

# **Assurance Argument**

## **Carleton College - MN**

**3/20/2019**

# 1 - Mission

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The institution's mission is clear and articulated publicly; it guides the institution's operations.

## 1.A - Core Component 1.A

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The institution's mission is broadly understood within the institution and guides its operations.

1. The mission statement is developed through a process suited to the nature and culture of the institution and is adopted by the governing board.
2. The institution's academic programs, student support services, and enrollment profile are consistent with its stated mission.
3. The institution's planning and budgeting priorities align with and support the mission. (This sub-component may be addressed by reference to the response to Criterion 5.C.1.)

## Argument

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**1.A.1** People coming to know our College community often remark that Carleton is one of the more mission-driven institutions they have encountered. Carleton's commitment to undergraduate education in the liberal arts has been its defining feature for its century and half of existence. It may seem at first surprising, then, that Carleton operated for many years without a mission statement. Rather, there were a series of somewhat variable but fundamentally consistent statements of purpose (e.g. that contained in the [1980-81 College Catalog](#)). That absence reflected the degree to which our shared sense of mission was and is woven into the very fabric of the College. Eventually a committee of faculty, staff, and trustees was tasked with drafting a [statement of Mission, Vision, Values and Goals](#) in the early part of the academic year 2006-07. True to Carleton's strong shared governance model, this statement was approved by the [faculty on April 7](#), by the [Carleton Student Association on April 30](#), by [College Council on May 14](#), and by the [Board of Trustees on May 19, 2007](#). It first appeared in the 2007-08 College Catalog and is [displayed prominently on the College's website](#). The swiftness with which the statement was written and adopted indicates that it unproblematically articulated a widely accepted understanding of the mission, vision, values, and goals of the College. The mission statement was the starting point for the College's current Strategic Plan, work on which began in 2011. It is also presented annually as a foundational concept in the [orientation program for new employees](#).

**1.A.2** The College's academic program focuses exclusively on broad and rigorous studies in liberal arts disciplines. Breadth is ensured by our [Curricular Exploration Requirements](#), which mandate at least six credits in six discrete areas of curricular exploration: Arts Practice, Formal or Statistical Reasoning, Humanistic Inquiry, Literary/Artistic Analysis, Science with Lab, and Social Inquiry.

College-level reasoning and communication skills are instituted through our first-term [Argument and Inquiry Seminars](#). Higher order qualitative reasoning and communicative skills are developed as students transition into their majors by way of a [Writing Requirement class and Sophomore Portfolio](#) (which includes papers from at least three disciplines, and which must demonstrate skills of observation, interpretation, and analysis). Higher order quantitative reasoning skills are developed through three required [Quantitative Reasoning Encounters](#) within the curriculum.

Within their majors, students develop mastery of a discipline and "their capabilities for research" in [Advanced Departmental Seminars and Senior Integrative Exercises](#). Senior Integrative Exercises involve, as

disciplinarily appropriate, demonstration of mastery in a field, independent research, or independent artistic production.

Scholarship and artistic production are vital parts of Carleton's collaborative community that encourage curiosity and intellectual adventure. [Faculty are active in their fields, and many of them involve students in their research.](#)

The mission's commitment to "discovering and sharing exemplary models of undergraduate education" is supported by the [Perlman Learning and Teaching Center](#), which fosters conversation about teaching and learning within the liberal arts. During [term time](#) it brings together students, staff, and faculty for lectures, panels, discussions, reading groups, and other events aimed at professional development for faculty and staff and intellectual development for students; during [winter break](#) it sponsors workshops for new and seasoned faculty. Insights into exemplary practices in undergraduate education are disseminated beyond campus through [publication](#).

But Carleton is not merely concerned with the life of the mind in isolation. Carleton aims also "to develop qualities of mind and character that prepare its graduates to become citizens and leaders, capable of finding inventive solutions to local, national, and global challenges" ("Mission, Vision, Values and Goals"). The goal of preparing global citizens is addressed, in part, through Carleton's dedication to fostering and supporting a diverse residential community. Residency is at the heart of the experience Carleton offers its students and is [mandatory](#) for all except for rare exceptions and a limited number of seniors.

Currently, [95.8% of Carleton students](#) live in campus housing. The [Office of Residential Life](#) provides "a safe and supportive residential environment which complements and extends the educational experience of students." Within the Office of Residential Life "[s]tudent-centered programs and services are developed and implemented with an emphasis on holistic individual and community development, student leadership, individual responsibility, advocacy of academic inquiry, and freedom of thought, opinion and expression in the spirit of mutual respect."

[Diversity enhances our academic and residential life](#) and increasing the diversity of our student body is one of the goals of Carleton's Strategic Plan. This commitment to diversity in admissions is discussed further in 1.C.1. A diverse residential community of engaged learners is not one we should expect to be free of friction. The College recognizes that "[thoughtful conversations about difficult questions \[are\] necessary for individual growth and community strength](#)." Such conversations take place not only in our classrooms, but also more widely: in our [Convocations](#), in our [Critical Conversations program](#), and in the series of campus-wide [Community Conversations](#) in which the entire community was involved in the winter of 2016, and which generated a series of [themes and action steps](#).

In encouraging such conversations, Carleton is committed to [freedom of inquiry and expression](#) within a culture of [academic integrity](#), civil deliberation, and ethical action (cf. 2.D below). This commitment is expressed at all levels and within all divisions of the College, including the [purpose statement of the Division of Residential Life](#), and in our [Community Standards Policy](#). Ethical inquiry in both curricular and co-curricular contexts is supported by the [Ethical Inquiry at Carleton \(EthIC\)](#) program.

Although its residential character is central to its identity, extensive international engagements have long been a hallmark of Carleton's programming. Learning about [global citizenship](#) is a graduation requirement. Students develop understanding of the situatedness of their own culture, both by achieving competency in a foreign language, and studying both the cultural complexity of the United States and that of the wider world. [Over 70% of our students participate in off-campus programs](#). The College has recently expanded its commitments in this area by establishing the [Center for Global and Regional Studies](#) (continuing the work of the Andrew W. Mellon Foundation-funded Global Engagement Initiative), and by acquiring programs from Antioch Education Abroad, rebranding them [Carleton Global Engagement](#). Such commitments enable the College to prepare its graduates to address global challenges.

While the College is proud of its international connections, it is also deeply committed to stewardship of its resources at home, developing in 2011 a [Climate Action Plan](#) and providing [annual updates on Carleton's sustainability efforts](#). Responsible stewardship of its environmental resources is enshrined in the College's [Environmental Statement of Principles](#) and the [Carbon Neutrality Statement](#), the values and goals of which are monitored through the work of the [Environmental Advisory Committee](#), which ensures that the visions articulated in these documents "are incorporated into all aspects of College function."

The most precious resource of any educational institution is its students. Carleton has a rich array of services to support its students both in and beyond the classroom.

In their academic work, students at Carleton are supported by the [Academic Support Center](#) (ASC). Housed at the center of campus, in Gould Library, the ASC "provide[s] students with individual and group opportunities to develop as active learners." The ASC offers academic tutoring, coaching on time-management, learning strategies, and public speaking.

Support for students in their cultural and personal identities is offered by several offices within the [Division of Student Life](#), which "provides resources, programs, and services that support [students'] holistic development." These resources include the [Office of Intercultural & International Life \(OIL\)](#) the [TRIO program](#), and the [Gender and Sexuality Center](#), described in greater detail in 3.D.1 and 3.E.1. below. Students' physical and mental well-being is addressed by the [Physical Education, Athletics, and Recreation Department](#), the [Student Health and Counseling Center \(SHAC\)](#) and the [Office of Health Promotion](#), created in response to the [Community Conversations of 2016](#). These offices are also described in 3.E.1. below.

Carleton's commitment to student learning includes a comprehensive system of [academic advising](#), described in detail in 3.B and 3.D. below. As students turn to consider life after Carleton, the [Career Center](#) helps them explore options for lives that are "broadly rewarding, professionally satisfying, and of service to humanity" ("Mission, Vision, Values, Goals"). The Career Center's work is described in greater detail in 3.E.2. and 4.A.2. below.

**1.A.3** The [planning and budgeting processes](#) at Carleton are grounded in broadly representative committees, which work with the community as a whole to ensure both that the mission of the College as an institution of teaching and learning are the focus of our planning, and that the distribution of resources to instruction, research, and public service is appropriately balanced. For full discussion of this point see 5.C, below.

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## 1.B - Core Component 1.B

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The mission is articulated publicly.

1. The institution clearly articulates its mission through one or more public documents, such as statements of purpose, vision, values, goals, plans, or institutional priorities.
2. The mission document or documents are current and explain the extent of the institution's emphasis on the various aspects of its mission, such as instruction, scholarship, research, application of research, creative works, clinical service, public service, economic development, and religious or cultural purpose.
3. The mission document or documents identify the nature, scope, and intended constituents of the higher education programs and services the institution provides.

### Argument

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**1.B.1-3.** Carleton College's [mission statement](#) was adopted in 2007 by the Board of Trustees, following a College-wide process related to its development and approval (cf. 1.A.1 for more details on the adoption). It affirms Carleton's commitment to excellence in providing a residential undergraduate liberal arts education to traditional-age students, challenging them to learn broadly, think deeply, and cross barriers between traditional academic disciplines.

