the Committee on Committees and Governance (CCG) has systematically reviewed committee composition, goals and output, as well as faculty distribution across committee assignments. As a result, we believe that the College’s service needs and committee work, while demanding, is better balanced across the faculty. Further, while *ad hoc* committees are occasionally created, there is now a “sunset law” to review and disband the committee after two years if it seems to have served its purpose or if its work can be assumed by another committee. In addition, the CCG continues to seek better ways to evaluate the faculty’s role in college governance.

The 2004 HERI Faculty Survey found that 99% of faculty respondents were satisfied with faculty governance, and that 93% felt “sufficiently involved” in campus decision-making. One hundred percent of respondents indicated that they were satisfied or very satisfied with their “autonomy and independence”.

7. *It was noted that there was a level of frustration with the amount of time and effort spent on the last review of the General Education requirements, and that the Educational Policy Committee’s proposal was “radically amended on the floor of the faculty and ultimately defeated”.*

The Goals of a Bates Education:

General education review in the 1990s: The last fundamental change to the Bates system of general education took place in 1975. In January 1992 the Educational Policy Committee began a review of the general education requirements. In June of 1998, after extensive discussion, the faculty approved parts of the Committee's proposal, but rejected wholesale revision. Since all of the general education recommendations were voted on as a single "package," the defeat of the proposal also meant the defeat of some components (such as expanding the First-Year Seminar Program) which may have passed if voted on separately. Many were frustrated or upset about the faculty's inability to reach agreement on common elements of a general education package, so the general education requirements remained essentially unchanged.

Reviving general education reform in the 2000s with an emphasis on faculty leadership, participation, and process: In FY2004, a review of the general education requirements began again, with emphasis on faculty participation, faculty leadership, and process. The process began with a team of Bates faculty and administrators attending the 2003 American Association of Colleges and Universities (AAC&U) Institute on General Education in Asheville, NC. At the conference, they learned about current trends and best practices in general education. Upon their return, in 2003-04 they facilitated an extensive series of discussions and dinners with faculty and students about what a Bates education might look like.

This approach directed discussions of the general education review to begin with the overall goals of a liberal arts education, rather than beginning this review by immediately focusing on questions of distribution requirements or the number of courses that must be taken in a given area. What follows is the distillation of the goals of a Bates education resulting from these discussions in 2003-2004:

Summary: What are the Goals of a Bates Education?

(<http://www.bates.edu/summary-goals-bates-education.xml>)

Passion for Learning

We want Bates students to gain a love of learning, an expectation that it is a crucial part of life, and a passion for at least one subject while at college.

Preparation for Life-long Learning

We want Bates students to become life-long learners, able to identify knowledge needed, conduct research, and draw conclusions. We want Bates students to think for themselves, to question, evaluate evidence, and make decisions. We want Bates students to learn to take responsibility for their learning, develop confidence in their ability to learn when faced with the unfamiliar, defend their own positions and respectfully challenge others' positions.

Making Connections

We want Bates students to be cognizant of the connections among their courses, their residential lives, their communities, and their extra-curricular activities.

Multiple Perspectives

We want Bates students to be able to bring multiple, and interdisciplinary, perspectives to complex problems, to be able to identify different perspectives and see what those perspectives bring to an understanding of the world.

Understanding Contexts

We want Bates students to understand the historical and cultural contexts of their lives, including an understanding of the Bates context, and to have knowledge and experience of cultures outside the ones with which they are most familiar.

Responsibility to Community

We want Bates students to prepare themselves to play an active part in their communities, including scholarly communities. Therefore, we expect our students while at Bates to be active participants in their local, global, cultural and scholarly communities.

Skills

We want Bates students to have the skills they will need to achieve these goals and to continue life-long learning: good written and oral communication, close reading, critical thinking, the evaluation of discourse, evidence-based reasoning, and quantitative reasoning.

Depth of Learning

We want Bates students to concentrate in one discipline or area of knowledge, learning intensively both the appropriate knowledge and methods. Gaining deep knowledge in one area of study is crucial practice for life-long learning.

Breadth of Learning

We want Bates students to have some knowledge of several areas of study, so that over their lifetimes they can more easily pursue and evaluate presentations of knowledge in those areas. Even brief experience of different areas of study will facilitate the habit of viewing complex problems from multiple perspectives. Breadth of learning also encourages the understanding of new ideas, cultures unfamiliar to students, and multiple contexts.

The Coordinating Committee and the Design Team: In December 2003 the faculty voted to go forward with a general education review. In March 2004 the faculty adopted a formal “process”, and a Coordinating Committee and a Design Team were elected. The ten-member Coordinating Committee on a Bates Education deals primarily with process issues. It was given the following charge: “To aid the faculty in considering the goals of a Bates education and how they can best be achieved. Also, to reflect the College community's interests during the design process.” The Design Team was given the charge “to design and recommend to the faculty a general education program likely to achieve our goals.”

Exhaustive archives of minutes of faculty discussions, newsletters, and all important documents pertaining to the general education review are available to the faculty and to the general public on a [Goals of a Bates Education](#) Web site.

Transcript analysis and Academic Outcomes Research: In the summer of 2004, Institutional Planning and Analysis prepared an extensive set of data and a transcript analysis. Members of the two committees reviewed the data at a general education retreat to better understand the actual course-taking patterns of recent graduates.

Transcript analysis summary: How many courses were taken by graduating seniors (Classes of 2002 to 2004) in various areas?

#/% of grads (by Major 1 division/major) who took:

- any Math course (59%)
- any Fine Arts course (75%)
- any Foreign Language course (67%)
- did a second major (10%)
- did a secondary concentration (28%)
- took a First Year Seminar (>90% in recent entering cohorts)
- did a Senior Thesis/project (92%) (A record 98% for the Class of 2005)
- earned any credit for off-campus study (60% to 70% of graduates)

Also, by Major 1 division:

- average # of courses taken in each division (varies)
- percentage of majors within each division taking courses in other divisions (including interdisciplinary and cross-divisional courses) (varies)

Refining Faculty Goals for General Education: At the September faculty meeting in 2004, attendees participated in an exercise where groups were asked to suggest a series of general education goals for “Idyllic College, a small liberal arts institution with a brilliant and creative faculty who teach eager students.” The following goals were suggested, in roughly descending order of frequency:

1. Making connections, and understanding a theme from multiple intellectual standpoints; understanding complexity
2. Technological/quantitative/scientific understanding
3. A deep understanding of a culture/cultures beyond the U.S., requiring (among other things) linguistic proficiency
4. Intellectual risk-taking. The practice of stepping outside one’s cultural/intellectual “comfort zone.”
5. Writing well, and its corollary, thinking well—technically, creatively, analytically
6. An understanding of the fine and performing arts
7. A feel for material culture, including experience in making something
8. Responsible citizenship, broadly defined, to include social and ethical responsibility, environmental awareness
9. Self awareness
10. A disposition to continue learning throughout life

From the 2004 HERI Faculty Survey results, the following table shows how Bates full-time faculty rank a series of goals in comparison to faculty in similar selective institutions, and at all participating institutions:

2004 HERI Faculty Survey:

Faculty goals for students noted as 'very important' or 'essential'	Bates FT Total	4-year nonsectarian high selectivity institutions	All inst- itutions
Develop ability to think critically	100.0	99.5	98.9
Promote ability to write effectively	95.9	90.5	86.8
Help master knowledge in a discipline	89.3	93.7	94.1
Develop creative capacities	76.0	68.7	68.3
Instill a basic appreciation of the liberal arts	76.0	74.3	56.0
Prepare students for graduate or advanced education	70.7	67.3	61.1
Prepare students for responsible citizenship	66.7	61.8	60.9
Enhance students' knowledge of and appreciation for other racial/ethnic groups	60.0	61.1	59.1
Enhance students' self-understanding	58.7	62.8	60.3
Help students develop personal values	49.3	54.0	53.1
Develop moral character	48.0	59.1	59.4
Facilitate search for meaning/purpose in life	43.2	44.2	37.6
Provide for students' emotional development	33.3	37.2	38.1
Instill in students a commitment to community service	22.7	34.5	38.1
Enhance spiritual development	20.0	25.3	22.7

Narrowing down the alternate proposals: In December 2004, the campus was presented with nine alternative approaches to a general education for public discussion. After receiving feedback, by May 2005, the Team had reduced these options to three broad outlines which were presented in a series of open meetings, poster sessions, and [posted on the Web](#). The three proposals had a common foundation, but differed greatly in the number and types of courses or other requirements that would compose the general education sequence.

Over the summer of 2005, the Committee reviewed public comments about the three proposals, and presented a single working proposal for consideration by the Bates faculty. A working pamphlet that describes the “BatesEd” proposal was distributed to the campus community in early September. Since then, several open meetings have been held to discuss the proposed draft model.

Having completed their work, the Design Team and the Coordinating Committee disbanded, and the “Bates Education Committee” has been formed from the original group to solicit feedback, refine the model, and bring the review and revision to successful faculty legislation. The BatesEd proposal will need to make its way through a required three readings at monthly Faculty meetings before it can be formally adopted.

Key Elements from the working draft of the “BatesEd” Proposal:

The Committee’s introduction states that it has deliberately chosen a “goals-based” approach to general education:

“Time and again the committee has been pulled out of the quagmire of discussions tied to distribution—to ‘counting’ and ‘not counting’—and to the endless accretion of required content courses by returning to the basic goals of a Bates education so eloquently and consistently voiced during the first year of our process. Thus the plan is predicated less on the administrative or divisional framework of the college (Divisions, Departments, Programs) than on some generally-accepted goals that may guide and determine a Bates student’s academic experience.”

A Bates Education consists of:

32 courses + 2 Short Term units:

Rationale: The course load at Bates should be challenging enough to keep studying and learning as the primary occupation for students, while calling for sustained focus in individual courses.

The Curriculum consists of 4 components:

1. **A Major:** Students complete all prescribed work in a major, including a senior thesis or comprehensive exam, as determined by the major department or program.

Rationale: One of the goals of a Bates education is that students achieve a depth of knowledge within a discipline or area of study and become acquainted with its scope and methods. Specialization provides the opportunity for students to work intensively on a particular topic within their major field, an experience that not only fosters academic confidence but also provides an understanding of the nature and limits of expertise.

2. **Writing:** W-designated courses have as a major focus the development of students’ writing expertise. Students must successfully complete three W-designated courses, one at the first-year level, one at the sophomore or junior level, and one at the senior level. A W-designated course can take the form of an entire course, a section of a course, or a subset of a course that is not otherwise writing attentive.

Rationale: An essential part of a Bates education is the development of a student’s ability to convey ideas and information logically and clearly and to evaluate critically the ideas of others. This is a process that requires attention at increasingly more sophisticated levels throughout a student’s academic career. Because the careful production and refinement of written work is an excellent way to cultivate this ability, Bates requires its students to take three progressively more advanced levels of writing courses.

3. Formal, quantitative, and scientific reasoning (FQSR): Students must successfully complete 3 FQSR credits, at least 1 by the end of their sophomore year. FQSR courses are defined as those which emphasize one or more of the following skills: the ability to understand the roles and connections among experimentation, observation, models, and theories; the use of data to support or refute hypotheses; the ability to employ inductive and deductive reasoning appropriately; the use of language and symbolic expression in a disciplined way. FQSR-designated courses may come from various departments and programs, including, but not necessarily restricted to, offerings in mathematics, logic, statistics, natural and social sciences. One of these courses must include “a regularly scheduled laboratory component,” where students make and test hypotheses, conduct experiments, make their own measurements, and analyze and communicate their results.

Rationale: Familiarity with formal, quantitative, and scientific reasoning, proficiency in problem solving, numeracy, and the ability to comprehend, organize, and communicate quantitative information are goals of a Bates education. Understanding how the reliability of conclusions drawn from experiments is influenced by experimental design and measurement quality is another goal of a Bates education. In preparation for a capstone experience, students need to be able to accumulate and evaluate evidence and use it to formulate cogent arguments.

4. Two General Education Concentrations: A General Education Concentration (GEC) consists of four courses chosen from a set that is structured by faculty on the basis of a clearly articulated organizing principle. Students must take 2 General Education Concentrations (GECs) outside of their major. Each GEC consists of 4 courses, from a faculty-designed menu of approved courses. The organizing principles can take a variety of forms. For example, an issue or topic might serve as an organizing principle for an interdisciplinary GEC that draws on faculty expertise from a variety of fields. Alternatively, an area of inquiry for which Bates does not provide a major, but in which several faculty members have active interests, may provide the basis of a GEC. In other cases, the courses or activities comprising a GEC may be drawn from a single department or program, in which case, the discipline or approach might serve as the organizing principle. While it is anticipated that many departments and programs will choose to offer GECs in their respective fields, they will not be required to do so.

Rationale: The structure is designed to achieve three goals that are described more fully below: *breadth*, *coherence*, and *continued development*.

Breadth: Students are asked to complete two GECs outside of their major field. This promotes a broad and liberal education and discourages overspecialization. To ensure that promoting the goal of a broad education does not place undue constraints on students’ choice of GECs, only one of a student’s two GECs must be in a field or focused on a topic that is designated as being significantly removed from that of their major. At the student’s discretion their second GEC may also be drawn from an area quite distinct from their major, or it may be in a more closely

allied field. Answering the question of which GECs are deemed significantly removed from the major—in other words, which GECs provide sufficient breadth—will be left to the departments and programs offering the majors. Some departments or programs might choose to use the existing division structure as a convenient means for categorizing GECs. For example, students might be required to take at least one GEC from a division outside the division in which the major resides. Other departments or programs might prefer simply to designate each available GEC as providing either sufficient or insufficient breadth for their majors. Finally, if a department or program is concerned that a particular small set of GECs might overlap excessively with their field, they may choose to exclude them from consideration by their majors.

