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I. Executive Summary

At the time of its last Self-Study, Swarthmore was emerging from a long-range planning process that shaped the on-going capital campaign, called the The Meaning of Swarthmore, A Campaign for Swarthmore's Future. The capital campaign is scheduled to end in late 2006. From 1997 to 1999, the College Planning Committee involved faculty members, administrators, staff, students, alumni, and members of the Board of Managers in a comprehensive review that identified key academic, student-life, and administrative priorities critical for the decade ahead. The changes observed at Swarthmore since 1999 have largely focused on implementing the goals and objectives articulated in the campaign for Swarthmore and on responses to the evaluation team report. As the campaign nears its end, we anticipate the creation of a new process for planning that will incorporate a broad range of issues, including on-going assessment and responsiveness to the Middle States Commission on Higher Education's newly articulated expectations regarding assessment.

The last five years have seen a number of curricular changes which grew out of priorities defined directly or indirectly from the planning process. Direct outcomes include new faculty positions and new curricular elements in areas designated as high priority either in existing departments or in interdisciplinary areas of interest, such as Islamic studies and film and media studies. There are new tenure-track faculty positions in educational studies, political science, computer science, religion, and sociology/anthropology. New curricular elements include new interdisciplinary minors in Cognitive Science and in Film and Media Studies.

Other curricular changes include the creation of minors for course students (paralleling the long-term availability of minors for students in the Honors Program) as well as changes in the distribution requirements for the first two years of the students' academic program.

Swarthmore's longstanding commitment to educating with an emphasis on issues of social responsibility has found a new focus in the creation of the Lang Center for Civic and Social Responsibility. The Center, housed at the renovated Swarthmore train station, embraces civic and social responsibility as embodied in student activities and in the curriculum. It places interaction with the greater community, whether locally in Chester and Philadelphia, or with a broader international scope, as a priority.

Changes in student services include expansion of services offered in a number of areas, including Career Services and services to support students with disabilities. Career Services, along with a number of other student services, will enjoy larger and more attractive spaces following the renovation of Parrish Hall.

The environment in which knowledge is created and employed and the ways in which information is transferred and stored have called for policy responses. The Board of Managers recently passed a new, innovative Intellectual Property Policy. A committee has been working to develop an electronic privacy policy which is expected to be reviewed by the community during the 2004-2005 academic year.

This has been a period of substantial change in facilities, both at the largest level of new buildings and at more modest levels in terms of renovations and creation of new student spaces, which has been a priority in shaping facilities planning. The new Science Center is scheduled to open this year as is the new 75-bed dormitory. The Parrish Hall renovations are to begin shortly. Renovation of the first floor of McCabe Library created new student meeting spaces as well as improved the allocation of space on that floor of the library.

The Athletics program has undergone major changes. The Mullan Fitness Center opened in 2000. This facility, along with improvements to both indoor and outdoor athletic facilities and installation of lights to allow night time use of the athletic fields and track, have invigorated the athletics infrastructure. This change in facilities coincides with changes in the structure of the program, with the elimination of some varsity teams and the reallocation and expansion of financial and admissions resources for athletics, including the hiring of more full-time coaches. In 2002 the faculty supported the implementation of scheduling guidelines to find balance between students' academic commitments and athletic activities, and assessment groups have worked—and continue to do so—to assess the role of athletics in the Swarthmore community and to identify areas that need further study or support.

The needs of the College staff have been a focus of major activity over the past five years. With the hiring of a new Associate Vice President of Human Resources in 2000 and the elevation of that position from a Director to Associate Vice President status (and inclusion on President's Staff) a new period began. Major undertakings included a review of the staff compensation structure as well as implementation of a number of staff development programs. All of this has been implemented within a process of enhanced communication with staff; the reviews, the changes, and the openness of the processes employed have all gone a long way to improving the relationships between staff and other college constituencies.

All of these activities have occurred simultaneously with the capital campaign which is currently two and one-half years from the completion date of December 31, 2006. Through December 31, 2003, the Campaign has raised \$144.2 million in gifts and pledges and is on track to meet the \$230 million goal by the end of 2006.

Although in a financially secure position, the College, like all institutions of higher education, has faced financial challenges over the recent years. Although the College weathered these challenges well, thanks in part to a prudent spending policy adapted by the Board in 1986, pressures were felt. The College's response to the tight economic environment has included a number of efforts. The work of the Board of Managers Expenditure Review Committee will prove useful in planning for the future. Established in early 2002, this Committee conducted a comprehensive cost comparison study with six other institutions. With the results of this study, Swarthmore has been able to analyze its allocation of resources as compared with other small colleges. The Committee also examined longer-term financial models to quantify areas of budget pressure and began to identify areas to which the College might look for efficiency and reallocation of resources to higher priorities. Its work will inform resource allocation and budgeting decisions going forward. This effort was key in managing through a period of modest revenue growth as tuition increases moderated, financial aid needs grew, and endowment support to the budget was constrained by a difficult investment climate.

The budget process has held departmental increases to zero percent to the extent possible and has implemented \$1.4 million in reductions in program priorities without compromising the educational program or damaging community morale.

Complementing actions to implement campaign priorities, are actions taken to address the concerns raised by the external evaluation team that participated in the College's 1999 Self-Study. In the area of student life these include improvements to the advising process, provision of supports to facilitate student participation in extracurricular activities, and enhancements to student social spaces. Faculty development has been a major focus of activity with considerable effort focused on providing support for faculty development as teachers. Increasing the diversity of the faculty continues to be a priority and some advances in this area occurred over the past five years as well. Finally, progress has been made in organizing curricular elements in a way that makes more sense (e.g., transformation of curricular elements formerly known as concentrations into disciplinary programs and redefinition of what were programs into departments).

Assessment of the academic program continues to be a priority and traditional activities, such as senior capstones in every major, assessment of the Honors Program and Interdisciplinary Programs, and monitoring of student outcomes are ongoing. Assessment efforts have also been expanded to include some areas not formerly the focus of assessment; among these are the allocation of teaching credits, patterns of student enrollment to meet distribution requirements, and enhanced assessment of grant outcomes related to the academic program.

Assessment of the administrative functions has expanded considerably with major efforts in the areas of facilities, human resources, and general business practices; these new efforts, which have been successful in identifying opportunities for productive change, were prompted in part by suggestions of the external evaluators from the last Self-Study, in part from the financial realities of the past five years, and in part from recognition that it is productive to review procedures and policies periodically to see if they can be improved.

Major assistance for a number of these assessment projects has come from the new Institutional Research Office. An Institutional Research (IR) Office was established at the College in 1999 with the hiring of an experienced IR professional to staff the function. While some of the responsibilities of the new IR Office covered areas that were previously undertaken in other parts of the College (e.g., IPEDS reporting and consortial data exchanges), the centralization of those activities into one office and the addition of other data collections, research, and reporting has resulted in a qualitatively very different approach to the use of information in decision-making. Data-sharing activities include an Annual Fact Book, a web page, study highlights, and more, thus improving the consistency and accuracy in external reporting and internal projects, both by the IR office and by other members of the College. Perhaps most importantly, the IR office undertakes research studies to explore issues of concern to the College, such as student interest in the sciences, or the predictive validity of SATs. It is expected that IR will provide substantial support as the College moves both toward initiation of its next formal planning cycle and works toward creating a more formal assessment plan in anticipation of its 2009 Self-Study.

While assessment at Swarthmore is a vital and active element of the College's activity in a wide array of areas including departments, interdisciplinary programs, distribution and graduation requirements, and other aspects of the academic program, these activities are not formalized in a written plan. The same can be said for administrative assessment. On the academic side, each unit works fairly independently in determining how to meet its assessment needs and then communicates what they find through regular meetings with the Provost. That is one of the pleasures and benefits of being a small community; both formal and informal flows of communication are an active and accessible way to identify assessment needs and to communicate findings. Preparation of this PRR and its associated cataloging of all the types of assessment of the administrative and academic sides of the College will provide a foundation upon which a more formal set of assessment guidelines can be developed.

Although more formal planning and design efforts are required, some ideas for beginning work in this area have developed as part of the PRR preparation. As the College looks to the future, the MSCHE guidelines for future assessment efforts will be at the center of assessment planning. As evidence of compliance with Standard 14, in the future the evaluation team will look for a written plan giving evidence that students demonstrate that they have met the College's learning goals. Some of the College's most important student assessment activities, such as senior capstones and comprehensives, and honors exams, have policies or guidelines that are found in various institutional documents, but are not incorporated into a single formal assessment plan document. These policies will form the cornerstone of the College's assessment plan document.

Efforts are also already underway to design a structured approach to expanding and integrating the College's assessment activities, building on the ones that are already in place. Responsibility will be assumed by a newly designed assessment steering committee that will include faculty and staff members and will be co-chaired by a representative from the administrative side and a representative from the academic side of the College.

The work of the steering committee would begin before the initiation of the next planning process and it will be expected to play an important role in planning. This group will be assigned the responsibility for articulating and implementing—in collaboration with a wide range of college constituencies—the College assessment plan. Along with preparing a database of current and ongoing assessment activities, one of the committee's first tasks will be to define, again, as a result of widespread consultation, the goals for student learning at the institutional and program level, and then to support and strengthen existing activities and develop any needed new activities to assess our success in achieving our goals. A priority for the committee will be to work not only toward getting full community participation in the assessment process but to be sure to develop a process that reflects Swarthmore's values and that will be supported and used by the community.

It is critical that this effort be undertaken soon for a number of reasons. It will enable the steering committee to build a comprehensive database of assessment activities and their results. It will also allow some faculty and staff members to build the necessary human capital, through self education and attendance at conferences, to ensure that the assessment plan is designed in a way that reflects best practices.

Discussions have already begun about some options for new or expanded assessment activities. These include introducing an annual departmental session at the end of the academic year at which departments would reflect on their past year's activities; their conclusions and evaluations would be conveyed to the Provost in a brief report prepared by the department chair. Other possibilities include resurrecting graduating senior exit interviews, with a more efficient data collection and dissemination structure and enhanced analysis of the already comprehensive and well maintained alumni records database.

The infrastructure to support this effort is already in place. The Institutional Research Office and the budget and planning process both are ready to support assessment, and, in fact, already do so to a substantial degree. Standing committees of the faculty, such as the Council on Educational Policy (CEP), the Committee on Faculty Procedures (COFP), and the Committee on Promotions and Tenure (CPT), and the Curriculum Committee are all well situated to support assessment design and implementation. The benefits of the substantial efforts made in assessment of the administrative side of the College are widely recognized and support is strong for continuing these efforts.

It is anticipated that enhanced outcomes assessment will be linked closely and productively to the next planning cycle, to commence within the next few years. The last such effort occurred prior to the development of the Institutional Research function and in the absence of a formal comprehensive assessment plan. Assessment activities as catalogued in this report, as well as the first few years' efforts by the assessment steering committee, will help to inform and shape the planning process, which in turn may lead to new directions in assessment for new initiatives that grow out of the planning process. Availability of better data, as well as clearer frameworks for evaluating the need for change and the effects of past change, can only serve to enhance the effectiveness of the next planning process and its implementation, thus completing the loop between assessment and planning.

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II. Introduction

Swarthmore College was founded by the Religious Society of Friends in 1864 as one of the first coeducational liberal arts college in the country. Located near Philadelphia, PA, the College is residential and small (with an average annual target of 1,375 students, excluding students studying abroad) and maintains a student-faculty ratio of 8:1. Swarthmore offers the Bachelor of Arts degree to students in the humanities, the social sciences, and the natural sciences, and the Bachelor of Science degree to students in engineering. Majors are offered in 23 departments; the Program in Educational Studies provides certification for students wishing to become secondary school teachers. Swarthmore is particularly well-known for its rigorous Honors (External Examination) Program. Alfred H. Bloom is in his 13th year as President.

Swarthmore students prepare themselves for full, balanced lives as individuals and as responsible citizens through exacting intellectual study supplemented by a varied program of sports and other extra-curricular activities. Through its long-standing commitment to community service, the College seeks to help its students realize their fullest intellectual and personal potential, combined with a deep sense of ethical and social concern. The admissions process is highly competitive; the median SAT score of students matriculated to the Class of 2007 was 1,450.

Swarthmore was founded as a coeducational institution at a time when equality of access to higher education was unusual, and the College's commitment to equal access and diversity persists into the present. Fifty-three percent of the current students are women. In the present student body, 7 percent are African American, 8 percent are Latino/a, 15 percent are Asian American, 0.9 percent are Native American, and 7 percent are international students. Although diversity in both faculty and student body now also encompasses race, ethnicity, and economic status, we believe that we must be vigilant and energetic in our efforts to increase and retain this diversity. A need-blind admissions policy combined with a financial aid policy of meeting demonstrated need of all students contributes to this effort. Fifty percent of Swarthmore students receive need-based financial aid.

The Swarthmore faculty combines a passion for teaching with stellar scholarly credentials. Of the 163 faculty in tenured or tenure-track appointments, 97% have Ph.D.s or other terminal degrees. To preserve the excellence of its faculty, the College offers a leave policy which permits faculty to go on leave for one semester with full pay after every three years of teaching to engage in scholarly research and writing.

Our alumni have distinguished themselves in every field of endeavor. The first American woman to be granted the Ph.D. is a Swarthmore alumna, and the College counts three Nobel laureates, several award-winning writers, many well-known politicians, the first American woman astronaut, as well as leading educators, lawyers, doctors, journalists, and businesspersons among its former students.

Swarthmore College has a demonstrated record of educational excellence and is recognized as one of the leading liberal arts institutions in the nation.

II.A. Preparation of the PRR

Preparation of the PRR was coordinated by Ellen Magenheimer, Associate Provost and Professor of Economics. She worked closely with Robin Shores, Director of Institutional Research. Groups with which she consulted include the President's Staff (collectively and individually) as well as their staffs, the Division and Interdisciplinary Chairs (who functioned as an ad-hoc committee on academic assessment), the Administrative Advisory Committee, chairs of all academic departments and some interdisciplinary programs, and the current and immediate past Chairs of the Board of Managers. Incorporated in this report are the voices and views of students on the academic program as expressed through formal (e.g., course evaluation, comprehensive exercises) and informal (e.g., advising, general conversation) mechanisms.

The primary Middle States Commission on Higher Education (MSCHE) document used in preparation of the PRR was the 8th edition of the *Handbook on Preparation of a Periodic Review Report*. The new guidelines, and specifically Standards 7 and 14 in the *Characteristics of Excellence for Higher Education* also played an important role in preparation of the report. This incorporation of the revised accreditation standards was used as a reference, as suggested by Jean Avnet Morse in her letter of January 28, 2004 particularly in the sections of this PRR that are responsive to the prior Self-Study and team report recommendations and also in the discussion of our current assessment plan. In addition, in preparing our assessment plan and in beginning to design our future activities, we have been guided by *Student Learning Assessment: Options and Resources*. We appreciate the MSCHE's respect for institutional mission and culture, as reflected in the MSCHE documents cited here.

All of the requested supplemental materials (e.g., handbooks, the college catalog) are included, as well as two planning documents: the College's Land Use Plan and the 1999 Accreditation Self-Study. As explained in the preface to the Self-Study the period of preparation for the Self-Study coincided with a major college planning effort, conducted by the College Planning Committee (CPC), a committee whose membership included faculty, administrators, staff, and students. Swarthmore College President Al Bloom assigned the role of Self-Study steering committee to the CPC because it was overseeing the long-range planning process. The CPC defined the areas in which planning was to take place and created Planning Subgroups (PSGs) to conduct that work. The reports generated by the PSGs were synthesized into the Self-Study by Connie Hungerford, then Middle States coordinator and now Provost of Swarthmore College. Thus, the Self-Study built directly on the planning process which then continued and benefited from the insights offered by the external evaluators in March 1999. As the College has progressed through the capital campaign and the implementation of its priorities, the Self-Study has been an effective embodiment of the planning process and, therefore, is included here as a long-range planning document.

II.B. Current General Overview

At the time of the last Self-Study, Swarthmore was emerging from a long-range planning process that shaped the on-going capital campaign, called the The Meaning of Swarthmore, A Campaign for Swarthmore's Future, is scheduled to end in late 2006. From 1997 to 1999, the College Planning Committee involved faculty members, administrators, staff, students, alumni, and members of the Board of Managers in a comprehensive review that identified key academic and student-life priorities critical for the decade ahead. Campaign priorities are documented in Appendix 1.

The changes observed at Swarthmore since 1999 have largely focused on implementing the goals and objectives articulated in the campaign for Swarthmore and on responses to the evaluation team report. As the campaign nears its end, we anticipate creation of a new process for planning that will incorporate a broad range of issues, including on-going assessment and responsiveness to MSCHE's newly articulated expectations regarding assessment.

The last 5 years have seen a number of curricular changes—which are described in more detail in Section III--which grew out of priorities defined directly or indirectly from the planning process. Direct outcomes include new faculty positions and new curricular elements in areas designated as high priority either in existing departments or in interdisciplinary areas of interest, such as Islamic studies and film and media studies. There are new tenure-track faculty positions in educational studies, political science, computer science, religion, and sociology/anthropology. New curricular elements include interdisciplinary minors in Cognitive Science and in Film and Media Studies.

Other curricular changes include the creation of minors for course students (paralleling the long-term availability of minors for students in the Honors Program) as well as changes in the distribution requirements for the first two years of the students' academic program.

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This has been a period of substantial change in facilities, both at the largest level of new buildings and at more modest levels in terms of renovations and creation of new student spaces, which has been a priority in shaping the facilities priorities. The new Science Center is scheduled to open this year as is the new 75-bed dormitory. The Parrish Hall renovations are to begin shortly. Renovation of the first floor of McCabe Library created new student meeting spaces as well as improved the allocation of space on that floor of the library.

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the athletics infrastructure. This change in facilities coincides with changes in the structure of the program, with the elimination of some varsity teams and the reallocation and expansion of financial and admissions resources for athletics, including hiring of full-time coaches. In recent years the faculty supported the implementation of scheduling guidelines to find balance between students' academic commitments and athletic activities, and assessment groups have worked—and continue to do so—to assess the role of athletics in the Swarthmore community and to identify areas that need further study or support.

The needs of the College staff have been a focus of major activity over the past five years. With the hiring of a new Associate Vice President of Human Resources in 2000 and the elevation of that position from a Director to Associate Vice President status (and inclusion on President's Staff) a new period began. Major undertakings included a review of the staff compensation structure as well as implementation of a number of staff development programs. All of this has been implemented within a process of enhanced communication with staff; the reviews, the changes, and the openness of the processes employed have all gone a long way to improving the relationships between staff and other college constituencies.

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Although in a financially secure position, the College, like all institutions of higher education, has faced financial challenges over the recent years. The College's response to the tight economic environment has included a number of efforts. The work of the Board of Managers Expenditure Review Committee will prove useful in planning for the future. Established in early 2002, this Committee conducted a cost comparison study with six other institutions. With the results of this study, Swarthmore has been able to analyze its allocation of resources as compared with other small colleges. The Committee also examined longer-term financial models to quantify areas of budget pressure and began to identify areas to which the College might look for efficiency and reallocation of resources to higher priorities. Its work will inform resource allocation and budgeting decisions going forward.

This effort was key in managing through a period of modest revenue growth as tuition increases moderated, financial aid needs grew, and endowment support to the budget was constrained by a difficult investment climate. The budget process has held departmental increases to zero percent, to the extent possible and has implemented \$1.4 million in reductions in program priorities without compromising the educational program or damaging community morale.

While continuing to implement campaign priorities, the President's Staff and the Board are beginning to look to the next planning process, which will begin as the campaign ends in late 2006. Preparation of this PRR has provided a useful review of what has been accomplished and will help in identification of issues warranting consideration during the next planning cycle.

Throughout this period of fundraising and implementation of campaign priorities, the College has continued to conduct its regular forms of assessment as well as expanding the range of College functions being assessed. Assessment of the academic program continues to be a priority and traditional projects, such as assessment of the Honors Program, Interdisciplinary Programs, and student outcomes are ongoing. Assessment efforts have also been expanded to the allocation of teaching credits, patterns of student enrollment to meet distribution requirements, and enhanced assessment of grant outcomes related to the academic program.

Assessment of the administrative functions have expanded considerably with major efforts in the areas of facilities, human resources, and general business practices; these new efforts, which have been successful in identifying opportunities for productive change, were prompted in part by suggestions of the external evaluators from the last Self-Study, in part from the financial realities of the past five years, and in part from recognition that is productive to review procedures and policies periodically to see if they can be improved.

Major assistance for a number of these assessment projects has come from the new Institutional Research Office. An Institutional Research (IR) Office was established at the College in 1999 with the hiring of an experienced IR professional to staff the function. While some of the responsibilities of the new IR Office covered areas that were previously undertaken in other parts of the College (e.g. IPEDS reporting and consortial data exchanges), the centralization of those activities into one office and the addition of other data collections, research, and reporting has resulted in a qualitatively very different approach to the use of information in decision-making. One of the new activities undertaken by the IR office was to provide comprehensive information about the College to the College community, in the form of an Annual Fact Book, a web page, study highlights, and other data-sharing activities. This improves the consistency and accuracy in external reporting and internal projects, both by the IR office and by other members of the College, who now have easy access to “official” information. It is expected the IR will provide substantial support as the College moves both toward initiation of its next formal planning effort and works toward creating a formal assessment plan in anticipation of its 2009 Self-Study.

III: Significant Developments and Changes

In this section, significant changes that have occurred since the Self-Study are highlighted, noting separately those that have occurred in response to recommendations or suggestions made by the external evaluation team from the 1999 Self-Study.

III.A. Major Changes: 1999-2004

Major changes have occurred across the academic and administrative sides of the College; all of these major changes are reviewed below.

III.A.1. Curricular Innovations and Developments

Curricular innovations have included new faculty hires, creation of new programs, changes in distribution requirements, and creation of new institutional structures to better integrate Swarthmore's commitment to the development of ethical intelligence into the curriculum.

Three new curricular areas were identified, during the planning process, as needing enhanced support; these were Film and Media Studies, Cognitive Science, and Islamic studies. Each of these has been enhanced over the past five years, both structurally and in terms of faculty appointments. Cognitive Science and Film and Media Studies were both approved as interdisciplinary minors (known as concentrations at the time of their creation) in fall 1999. Criteria for approval of an interdisciplinary minor are intellectual rationale for presence in an undergraduate education, evidence of substantial faculty and student interest, and evidence of departmental willingness and ability to commit to offering the necessary courses during the coming five years. Creation of both of these new interdisciplinary programs was approved. Each one is described briefly below along with two other areas of interdisciplinary study that have expanded over recent years; these are Islamic studies and Japanese studies.