The College has published its mission statement [prominently on the College website](#), appearing at the start of the [Carleton College Academic Catalog](#), and in the [Campus Handbook](#). It is also easily accessible to prospective students and families from the "[About Carleton](#)" and "[Visiting Carleton](#)" sections of our website, linked directly from the College homepage.

The values and aspirations that undergird Carleton's mission statement are reaffirmed in Carleton's [Strategic Plan](#), adopted in 2012, following a 20-month transparent and open process involving more than 150 people from all segments of the campus community. The Plan calls for a continued commitment to racial, ethnic, and socioeconomic diversity, more funds for endowed scholarships, and further investments in improving learning and teaching. It also places career and life planning more centrally in students' Carleton experience and is linked to their developmental arc over their college careers.

The mission statement has continued to serve as a reference point for the Strategic Plan as it has been put into action. For example, at the [College's Faculty Retreat](#) in 2015 and in updates to the Board of Trustees in both [2015](#) and [2017](#), President Steven G. Poskanzer addressed how the College is advancing the mission through progress made toward the goals of the Strategic Plan. Further detail on the Strategic Plan can be found in 5.C. below.

Student learning outcomes drawn from the academic goals highlighted in the Mission Statement form the basis of Carleton's Institutional [Assessment Plan](#). The Education and Curriculum Committee (ECC) endorsed the learning outcomes in [Fall 2009](#), then [in 2011](#) endorsed the Assessment Plan, as described in more detail in 4.B. below. The six learning outcomes support the College's goals for its graduates to be able to work and thrive in a diverse world, using their knowledge acquired at Carleton to analyze evidence, solve problems, and communicate and debate effectively.

Academic departments and student support areas have used the mission statement as the basis for their own mission statements and plans. For example, Carleton's [Off-Campus Studies program](#) "enriches Carleton's extensive international engagements and its mission to educate citizens capable of engaging with complex global issues." [The Perlman Center for Learning and Teaching](#) "aims to foster collegial conversation about



all aspects of learning and teaching within Carleton's liberal arts environment." As noted in the College's [Environmental Statement of Principles](#) "Carleton strives to be a model of stewardship for the environment by incorporating ideals of sustainability into the operations of the college and the daily life of individuals." [The Center for Community & Civic Engagement](#) "creates and sustains opportunities for meaningful engagement for the Carleton community to deepen learning, broaden knowledge, and develop reciprocal relationships locally, nationally, and globally." [The Center for Global and Regional Studies](#) "seeks to promote programs and experiences that connect the education students receive on the Carleton campus with communities beyond campus — locally, regionally, nationally and internationally." Carleton's [Student Activities Office](#) offers support programs and services "designed to challenge beliefs, educate others, inspire the individual, entertain the soul, and create a sense of campus community and pride." Such statements reflect the breadth of commitment to operationalizing the mission.

Carleton's mission statement emphasizes characteristics that all members of the Carleton community recognize as distinctive and valuable, including collaboration, intellectual curiosity, humor, reflection, global engagement, academic integrity, and ethical action.

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## 1.C - Core Component 1.C

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The institution understands the relationship between its mission and the diversity of society.

1. The institution addresses its role in a multicultural society.
2. The institution's processes and activities reflect attention to human diversity as appropriate within its mission and for the constituencies it serves.

### Argument

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**1.C.1.** Carleton primarily defines its service to a multicultural society in terms of its [mission](#) to provide “an exceptional undergraduate liberal arts education.” Specifically, we identify the [diversity of our student body](#) and our international engagements as core components of the educational experience. Additionally, our mission emphasizes the goals of a Carleton education, including developing the values of curiosity, civil deliberation, and service to humanity. As outlined in the College's [Statement on Diversity](#), a Carleton education recognizes that students must encounter difference "in order to grow personally, live fruitfully in society and contribute to its work."

Ensuring that students encounter meaningful difference begins with admissions and Carleton's commitment to enrolling a diverse student body. Achieving this goal has been a key part of the College's [Strategic Plan](#). The Strategic Plan highlighted socio-economic diversity as an essential goal for admissions, since so many other forms of diversity (racial, geographic, first-generation students, etc.) are tied to socio-economic diversity and the need to ensure that a Carleton education remains accessible for lower- and middle-class families. Following on from the Strategic Plan, our Admissions and Financial Aid Committee established a new set of "guard-rails" which ensure that, among other metrics, at least 30% of our students are from middle-income households. This goal has been met since 2012, and reaffirmed (with adjustments to reflect the changes in national median household income) in [February 2018 by the College Council](#). In connection with these efforts, the College has also continued its commitment to increasing its enrollment of minority and international (non-resident alien) students. The percentage of minority and non-resident alien students has risen consistently over the past decade, and now stands at [36.6% of the student body](#). The proportion of first-generation college students has also risen in this period and continues to be a focus of admissions. The College also remains committed to admitting and supporting DACA students and [reiterated this commitment](#) in March 2018. To help meet these goals, Carleton has longstanding relationships with the national [Posse](#) and [Questbridge](#) networks for the recruitment of underrepresented students (see 3.E.1. below).

Within the curriculum, Carleton's commitment to preparing students to live in a diverse society is addressed by the [Global Citizenship requirement](#). This includes a rigorous foreign language requirement that ensures students acquire proficiency in a language other than English. The Global Citizenship requirement also involves at least one International Studies course, and at least one Intercultural Domestic Studies course that "addresses the role of identity and status in shaping the experiences of American society."

Carleton's commitment to multicultural education also includes strong support for off-campus studies (OCS). [Seventy-six percent of Carleton's class of 2017](#) studied off-campus at least once. This high participation rate is the product of a long-standing commitment to ensure that every student has access to OCS programs, regardless of major, and extensive advising to help students find programs that fit their needs. We prioritize access to off-campus studies by transferring full financial aid for both Carleton and non-Carleton OCS programs, as well as offering resources such as the [Iseminger Scholarship](#) for low-income students participating in a Carleton OCS program. By emphasizing accessibility of travel and

learning experiences for all students, regardless of socioeconomic circumstances, we foster broad interest in the wider global community.

Outside of the required curriculum, Carleton provides students ample opportunities to engage in meaningful diversity-focused academic programming. Our [Critical Conversations](#) initiative seeks “to encourage honest discussions and self-reflection about issues related to diversity and community at Carleton.” Coursework options include a 2-credit discussion class and a 6-credit facilitator training.

**1.C.2.** As a residential campus, we firmly believe that opportunities to engage with, learn about, and celebrate diversity must extend beyond the classroom. This education begins during students’ first week on campus, when they participate in a three-part series entitled “CarlTalks.” One CarlTalk session, in particular, “[Cultivating Inclusion on Campus](#),” establishes Carleton’s investment in a diverse campus and opens a conversation about the importance of engaging with difference. In addition to the “CarlTalks,” incoming students are also required to complete an online curriculum entitled [DiversityEdu](#) which helps to establish a common starting point of engagement to a new and diverse community. As a further example, Carleton developed an all-freshmen [Living-Learning Community](#) in which students live together and enroll in a year-long course on civil discourse, a program supported by a grant from the Arthur Vining Davis Foundation. This effort focuses on establishing safe and engaged spaces to live and learn.

To address and support the many diverse viewpoints of the Carleton community, the College established the [Community, Equity and Diversity Initiative \(CEDI\)](#) which is tasked with addressing campus climate concerns and providing recommendations to the President’s cabinet. [CEDI’s leadership board](#) -- which is chaired by faculty and staff co-chairs and includes ex-officio and appointed faculty, staff, and students – involves a collaborative effort across the community. The leadership board receives an [Annual Charge](#) from the President to address concerns ranging from diversity to identity and inclusion. The board divides into smaller “Action Teams” to address each charge while engaging the larger Carleton community through focus groups, surveys, town hall meetings, and other means. In addition to the leadership board’s [annual report](#), Action Team and subcommittee reports are published online, maintaining the College’s commitment and transparency to its community.

In the Winter of 2016, the College created a [Working Group](#) devoted to focusing on the challenges and opportunities facing low-income and first generation (LIFG) students. The outcomes of this study are described in detail in 4.C.3. below. The LIFG working group helped establish new programming addressing the disparity of resources outlined by individuals surveyed in the report.

Other campus structures that bridge the gap between promoting diversity in the classroom and supporting a diverse community of students, faculty, and staff include grant-funded programs such as [FOCUS](#), [Mellon-Mays](#), and [TRIO](#). All of these programs use a cohort design to support marginalized students in their pursuit of academic and personal success. FOCUS, funded in part by grants from the National Science Foundation, serves “groups historically underrepresented in STEM fields” through 1- and 2-credit classes, conference attendance, and mentoring. The Mellon-Mays program, funded by the Andrew W. Mellon Foundation, seeks “to increase the number of students from historically and currently underrepresented groups...who pursue PhDs” in the humanities by supporting undergraduate research and the graduate school application process. The work of TRIO, which supports low-income and first-generation college students, is described in 3.E.1. below. We value the diversity of our student body and seek multiple avenues of ensuring the success of every student.