Coherence: To ensure that students' academic breadth is achieved coherently and purposefully, GECs are designed by groups of faculty with common or complementary interests and areas of expertise. Those faculty coming together to design a GEC should also be committed to offering the courses or activities comprised by the GEC for at least five years so that students embarking in pursuit of the completion of a GEC do not find themselves stranded part way through. Guidance for the design of GECs and oversight of their implementation will be provided by a Bates Education Committee.

Continued Development: The organization of courses and experiences comprising a GEC guides students to an increasingly sophisticated handling of the subject or topic. In this way majors and GECs combine to encourage students to achieve a depth of learning and progress intellectually both within and beyond their primary academic focus. Since the faculty-designed GECs constrain only eight of the thirty-two courses required for graduation, students will still be free to experiment in new academic areas by taking introductory or survey courses. However, the structure of GECs ensures that students' general education does not consist entirely of such courses.

Progress toward reviewing completion of graduation requirements: The Registrar has been studying a new system (The Curriculum Advising and Planning Program, or CAPP) to audit and evaluate student progress toward their degrees. It is hoped that this system (a component of the SCT Banner administrative software) will address a long-standing problem of assuring that students are on track with their academic programs and helping faculty to monitor their progress. It will also be ready to implement when the new graduation requirements take effect, making the application of the new requirements easier.

Other Faculty Workload and Decision Making Efforts:

The Mellon Learning Associates Program: Since 2001, the Mellon Foundation has funded the **Mellon Learning Associates Program in the Humanities** to work with Bates students under the direction of sponsoring departments in the division of humanities and in environmental studies. The purpose of the program is to promote and enhance the learning experience of Bates students generally and to

enrich the thesis experience particularly. In August 2005, the Mellon Foundation renewed funding for the program for another two years in the humanities, and expanded activities to include the social sciences. (The environmental studies component was not renewed.)

Learning associates in the categories of distance, intermittent and resident are visiting the Bates campus during the four-year term of the grant. Included in the associates' areas of expertise are literature, music, architecture, languages, theater technology, book arts and dance.

Resident learning associates may reside at Bates College from one semester to two years. The associates may be young scholars who are finishing their Ph.D. with plans for an academic career, and a residency at Bates through the Mellon program can give them the opportunity to interact with faculty and students at a small liberal arts college to help in their career decision-making.

Established scholars, artists or practitioners in the humanities who share their expertise from a distance comprise the category of **distance learning associates**. These associates share their expertise with thesis students via e-mail, telephone calls or any other means of communication, with occasional trips to campus.

Intermittent learning associates visit the College for a discreet period of time, ranging from a day to a week, occasionally with staggered or repeated visits. They share their knowledge and enthusiasm for their work in the humanities with students who are working on theses in the associates' areas of expertise and with sophomores and juniors preparing intellectually for thesis.

Senior lecturers: Part-time faculty members with long service to the College may now stand for appointment to the new rank of "Senior Lecturer". Candidates for the position of Senior Lecturer shall normally have achieved the terminal degree in their field, and have been employed by the College for thirteen years, or have arranged such credit for prior experience at the time of hiring. Continuing excellence in teaching and significant professional achievement are the two chief criteria for promotion to the rank of Senior Lecturer. Additionally, candidates for the position of Senior Lecturer shall demonstrate excellence in carrying out supplemental teaching and service. Lecturers attaining the rank of Senior Lecturer no longer need to undergo evaluation by the Personnel Committee, but the Division Chairs re-evaluate the need for the lectureship position every five years. There will be four Senior Lecturers teaching in the fall of 2005.

Area 3. Board Governance and Structure

At the time of the 2000 site visit, the Board was engaged in conversations with an outside consultant regarding structural issues. Although it was too early in the evaluation stage to effect change, Board members shared several concerns with members of the Evaluation Team.

The Team report states that it:

“shares the Board’s sense of the timeliness of engaging the delicate matter of how alumni Trustees are selected, specifically the problematic process of contested elections, which create “losers” who are in danger of feeling alienation from the College. A related issue is the need to clarify to the alumni who nominate trustees what the expectations for alumni trustees are. Likewise the Team acknowledges the appropriateness of addressing the bicameral structure of the Board...with specific attention to the issue of term limits.”

The report acknowledges that these issues were well under discussion in 2000, but requested a progress report in the fifth year.

Changes in Board Governance:

The two major changes in the Board governance process have been 1) the move from a competitive election for Alumni Trustees to a more thorough vetting and nomination process by the Alumni Council, and 2) a change in the Charter and By-laws to move from a bicameral to a unicameral Board structure.

Nomination of Alumni Trustees: The Bates Alumni Council is the governing body of the Alumni Association and serves as the primary liaison between the Association and the Bates administration, faculty, and student body. Members of the Bates Alumni Council voted unanimously at their fall 2003 meeting to approve a change in the Alumni Association bylaws regarding the selection of Alumni Trustees. Formerly, two Alumni Trustees were chosen from a slate of four candidates in an election open to all alumni. Since the bylaws change, the general alumni election has been eliminated, and the Alumni Council reviews and evaluates potential Board candidates, and then nominates two Alumni Trustees to the Board for approval.

By moving to a nominations process, the Alumni Council felt that it could select a stronger set of Trustee candidates. In the past, getting a slate of four candidates to compete for two open seats could be a cumbersome and difficult process. Some of the strongest candidates politely declined to run in an election; others who ran unsuccessfully were understandably discouraged. Also, only a small minority of alumni tended to vote in such elections, and the voting tended to be heavily skewed in favor of older classes. The nominations process allows strong candidates to be sought out and thoroughly evaluated, and it tends to provide opportunities for growth for alumni who are already making significant contributions to the College.

Move from a bicameral to a unicameral Board: Upon the recommendation of the Committee on Board Governance in 2003-04, the College Charter and By-Laws were revised in May 2004. The Board of Fellows and the Board of Overseers, acting as separate Boards and in Convention, amended and restated the Charter on May 28, 2004 to merge into a unicameral Board of Trustees effective July 1, 2004.¹ The fifteen Fellows had formerly been appointed for life terms (with retirement required at age seventy). Overseers had formerly been elected for five-year, renewable terms, with several trustees elected by the alumni.

In the new unicameral Board, all Trustees are elected for up to two consecutive five-year terms. Replacement Trustees will be elected by the Board at the annual meeting from candidates nominated by the Committee on Board Governance, including two nominees from the Alumni Council. (Before the change, the Alumni Council nominated candidates only for the Overseers, although many former Overseers eventually became Fellows.) The combined Board will continue to have a maximum membership of forty persons.

Term limits are intended to expand opportunities for leadership, but they are not absolute. So that the College may from time to time recognize and take advantage of exceptional leadership, a Trustee may be permitted to serve additional terms. This requires a request from Executive Committee, and the approval of not less than two-thirds of the remaining Trustees (excepting the person whose term is to be extended.) A mandatory retirement at age seventy still applies.

Before adopting the changes, members of the Committee on Board Governance and the Office of Institutional Planning and Analysis modeled various scenarios to study the long range implications of various alternatives. The models produced estimates of Board “turn over” over time, and examined levels of seniority and experience in order to fill leadership roles. The models tended to confirm the common wisdom that fixed terms with term limits would in the long run allow

¹ Since the 2000 Self Study, the College has obtained full authority to amend or restate its Charter without approval by the State of Maine. The Charter of Bates College was revised by the Legislature of the State of Maine by Chapter 28 of the Private and Special Laws of 2001. On and after September 21, 2001, Chapter 28 authorizes the Corporation to amend or restate the Charter pursuant to the Maine Non-Profit Corporation Act (13-B M.R.S.A. §§ 101 et. seq.) without necessity of legislative approval.

many more persons to serve Bates in a leadership (as well as donor) capacity. The models also suggested that although the average “years of Board service” would quickly decline with the elimination of “service until age 70” for Fellows, this decline would level off after several years, and that the average “years of service” should eventually stabilize at a respectable six to nine years.

The revised Charter assigns to the Board Governance Committee the authority to make arrangements for a smooth transition. Trustees who formerly served as Fellows are “grandfathered” and turnover will occur naturally by voluntary resignation or by retirement at age seventy. Two former Fellows chose to retire at the end of 2005, and were awarded “emeritus” status, and two more will retire next year.

Orientation of New Trustees: Each summer, new Trustees are sent letter welcoming them to the Board, along with a packet of key documents about the College. Bates conducts a New Trustee Orientation Program each year at a dinner meeting before the official start of the October Board meeting. Its purpose is to provide new Board members with the tools needed to be informed and comfortable enough to actively participate as early in their term as possible. The Chair of the Board, the Vice Chair, and the President are present, and make presentations about how the Board operates. Members of the Senior Staff are also invited to join the group for introductions and discussions.

Emeritus Status: A Board member who reaches age seventy prior to the Annual Meeting will become Trustee Emeritus at the conclusion of the meeting. The By-laws have also been amended (Article I, Section 9) to make it clear that “the Board may, at its discretion, request any retiring Board members(s) whose term is completed to further serve the College and the Corporation in some other capacity, when and where appropriate, with such authority as may be required.” The Board Governance Committee is currently working to develop policies to confer “emeritus” status on Trustees whose terms expire before the retirement age. Former Trustees *can* and frequently *do* serve the College effectively as emeriti, but their retirements help make room on the Board to recruit and train the next generation of leaders.

Board Committee Structure

Several changes were made to Board committees, to consolidate similar functions and reduce the number of regular and ad hoc committees. Some Committee changes reflect changes in Bates organization naming (i.e. from Development to Advancement), or new administrative structures (i.e. College and External Relations).

The Executive Committee is elected by the Corporation at its annual meeting, and it acts on behalf of the Board when it is not meeting. The chairs of the standing committees of the Board are asked to agree to election to the Executive Committee. Members, chairs, and vice chairs of standing Board committees are appointed by the Committee on Board Governance.

The duties and functions of the standing committees are elaborated in Article VIII of the By-laws of the Corporation. Changes to the committee structure since the 2000 Self-Study are summarized below:

Changes to Board Committees

1999-2000 Committees	2004-2005 Committees
Executive	Executive
Academic Affairs	Academic Affairs
Admissions, Financial Aid, and College Relations	Admissions and Financial Aid
Audit	<i>Audit and Legal Affairs</i>
Board Governance	Board Governance
Budget	<i>Budget and Finance</i>
Grounds and Buildings	<i>College Infrastructure</i>
Development	<i>College Advancement</i>
Ad hoc Committee Regarding Honorary Degree Nominations	<i>Honorary Degrees</i>
Investment	Investment
Student Affairs	Student Affairs
Ad Hoc Committee Regarding Tenure Appeals	Ad Hoc Committee Regarding Tenure Appeals
	<i>College and External Relations</i>
Committees Dropped:	New Role:
Co-curricular Life	Combined with Student Affairs
Legal Affairs	Combined with Audit
Technology, Academic Facilities and Program Support	Combined with College Infrastructure
Ad hoc Committee on LA Excels Strategic Initiative	dropped
Ad hoc Committee Regarding Goals 2005 and Strategic Planning	Functions assigned to other committees and full Board

Board Chair Search

Burton M. Harris '59 succeeded James L. Moody '53 (term 1987 – 2001) as Chair of the Board and the Corporation in 2001. He has served as a Bates Trustee since 1983. He was the chair of the search committee that brought Donald W. Harward as Bates' sixth president, and also a member of the search committee that selected Elaine Tuttle Hansen as the seventh president. For more than 30 years Mr. Harris was associated with Bingham, Dana, LLP, achieving senior partner and also chairman of the firm. He also served as executive director of the Massachusetts Industrial Finance Agency. In recent years he has been an independent business consultant and the Board Chair of Boston's North Bennet Street School. He originally intended to retire at the end of his term in 2005. At the Board's request, he has agreed to stay on as Chair for one more year, as the College finishes the Campaign for Bates, as Bates celebrates its sesquicentennial year, and as the Board completes its transition to a unicameral body.

Board members have engaged in a process to determine what qualities are most needed for the next Chair, and to identify a suitable candidate to fulfill that role. A subcommittee overseeing this process hopes to announce its recommendation for the next Chair in the fall of 2005. The chair, the vice chair, and the secretary of the Board are elected by majority vote of the Board. Article III Section 2 of the By-laws provides that: "The Chairperson of the Corporation may serve for a term of service of four years, ratified annually by the Board; a chairperson may serve up to two consecutive terms." The Chair also presides over the Executive Committee of the Board.

Assessment:

By taking the steps necessary (in 2001) to clarify that the College can amend the Charter without approval from the Maine Legislature, the College gained the flexibility to more easily modernize the Board structure, and to respond to future needs in a more timely fashion.

The move to a unicameral Board should ultimately allow more interested persons to participate in the governance of the College. By eliminating different kinds of appointments, it re-affirms the tradition of equity and fairness upon which the College was established. The Board has revised the Charter and the By-laws to ensure that more persons with a variety of strengths will be represented on the Board over time; at the same time, it has provided enough flexibility to ensure that exceptional leaders who wish to continue to serve are not artificially forced out by term limits. The move away from Fellows gives new Trustees a chance to take a leadership role much sooner. At the same time, term limits make it more important that the Board ensures that new Trustees are properly oriented and quickly educated about the needs of the College, so that they can become full participants in Board affairs and assume leadership roles before terms expire. Several Board committees use a "co-chair" system to expand leadership opportunities and to provide a smoother transition when a long-time chair retires.

Brief Updates Pertaining to NEASC Standards:

Standard 1: Mission and Purposes

The Bates College [Mission Statement](#) (adopted in 1990) has not changed since the 2000 Self Study. (See appendix A.) It was discussed extensively by the on-campus 2000 Self Study committee, but it was decided to allow the statement to stand unchanged.