Cognitive Science: The minor in cognitive science has been developed to guide the programs of those who are interested in the interdisciplinary study of the mind, brain, and language, with an emphasis on formal structure and computation. The Cognitive Science Program is designed to emphasize guided breadth across various disciplines that contribute to cognitive science as well as depth within a chosen discipline. The program spans six disciplines: neuroscience (biology or psychobiology), computer science (including computer engineering), linguistics, mathematics and statistics, philosophy, and cognitive psychology.

Film and Media Studies: Moving images have been one of the most distinctive innovations and experiences of the past century. In today's media-dependent culture, developing a critical understanding and a historical knowledge of media forms is vital. Film and Media Studies provides an interdisciplinary understanding of the history, theory, language, and social and cultural aspects of film, with some emphasis on other moving-image genres such as video, television, and computer-based media; introduces research and analytical methods; and encourages cross-cultural comparison of media forms, histories, institutional contexts, and audiences. Film and Media Studies incorporates courses from visual ethnography, psychology,

and literary and cultural studies and offers core courses in the field, providing some opportunity for training in production to enhance critical studies.

Islamic studies: Islamic studies is an interdisciplinary network for studying about Islam as a religion, Muslims as people, and the regions affected by Islamic civilization. Islamic studies has less extensive staffing than the previously mentioned areas of interdisciplinary work and the college is actively seeking resources with which to invest more heavily in this area. Some steps in this direction have already been taken with filling tenure lines in Religion and in Sociology-Anthropology with Islamicists. The College will be joined next year by an Islamicist holding a two year Consortium for a Strong Minority Presence (CSMP) fellowship in history.

Japanese studies: In 2002, Swarthmore College received a grant from The Freeman Foundation to support the development of Asian studies, primarily a four-year pilot project in Japanese language and culture. The project will lay the groundwork for the possible addition of Japanese to the College's regular academic program although no decision has been made about the future of this area of study. The grant, which runs through 2006, enables Swarthmore to integrate the study of Japanese language, literature, and civilization into the College's academic program. The grant has been used to add two faculty members who teach classes in Japanese language and literature; to add a faculty member to the Department of Sociology and Anthropology who teaches classes in contemporary Japanese culture; to improve the Asian collection in McCabe Library; and to add Japanese-language software to the Language Learning Center. These steps bolster existing offerings in the College's Asian Studies Program, whose primary strength lies in Chinese language and culture. Currently, three full-time faculty members in the Modern Languages and Literatures Department teach Chinese language, literature, and film. Those courses are complemented by others in history, political science, art history, and religion. A formal review of the Japanese studies area will be conducted next year, at which time a determination will be made regarding future support for this area of study.

Restructuring of Curricular Categories: Swarthmore has had an array of curricular entities including interdisciplinary programs, departments, special majors, and others. Progress has been made over the past 5 years in restructuring this set of curricular elements in a more logical manner. This effort was prompted in part by a suggestion from the evaluation team regarding what were then called concentrations; the changes made in that specific area are described in Section III.B. below. The other changes are noted here.

Special majors are usually interdepartmental programs of study proposed by individual students. There are also several defined special majors, such as psychobiology and chemical physics, which are defined in the sense that the faculty members involved have specified requirements for these programs. During the past five years, some of these special majors have become regular majors.

Academic credit had been awarded for work in Dance since 1977 and a special major had been available since the late 1980s. In 1997 the special major in Dance was codified and an honors major and minor in dance was established. In fall 1999 the Program in Dance, which is part of the Department of Music and Dance, was authorized to offer a major in Dance. In spring 2000, the same transition—to offering a major--was made for Linguistics, which had historically existed as a special major, offered by a Program. Computer Science began to offer a major in 2001.

In spring 2001 a further step toward rationalizing the curricular structure came with the transition of four programs—Computer Science, Educational Studies, Linguistics, and Theatre Studies—to departments. Historically, the designation as a department required the existence of multiple tenure lines, the existence of a major, and a governance structure that allows internal decision-making regarding, for example, hiring and curricular structure, rather than consultation with an advisory committee of faculty from outside the program. It was determined that, in line with these criteria, the four entities mentioned above were functioning as departments rather than as programs and should be designated as such, which they now are. It should be noted, however, that Education still offers special majors rather than a regular major. Also, this transition created a separate Theater Department; prior to this step, the Theater special major was administered by the theater component of the Department of English Literature.

In spring 2003, the name of the Department of Chemistry was changed to Chemistry and Biochemistry to more accurately reflect the department's program and the composition of its faculty. The department continues to offer a major in chemistry and a special major in biochemistry.

Creation of Course Minors: As the last planning process came to an end, the Council on Educational Policy (CEP) began to work through issues that emerged from that planning process. One issue that seemed to merit further study was the possibility of minors outside of Honors; students participating in the Honors Program are required to have an honors minor but there was no similar structure within the course program (i.e., for students not in the Honors Program). Faculty concern about the interrelation of depth and breadth led CEP to consider the possibility of minors outside of Honors. A minor includes at least five courses, at least four of which are not counted toward any other majors or minors. In this way, the design of the minors program achieves the desire to help students achieve “focused breadth” to complement the major. Limits were imposed on how many majors and minors students are allowed to have.

In May of 2000, the faculty voted to make course minors available to students with certain restrictions as to the number of majors and minors which a student could pursue. Departments, programs, and concentrations were invited (but not required) to develop minors. Interdisciplinary programs now offer minors, as do departments (although not all departments have chosen to do so).

Initial definition of minors by departments and interdisciplinary programs was reviewed and approved by the Curriculum Committee (parallel to the initial definition of new Honors Programs following adoption of the new Honors legislation). The class of 2004 is the first class to participate fully in the new program of minors and the new rules about limitations on minors.

Faculty Positions: Several tenure-track positions identified as priorities in the campaign have been filled. Positions in Computer Science and Educational Studies meet significantly increased student interest in these areas of study. The new position in Political Science focuses on the connection between political theory and community empowerment, providing a vital connection between ideas and action. A new position in Religion provides leadership in Islamic studies, an area of historic depth and contemporary significance that has not had a consistent place in the Swarthmore curriculum but was identified as a priority.

Changes in Distribution Requirements: Significant changes in the program that students follow in their first two years were made in spring 2003. These changes were the result of a multi-year effort by the CEP and incorporate educational values that are central to the College. They make more explicit, both internally but also to the public, the importance of a laboratory experience as part of the encounter with the natural sciences, the College's commitment to teach writing across the curriculum, and the commitment to encourage and enable students to participate from their first year in the creation and redefinition of knowledge in close interaction with the faculty. The revised program for the first two years consists of four components which include continuation of the requirement that students take 3 courses in each division (Humanities, Natural Sciences and Engineering, and Social Sciences) but eliminate the Primary Distribution Course (PDC) designation; stipulate that one of the three courses taken in Natural Sciences and Engineering has a laboratory component; institute a voluntary program of First Year Seminars for incoming students; and create a three-course requirement for writing across the curriculum.

The changes in distribution requirements reflect a more nuanced approach to distribution requirements than has sometimes been true in the past. Normally, the same requirements are held across the three divisions but in this case the importance of a laboratory, only in the natural sciences division, led to a requirement that differed in that division. Recognition of the educational objectives that span divisions (e.g., writing, an interactive educational experience as embodied in a First Year Seminar) and those that are specific to a division leads to a more productive specification of requirements.

The assessment process which culminated in these changes in the educational program is described in detail in Section IV below on assessment of the academic program, as are the planned evaluation activities that will follow full implementation of these four components. The latter two components will be assessed in the coming years; in the case of the First Year Seminars they will be evaluated, both as educational experiences but also in terms of their effects on other course offerings and to determine whether they are successful in a way that argues for making participation mandatory for each department and each student. The writing courses will be evaluated to determine what types of writing are occurring, what types of techniques are being employed to teach writing, and whether students are acquiring the skills that have been targeted as needed.

III.A.2. Expansion of Faculty Development Programs

A major source of energy devoted to faculty development across the life cycle has come from the Mellon Tricollge Forum, a four-year program funded by the Mellon Foundation, currently in its third year. This program is described more fully in Section III.A.10 below as part of a more general discussion of enhanced cooperation across the Tricollge (i.e., Swarthmore, Bryn Mawr, and Haverford Colleges) community.

Over the last five years there has been an expansion of the faculty leave policy. Swarthmore's sabbatical program assures that its faculty members can stay abreast of their disciplines and actively engaged in creating new knowledge in their fields. This enables them to

deliver the distinctive pedagogy that is at the heart of Swarthmore. Generous faculty leaves are also an important incentive in recruiting outstanding teacher-scholars who might otherwise choose to go to major universities. New endowment funds enhance the College's ability to offer both regular and extended leaves to more faculty members. There has been an expansion in the number of full year leaves funded by the College; this has been financed primarily through funds raised during the Campaign. In addition, the College is part of a consortium, currently in its third and penultimate year that is eligible for Mellon New Directions Fellowships Grants. This \$2.5 million grant is administered by Wellesley College for use over five years in collaboration with Swarthmore, Bryn Mawr, Haverford, Wellesley, Barnard, Carleton and Macalester, toward costs of a collaborative program of faculty career enhancement. Faculty at Swarthmore who have received these grants have used their funded sabbatical to conduct research, prepare new course materials, and conduct institutional research. Since 1999 second semester leaves funded by Swarthmore have increased from 8 to 12; an additional two New Directions Fellowships have been granted over the past two years and it is hoped that this program will continue, perhaps at a rate of one per year, in the future.

III.A.3. Creation of the Lang Center for Civic and Social Responsibility

In 2003 the Lang Center for Civic and Social Responsibility opened at Swarthmore College. It will provide vision, leadership, and support for the College's central commitment to educate for civic and social responsibility. The intention is for the Center to support the College's mission to combine academic excellence and social responsibility. To accomplish this, the Lang Center provides summer internships at non-profit organizations; fellowships for faculty members to design curricula that will link their academic work to civic and social responsibility issues; partnerships with community organizations that will maximize the quality of educational experiences for students as well as the quality of their contributions to the community; opportunities for orientation and training to prepare students for participation in communities; and opportunities for reflection and assessment to help students and community partners identify successful strategies for social change.

The Center will also host the Lang Visiting Professor for Issues of Social Change. This position brings to Swarthmore individuals distinguished by their identification and engagement with social justice, civil liberties, human rights, and democracy. The center will work closely with other offices on campus, including Career Services, Alumni Relations, Foreign Study, and the Associate Dean of Multicultural Affairs. It will also collaborate with other colleges and universities in efforts to strengthen education for civic and social responsibility. The Lang Center brochure appears as Appendix 2.

III.A.4. Changes in Student Services

Important changes to student services have occurred through adding new staff, the restructuring of some of the offices providing student services, and redefining positions as turnover occurs. In Career Services, major structural, staffing, and facilities improvements have been implemented, in part in response to suggestions made by the evaluation team (see Section III.B.4 below). Also, partially in response to the evaluation team report but also reflecting a long-standing recognition of the need for this position, the College created the position of Associate Dean for Multicultural Affairs, filled since 2003 by Darryl Smaw. An assessment of

issues surrounding multiculturalism in the College community is being planned by the Dean and associates and is discussed in Section IV.C on plans for enhancing outcomes assessment.

Services for disabled students have become more widely used and a committee was formed to assess the current status and needs for these services at Swarthmore. During the period from 2001 through 2004, a review of the Disabilities Services Office and Programs was conducted by a task force comprising students, faculty, and staff; this effort was initiated in response to a request from student council. Elements of the assessment included review of practices related to disability services provided across campus, including admissions, the health center, and psychological services. A survey was conducted of students with documented disabilities with the goal of assessing the quality of the experience these students had and to identify unmet needs. The Task Force also reviewed the accessibility master plan and reviewed best practices by national organizations concerning students with disabilities. Task Force members initiated and attended a workshop led by members of the Civil Rights Office of the US Department of Education.

The level of activity with respect to disability services has grown in recent years and the expansion has been shaped directly by the lessons learned from the assessments. A web site presenting policies and procedures was created; before this could be accomplished the Task Force worked to clarify and codify this material, some of which had been in a more informal state previously. The Task Force Chair made detailed presentations to the faculty and the Board of Managers about disability needs and services. Student Academic Mentors (SAMS), upper class students trained to help first year students develop time management and study skills, received training to enable them to be more helpful and sensitive when working with students with disabilities. A support and education group was started by students. Finally, one session of a series of faculty workshops on writing was devoted to working with students with disabilities. Although the Task Force's initial charge has been met, it continues to operate to review programs and policies and to initiate improvements.

Other changes that have occurred in the student services include the restructuring of the pre-med and pre-law functions to combine them in one office. This is expected to continue the high level of support for pre-med students while offering enhanced support for students applying to law school and better recordkeeping on student outcomes. A new administrator has been hired for the Fellowships and Prizes section of the Dean's Office. The committee that works with students applying for national and international fellowships, such as the Marshall and the Rhodes, and that chooses student recipients of College fellowships for graduate school is still chaired by faculty members but the administrator is able to provide increased support to students in preparing their applications and to faculty in identifying good candidates for prizes. The annual report from the Health Sciences Advisor appears as Appendix 3 and the annual report on Fellowships and Prizes appears as Appendix 4.

III.A.5. Changes in Facilities and Institutional Resources

The last 5 years has been a period of active renovation and new construction, which will result in new teaching, administrative, and student spaces. The response to the need for new and improved student spaces has been addressed through a decentralized model—not in decision-

making but in space creation. Rather than building, for example, a new student union, new spaces are being created all over campus. These are highlighted in the following discussion of changes in facilities.

A major building project has been the new Science Center, which is already partially in use and which will open officially on June 4, 2004. Swarthmore has long been known as a national leader in undergraduate science education. Yet the past 20 years have brought dramatic changes to the teaching of science at the best colleges. The technology required for effective pedagogy has become markedly more sophisticated, independent student research is now a central component of science education, and reliance on the perspectives of multiple disciplines has become increasingly essential. These changes exerted complex pressures on Swarthmore's science facilities, which were inadequate and obsolete.

In response, the College began construction of a new \$59.9 million science center--the largest facilities project in its history. The center brings together the Biology, Chemistry, Computer Science, Mathematics and Statistics, and Physics and Astronomy Departments in an interactive space which joins existing and new spaces. It will link the current DuPont Science Building to the Cornell Science Library and the Martin Biological Laboratory, providing classrooms, laboratories, offices, and public spaces required to support the College's science program for years to come. The center has a large commons with coffee bar, which has already become a popular space for students, faculty, and staff. The new center will also serve as a powerful recruiting tool for prospective students and faculty.

Early in the science center planning process goals were articulated which shaped subsequent design decisions. The overarching objective is for the complex to support the pedagogical goals and the scholarly activities of the associated science departments. In turn, this requires provision of students with spaces to do science and mathematics with easy access to science faculty, design that makes it easy to continually update technology and experiment with new ways of teaching, and offer creative pedagogical opportunities in its structure. Another goal is to comply with "green" standards. Designed for maximum environmental responsibility, the Swarthmore science center is expected to become the first college or university science facility to achieve a LEED rating. (The LEED -- Leadership in Energy and Environmental Design -- rating system is a U.S. Green Building Council program that rates projects for their compliance with environmental standards.) The architects are using recycled materials for finishes, high standards for energy-efficient heating and air conditioning systems, new insulation in existing buildings to minimize heat gain, and overhangs and fritted glass for sun-shading

The \$13.6 million renovation of the college's original building, Parrish Hall, will begin in June 2004 and is scheduled for completion in 2005. The renovation will update some of the building's infrastructure (including the incorporation of elevators and modern sprinkler systems) and will also create new or improved student spaces. The first floor will focus on student services including Career Services (other changes to the functioning of Career Services are discussed below in Section III.B.4), the Dean's Office and the Office of Financial Aid. In addition there will be a number of meeting spaces for student groups. The Admissions Office will move to the second floor of Parrish, joining a number of administrative offices already housed there, including the Offices of the President and the Provost.

The construction of the new \$13.4 million dormitory, nearing completion, will facilitate the renovation of Parrish Hall which, in addition to housing administrative functions, is also a dormitory. The new dormitory, as yet unnamed, offers 75 beds all in rooms (not suites); room types include different configurations of doubles and single rooms. All three floors of the building have lounges; the first floor lounge is large enough to accommodate all residents and will be good space for dormitory meetings. This new facility will make possible a reduction in the number of students living in Parrish and will help the College eliminate less desirable student housing. It is not intended to lead to higher enrollment.

Some of the offices currently housed in Parrish will shift to the Sproul Observatory. The Computer Science Department will move from its offices in that building to the new Science Center. The Sproul facilities will then be converted to office space for the Alumni Office; the Offices of News, Information, and Publicity; and Gift Records.

In summer 2000 the 28,300 square foot Michael L. Mullan Tennis Center, named in honor of Michael Mullan, professor of physical education and coach of Swarthmore's tennis program for more than 20 years, opened. The facility has three tennis courses for use by the college's men's and women's varsity teams as well as students faculty and staff. The center also has championship-caliber court surfaces, lighting and space; above-court viewing; and a 4,000 square foot fitness center available for use by all members of the College community.

The Clothier field, traditionally used primarily for football, was, following the termination of the football program, converted to an all-weather synthetic grass playing surface, which is used by the soccer, field hockey and lacrosse teams as well as by a number of different club and intramural sports. Additionally, a new 400 meter, eight lane track was installed around the field. The track and field complex was enhanced by the addition of lights for evening practices and competition, offering more flexibility in scheduling club sports, intramurals, and varsity events, as well as general recreational activities.

The Information Technology Services offices in Beardsley Hall were upgraded and public computing spaces were decentralized, from Beardsley, to several locations across campus.

Other new student spaces have been created across campus. In summer 2000 space in Tarble Hall was renovated to create a game room and the former game room, in the basement, has been converted to space for the student computing society. Also in 2000, a student operated art gallery was created in Sharples 3; this is a facility run by students and for students.

Finally, renovation to the first floor of McCabe library in summer 1999 made cosmetic improvements, reorganized spaces to create more space for students to work together, including in the main lobby, made the reference area more prominent and created a periodical reading area and coffee bar in a previously underused space.

III.A.6. Changes in Governance Structures

There have been some modifications to the governance structure to ensure that issues of importance are addressed in the college's planning activities. To that end, the Director of Human Resources position was elevated to the level of Associate Vice President and was made a member of the President's Staff; that position is held by Melanie Young. Lawrence Schall's position changed from Vice President for Facilities and Services to Vice President for Administration. Suzanne Welsh, formerly Treasurer of the College, became Vice President for Finance and Treasurer. Since the President's Staff is the venue for much of the ongoing planning and monitoring of campaign priorities, this reorganization keeps these important considerations—about human resources and facilities—on the table at all times. This also facilitates another goal which is to encourage better communication between administrative decision-making and staff. In addition, responsibility for admissions and financial aid, which formerly were separate, were integrated into one position, Dean of Admissions and Financial Aid, when James Bock assumed that position. Finally, earlier this year Barbara Mather was named Chair of the Board of Managers, replacing J. Lawrence Shane.

III.A.7. Changes in Institutional Research Capability

An Institutional Research (IR) Office was established at the College in 1999 with the hiring of an experienced IR professional to staff the function. While some of the responsibilities of the new IR Office covered areas that were previously undertaken in other parts of the College (e.g. IPEDS reporting, consortial data exchanges, etc.), the centralization of those activities into one office and the addition of other data collections, research, and reporting has resulted in a qualitatively very different approach to the use of information in decision-making.

One of the new activities undertaken by the IR office was to provide comprehensive information about the College to the College community, in the form of an annual *Fact Book*, a web page, study highlights, and other data-sharing activities. This improves the consistency and accuracy in external reporting and internal projects, both by the IR office and by other members of the College, who now have easy access to "official" information.

The *Swarthmore College Fact Book* is published annually and mailed to each department in the College. It summarizes data across many areas, including admissions, enrollment, graduation statistics, finance, library, faculty, staff, IT, and facilities. In addition, an on-line version of the *Fact Book* assures that the most up-to-date data is always available to the College community. The heaviest users of the *Fact Book* have been Admissions, the Registrar's Office, and Development.

Another useful data resource produced by IR is the Common Data Set. This compendium of institutional data is designed to address questions from the publishers of Admissions Guidebooks, but is made available to the community as well. It contains information on enrollment and persistence, admissions, financial aid, academic offerings and policies, student life, annual expenses, instructional faculty, and class size. The establishment of an IR office where the primary responsibility to responding to external requests is located has helped to ensure that the College provides consistent information across requests.

In addition to routine data collection and dissemination, IR coordinates much of the survey research that we conduct of our students, alumni, and parents. A busy schedule of survey research, often in conjunction with peer institutions, allows us to address topics of interest and concern at any time. Prior to the formation of an IR office, when surveys were undertaken their results were found in consortium reports that were focused on the consortium rather than on the College. Consultants were occasionally hired to summarize a particular survey, which helped some. But the advantage of having an IR office is that data from any particular survey can be mined to its fullest, survey data can be combined with institutional data, and data can even be combined across surveys. And any survey can be revisited at any time for further exploration as issues arise. The IR Director has instituted a feedback process so that administrative offices now receive longitudinal and comparative data on students' ratings of their areas. Presentations to President's Staff are made routinely. Feedback to faculty has been less consistent, depending on their interest and requests. This will soon be improved as we institute formal presentations to faculty. The value of survey research has been proven and is now appreciated across the College.

In addition to improving the quality and use of existing standard reporting and other institutional research, the IR Office supports standing and ad hoc committees. The IR Director provides staff support to the Faculty Advisory Committee on Admissions and Financial Aid, and the Financial Aid Working Group. Support is provided on an as needed basis to the Deans Advisory Committee, the Advisory Committee to Physical Education and Athletics, the Land Use Planning Committee, and the Council on Educational Policy. IR support is frequently sought by ad hoc committees as well, for example, the Staff Compensation Review Committee, the Expenditure Review Committee, and an ad hoc Board committee studying the image and visibility of the College have all relied upon IR support.

Finally, the IR office works on special projects to address needs across the College. Examples of some of the projects include: predicting college success using SAT scores and other factors; anticipated vs. actual majors; effects of financial aid packaging on yield; grades at the college versus elsewhere; employee satisfaction with Human Resource functions; factors affecting the retention and graduation of minority students; and salary comparisons of senior level staff with peers. (For this latter project, the IR Director actually conducts the study for 19 participating institutions.) Prior to the establishment of the IR office, such projects would have depended on the availability and willingness of (usually) a faculty member to undertake it, the ability of administrative offices to identify and make available the appropriate data, and possibly the assistance of Information Technology in combining information from across data systems into a format the faculty member could use. The IR office does this routinely and efficiently, and now the College expects and routinely uses institutional research in its planning and decision-making.