Carleton’s commitment to the diversity of our student body is further supported by campus offices including the [Office of Intercultural and International Life \(OUIL\)](#), the [Gender and Sexuality Center \(GSC\)](#), and the [Office of the Chaplain](#). All provide mentoring and programming focused on issues of identity with a goal of supporting our diverse student population and raising awareness of and engagement with diversity on campus. OUIL programming includes off-campus retreats, a discussion series titled “OUIL Talks,” and the International Festival, in which student groups prepare culturally diverse dishes and sell samples to raise

money for a community cause. The GSC also offers an off-campus retreat, along with no-credit courses on masculinity, female sexual health, and sexuality. Residential Life partners with all three offices to offer [interest houses](#) for Asian and Asian American, African Diaspora, Latinx, Christian, Jewish, Muslim, and LGBTQA+ students and allies. Another interest house, the [Intercultural Center](#), is a residential offshoot of the OIIL office and is committed to intercultural programming.

Lastly, since 1978 Carleton has offered students weekly opportunities to engage with a range of ideas and perspectives through [Convocation](#). This series brings speakers to campus to discuss topics as wide-ranging as international corruption law, global poverty, and “a Black man’s odyssey into the Ku Klux Klan.” Convocation allows students to both listen and participate, through pre-talk events, question-and-answer time following the formal talks, and post-talk lunches with the speakers. Convocation encourages students to engage with experts from many fields and with many different viewpoints, promoting Carleton’s goals of life-long learning and civil deliberation. In the Winter 2019, Convocations were the centerpiece of a pilot program for community dialogue, sponsored by CEDI. Faculty, staff, and students met in small discussion groups and use the Convocation topics to practice engaging different viewpoints, understanding others’ perspectives, and developing the skills to engage in difficult conversations.

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## 1.D - Core Component 1.D

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The institution's mission demonstrates commitment to the public good.

1. Actions and decisions reflect an understanding that in its educational role the institution serves the public, not solely the institution, and thus entails a public obligation.
2. The institution's educational responsibilities take primacy over other purposes, such as generating financial returns for investors, contributing to a related or parent organization, or supporting external interests.
3. The institution engages with its identified external constituencies and communities of interest and responds to their needs as its mission and capacity allow.

### Argument

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#### 1.D.1 *Obligations to the Public*

The College's [Mission Statement](#) concludes by stating that "Carleton develops qualities of mind and character that prepare its graduates to become citizens and leaders, capable of finding inventive solutions to local, national, and global challenges." This statement clearly reflects the College's understanding that its main constituency, its students, should use their liberal arts education to serve public interests throughout their lives.

Members of the College community, including students and staff, but especially faculty, serve wider publics by sharing their knowledge and skills in formal means such as publications and presentations for academic and non-academic audiences. In a typical year, Carleton faculty and staff publish about a dozen books, many of which are academic monographs, and a hundred articles, most of which appear in refereed journals. Concomitantly, Carleton faculty, students, and staff deliver hundreds of presentations in venues that range from massive academic conferences to small professional-development workshops. Of special note, faculty and students from across the College often write or present on the results of joint scholarly research projects; student-faculty research is a typical mode of knowledge creation and sharing at Carleton.

Carleton as an institution endeavors to share faculty, student, and staff knowledge through such channels as the "[Carleton Now](#)" news website, which includes a "[Kudos](#)" section that (among other content) lists faculty/staff/student publications and presentations. A separate [dedicated section](#) collects articles, stories, and interviews in which faculty share their knowledge with wider publics; this collection demonstrates that Carleton faculty and staff understand that their roles at the College entail public obligations. The College also maintains [an active database of "Faculty Experts"](#) who are available to local, regional, national, and international media as spokespeople in a wide variety of fields. The database includes approximately 50 such experts, who collectively cover hundreds of academic, professional, and societal topics.

In meeting the College's curricular requirements, Carleton students equip themselves to fulfill these goals from the mission statement. The curricular [Global Citizenship requirement](#) does so especially directly, mandating demonstrated proficiency in a language other than English, one course that meets the International Studies requirement, and one course that meets the Intercultural Domestic Studies requirement.

Proving that these (and previous) requirements complement many Carleton students' own broad-minded commitment to the public good, numerous alumni pursue opportunities in the non-profit sector. Each year, about a dozen Carleton alumni serve in the Peace Corps, for instance; in 2018, Carleton ranked thirteenth among small schools on the [Corps' list of top volunteer-producing colleges and universities](#), the seventh



year that Carleton has ranked among the top 25 small schools. Numerous alumni choose to work through Teach for America, AmeriCorps, and similar service programs, as well.

### *Education Beyond Campus*

Carleton is involved in numerous activities that extend our educational mission beyond campus and engage a wide variety of external audiences. The [Center for Community and Civic Engagement](#) (CCCE) advances the College's wider public commitments by coordinating student and faculty partnerships with local, national, and global organizations and communities. A staff of six full-time professionals works with a faculty fellow to develop and manage relationships with institutions that range from local public schools to regional non-profits. Student volunteers, directed by a set of trained student leaders, carry out the projects throughout Rice County and beyond, annually logging [more than 33,000 engagement hours](#); some of these volunteers also step into one of the 20 [Community Engaged Fellowships](#) or [endowed funds for research and internships](#) that allow deeper collaboration with external partners, often during the summer. External partners benefit from the knowledge and effort of students and faculty that are structured as co-curricular programs, academic civic engagement courses, and [community-based work-study positions](#) at institutions such as the local public schools. These partnerships allow students to deepen their learning and broaden their knowledge, helping them better understand education's public value.

In recent years, [70% of all Carleton students](#) have had at least one Academic Civic Engagement class. Thus CCCE has had broad curricular effects, most notably in longstanding efforts such as [the Statistical Consulting program](#), in which Carleton students, through an advanced statistics course and under the supervision of statistics faculty, serve local businesses and non-profit institutions, including the Northfield Public Schools, the United Way, and a regional healthcare organization. To advance efforts in the arts and humanities that entail collaborative partnerships between Carleton faculty and students and diverse organizations and communities beyond the campus, the College has established [the Public Works initiative](#), a four-year project supported by grant funding from the Andrew W. Mellon Foundation.

Though formally housed at the College, a set of [Summer Academic Programs](#) serve as means to offer liberal-arts education beyond the college community, to high school teachers and students. Through a program co-sponsored with the College Board, high school advanced-placement teachers can attend one of two week-long [Summer Teaching Institutes](#). [Rising junior and senior high school students](#) come to campus each summer to attend one of six three-week pre-college programs in the general liberal arts, humanities, languages and global issues, quantitative reasoning, science, computer science, and writing. While both programs are tuition-driven, high schoolers who apply to one of the academic programs can seek need-based financial aid. From 2014 to 2018, a total of 457 scholarships worth a total of \$1,026,000 have been awarded – a yearly average of 91 scholarships worth \$205,000.

A final but important way that Carleton demonstrates its understanding of its public obligations is through its careful and thoughtful stewardship of natural resources. For many who belong to the campus community or who visit campus, this stewardship is most obvious in the form of the Cowling Arboretum, an 800-acre preserve adjacent to the College that contains numerous original and restored habitats, including rare oak savannah prairies. Established in the 1920s, "the Arb" is a popular site for year-round recreation (free to the public) as well as scholarly research.

Carleton also stewards its natural resources through a wide-ranging [Sustainability](#) program, headed by a manager of campus energy and sustainability and staffed by several full- and part-time employees, including some students who work as [sustainability assistants](#) with any campus office or organization that would like to further incorporate sustainability into their work.

In addition to collaboration with other units of the College's Department of Facilities, the Sustainability Office responds to the priorities identified by the [Environmental Advisory Committee](#), the governing body of environmental action at Carleton. In 2011, the EAC advocated for the development of a [Climate Action](#)

[Plan \(CAP\)](#), with the aim of carbon neutrality by 2050 (see further detail in 5.D.2 below).

**1.D.2.** Carleton has no external commitments that require substantial resources such as funding or the time and energy of faculty, staff, and students. Carleton has no parent organization(s) nor any related organizations such as sibling or children schools (e.g., an affiliated high school). Originally founded by the General Conference of the Congregational Churches (UCC) of Minnesota, Carleton shed its formal obligations to the UCC within 20 years of its founding. Now autonomous and non-sectarian, the College recognizes its historical ties to the UCC through membership in the [Council for Higher Education of the United Church of Christ](#).

In keeping with the legal requirements attendant to its 501(c)(3) non-profit status (formally determined by the Internal Revenue Service in 1938), Carleton does not engage in lobbying at the local, state, or federal levels, maintaining a separation between its mission and operations and external political, legal, or sociocultural interests and commitments. [College policy](#) prohibits the use of College resources to endorse political candidates or parties. Extending this policy, the College does not support external initiatives that do not directly relate to our educational mission, such as attempts to influence public attitudes toward particular social issues.

Carleton's financial operations are entirely focused on supporting the College itself, in keeping with its non-profit status. With regards to its endowment, the College provides a great deal of information to the stakeholders and general public through the [Investment Office webpage](#). The professionally-staffed Investment Office is overseen by the Investment Committee of the Board of Trustees, which ensures that the endowment, as a key source of support for the College's educational mission, is not compromised by poor policy or decisions. The Investment Committee has set an [endowment spending policy](#) that limits the College's draw on the endowment to a modest 3.75% to 5.75% of the endowment's value two years prior to the current fiscal year. Though the Investment Committee has formal oversight of matters related to the endowment, it seeks counsel from the [Carleton Responsible Investment Committee](#), a body of students, staff, and faculty members who have, since 2000, jointly considered and made recommendations to the Board of Trustees about managing the endowment in ways that embody Carleton's values.