Standard 2: Planning and Evaluation

Issues related to planning and evaluation have been addressed throughout the document in the appropriate sections. Topics include:

- Campus Facilities Master Plan (see Standard 8: Physical Resources)
- Financial Plan (see Area 1: Financial Planning and Multi-year Budgeting)
- Enrollment (see Area 1: Financial Planning and Multi-year Budgeting and Standard 6: Student Services)
- The Campaign for Bates (see Standard 9: Financial Resources)
- Faculty Compensation (see Area 2: Faculty workload)
- Bates has conducted (or scheduled) the following academic and administrative department or program reviews since the 2000 Self-Study.

Department and Program Reviews Since 2000:

2005-2006 (*tentative schedule*)

Education (State of Maine Accreditation)

Psychology

Writing Workshop

Communications and Media Relations

Off-campus Study

Human Resources

Affirmative Action and Institutional Diversity

2004-2005

Political Science

2003-2004

Biological Chemistry (concluded)

2002-2003

African-American and American Cultural Studies

Biological Chemistry (begun; no Visiting Committee visit)

2001-2002

Chemistry

German, Russian and East Asian Languages and Literatures

2000-2001

Mathematics

Museum of Art (completed fall semester)

Standard 3: Organization and Governance

Changes to Financial Office and Trustees organization and governance structure have already been addressed above under Areas 2 and 3. (See Appendices for Organization Charts from 2000 and 2005). Other major changes include the following:

President’s Council review and “charge”: The President’s Council is composed of approximately forty department heads and senior administrators. It meets monthly to allow the President to communicate about major goals and developments at the College, and also to provide a forum where administrators can inform each other about their work. In 2004-05, President Hansen asked the members to evaluate the effectiveness of the Council and to propose any structural changes that might be needed. In general, members concluded that the Council was both effective and necessary. Some changes were made to the group’s meeting time, and for the first time a formal “charge” for the President’s Council was discussed and adopted. Each year, a group of three member-facilitators will work with the President to facilitate the meetings, to coordinate the agenda, and to take and disseminate minutes.

Changes in the Advancement Office: In FY2004, the Development Office was reorganized as the Office of College Advancement under Vice President Victoria Devlin. Advancement absorbed the functions of the Alumni Office and the College Relations Office (renamed [Communications and Media Relations](#)). William Hiss, who had overseen the Alumni Office and the publications and media functions, remains Vice President for External Affairs, with additional responsibilities for fund-raising, and new responsibilities for oversight of the [Office of Career Services](#).

New Dean of Students: [Tedd Goundie](#) began as Dean of Students in August 2004. Before coming to Bates, he had served Swarthmore College as Associate Dean for Student Life since 1996.

Information and Library Services: Information and *Library* Services have been a merged organization since 1999. In 2005, Eugene Wiemers was promoted to Vice President for Information and Library Services and Librarian. With this change, he and ILS report directly to the President, rather than indirectly, through the Vice President for Academic Affairs.

From the Dean of the College to the Harvard Center for Community Partnerships (HCCP): Several structural changes came about after the retirement of James Carignan as the Dean of the College. The position of Dean of the College was not continued. Some of the functions that were administered by the Dean of the College Office were re-considered. Some functions were eliminated, while others were incorporated into the new [Harvard Center for Community Partnerships](#) in FY2004.

- The Vice President for Academic Affairs oversees the functions and programs associated with the Harward Center.
- The Office of Special Projects and Summer Programs was eliminated in spring 2005 and its tasks were assumed within the HCCP. This change allows community programs to be focused and planned within the goals and primary priorities of the HCCP.
- The [Center for Service-Learning](#) exists as a program within the Harward Center.
- The [Bates Dance Festival](#) will be administered as an independent program within Bates, reporting to the Dean of the Faculty and coordinated with the College's Dance Program in the Department of Theater and Rhetoric.
- [Bates-Morse Mountain Conservation Area](#) programs are organized within the Harward Center.

Standard 4: Programs and Instruction

Departmental Majors offered: Anthropology, art and visual culture, biology, chemistry, Chinese, economics, English, French, geology, German, history, Japanese, mathematics, music, philosophy, physics, political science, psychology, religion, rhetoric, Russian, sociology, Spanish, and theater.

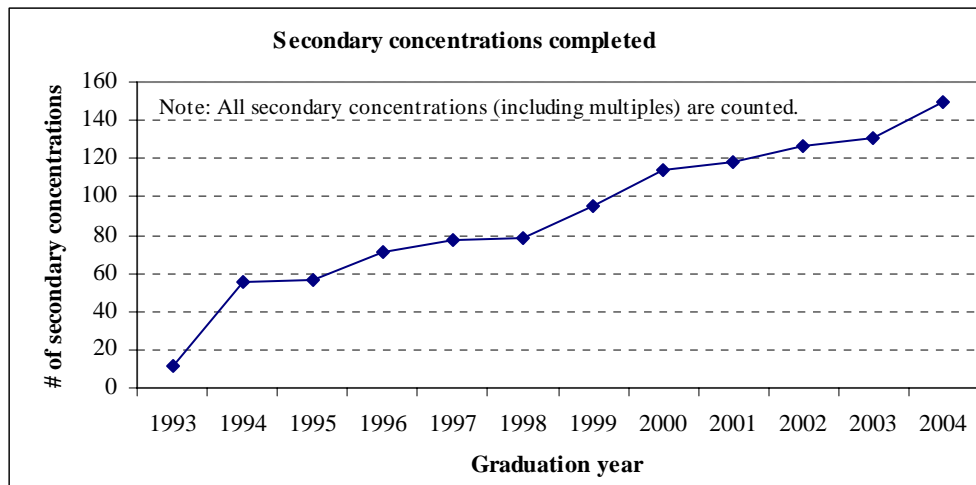
Interdisciplinary majors offered: African American studies, American cultural studies, East Asian studies, biological chemistry, classical and medieval studies, environmental studies, neuroscience, women and gender studies. (Bates also offers individual (student-designed) interdisciplinary majors and Dual Degree Programs with several institutions for a major in engineering.)

Secondary concentrations offered: African American studies, anthropology, Asian studies, Chinese, dance, economic, educational studies, French, German, Greek, history, Japanese, Latin, mathematics, music, philosophy, religion, Russian, sociology, Spanish, teacher education, theater, and women and gender studies. This fall, the faculty will consider adding a secondary concentration in chemistry.

Summary of changes in majors, secondary concentrations, and program names:

- 2004: The Art Department was renamed Art and Visual Culture.
- 2004: The Classical and Romance Languages and Literatures Department (CRL) was renamed Romance Languages and Literatures. Greek and Latin became part of the Classical and Medieval Studies Program (CMS). For several years, the titles of faculty who taught Greek and Latin reflected appointments to both CRL and to CMS.
- 2004: The Program in Women's Studies and Gender Studies was renamed as the Program in Women and Gender Studies. (It had changed from Women's Studies after 2001-2002.)
- Changes in the Program in Asian Studies. The Program in Asian Studies offers a major in East Asian Studies, which replaces a former major (to 1998) in East Asian Languages and Literatures. In 2004, the secondary concentration in South Asian Studies (authorized in 1998) was replaced by a secondary concentration in Asian Studies. Since 1998, students have been able to major in Chinese or Japanese through the German, Russian and East Asian Languages and Literatures Department.)
- **Secondary concentrations:** From 1999 to 2004, the number of secondary concentrations offered rose from 18 to 24. Anthropology, history, mathematics, religion, rhetoric, and sociology were added in 2000. Women's Studies changed its name to Women and Gender Studies in 2001, then briefly to Women's and Gender Studies (2003), then back to

Women and Gender Studies in 2004. Bates dropped Computing Studies as a secondary concentration after 2001-02. In 2004, African-American Studies was added, and South Asian Studies became Asian Studies.



The number of graduating seniors who have completed secondary concentration increased from 78 to 150 (up 58%), and a small, but growing percentage of students have completed more than one secondary concentration.

Seeing the growing trend in secondary concentrations, in 2003-2005 the Educational Policy Committee reviewed their organization, goals, and usage and concluded that they provide a useful vehicle for student learning.

Off-Campus Study Program Evaluation:

- **Elimination of the Colby-Bates-Bowdoin Off-campus Study Program (FY2004):** After a careful review, Colby, Bates, and Bowdoin decided to end the Colby-Bates-Bowdoin (CBB) Off-campus Study program that supported off-site study in London (Colby), Quito, Ecuador (Bates), and Cape Town (Bowdoin). The program ran from 1999-2000 to 2004-05 and was supported in part by Mellon Foundation funds. The review found that the CBB programs, although successful from an academic perspective, were financially untenable. Moreover, it was concluded that the goals for study abroad could be better met through student use of the Bates College Fall Semester Abroad program or by a careful use of approved existing programs external to the College.
- **Off-campus study experiences survey:** In the spring of 2004, a consortium of Bates, Bowdoin, Colby, Smith, and Amherst conducted a survey of seniors who had studied abroad during their undergraduate career. The survey was supported by NEASC and the Mellon Foundation. The survey was designed to go beyond questions of student satisfaction, by focusing on questions such as: “how do students choose their study away program?”; “how do their academic and personal experiences abroad

influence their perception of the world?"; and "how does study away influence their academic interests and/or capstone project when they return to campus"? The survey results suggest that students see their off-campus study experience as one of the most transforming events of their undergraduate career. The degree of academic and personal transformation varies significantly, however, depending on factors such as: the students' motivations for studying away; the country and/or region of study; discipline of the students' major; length of time away; and whether a foreign language was used.

- **Off-campus Study Program Review (FY2006):** President Hansen has charged the Off Campus Study Committee and others to conduct an in-depth review of off-campus study programs in FY2006. This will include evaluation of academic quality and contributions to student learning, as well as the financial and enrollment pattern implications of study abroad. Over the past decade, between 60% and 70% of Bates seniors have graduated with some academic credit for study away.

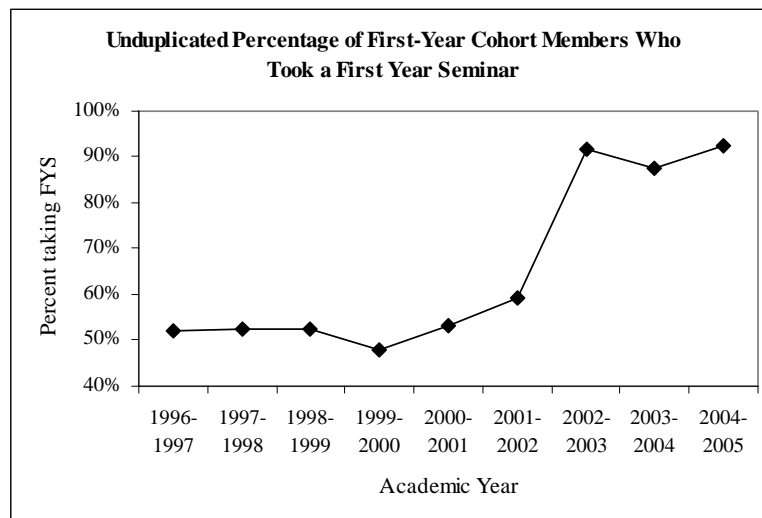
Most students study away on approved Junior Year (JYA) and Junior Semester Abroad (JSA) programs conducted by other institutions. The JYA and JSA programs allow Bates students great flexibility to study away in a large number of approved programs. Fees are paid directly to the sponsoring institution, with only a small Bates Off Campus Study Registration Fee (\$1,000 in FY2005) to cover administrative expenses and costs of maintaining the students' enrollment. Since study away during the Maine winter is very popular among students, in order to help balance on-campus enrollment across semesters, in the mid-90s Bates placed an upper limit of 25% of the junior class allowed to study away in the winter. There are no limits on the proportion of the class that may study away in the fall term or for the full year. While the limit has generally helped to reduce enrollment imbalances across terms, the College has had to enforce the 25% winter term study away limit twice, most recently in 2005 when many students were asked to rearrange their plans. That policy will be reviewed in FY2006.

In addition, each year Bates also sponsors one or two of its own Fall Semester Abroad (FSA) programs in different countries. The FSA programs are highly successful from an academic standpoint, but their financial viability is a concern, since each program is led by two Bates faculty members (who are temporarily replaced), and enrollments are often near the minimum threshold of 12 to 15 students. The Off Campus Study Committee will also review the impact of study abroad programs on revenues, on enrollment planning, and on the balance of enrollment between semesters.

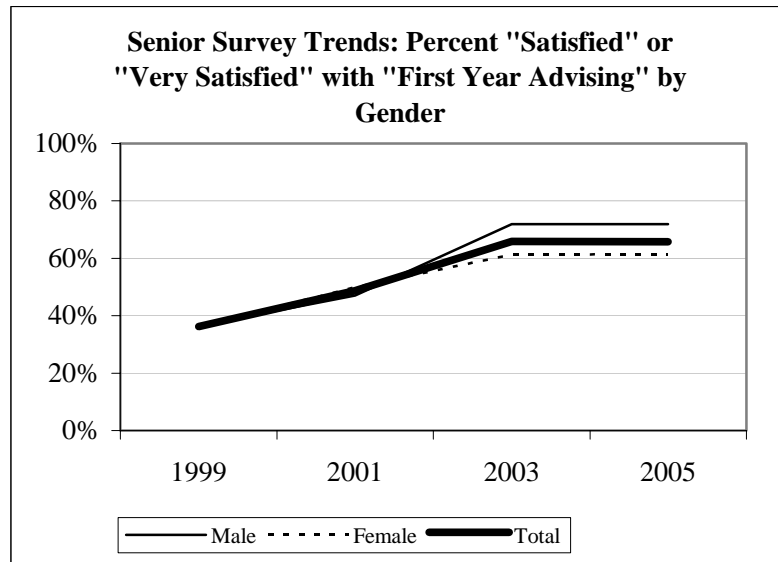
Other Changes to the Academic Program:

- **Enhancing interdisciplinary studies through a new system of cross-listing of courses:** As mentioned in Area 2, faculty recommended that all cross-listed courses be listed in the course catalog under both departments, with a single course designation, beginning in the fall of 2003. Faculty members felt that although the new procedure would use more space and paper, the redundant listing would result in less confusion among students, and would produce a more equitable presentation of the course offerings. (For example, a cross-listed course formerly designated as History 201 and Economics 201 would now be listed in the catalog under the History and Economics departments as EC/HI 201.) Any three-way cross-listed subjects are listed simply as interdisciplinary (INDS). One consequence for reporting is that under the new system, student registrations are reported only under the cross-listed course; under the old system, students enrolling in cross-listed courses registered and were reported in the department of their choice.