The College has traditionally engaged in a vigorous program of institutional survey research. Many, though not all, of the Swarthmore surveys are conducted with the coordination of COFHE on behalf of all COFHE institutions. This effort not only allows the College to learn a lot about the population being surveyed, but also to compare our findings with those at our peer institutions.

Although the College generally uses vendor or consortium coordinated survey instruments in our survey research, there is often the option of adding a few questions of our own to the end of the survey. The final set of questions is determined by the Institutional Research Advisory Group, composed of members of the President's Staff, based on College needs and priorities. A summary of the major surveys implemented by IR appears in Exhibit 1.

A final note with regard to state and federal reporting, and relationships with consortia such as HEDS (Higher Education Data Sharing Consortium), COFHE (Consortium on Financing Higher Education), and AICUP (Association of Independent Colleges and Universities of Pennsylvania), is that having an IR office has enhanced Swarthmore's reputation as an institution which meets deadlines, provides good data, and is a reliable and valuable participant in consortial studies.

III.A.8. Changes in Policies and Procedures

Over the last five years there have been a number of policy changes as well as some new policies that are still being developed. Two that are already in place and one under development are highlighted here.

Intellectual Property Policy: The College has now developed, and the Board of Managers has adopted, an Intellectual Property Policy, that is, a policy about rights to Intellectual Property (IP) *produced* at the College. (There was already a policy about proper *use* of IP produced by others, but for IP produced at the College - books, articles, reports, catalogs, patents, websites, electronic course materials - there was no policy, and by tradition everything produced by students or faculty belonged to them.) The opportunity to produce a policy from scratch during a period of rapid technology developments in IP allowed Swarthmore to go about this in a principled way, resulting in a policy enthusiastically embraced by almost all parties and which contains several new or unusual features. First, the concept of "functional or identity interest" was developed to determine whether a piece of IP should belong to the individual or the institution. Second, procedures for reporting and resolving debatable cases were developed. Among reportable cases are all cases where members of the different groups at the College (faculty, staff, and students) work together on a near equal basis, so that no group dominates any other. Third, mechanisms are now in place whereby the College can encourage creation of novel forms of IP when it so chooses; formerly the approach of the College was benign neglect, so items like patents that take considerable development effort were rarely pursued since individuals had to do it all themselves. The friendly, collegial nature of the policy, and its inclination to respect individuals by giving them most of the rights in many cases, is expected to help Swarthmore continue to attract topnotch faculty and staff.

General Business Practices: In reviewing our business policies and procedures in recognition of the tight budget environment, opportunities for achieving greater business efficiency have been identified and pursued. Enhanced use of web-based systems for Business and Human Resources functions has been achieved. Another major effort that reflects this shift is centralizing copier purchases. More work is being done in this area to identify other opportunities.

Electronic Privacy Policy: Although a final electronic privacy policy has not yet been adopted, work in this area is so important that it is included here for discussion in its current state. Two years ago an ad hoc committee was created to provide language for the *Faculty Handbook* on electronic privacy. This action was motivated by two concerns: first, the Patriot Act, which significantly expands powers of law enforcement agencies and, second, general concerns to protect privacy growing out of the ubiquitous use of computers, electronic records, and e-mail, among other electronic materials. Although the Faculty Handbook has a short section on confidentiality and privacy generally, it is rooted in concerns that predate the widespread use of computers. The Committee has worked through complex issues of law, good business practices, academic freedom, and the needs and concerns of diverse constituencies. It is expected that a report will be submitted to the Provost soon and will come to the faculty for consideration during the 2004-2005 academic year.

III.A.9. Changes in Financial Conditions

Since the last accreditation, the environment for higher education has become more challenging. The investment losses resulting from the stock market decline which began in 2000 created a difficult financial situation for endowed private institutions. Relative to others, Swarthmore managed with minimal disruption during this period and is well-positioned for the future. In this section, material is presented regarding Swarthmore's financial condition overall and the status of its ongoing capital campaign.

General Financial Conditions: Over the past five years, Swarthmore's revenue base has shown steady growth although this growth has been lower than in the decade of the 1990s. As can be seen in Exhibit 2, enrollment has been stable, and increases in student fees, while somewhat higher than inflation, have tracked those of other similar institutions (more detailed data relevant to this topic appears in Exhibits 10 and 11). Swarthmore's 2003-04 student charges are in the middle of its peer institutions (i.e., COFHE), as shown in Exhibit 3.

Swarthmore has maintained its need-blind financial aid policy and the corresponding policy of meeting the need of all admitted students. Over this period, as shown in Exhibit 4, below, the percentage of students on aid has remained consistently around 50 percent. Over the four years ended June 30, 2003, the average scholarship has increased slightly more than student charges. (More detailed data on financial aid can be found in Exhibit 12).

Unlike many institutions, Swarthmore has been fortunate to be able to increase the amount of support from the endowment for the budget each year. Swarthmore's ability to increase endowment support, despite two years of negative investment returns (in 2000-01 and 2001-02), was a result of the prudent, yet less common endowment spending methodology adopted by the Board of Managers in 1986. The typical endowment spending guideline adopted by most institutions pegs spending to a certain percentage of the average endowment market value. This "market-based" approach, however, may cause reductions in budget support during severe financial market downturns. Swarthmore's approach is a "growth-based" one. Each year endowment spending is increased by a certain percentage (i.e., inflation plus 1.5 percent). This

approach provides more stability for the budget, an important factor for an institution such as Swarthmore where support from the endowment is the largest source of revenue.

With the “growth-based” approach, the spending rate (i.e., endowment spending as a percent of endowment market value) will decline as the stock market provides high returns and will increase when the stock market drops. The objective is to keep the endowment spending rate within a prudent target range. In Swarthmore’s case, the target range is 3.75 percent to 4.75 percent. At the peak of the stock market, Swarthmore’s spending rate was below 3.75 percent. This low spending rate served the College well. Endowment spending has increased each year and the spending rate remains within the target range (e.g., it was 4.2 percent in 2002-03), despite the weak financial markets. The endowment spending rate since the last accreditation appears in Exhibit 5. (More detailed data on the endowment can be found in Exhibit 13.)

The endowment has now recovered and exceeded its previous high, after adjusting for gifts. At December 31, 2003, the endowment was almost \$1.1 billion. The Investment Committee of the Board of Managers has focused its efforts over the past several years on a major review of the endowment’s asset allocation. In December, 2003, the Board of Managers approved the new target asset allocation, shown in Exhibit 6.

The increased diversification into alternative assets (private equity, marketable alternatives, and real assets) will be implemented slowly over the next several years. The increased diversification is expected to enhance returns while reducing the volatility of returns. As a result, the probability of being able to sustain endowment spending during difficult times in the financial markets should be improved.

As the growth in resources has moderated, the College community has focused on identifying priorities, reallocating funds, and reducing costs where possible. As a result, Swarthmore has been able to maintain core programs, continue to meet the financial need of students, and provide competitive faculty and staff compensation. This has been possible because cost savings of \$1.5 million have been achieved and departmental budgets have been held constant, where possible, over the past three budget cycles. The cost savings have included the elimination of several vacant staff and administrative positions, reduced entertainment, and reduced funds for property purchase.

The College was able to complete several initiatives identified in the 1998-99 Planning Process over the past several years. A campus Compensation Review Committee recommended an increase in the College’s contribution to employee retirement plans from 7.5 percent to 10.0 percent of salaries. Three increases of 0.5 percent have been implemented to bring the contribution to 9.0 percent in 2004-05. The staff job classification system has been restructured. In addition, the minimum wage for all employees was raised to \$9.00 per hour. Lastly, the health insurance benefit has been restructured and the College was accepted into a buying consortium that could help alleviate cost pressures in this area in the future.

In conjunction with the capital projects noted above, the College completed a tax-exempt bond financing in 2001 and a refinancing in 2002. Both issues received AA+ and Aa1 ratings from Standard and Poor’s and Moody’s, respectively.

The period ahead remains challenging. With stable enrollment, limited pricing flexibility, and a less favorable investment climate, growth in revenues is expected to continue to be modest. Accommodating cost pressures and meeting priority needs will require continued attention to finding cost savings and efficiencies and reallocating funds from lower priority areas to core activities.

The work of the Board of Managers Expenditure Review Committee will prove useful in planning for the future. Established in early 2002, this Committee conducted a cost comparison study with six other institutions. With the results of this study, Swarthmore has been able to analyze its allocation of resources as compared with other small colleges. The Committee also examined longer-term financial models to quantify areas of budget pressure and began to identify areas to which the College might look for efficiency and reallocation of resources to higher priorities. Its work will be useful to budget development and resource allocation in the years ahead.

In conjunction with this Committee's work, one of Swarthmore's faculty members received a New Directions grant from the Mellon Foundation in 2002-03. His efforts provided in depth analysis of the allocation of resources in the academic areas, and the historical growth of Swarthmore's expenditures. This work will also aid in informing budget decision-making in the future.

The College Budget Committee will use the work of the Board Expenditure Review Committee and will work with the administration to identify areas to reduce costs and reallocate funds. The focus of the capital campaign will be to complete the fundraising for the priorities established in the last comprehensive planning process in 1998-99. Upon successful completion of the Campaign, the Board of Managers will begin a planning process for the years ahead.

Capital Campaign: A Campaign was undertaken in 1999 after a two year planning process. A two year "quiet phase" to raise a nucleus fund was followed by the launching of a five and one-half year public phase in September 2001. The Campaign is scheduled to conclude in December 2006 and the Campaign goal is \$230 million.

Campaign priorities were organized into two broad categories: academic program and faculty support, and community life and student support. A summary of campaign priorities appears as Appendix 1.

Key academic and faculty initiatives include a new science center, new faculty positions in selected disciplines, a faculty bridge fund, a more robust faculty sabbatical program, strengthening the Honors Program, the introduction of Film and Media Studies and Islamic studies, expanded student research, and investment in institutional technology.

Community life and student support objectives include the renovation of Parrish Hall, expanding the endowment support of student financial aid, construction of a new residence hall, a stronger athletic program, expansion of diversity initiatives, expansion of career services,

broadening of student internships in the nonprofit sector, and investment in staff development and diversity. The status of all of these initiatives is discussed throughout this report.

The College is seeking two kinds of funding. The first type is Annual Fund dollars that are spent in the year they are given. The cumulative goal for this over 7 ½ years is approximately \$30 million and the plan is to move from about \$3 million per year, at the start of the Campaign, to \$5 million a year at the end. The second type is gifts to the endowment; such gifts are added to the College's long-term holdings and are invested to provide growth in principal as well as spendable income. The initiatives listed above are being made possible by additions to the endowment totaling at least \$200 million.

The Campaign is being coordinated by the Development and Communications Committee of the Board of Managers. Tactical operation of the Campaign is being directed by the Campaign Leadership Committee comprising key leaders of the Board. Staffing of both committees is provided by the Vice President for Alumni, Development, and Public Relations who also directs the 55 person Advancement staff. A Principal Giving team works closely with the President to plan his work with prospects for the largest gifts. A Strategic Communications Committee coordinates communication about the College and especially the Campaign to alumni, parents and the general public.

At this time, the Campaign has raised a total of \$160 million and is ahead of schedule. There remains 2 years and 8 months to raise the remaining \$70 million. The Annual Fund is also ahead of schedule. Exhibits 7 and 8 illustrate the status of both of these efforts. Alumni participation in all giving, on an annual basis, is running well over 50 percent of the solicitable base. The Board of Managers has a record of 100 percent participation in the Annual Fund and in capital giving. Over half the amount raised so far has come from members of the Board of Managers. Over 65 percent of the alumni body has contributed to at least one objective including the Annual Fund during the life of the Campaign.

III.A.10. Enhancements of Tricollage Cooperation with Bryn Mawr and Haverford Colleges (Tricolleges)

Swarthmore has made substantial efforts, along with Haverford and Bryn Mawr Colleges, to take advantage of the three schools' geographical proximity and strengths through a range of Tricollage undertakings, some of which have been facilitated with funding from the Mellon Foundation. These range from faculty development to staff development to sharing library resources and are described below.

The Mellon Tricollage Forum is a consortium created by Bryn Mawr, Haverford, and Swarthmore Colleges to administer a jointly-held Andrew W. Mellon Foundation grant; it is designed to strengthen the roles of liberal arts faculty members in a changing world and throughout their changing careers. The Forum, which in 2004-2005 enters its final year under the current 4-year grant, provides a variety of faculty development activities designed to identify and address the work-life constraints faculty feel at different stages of their careers. Programs have provided opportunities for faculty from all three campuses and across the life span to meet

around issues of teaching, research (both within specific areas and more generally), institutional issues and governance, planning for career development, and approaching retirement.

Tricollege cooperation extends to staff development as well. Sharmaine LaMar, Swarthmore College's Equal Opportunity Officer, working in conjunction with Human Resources, assumed the role of Tricollege Training Coordinator and in that capacity has been instrumental in offering Tricollege programs for managerial training, development of organizational and time management skills, and, most recently, conflict resolution.

A focus of Tricollege activities continues to be the work of the libraries and information technology, separately and jointly. Issues addressed through these grants include the building of a collaborative research collection for the three colleges, articulating the role of the library on the liberal arts college campus, and improving the research skills of students, and strategies for achieving educational and financial efficiencies through technology. These are discussed more fully in Section IV.A on library assessment.

Looking to the future of Tricollege cooperation, discussions are underway regarding which components of the Faculty Forum might be continued by the Colleges as well as exploration of the feasibility of shared Tricollege teaching positions.

III.A.11. Changes to the Athletics Program

An important aspect of student life is the Athletics Program, which has undergone considerable change over the past 5 years. Changes and improvements to athletics facilities were discussed earlier in this report. Another very significant change was the decision to drop the football and wrestling programs and to strengthen other sports through a reallocation and expansion of resources and the decision to implement a process for ongoing assessment of the role of athletics in the Swarthmore College community.

The decision to drop the football program was a major event in the College's history and highlights important aspects of the decision-making process at Swarthmore. It is an excellent example of the kind of serious scrutiny that the College undertakes as the occasion demands. It was a long, multi-constituent process that recommended serious changes. These changes are being followed up with a continued review and assessment. The case of athletics is also a good example of the way in which information flows up to ensure that problems are recognized. In the case of athletics, one of the signals that there was a problem was that it was becoming impossible to support all of the College's athletic teams in the admissions process.

Much of the early assessment of the Athletics Program was conducted by the Athletic Review Committee (ARC), created by the Board of Managers in late 1999. Its charge was to conduct a comprehensive review of the College's intercollegiate athletic program and to make recommendations to strengthen it in ways consistent with Swarthmore's educational mission. The committee's membership included representatives of the faculty, administration and the Board, as well as captains of several varsity teams. To fulfill this charge, the committee explored the effects on both athletics and admissions at Swarthmore of the changing Division III athletic environment in which the teams participate. The input provided by the ARC informed

the decision making by the Board which ultimately led to significant changes in the Athletic Program.

There is now in place a regular program for reviewing and assessing the College's athletic program. The results of the first such assessment have recently been released. The committee responsible for this on-going assessment—the Advisory Committee on Physical Education and Athletics (ACPEA)-- will also make periodic reports to the Academic Affairs and Student Affairs Committees of the Board. This assessment is part of a broader set of policies approved by the Board in May 2001. It has been the responsibility of the Athletics Review Committee (ARC) of the Board to oversee the implementation of the policies; the ARC was recently disbanded as its functions were distributed to other standing committees, most prominently the ACPEA. It is also important to note that many students participate in sports in other ways, e.g., playing on club and intramural teams, where the experience might be compared to being on a junior-varsity team in the past. This aspect of the athletics program is still under study and will be integrated into the on-going evaluation process later. So too will an account of developments more recently, including the symposium on athletics at small liberal arts institutions that was organized at Swarthmore last spring.

Pursuant to the Board's decision was the appointment of a new Director of Athletics, Adam Hertz, and the hiring of six new full-time coaches, so that each of the College's varsity sports is led by someone who is at the College full-time, a change from past practice. Operating budgets, notably for recruiting, have been significantly increased. "Guidelines on Scheduling Conflicts Between Academics and Athletics" were developed through a collaborative process and were passed by the Faculty in May 2002.

III.B. Responses to the Evaluation Team Report

The focus of this section of the Periodic Review Report now shifts to changes made over the past 5 years which were prompted, at least in part, by recommendations or suggestions included in the Report of the evaluation team for the last Self-Study. As will be seen, the College has responded to many of the valuable suggestions made; in those cases in which no action was taken, the reasons are presented.

III.B.1. Improvements to the Advising Process

The evaluation team raised concerns, heard from students, faculty, and staff, that academic advising is insufficient during the first three semesters of a Swarthmore education. One proposal discussed at that time was to group all first-year students into First Year seminars, with the professor becoming the advisor for the seminar students until the point, in their fourth semesters, when they chose a major. Although a program of voluntary First Year Seminars is being implemented, advising is not tied to the seminar. Other changes, however, have been implemented that address the issues raised in 1999.

Since 1999 there have been several changes, both organizational and technological, to the advising process for students who have not yet declared a major. As before, students are assigned to faculty advisors; the changes relate to additional means by which students can get

advice as well as to changes in the process of registering for courses. Generally, assessment and review of all processes related to that period of academic advising have increased and improved. The Associate Dean for Academic Affairs, who oversees the advising process, and the Registrar, who oversees the registration process, meet after every major advising-oriented event or deadline to review and assess advising practices and procedures, general instructions, and forms. This regular review generally leads to some adjustment or change to address problems that have arisen. In this manner they have changed and improved the basic forms and procedures in use every semester.

The most visible of the many changes that have been made is implementation of the mass advising meeting the Registrar and the Associate Dean for Academic Advising have with first years during student orientation. The aim of this meeting is to improve new student advising and to make First Year Registration less stressful and confusing; student and faculty feedback suggests that this meeting is successful in meeting the stated goals.

Another significant change is the move to standardized timing of lotteries. All departmental lotteries of over-subscribed courses now occur at the same time, and for the new student Registration in August, all lotteries now occur in time for students to get the results and consider some options before new student Registration. The Registration meeting itself has changed; it used to have spots of crowded long lines coming from some departmental tables. The Registrar has worked with those departments and now the lines are minimized, mostly by shifting the decision-making that was taking place at the Registration meeting to the lottery/pre-registration process the day before.

The Student Academic Mentor (SAM) program has been expanded so that every new student has a SAM and gets peer advice prior to and at new student Registration and all during the first year. SAMs are upper class students trained to help first year students develop time-management and study skills, as well as the ability to access resources. The SAM peer advising, although not a substitute for good faculty advising, does provide another readily available source of information and advice.

Technologically, there have been several changes since 1999. The Registrar refines his office's website every year; it now includes extensive content specifically for first year students and first year registration, including the Dean's Guides to First Years, forms, calendars, a map of the floor plan of the Registration meeting, and information on lotteries. Further, all students can now easily access their academic records and registration online. Every semester, students and advisors get an easy to read, one-page report of how the student is progressing in fulfilling the College's degree requirements.

The Registrar now offers, for faculty advisors, more and better advising tools online, including an Advising Sheet which lists advisees' courses, degree requirements, and pre-registration information. As the suite of these password-protected tools has increased, the perceived usefulness and use of them has increased. They are now widely used by the faculty, many of whom have commented on how much the tools help in advising students.

The changes noted above clearly have improved the ease and efficiency of the registration and advising processes. A problem still remains that students in their first three semesters may be assigned to an advisor who is not the best fit as the student develops interests and begins to make plans for a major and, possibly a minor. Due to small class sizes and generally collegial relationships between students and faculty, what naturally occurs for many students is that they will turn to a professor with whom they feel comfortable, particularly in the discipline in which they intend to major, for informal advising. For most students this works well but there remains the problem of students who do not feel comfortable with this type of informal arrangement and also do not find that their assigned advisor is able to give them the advice that they need. This particular problem remains under study.

III.B.2. Support for Student Participation in Extracurricular Activities

Concern was expressed by the evaluation team that students did not feel able to participate in the range of extracurricular activities available to them at Swarthmore. A number of steps, some clearly identified by students, have been taken or are being planned to address this issue. To make it easier for students to take advantage of entertainment options in the area, a van service was established to transport students to and from Philadelphia on Friday and Saturday nights and to movie theaters in the area; this has been a great success and students report that they get off campus more often as a result of the service's availability.

Another area of some tension between students' desire to participate in activities and their commitment to their academic responsibilities arose with respect to athletics. To help students and faculty find balance in this area of conflicting commitments, the faculty, in spring 2002 endorsed "Guidelines on Scheduling Conflicts Between Academics and Athletics." This document offers guidelines for faculty with regard to scheduling obligations (such as examinations, rescheduled classes, and speakers) outside of class time and for students who find themselves with contests scheduled at the same time as their classes. As there is ongoing assessment of the athletics program, evidence on the extent to which such conflicts continue to arise or not should be available.

Students also reported that they greatly enjoy the opportunity to attend major public events, such as concerts by popular bands, performances by comedians, or general interest lectures and readings on campus. The problem is arranging these events, which can be very time consuming to plan and execute. To address this need, a new staff position will be located in the Dean's Office with the purpose of providing staff support for bringing these types of events to campus.

Finally, the Dean's Office recently sponsored student focus groups and the observation that heavy workloads make it difficult to participate in other activities continues to be expressed. Some of this may be unavoidable due to the wide range of available activities and the serious time commitment associated with students' academic programs. The Dean's Office, does, however, offer time management workshops and other types of supports that may help students better manage their time and be more able to participate in activities. Plans are being made to follow up on this perception about workload with further research and discussion.

III.B.3. Enhancements to Social Spaces for Students

The evaluators expressed concern about inadequate social spaces for students. The creation of new spaces through new construction and the reorganization of existing spaces, such as in the library and in Parrish (through renovation) have been discussed above. Students today have and in the near future will have many more spaces in which to congregate, ranging from the new Science Center coffee bar or the comfortable seating in the main lobby of the library to larger meeting areas in the new dormitory. Again, this expansion of social spaces has occurred in a planned but decentralized way; this decentralized model was deemed to work better with the College's existing facilities and other facility needs as well as with the integration of social and academic life characteristic of Swarthmore.