**1.D.3.** The College engages with key external constituencies and communities in a wide variety of ways. As an academic institution, Carleton participates in local, regional, national, and even international organizations that share aspects of the College's commitment to the liberal arts, such as the Association of American Colleges & Universities, the Associated Colleges of the Midwest, and the Minnesota Private College Council. The College also participates in organizations with narrower foci, such as the Consortium on Financing Higher Education, the Council for Advancement and Support of Education, Educause, the Association for the Advancement of Liberal Arts Colleges, and the Liberal Arts Collaborative for Digital Innovation.

Locally, the College acts in numerous ways to support Northfield and Rice County. One especially obvious way this occurs is an [annual gift to the City of Northfield](#). Dating back to the 1920s, this donation is split evenly between Carleton and St. Olaf College, which were among the first colleges in the U.S. to make such a gift. In 2018, the colleges donated \$157,000. The work of the Center for Community and Civic Engagement (CCCE) is discussed above in 1.D.1, but a noteworthy example of the CCCE's contributions is the annual Lighten Up! garage sale. In partnership with the Sustainability Office, students and staff collect unwanted materials from graduating students and community members and host an enormous multi-day sale on campus. In 2018, Lighten Up! collected 46,000 pounds of donated items and raised \$36,000 for three local partners (Special Olympics, Project Friendship, and the Northfield Union of Youth).

[The Advisory Council on College and Community Relations](#) guides Carleton's overall strategy for relating to the surrounding community including reacting to concerns raised by the City and its inhabitants. The Council's most visible product is a ["Community Connections" webpage and newsletter](#), which is sent via email to more than 800 households and to all Carleton faculty and staff. As described on the Community



Connections “Resources Available to the Community” webpage, the College makes itself accessible to residents of and visitors to Northfield in numerous other ways. Public use of the Arboretum is welcomed, encouraged, and free of charge. Likewise, virtually all events on campus – visitors’ lectures and talks (including the [“Convocations” each Friday morning](#)) arts exhibitions, musical concerts, fine arts performances, film screenings, athletic contests, religious services, et cetera – are free and open to the public. Individuals who live within 15 miles of Northfield can also apply for borrowing privileges at Gould Library.

Carleton also strives to maintain strong ties to those who are closely connected to the College but who do not live in the immediate area, such as current students’ parents and alumni. Both of these groups are engaged directly by College offices and staff (chiefly in the Division of External Relations), but the College convenes the Alumni Council and the Parents Advisory Council to aid in these engagement efforts.

The [Alumni Council](#), with about 25 active directors, leads the fuller Alumni Association, composed of more than 27,000 alumni throughout the world and structured by class year as well as interest areas (e.g. regional alumni clubs, the [Multicultural Alumni Network](#), the [Out After Carleton network](#), etc.). The Council itself represents the many alumni stewardship efforts of the College, catalyzing new initiatives for alumni and fostering communication and collaboration across the alumni community and between that community and the College.

The [Parents Advisory Council](#) comprises 30-60 parents of current students who volunteer to advise College leadership, to serve as resources for students and alumni in areas such as establishing and furthering careers, and to communicate with the parent community at large.

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## 1.S - Criterion 1 - Summary

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The institution's mission is clear and articulated publicly; it guides the institution's operations.

### Summary

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Carleton's sustained strength as a liberal arts college can be attributed to the significant ways in which its mission drives every aspect of the educational enterprise. From faculty and staff who connect their own teaching, scholarship, and work to the core elements of the mission to the alumni and parents who help support and promote the College and its students, to the trustees whose guidance and governance responsibilities ensure alignment with our mission, Carleton is committed to providing an exceptional undergraduate liberal arts education. The [Custodial Scholarship Fund](#) is an emblem of this collective commitment to Carleton and its students. We pursue this mission in a collaborative, deeply curious, and intellectually vibrant community that develops the critical and creative talents of students through broad and rigorous studies in liberal arts disciplines as students develop qualities of mind and character that prepares them to lead lives of learning and become citizens and leaders.

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## 2 - Integrity: Ethical and Responsible Conduct

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The institution acts with integrity; its conduct is ethical and responsible.

### 2.A - Core Component 2.A

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The institution operates with integrity in its financial, academic, personnel, and auxiliary functions; it establishes and follows policies and processes for fair and ethical behavior on the part of its governing board, administration, faculty, and staff.

#### Argument

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Carleton's [Articles of Incorporation](#) charge the [Board of Trustees](#) with overseeing the resources of the College. The Board ensures that the College's activities and expenditures serve its overall [mission](#) as a non-profit organization providing a rigorous liberal arts education and striving “to embody the values of freedom of inquiry and expression and is vigilant in protecting these values within a culture of academic integrity, civil deliberation, and ethical action.” Carleton’s [Code of Conduct](#) requires all its employees perform their duties in accordance with the highest ethical standards. The [Community Standards policy](#) sets out the kind of respectful, civil behavior that the College requires of students and others in its community.

The [Campus Handbook](#) contains the policies and outlines the governance structure that underlie the daily work of the College. It is available on the web for employees and students to use as a reference in conjunction with more detailed instructions and information provided by the websites of the various campus offices and departments referenced below.

#### *Financial*

In financial matters, the College operates in compliance with all laws and with transparency. Investments are overseen by the [Investment Office](#), the [Investment Committee of the Board of Trustees](#), and the [Responsible Investment Committee](#), which advises the College on “ethical, social, and environmental issues” related to managing the endowment. A [spending policy](#) governs the use of endowment funds. [Publicly-available materials](#) introduce the College as an economic unit to more general audiences. [Financial reports](#), [audits](#), and [tax statements](#) provide evidence of compliance with ethical financial practices and applicable federal and state laws governing non-profit institutions.

The [Budget Committee](#), supported by the [Budget Office](#), determines the College budget in light of both short and long term needs. The Committee makes a [recommendation](#) to the [College Council](#); once approved, the Finance and Planning Committee of the Board of Trustees [recommends the budget to the full Board of Trustees](#) for final approval. The budget cycle is described in greater detail in 5.A and 5.B below.

The Business Office articulates policies and provides information and oversight to ensure staff, faculty, and student compliance with best practices and relevant IRS and other laws, including uses of [professional development funds](#), guidelines for [purchasing](#), the [management of federal grants](#), and managing the funds allocated to [student organizations](#). The Budget Office provides [guidelines](#) to help properly manage departmental and other budgets. The College has conflict of interest policies in place relevant to [Trustees](#), [administrators](#), [faculty](#), [staff](#), and [students](#); trustees and senior administrators must complete a [related parties disclosure form](#) annually.

### *Academic*

In academic matters, the detailed policies in the Campus Handbook and the [Academic Catalog](#) (see Criterion 2.B), cover such expected topics as [graduation requirements for students](#) and [faculty responsibilities for grading](#) work in a fair and consistent manner. Since more than [70% of Carleton students study off campus](#), 65% on Carleton-run programs, the Off-Campus Studies (OCS) office ensures the same quality of academic experience and the same safe, supportive community while abroad by articulating a variety of policies and procedures in two OCS [faculty handbooks](#) and through continuing faculty development on topics such as student health and safety in the annual [faculty directors' workshop](#).

[New Student Week](#) introduces students to many important College policies. Before new students arrive, they [complete a series of trainings](#) relating to sexual misconduct prevention, alcohol and drug use, and FERPA. During New Students Week itself, sessions introduce the College's [Community Standards](#) policy. The values of academic honesty (see 2.E below) and a respectful, collaborative approach to learning are embedded in the [Argument & Inquiry Seminars'](#) focus on how scholars and artists ask (and answer) questions in different disciplines, and in [classroom practices](#) like [inclusive discussion](#) and [peer-review](#) of written work. [Intramural](#) and [Club Sports](#) handbooks and the [Trans & Gender Non-Binary P.E.A.R. statement](#) provide guidance for student conduct and non-discrimination in athletics.

### *Personnel*

Carleton's hiring and review policies establish systematic and clearly described processes and state the College's adherence to [equal opportunity](#), [non-discrimination](#), and [diversity](#) in hiring. To ensure the consistent implementation of College policy, the [Department Chair/Program Director Handbook](#) and the [Staff Recruitment Process for Supervisors](#) offer checklists and instructions and provide oversight by requiring chairs/supervisors to check in with the Dean's Office or Human Resources at key moments in the process. Instructions for search committees include such specific safeguards as [strategies for increasing diversity](#); information about [inadmissible interview questions](#); attention to the role of [junior faculty](#) in the hiring process; and avoidance of the conflict of interest potentially caused by any [close personal relationships](#).