Increases in First Year Seminar Participation: Without making the First Year Seminar mandatory, the College has taken steps to strongly encourage more entering students to take them. From 2000-01 to 2004-05 the percentage of entering first-year students who have participated in a First Year Seminar rose from 53.3% to 92.5%, and the number of seminars offered rose from 19 to 31. Bates First Year Seminars have always been taught as an academic course in a special topic selected by the instructor, and enrollment is limited to 15 students. Beginning in 2004, the Faculty voted to allow appropriate First Year Seminars to be used to fulfill General Education requirements.



Based in part upon survey research that showed low satisfaction with first-year advising, the College now designates either the First Year Seminar instructor or another first-year course instructor as the students' initial advisor.



Assessment Activities:

Online Student Course Evaluation System: A course evaluation system has been in place for almost three decades and continues to evolve. The last revision of the course evaluation survey gives students the opportunity to provide extensive written comments to any of the survey questions. Students now submit their evaluations on-line and, with support from the Registrar, almost all students complete an evaluation for each course. The system is working so well that Bates staff are often asked to share their experience and programs with other schools.

Department and Program Evaluation: The Dean of Faculty continues to oversee the long-standing and effective program under which each department, program, or co-curricular unit is reviewed each ten years. Each review includes an internal Self-Study and an outside peer review. As part of the periodic evaluation, departments and programs have been encouraged to re-examine their goals and make more effective use of data.

Review of Dean’s List and Latin Honors: As a response to faculty concerns about the rising proportion of students who were making the Dean’s List or receiving Latin Honors at graduation, Bates adopted more stringent standards for these honors. In the past, eligibility for these honors had been based on fixed minimum grade point averages. Presently, eligibility thresholds are revised each year to fit specified proportions of the student body. The new Dean’s List minimum threshold is computed as the minimum of the top 25 percent of the semester GPAs of all full-time students during the preceding three years. (For the 2004-05 year, a student must earn GPA of 3.6 or higher to be named to the Dean’s List. Latin Honors thresholds are set based upon the top 2%, 8%, and 15% of the last three graduating classes. For 2004-05, the minimum cumulative GPA thresholds have been calculated as 3.88 for summa cum laude, 3.75 for magna cum laude, and 3.65 for cum laude.

Consortium on High Achievement and Success (CHAS): Since FY2001, Bates has participated in the [CHAS consortium](#) along with 34 other selective liberal arts colleges. CHAS is dedicated to promoting high achievement, leadership and personal satisfaction of students on member campuses, with a focus on promoting success among students of color. Its data collection programs and meetings have been supported by the Nellie Mae Education Foundation. In addition to sharing basic enrollment data and academic outcomes data, CHAS conducted a collaborative web survey about the undergraduate experiences and satisfaction levels of students color in 2003. CHAS also helped to sponsor a series of “Supplemental Instruction (SI)” or “Peer Assisted Learning Groups (PALGs)” to provide additional out-of-class student-led tutorials in a series of courses known to be particularly difficult. Bates has supported PALGs in several Chemistry and Biology courses since fall of 2004. (All PALG groups are open to all students in the course.) The Offices of the Dean of Faculty and Institutional Planning and Analysis conducted annual evaluations of PALG programs in 2004 and 2005. In FY2006, with support from the Howard Hughes Medical Institute, members collect extensive data (by gender, ethnicity, and socio-economic status) on student interest in science courses, outcomes in major “gateway” courses, persistence to higher-level courses, and the choice to concentrate in the sciences.

Mount David Summit: <http://www.bates.edu/mt-david-summit.xml>

The Mount David Summit is Bates’ annual campus-wide celebration of student academic achievement, highlighting undergraduate research; student creative work in art, dance, theater, music and film/video; projects conducted in the context of academic courses; and service-learning. The Summit has spotlighted the rich intellectual life of the College each spring since 2002. The Summit is sponsored by the Dean of the Faculty and obtains support from the Mellon Learning Associates Program and the Howard Hughes Medical Institute Program. In fall 2005, Bates will expand students’ opportunities to present and discuss their work at a Parent’s Weekend poster session on service-learning, technology, and student research.

Mellon Foundation Project (2003-2004): Bates and several similar selective liberal arts colleges received funding from the Mellon Foundation for a study entitled “Motivating Inquiry Regarding Teaching and Learning at Critical Transition Points in Liberal Education”. The project had several separate components and participant schools could opt to participate in those that had the most relevance. Bates participated in all three projects:

- **Student Reflective Reports:** “Exploring Student Intentionality in the First Year”. Faculty “**Mellon Fellows**” conducted a series of in-depth interviews with students about their first-year experience.
- **Study Aboard:** “Integrating Study Abroad with Campus Experiences and Curriculum in the Major”. Bates and four other institutions conducted a Web survey of seniors who had studied abroad during their undergraduate careers. The survey explored students’ motivations for studying abroad, and their academic and personal experiences while

away, and how study away affected their personal and academic goals upon their return.

- **Course/Capstone Memos** – “Assessing the Accomplishments of Learning Goals in the Core Curriculum and Major”
- **Participants:** Amherst, Bates, Bowdoin, Colby, Smith, Trinity (CT), Wellesley, with support from New England Association of Schools and Colleges.

In addition to providing data relevant to each of these areas, the Mellon Grant experience has helped to establish an atmosphere of trust that has enabled additional data sharing among participants (such as the sharing of the Your First College Year survey results among Colby, Bates, and Bowdoin Colleges). The sharing of (anonymous) unit record data across campuses has led to much richer and deeper comparativeness analysis, and it has encouraged approaching analysis from multiple methodological perspectives. Participation has encouraged greater cooperation among faculty, deans, and institutional research staff. Participating institutions have made several joint presentations of the results at organizations such as AAHE, NEAIR, NEASC, and HEDS. The Mellon experience also helped to lay the groundwork for additional collaborative evaluation activities, such as the Teagle Grant, described below.

Teagle Grant (Inquiry-Based Collaborative Assessment of Student Learning in Liberal Arts Colleges) (2005-2009) Bates and six similar colleges and NEASC received funding from the Teagle Foundation for *Assessment of Educational Practices and Student Learning in Selective Liberal Arts Colleges*. Participating institutions include: Amherst, Bates, Bowdoin, Colby, Smith, Trinity (CT), and Wellesley. The New England Association of Schools and Colleges is also working with the grant. The project will study “key transition points in college”, and examine factors such as: the impact of advising; the choice of a major; the impact of programs such as internships, service-learning, or study away; and the role of capstone projects. The Teagle project will bring faculty, deans, and institutional researchers from the participating colleges together frequently to share and discuss a variety of common research projects, and how different practices across campuses affect student learning. The 2005-06 year will be largely a “planning year”. Participants will begin with a review of existing surveys and research, and attempt to coordinate future student survey cycles to promote data sharing. The schools will conduct and share the results of a series of focus groups with students on the topic “what constitutes a successful first year program”? Members may conduct transcript analyses to explore the “breadth and depth” of undergraduate programs, and there may be a panel study to follow the progress of a particular entering class throughout the college experience.

First Year Seminar (FYS) Focus Groups: In September 2002, the Dean of the Faculty and Institutional Planning and Analysis conducted four focus groups with first-year students who were enrolled in a FYS to discover their expectations and perceptions of the FYS Program at Bates College. Key topics of discussion

included: reasons for enrolling in a FYS; expectations of the FYS and of the first-year advisor, and the linkages that students perceive between their residential and academic lives. The qualitative results of the focus groups helped to clarify several questions about expectations about first-year advising that had been raised by reviewing related objective questions from surveys. Students and faculty often had very different understandings about the role of an advisor. Follow ups to the focus groups at the end of the year validated the benefit of the FYS in improving writing skills, increasing academic connections between faculty and students, and instilling a basis for respectful and open discussions. The [summary results](#) were shared with faculty at the faculty FYS orientation meeting at the start of the 2003 academic year. Another outcome was the addition to the student orientation program of a session on effective use of advising. Faculty and staff conducted “role-playing” exercises to demonstrate to first-year students several examples of good and poor uses of advisors. In 2005, the orientation program included a presentation by Dr. Carol Trosset (Director of Institutional Research at Hampshire College) who shared her research about the advising needs of students with different personality types.

Your First College Year: While Bates College has participated in the CIRP/UCLA Freshman Survey since its inception in the 1960s, it offered the follow-up [Your First College Year Survey](#) (YFCY) for the first time in the spring of 2004, and it will do so again in 2006 with support from the MELMAC Education Foundation. Bates, Bowdoin, Colby, and Hamilton exchanged their 2004 or 2005 YFCY results to get a broader cross-institutional perspective on first-year student outcomes.

Athletics Studies: Bates participated in the preliminary studies in *The Game of Life* and *Reclaiming the Game*. Several presentations of findings on “*The Game of Life at Bates*” were made to faculty, athletic staff, and trustees in 2002. Bates’ participation in the pilot of the NCAA Division III Financial Aid report has helped to create the data structures to support other types of integrated internal analysis in the future. Bates will participate with approximately 145 other Division III colleges in the Mellon College Sports Project (CSP). The Director of Institutional Planning and Analysis is a member of the CSP’s Technical Advisory Committee.

MELMAC Education Foundation Strategic Focus Grant 2005: In 2005, Bates received a \$10,000 “strategic focus grant” from the “Supporting Early Success in College” initiative of the [MELMAC Education Foundation](#). The money will be used to continue Bates’ efforts to improve student persistence and retention.

Admissions Yield and Financial Aid Studies: Bates has participated in the College Board Admitted Student Questionnaire since 1998. This survey provides an excellent perspective about who comes to Bates (or does not come) and *why*, but much more research needs to be done to explore issues of student diversity and the role of financial aid in ensuring “access” to a Bates education. Efforts continued with a presentation to the Trustees on financial aid packaging at Bates and its peer institutions (January 2005). A presentation at the May 2005 Trustee examined a variety of factors that influence admissions “yield”. Bates is now

using data models and reporting strategies that make it much easier to do more precise and integrated financial aid research.

Institutional Portfolio: Institutional Planning and Analysis has compiled an [online Institutional Portfolio](#) to compile in one central location a series of documents, statistics, and stories about teaching, learning, evaluation, and educational outcomes of Bates students, faculty, staff, and alumni. The portfolio includes links to key college documents (Catalog, handbooks, mission statements and policies, and planning documents). It links to hard statistics in the [Bates Factbook](#), and it provides an [inventory](#) of a variety of activities around the College that are related to evaluation and institutional effectiveness. The portfolio acts as a central reference point which contains a collection of compiled articles, press releases and other sources of qualitative information about the accomplishments and outcomes of members of the Bates community.

Optional SAT study: To mark the 20th anniversary of faculty legislation making submission of SAT tests “optional” for admission, Bates conducted a study of the academic outcomes of test “submitters” and non-submitters. The study found that there have consistently been little differences in the final GPAs or graduation rates for test submitters and non-submitters. There are modest differences in the career outcomes of submitters and non-submitters, with one glaring exception: the four fields where students have to take another *standardized test* to gain entrance to graduate programs for medicine, law, an M.B.A. or Ph.D. In fields where success does not depend on further standardized testing—including business executive officers and finance careers—submitters and non-submitters are equally represented. The summary [results of the study](#) have been posted on the Bates Web and have been presented by Vice President for External Affairs William Hiss at several national conferences and in the national media. Several other colleges have cited the Bates findings when announcing their own decisions to make standardized admissions testing optional.

Standard 5: Faculty

[Most issues concerning faculty have been addressed already under Area 2: “Faculty workload and decision procedures”.]

Faculty Leadership: The College continues to pursue the development of faculty leadership through several perspectives. For example, faculty members sit on important College committees such as budget and facilities planning. Faculty members serve in the Office of the Dean of Faculty as Associate Deans of Faculty. The Associate Deans have not only been able to take over a number of the leadership responsibilities, but as Associate Deans return to the faculty and new ones are appointed, more faculty gain experience in and exposure to the decision-making processes of the College. In addition, Department Chairs and Division Chairs continue to be relied on not only to lead their particular constituencies, but to be engaged in higher-level decisions. This fall, a new Colby, Bates, and Bowdoin faculty development grant will support leadership programs across our three colleges.

Physical Education Faculty: Attention is being paid to developing consistent evaluation procedures across all head coaching staff. For example, there have been recent changes in how and when head coaches are evaluated in order to streamline the review process. In particular, new appointees are given reviews in years 2, 4, and 6; subsequent reviews occur every four years.

Faculty Emeritus Status: Bates has recently published in the [Faculty Handbook](#) new policies, processes, and guidelines for awarding emeritus status to faculty. “Generally members of the Faculty with 15 years of service to the College are eligible to be considered for emeritus status on retirement.” The guidelines lay out a process for recommending and approving the conferral of emeritus status upon faculty and a limited number of key administrators, as well as the rights and privileges of emeritus faculty.