III.B.4. Enhancements to Student Services and Related Administrative Spaces

The evaluators also reported on mixed responses regarding campus satisfaction with the career planning and placement services. Effective career planning is vital to assuring that Swarthmore alumni embark on career paths that will fulfill their long-term aspirations. New endowment has provided additional staff support for alumni services, enhanced technology in career planning and placement, and new career networking programs, all of which will be housed in renovated space that will be included in the Parrish Hall project.

Career Planning and Placement is now known as the Office of Career Services and is directed by Nancy Burkett, who joined Swarthmore in 2003. The Career Services staff has been expanded and reorganized. The director is supported by two assistant directors, one specializing in Employer Relations and the other in Alumni Relations. A new career counselor position will be filled by summer 2004.

Career Service's new expanded office space will include 5 offices for counseling staff (Director, three Assistant Directors and one career counselor), a reception area, a larger career library (with a net gain of 50 square feet of library and computing space), a 259 square foot room for the six student workers and administrative assistant to share, a 291 square foot meeting and workshop room for employer information sessions and educational workshops, ample storage space, and two interview rooms. The new space will be located on the central corridor of Parrish Hall, along with other student spaces, emphasizing its importance in student life.

Career Services is undertaking a number of new initiatives this year that are aimed both at deepening and broadening the relationships that students develop with the Career Services function and staff. The office has articulated its mission as serving the needs of two primary groups of students at Swarthmore—those who are already focused, requiring support from Career Services as they move ahead with endeavors of their own design, and those who are uncertain regarding career direction. The focused group tends to reach out to Career Services but the undecided students need more outreach and cultivation. To deepen the relationship of both types of students with Career Services, a major initiative for 2003-2004 has been to engage students in career development early in their academic careers at Swarthmore, instilling a sense that "everyone goes to Career Services" and that using the Career Services office is a normal, expected part of their transition to college. Efforts to broaden the range of services offered

include providing more graduate school advising services, more outreach to alumni and employers, and more collaboration with academic departments.

III.B.5. Enhancements to Increase Diversity of the Faculty

The College has pursued several strategies to increase the diversity of the faculty. Continued participation in the Consortium for a Strong Minority Presence (CSMP) led to the hiring of a minority scholar in history during the 2003-2004 academic year; her contract enabled her to stay for another year but she accepted a tenure track offer elsewhere. She is being replaced by another minority scholar in history for the 2004-2005 academic year. The College also created a tenure line in order to convert the temporary position of a minority scholar, bringing expertise in Islamic studies. In a recent study of peer institutions Swarthmore's percentage of faculty who are African-American was above the median for study participants across broad discipline areas and over time. Our percentage of faculty who are Hispanic-American has generally (but not always) been above the median across disciplines and over time. For the most recent year used in the study (2001-02) that percentage is above the median in each discipline area. Faculty diversity between 1999 and 2004 can be seen in Exhibit 9.

III.B.6. Efforts to Balance the Effects of Frequent Faculty Leaves and Curricular Continuity

The expansion in the number of full year fully funded leaves that the College is able to offer is an asset but also imposes a cost on students in terms of disrupted curricular schedules. To adjust for this problem, greater efforts have been made to hire leave replacements on a multi-year basis when needs can be anticipated several years in advance. In the instances when a leave replacement is teaching in an area not normally covered in the department, this pattern has also allowed a department to gain several years of experience with the new topics or approaches. This could enable a department to determine if the change is something to incorporate into the curriculum on a longer-term basis. This multiyear contract approach is most helpful in long-term planning. There is still the option, exercised with some frequency, to rehire one-year leave replacements for a second year, thereby providing some consistency in terms of faculty for students to work with.

III.B.7. Clarification of Review and Tenure Processes

External evaluators passed along the perception they heard that criteria for tenure vary across departments. To ensure that all tenure track faculty have access to the same information at the College level, the Provost meets with new faculty to discuss evaluation and tenure processes. Although this is part of the orientation program for new faculty, other pre-tenure faculty are invited to come to hear this presentation even when they are not longer part of the orientation group in the hopes that this will provide more opportunities to understand the process and to ask questions that arise as the candidate becomes more familiar with the college and department. In addition, department chairs are instructed to share with all candidates for reappointment or tenure the provost's memo on assembling dossiers. The members of the Committee on Promotion and Tenure (CPT) also remain alert to this issue.

III.B.8. Enhancement of Institutional Support for Faculty Development as Teachers

The evaluators wrote of the importance of supporting faculty development as teachers. One obvious institutional response to this concern is the creation of a teaching and learning center. Although the College investigated, through a series of visits by a faculty member to other teaching and learning centers, the possibility of creating such a center, this idea was not pursued beyond the investigatory stage. Nor was the external evaluators' suggestion that Swarthmore consider implementation of a college-wide mentoring system for new and untenured faculty beyond the current informal efforts. And, finally, a system of reviews for senior faculty (already promoted to full professors) was discussed but not implemented. In this section the reasons why these options were not pursued in a formal manner and the relatively more informal ways in which the same needs get addressed are presented.

As noted above, following the external evaluators' suggestion that it would be fruitful for Swarthmore to consider ways in which to foster the faculty's development as teachers, a professor was selected to explore what a teaching and learning center might look like at Swarthmore, and visited other teaching and learning centers to collect information on how they operated, the extent to which faculty used them, and their success. Although it was obvious that there are substantial benefits from having such a center, in the end it was decided that it was not the best solution for Swarthmore. It was thought that it made more sense to build on the College's current infrastructure to meet much the same needs. Although these events do not arise from a common source—i.e., a center—there are many events that occur on campus that relate to teacher development. Some of the teaching development activities and programs that have occurred in recent years are described below.

Writing Workshops: Under the direction of Jill Gladstein, Director of the Writing Program, and in some cases in association with her counterparts at Bryn Mawr and Haverford Colleges, a series of workshops on writing have been offered. These workshops have addressed crafting effective writing assignments, evaluating student writing, helping students build effective arguments in their writing, and working on writing with students who have a learning disability. A highlight of the series was a symposium and workshop offered by Nancy Sommers, Sosland Director of Expository Writing at Harvard, who presented preliminary results from a 4-year longitudinal study conducted at Harvard. She presented examples of writing assignments that help students engage the course material more effectively and she led a discussion on how to give effective feedback on writing assignments. A full-day workshop, aimed primarily at faculty offering First Year Seminars and Writing courses, was held with panels devoted to strategies for incorporating writing in the classes and for stimulating discussion in the seminars. This series of writing workshops is expected to continue next year.

Faculty Lunches: Every Wednesday at Swarthmore the Provost provides a lunch at which faculty come to eat and to hear a presentation by a colleague; many of the presentations are about faculty research projects but others are about institutional issues at the college, and a growing number are about teaching. Teaching presentations in recent years have addressed innovative uses of technology in teaching, experience with incorporating community-based learning in courses, the experience of faculty across the curriculum with writing, and strategies

for helping students to avoid plagiarism. A series of teaching related faculty lunches is being scheduled for next year, built around the theme of ensuring that faculty remain fully informed about changes in technology, changes in pedagogy, and changes in the student body so as to ensure the faculty are teaching in a way that maximizes student learning.

The series will begin with a presentation by Robin Shores, the Director of Institutional Research on characteristics of and attitudes held by the College's student body. Dr. Shores has been instrumental in helping the college community to gain a richer understanding of who our students are and how they view their experience at Swarthmore. She will incorporate insights from survey research as well as from student focus groups sponsored by the Dean's Office during spring 2004. Another presentation as part of this series will focus on the results of a survey on technological literacy being undertaken by staff in the libraries and ITS. This is a Tricollege survey administered locally at each school but with overlapping set of questions. The objective is to give data to faculty about student technical ability. The plan is to execute it every year to determine the evolving pattern of change. Another likely session will present strategies for helping students to learn to express themselves more effectively in discussions and presentations.

Lang Center Course Development Grants: The Lang Center makes available funds for summer stipends and course releases, to enable faculty to create opportunities to incorporate community based learning, service learning, or civic education into new or existing courses. This program is still new but it is expected that opportunities for participating and interested faculty to talk about how best to accomplish these goals and to reflect on their experiences will be scheduled, both within existing structures (such as faculty lunches) but also at events sponsored by the Lang Center.

Natural Science and Engineering (NSE) Division Lunches: Concerns shared by a number of faculty in the Division of Natural Science and Engineering led to a series of lunches regarding the issue of retention of women and minority students and faculty in the sciences. Funded by the Hewlett Foundation, a group of faculty examined data provided by the Institutional Research Office regarding enrollment patterns and curricular expectations and attitudes at Swarthmore. Results of these analyses and discussions formed the foundation for a series of lunches sponsored by the Division of Natural Science and Engineering.

The first lunch reported on data on student attrition from the natural sciences, broken down by race and gender. The second lunch addressed the realities of dealing with strong students who come to Swarthmore relatively unprepared for success in their courses in the natural science division. Attendees separated into small groups to discuss these issues and then reported back to the full group. The third lunch addressed other reasons why students' attachment to the natural science division seems weak. Discussion focused on the factors that may make some students feel less welcomed and supported in the division and that may allow them to leave the major, typically for the social sciences, when they are earning decent, but not stellar, grades in their first few science course.

Although most of the events discussed in this section focus exclusively on teaching, others address the balance between teaching and research in a liberal arts setting which puts a

high value on both enterprises. To that end, the NSE division sponsored a workshop on new NSF funding initiatives to more collaborative projects. Part of the workshop focused on presenting these initiatives and exploring their implications for faculty at Swarthmore. Other speakers discussed the role of faculty research in a liberal arts setting and the conflicts inherent in maintaining a research program in a teaching intensive environment.

Mellon Tricollge Forum Sponsored Events: The Mellon Tricollge Forum sponsors events on a wide range of topics central to faculty lives, such as orientation for new faculty, and seminars on how to have a productive leave and how to plan for retirement. A number of the events over the life of the grant have focused on pedagogy. For example, in spring 2003 a workshop on pedagogy covered a wide range of issues, from how to lead discussions and how to use teaching evaluations to how to find the right balance between content and process based teaching within a syllabus; participants ranged from new to senior faculty.

Oversight Responsibility: Although this list gives a good sense of the richness of the offerings available for teaching development, it is also clear that having a decentralized system of generating these offerings leaves open the possibility that significant gaps will be remain unaddressed. To ensure that this does not happen beginning next year an informal procedure will be formalized. That is, the Associate Provost, in part through planning the faculty lunch programs and new faculty orientation, as well as through participation in the Mellon Tricollge Forum Steering Committee is already involved in a number of dimensions of teacher development. The Associate Provost will assume the additional responsibility of monitoring the teaching workshops offered across the college and will take the initiative to develop programs for areas or needs currently unaddressed.

The external evaluators proposed a number of other strategies, in addition to workshops, to address faculty development, especially within a world of changing technologies and changing composition of the student body. These strategies are support for pedagogically oriented leaves, college-wide mentoring systems, and a system of senior reviews.

Pedagogically Oriented Leaves: One strategy proposed by the external evaluators was the use of pedagogically oriented leaves. Although the majority of funded leaves are devoted to research, a small number of leaves, particularly those funded by the New Directions Grants have directly or in part focused on teaching. A pair of social scientists received a New Directions Grant to write a book on global public goods, a topic centrally relevant to a course that they team-teach entitled International Political Economy; the work done while on their leave has influenced the course. A recipient of a New Directions Grant for 2004-2005 intends to focus her work on developing strategies for incorporating community based learning into a wide range of types of courses; her project, therefore, addresses pedagogy not only in her own case but across the College.

College-Wide Mentoring: The visiting team also suggested the College explore a program of college-wide mentoring. Although Swarthmore does not have an institution-wide mentoring system, mentoring does go on in various settings and with differing degrees of informality. Some departments assign a relatively senior faculty member to mentor a pre-tenure faculty member through the years leading up to tenure. New faculty orientation consists of a

series of periodic lunch meetings with presentations on topics of interest to new faculty but there are also opportunities for casual discussion; new faculty are encouraged to consult the Associate Provost with questions of all types and they do. Mentoring may occur in other settings as well. The Mellon Tricollge Forum funded a group of women faculty of color with the intention in part of facilitating mentoring of younger faculty by more senior faculty in the Tricollge community. They found that interacting around mentoring issues as a group rather than one on one was effective and is a concept that could be further explored. These relatively informal and decentralized methods of providing mentoring may leave some faculty who desire mentoring unserved, but when the possibility of instituting a formal mentoring system is raised, it is generally not met with enthusiasm.

Reviews of Senior Faculty: The College has not implemented the kind of formal review of senior faculty recommended by the external evaluators. Information about senior faculty and their performance is communicated by department chairs to the President and Provost during annual meetings. The Provost plans to assign to the appropriate committee the task of considering the benefits and drawbacks of a system of senior faculty reviews in the near future.

III.B.9. Evaluation of Teaching and the Academic Program

Swarthmore continues to respect faculty and departmental autonomy in the evaluation of teaching except when institutional mechanisms become operative—i.e., at the time of reappointment, tenure, or promotion to full professor. The ways in which departments do evaluate teaching are discussed in Section IV as are some ideas for enhancements in this area.

III.B.10. Incorporation of Issues of Diversity and Social Ethics into the Academic Experience

Several years ago, the Council on Educational Policy discussed adding—and perhaps requiring as part of distribution requirements--curricular requirements surrounding issues of diversity. It was not brought to the faculty for a vote since members of the committee concluded that the College curriculum already successfully reflected attention to these issues. Both the faculty and the curriculum continue to grow more diverse so that it becomes harder for students not to encounter diversity in the normal course of their education. The diversity of the curriculum can be seen in the *College Catalog*. The increase in students' study abroad experiences, both in number and in types of programs reflected, also gives evidence to these values.

Course development funds offered by the Lang Center also address some of these issues, as faculty expand the number of courses that incorporate community-based learning elements and that address issues of civic responsibility. The Lang Center is expected to be a focus of work on social ethics and civic responsibility as is the newly reinvigorated Program in Peace and Conflict Studies. For example, these two groups have collaborated over the past year with Pendle Hill (a Quaker study center in Wallingford, PA) to present a series of 14 lectures and workshops as part of an projected called "Walking the Way of Peace: Peacebuilding in a Violent World."

One of the ways in which Swarthmore College has responded to the changing environment created by the increasing diversity of students and faculty is through the creation of a new position in the Dean's Office—Associate Dean for Multiculturalism. The need for this position grew out of recognition that learning about diversity, tolerance, and understanding involves more than simply bringing a diverse group of people together; it requires an intentional focus aimed at helping students become leaders of a multicultural world. Funds in this area were a priority in the capital campaign and new endowment allowed this position to be created and filled. New funds also enabled renovations to Clothier Hall that allow expanded use of the Intercultural Center. Endowment funds were also raised to support religious life on campus by providing financial support for two positions—an adviser to the Jewish student organization, RUACH, and an adviser to the Swarthmore Protestant Community.

There are also programs, not strictly part of the curriculum but very much a part of student life that encourage and develop social responsibility. Key among these is the College's Committee for Socially Responsible Investing. The committee, created in 1997, is chaired by Harvard University Business School professor emeritus Samuel L. Hayes '57, and includes students, college administrators, and members of Swarthmore's Board investment committee. It serves as an advisory committee to the Investment Committee of the Board of Managers. Its primary responsibility is making recommendations on voting shareholder resolutions in specific areas of interest (e.g., environmental and labor issues). Since the committee's inception, the College has voted on over 20 shareholder resolutions. In 2002, the College sponsored a shareholder resolution and in recent years has successfully used its position as a shareholder to effect change in corporate America. Swarthmore students recently joined the newly created Responsible Endowments Coalition, a group started by students, including Swarthmore students, at a number of colleges and universities promoting various forms of socially responsible investing by university endowment investments to urge companies to adopt progressive policies.

Students on their own, too, seek to pursue their social responsibility through activities outside of the curriculum, strictly defined, but clearly building on what they learn in class and from professors. Most recently, the Swarthmore Coalition for the Digital Commons, a student group, launched freeculture.org. The group was created in response to recent expansions in the application of intellectual property law; in the Swarthmore Coalition for the Digital Commons Manifesto 0.1 it defines its goal as “to defend free and open cultural space and protect public intellectual capital from privatization and exploitation.”

Finally, Swarthmore College is one of a group, along with the University of Pennsylvania and the Wallingford-Swarthmore School district, who are implementing a new program called the “Positive Psychology” Program (PPP) in the 9th grade Language Arts curriculum. The intervention is designed to nurture positive character development, positive emotion, and citizenship in high school students. The program involves the participation of several hundred students in the 9th grade in the local high school. During the summer prior to each academic year, language arts teachers will be trained in the positive psychology program. Each year, the 9th grade students for whom consent is given, will be randomly assigned to language arts classes that include or do not include the PPP.

The program's impact will be evaluated on a broad range of outcomes including students' character strengths, achievement and educational attainment, motivation, health and safety, emotional development, peer relationships, and civic engagement achievement. Outcomes will be evaluated from multiple perspectives (student, parent, and teacher) over a three-year follow-up period. The study is currently completing its first year in the classroom at Strath Haven High School. This project is funded under the Fund for the Improvement in Education (FIE): Partnerships in Character Education Program of the US Department of Education. Several current students or recent graduates have been employed by the grant and are expected to continue to be involved in this way.

The vitality of the curriculum and of student life in these areas has led Swarthmore College to feel that diversity requirements are not needed. The Dean of Multicultural Affairs plans to execute a diversity audit (described in Section IV.C below) during 2004-2005 and the results will be carefully scrutinized to see if they call for further action in the curricular or extracurricular life of the College surrounding issues of diversity and social ethics.

III.B.11. Changes in Interdisciplinary Programs

The external evaluators were concerned about the idiosyncratic use of the term "concentration" to describe a particular type of curricular element at Swarthmore. The college addressed this concern as part of a broader creation of minors and revision of rules regarding how many majors and minors a student can have. Concentrations are now called interdisciplinary programs, and they offer minors in both the course and the Honors Program. The College also changed the way that interdisciplinary minors fit within the curriculum by creating a minor in the course program. Minors had always existed in the Honors Program but were not an option in the course program. In May of 2000, the faculty voted to make course minors available to students with certain restrictions as to the number of majors and minors which a student could pursue. Most, but not all, departments chose to offer minors and all interdisciplinary programs offer minors.

III.B.12. Clarification of Information Technology and its Relationship to the Libraries, Swarthmore's Mission, and the Faculty

External evaluators encouraged Swarthmore to develop a vision of its goals for the library and for computing and encouraged more cooperation between these two entities. The desirability of near-term implementation of the master plan for the library was also stressed. Renovation of the library continues to be recognized as a need. As priorities for renovation and new building were established, however, it was felt that there were more urgent needs that needed to be addressed first, including the new Science Center, new dormitory, and the renovation of Parrish both to meet modern safety standards and to create new student spaces.

When it becomes appropriate, financially and institutionally, the College stands ready to move ahead with the library renovation. In 2002 the master plan for the library was completed, including renovation to the circulation area. The next phase of renovation will incorporate remodeling of the ground floor, while maintaining the existing building footprint.

Some of the renovation, although a more modest version than might have been expected, has occurred since the last Self-Study. In 1999, the first floor of the library was renovated, creating a current periodicals lounge in what had been underused space. The reference area was upgraded and enlarged ; these changes have made it more of a focal point for the library. Renovations included creation of group study and lounge areas. In the main lobby there is now additional seating, which is heavily used by students. This renovation, with the creation of amenities for students, helps to address the need for more student spaces.

Renovation has also been carried out on the Cornell Science Library, which is now incorporated as part of the Science Center project. The installation of compact shelving on the lower level has increased the amount of usable shelf space; more conversion may occur as needs arise. The reference function area was compressed and the additional available space was converted to additional study areas, providing more space for students seeking to do group work. In the summer of 2002 Cornell Library was made ADA compliant, with modifications made to the restrooms, telephones, water foundations, and reference area.

In recent years there has been enhanced collaboration between the Library and Information Technology Services staff. The Director of Academic Computing and the Head of Reference Services are collaborating, with their counterparts at Bryn Mawr and Haverford Colleges, on a project to assess the level and types of technology skills that students have; the results will be shared among the Library and ITS staff as well as with faculty. Library and ITS staff also work collaboratively on management of the very popular Blackboard course material management system on the Internet.

The evaluation team endorsed the fact that there was a faculty member serving as Associate Provost for Information Technology. In fact, this position no longer exists. When the term of the last Associate Provost for Information Technology (APIT) ended (in spring 2003), the College assessed how the position was working and decided that it was not the best use of faculty time (the position required a three course release and summer salary for the faculty member). The data collection aspects of the position (e.g., inventorying) were completed. Also, having a rotating faculty position to oversee two professionals (Librarian, IT Director) does not work well since the two professionals have more expertise than the APIT. At the same time, personnel changes resulted in a more harmonious relationship between these professionals and the central administration. The Provost prefers to employ an approach that identifies projects as needed, with appropriate faculty release time negotiated on a case-by-case basis.

The evaluation team also urged the College and the faculty to consider how to use technology to support Swarthmore's mission and to enhance teaching. Funding technology is a top priority for the administration and the Board, and with good relationships between technology professionals and the Vice President for Finance and between the Provost and Academic Computing professionals, planning can be effective. Support for this can be seen in the establishment of a capital budget for technology (discussed further in Section IV). To provide a foundation for further discussion on technology and curriculum, during the 2004-2005 academic year the Associate Provost will conduct a survey to determine how faculty are using technology in their teaching and to consider what enhancements or supports might be needed to foster the development of technology in teaching.

III.B.13. Enhanced Assessment of Administrative Functions

Assessment of administrative areas has been a major area of activity in the last 5 years. The areas which have received the most aggressive scrutiny are facilities management, human resources, and budgeting overall.

To assess the performance of the facilities area, the college contracted with Sightlines, LLC, a consulting firm that has developed analytical models that apply to physical assets the kinds of assessment analysis normally applied in the financial area. The consulting relationship helped facilities personnel at Swarthmore determine whether funds are being spent appropriately on deferred and ongoing maintenance. Sightlines helps its clients conduct an internal assessment and has worked with over 50 educational institutions, including Swarthmore peers.

The college had a number of goals in entering into this relationship. These were to inform discussion of how to continue the funding stream for the capital budget for upcoming projects, including renovation of laboratories and installing sprinklers in residence halls; to determine the optimal spending rate on facilities; and to assess the efficiency of facilities staffing in conducting day to day operations.