For faculty, the hiring process begins with seeking approval from the Dean of the College (who takes advice from the [Faculty Curricular Planning Committee](#)) for [tenure track](#) lines and placing a request for [non-tenure-track](#) lines. Once departments and programs are authorized to hire for a tenure-track position by the Dean, they undergo a process that begins with the careful design of a position description in close consultation with the Dean of the College and the Director of Faculty Diversity Recruitment. Each department works with the Director of Faculty Diversity Recruitment to develop strategies for diversifying the pool of applicants and creating a process for minimizing implicit bias in the consideration of job candidates. Following the conclusion of each tenure-track hiring process, the department meets with the Director of Faculty Diversity Recruitment to debrief on what was learned from the process. The hiring of non-tenure track candidates is managed by the Associate Dean of the College. The guidelines in use ensure that each search, both tenure-track and non-tenure track, is thorough, fair, and yields the highest quality instructors and instructional support staff. A [checklist](#) lays out the steps in the hiring process and alerts chairs and others to the procedures that must be followed. Special policies govern the hiring of [part-time faculty](#) and [non-tenurable faculty](#).

The College articulates [expectations for promotion](#) and lays out [procedures for review](#), (described in detail in 3.C.3 below) but importantly it also ensures that newly-hired faculty understand and can meet those expectations through a rigorous mentoring and orientation program. The Director of the Learning and Teaching Center (LTC) is charged with running a multi-part orientation program: a [New Faculty Orientation](#) before the first academic year; an ["End-of-Term Issues"](#) meeting (making sure new faculty understand policies that tend to be relevant to the ends of terms, like academic honesty and procedures relating to grading); and a [Winter Break Workshop for New Faculty](#) after their first trimester of teaching.

The LTC is also in charge of the [faculty mentor program](#) to ensure that every new faculty member has a “confidential working relationship with an experienced colleague who stands outside of any evaluative structure of the College”; part of this program is a [series of lunches](#) that deal with issues like grading standards and designing course evaluations. In addition, the Dean of the College pays close attention to the fair and equitable implementation of policy concerning review and promotion by emphasizing departments’ role in [mentoring newly hired colleagues](#) and the importance of [end-of-year conversations](#).

Staff hiring follows a set of guidelines for [publicly advertising available positions](#), forming a search committee, [conducting and evaluating interviews](#), and contacting references. In addition to a page for [new employees](#) introducing various policies and procedures, the [New Employee Orientation Checklist](#) ensures that supervisors familiarize new hires with the mission statements of the College and department and with important procedures and policies relating to employment like [sick leave](#), the [whistleblower policy](#), and the [Community Concern form](#). The checklist also records completion of mandatory trainings in Title IX and Sexual Misconduct Prevention. Ongoing performance [reviews](#) require staff members and their supervisors to complete parallel assessment and planning forms to help foster good communication of expectations; Human Resources offers [training materials for reviewers](#) and requires that dates for reviews be entered on the New Orientation Checklist to ensure compliance with these policies. Beyond these required trainings and performance reviews, Human Resources coordinates an annual FYI Series for new employees to introduce them to broader aspects of working at Carleton, with presenters from across the campus.

The [Human Resources website](#) and the [Staff handbook](#) provides ongoing access to information about [benefits](#), [federal protections for workers](#), leaves, workers’ compensation, and [participation on campus committees](#). Further details of professional development for staff appear in 5.A.4 below. [Grievance procedures for all employees](#) are covered in the Campus Handbook. Workplace concerns for all employees may be addressed through the [Ombuds Office](#). Student Financial Services has policies for [student employment](#) covering eligibility, students’ responsibilities, and accommodation of disabilities.

Policies on [close personal relationships](#) among College employees clarify that these should neither help nor hinder an individual under consideration for [employment or promotion](#), while requiring that [close relatives recuse themselves](#) from searches and committees weighing their partner or other relation. A [consensual relations policy](#) governs faculty/student relationships.

The examples discussed above show how the College implements established policies to ensure the ethical performance of its many functions. Two final examples of the College’s commitment to ongoing training in ethical issues are FERPA compliance and sexual misconduct prevention, both of which are woven throughout the Carleton workplace to reach and inform all corners of the campus community. The Campus Handbook contains [policies on student data](#), while the [Registrar’s Office](#) and specific FERPA websites raise awareness and provide guidance for [students](#) and for [faculty and staff](#), who must submit FERPA Acknowledgment forms to the College to certify that they have completed the tutorial. New [students](#), [faculty](#), and [staff](#) are also introduced to FERPA in their orientations.

Carleton’s [Policy Against Sexual Misconduct](#) states that the College is committed to “fostering a safe environment, free of sexual misconduct in any form.” To this end, the [Title IX Coordinator](#) organizes ongoing sexual misconduct prevention and Title IX compliance trainings for all campus constituencies. Incoming [students](#), [faculty](#), and [staff](#) are a particular focus, with [special trainings](#) for security employees, food services staff, language associates, Student Life and Human Resources staff, and faculty. Department chairs are also charged with careful handling of complaints about any form of [harrasment](#) and procedures are laid out in the [Campus Handbook](#).

### *Auxiliary Functions*

In its [auxiliary functions](#), the College operates in accordance with its mission and values. For example, Carleton contracts with Bon Appétit for its food services because of their commitment to [sustainability](#) and



to [student wellness and dining options](#). [Dining Services](#) participates in the Food Recovery Network to help local organizations fighting food insecurity and the Real Food Challenge to promote consumption of local, humane, fair, and ecologically-sound food. In personnel matters, Bon Appétit states that it seeks to “create an environment where all [employees](#) feel comfortable with fair and consistent treatment and equal opportunities.”

Carleton’s [Student Health and Counseling](#) is focused on making its “services more equitable and accessible” and pays close attention to the values articulated in Carleton College’s [Statement on Diversity](#). Policies relating to affordability and secure communication ensure access and privacy for student clients.

The College seeks to maintain its residential nature and sense of community by [limiting the number of cars](#) on campus. It provides services and [information relating to transportation](#) to ensure that the campus, Northfield, and the larger Twin Cities region are accessible to students as needed. The Center for Community and Civic Engagement helps students with [transportation](#) to off-campus sites for volunteering and course-related work with community partners. A crucial area of Carleton’s commitment to ethical practices is in environmental stewardship. The College’s [Climate Action](#) Plan is described in 5.D.2. below.

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## 2.B - Core Component 2.B

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The institution presents itself clearly and completely to its students and to the public with regard to its programs, requirements, faculty and staff, costs to students, control, and accreditation relationships.

### Argument

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The primary public gateway to Carleton College is the website and College homepage ([www.carleton.edu](http://www.carleton.edu)). This website provides clear, publicly available access to the essential documents relevant to members of the Carleton community and to the public, including the [Academic Catalog](#), the Campus Handbook (for [faculty](#), [staff](#), and [students](#)), official tax filings and other information. Prospective students and their families can also learn more about the application process, the costs of attendance and availability of financial aid, as well as additional information about academics, athletics, residential life and co-curricular programming in a concise format via an admissions-specific website hosted on the College homepage.

All matters pertaining to majors, minors and any other [academic requirements](#) for college-wide curriculum are housed in the [Academic Catalog](#). This includes any academic programs overseen by the College, such as [off-campus study](#), and the [prior credits policy](#). Importantly, the mission, vision, values and goals of Carleton figure prominently in the catalog, connecting the College's history to its present academic mission. As the document of record for academic policy, the catalog is reviewed for accuracy and clarity annually, via a consultative process involving relevant academic chairs, the Office of the Registrar and others. Any proposed curricular and related administrative changes must be reviewed and approved by the [Education and Curriculum Committee \(ECC\)](#) before consideration by the entire faculty.

All non-academic functions of the College are governed by policies and practices detailed in the [Campus Handbook](#). This document outlines the [organizational structure](#) of the College and defines the roles and relationships of all members of the College community, including links to the bylaws for [trustee](#), [faculty](#), [staff](#) and [student](#) representative bodies. Additionally, the Handbook houses general college policies, employment policies, employment provisions specific to faculty and staff, academic regulations and stated policies pertaining to residential and workplace behavior. The Campus Handbook is regularly reviewed by relevant staff across the College. Recommended changes to policy are forwarded to the [College Council](#), the body responsible for general policy creation and review in areas outside of educational policy or curriculum. Where appropriate, changes endorsed by the College Council are forwarded to the Board of Trustees for approval.

The [Student Handbook](#) is a subset of the Campus Handbook that includes additional information detailing campus community regulations and values. It is the primary source for the [student disciplinary process](#). Changes to policy involving student affairs are proposed in concert with the Dean of Students and the [Committee on Student Life](#). Recommended changes are referred to the College Council for approval. As with all information housed in the Campus Handbook, this material is reviewed annually for accuracy. At the beginning of every school year, students are notified by [email](#) how to find the Student Handbook. New first-year and transfer students also receive this information prior to their arrival on campus.

The public can access the [campus directory](#), which directs users to [departmental](#), [office](#), faculty and staff rosters that detail personnel by title, credentials, and areas of responsibility and expertise. The College website also includes a [trustee roster](#). [Students, faculty and staff](#) can find additional information using the Gateway interface, which collects and highlights offices, tools, and services most heavily used by each constituency. Users can also log in to see confidential or restricted information relevant to them. Students can confirm [course schedules](#), register for classes, and access online areas specific to course via Moodle (the course management system). Transcript and degree audits are available to students through the Gateway.