Standard 6: Student Services

New Dean of Students: Dean of Students F. Celeste Branham resigned in February 2004, after 24 years at Bates. After a national search led by a committee of faculty, staff, students, and alumni, [Tedd R. Goundie](#) was hired, and he started as Bates' new Dean of Students in August 2004. Dean Goundie had been a teacher and administrator at Swarthmore College in Pennsylvania for more than 20 years. He served Swarthmore as Associate Dean for Student Life since 1996.

Renewed Emphasis on Residential Life:

- **Planned construction:** The Facilities Master Plan anticipates construction of several additional residential facilities. Based upon input from students, faculty, administrators, staff, and Trustees at every step of the process, we expect that many of the wood-frame residences in the Wood Street and Frye Street areas will need to be taken out of service or converted to other uses. New construction will add several small “residential clusters” that will bring students closer to the academic core of the campus. (Details are available in Standard 8.) Students have expressed the desire to retain a mixture of residence rooming styles (singles, doubles, suites, theme houses, etc.). They also value the “community feel” of residence life at Bates.
- **Report of the Extracurricular Activities and Residential Life Committee:** In June 2004, the student, faculty, and staff members of the Extracurricular Activities and Residential Life Committee (EARL), issued findings from a year-long study of residential life at Bates.

The EARL report, “Improving the Life of the College: An Integrated Approach Across the College” stated several primary goals:

- “to create a residential life at Bates that attracts students seeking values of academic engagement, diversity, personal responsibility and accountability, and respect for the rights of others.”
- “The Bates community commits itself to engagement in the residential life of students by increasing contracts with students outside of the classroom”
- “a fundamentally different approach to discipline, which stresses responsibility, predictable consequences, and an unwillingness to tolerate antisocial behavior on the Bates campus”

The report was widely circulated on campus, and many of EARL's specific recommendations are being directly addressed by policies or informal actions by the Dean of Students and other offices of the College.

- **Residence Life Interns and student residence life staff:** In FY2006, Bates has hired two residential life interns (recent graduates of Williams and Connecticut College) to provide more support to residential programs,

and to help train Junior Advisors (JAs) and Resident Coordinators (RCs). The new residential cluster plans will include live-in apartments for future residence life staff and possibly some faculty members. Senior-level RCs have been responsible for coordinating programs and activities across several residences. Several new RC positions were added in FY2006 to ensure more complete coverage of the residences.

Additional Attention to Sophomore Year Program: There has been some concern that higher education does not pay enough attention to college sophomores. Assistant Dean of Students Roland Davis acts as the “dean for sophomores”, and will be conducting an expanded series of programs, dinners, and meetings for the class. Issues of leadership, advising, and choosing a major will be discussed. Bates sophomores often take on key leadership roles in campus organizations, because many juniors are studying away, and because seniors are often pre-occupied with their thesis. One goal is to involve more sophomores in the activities and programs sponsored by the Harvard Center for Community Partnerships. The members of the Teagle grant consortium have expressed an interest in doing collaborative research to address the particular needs of sophomores during this key transition point in college.

Review of Student Conduct Code and process: Dean Goundie will chair a review of the Student Conduct Code, process, and penalties in FY2006. This step is timely, as it has been many years since a comprehensive review of the Code has been done.

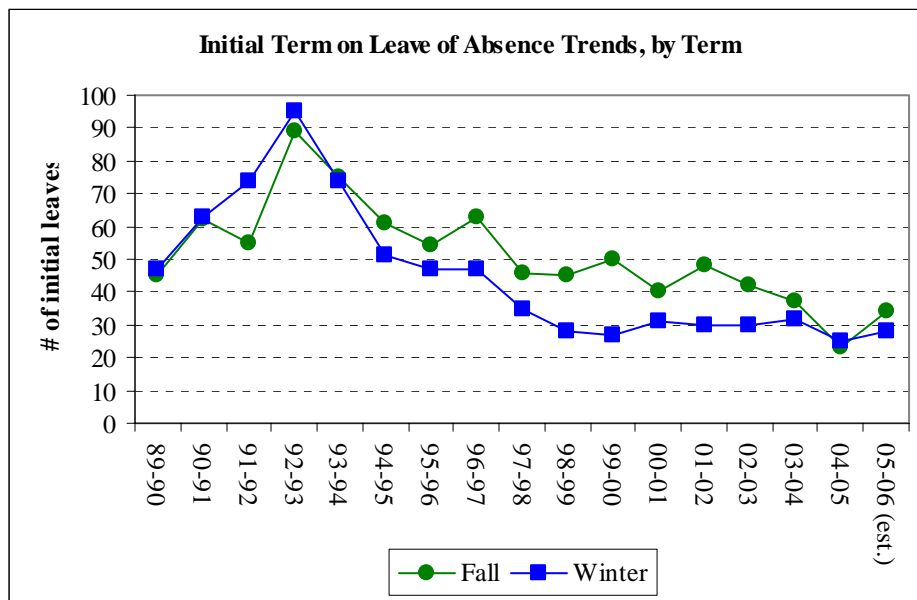
Review of students with disabilities and learning differences: In FY2006, Associate Dean of Student Holly Gurney will be conducting a review of programs, policies and practices for students with documented learning differences and other disabilities. In the high-caliber academic atmosphere that typifies Bates, few are aware that up to 10% of students have some documented form of learning difference that may require some form of accommodation or special service.

Changes to Alcohol and Smoking Policy: Since the 2000 Self-Study, Bates has reviewed and made significant changes to its alcohol and smoking policies. After a FY2001 study by an Alcohol Task Force, changes were announced to procedures for conducting campus parties, and Bates adopted a policy that banned hard alcohol on campus. After conducting open hearings and reviewing the results of an all-campus survey, Bates announced a new non-smoking policy effective September 1, 2004, stating that “the use of all tobacco products is prohibited in all campus buildings, including residence halls. Smoking is also prohibited within 50 feet of all campus building, including residence halls”. The policy extended to student residences the ban which was already in effect for other campus buildings.

Self-Study of the Climate for Diversity at Bates: Bates prides itself on its abolitionist heritage, and its tradition of inclusiveness. The College admitted African Americans and women from its inception. We advertise our continuing refusal to have exclusive clubs on campus, and we actively seek a diverse campus community. We try to build on these traditions to create a community in which

people from different cultures can grow intellectually and personally. In FY2006, President Hansen appointed Elizabeth Tobin, former Associate Dean of the Faculty and Professor of History, to serve as a Special Assistant to the President. Professor Tobin is charged with conducting a study of the climate for students with diverse backgrounds at Bates. She will be conducting a series of interviews with students and faculty, and examining data from a variety of sources about the academic progress and satisfaction of students from diverse backgrounds. In particular, she will work with Institutional Planning and Analysis to do a follow-up study and transcript analysis on the record number of multicultural students who entered in the fall of 2003. The results of this work will be utilized to improve the campus climate for all students, staff and faculty with particular attention to the success and well being of our people of color and differences.

Student Retention Efforts: Some of the monitoring tasks of the faculty-staff Retention Committee, which has been retired, have been taken over by the administrative Enrollment Planning Group (EPG).



Although the EPG’s primary purpose is to determine and implement College enrollment targets, the detailed data collected for high-level enrollment planning is also being applied to monitor students (both groups and individuals) who may be retention risks. The EPG has been particularly effective in helping to reduce the number of leaves of absences, and this has helped to improve overall retention and graduation rates. The six-year graduation rate for the cohort entering in 1999 reached a Bates record of 89%, and 90% of the 2000 cohort have already graduated after five years. Recent four-year graduation rates (between 84% and 86%) are also several percentage points higher than they were several years ago, and persistence and graduation rates for students of color have been increasing. First-year to sophomore persistence rates have been between 94% and 96% for the past several years.

In FY2006, the Deans of Students and Institutional Planning and Analysis staff will conduct in-depth interviews with students who may be considering transferring from Bates. Bates regularly uses the National Student Clearinghouse to locate where “transfer out” students have enrolled. In general, the small number of students who “transfer out” of Bates tend to enroll (in descending order) in: a) selective private universities or “flagship publics” in urban areas; b) highly selective small private colleges which may have been their original admissions “first choice”; c) women’s colleges; and d) state schools or lesser-known private institutions that may be less expensive or closer to home.

Athletics: Bates participated in two recent national studies that focus on the connection between academics and athletics: *The Game of Life* (2001) by James L. Shulman and William G. Bowen, and the more NESCAC-focused *Reclaiming the Game* (2003) by Bowen and Sarah A. Levin. The results of findings from the books and a more intensive internal study were shared on campus in a series of meetings with faculty, coaches, and trustees. Since these studies, Bates has cooperated with its NESCAC partners to collect more information about academic outcomes of varsity and recruited athletes. Bates will also participate in the College Sports Project, an on-going Mellon Foundation study of athletes at 130+ NCAA Division III institutions.

In 2003, in an effort to foster more communication between faculty and student athletes, Bates has established a “[faculty liaison program](#)” which connects faculty volunteers with varsity sports teams. Faculty volunteers attend practices, games, and serve as informal advisors to the teams. The program has generally enhanced communication between coaches and faculty in support of student learning.

Standard 7: Library and Information Services

Information and Library Services (ILS) continues to function as a merged organization, as it has since 1999. A list of some of the major changes and developments in the ILS area follows:

- **Strengthened Web and Web management:** ILS deployed a Web content management system for the College, and developed Web technologies to handle processes as diverse as event registration and payment and proposal and approval of new courses by faculty members. The ICMS content management system has provided a user-friendly means to enable many Bates offices to develop and control their own Web sites. In 2005, Bates is in the process of developing and deploying a new content-rich portal for alumni. The site, using iModules software, will contain improved bulletin boards for classes, an on-line shopping area, and areas for open discussion.
- **Expanded self-service functions** in the administrative system include access to student and employee information. Students may register for classes, check their bills and grades, evaluate classes, and take other surveys using the Web through the [Garnet Gateway](#) online records service. The Garnet Gateway is being extended as an access point where employees may access and review their own payroll and vacation time history, as well as do time-entry.
- **Reporting from the Banner administrative system:** ILS also introduced new technologies for extracting data and producing reports from the administrative systems. The script-based Focus reporting language was replaced by the Hyperion Intelligence software (formerly Brio) as Bates' primary tool for reporting from the Banner administrative system. Under Focus, all but a few end-users had to rely on ILS programmers to develop code for reports. Hyperion's user-friendly graphic interface makes it much easier for end-users to develop their own reports, and it gives them the flexibility to adapt them to changing needs. Hyperion also allows end users more control over formatting and distribution of reports, and reports can now be automatically scheduled, or made available over the web, via e-mail, or through an on-demand server. Bates end-users are now able to develop custom data models and combine data in new ways without major programming expertise. This has had a very positive impact on the College's ability to extract and integrate data in new ways, and to use it in a more timely and appropriate manner to support planning and evaluation. An important next step will be to expand the availability to run custom reports from the key developers in each administrative office to a wider group of individuals. To this end, in 2005 Bates purchased and will be implementing the "Dashboard Builder" module of the Hyperion software.
- **Backup/Security:** ILS has developed and implemented a strategy for more redundant and fault-tolerant core technologies, including deploying storage array networks and network appliances. Bates has contracted with a local firm for an alternative connection to the commodity internet. The College has

installed a new telephone system with 911 connections to campus security and the local 911 center. As part of discussions for the facilities Master Plan, Bates developed a long term information technology infrastructure plan to carry this effort systematically into all future planning for campus computing and telecommunications infrastructure.

- **Library renovations:** Bates has completed planned renovation of Ladd Library. There have been improvements to library computing, audio and video services. Help Desk Services have been relocated to Ladd Library to act as a more central ‘nerve center’ for computing information. ILS has also explored long-term needs for future library expansion, and these needs are incorporated in the campus facilities Master Plan.
- **College Archives:** Bates completed the merger of the Muskie Archives and the Special Collections functions into a single unit, and developed a formal [College Archives](#) function, along with policies for the retention and preservation of key records. This merger has significantly strengthened our capacity to provide original materials to students, and has been a significant resource for both the study and celebration of the College’s history. In connection with the sesquicentennial, the [Bates College Oral History Project](#) has collected a series of taped interviews with key figures from Bates’ history, and many of them are published online.
- **Classroom and event support:** The Media Services office has been reorganized as [Classroom Technology and Event Support](#), with the goal of improving service, setting realistic service goals and providing assured availability of service and equipment. Bates has developed and refined a classroom support level agreement, and has strengthened the tools to keep computer labs and classrooms reliable and functional. Quality and reliability of the service have improved dramatically.
- **Planning for classroom improvements:** Working with Physical Plant, the Registrar, and members of the Faculty, Bates has established a [Classroom Committee](#) to prioritize, plan and implement classroom improvements. With regular infusions of capital funds, the group has identified improvements in technology, lighting, furniture, physical layout and all other aspects of classrooms so that they serve as high quality learning environments. The members of the group also work together to handle and prioritize large and small requests for classroom improvements so that operating funds for routine upkeep and repair are used to maximum benefit. More than a dozen rooms have had major facelifts, and the base level of furniture and equipment has been raised for many more. This process forms the framework in which technology is added to classrooms, and it is an ongoing process aimed at continuous improvement of classrooms as learning spaces. The Information Services Advisory Committee has a similar role in reviewing and setting institutional priorities for major technology purchases and technology-related capital spending.