The motivation to engage Sightlines arose from the Expenditure Review Committee's work, which highlighted some areas that required further analysis to determine whether greater efficiencies could be achieved. As a subscriber to the Sightlines service, Swarthmore can generate reports allowing it to compare itself to other schools. Comparative measurements are available in four areas: asset reinvestment (e.g., backlog of maintenance, identification of priority issues); asset consumption (e.g., space and program reinvestment need, envelope and mechanical reinvestment need); operating effectiveness (e.g., work order production; maintenance, custodial, and grounds staffing; energy cost and consumption); and service (e.g., facility inspection, customer satisfaction).

Preparing for the report helped the Facilities staff identify anomalies in how the function works and to make changes as appropriate. The benchmarking provided by the study enabled Facilities personnel to identify areas in which reorganization is useful. Finally, data gathered for this study may serve a useful function in establishing baselines for the next capital campaign. Thus this has been effective as a benchmarking as well as a planning tool. Guidelines were derived from the findings, highlighting future needs in terms of facilities spending.

Benchmarking and assessment in the Human Resources area has also been very active. The motivation to pursue assessment in this area arose in part from a general sense of the need to figure out how Swarthmore was doing in this area but also from a concern, recognized internally, but also voiced by the evaluation team that the staff represented the segment of the college community least satisfied with its role. Human resources assessment is discussed below as part of a broader discussion about the changes in compensation, job classification, and other undertakings.

Finally, as discussed in the section on “Changes in Financial Conditions” above, there is continual assessment of the College’s financial position in general, on investment strategies and endowment spending rate, and in development of the budget and budget priorities. The work of the Expenditure Review Committee provided important insights into patterns of spending in comparison to other small colleges. The annual process by which the budget is set, described in more detail in Section IV below, generates an ongoing assessment of budget needs, patterns, and priorities.

The external evaluators suggested that Swarthmore consider resource allocation methods other than incremental budgeting. One such alternative, of course, is “zero-base budgeting.” The only time this approach has been used is when the Board Expenditure Review Committee had discussions with each member of the President’s Staff on their areas of responsibility. Each area was reviewed compared with other institutions on levels of staff as well as dollars. In addition, each President’s Staff member has been asked to identify what could be cut in their areas. These efforts were helpful thus far in capturing savings and will continue to be going forward. The College’s budget process, while not adopting a formal zero-based budgeting strategy, has become more focused on finding efficiencies and cost reduction decisions. These are increasingly responsive to priorities and very few “across the board” decisions are made.

III.B.14. Review of the Existing Staff Structures and Compensation

Melanie Young was hired as Associate Vice President for Human Resources (HR) in April 2000, after a national search with a job description that was vastly changed; the newly defined characteristics of a successful HR candidate were developed with the help of a consultant. Significantly, the HR director position was raised to the Associate Vice President level and became a member of the President’s Staff, reporting directly to the President of the College (not to the Vice President for Finance, as was previously the case). The consultant also assisted in defining HR priorities which culminated in a long list of projects, all of which have been addressed in the intervening period. The list includes review and revamping of the classification/wage and salary system, more effective recruitment, preparation of a new employee handbook, review of the structure of the Human Resources Department, review of the employee tuition reimbursement program for competitiveness, and enhanced training and development. At a more general level, there was concern about staff dissatisfaction overall; improvement of this situation was identified as another goal. Over the last five years all of these targets seem to have been met and some of the steps taken are reviewed below.

Staff Compensation Review: The Staff Compensation Review Steering Committee (CRC) was formed in the spring of 2001 at the request of President Al Bloom. The Committee’s task was to provide a thorough review of staff compensation practices at Swarthmore College, to gather input from the entire community, and to recommend a compensation philosophy and system that meets the needs of the College and its employees. The philosophy developed by the committee and endorsed by the community stresses that the College’s compensation system must support the hiring and retention of excellent employees, who can contribute in meaningful ways to the mission of the College. The compensation system should also be fair and non-discriminatory, and easy to administer. Additionally, in recognition of the fact that it is the combined efforts of all employed by the College, faculty and staff, that allows Swarthmore to

maintain its pre-eminent position, the compensation goals for faculty and staff should be comparable.

Finally, the College's deep sense of social and ethical concern calls for incorporating into the compensation philosophy a commitment to devote additional resources to those staff members who work in the College's lowest paying jobs. This led to implementation of a College minimum wage of \$9. To be more competitive with peer institutions the decision to increase the College's retirement contribution was made; the next increase, to begin in July 2004, will bring the contribution to 9 percent.

The pay structure, which was in need of updating, was found to be poorly understood and to be inconsistent with the College culture. In fall 2002, 75 staff, faculty, and students participated in focus groups, facilitated by a consultant and the Institutional Research Office, which identified and established priorities for new job factors. The Compensation Review Committee used this input to inform their development of a new Job Evaluation Questionnaire (JEQ) which was used to collect information from employees and supervisors across campus. The JEQ results were combined with a market analysis (employing regional, national, and educational market data) to create a new grade structure, currently being implemented.

The reaction to the new compensation structure has been positive, both with regard to the outcome but also to the process employed to reach that outcome. This new system was developed with a high degree of employee involvement—both in terms of offering input and being informed as the process was underway. The new system has fewer structures and grades, making it easier to understand, but classifications are based on more factors than was previously true, generating greater accuracy in classification. The committee is currently conducting the final aspect of the compensation review which is to study pay practices and to make recommendations regarding 5-year adjustments, the role of merit pay, inflationary adjustments, and variable pay.

A number of other modifications or new developments in the HR area are reviewed below.

Management and Supervisory Training: A range of training and development options for staff has been offered under the joint supervision of Sharmaine Lamar, Equal Opportunity Officer, and Human Resources. Some of these are offered solely for Swarthmore employees and others are offered jointly with Bryn Mawr and Haverford Colleges. They include management development, a three-part time- management series, skills development for administrative assistants, retirement and investment counseling, staff tuition reimbursement, and a wide range of wellness activities and presentations ranging from nutrition to stress management to exercise classes.

Reviewing Educational Assistance for Competitiveness: This is a difficult problem for Swarthmore which, while comparable in this area to other undergraduate Colleges, compares unfavorably to larger educational institutions. Such institutions can provide educational opportunities by allowing employees to take classes at their own institution. The small size of Swarthmore classes and the nature of a liberal arts curriculum focused on undergraduates makes this a less desirable option but paying for tuition at other institutions is costly for a small College. Modest increases in the reimbursement rate have been made and efforts are being made, through the development campaign, to find external funds to allow expansion of tuition for employees.

Restructuring the Human Resources Staff: Some changes in the structure of the human resources staff have been made. The former Benefits Manager position was combined with Compensation so that there is now a Director of Compensation and Benefits. Another position that was formerly dedicated only part-time to benefits is now a full-time benefits position. A new position for data entry was added as required by the new administrative data system. One of the benefits of the restructuring is to allow more staff time to be devoted to assistance in recruitment; for example, managers can receive training in effective interviewing techniques.

Addressing Staff Dissatisfaction: A final, and very important issue to be addressed was concern about staff dissatisfaction. This seems to be much less of a problem now than was true in the past. Some of the improvement comes from the tangible changes that have been made, as discussed above. Other steps have been taken to address this concern, particularly by creating a more steady flow of information about staff issues, especially compensation. A particular aspect of staff dissatisfaction revolved around the perception of being outside of the decision making and communication loops on campus. The solution proposed was to create two councils of staff, professional staff and hourly staff, the former known as the Administrative Advisory Council (AAC) and the latter as the Staff Advisory Council (SAC). The first consists of manager level staff and the membership of the latter is elected to represent campus circles, according to location on campus. They hold occasional joint meetings and sometimes invite a President's Staff member to a meeting on a particular topic or to debrief on, for example, a Board of Managers meeting. SAC has often met to react in advance to new policy ideas or to suggest new ones and has arranged all-staff meetings for communication of information about, for example, the College's financial condition, possible changes to the benefits package, and the work of the Compensation Review Committee. The enhanced flow of information and greater openness in deliberations appears to have led to substantial improvements in the relationships between staff and Human Resources. As part of this effort, too, the staff handbook was revised and updated. They were distributed in department meetings so that HR staff could be sure that all College staff are aware of policies and procedures.

The sections above give an overview of the major changes that have occurred at the College since the last Self-Study. Some of these changes were prompted by recommendations offered by the external evaluators and others were identified by the College planning process as priorities. The focus now turns the relationship between institutional self-study and planning, with emphasis on current and planned future assessment activities.

IV: Evidence of Continuous Institutional Self-Study and Planning

In this section, the College's assessment plan is presented and discussed. Assessment of the academic and administrative sides of the College are covered. The ways in which assessment is related to College planning and decision making is then presented, followed by plans for enhancing outcomes assessment in the next five years.

IV.A. The Current Plan for Outcomes Assessment

Assessment occurs at many different levels in a variety of ways at Swarthmore. In some cases, it is initiated and conducted by the same entity (e.g., CEP's work on the need to change distribution requirements), in others needs identified by one group are studied by another (e.g., studies identified as needed by the Financial Aid Working Group and conducted by the Office of Institutional Research). This flexibility is characteristic of both academic and administrative assessment, as is described more fully in the following two sections.

IV.A.1. Assessment of the Academic Program

Swarthmore's academic assessment continues to be active and constant and is characterized by a high degree of flexibility and decentralization. As a small school, faculty get to know students very well by teaching them in multiple classes, working in small seminars, developing an ongoing advising relationship, and conducting joint research. A relatively non-hierarchical structure means that there is continuous and candid conversation that ensures that faculty have a good sense of what students are learning and how effectively they are being taught.

A number of the College's assessment activities are relatively new and have either been instituted or expanded since the last Self-Study. Discussion of some of these undertakings was included in Section III, as part of a update on changes and responses to the evaluation team report. Rather than repeat the information presented above as part of that description of new programs and responses, reference will be made, as appropriate, in the following sections to the location of the material in Section III.

Regular, ongoing assessment by departments is supplemented by episodic assessment activities typically tied to a particular concern or question. Often, these types of assessment activities are not mandated by the President's Staff but begin at the level of the individual instructor, department, division, or committee. One example of this type of undertaking is the work being done this year by the Council on Educational Policy (CEP) which involved discussions by CEP members with chairs of every department and interdisciplinary program about how faculty resources are used. They also worked with the Provost's Office to get detailed historical data about teaching assignments and releases across departments. They will use this body of information as the foundation for development of guidelines for course releases for administrative work (e.g., for being department or program chair), for course credit for team-taught courses, and for supervision of independent student work (e.g., supervision of a thesis). This project arose as part of an effort to reduce or control budgets across the College;

consideration of how best to deploy faculty teaching credits required collection of comprehensive data about how teaching credits are currently used. It also arose out of a sense that it is useful periodically to look at our practices to be sure that they are working well. The guidelines that come out of this process will be used by the Provost to ensure equity and efficiency in the allocation of teaching resources.

Another good example of this type of episodic assessment is the instance discussed earlier regarding the ways in which students meet their distribution requirements and, in particular, the extent to which non-science majors were limited in the types of science courses they took. This project arose out of a concern shared by some faculty members that students were taking the minimum amount of science to fulfill the distribution requirements and that they often met this requirement without taking a course with a significant laboratory component, which the scientists agreed was a deficiency. The results of this research led to development of a proposal, described more fully above, to require that students include among their science distribution courses one with a significant laboratory component; this proposal was endorsed by the faculty at large and has become a requirement for all students.

The assessment of departments, interdisciplinary programs, distribution and graduation requirements, and other aspects of the academic program are not currently part of a written plan. Rather, each unit works fairly independently in determining its assessment needs and then communicates what they find through regular meetings with the Provost. Preparation of this PRR and its associated cataloging of all the types of assessment of the administrative and academic sides of the College will provide a foundation upon which a more formal written set of assessment guidelines can be developed; our ideas for beginning work on this task are described more fully in Section IV.C below in which we discuss our assessment plans for the next five years.

In the following sections assessment is discussed at the level of students, departments and interdisciplinary programs, faculty and their activities, and other areas of the academic program.

Student Assessment: Assessment of student learning and student outcomes is a joint effort of the faculty, student services, and IR. Assessment of student learning occurs, of course, throughout the student's time at Swarthmore but culminates in a capstone experience. Below are reviewed the two different types of culminating experiences for Swarthmore students: participation in the Honors Program and departmental comprehensives.

The Honors Program, initiated in 1922 by President Frank Aydelotte and modified most recently in 1994, is a distinctive part of Swarthmore's educational life. The Honors Program has as its main ingredient student independence and responsibility in shaping the educational experience; collegial relationships between students and faculty; peer learning; opportunity for reflection on, and integration of, specific preparations; and evaluation by external examiners. Honors work may be carried out in the full range of curricular options, including studio and performing arts, study abroad, and community-based learning.

Students and their professors work in collegial fashion as honors candidates prepare for evaluation by external examiners from other academic institutions and the professional world.

Although Swarthmore faculty grade most of the specific preparations, the awarding of honorifics on a student's diploma is solely based on the evaluation of the external examiners.

Preparations for honors are defined by each department or program and include seminars, theses, independent projects in research as well as in studio and performing arts, and specially designated pairs of courses. In addition, many departments offer their own format for senior honors study, designed to enhance, and where appropriate integrate, the preparations in both major and minor.

Each honors candidate's program includes three preparations for external examination in a major and one in a minor, or four preparations in a special or interdisciplinary major. Students offering three preparations in a major or four preparations in a special or interdisciplinary major are exempted from comprehensive exams in those majors. A student who chooses an honors major plus minor may have a second major outside of honors if that second major is the same as the honors minor.

Honors Program preparations for both majors and minors are defined by each department, program, and interdisciplinary major that sponsors a major. In addition, minors may be defined by any department or program, including interdisciplinary programs.

All preparations are graded by Swarthmore instructors with the exception of theses and other original work. Grades for these and other similar projects are given by external examiners. Except in the case of theses or other original work, modes of assessment by the external examiners include written exams and/or other written assignments completed in the spring of the senior year. In addition, during honors week at the end of the senior year, every honors candidate meets on campus with external evaluators for an oral examination of each preparation. Specific formats for preparations and for senior honors study are available at each department office.

All majors are required to have a culminating exercise or comprehensive exam. Departments address this requirement in a variety of ways, ranging from a written examination that tests mastery of material to theses to oral presentations on selected topics. These exercises, which provide departments with feedback on how well students have learned the content and skills demanded of a major in that department may prompt the department to revise its curriculum. Culminating exercises are optional for course minors, including those offered by interdisciplinary programs.

In addition to the assessments directly related to students' academic programs as noted above, assessment of other types of student outcomes also occur, some of which have already been noted, including documentation of the success of students applying to medical and other health sciences programs, and student outcomes with respect to other types of graduate education.

Assessment of Academic Departments: Assessment of departmental majors varies across majors and incorporates a wide range of activities. Although departments collect information through a number of formal mechanisms such as course evaluations and the extensive

assessment involved in third-year reviews, tenure, and promotion dossiers, it is also the case that this formal activity is complemented to a substantial degree by informal indicators of performance culled through ongoing conversations with students in courses. Many students study with the same professor more than once, engage in collaborative research projects or in more informal settings, such as during seminar breaks or at departmental events. Reflection and analysis are so deeply ingrained in the Swarthmore culture, that much of this informal as well as the formal information ends up being shared and analyzed at the departmental level and also at the divisional and College level. Such assessment information can be communicated at annual meetings between department chairs and the President and Provost or as part of the reappointment, tenure, and promotion process; communication of this type of information is not limited to these opportunities.

This section considers the range of options pursued by departments as part of their self-assessment; not all departments engage in all of these activities but this section provides a sense of the range of activities.

At the level of the individual course or seminar, professors assess students and their own success through examinations, writing assignments, and course evaluations. There are no specific requirements regarding examinations although some courses have requirements regarding amounts of writing and the types of writing related activities that should be included. These courses were formerly called Primary Distribution Courses but have been replaced by a related but different type of course called a Writing (referred to as a “W”) course. These W courses, which will first be offered during the 2004-2005 academic year, will be assessed through a survey instrument currently being designed by the Curriculum Committee. Course evaluations are given at the discretion of the faculty member in most cases; a small number of departments require that faculty conduct evaluations but in no case is there a standard form nor is there a college requirement that they be conducted nor that they be shared with anyone outside of the department chair (and in most cases, not even with the department chair).

Although there is no regular schedule for external departmental reviews, the Provost does authorize reviews when it appears the department needs to do a serious review of its curriculum, staffing, or its operations, particularly at a point when there will be changes in staffing due to retirements, opening up the opportunity for change. More commonly, departments, perhaps at a retreat on or off campus, consider whether the curricular structure is effective, whether changes in course offerings or staffing are needed, and the like. These sessions sometimes lead to conversations with the Provost about the need for new staffing in certain areas within a department although they may also help to illuminate other gaps in the curriculum, including those that span boundaries, which lead to new areas of expansion; recent examples include Islamic studies and Film and Media Studies.

Some departments also often collect assessment data from students as the students are leaving Swarthmore (through, for example, departmental exit questionnaires or meetings with honors students) or after they become alumni (again, through questionnaires). In the cases of the Department of Engineering and the Department of Educational Studies, more formal assessments are required by their specific accrediting bodies.

Assessment of Interdisciplinary Programs: According to legislation passed by the faculty in 1995-1996, all interdisciplinary programs must be reviewed for renewal on a regular basis; the normal renewal is for five years but a program may be renewed for a shorter period if the committee feels that circumstances warrant this. The criteria for creation or renewal of an interdisciplinary program include an intellectual rationale for its presence in an undergraduate education in general and in particular at Swarthmore; evidence of substantial faculty and student interest; and evidence of departmental willingness and ability to offer the necessary courses in the coming five years.

A request for renewal of an interdisciplinary program normally includes at least the following items: a rationale for the renewal, evaluation letters from faculty and students involved in the program, letters from chairs of related departments, primary data about participation of students (number of graduates), and faculty (number teaching courses), and number of courses offered; and a summary of budgetary needs and the recent availability of funds to meet those needs. The renewal reports are reviewed by the Curriculum Committee, whose membership includes the Provost, the three Division Chairs and the representative of the Interdisciplinary Programs, the Associate Dean for Academic Affairs, the Registrar, and two students. The renewal review process is coordinated by the Associate Provost.

The review also provides an opportunity for the interdisciplinary program's faculty oversight committee to reflect on the goals it might have for the future, the obstacles that might arise as they attempt to meet those goals, and the types of support that would be needed to achieve the goals. Since the faculty passed legislation authorizing minors outside the Honors Program, interdisciplinary minors also report on the impact this new structure is having on the interdisciplinary program as a whole.

Assessment of the Faculty: One of the most comprehensive college wide assessment activities is the process by which faculty are evaluated for contract renewal (in the third year for tenure track positions), tenure, and promotion to full professor. The College has not adopted the proposal made at the time of the last Self-Study to establish a program of senior reviews, although such a program may be considered in the future. Many departments that hire non-tenure track faculty, perhaps on a continuing basis (such as dance or art) conduct careful evaluation of these visitors before determining to continue their relationship.

Faculty are accountable for reporting on what they accomplished while on sabbatical leave. In addition to a written report to the Provost, faculty who receive full-year financial support from the College are required to do a presentation to their faculty colleagues. All faculty also submit an up-to-date CV each year which is copied to the Provost in advance of the annual meeting between each department chair and the President and the Provost. This meeting provides another opportunity for discussion of faculty development and departmental issues. Obviously, more pressing issues do not need to wait for the annual meeting but it does provide a focal point for reporting on each faculty member's activities over the previous year. The library prepares a faculty bibliography, which also provides information about faculty research activities. (A cumulative and a current faculty bibliography appear as Appendixes 5 and 6.)

The following section reviews other types of ongoing assessments tied to the library, as well as assessments tied to particular issues, such as assessment of distribution requirements and the allocation of faculty teaching credits.

Assessment of the Honors Program: The Honors Program offers an opportunity for faculty to obtain valuable feedback on student outcomes and on their own teaching from external examiners. Faculty spend considerable time with their outside examiners when the examiners come to campus to conduct oral examinations and to decide on honors evaluations and many faculty take advantage of this opportunity to learn about how their teaching, seminar design, and student performance is evaluated by an intellectual colleague from outside of the College.

Considerable effort is also devoting to evaluating the Honors Program itself. Built into the 1994 reform of the Honors Program was a plan for assessment. The Honors Coordinator, a faculty member, is responsible for administering the program as well as for evaluation. Data are collected on a regular basis regarding honors participation and outcomes across the College and departmentally and on modes of examination (the Honors Program allows for variations in the form of honors preparation and evaluation across departments and programs). All students in the honors program are asked to fill out an evaluation form each year; faculty and external examiners are asked to complete evaluation forms periodically. A full assessment is scheduled to be conducted every ten years; the first of these full assessments, *The Five-Year Honors Evaluation Report: 1997-2001* appears as Appendix 7.

Assessment of Distribution Requirements: In spring 2003, the faculty voted several modifications to the curriculum and to the distribution requirements for graduation. The changes will be phased in over a number of years, but some of the changes are effective immediately and may affect choices students in class years 2005 through 2007 make about courses they take and how to meet requirements.

These changes grew out of careful assessment of the program for the first two years in general and of the Primary Distribution Courses in particular. In 1998-1999 CEP reviewed the distribution requirements and recommended replacing PDCs with a less complicated requirement and with writing intensive courses. In 1999-2000, in response to faculty input, CEP recommended that faculty develop trial writing intensive courses. In 2000-2001, CEP investigated the effectiveness of PDCs through faculty discussion at the division level and student focus groups. The following year CEP surveyed departments about PDCs and considered the possibility of instituting First Year Seminars. In 2002-2003, CEP endorsed a proposal from the Division of Natural Sciences and Engineering to include a laboratory component as a part of its divisional requirements and the Writing Program Task Force provided CEP with recommendations on the development of writing courses across the curriculum. The faculty endorsed the proposal presented by CEP to change the program for the first two years.

The implementation phase of these changes began in 2003-2004 when the Curriculum Committee reviewed and approved proposals to designate courses as writing courses. A workshop was offered on teaching writing and fostering discussion in First Year Seminars. As of late spring 2004, 80 courses, spanning offerings from all three divisions, have been approved as writing course. In addition, 27 first year seminars are scheduled for fall 2004. The science laboratory requirement will go into effect for the classes of 2008 and beyond.

In 2004-2005 assessment of writing courses and First Year Seminars will be initiated. The writing courses will be assessed using an instrument currently being prepared by the Director of the Writing Program in consultation with the division chairs. It will be administered at the end of each writing course and used to evaluate whether these courses are meeting the College's goals for writing. First year seminars will be assessed with respect to their effect on student learning; the results will inform the future consideration of whether to make the First Year Seminar program mandatory for all students.