Faculty, staff and student workers can see their employment information (e.g., pay stubs, tax documentation). Select personnel can access relevant budgets and expense details. Information displayed via the Gateway is based on live, transactional information, which means Gateway users see up-to-date records assembled from multiple sources. Users generate some data stored on the interface themselves (e.g., benefit elections, course registration), while some information is submitted by others (e.g., students' grades).

All costs to students are made readily available in a timely, transparent manner as they become available.

These costs are freely accessible by the public in the [Academic Catalog](#), the [Campus Handbook](#) and other sources ([business office](#), [admissions](#), [financial aid office](#)). Additionally, costs are restated in the financial aid application process for all incoming and continuing students seeking financial support from the College.

Prior to admission, all financial aid applicants can calculate estimated costs of attendance through an online [Net Price Calculator](#) or a cost range via [MyIntuition](#). When a student is sent a financial aid package detailing aid for an upcoming academic year, it is accompanied by information that frames financial aid philosophy and loan options in thorough, clear terms. Students can also access an account statement via the Student Gateway digital portal. These statements are posted to the portal approximately one month prior to the start of each term. Students receive an email notification when these statements are made available.

The [Office of Institutional Research and Assessment](#) (IRA) [develops and coordinates information](#) about the College for the [public](#) and for state and federal agencies, as well as many other external bodies. This includes regulatory reporting to IPEDS, the NCAA and the Minnesota Office of Higher Education. It also incorporates statistical reporting to consortia such as the College Board, COFHE and the Minnesota Private Colleges Council. The IRA office additionally provides information about the College to third-party surveys that generate rankings, guides and websites for prospective students. This includes *US News and World Report*, the *Fiske Guide* and many other print and digital publications. In all instances, the IRA office staff work closely with relevant campus departments and personnel to ensure that submitted information is accurate. In compliance with the Student Right to Know legislation, IRA also publishes [graduation and retention](#) rate information on the College website on a yearly cycle.

Carleton posts all relevant [accreditation information](#) on its website. This statement details the College's century-long commitment to accreditation by institutional and specialized agencies. It also explains that Carleton's most recent accreditation visit was 2009, and states clearly that the accreditation is due for comprehensive evaluation during the 2018-2019 year.

Carleton apprises students, employees, and the public of the financial affairs of the College by maintaining a robust [Financial Reporting](#) page on the College website. This site houses annually prepared financial statements, audit reports and the IRS Form 990.

Carleton publishes a [quarterly magazine](#) that is mailed to alumni, staff, and parents. This publication is complemented by digital content posted to [Carleton Now](#), an online newsletter designed for digital distribution through [social media channels](#) that the College maintains, including Facebook, Twitter, Instagram and YouTube.

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## 2.C - Core Component 2.C

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The governing board of the institution is sufficiently autonomous to make decisions in the best interest of the institution and to assure its integrity.

1. The governing board's deliberations reflect priorities to preserve and enhance the institution.
2. The governing board reviews and considers the reasonable and relevant interests of the institution's internal and external constituencies during its decision-making deliberations.
3. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests or other external parties when such influence would not be in the best interest of the institution.
4. The governing board delegates day-to-day management of the institution to the administration and expects the faculty to oversee academic matters.

### Argument

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**2.C.1.** Carleton's Board of Trustees understands its [responsibility](#) as "the establishment of a vision and strong sense of direction for the College, the provision of leadership, and the highest standards for morality, integrity, and academic and administrative excellence; all in the educational service of a free democratic society." To meet this responsibility, the Board balances the needs and interests of the College's constituencies, guards its autonomy, and delegates authority appropriately to the administration and faculty.

The [Restated Articles of Incorporation](#) make the Board responsible for the management and direction of the College. Its [mission](#) is to [set policy for the College, to manage the College's resources, and to select the president](#) of the College. The plans that guide longer term planning for both programs and infrastructure at the College (e.g., the [Strategic Plan](#), the [Facilities Master Plan](#), and the [Utility Master Plan](#)) are presented to the Trustees for approval and indeed crafted with their input. In [recent meetings](#), the Board has considered such important issues as alcohol use on campus and ways of changing the student culture around drinking; the future of Carleton within the landscape of US higher education; and the possibilities for expanding the College's use of online learning. The Board [approves the College's yearly budget](#), oversees the work of the [Investment Office](#) and is [legally accountable](#) for the College's compliance with Federal law. In addition, the Board grants tenure to faculty, awards degrees to students, and approves new debt.

**2.C.2.** Campus constituencies have access to the Board via the College's committee structure, especially [College Council](#). Students' concerns come to the Board through student membership on College Council, through the Board's [Student Life committee](#), and through a pilot project that [includes the CSA President](#) as a non-voting liaison to that committee. Numerous informal meals [with students](#) and faculty help the Trustees stay in touch with wider campus concerns and initiatives. Faculty frequently present on various topics to Board committees and to the full Board.

The President of the [Alumni Association](#), the Chair of the Alumni Annual Fund, and the Chair/co-chairs of the Parents Advisory Council are non-voting, ex officio [members of the Board of Trustees](#). Two alumni between the ages of 23 and 28 are selected by the Alumni Association to serve as [Young Alumni Trustees](#). Through the [External Relations and Development Committee](#), the Board oversees Carleton's relations and communication with alumni, parents, the Northfield community, and the wider world.

**2.C.3.** The Board safeguards its autonomy in a variety of ways. The College's [Articles of Incorporation](#) and the [Campus Handbook](#) state that the Board does not normally take positions on matters not directly related to the functioning of the College and that it will not engage in political support of candidates. The [biographies of the Trustees](#) show that they come from a range of professions, places, and backgrounds.

New trustees are chosen through a [careful vetting](#) by the Trustee Affairs Committee of the Board, and they are introduced to the work and [ethos](#) of being a responsible trustee through [orientation](#), [mentoring](#), a [primer](#), and a program of conversation and [self-evaluation](#) undertaken by the Board as a whole. Trustees are subject to the College's [conflict of interest](#) policy.

**2.C.4.** The Board delegates the [day-to-day running of the College](#) to the [President as Chief Executive Officer](#) who delegates in turn to the [Senior Leadership Team](#). The [faculty](#), the [Dean of the College](#), and the [Education and Curriculum Committee](#) are responsible for [educational policy](#).

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## 2.D - Core Component 2.D

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The institution is committed to freedom of expression and the pursuit of truth in teaching and learning.

### Argument

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According to the College [Mission Statement](#), Carleton “works to embody the values of freedom of inquiry and expression and is vigilant in protecting these values within a culture of academic integrity, civil deliberation, and ethical action.” The [President’s and Dean’s Statement on Academic Freedom](#) defines the College's independence from outside authority and emphasizes that “among the College's founding principles is that of academic freedom.” The President and Board of Trustees protected academic freedom during the 1920s when they supported and defended the [faculty’s right to teach evolution](#) against external pressure from religious institutions. The College also defended members of the [faculty being investigated](#) during the McCarthy hearings of the 1950s.

The College’s stance reflects a belief embodied in the [Community Standards policy](#) (section on Academic Freedom) that “a diverse student body, faculty, and staff participating in a learning community of civil and open discourse provide the most productive environment for genuine liberal learning.” The College “recognizes and affirms the desirability for individuals to have the support of others who share their backgrounds or values, as well as the concomitant necessity for each person to take the risks, and accept the challenges, inherent in engaging in genuinely open conversation with others who are different from oneself.”

Carleton’s policies on and commitment to academic freedom originate with the [Board of Trustees](#), while the President and the Dean of the College have the [primary responsibility](#) for implementing and protecting them on campus. The [Faculty Personnel Committee](#) (FPC) and the [Faculty Affairs Committee](#) (FAC) help [protect the rights of faculty members](#) who may disagree with their departments, with student opinion, or with the President and Dean.

At Carleton, as in most U.S. institutions of higher education, [tenure is the cornerstone of academic freedom](#), protecting the faculty from pressures, both external and internal, which might threaten their freedom to pursue the truth in teaching and research. Our faculty are both teachers and scholars, and therefore teaching and research are inextricably linked. Thus, policies and practices that strengthen one, nurture the other, to the benefit of teaching and learning.

The protection of the faculty’s academic freedom is not limited to tenured faculty. The [Faculty Handbook](#) provides that “a candidate for reappointment or for tenure, feeling unjustly treated because a violation of his or her academic freedom, may lodge an appeal and request a hearing with the FAC.” Conversely, it states that “disciplinary action against a faculty member should be primarily concerned with violations of the essential rights, freedoms, and responsibilities of teaching and inquiry.” The causes laid out in the Handbook include: “the failure to fulfill academic obligations; the physical interference with members of the academic community exercising their rights of free inquiry and expression; disruption of teaching, research or other legitimate College business.”

The [Trustees of the College delegate to the faculty](#) the formulation of educational policy. The Carleton faculty exercises that responsibility at a monthly meeting chaired by an elected president of the faculty. The [Education and Curriculum Committee](#) (ECC), a elective standing committee, reports to the faculty and is responsible for “the articulation of educational policy”; its meetings and minutes are open to the campus community.

The ECC sets general educational policy but leaves the faculty with considerable autonomy in designing and teaching their courses. The [President and Dean](#) endorse the 1940 statement by the American Association of University Professors that urges the protection of the teacher's right to [teach freely](#) when they are discussing their area of specialization, while calling upon them to use caution and restraint when expressing personal views that might reflect on the institution.