- **Collaborative efforts:** We continue to strengthen the ties between the [Colby, Bates, and Bowdoin libraries](#). We re-implemented patron-requested borrowing, which is now one of the most important services we provide to students and faculty members. We have expanded and strengthened our work with these libraries on consortial licensing, consortial purchasing and other related matters. We completed review with the other two libraries to study remote storage options, and implemented a remote storage solution with [NELINET](#). We are now working with Colby and Bowdoin to develop a coordinated approach to development of our collections.
- **Course management software:** Bates has implemented [WebCT](#) as its course management system. After an initial pilot test, WebCT is now used in about 40 percent of College courses.
- **Improved efficiency and automation:** Bates is taking seriously the mission to help departments use process automation to streamline work and reduce redundant efforts. For example, at the request of Dean of Admissions, ILS staff conducted a workflow analysis of internal processes with an eye to use the Web to improve efficiency of admissions process. We developed and implemented the routines to take data from the Common Application and move it directly into Banner, significantly reducing the need for data entry personnel. We also worked with the offices of the Dean of Faculty and College and Media Relations to redesign the workflow to produce the College catalog, to make the Web the principal version, and to adopt a two-year print cycle. This was implemented in the summer of 2004, resulting in a significant improvement in accuracy and reduced cost of production for the catalog. We also made the software we developed to do this available for other colleges.
- **Electronic access system:** ILS worked with Physical Plant and Security and Campus Safety to implement a “one-card” [electronic access system](#) for residential, academic and athletic buildings on the campus. The system went “live” in the fall of 2004. Our work included a review of [policies](#) and practices for campus safety and privacy, and resulted in organizational and procedural changes, as well as new technology.
- **Improved events and classroom scheduling:** Bates is in the final stages of implementing R25/S25 for scheduling of events and classrooms on the campus. The system is expected to “go live” by winter 2005. This will result in more effective use of “public” spaces, less confusion about the events that are being planned, and better coordination of resources needed to support events.
- **Collaborative technology development:** Beginning in 2004, we established a [Collaborative Technology Development Program](#). This program provides students with advanced training in project management and technology related to instruction and teams students up with faculty members who want to develop new technologies to support their work. Students who are trained in this program continue to work in technology related programs directly

supporting faculty efforts. Some recent projects include Web sites to support the [Bates Oral History Project](#), and the Museum of Art, and technical support to faculty in the areas of environmental economics, Latin language, and neuroanatomical visualization.

- **Support for Digital Imaging:** ILS is working with the Dean of Faculty Office to develop an integrated digital imaging center in Coram Library. Supported by grant funds, the imaging center will provide more effective ways to create, manipulate and display digital images that have become central to certain disciplines in all divisions of the College. It will be a center that brings people who use these technologies together so we can effectively serve their needs, and so they can learn from each other.

Standard 8: Physical Resources

Campus Facilities Master Planning Process: In FY2000, Bates contracted with the firm of Dober, Lidsky and Craig and Associates, Inc. to update the College's inventory of campus academic spaces, and also to classify academic spaces by function and gross square footage. A more comprehensive Facilities Master Planning effort began in FY2003, when the Board approved the hiring of Sasaki Associates, Inc. as planning consultants. President Hansen appointed a Master Planning Steering Committee (chaired by the Vice President for Finance and Administration), and including representatives of faculty, staff, students, and trustees. Over the course of the year, Sasaki completed: 1) a comprehensive inventory and update of campus academic, support, and residential facilities; 2) ratings of building conditions according to current code standards; 3) assessment of utilities infrastructure; 4) CAD digitization of campus blueprints; and 5) benchmarking Bates' spaces against peer colleges and national norms. Sasaki and Steering Committee members held numerous meetings and focus groups throughout the year with faculty, staff, students, Trustees, and members of the Lewiston/Auburn community. Comments were solicited in response to three alternative campus plan designs. In the summer and fall of 2004, the three designs were refined into a single Master Plan proposal, which was presented and adopted at the October 2004 Trustee meeting.

The short-term and long-range details of the Facilities Master Plan are described in Appendix E. Bates' most immediate needs were identified as a new Dining facility to replace the over-crowded Commons; and for new and higher quality residential facilities. Therefore, **Phase I** of the Master Plan focuses on the construction of a new Dining facility and a new residential cluster at Rand. Andrews Road will be reconfigured as a "Bates Walk", an attractive pedestrian-only path linking the new residential and dining facilities to core academic buildings. The President appointed separate committees in the winter of 2005 to search for architects for the new dining facility and for the residential cluster. In March 2005, the committees invited the finalist firms to campus for interviews, and for public presentations to the campus community. In May 2005, the Trustees selected the firm of Shepley Bulfinch Richardson and Abbott (SBRA) to design the residential village, and Sasaki Associates were given the task to design the Dining Commons and the landscaping for the "Bates Walk". Since then, the firms have made several visits to campus to meet with various faculty, staff, and student groups to obtain preliminary feedback about the types of designs and styles that would be appropriate at Bates. The plan is to have the residential cluster open for the fall of 2007 and the Dining Commons open in the winter of 2008.

Capital Renewal Plan: In addition to the planned new construction under Phase I of the Facilities Master Plan, a committee of faculty, staff, and students is meeting to review existing building needs for renovation and routine maintenance. The capital section of the Multi-Year Financial Plan gradually increases the budget to fund upgrades to existing facilities, and it provides for the ongoing operating costs and maintenance of new construction. A long-term goal is to meet a rule of thumb that colleges should spend about 2 percent or replacement value per year, but it

will take about a decade for Bates to reach that target. The capital planning committee will review existing data on facilities and levels of fiscal report to develop a ten year plan to establish priorities and guidelines for facility renovations.

Major Construction and Renovations, 2000-2005:

Building	Date	Changes
Marcy Plavin Dance Studios (Merrill Gym)	2004	Renovation; 2 new dance studios
Bert Andrews Room (cardiovascular exercise facility Merrill Gym)	2004	renovation
Bates Squash Center	2004	leased facility off-campus
Russell Street Track and Soccer Pitch	2002	construction
Lafayette Street Field (softball)	2001	construction
Dunn Guest House	2001	renovation
James Wallach '64 Tennis Center	2000	construction
John Bertram astroturf field	2000	construction
Softball field, soccer field near Russell Street	2000	renovation

- 2000: [James G. Wallach Tennis Center](#) opens; in spring 2004, Bates hosted the NCAA Division III Men’s Tennis Championships
- Fall 2000: [Campus Avenue Field](#) opens in fall for field hockey and lacrosse teams. Field is lighted with synthetic turf.
- Spring 2001: [Lafayette Street Field](#) softball facility opens with new dugouts and removable fence that allows the field to be use as an out-of season practice space.
- 2002: [Russell Street Track](#) opens. The eight-lane “bi-radial” track has a polyurethane surface, and a natural-grass infield serves as a soccer pitch for the men’s and women’s soccer teams.
- New [Bates College Squash Facility](#) opens with five courts in winter 2004 in a leased off-site location near campus.
- [Marcy Plavin Dance Studio](#) opened in Fall 2004 in Merrill Gymnasium
- [The Bert Andrews Room](#) opened in Merrill Gymnasium in Fall 2004
- Technical and infrastructure upgrades to Schaeffer Theater in 2004.
- 2004: [Electronic card access](#) to dorms and academic building and security upgrades to campus residences.

Standard 9: Financial Resources

[This section will focus on the Campaign for Bates. Issues related to financial planning and budgeting have also been addressed in Area 1 “Financial Planning and Multi-year Modeling” and in Standard 8 “Physical Resources”.]

FY2006 marks the final year of the Campaign for Bates, which seeks to raise a total of \$120 in gifts to mark Bates’ Sesquicentennial year. It is a “comprehensive campaign”, which counts towards the goal gifts to the endowment, capital gifts, and contributions to the annual Bates Fund. The Campaign’s target is dramatically higher than those in Bates previous fund-raising campaigns:

Year	Concluded	Campaign/Objective	Goal	Raised
2006		Campaign for Bates (Comprehensive campaign)	\$120 million	?
1999		Pettengill Hall	\$12 million	\$13.8 million
1996		Capital Campaign III (Comprehensive Endowment)	\$50 million	\$59.3 million
1984		Capital Campaign II (Endowment)	\$12.5 million	\$21.4 million
1974		Capital Campaign I	-	\$6.8 million

Bates helped to prepare the target and messages for the Campaign with the help of fund-raising consultant Paula Sidle (Carol O'Brien Associates) and communication consultant Kristin Rehder (Kristin V. Rehder & Associates). In FY2003, Bates contracted with Opinion Dynamics Corporation to conduct 600 telephone interviews with a representative sample of alumni to help determine their attitudes about philanthropy and willingness to consider Bates in their giving.

In preparation for the Campaign, the Advancement Office also reviewed and revised its donor privacy policy and other confidentiality policies. Case statements have been written to address each of the primary goals of the Campaign. Bates also preparing a Sesquicentennial edition of the Alumni Directory, and it is re-designing and re-invigorating the alumni Web site using iModules software.

By a variety of indicators, voluntary support for Bates has historically been lower than at its major peers. A major communications priority of the Campaign has been to inform alumni and friends about the College’s ongoing needs for support in various areas, and to help instill a “culture of philanthropy” to help build a base of support that will be sustained well after the Campaign is over.

The five stated goals of the Campaign directly reflect President Hansen's primary goals for Bates College [*in italics, from Introduction*]:

1. Financial Aid (\$45 million) for scholarships that put Bates within reach of the most qualified students from a broad spectrum of socioeconomic backgrounds

[access, affordability, broad spectrum of backgrounds]

2. Academic Quality & Learning (\$20 million)

for a transforming learning experience made possible by equitably compensated and fully supported teacher-scholars and students

[sustaining academic quality and learning]

3. Unrestricted Endowment (\$10 million)

for a significant increase in unrestricted endowment to ensure our future strength

[endowment]

4. The Bates Fund (\$25 million)

for annual giving that more robustly supports the ongoing mission of Bates

[increasing annual giving support and participation]

5. Campus Revitalization (\$20 million)

for facilities that accommodate and inspire the talent and aspirations of our faculty and students

[campus revitalization; improving the quality of residential life]

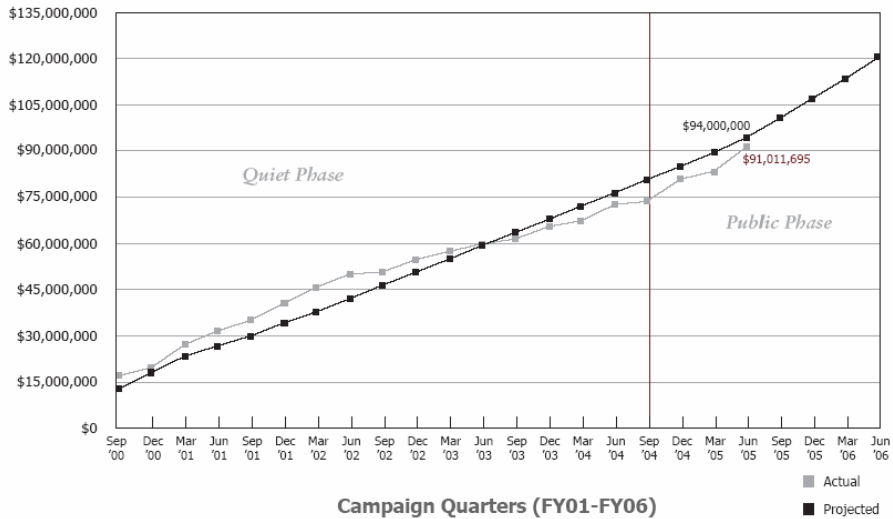
Progress Toward the Campaign for Bates:

The Campaign for Bates

ENDOWING OUR VALUES

Actual Versus Projected Performance
(Gifts, Payments and Outstanding Commitments)

As of Quarter Ending June 30, 2005



Trustees Thomas A. Renyi P '97, '04 and Joseph T. Willett '73 have acted as Campaign co-Chairs. In the final year of the campaign, Bates has accomplished many of its goals, and it has raised voluntary support to levels that has never seen in the past. Bates has received a record number of million dollar+ gifts and it has established the Benjamin Bates Society to recognize these donors. Parent Giving has reached record levels. Bates has established the Alonzo Garcelon society to enlist local business and community leaders to increase scholarship opportunities for local students from Androscoggin County. Bates still faces the challenge of finalizing one or two “signature” gifts of \$5 million to \$15 million gifts. Bates also recognizes that it has much more work to do to increase alumni participation and average gifts to a level that is comparable to its peers. Faculty and staff participation currently stands at 33%, and there is an anonymous matching funds challenge intended to raise participation to 50% or more.

As government support declines or remains flat, and as pressure to hold down tuition grows, Bates recognizes that it will have depend more on private giving and on endowment income to fund growing costs of maintaining a first-rate academic program and accomplishing its goals for the future. Improvements in these areas are a strategic necessity if Bates is to continue to complete with a peer group where most endowments are more than twice its own.

Standard 10: Public Disclosure

- **Communication and Media Services:** Since the 2000 Self-Study, Communications and Media Services (CMS) has worked with Information Services to replace our HTML-based web pages with a more modern XML-based content management system. This has allowed Bates to maintain a consistent look and feel to its Web site, while also providing a user-friendly interface to empower individual offices and departments to edit and maintain their local Web pages.

In connection with Bates' sesquicentennial celebrations, the CMS has prepared a special section about Bates, its history, and its connections to the local community. It will be published in the *Lewiston Sun-Journal* in October.

The Office of Communications and Media Services will conduct a self-study/audit with an outside peer review in FY2006.

- **Harvard Center for Community Partnerships:** The [Harvard Center for Community Partnerships](#) (HHCP) is an emerging organizational structure at Bates College designed to pursue academic excellence through the integration of local, national, and global communities with the mission of the College.