Assessment of the Allocation of Teaching Credits: As described earlier, during the 2003-2004 academic year the Council on Educational Policy undertook a data collection effort focused on the allocation of teaching credits. Representatives of the committee spoke with chairs of every department and interdisciplinary program to account for all teaching credits and to collect information on class sizes, team-teaching, and course releases for administrative work within the department or interdisciplinary minor. These data, combined with data from the Provost's Office and data collected separately on faculty course releases for non-departmental administrative work (e.g., serving as Foreign Study Advisor, Associate Provost, or Associate Dean for Academic Affairs), presents a complete picture of the allocation of teaching credits and enables comparison across departments and divisions of how teaching credits are employed. CEP is using these data as the basis for developing guidelines on course releases for departmental administrative work, on teaching credit associated with team teaching, and other areas to ensure consistency across the College and to ensure efficient use of resources.

Assessment of the Library: The Library undertakes both regular and occasional assessment activities. The Swarthmore College libraries have conducted a number of studies over the past five years to assess use of the collections, user research behavior, and the collections themselves. Other statistics reflecting use and expenditures are collected annually. These data are part of annual surveys done by the Oberlin Group of Liberal Arts College libraries, as well as the biennial National Center for Education Statistics (NCES) survey and are monitored on an ongoing basis.

The Tripod (Tricollege) system tracks data by type of borrower, type of material, and status of material (e.g., reserve readings). Information is also collected on the number of requests from different categories of users for materials at the Tricolleges or through EZ-Borrow (Pennsylvania academic libraries system) or through traditional interlibrary loan. The Tripod system also enables analysis of data on use by specific segments of the collection; e.g., by year of publication or by specific subject area. Detailed information on the use of electronic resources is also available; data available include the numbers of searches and, if the resource is in full text, the number of downloads or views of PDF files. This information is also available for electronic reserves accessed through the Blackboard system.

In addition to routine data collection and monitoring, in recent years a number of surveys and focus groups have been conducted to collect information that can be used for assessment. In spring 1999 the Tricollege libraries conducted a Circulation and Facility Satisfaction Survey in which students were asked to evaluate libraries, physical facilities, resources and staff support and to offer suggestions for improvement. In the same year focus groups were held with students to elicit information about students' research strategies, use of library resources, experience with library instruction at Swarthmore, and experience with the reference librarians.

More recently, in Spring 2002, with financial support from a Mellon Planning Grant, a consultant facilitated focus groups with faculty and students on the Tricollege campuses. The purpose of these discussions was to elicit information about how faculty and students use both the physical and online collections in the Tricollege libraries. In Spring 2003, as part of the collaborative collection development work funded by a grant from the Mellon Foundation, faculty at all three colleges were surveyed to determine the value they place on the “localness” of collections for research, course preparation, and student use.

Currently under design by ITS and Library staff in the Tricollege community is a survey, which will be distributed to a sample of students. This survey will measure the students’ knowledge, expertise, and satisfaction with various information technology and library-related services and tools. Areas to be surveyed include, for example, how students most prefer to acquire new technology skills, and what skills they use for personal versus course-related work. The survey will be distributed on an annual basis.

Grants Assessment: Assessment activities are central to some of the major grants supporting faculty and students; briefly reviewed below are assessments conducted as part of the Howard Hughes Medical Institute (HHMI) Undergraduate Science Education Awards and the Mellon Tricollege Forum. The HHMI coordinator contacts graduating seniors who received HHMI funding while at Swarthmore to collect information on students’ plans for further education or employment, receipt of additional awards or fellowships, data on publications or presentations (based on their grant supported research). Last summer, she contacted students who had received grants within the past 10 years to determine what the graduates were currently doing. In addition, she collects information on Swarthmore faculty publications coauthored with student HHMI grant awardees.

The Mellon Tricollege Forum Steering Committee produces an annual report at the end of each year; the third report will be available shortly. These reports include summaries of each event presented during that academic year as well as event evaluations based on responses to questionnaires distributed to all attendees after each event. The committee uses these assessment materials as a significant input into the design of the next year’s programming. During the 2004-2005 academic year, the final year of the grant, a comprehensive assessment will be conducted by surveying faculty participants from the three colleges. The results of this assessment will be reported to the Mellon Foundation and will be used to guide decision making by the three colleges as to which events to continue to offer after the grant ends.

An example of an institutional change at Swarthmore that grew out of reflection on Faculty Forum activities is the creation of a new title for which retired faculty members are eligible: Senior Research Scholar. Many members of the faculty continue with their professional research and writing, or with other creative projects after they retire from teaching. This new title responds to the perception of some that their opportunities are sometimes limited by their status as retirees; creation of this new title reflects the College’s wish to facilitate faculty endeavors whenever possible. This title does not carry financial benefits or special services or office space beyond what is already provided for emeritus faculty. The need for this new title

was first identified at a Mellon Faculty Forum sponsored session for the near-retiree and retiree cohort.

These examples illustrate the vitality of assessment at Swarthmore in that the motivation for these projects sometimes come from the senior administrative level, sometimes from an individual faculty member. A strength of assessment at Swarthmore is that it is flexible enough to encourage faculty and staff to pursue these types of questions and to foster an environment in which solutions to problems identified or confirmed through assessment can be brought to the attention of the various decision-making bodies on campus for further consideration and action. Nevertheless, gaps in assessment may arise in a decentralized system of this type and efforts will be made, as discussed in Section IV.C below, to develop a more comprehensive system of monitoring assessment in the future.

IV.A.2. Assessment of Administrative Functions

Much of the major administrative assessment work that has occurred over the past five years has been discussed above, including the work of the Expenditure Review Committee (Section III.A.9), facilities assessment (Section III.B.13), and the staff compensation review (Section III.B.14). Another instance arises with respect to senior staff compensation; a more formalized procedure has been instituted to determine annual changes in senior staff compensation. The President conducts a comprehensive evaluation of each member of President's Staff, which he presents to the Compensation Committee. The members of this committee are the Board Chair and Vice Chair and the Chair of the Finance Committee. The Committee then makes a final decision on each President Staff's member's compensation as well as on the President's compensation. This more formalized procedure ensures careful assessment of each President's Staff member's performance.

IV.A.3. Support for the Assessment Process

Institutional Research and the Budget and Planning processes provide integral support to the assessment process; their contributions are highlighted below.

The Nature and Scope of Institutional Research: As the development of the College's Office of Institutional Research is new since the last Self-Study, the scope of the office's work was presented in Section III.A above. As described throughout this document the IR Office supports the College's planning and assessment activities through routine and special studies using institutional data and survey research, as well as providing peer and national data for benchmarking. Examples of routine assessment activities include an annual "yield" study which the Financial Aid Working Group uses to examine the effectiveness of financial aid packaging and biennial feedback reports to student services areas of seniors' survey ratings of the areas. Examples of ad hoc studies include the work with the Natural Science division using academic data to study enrollments by non-science majors in courses with laboratory components and comparing grades earned by Swarthmore students in classes taken at Swarthmore versus those taken elsewhere to better understand the implications of the College's grading practices. It is likely that this will continue and perhaps even become more true with the anticipated move toward developing a more formal assessment plan

Budget and Planning Processes: This section describes the budget and planning processes and presents data on fiscal and enrollment trends from the past five years as well as projections of enrollments and financial variables. The data are presented both to fulfill specific PRR requirements but beyond that, to illustrate the types of data that are collected and used as inputs to both short- and long-run planning efforts. Discussion of enrollment and graduation rates is presented next, since these form the foundation for the subsequent analyses.

Enrollment remains stable at the College. Fall headcount enrollment trends reveal that while there may be year to year fluctuations, the annual growth rate has averaged zero percent since 1997. As a small residential College, it is important to manage enrollment carefully so that there are adequate accommodations. One of the challenges has been the volatility in the number of students taking advantage of study abroad. If fewer students than projected study abroad in a given term, flexibility and creativity are needed to accommodate the additional students who remain on campus.

Retention and graduation rates remain stable and high, with a second-year retention rate averaging 96 percent and a six-year graduation rate averaging 92 percent. It is not surprising, therefore, that the number of students graduating, though fluctuating from year to year, like enrollments, show little real change (see Exhibit 10).

Budgeting is based on the annualized on-campus enrollment counts. The exhibits presented here are the output, directly or indirectly of the College budget and planning process. Five-year fiscal trend data appear in Exhibits 11 to 14; in order, these exhibits present student fees, financial aid, endowment and debt, and the operating budget. The budget and planning process includes the annual updating of a five-year enrollment projection and a five-year financial projection (Exhibit 15), a five-year facilities capital budget (Exhibit 16), and a five-year technology capital budget (Exhibit 17). In addition, a list of new projects, currently unfunded, that have been requested or are anticipated, is maintained (Exhibit 18). All of the exhibits presented above illustrate the use of data in generating short-run and longer-run budgets and in beginning the process of anticipating changing priorities for the budget (e.g., the changing technology needs). A clear example of the beginning of this process is illustrated by Exhibit 18 which presents new ITS projects that have been requested or anticipated. The items on this list will be reviewed next year and prioritized relative to other needs; rather than simply fund or reject requests as they come in, accumulating this set of actual and potential requests allows for the full range of options to be considered in the budget and planning process.

Each of these plans and records has been developed with participation of the campus community. A key committee is the College Budget Committee, which includes faculty, staff, and student members. This Committee begins working each fall to update the Five-Year Financial Projection and enrollment financial projection to prepare a budget that is consistent with it. Each year in the fall, the Finance Committee of the Board has a joint meeting with the College Budget Committee at which the Five-Year Financial Projection (including enrollment) is considered. The full Board of Managers approves this projection at its December meeting. Once approved, this projection becomes the basis on which the detailed budget for the following year

and the capital budgets are prepared. After preparation on campus, the capital budgets are considered by the Property Committee of the Board. Then, they and the operating budget are considered by the Finance Committee and the Board of Managers at their February meetings.

Some of the major assumptions underlying the most recent Five-Year Projection are the following:

- Enrollment will remain stable at the target level of 1375 students on campus.
- Increases in student charges are expected to rise at inflation plus 1.5 percent, the expected growth in family incomes.
- The College will maintain its need-blind financial aid policy. As a result, financial aid as a percent of gross student charges will rise slowly. This growth will be paid for from additional endowment support.
- The endowment spending methodology, based on a growth rate of inflation plus 1.5 percent, will continue to be followed.
- Compensation increases for both faculty and staff are assumed to track the assumption for family incomes, i.e., inflation plus 1.5 percent.
- Fringe benefits are also assumed to increase at this amount.
- Inflationary increases for most other expenses in the budget are assumed.

Using these assumptions results in a nearly balanced Five-Year Projection. However, the budget assumes inflationary (or slightly higher) cost increases for most items. It is not unreasonable to expect higher than inflationary cost increases for such items as compensation, health insurance, and utilities, among others, and these increases will put additional pressure on the budget. While there is a modest line item for some enhancements, it will most likely not be enough to address cost pressures, complete the improvement in the retirement plan, and finish the implementation of a funding plan for technology infrastructure replacement. There will be a continuing focus on resource allocation; i.e., containing costs and reducing costs in lower priority areas in order to meet priority needs. The continued success of the Capital Campaign will be key to funding new initiatives.

IV.B. Use of Assessment Results in Planning and Decision Making

The priorities embodied in the capital campaign reflect a long and highly consultative process by the broadly representative college planning committee, as described in the College's 1999 Self-Study. The period since has been one of fundraising and, as funds allow, implementation of the priorities that were established by the planning process. Evidence of this can be seen in new or renovated facilities, new athletics facilities and staff, new faculty positions, and many of the other changes that have been discussed throughout this report. On a more narrowly defined basis, too, the relationship between planning and budgeting can be seen in the

annual budget process; allocation decisions are made only after broad consultation within President's Staff, of the College budget committee with its broadly representative membership, the relevant committees of the Board of Managers, and with student groups. Once budget allocation decisions are made and approved by the Board of Managers, Suzanne Welsh, Vice President for Finance and Treasurer, offers a series of presentations, again to all constituencies to ensure that information is readily available about what budget decisions have been made and why.

Specific evidence that assessment results are being utilized as part of planning and decision-making was presented above throughout the discussions of assessment activities. Examples can be found in the changes made to the athletic program as a result of assessment of the health of the program and its impact on other areas of college functions, such as admissions (Section III.A.), the discussion of assessment of use of faculty teaching credits (Section IV.A.), and in the patterns revealed through study of the ways in which students meet their distribution requirements (Section IV.A.). Many of the assessment activities here are typically generated by a specific concern or need, assessment results tend to be taken very seriously and used directly in planning for change, as the examples noted above illustrate.

Some of the assessment results generated over the past five years are already helping to shape the next planning process. For example, the results of the work done by the Expenditure Review Committee and the faculty expenditure study undertaken with a New Directions Grant indicate that Swarthmore College's curriculum is broader than would be predicted for a school of its size. While this breadth is a benefit for students it is costly to provide to a small student body. Recognition of this breadth has rekindled interest in discussions of the optimal size of the college and, specifically, whether it would be prudent to increase the size of the student body; this topic is likely to be central to the next planning process. Likewise, careful study of the College's current status with respect to technology, as well as anticipation of coming needs and trends, made clear the need for a different type of technology budgeting, already being implemented. These are just a few forward-looking examples, to complement the current instances, of how assessment results are incorporated into planning and decision-making.

IV.C. Plans for Enhancing Outcomes Assessment in the Next Five Years

As the College looks to the future, the MSCHE guidelines for future assessment efforts will be at the center of new assessment planning. As evidence of compliance with Standard 14 in the future the evaluation team will look for a written plan giving evidence that students demonstrate that they have met the College's learning goals. Some of our most important student assessment activities, such as senior capstones and comprehensives, and honors exams, have policies or guidelines that are found in various institutional documents, but are not incorporated into a single formal assessment plan document. These policies will form the cornerstone of the College's assessment plan document.

Efforts are already underway to design an approach to expanding and integrating the College's assessment activities, building on the ones that are already in place. Responsibility will be assumed by a newly designed assessment steering committee that will include faculty and

staff members and will be co-chaired by a representative from the administrative side and a representative from the academic side of the College.

The work of the steering committee would begin before the initiation of the next planning process and will be expected to play an important role in planning. This group will be assigned the responsibility for designing—in collaboration with a wide range of college constituencies—and implementing the College assessment plan. One of the committee's first tasks, along with establishing a database of current and ongoing assessment activities, will be to define, again, as a result of widespread consultation, the goals for student learning at that institutional and program level, and then to develop the methods for demonstrating that the goals are achieved.

A priority for the committee will be to work not only toward getting full community participation in the assessment process but to be sure to develop a process that reflects Swarthmore's values and that will be supported and used by the community. An important component of this effort will be to educate the community regarding what is already being done at the College, evidence of instances in which assessment has led to positive change at the College, the different forms that assessment can take, the availability of resources to support assessment, and the ways in which assessment results can feed into future planning and program design activities.

It is critical that this effort be undertaken soon for a number of reasons. It will enable the steering committee to build a comprehensive data base of assessment activities and their results. It will also allow some faculty and staff members to build the necessary human capital, through self education and attendance at conferences, to ensure that the assessment plan is designed in a way that reflects best practices.

The committee will be able to build on some assessment activities already being planned for the coming years. Two of the most likely of these are discussed below as are some other, less well-developed possibilities.

First, over the next two years, led by the Associate Dean for Multicultural Affairs, and in conjunction with IR, the College will engage in an assessment of the campus climate relative to issues of diversity. Using a "Campus Cultural and Diversity Audit" identified by the Associate Dean for Multicultural Affairs and IR, the audit will explore how diverse the members of the College campus community actually are in regards to geographic and cultural origins, ethnicity and race, socio-economic status, religious beliefs, sexual orientation, political views, and just as important, how diverse the community thinks it is. Focus groups, interviews, and surveys will be employed to discover how students, faculty, and staff perceive diversity at work on the campus, and whether they feel they contribute to and benefit from a diverse College environment. The audit will seek to identify existing social and cultural links between groups and the academic, co-curricular, and social activities that support them. Another goal of the audit is to provide the College with a deeper understanding of the institution and its individual members, and identify how various beliefs, assumptions, and perceptions influence how self definition and definition of others. The overall goal of the Campus Cultural and Diversity Audit is to provide concrete

evidence of the effectiveness of current diversity programs and how to continue supporting them, as well as identify areas of weakness in diversity programming and how to strengthen them.

Second, the Provost's Office plans to initiate a survey of faculty regarding their use of technology in their teaching and research: items to be covered include the types of technologies employed, how they find out about new options and how they learn to employ new options, the kinds of supports that are available to aid in adoption of new technology and what other types of supports might be needed, and how their technology needs in teaching and research interact.

Preparation of the PRR has also led to some thinking about other assessment activities that might be pursued, although the evaluation of these options will be conducted by the assessment steering committee. One option, to ensure that information flows in a steady stream regarding departments' formal or informal self reviews, is for the Provost to require that all department have an annual departmental session, whether at a department meeting or retreat, to reflect on the recently completed academic year. The department chair would prepare a brief report for the provost on curricular issues and departmental performance; this report would be based on outcomes throughout the year and on conclusions drawn at the annual retreat or meeting. In a sense, this would ask each department to conduct a very small-scale annual Self-Study.

Consideration will also be given to resurrecting graduating senior exit interviews at the College level (some departments already have their own version); these were terminated a number of years ago in part because they were very time consuming to conduct and there did not appear to be good use made of the material collected during these interviews. The steering committee on assessment will consider whether it is possible to design a streamlined data collection mechanism to make it easier to extract and disseminate useful information. A necessary component of making this exercise productive is for someone, probably from the Provost's Office, to be responsible to review the interview notes and distill useful information. This information would then be shared with department chairs for academic issues and appropriate directors for administrative issues.

Another possible new direction would be to make better use of existing data on student outcomes. A particular example arises with respect to alumni records. Swarthmore has a comprehensive alumni records database, which is carefully maintained. The data are based primarily on surveys and contacts, and IR office is currently working on a process to supplement it with data on post-Swarthmore enrollments and degrees from the National Student Clearinghouse. The information in the alumni database is used to maintain effective contact with alumni, provide information to them about college opportunities and events in which they may have an interest, and in development activities. In the near future we will be exploring its potential for meaningful feedback at the department level. For example, we can provide summary information on post-graduation employment and education over time for graduates in a given major. A department's understanding of what happens to its graduates will enable it to better serve current students. Many departments already have some of this information collected informally or anecdotally but the proposed effort would be more systematic and comprehensive.

The cataloging of assessment activity conducted as part of preparing this PRR has highlighted the extensive range of types of assessment activities being conducted at Swarthmore. It has also highlighted some gaps in the College's assessment coverage. In some cases, this reflects the view that informal information collection, such as through discussion with students or colleagues, can be effective means of assessment in an institution as small and as collegial as Swarthmore. In other cases, it reflects deep aspects of the college culture that are not likely to change easily. An example of this is the fact that the College does not require faculty to conduct course evaluations and that, when course evaluations are conducted, they typically need not be shared with any departmental, divisional, or administrative colleagues. The move toward requiring all faculty to give course evaluations would be a complicated one that would require extensive discussion and it is difficult to predict the outcome of such a discussion. But the need to develop a formal plan and the ability, now, to see clearly the gaps in the types of assessment that the College conducts will ensure that the assessment steering committee confronts these gaps and determines, after careful consideration, whether they persist for a good reason or whether they need to be filled.

Planning for enhancing outcomes assessment over the next five years will occur in an interesting period of the College's development. The beginning of the outcomes assessment planning will coincide with the College's engagement with projects already underway, such as the completion of the new Science Center and the new dormitory, and the renovation of Parrish Hall. Faculty positions included in the ongoing capital campaign have been filled and it is likely that any new faculty hired during the coming five years will move into existing positions that have been vacated rather than new positions.

During the last planning cycle, the College Planning Committee identified a set of objectives that led to the priorities currently being implemented. The President's Staff and other committees and staff have continued to monitor both the implementation of the campaign priorities and other considerations, some of which were unanticipated, that have arisen. When appropriate, the implementation plan has been adjusted. For example, some of the facilities have been delayed (the library renovation) or downsized (the Parrish Hall renovation and the new dormitory), technology needs have entered into the budget planning process in a new way reflecting increased recognition of their importance, and faculty staffing decisions have been made to respond to new needs (a second position was added to Computer Sciences to meet extremely high demand) and to take advantage of good opportunities (a new position in Islamic studies was created). All plans are subject to adjustment as new information becomes available; this flexibility is an important part of effective implementation of planning priorities. But it also speaks to the need for an assessment plan that can be flexible: some of the changes discussed above were implemented after assessment of changed financial situations or curricular needs were made in a timely fashion. Any new and more formal assessment plan will want to preserve the potential for flexibility.

It is anticipated, too, that enhanced outcomes assessment will contribute productively to the next strategic planning effort. The last such effort occurred prior to the development of the Institutional Research function and in the absence of a formal comprehensive assessment plan. Assessment activities as catalogued in this report, as well as the first few years' efforts by the assessment steering committee, will help to inform and shape the planning process in a manner

that has not occurred in the past at Swarthmore. Availability of better data, as well as clearer frameworks for evaluating the need for change and the effects of past change, can only serve to enhance the effectiveness of the next planning process and the implementation of the priorities it establishes.

Reflection on the changes that have occurred over the last five years suggests that it has been a time in which the College has moved in exciting directions defined by the last planning process and the campaign priorities, as well as in response to the external evaluator's recommendations. Substantial effort has been devoted to conducting careful assessment of academic and administrative functions and to using the assessment results to inform the allocation of all types of resources. The knowledge gained from review and assessment of the changes, coupled with the strong infrastructure for continued planning and assessment, ensure that the College is well situated to undertake its next planning cycle and further development of its assessment plan.

EXHIBIT 1: Summary of Major Institutional Research Surveys

Name	Brief Description	Recent Administration
Alumni	Survey of Alumni at different periods out.	Classes of 1979, 84, 89, and 94 surveyed in February 2000.
ASQ	Survey of All Admitted Students, conducted in summer.	Annually, since 1992.
CIRP	Survey of First Year Students first, week of classes.	Annually, since 1971.
CSEO	College Student Experiences Questionnaire. Asks about specific behaviors in addition to evaluations.	Junior Class surveyed in 1997. All Classes surveyed (web) in 2001. See ESS for spring 2003.
Cycles	Survey of enrolled students	Junior Classes Surveyed in 1996. All Classes surveyed in 1999.
ESS	Enrolled Student Survey. Similar to CSEQ, asks about specific behaviors in addition to evaluations.	All enrolled students, spring 2003.
Parents Survey	Survey of parents of enrolled students.	Parents of First-year students, sophomores, and seniors in 1997. Parents of all current students surveyed in winter 2002.
Senior	Survey of Seniors conducted in final spring.	Classes of 1994, 96, 98, 00, 02, 04...