The faculty's freedom to determine the best course for their scholarly work is unfettered. [Faculty, regardless of their field or program of research](#), are supported by the [Corporate and Foundation Relations](#) office in their search for extramural funding. In addition, [intramural funding opportunities](#) beyond those of departmental budget operations are made available by the Dean of the College Office. Several times during the year, faculty are invited to apply for these funds, which are earmarked to support broad research and teaching goals, rather than to favor particular ideological or disciplinary directions. Grant applications are considered by the [Faculty Grants Committee](#) and the Dean of the College. For curricular innovation grants considered by the Faculty Curriculum and Planning Committee, see 3.B. below.

The [Statement on Discrimination and Academic Freedom](#) from the Campus Handbook is "intended to help sustain a civil atmosphere of unfettered intellectual freedom at the College and to discourage discriminatory speech and actions by its members." It is one of the key documents enshrining Carleton's commitment to the "principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect." Additionally, it articulates "the related principle that all members of its community shall have access to its educational facilities, activities, and employment without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age."

[Staff at Carleton](#) are encouraged to communicate via the appropriate channels of internal communication and to participate in campus governance. Permanent, non-exempt and non-union staff participate in [Staff At Carleton \(SAC\)](#), and permanent exempt staff participate in [The Forum](#). Both [SAC](#) and [The Forum](#) elect representatives for numerous campus committees, including College Council, the Budget Committee, the Benefits Committee, and the Community, Equity and Diversity Initiative, as well as their own officers.

Within the appropriate bounds of the College's [academic requirements](#), students enjoy the freedom to chart their course of study. Freedom of expression is cherished and well exercised, not only in the classroom, but in the dozens of [student run organizations](#). Notable among these are the [Carletonian](#), one of the country's oldest student-run publications, with the first issue appearing in 1877, as well as as [KRLX](#), the student radio station.

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## 2.E - Core Component 2.E

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The institution's policies and procedures call for responsible acquisition, discovery and application of knowledge by its faculty, students and staff.

1. The institution provides effective oversight and support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff, and students.
2. Students are offered guidance in the ethical use of information resources.
3. The institution has and enforces policies on academic honesty and integrity.

### Argument

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**2.E.1.** Carleton provides policies, procedures, and support for the responsible acquisition, discovery, and application of knowledge by faculty, staff, and students. The College [Mission Statement](#) specifically names “academic integrity” as one of the key features of campus culture, and the College’s [Academic Integrity website](#) states very clearly that “an act of academic dishonesty is a serious offense in a college community” and is “therefore regarded as conflicting with the work and purpose of the entire College.” In keeping with these statements, Carleton has a well-developed ecosystem of policies, practices, and personnel that support this cornerstone of campus values.

The core institutional policies governing scholarly integrity are the [Academic Integrity](#) and the [Misconduct in Science](#) policies. These state unequivocally that “academic integrity is demanded in a college community” and that “Carleton strives to promote a climate of honesty in research.” The Academic Integrity policy also directs both students and faculty to an [Academic Integrity website](#). These policies, combined with the [Appointments and Tenure](#) policies for faculty, establish definitions of honest and ethical scholarship as well as procedures when transgressions are alleged.

Bolstering these policies, Carleton has several boards and committees that review and oversee the integrity of research and scholarly practice. Of these, the [Institutional Review Board](#) (IRB) and the [Institutional Animal Care and Use Committee](#) (IACUC) are key sources of oversight. They review proposals for research involving human or animal research on campus, and they provide consultation and supporting materials for prospective researchers. Both employ online proposal forms ([IRB proposal](#), and [IACUC proposal](#) and [IACUC Animal Use and Housing Form](#)). In addition, the [IRB website](#) and the [IACUC website](#) provide extensive guidance to researchers, and the IRB also offers a [model consent form](#) for researchers to give to their subjects. The Psychology department provides [extensive guidance](#) on the ethical treatment of the animals they use in psychological research. The [Institutional Biosafety Committee](#) oversees research involving recombinant DNA. The [Environmental Health and Safety office](#) works with academic departments to ensure that research involving hazardous materials follow safety protocols and train all employees and students who work with these materials.

The college ensures compliance with legal codes associated with academic integrity. First, the [Export Controls Policy](#) maintains the College’s principles in the context of international affairs. More broadly, the [Copyright](#) and [Patents](#) policies provide clarity about intellectual property ownership, rights, and responsibilities. There is also organizational infrastructure built around these policies such that educational materials and peer experts are available to guide faculty, staff, and students toward responsible creation and use of intellectual property. The [Copyright Committee](#), for example, fields questions, performs the federally required annual assessment of copyright procedures on campus, provides [annual DMCA training to all incoming students](#), and maintains a [website](#) designed to provide copyright information to faculty, staff, and students at Carleton. The College also has robust [DMCA procedures](#) in place, responds to notices promptly,

and provides guidance to all students about [file sharing](#). In addition, faculty, librarians, academic technologists, and others teach responsible use of intellectual property. Librarians and technologists provide this instruction as part of new faculty orientation, course-integrated sessions with students, and faculty development workshops.

Carleton's Information Technology Services department also has robust policies and practices to guide the campus community in the ethical use of data and technology. The [Academic User Agreement](#) for campus technology frames responsible uses as “citizenship responsibilities,” each of which is a balance between personal rights and responsibilities to others. Similarly, the [Responsible Use of Technology](#) policy requires that members of the Carleton community “respect the rights of others and comply with laws that govern communication and communication technology.” And finally, the [Data Management and Access](#) policy lays out definitions of “protected data,” “sensitive data,” and “public data.” It also articulates campus-wide principles of ethical use, protection, and disposal of these data.

With this framework of policies and related training, the college maintains a vibrant faculty, staff, and student ethic of high quality scholarly work. It does this through many cultural and infrastructural mechanisms, several of which are detailed below.

For faculty, all members are expected to uphold “the essential rights, freedoms, and responsibilities of teaching and inquiry” (see the [Appointments and Tenure policy, Section 7: Disciplinary Procedures](#)). These rights, freedoms, and responsibilities have as their focal points high quality pedagogy and superior scholarly practice, which are in turn enabled and maintained by the protections of academic freedom, the vetting of peer and stakeholder review, and the requirement of academic honesty.

Academic freedom ensures that scholarly inquiry remains free from the constraints, biases, or conflicts of interest that can arise from external authorities. Carleton's protections of academic freedom are described in detail above in 2.D. In addition, the integrity of scholarly practice at Carleton is in part ensured by robust hiring processes, a carefully planned mentoring program, and the tenure process itself (see 2.A. above). Faculty must undergo a thorough [evaluation of their teaching and scholarship](#) by the tenured members of their departments, their students, the Faculty Personnel Committee (FPC), and four external peer reviewers, before being recommended by the President and Dean of the College to the Board of Trustees as worthy of receiving tenure. A long-standing hallmark of scholarly vetting, peer review provides critical oversight of the integrity of the research, teaching, and scholarly practice of the Carleton faculty.

At Carleton, these layers of peer and stakeholder review are designed to evaluate “demonstrated excellence in teaching” and “commitment to and promise of sustained intellectual growth.” The Dean of the College’s [handbook for department chairs](#) makes it clear that the evaluation and letters regarding faculty reviews should be “thoughtful and thorough” in their assessment of “the candidate’s growth, development, potential, strengths and weaknesses,” and that the Department Chair’s letter should include “the differences of opinions that will inevitably arise, and not just the recommendation for or against tenure.” This means that thorough evaluation of scholarly integrity is visible throughout the evaluation process (above) and remains visible to all those charged with upholding these rigorous standards, all the way up through the FPC, Dean, President, and Board of Trustees. Last year, [three faculty were awarded tenure](#).

Bolstering these vetting practices, several offices and centers on campus support scholarship, research, and professional development. See the discussion of faculty development and the [Perlman Learning and Teaching Center](#) in 3.C.4. below. The College supports high-quality scholarship by supporting [research leaves](#), providing [grant support](#), and supplying [professional development funds](#) to faculty members. The College also provides several formal venues for faculty to share their scholarship with the campus community, such as the [Humanities Center](#) and the [Athenaeum](#). Further, [professional development funds](#) can be used for membership dues to professional associations, which have their own high standards for disciplinary scholarship (for example, see the [Statement on Standards of Professional Conduct from the American Historical Association](#)).



**2.E.2** Carleton's [Graduation Requirements](#) ensure that all students are immediately introduced to the expectations for honest and ethical academic work; [the Argument and Inquiry Seminar](#) is required of all first year students in their first term. This seminar specifically requires that all students engage with information “effectively and ethically in constructing arguments.” Together, these seminars and the rest of the curriculum are designed by the faculty and the academic departments, and they are overseen by the [Education and Curriculum Committee](#) (ECC).