The HHCP will link key academic endeavors at the College with community collaboration, research, and service. Firmly rooted in the academic purpose of the College, the Center will serve as a focal point for connected learning that fuses academic discussion and community.

Many of the programs at Bates College connected to local, national and international communities will reside in the Harvard Center, including the [Center for Service Learning](#), the Volunteer Office, and [Bates-Morse Mountain Conservation Area](#) and the Coastal Center at Shortridge.

With [David Scobey](#) starting in September 2005 as the new Director, the Harvard Center will play a growing role as a point of contact and exchange of ideas and expertise between Bates and the Lewiston/Auburn Community. For example, the Center coordinates Bates' participation in the "College for ME—Androscoggin" program, which seeks to increase college attendance rates for students from high schools in the county. The Center works extensively with local schools and community organizations. It sponsors the President's Community Breakfast Series, an ongoing series of lectures and discussion with local community leaders. The HCCP sponsors a summer concert series on campus and is developing new "collaboratives" with local organizations such as the Thorncrag Bird Sanctuary and Lewiston-Auburn College. Through the Center for Service-Learning, 632 Bates students provided nearly 35,000 hours of course-related service to 136 community organizations and schools in FY2005. An annual report describing the recent programs, lectures and services sponsored by the Harvard Center is available at <http://www.bates.edu/harward-report-2004-2005.xml>.

Standard 11: Integrity

The Bates College Staff Association: Bates seeks to improve the voice of its staff in the activities of the College by replacing the President's Staff Advisory Committee with a new group, to be known as the Bates College Staff Association. The President's Staff Advisory Council, formed in 1992 by President Harward, had met on a monthly basis for many years, but it had primarily an advisory role and lacked a clear charge and mission.

Throughout 2004-05, members of the President's Staff Advisory Committee and other volunteers held open meetings and developed a list of goals for the Association. They shared their thinking and hopes at each stage with the President and with Senior Staff, and the establishment of the Bates College Staff Association was approved in the late spring of 2005.

The mission of the Bates College Staff Association is to promote, strengthen and facilitate a sense of community and mutual support among Bates employees.

The BCSA will:

- Provide a forum where the interests, concerns, needs and ideas of Bates College staff members can be shared;
- Act as an effective channel of communication that promotes full participation in the life of the College;
- Be an effective mechanism by which staff may participate in decisions that affect them;
- Support procedures through which staff may voice concerns and seek action on specific problems as needs may dictate;
- Organize regular gatherings such as "Town Meetings," issue-oriented forums and social events to promote the development and engagement of members of the Bates College staff.

Membership in the BCSA is voluntary and open to all members of the staff except the College's Senior Staff. The College will provide a modest budget to support the events and efforts of the Staff Association. A kick-off for the BCSA was held at an all-campus bar-b-que on June 18, 2005. Elections for BCSA officers will be held by November 1, 2005.

Non-discrimination statement review: An ad hoc committee with representatives from all areas of the College was formed in 2004-05 to review the current Bates non-discrimination statement.

<p>Bates values a diverse college community. Moreover, Bates does not discriminate on the basis of race, color, national or ethnic origin, religion, sex, sexual orientation, marital or parental status, age, or disability, in the recruitment and admission of its students, in the administration of its educational policies and programs, or in the recruitment and employment of its faculty and staff.</p>
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The committee has asked for campus community feedback on whether the terms “gender identity and expression” and/or “veteran’s status” should be added to the statement. The committee will present its findings and recommendations to the Faculty, other campus groups, and the Trustees in the fall of 2005. The current draft speaks of “diversity of persons, perspectives, and convictions” and provides further rationale for the need for the statement: “Critical thinking, rigorous analysis, and open discussion of a full range of ideas lies at the heart of the college’s mission as an institution of higher learning. The College seeks to encourage inquiry and reasoned dialogue in a climate of mutual respect.”

Support for Hurricane Katrina Victims: Bates College has invited Maine undergraduates who were enrolled at colleges or universities in the New Orleans and Mississippi Gulf Coast area devastated by Hurricane Katrina to take courses for credit without charge at the College during the fall semester. Seventeen students from Maine who had intended to start the semester at Loyola and Tulane universities in New Orleans accepted Bates' offer of free tuition for the semester. The students will pay for room and board.

The Bates College community has launched the Katrina Relief Initiative (KRI), a fund-raising effort spearheaded by students, and supported by the Office of the Chaplain and the Harvard Center for Community Partnerships. The KRI is seeking to raise \$15,000 for relief efforts from students, and another \$15,000 from faculty and staff. KRI will donate the bulk of the funds raised to the Red Cross for Gulf Coast relief efforts. Because the effects of Katrina also extend to the Maine community, organizers also hope to donate a portion of the funds to the Leeds-based Rural Community Action Ministry for heating oil assistance to Maine families in need.

Summary Appraisal and Plans

Retrospective: Preparing the fifth-year interim report has provided Bates with an opportunity to look back and reflect on progress made since the 2000 Self-Study. Bates has made real and deliberate progress in addressing the issues of concern raised by members of the 2000 Visiting Team:

- **Revised Planning Priorities:** Over the past five years, planning priorities have been refined and strategically focused on the five major areas described in the Introduction: “access and affordability”; “sustaining academic quality and learning”; “increasing financial resources by raising the endowment and annual giving”; “improving the quality of residential life”; and “revitalization of campus facilities.”
- **Financial Planning (Area 1):** The College has developed and refined its Multi-Year Financial Plan, organized to meet our priorities, and has adopted a Campus Facilities Master Plan for the next 15 to 20 years. The Multi-Year Financial Plan increases resources over time to address each of the five planning priorities. To increase the resources required to implement these plans, Bates has increased staffing in the Financial Offices, reviewed and revised its endowment and debt policies, and is expanding sources of alumni and other voluntary support through the Campaign for Bates.
- **Faculty issues (Area 2):** Bates recognizes that its Faculty are the institution’s greatest asset, and that they are the primary force behind student learning and the College’s academic reputation. It has reduced faculty teaching workload, and has taken steps to streamline the decision making-process in faculty meetings, and to increase the role and responsibility of standing committees and division, department, and program chairs in planning and policy-making. Bates has taken steps to improve administrative support for faculty; to improve sabbatical, promotion, and professional development policies; and to bring faculty salaries into a more competitive stance with its regional peers. Through a highly participatory process, it is in the final stages of revising general education requirements.
- **Board Governance (Area 3):** Bates has reviewed and revised its Board structure to move from a bicameral to a unicameral Board. The Charter and Bylaws have been revised, and future changes no longer need the consent of the Maine legislature. By instituting term limits, it has opened up an opportunity for more persons to have the chance to serve. The committee structure has been streamlined, and chairs have been given greater leadership authority in guiding Board business.

Looking forward: Many of the areas explored above will continue to need to be monitored and reviewed. But what are some other concerns and issues that will face Bates as it approaches the 2010 reaccreditation process?

- **Increasing financial resources:** One of the biggest challenges for Bates is to be successful in increasing financial resources to support our plans, programs and ideas. Although Bates finances are secure and there are no major threats to its enrollment, the College competes directly with a group of institutions that have dramatically higher endowments and levels of annual giving. Bates has often been recognized for being able to “do more” with limited resources, but the ability to sustain programs that remain competitive with a selective group of peers cannot be based upon frugality alone, and will require careful and strategic planning. Bates continues to find ways to support future programs through increased investment income and private support and by careful management and efficiency.
- **Affordability and accountability:** At the national level, there is growing pressure to provide more information about college costs and how effective an institution has been in achieving its academic outcomes. Changes to NEASC accreditation standards, to the Higher Education Act, to federal IPEDS data collections, and increased reporting requests from private organizations and college guidebooks will require a significant and expensive expansion of reporting requirements. Some of the new reporting requirements will help to increase Bates’ understanding of itself, but other “compliance” requirements intended for national audiences will provide little meaningful information to help Bates improve its academic program at the student level. As both the availability of and demand for information grow, we need to be able to balance the demand for more *reporting* with a need for more time to *review* and *evaluate* data and reflect on their meaning for desired outcomes. As concerns about the “value” of an undergraduate degree grow, Bates will continue to seek better ways to improve what it knows about the educational and career outcomes of its alumni body. Another area of “accountability” will be the need for Bates to develop and implement new policies with regard to areas such as information security, student privacy, financial reports standards, etc. Some of these are “best practice” issues, while others are “compliance” guidelines mandated by outside agencies. Bates will of course need to consider what the new (2005) NEASC *Standards for Accreditation* will mean for the College.
- **Access and diversity:** Bates is proud that the College was founded by leaders who valued diversity, and the College continues to value diversity as a factor that contributes substantially to a well-rounded liberal arts education. Bates defines diversity broadly, including international students, students from Maine, and first-generation students in addition to racial/ethnic status and gender. Bates continues to increase the diverse population among its students, faculty, and staff. Bates has conducted, and continues to conduct a variety of studies on how to improve diversity at

Bates, as the basis for identifying, implementing, and sustaining the appropriate programs and actions to achieve increased diversity among our campus population, and to ensure their success at Bates.

Developing a “Bates approach” to the assessment of student learning:

The culture at Bates is such that planning, evaluation, and assessment of student learning activities is decentralized, participatory, and open. Bates conducts evaluation of student learning through existing committees, offices, and department or program structures. Any inventory of evaluative efforts will show that Bates has an extensive and ongoing history of such activities at all levels. There is broad interest in using evidence to review programs and to evaluate outcomes, even though the term “assessment” is frowned upon by many. If there are weaknesses, they may be that there is too much information and not enough time to analyze it, or that there may be a greater need to share and disseminate what is being done to a broader audience at the College.

Where is Bates heading? The senior administration provides broad leadership, guidance, and support for these activities, and encourages evaluation of student learning led by departments/programs, administrative offices, faculty committees, and even by individuals. Changes in reporting technology have allowed the exploration of data from the administrative system in more detail, and data from different administrative areas are more easily linked and integrated. The greater availability of information has created new demands for information from all areas of the College, and allows new types of questions to be asked about learning. This trend is expected to continue. As one of the pioneers of optional testing in admissions, Bates tends to look with suspicion at efforts to measure student outcomes through standardized testing, rather we rely on multiple measures (both quantitative and qualitative) of student success.

Bates frequently makes use of comparative data to understand its position among similar institutions, and these efforts are expanding as small data-sharing groups (such as the Mellon and Teagle consortia) are formed. These consortia have encouraged dialogue among deans, faculty, and institutional researchers in forming research questions and applying new methodologies to address them. Access to shared data (often the unit record level) from several institutions allows richer data analysis and helps to identify what pedagogical techniques are most successful. Most current research typically looks at students at the point where they enter (or leave) college. The current Teagle studies will examine student growth and outcomes as they develop at key decision points throughout their undergraduate careers.

- **Bates and its “communities”:** The opening of the Harvard Center for Community Partnerships is an important step in our work with the community. As such, we will want to look at new ways to measure and explore the impact of service-learning, student research, and other civic engagement activities on student learning.

- **Campus Facilities:** The first phase of the Campus Facilities Master Plan will be completed by 2010 with the construction of the Dining Center and our new residential facility. Ongoing work on facility maintenance and renovation will demonstrate the importance of systematic planning and attention. At relevant times, the College will consider its current status against the Master Plan, make necessary adjustments and continue to address facilities as needed and possible.
- **Information Technology:** Rapid changes to information technology will create new costs, but they will also create new savings and efficiencies. Bates has learned that it is probably not wise to make detailed plans about information technology that extend much beyond three years. We expect to see additional labor savings and increased convenience as more data collection and personalized information reporting is made available online. It is less certain how changes will affect hardware needs and how information technology will be used in the classroom. While Bates cannot precisely plan for where changes in information technology will take us in 2010, it will need to budget to fund future changes.

Final thoughts:

*“There are two kings of light – the glow that illuminates,
and the glare that obscures”*

James Thurber (1894 – 1961)

The character of Thurber’s “light” may depend upon one’s perspective or point of view. Bates hopes that this report has provided more “illumination” than “glare.” A fifth-year interim report cannot be as comprehensive as a major Self-Study, but in preparing this report, it has been rewarding to discover how much has changed at Bates since the 2000 Self-Study. From a local point of view, we feel that changes in the past five years have been for the better. We also appreciate and respect the outside perspective of the accreditation process, and expect that our readers will point out any “glare.” Bates looks forward to the opportunity in 2010 to look back at this document, and to review our goals and our progress in meeting them, while contemplating where the College may be in 2020.

Appendix A:

Bates College Mission Statement

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

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

Bates is committed to an open and supportive residential environment. The College's programs are designed to encourage student development and to foster student leadership, service, and creativity. The College sponsors cultural, volunteer, athletic, social, and religious opportunities which are open to all students, and values participation in these activities. Bates also recognizes that it has responsibilities to the larger community. Where possible when consistent with its primary responsibilities to its students, faculty, and alumni, the College makes available its educational and cultural resources, its expertise, and its collective energies to professional as well as to regional communities outside the institution.

Revised 1990

Appendix B:

A Brief History of Bates College

In 2005, Bates celebrates its sesquicentennial, honoring a 150-year history that has, from its very earliest years, been marked by innovation and opportunity, while at the same time valuing deeply the traditions of the liberal arts and their critical role in a just and civil society.

Bates was founded in 1855 by people who believed strongly in freedom, civil rights, and the importance of a higher education for all who could benefit from it. Bates has always admitted students without regard to race, religion, or national origin. Great efforts were made in designing the institution to ensure that no qualified student would be turned away because he or she could not afford the cost of a Bates education. Although they met with considerable criticism from other regional colleges, the founders held fast to their commitment to admit both men and women: Bates was New England's first coeducational college. The inclusive nature of the College's admissions philosophy has guided, enriched and strengthened the institution for 150 years.