EXHIBIT 2: Enrollment and Student Charges

On-Campus

	Enrollment	Student Charges	% Increase
1998 - 1999	1344	\$30,740	
1999 - 2000	1356	\$31,690	3.1%
2000 - 2001	1330	\$33,004	4.1%
2001 - 2002	1364	\$34,538	4.6%
2002 - 2003	1370	\$36,092	4.5%
2003 - 2004	1380	\$37,716	4.5%
2004 - 2005	1372	\$39,408	4.5%

EXHIBIT 3: Swarthmore College Charges Relative to Peer Institutions

Tuition and Fees			Room and Board		Tuition, Fees, Room & Board			
1	Trinity	\$30,230	1	Barnard	\$10,462	1	Columbia	\$38,590
2	Wesleyan	\$29,998	2	Georgetown	\$10,056	2	U Chicago	\$38,553
3	Brown	\$29,846	3	Pomona	\$9,980	3	Cornell	\$38,334
4	Columbia	\$29,788	4	Cornell	\$9,580	4	MIT	\$38,310
5	Amherst	\$29,728	5	Smith	\$9,490	5	Washington	\$38,293
6	Oberlin	\$29,688	6	Bryn Mawr	\$9,370	6	Georgetown	\$38,265
7	MIT	\$29,600	7	U Chicago	\$9,315	7	Wesleyan	\$38,224
8	Duke	\$29,345	8	Washington	\$9,240	8	Trinity	\$38,040
9	Mt Holyoke	\$29,338	9	Johns Hopkins	\$9,142	9	Penn	\$37,960
10	Penn	\$29,318	10	Stanford	\$9,073	10	Brown	\$37,942
11	U Chicago	\$29,238	11	Northwestern	\$8,967	11	Harvard	\$37,928
12	Dartmouth	\$29,145	12	Swarthmore	\$8,914	12	Mt Holyoke	\$37,918
13	Harvard	\$29,060	13	Harvard	\$8,868	13	Johns Hopkins	\$37,872
14	Washington	\$29,053	14	U Rochester	\$8,818	14	Dartmouth	\$37,770
15	Swarthmore	\$28,802	15	Columbia	\$8,802	15	Swarthmore	\$37,716
16	Cornell	\$28,754	16	MIT	\$8,710	16	Stanford	\$37,636
17	Johns Hopkins	\$28,730	17	Penn	\$8,642	17	Duke	\$37,555
18	Stanford	\$28,563	18	Dartmouth	\$8,625	18	Northwestern	\$37,491
19	Princeton	\$28,540	19	Wellesley	\$8,612	19	Amherst	\$37,468
20	Carleton	\$28,527	20	Yale	\$8,600	20	Pomona	\$37,130
21	Northwestern	\$28,524	21	Mt Holyoke	\$8,580	21	Smith	\$37,034
22	Yale	\$28,400	22	Wesleyan	\$8,226	22	Yale	\$37,000
23	Georgetown	\$28,209	23	Duke	\$8,210	23	Barnard	\$36,990
24	Williams	\$28,090	24	Princeton	\$8,109	24	Oberlin	\$36,938
25	Wellesley	\$27,904	25	Brown	\$8,096	25	Bryn Mawr	\$36,890
26	Smith	\$27,544	26	Rice	\$7,880	26	Princeton	\$36,649
27	Bryn Mawr	\$27,520	27	Trinity	\$7,810	27	Wellesley	\$36,516
28	U Rochester	\$27,430	28	Amherst	\$7,740	28	U Rochester	\$36,248
29	Pomona	\$27,150	29	Williams	\$7,660	29	Williams	\$35,750
30	Barnard	\$26,528	30	Oberlin	\$7,250	30	Carleton	\$34,395
31	Rice	\$17,961	31	Carleton	\$5,868	31	Rice	\$25,841

EXHIBIT 4: Scholarship Awards

	% of Students Receiving Need-Based Swarthmore Scholarships	Average Scholarship	% Increase
1998 - 1999	50%	\$15,930	
1999 - 2000	51%	\$17,070	7.2%
2000 - 2001	49%	\$17,220	0.9%
2001 - 2002	50%	\$18,269	6.1%
2002 - 2003	50%	\$18,924	3.6%
2003 - 2004	n.a.	n.a.	n.a.

EXHIBIT 5: Endowment Spending Rate

	Endowment Spending Rate
1998 - 1999	3.4%
1999 - 2000	3.3%
2000 - 2001	3.4%
2001 - 2002	3.8%
2002 - 2003	4.2%

EXHIBIT 6: Target Asset Allocation

Public Equity	45.0%
Private Equity	15.0%
Marketable Alternatives	10.0%
Real Assets	10.0%
Bonds / Cash	20.0%
	100%



EXHIBIT 7: SWARTHMORE COLLEGE CAMPAIGN TREND LINE
7/1/99 ~ 12/31/06

Red = Campaign Commitments
Blue = Campaign Priorities

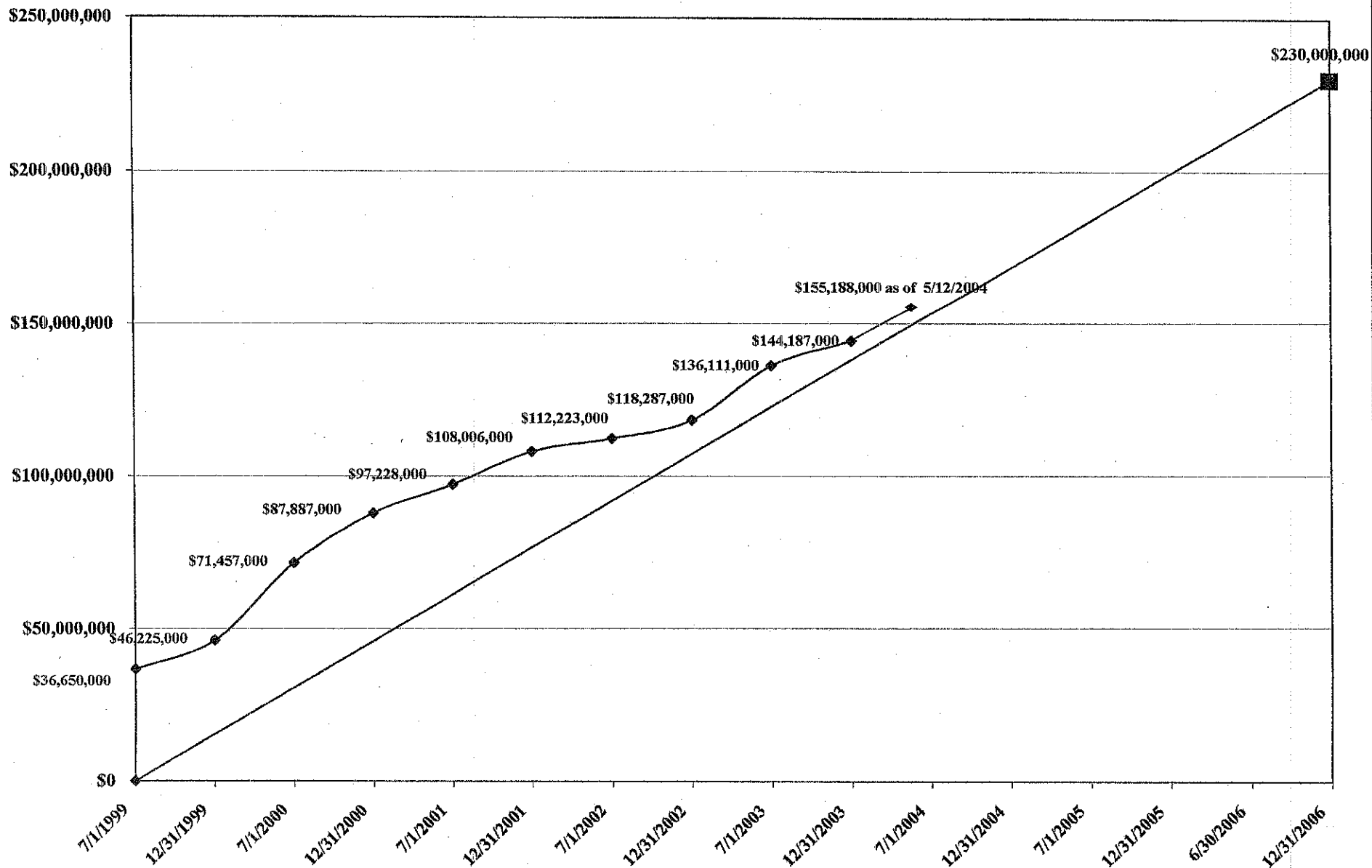


EXHIBIT 8: Swarthmore College Annual Giving Overview

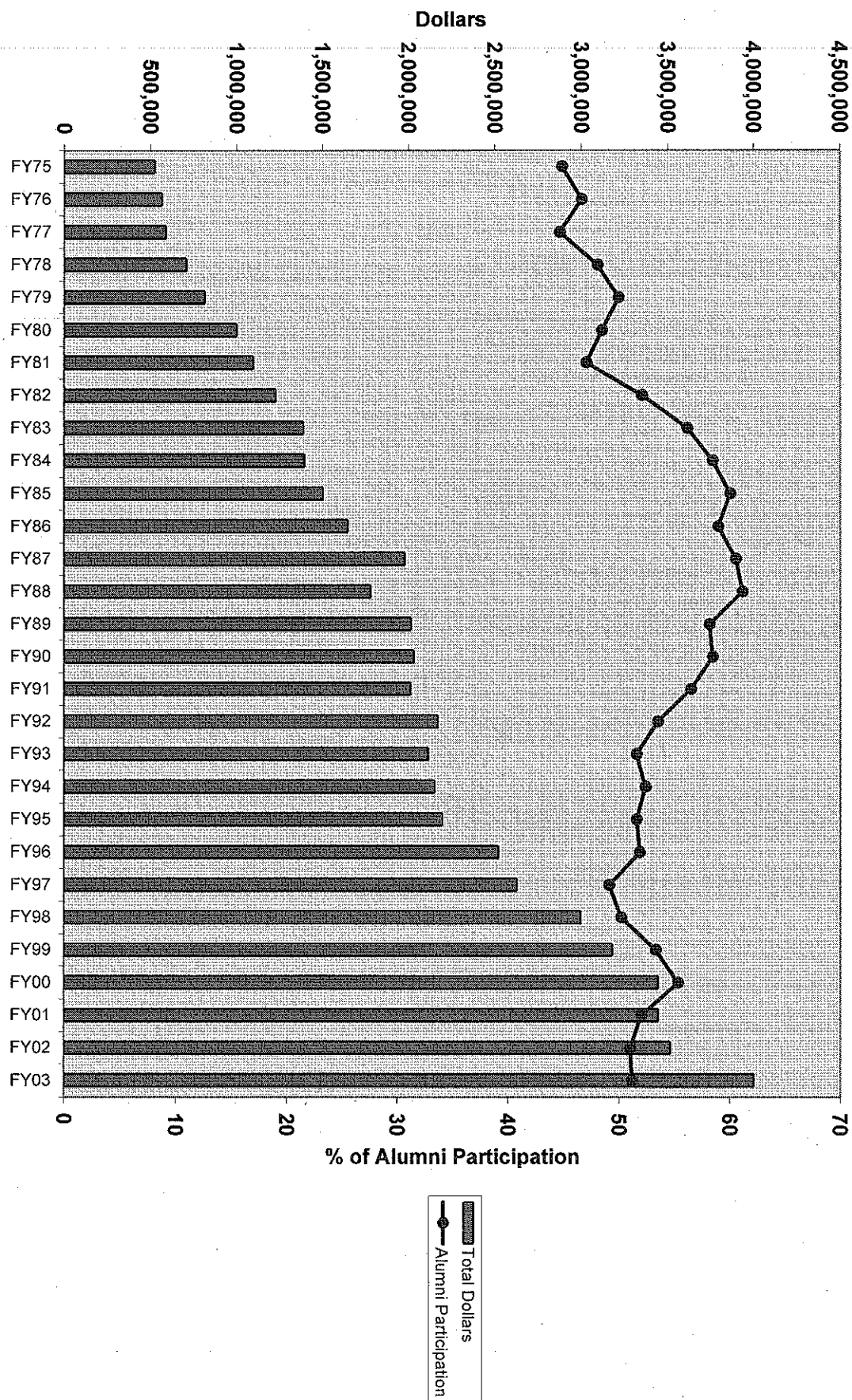


EXHIBIT 9: Faculty Diversity

	1999 - 2000		2003 - 2004	
	N	%	N	%
Tenured and Tenure-Track	163		163 *	
Women	60	37%	63.5 **	39%
Faculty of Color	22	13%	25	15%
African-American	12		11	
Asian American	7		7	
Hispanic American	3		7	
Tenured				
Women	41.5 **	69%	51.5 **	81%
Faculty of Color	13	59%	18	72%

* There are an additional four lines that are vacant.

** Shared lines may result in a headcount presented as ".5".

SOURCE: Office of the Provost.

EXHIBIT 10: Retention, Study Abroad, and Graduation Rates

Fall of Entry	Class of	Cohort Size	Enrolled in Fall of 2nd Year		Enrolled in Fall of 3rd Year		Enrolled in Fall of 4th Year		Grad Within 4 Years (cum)	Enrolled in Fall of 5th Year		Grad Within 5 Years (cum)	Grad Within 6 Years (cum)	Grad Ever (cum)
			On Campus	Study Abroad	On Campus	Study Abroad	On Campus	Study Abroad		On Campus	Study Abroad			
1990	1994	354	97.2%		97.5%		88.1%		79.9%	9.3%		89.5%	91.0%	92.1%
1991	1995	319	94.0%		75.5%		90.0%		84.6%	8.5%	0.0%	92.2%	93.4%	93.7%
1992	1996	354	95.2%		71.5%		88.4%	0.3%	80.5%	10.5%	0.6%	90.1%	91.5%	92.7%
1993	1997	413	93.0%		72.6%	14.5%	89.1%	1.5%	84.3%	6.3%	0.0%	91.0%	92.3%	92.5%
1994	1998	326	94.8%	0.3%	76.7%	16.3%	90.8%	2.5%	85.9%	5.8%	1.2%	91.7%	92.0%	92.6%
1995	1999	354	93.8%	0.3%	69.8%	21.8%	87.9%	2.3%	87.0%	4.2%	0.0%	91.2%	91.5%	91.8%
1996	2000	412	95.9%	0.7%	75.5%	17.5%	91.3%	1.0%	86.2%	5.1%	0.2%	92.0%	92.5%	92.5%
1997	2001	373	94.4%	0.0%	72.1%	16.6%	87.9%	1.6%	82.8%	6.4%	0.8%	90.1%	91.7%	
1998	2002	361	94.7%	0.0%	69.5%	19.1%	87.0%	2.8%	82.3%	7.2%	0.3%	89.2%		
1999	2003	368	97.0%	0.0%	68.2%	22.0%	89.1%	3.0%	85.6%	5.4%	0.3%			
2000	2004	367	95.1%	0.0%	67.6%	22.9%	90.7%	0.8%						
2001	2005	381	95.3%	0.3%	79.0%	14.4%								
2002	2006	371	97.0%	0.0%										
Average		369.6	95.8%	0.1%	71.3%	19.0%	89.2%	1.8%	84.8%	5.7%	0.3%	90.8%	92.0%	92.4%

NOTES:

Complete data reflecting students studying abroad are not available prior to Fall 1995.

Averages are based on most recent 5 years, or, if less than 5 year of data are available, all years.

In the 6th and 7th years, an average of 0.8% and 0.1%, respectively, of the cohorts are still enrolled.

SOURCE: OIR - EIS, Class files.

EXHIBIT 11:**Swarthmore College
Tuition, Room, Board, and Fees**

YEAR	1999-2000	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005
Tuition	\$23,964	\$24,950	\$26,098	\$27,272	\$28,500	\$29,782
Increase	4.1%	4.1%	4.6%	4.5%	4.5%	4.5%
Fees	\$226	\$250	\$278	\$290	\$302	\$312
Room	\$3,850	\$4,004	\$4,188	\$4,376	\$4,572	\$4,778
Board	\$3,650	\$3,800	\$3,974	\$4,154	\$4,342	\$4,536
Total Charges	\$31,690	\$33,004	\$34,538	\$36,092	\$37,716	\$39,408
Increase	3.1%	4.1%	4.6%	4.5%	4.5%	4.5%

SOURCE: Office of Finance and Treasurer.

EXHIBIT 12

Swarthmore College
Financial Aid Statistics

	1999-2000	2000-2001	2001-2002	2002-2003	2003-2004
Percentage of all enrolled students (including study abroad) receiving need-based aid	49%	49%	49%	50%	50%
Family income of aided students					
\$40,000 and below	28%	25%	23%	20%	23%
\$40,001 - \$60,000	20%	15%	16%	17%	13%
\$60,001 - \$80,000	20%	22%	19%	16%	14%
\$80,001 and above	32%	38%	42%	47%	50%
Average	\$65,790	\$71,480	\$74,220	\$80,754	\$82,730
Racial/ethnic diversity of aided students					
African American	15%	14%	13%	11%	11%
Asian American	14%	16%	18%	18%	17%
Latino/a American	14%	14%	12%	13%	12%
White American	45%	46%	45%	47%	46%
Foreign Nationals	8%	7%	8%	7%	6%
Average Swarthmore Scholarship	\$17,388	\$17,707	\$18,920	\$19,336	\$20,271
Average total aid award	\$23,345	\$23,605	\$24,474	\$25,146	\$26,013
Annual expected student earning contributions					
Summer earnings					
First Year	\$1,360	\$1,400	\$1,450	\$1,450	\$1,450
Continuing Student	\$1,780	\$1,830	\$1,890	\$1,890	\$1,890
Campus Work	\$1,360	\$1,400	\$1,450	\$1,490	\$1,520
Standard four-year loan for graduating senior	\$15,830	\$15,970	\$15,480	\$14,990	\$14,990

NOTE: These figures reflect October of each year.

SOURCE: Financial Aid Office.

EXHIBIT 13

Swarthmore College
Endowment and Debt

	1998-1999	1999-2000	2000-2001	2001-2002	2002-2003
Value at June 30 (\$000)					
Original Value	\$140,647	\$155,070	\$177,475	\$201,961	\$227,981
Market Value	\$905,680	\$963,676	\$949,923	\$894,237	\$930,372
Unit Market Value (Primary Pool)	\$450.35	\$473.10	\$455.19	\$416.69	\$423.92
Distribution Per Unit¹	\$14.15	\$14.77	\$16.18	\$17.49	\$17.63
Total Investment Return	11.2%	7.4%	-0.1%	-4.1%	7.0%
Spending Rate (as a % of primary pool)	3.4%	3.3%	3.4%	3.8%	4.2%
Asset Allocation					
Domestic Equities	58%	55%	58%	47%	47%
International Equities	19%	20%	17%	21%	22%
Alternative Equities	9%	7%	8%	10%	11%
Fixed Income & Cash	14%	18%	17%	22%	20%
Total	100%	100%	100%	100%	100%
Debt Outstanding (\$000)	\$80,189	\$78,632	\$76,685	\$171,542	\$170,314

¹ Distribution is for primary pool only.

SOURCE: Office of the Treasurer.

EXHIBIT 14

Swarthmore College
Operating Budget Results
(Dollars in thousands)

Fiscal Year	1999-2000 Actual	2000-2001 Actual	2001-2002 Actual	2002-2003 Actual	2003-2004 Budget
REVENUES					
Student Tuition and Fees	\$32,828	\$33,463	\$35,927	\$37,657	\$39,140
Room and Board	9,408	9,602	10,365	10,877	11,303
Student Aid	(11,874)	(11,813)	(12,988)	(13,393)	(14,000)
Net Student Fees	30,362	31,252	33,304	35,141	36,443
Endowment Return Used	29,567	33,397	36,430	37,152	38,458
Gifts	5,425	5,492	5,933	6,098	6,454
Income on Operating Cash	2,424	2,470	1,787	1,211	1,300
Other Income	2,191	2,453	1,230	2,069	1,812
Foreign Study Program	(283)	(527)	(466)	(667)	(424)
Total Revenues	69,686	74,537	78,218	81,004	84,043
Percent revenues from					
Student fees (net of financial aid)	44%	42%	43%	43%	43%
Endowment	42%	45%	47%	46%	46%
Other	14%	13%	11%	11%	11%
Total	100%	100%	100%	100%	100%

(Continued)

NOTES:

Parentheses denote negative numbers.

These figures reflect internal management reporting of budgeting activity. They reflect only a portion of activity represented in audited financial statements.

Investors or potential investors in the College's tax-exempt bonds should contact the Office of the Treasurer for the official disclosures of financial information related to the bond issues.

SOURCE: Swarthmore College Controller's Office.

EXHIBIT 14

Swarthmore College
Operating Budget Results
(Dollars in thousands)

Fiscal Year	1999-2000 Actual	2000-2001 Actual	2001-2002 Actual	2002-2003 Actual	2003-2004 Budget
(Continued)					
<u>EXPENDITURES</u>					
<u>Compensation:</u>					
Faculty Salaries	\$14,003	\$15,693	\$16,323	\$17,476	\$18,357
Staff Salaries & Hourly Wages	16,280	16,923	18,688	19,156	21,267
Fringe Benefits	7,895	8,527	9,000	9,960	11,556
Total Compensation	38,178	41,143	44,011	46,592	51,180
<u>Other Operating Expenditures:</u>					
Departmental Budgets	14,338	15,949	16,364	16,855	19,022
Food Service	2,942	2,927	3,044	3,231	*
Debt Service	5,848	6,135	6,374	6,367	6,770
Contingency	589	454	356	267	420
Total Operating Exp.	23,717	25,465	26,138	26,720	26,212
<u>Capital Expenditures:</u>	7,371	7,699	8,066	7,692	6,651
Total Expenditures	69,266	74,307	78,215	81,004	84,043
<u>SURPLUS (DEFICIT)</u>	420	230	3	0	0
<u>Transfers for:</u>					
Designated projects	(397)	(141)			
Addition to next year one-time					
Addition to next year Contingency	(15)	(89)			
<u>BALANCE</u>	\$8	\$0	\$3	\$0	\$0

* Food Service costs were not separately broken out in the 1996-97 fiscal year.