As with many New England institutions, religion played a vital role in the College's founding. The Reverend [Oren Burbank Cheney](#) is honored as the founder and first president of Bates. He was a Freewill Baptist minister, a teacher, and a former Maine legislator. Cheney steered through the Maine Legislature a bill creating a corporation for educational purposes initially called the Maine State Seminary, located in Lewiston, Maine's fastest-growing industrial and commercial center.

Cheney assembled a six-person faculty dedicated to teaching the classics and moral philosophy to both men and women. In 1863 he received a collegiate charter, and obtained financial support for an expansion from the city of Lewiston and from Benjamin E. Bates, the Boston financier and manufacturer whose mills dominated the Lewiston riverfront. In 1864 the Maine State Seminary became Bates College. The College consisted of Hathorn and Parker halls and a student body of fewer than 100. By the end of Cheney's tenure, in 1894, the campus had expanded to fifty acres and six buildings. Bates was already known for its inclusive admissions practices, classical curriculum, and commitment to preparing future teachers for Maine's public schools.

[George Colby Chase](#) succeeded Cheney in 1894. A graduate of the Bates Class of 1869, he taught English at the College for twenty-two years before assuming the presidency. A teacher-president in the old tradition, Chase taught at least one course each year throughout his incumbency. Known as "the great builder," Chase oversaw the construction of eleven new buildings on campus, including Coram Library, the Chapel, Chase Hall, Carnegie Science Hall, and Rand Hall. He tripled the number of students and faculty, as well as the endowment.

In 1919, at age seventy-four, Chase urged the Board of Trustees to select a successor who was "a man strong in scholarship, in his Christian character and

influence, in business ability, and in warm sympathy with young people." That successor was [Clifton Daggett Gray](#), a clergyman and former editor of *The Standard*, a Baptist periodical published in Chicago. Gray saw Bates through an era marked by vibrant growth and modernization, but also through the years of the Great Depression and World War II. By the early 1920s, Bates' now-famous debate team achieved recognition in international competitions. On campus, renovations were completed on Libbey Forum and the Hedge Science Laboratory, and the Clifton Daggett Gray Athletic Building and Alumni Gymnasium were constructed. Though the Depression placed serious financial burdens on students and on the College, Bates continued to thrive. In the 1940s, when male students abandoned college campuses to enlist in the armed forces, Gray established a V-12 Naval Training Unit on campus, assuring the College talented students—men and women—during wartime. When he retired, in 1944, Gray had increased the student enrollment to more than 700 and doubled the faculty to seventy; the endowment had doubled to \$2 million.

[Charles Franklin Phillips](#), whose selection at age thirty-four made him Bates' youngest president, was a professor at Colgate University and a leading economist before coming to Bates. Phillips is credited with bringing sound business acumen to the College and with encouraging students to link their own academic experiences with future careers. He initiated the Bates Plan of Education, a liberal arts "core" study program, and a "3/4 Option" that allowed students to complete their college education in three years. He also directed expansions of campus facilities, including the Memorial Commons, the Health Center, Dana Chemistry Hall, Pettigrew Hall, Treat Gallery, Schaeffer Theatre, and Page Hall. When he retired in 1967, Phillips left a student body of 1,000 and an endowment of \$7 million. Phillips' legacy continues to serve Bates directly. In 1998, he and his wife, Evelyn M. Phillips, made one of the largest presidential bequests ever to an American college. The Phillips Endowment now supports student and faculty research fellowships, two endowed professorships, and other academic support programs.

[Thomas Hedley Reynolds](#) assumed the presidency in 1967. His greatest achievement was the development and support of an extraordinarily talented faculty, which brought Bates recognition as a national college. In addition to recruiting outstanding teacher-scholars, Reynolds championed better faculty pay, an expanded sabbatical leave program, and smaller classes. He also worked to include more women in the faculty. A historian, Reynolds' own experience as a professor at Middlebury College made him keenly aware of the link between great teaching and scholarship, and he did much to encourage faculty research and creativity. He also guided the College through a tumultuous period of social change, when students resisted the conservative sensibilities left over from the 1950s and demanded their own voice in College decision making.

Additions to the campus under Reynolds' presidency included the George and Helen Ladd Library, Merrill Gymnasium and the Tarbell Pool, the Olin Arts Center and the Bates College Museum of Art, as well as the conversion of the former women's gymnasium into the Edmund S. Muskie Archives and the acquisition of the Bates-Morse Mountain Conservation Area. Many of the early

twentieth-century houses on Frye Street that now accommodate students, a popular alternative to larger residential halls, were also acquired at this time.

[Donald West Harward](#)'s presidency was distinguished by intellectual rigor, institutional self-examination, and commitment to civic engagement. A former philosophy professor and academic dean at the College of Wooster, Harward began his service as sixth president of Bates in 1989. His leadership was inspired by the notion that "learning is a moral activity that carries responsibility beyond the self." He challenged students and faculty to see how the College's traditional values of egalitarianism, service, and social justice created a moral imperative to connect intellectual life to the world beyond Bates. During Harward's presidency, students received greater opportunities to study off campus with Bates faculty or in College-approved programs. He secured funding to support student research under the direction of Bates teacher-scholars or at other institutions. He integrated more fully into student academic and intellectual life the senior thesis, the important capstone experience that has been a part of the Bates curriculum since the early twentieth century but is now a focal point.

Under Harward, Bates for the first time in many years reached out institutionally into the community of Lewiston-Auburn. Bates students and faculty built relationships in the community through one of the most active service-learning programs in the country. Harward helped Bates provide a national model of ways in which colleges and universities can maintain academic excellence and intellectual autonomy while they engage with and support local communities.

Harward worked to diversify both the faculty and its curricular offerings. He oversaw the development of a number of new academic programs, including eight in areas of interdisciplinary study. He expanded opportunities for faculty research and tripled the number of endowed professorships. More than twenty major academic, residential, and athletic facilities were built during his tenure, including Pettengill Hall, the Residential Village and Benjamin E. Mays Center, and the Bates College Coastal Center at Shortridge.

Bates Today

[Elaine Tuttle Hansen](#) became the College's seventh president in July 2002. Hansen is an expert in medieval English literature and in feminist literary theory. Before coming to Bates she was a professor of English and provost at Haverford College. She seeks to sustain and enhance the traditional strengths of Bates: open and intense intellectual inquiry; individualized student and faculty interactions in a historic residential setting; and a diverse community unified by the ethical principles of integrity, egalitarianism, and social responsibility. Her immediate goals include securing resources for financial aid, competitive faculty and staff salaries, increased diversity of the faculty and student body, technological advances, and new curricular initiatives. Central to Hansen's vision is an in-depth master plan, a process of assessment and strategic forward thinking that will help the College chart a course for many years to come.

The College's commitment to academic excellence and intellectual rigor is best-exemplified in its faculty. These men and women conduct vital professional lives

that encompass scholarship and research, but they are at Bates because they are dedicated first and foremost to teaching undergraduates. The College honors its superb teacher-scholars through a growing endowed professorship program; in the last decade alone, eleven new endowed professorships have been established. Currently, 100 percent of tenured or tenure-track faculty members hold the Ph.D. or another terminal degree. Bates students work directly with faculty; the student-faculty ratio is 10-to-1, and faculty members teach all classes. Nearly 60 percent of class sections, excluding independent studies and senior theses, have fewer than twenty students enrolled. A Bates education serves graduates well and offers excellent preparation for further study and careers. More than 70 percent of recent alumni have earned graduate or professional degrees within ten years of graduation. The approximately seventeen hundred students on campus come from forty-four states, Washington, D.C., and sixty-eight other countries. The College is recognized for its inclusive social character; there have never been fraternities or sororities, and student organizations are open to all.

In their academic work Bates students are encouraged to explore broadly and deeply, to cross disciplines, and to grow as independent thinkers. The College offers thirty-eight fields of study (with thirty-two majors and twenty-four secondary concentrations) as well as opportunities for guided interdisciplinary study. Bates is one of a small number of colleges and universities requiring a senior thesis to complete most majors. The senior thesis is an unusual opportunity for extended, closely guided research and writing, performance, or studio work. A growing number of students collaborate with faculty in their research during the academic year and through the summer; each summer between sixty and eighty students receive support from the College to pursue research. Programs such as the Phillips Fellowship and Otis Fellowship provide students with distinctive opportunities for independent travel and study in locations around the world.

Bates recognizes the special role that international study plays in providing students with the perspective and the opportunities that lead to international careers or service as well as a sense of world citizenship. In recent years more than 65 percent of each graduating class has participated in a study-abroad experience, one of the highest participation rates in the nation.

Bates has long understood that the privilege of education carries with it responsibility to others. Learning at Bates has always been connected to action, a connection expressed by the extraordinary level of participation by students in service activities and by graduates in their choice of careers and dedication to volunteer activities and community leadership. Many faculty members routinely incorporate service-learning components into their courses, and about half of Bates students are involved in a wide variety of community-based projects with more than 140 public and private agencies.

Bates is committed to its home communities of Lewiston and Auburn, which together form Maine's second-largest metropolitan area, with about 60,000 people. The College intends that its many forms of engagement beyond campus be true partnerships, advancing mutual yet independent interests and honoring the integrity of all partners. The Donald W. and Ann M. Harward Center for

Community Partnerships provides an institutional hub for service-learning, community-based research by students and faculty, collaborations with local schools and nonprofits, and participation in major community development initiatives.

Bates is located on a 109-acre traditional New England campus. Primary academic resources on campus include the George and Helen Ladd Library; the Edmund S. Muskie Archives and Special Collections Library, which holds the papers of the former U.S. senator and secretary of state (and member of the Class of 1936); and the Olin Arts Center, which houses a concert hall and the Bates College Museum of Art. The College also holds access to the 574-acre Bates-Morse Mountain Conservation Area, in Phippsburg, Maine, which preserves one of the few remaining undeveloped barrier beaches on the Atlantic coast; and the neighboring Bates College Coastal Center at Shortridge, which includes an eighty-acre woodland and freshwater habitat, scientific field station, and retreat center.

Consistent with its purpose of providing the benefits of a small residential college, Bates has limited its admissions and grown slowly, yet has also pursued an ambitious program of construction and equipment acquisition to support teaching. Additions to and renovations in Carnegie Science Hall and Dana Chemistry Hall have increased facilities for research-based independent student work and provide laboratory space for the College's interdisciplinary programs in biological chemistry and neuroscience. At the same time, study of the sciences has been enriched by the addition of several major instruments, including two electron microscopes, a high-field 400 MHz nuclear magnetic resonance spectrometer, several polymerase chain reaction thermocyclers for DNA and mRNA sequencing, a flow cytometer, and a mass spectrometer/gas chromatograph.

The College's newest academic building is Pettengill Hall, a 90,000-square-foot structure housing fully networked teaching spaces, faculty offices, laboratories, student research centers, and other facilities for eleven social science departments and interdisciplinary programs that were once scattered around the campus. Pettengill Hall creates an arena for intellectual interaction and an environment for greater application of technology in teaching and research. The building's design also fosters the connection between formal and informal learning; the attractive Perry Atrium is a flexible, accessible gathering space that encourages students to better integrate their academic experiences with life at Bates overall.

Student life facilities at Bates are varied and well-equipped. The Clifton Daggett Gray Athletic Building provides a versatile center for all-campus gatherings. The 1993 Residential Village, comprising three residence halls and a social center, integrate living and learning by mixing dormitory rooms, lounges, seminar rooms, and spaces for dining and campus events. The Joseph A. Underhill Arena, which contains an indoor ice rink and the Davis Fitness Center, opened in 1995, and two large houses on campus have been refurbished to serve as the College's Multicultural Center and Alumni House. In 2000 the James G. Wallach Tennis Center opened, with eight international tennis courts for varsity and intramural play. Several new facilities opened in 2004. The Bates Squash Center features five international-sized courts and a state-of-the-art photography system. The Bert

Andrews Room, named in memory of a 1974 graduate, provides enhanced cardio and fitness facilities in Merrill Gymnasium. The Marcy Plavin Dance Studio, named in honor of the founding director of the Bates dance program, consists of two studios and a warm-up area.

The educational mission of the College is supported generously by a significant percentage of its more than 18,000 alumni who have made a lifetime commitment to their alma mater. The College's endowment provides resources for financial aid, academic programs, and general support of the educational mission. In fiscal year 2003, endowment investments of the College totaled more than \$158 million and provided 14 percent of operating budget support.

The College's alumni, including members of more than thirty-five national and international alumni clubs, are actively connected to Bates in various ways. Thousands of alumni volunteers serve annually as admissions representatives, career resource people, fund-raisers, class agents, and alumni club leaders.

Bates is accredited by the New England Association of Schools and Colleges, the Carnegie Foundation for the Advancement of Teaching, and the American Chemical Society. It maintains chapters of Phi Beta Kappa and of Sigma Xi, the national scientific research and honor society.

Appendix C:

Statement of Community Principles

Membership in the Bates community requires that individuals hold themselves and others responsible for honorable conduct at all times. Together we create the educational and social setting that makes Bates College unique, with an atmosphere characterized by trust and mutual concern. Our actions must support our ability to work, study, live, and learn together productively and safely. We are dedicated as a community to intellectual honesty and to the protection of academic freedom. These values are fundamental to scholarship, teaching, and learning. We expect one another to maintain the highest integrity in all of our academic, social, and work-related undertakings.

Appendix D:

Multi-Year Financial Plan Tables

- Multi-Year Resource Planning Assumptions
- Bates College Projected Operating Budget
- Capital Flow Needs for Facilities Master Plan Phase 1
- Preliminary Capital Maintenance Phasing
- Summary of Financial Statistics

Appendix E:

Bates College Facilities Master Plan

(Nearly final draft: revised 10/10/2005)