NOTES:

Parentheses denote negative numbers.

These figures reflect internal management reporting of budgeting activity. They reflect only a portion of activity represented in audited financial statements.

Investors or potential investors in the College's tax-exempt bonds should contact the Office of the Treasurer for the official disclosures of financial information related to the bond issues.

SOURCE: Swarthmore College Controller's Office.

EXHIBIT 15: SWARTHMORE COLLEGE FIVE YEAR PROJECTION

	FEB. PROP.					
	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10
ENROLLMENT PROJECTIONS						
First Year		370	370	370	370	370
Sophomore		364	364	364	364	364
Junior		271	279	276	277	276
Senior		372	374	377	375	374
Fall Enrollment		1,377	1,387	1,387	1,386	1,384
Spring Enrollment		1,359	1,363	1,367	1,365	1,363
Average Enrollment	1,372	1,368	1,375	1,377	1,376	1,374
Room and Board Enrollment	1,283	1,279	1,290	1,289	1,289	1,287
Foreign Study (not Grenoble)						
Fall Enrollment		79	72	77	76	75
Spring Enrollment		73	72	72	72	72
Average for the Year	74	76	72	75	74	74
Tuition Per Student	29,783	30,915	32,090	33,309	34,575	35,888
Activities Fee Per Student	312	324	336	349	362	376
Room and Board Per Student	9,315	9,669	10,036	10,418	10,814	11,225
	39,410	40,908	42,462	44,076	45,751	47,489
IN THOUSANDS						
Total Tuition and Fee Revenues	40,847	42,291	44,123	45,866	47,557	49,293
Total Activities Fee Revenues	428	443	462	480	498	516
Total Room and Board Revenues	11,951	12,367	12,947	13,429	13,939	14,446
Total Revenues from Student Fees	53,226	55,101	57,532	59,775	61,994	64,255

EXHIBIT 15: SWARTHMORE COLLEGE FIVE YEAR PROJECTION

	FEB. PROP. 2004-05	2005-06	2006-07	2007-08	2008-09	2009-10
REVENUES AVAILABLE						
Gross Student Fees	53,226	55,101	57,532	59,775	61,994	64,255
Less: College Scholarships (on-campus)	-15,396	-15,640	-17,068	-17,637	-18,435	-19,326
Net Student Fees	37,830	39,461	40,464	42,139	43,560	44,929
Less: Transfer for (Over) Underenrollment (> 1,375)	22	129	-106	-150	-119	-56
Tuition increase > inflation + 1.5%	269					
Endowment Return Used:						
Primary Pool	32,923	33,841	34,875	36,167	37,517	39,127
Plus: Addition-2001 Issue-Campaign	2,221	3,787	3,787	3,787	3,787	3,787
Plus: Principal Amortization-2001 Issue	1,068	1,068	1,068	1,068	1,068	1,068
Supplemental Fin. Aid Distribution*	1,860	1,777	2,828	2,851	3,101	3,441
Secondary Pool	5,743	5,750	5,750	5,750	5,750	5,750
Use of Accumulated Endowment Income (McCabe)	73	75	46	16	0	0
Total Endowment Support	43,888	46,298	48,354	49,639	51,223	53,174
Gifts:						
Gifts for Current Operations	3,842	4,034	4,236	4,447	4,670	4,903
Other Gifts for Current Operations	350	350	350	350	350	350
Mertz Charitable Trust Gifts	0	0	0	0	0	0
Fund for the Physical Environment	100	100	100	100	100	100
Federal and State Support	320	320	320	320	320	320
Campaign Income for Campaign Budget	1,200	1,080	0	0	0	0
Total Gifts	5,812	5,884	5,006	5,217	5,440	5,673
Interest Income:						
Income on Operating Cash	1,300	1,300	1,300	1,300	1,300	1,300
Other Income:						
Grenoble Program	146	149	153	156	160	164
Wolfson seat distribution	79	79	79	79	79	79
Morganwood rental income	530	542	555	567	580	580
Other Income	1,362	1,350	1,343	1,350	1,363	1,376
Total Other Income	2,117	2,121	2,131	2,153	2,182	2,199
Foreign Study Programs (Non-Swarthmore):						
Student Revenues	2,874	3,084	3,033	3,258	3,359	3,463
Less: Costs of the Other Programs (85%)	-2,444	-2,622	-2,578	-2,769	-2,855	-2,943
Less: Scholarships	-701	-753	-740	-795	-820	-845
Less: Foreign Study Office	-150	-153	-157	-161	-164	-168
Net Cost of Programs	-421	-443	-442	-467	-480	-494
Use of Prior Year Surplus						
Auxiliary Activities	507	519	531	543	555	568
TOTAL REVENUES AVAILABLE	91,325	95,268	97,238	100,373	103,662	107,293
INCREASE FROM PRIOR YEAR		4.3%	2.1%	3.2%	3.3%	3.5%

FEBRUARY 2004 UPDATE

EXHIBIT 15: SWARTHMORE COLLEGE FIVE YEAR PROJECTION

	FEB. PROP. 2004-05	2005-06	2006-07	2007-08	2008-09	2009-10
COMPENSATION						
Faculty Salaries	18,833	19,549	20,292	21,063	21,863	22,694
Plus: One-time						
Total Faculty Salaries	18,833	19,549	20,292	21,063	21,863	22,694
Regular Staff/Hourly Salaries	21,773	22,600	23,459	24,351	25,276	26,236
Campaign Staff/Hourly Salaries	793	823	0	0	0	0
One-Time Funds for Staff Positions						
Less: Staff Vacancies	-209	-217	-225	-234	-243	-252
Total Staff/Hourly Salaries	22,357	23,207	23,234	24,117	25,033	25,985
Fringe Benefits	11,980	12,435	12,914	13,405	13,915	14,443
Campaign Fringe Benefits	230	239				
Plus: One-time						
Total Fringe Benefits	12,210	12,674	12,914	13,405	13,915	14,443
Total Compensation	53,400	55,429	56,440	58,585	60,811	63,122
INCREASE FROM PRIOR YEAR		3.8%	1.8%	3.8%	3.8%	3.8%

FEBRUARY 2004 UPDATE

EXHIBIT 15: SWARTHMORE COLLEGE FIVE YEAR PROJECTION

	FEB. PROP. 2004-05	2005-06	2006-07	2007-08	2008-09	2009-10
OTHER OPERATING EXPENDITURES						
Departmental Expenses:						
Departmental Expenses (less Campaign, Utilities, Stu Wages, Stu Activ)	14,385	14,716	15,054	15,401	15,755	16,117
Student Wages	1,105	1,130	1,156	1,183	1,210	1,238
Student Activities	428	443	462	480	498	516
Campaign Expenses	177	18	0	0	0	0
Previous years' additional resources		0	371	760	1,166	1,590
Additional resources		363	371	380	389	398
Other Equipment/One-Time Needs	476	207	212	217	222	227
Subtotal Departmental Expenses	16,571	16,878	17,628	18,421	19,240	20,086
Utilities	2,465	2,522	2,580	2,639	2,700	2,762
Debt Service	10,220	11,794	11,785	11,785	11,785	11,785
Financing cost for Morganwood	302	302	302	302	302	301
Contingency	680	696	712	728	745	762
TOTAL OPERATING EXPENDITURES	83,638	87,620	89,446	92,459	95,582	98,818
FACILITIES						
Renovation Projects-Budget-Funded	2,193	2,243	2,295	2,348	2,402	2,457
Transfer to Facilities-Endowment (59 basis pts)	4,434	4,472	4,621	4,773	4,931	4,931
Transfer to Technology Reserves	100					
Fund for Property Acquisition	375	384	392	401	411	420
Reduce Fund for Property Acquisition for Morganwood purchase	-106	-102	-98	-93	-88	-88
Operating expenses for Morganwood	335	342	351	358	367	367
College Housing	350	358	366	375	383	392
TOTAL CAPITAL EXPENDITURES	7,681	7,697	7,928	8,162	8,406	8,479
TOTAL EXPENDITURES	91,319	95,317	97,374	100,621	103,988	107,297
SUBTOTAL	6	-49	-136	-248	-326	-4
Budget reductions	0					
SURPLUS/-DEFICIT	6	-49	-136	-248	-326	-4

FEBRUARY 2004 UPDATE

EXHIBIT 15: SWARTHMORE COLLEGE FIVE YEAR PROJECTION

	FEB. PROP. 2004-05	2005-06	2006-07	2007-08	2008-09	2009-10
* Endowment income available for financial aid	2,109	2,538	2,599	2,707	2,835	2,935
Endowment income expected to be used for aid	-1,860	-1,777	-2,828	-2,851	-3,101	-3,441
Remaining endowment income available	249	761	-229	-144	-266	-506
Endowment Spending Rate as % of Beginning Balance:						
Before Debt Service	4.35%	4.42%	4.41%	4.42%	4.43%	4.45%
After Debt Service	4.35%	4.66%	4.72%	4.68%	4.62%	4.61%
Endowment return assumed (from Sept)	8.00%	8.00%	8.00%	8.00%	8.00%	8.00%
BUDGET RESERVE BALANCE-YR.END	2,769	2,723	2,911	3,148	3,361	3,518

EXHIBIT 16: FACILITIES FIVE-YEAR CAPITAL PLAN

for fiscal year(s) 2004-05 to 2008-09

PROJECT DESCRIPTION		CUMULATIVE PRIOR APPROVALS	SEEKING APPROVAL 2004-05	2005-06	2006-07	2007-08	2008-2009
INFRASTRUCTURE REQUIREMENTS							
UTILITY SYSTEMS							
90503	Replace Steam Line in Tunnel to Wharton	30				470	
	Repair Storm Drainage Lines Pearson to Elm--construction					350	
	Repave Whittier Place					250	
930003	Restore Misc. Steam & Condensate Inside Bldgs. (\$15k/yr)		15	15	15	15	15
90610	Storm/Sanitary: Lang Swale				130		
930005	Provide/Replace Emergency power	250			50		
930006	Allow for Free Product Recovery	25			5		
930021	CAFM--Survey Bldgs. for Aperture Database (\$25k/yr except 04-05 and 05-06)		31	31	25	25	25
930020	Upgrade Energy Management System (Phase 3)	150	50	50	50	50	50
934006	Computer Classroom Infrastructure (\$25k/yr)		25	25	25	25	25
	Restore Swale, Wharton North Drainage System--design				50		
930062	CAFM--Survey Utilities for Aperture Database	60	60	60	60		
930063	CAFM--Digitize Existing Drawings	25	25				
930064	Stormwater Management Design--Misc. Projects (\$25k/yr)		25	25	25	25	25
	Repair Stormwater Drainage and Re-Route Sanitary Line--North Campus			465			
	Install Third Boiler			500	500		
	Install Third Chiller					800	
	Catalytic Converter for Gas-Engine Chiller		55				
	Continue Fiberoptics to Cedar Lane		20				
	Space Scheduling Software		40				
	Telecom Closets in Papazian (design \$22k) & McCabe (construction \$30k)		52				
	Palmer/Pittinger Engineering Upgrade		35				
	Palmer/Pittinger Heating Upgrade			175			
	SUBTOTAL	540	433	1,346	935	2,010	140
LIFE SAFETY							
	Sprinklering--Worth/Lodges		385				
	Sprinklering--Willets			450			
	Sprinklering--3 & 5 Whittier Place			65			
	Sprinklering--McCabe Library				1,000		
	Upgrade Life Safety System--Lamb Miller Field House			50			
	Upgrade Life Safety System--Sproul		40				
	Upgrade Life Safety System--Sharples Lane Houses			5			
	Upgrade Life Safety System--Ware Pool			5			
	Sprinkler Mains to Willets and Worth/Lodges		60				
930068	Code Correction--Misc. Locations (\$30k/yr)		30	30	30	30	30
	SUBTOTAL		515	605	1,030	30	30

EXHIBIT 16: FACILITIES FIVE-YEAR CAPITAL PLAN

for fiscal year(s) 2004-05 to 2008-09

PROJECT DESCRIPTION		CUMULATIVE PRIOR APPROVALS	SEEKING APPROVAL 2004-05	2005-06	2006-07	2007-08	2008-2009
ADA/SITEWORK							
ADA REQUIREMENTS							
931010	Accessible Path: Clothier Circle to Amphitheater Overlook/ Handrails	110		100			
931011	Building/Interior Access Design--academic buildings	150	25	25	25	25	25
931012	Building/Interior Access Construction--academic bldgs	525		50	50	100	100
	Accessible Path: McCabe Drive/Mertz to Sharples North Patio & South Entrance						260
931016	Accessible Path: Willets/Ben West to Bond Memorial Hall	105			225		
	Accessible Paths: Field House Lane to Squash Courts, Pool, Field House, Tarble Pavilion, SEPTA Bridge					15	60
	Accessible Path: Wharton to Dana and Hallowell (Construction)				275		
	Accessible Entrance: Bond Hall Entrance Doors			15			
	Accessible Path: 3&5 Whittier (Admissions) to Accessible Parking		45				
	Accessible Path: East Side of Clothier through Fragrance Garden to Sproul Ramp			150			
	Accessible Path: Wharton to Clothier Circle			75			
SITEWORK							
931002	General Paving Renewal(\$50k/yr)		50	50	50	50	50
90310	Repave Dupont Lot	350	25				
931009	Flagstone Repairs--(\$30k/yr)		30	30	30	30	30
931013	General Sitework/Tree Work (\$125k/yr)		125	125	125	125	125
931005	Pitt/Palmer/Roberts--Driveway/Parking and Roberts Stormwater Management System	150	50				
	Mary Lyons 4--Driveway and Parking Lot Reconstruction			100			
	Courtney Smith House--Site restoration			100			
	Bond to New Residence Hall Allee			50	250		
	Service Drive--Milling and Resurfacing		60				
	Stormwater Management System for Rugby Field Site				100		
931029	Whittier Place Loop Road--design	20			20		
	Whittier Place Loop Road Construction					350	
	Nursery Fields Access Design					300	
	Parrish East Entrance Circle--Repoint Granite		24				
	Clothier--Flagstone Walkway Repairs			87			
	Mertz/New Residence Hall--Trash Enclosure		50				
	Repave Field House Lane					35	850
	SUBTOTAL	1,410	484	957	1,150	1,030	1,500
ROOFING							
REPLACEMENT							
	Cunningham House--41C through 41K, steep roofs		125				
	Parrish--1D, F, G, H, J, K, L low slope roofs		145				
	Cornell--86A, 86B, low slope roofs		70				
	Clothier Memorial Hall--13G through 13S		90				
	Sproul Observatory--14A, dome roof		15				

EXHIBIT 16: FACILITIES FIVE-YEAR CAPITAL PLAN

for fiscal year(s) 2004-05 to 2008-09

PROJECT DESCRIPTION		CUMULATIVE PRIOR APPROVALS	SEEKING APPROVAL 2004-05	2005-06	2006-07	2007-08	2008-2009
	Papazian--5A through 5F, low slope roofs			125			
	Pittinger Gym--84D, steep roof				200		
	Willeys--95C through 95E, low slope roofs			45			
	Parrish--1M through 1U, steep roofs (slate)					1,150	
	Lamb Miller--72F, low slope roof		35				
	Martin--Reconfigure Bird Observation Area		50				
932017	Martin--C	39	21				
932010	Tarble Pavilion--72G and Skylight	192	75				
	REPAIRS						
932007	Update Roof Survey/Warranty Database (\$5k/yr)		5	5	5	5	5
	SUBTOTAL	231	631	175	205	1,155	5
	LABORATORIES:						
933002	Annual Lab Renovations (\$300k/yr)		300	300	200	200	200
	Martin--Create Aviary on Roof (J. Haglin)		50				
	SUBTOTAL		350	200	200	200	200
	SPACE RENOVATIONS:						
934015	Wood Floors--Refinishing/Replacement (\$20k/yr)		20	20	20	20	20
	Residence Hall Renovation				600	200	
	Air Condition Dining Hall						780
	Cunningham House--Structural Repairs			100			
934039	Courtney Smith/Ashton House Upgrades	577	10	10	10		
934043	Misc. Planning Studies (\$50k/yr)		50	50	50	50	50
	Replace Lighting Dimmer System in LPAC		80				
934041	Sproul Observatory Renovation--design		150				
	Sproul Observatory Renovation/accessible entrance--construction		850				
	Lodges Renovation--design						100
	Lodges Renovation Construction						1000
	Capital Campaign Contribution	1,000	1,000	1,000	1,000	1,000	
	Install Air Conditioning in Mertz				50		
	New CPU for Stage Rigging at LPAC		75				
	Modify Facilities Shop Space		50				
	Modify 3&5 Whittier for Admissions Temporary Occupancy		75				
	Beardsley Classroom Refurbishment		300				
	Increase Capacity of 1 Whittier						
	Willeys Toilet Rooms/Lounges Refurbishment		90	1,000			

EXHIBIT 16: FACILITIES FIVE-YEAR CAPITAL PLAN

for fiscal year(s) 2004-05 to 2008-09

PROJECT DESCRIPTION		CUMULATIVE PRIOR APPROVALS	SEEKING APPROVAL 2004-05	2005-06	2006-07	2007-08	2008-2009
SUBTOTAL		1,577	2,750	2,180	1,730	1,270	1,950
ATHLETICS:							
90957	Field House Synthetic Floor Replacement--center and track			500			
938800	Miscellaneous (\$10k/yr)		10	10	10	10	10
938003	Tarble Pavilion--Maintain Wood Floor	41	8	8	8	8	8
931007	Athletic Fields--Install Fences	60	23				
938802	Field Renovations (\$15k/yr)		15	15	15	15	15
938010	Mertz Field Renovation	50		170			
	Locker Room Renovations			100	100		
	Field House & Tarble--Paint Exterior		85				
SUBTOTAL		151	141	803	133	33	33
MISCELLANEOUS PROJECTS:							
930700	Infrastructure Contingency (\$400k/yr)		400	400	400	400	400
932700	Misc. Roof Repairs (\$100k/yr)		100	100	100	100	100
932800	Misc. Slate Roof Repairs (\$100k/yr)		100	100	100	100	100
939003	General Path Improvements for (\$50k/yr)		50	50	50	50	50
936001	Space Contingency (\$200k/yr)		200	200	200	200	200
939004	Contracted Painting--various locations (\$100k/yr)		100	100	100	100	100
931030	Sitework Contingency (\$15k/yr); incl Crum Woods Hazards Remediation in 04-05		35	15	15	15	15
SUBTOTAL			985	965	965	965	965
TOTAL		3,909	6,289	7,231	6,348	6,693	4,823

Beginning unencumbered fund balance (starting with 06/30/03 figure)	1,753	1,104	1,442	927	1,495	1,923
Renovation Projects: Budget Funded	2,144	2,193	2,244	2,295	2,348	2,402
Renovation Projects: Budget Funded "One Time"	0	0	0	0	0	0
Endowment Support (59 basis points)	3,798	4,434	4,472	4,621	4,773	4,931
Approved / to be Approved Expenditures	(6,591)	(6,289)	(7,231)	(6,348)	(6,693)	(4,823)
Unencumbered fund balance available at year end	\$1,104	\$1,442	\$927	\$1,495	\$1,923	\$4,433

EXHIBIT 17: Information Technology Services Projected Capital Budgets

Capital Projects

	2003-04	2004-05	2005-06	2006-07	2007-08	
Media Services:						
Classroom Projection System Replacement Cycle (includes new DuPont)	\$122,500	\$162,500	\$187,500	\$212,500	\$212,500	
Network:						
Network Electronics - 2nd tier switches	\$10,000	\$150,000	\$50,000	\$50,000		
Network Electronics - Building switches/hubs	\$250,000	\$200,000				
Network Security/Router	\$80,000	\$115,000				
Network Wiring: *see note	\$80,000	\$275,000	\$200,000	\$250,000	\$650,000	
Internet Bandwidth - Additional	\$20,000	\$20,000	\$20,000	\$20,000	\$20,000	
Administrative Database:						
Replacement Servers	\$75,000	\$75,000	\$75,000	\$75,000		
Language Resource Center:						
Replace Lab Console			\$150,000			
Satellite dish upgrade/replace (AVAILABLE in Lang. Lab Reserve \$48,930)						
Telephone System:						
(vendor maint. ends 8/05)						
Upgrade/Replace			\$1,000,000			
(AVAILABLE in Telecom Reserve 90473 \$193,981)						
				(Assumption is based on the cost to REPLACE. The cost to UPGRADE or to do SELF-MAINTENANCE will be less. A NO-COST option does not exist.)		
Annual Need	\$637,500	\$997,500	\$1,682,500	\$607,500	\$882,500	\$4,807,500
<i>average annual need</i>						<i>\$961,500</i>
AVAILABLE: current tech reserve balances	\$1,618,333					
on-going tech reserve funding		\$176,500	\$176,500	\$176,500	\$176,500	\$176,500
TOTAL Need Less Reserves						\$2,306,667
<i>average annual need less reserves</i>						<i>\$461,333</i>
*NOTE: Actual 01-02 spent: \$274,393 Mertz, PPR, Cornell						
Actual 02-03 spent \$40,000 Hicks						
2003-04 Estimate	\$79,700	Martin				
2004-05		\$275,000	McCabe, Parrish			
2005-06			\$200,000	Papazian, Clothier, LPAC		
2006-07				250,000	11 admin bldgs	
2007-08					650,000	11 dorms

EXHIBIT 18: New Information Technology Services Projects Requested or Anticipated (Currently Unfunded)

NEW PROJECTS REQUESTED OR ANTICIPATED - UNFUNDED

	2004-05	2005-06	2006-07	2007-08	2008-09
ITS Technical Staffing Needs:					
Network security position					
Web development position					
Total Staff	125,000	125,000	125,000	125,000	125,000
Projects:					
Web Content Management (establishing a common web focus and technical infrastructure)	75,000	10,000	10,000	10,000	
Digital image database (slide collections) *hopefully a TriCollege or BiCollege grant will pay one-time cost	100,000	50,000	20,000	20,000	20,000
Film Media Studies Production Equip	12,000	15,000	15,000	15,000	15,000
Wireless campus	100,000	100,000	100,000	100,000	100,000
Internet 2 (higher speed for faculty research) *faculty research	50,000	30,000	30,000	30,000	30,000
Document Image System - campus wide use/faculty & staff	200,000	50,000	20,000	20,000	20,000
One Card	35,000	6,000	6,000	6,000	6,000
Campus wide calender/scheduling	35,000	10,000	\$10,000	10,000	10,000