Many of the support units on campus also work closely with students and faculty to help guide the campus community toward effective and ethical inquiry, research, and scholarship. Carleton’s Information Technology Services, and their [Academic Technology department](#) consult on all aspects of technology use and integration in scholarship. The Center for Community and Civic Engagement includes guidance on [Ethical Issues for the Pedagogy of Civic Engagement](#) on their website and in their work with courses. The Spatial Analysis office guides faculty and student to ethical and legal [Resources for Obtaining and Using GIS Data](#). The [Curricular Research Data Services](#) and the [Digital Liberal Arts](#) infrastructure both work hard to ensure the research practices they support and the information sources they recommend are sound, legal, and credible. The [Corporate and Foundation Relations](#) office lays out definitions, policies, and guidance related to grant-funded research integrity. The [Humanities Center](#) engages faculty and students in all aspects of humanistic inquiry. The [Writing Center](#) and the rest of the [Academic Support Center](#) are heavily involved in helping students understand and avoid academic dishonesty, coaching students through the uses and techniques of summarizing, quoting, and citing sources as well as appropriate and ethical argumentation. The [Ethical Inquiry at Carleton](#) initiative supports the discussion of ethical questions within and beyond the curriculum.

Finally, the Library emphasizes ethical and honest information practices throughout its [information literacy program](#), informed by “[Framework for Information Literacy in Higher Education](#)” supplied by the Association of College and Research Libraries (ACRL). This ACRL Framework approaches scholarly integrity through a variety of lenses, but the core definition of information literacy, as stated in the Framework’s introduction, includes “participating ethically in communities of learning.” As a supplement to [face-to-face consultation and instruction](#), the Library publishes substantial information on its website detailing [academic reading skills](#) and [citation practices](#), [legal alternatives to common copyright pitfalls](#) for students, and [learning goals for first year seminar students](#) and for [upper level students](#) that include ethical scholarly practices. The library also publishes a set of [common components of instruction sessions](#) which demonstrates a commitment to supporting students as they develop integrity in their information gathering and use.

**2.E.3** All of these resources undergird the College's policies dealing with [Academic Integrity](#) for students. The Dean of the College maintains an [Academic Integrity website](#) that lays out definitions of the variety of acts that constitute academic dishonesty. The College describes the procedure from when an instructor suspects academic dishonesty through the informal and formal hearings with the [Academic Standing Committee \(ASC\)](#). The ASC then determines sanctions should the student be found responsible for the act of academic dishonesty, and these sanctions can range from censure through expulsion from the college. In the 2017-2018 academic year, the ASC investigated 59 cases of suspected violations of academic integrity and issued sanctions ranging from warning to suspension for the 47 cases where the student was found responsible for the violation. These figures are [reported annually](#) to the ECC.

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## 2.S - Criterion 2 - Summary

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The institution acts with integrity; its conduct is ethical and responsible.

### Summary

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Carleton's Mission calls for a campus "[culture of academic integrity, civil deliberation, and ethical action](#)." From a strong basis in orderly governance, clear policies, and well-trained and committed personnel, the College seeks to optimize the learning environment for all our students, to encourage their understanding of the benefits of diversity and difference, and to teach them ethical approaches to research and discovery across the disciplines. All members of the community are held to the highest standards in terms of ethical conduct in their various functions and roles and in their responsibility for a share of the core mission of the College. From the Trustees and the President through the faculty and the staff to the auxiliary services employees, everyone at Carleton is understood to play an important role in the mission of the College and therefore to be accountable for the ethical pursuit of that mission.

### Sources

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### 3 - Teaching and Learning: Quality, Resources, and Support

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The institution provides high quality education, wherever and however its offerings are delivered.

#### 3.A - Core Component 3.A

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The institution's degree programs are appropriate to higher education.

1. Courses and programs are current and require levels of performance by students appropriate to the degree or certificate awarded.
2. The institution articulates and differentiates learning goals for undergraduate, graduate, post-baccalaureate, post-graduate, and certificate programs.
3. The institution's program quality and learning goals are consistent across all modes of delivery and all locations (on the main campus, at additional locations, by distance delivery, as dual credit, through contractual or consortial arrangements, or any other modality).

#### Argument

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**3.A.1.** Carleton offers a Bachelor of Arts in 33 majors, though students may be approved to pursue a self-designated special major. Students may choose to add minors, which currently number 31. All graduates must complete the graduation requirements as described in the [Academic Catalog](#). Carleton operates on a calendar comprised of three 10-week terms (Fall, Winter, and Spring), with a small number of off-campus programs running during a Summer Term of the same length. Standard 10-week courses count for 6 credits each, and courses that meet less often count for proportionately fewer credits. Students must earn at least 210 credits, of which at least 108 must be earned at Carleton, and graduate with a cumulative grade point average of 2.0 (C) or better. These requirements also specify that students must spend at least 6 terms in residence, in keeping with our long-standing belief in the value of a residential learning community. The College maintains policies connected to the [credit hour](#), [maximum and minimum academic load](#), and [academic progress](#). The graduation requirements are described in greater detail in 3.B. below.

**3.A.2.** As an undergraduate-only institution that grants only Bachelor of Arts degrees, the College defines a set of six encompassing [Student Learning Outcomes](#) that [map onto the graduation requirements](#) and that apply to all students. The Student Learning Outcomes were created in 2011 by the [Education and Curriculum Committee](#) (ECC), in connection with changes to our graduation requirements. These learning outcomes serve as a guide for [Department and Program Assessment Plans](#). Each of these plans establishes specific learning goals appropriate to the field of study represented by the department or program. Assessment of both the institutional learning outcomes and the department and program learning goals is described in greater detail in 4.B. below. Continuing oversight of the institutional Student Learning Outcomes and their regular assessment belongs to the ECC.

The evolution of the curriculum and student progress towards meeting graduation requirements are governed by several mechanisms. [Educational policy](#) is formulated by the Carleton faculty, which meets monthly during the term under the direction of the elected Faculty President. Agendas and minutes for the past three years of faculty meetings are provided here ([2015-16](#), [2016-17](#), [2017-18](#)). The ECC is empowered by the faculty under the [Faculty Bylaws](#) (especially Art. IV.D1, Art.VI.B1 and Art. VII.C) to oversee changes to the curriculum that are to be reviewed and approved by the Faculty as a whole. For example, significant adjustments to existing majors and proposals of new majors and minors must be reviewed by the ECC and sent to the Faculty (meeting as a whole) for two readings. ECC normally holds

weekly, public meetings during the term and its minutes are made available on its website to the campus community. Agendas and minutes for the past three years of ECC meetings are provided here as evidence ([2015-16](#), [2016-17](#), [2017-18](#)).

Faculty may propose a new course or revise an existing course with the approval of the department chair, the Associate Dean of the College, and the Registrar, but more significant changes to the curriculum must be reviewed by the ECC. Since both major and minor changes occur each year, the Academic Catalog is updated annually. The ECC also addresses matters of academic policy that are listed in the [Academic Regulations and Procedures](#). Finally, the progress of all students towards meeting the graduation requirements is overseen by a subcommittee of the ECC, the [Academic Standing Committee \(ASC\)](#), which also rules on petitions for exceptions to academic policies and adjudicates cases of suspected academic misconduct. In addition to its regular meetings during the term, the ASC meets without its student members following each term to review the [academic progress](#) of students.

Long-range college-wide curricular planning is the responsibility of the [Faculty Curricular Planning Committee](#) (FCPC), which is chaired by the Dean of the College and is composed of the five elected faculty members of the ECC and the Associate Dean who sits on the ECC. The FCPC sets priorities for curricular development and innovation. It also reviews all proposals from departments and programs for tenure-track hires and provides advice to the Dean of the College in light of College-wide allocations and curricular priorities.

**3.A.3** Carleton ensures the consistency of its programs and the rigor of its learning goals with a range of internal and external review procedures. Each academic department and program undergoes a thorough review roughly every ten years, a process described in greater detail in 4.A.1. below. These reviews are overseen by the Dean of the College and the ECC and are intended to help departments and programs evaluate their current curriculum and procedures and to plan for the future. Apart from decennial reviews, each department chair and program director files an [annual report](#) discussing all major activities, issues, and concerns, and these reports are reviewed by the Dean of the College.

Several other governance and support structures oversee particular parts of the educational program and ensure their quality. The [Off-Campus Studies \(OCS\) Committee](#) manages the multi-year cycle of programs led by Carleton faculty and approves student requests for non-Carleton programs. The Committee requires detailed annual reports from all of Carleton's [own OCS programs](#) and responds with [feedback](#) for the improvement of future offerings. OCS also routinely sends faculty and its own staff to examine the quality of [non-Carleton programs'](#) curricular and co-curricular offerings. OCS has overarching [student learning goals](#) for off-campus study, and individual programs also have [their own specific student learning goals](#).

The [Center for Community and Civic Engagement \(CCCE\)](#) supports civic engagement by students as part of their learning and supports faculty in the creation and delivery of [academic civic engagement](#). In their [work with faculty](#), the CCCE emphasizes rigor, the careful design of meaningful assignments, ethical collaboration with community partners, and assessment. The CCCE has articulated its own [student learning goals](#) for all students who participate in community work, whether in curricular or co-curricular civic engagement.

Syllabi from courses across the College demonstrate the consistently high expectations of our faculty and the ambition of their learning goals for students. We have collected syllabi from Fall Term 2018 as evidence, organized by subject: [Africana Studies](#), [American Studies](#), [Arabic](#), [Art History](#), [Astronomy](#), [Biology](#), [Chemistry](#), [Cinema and Media Studies](#), [Chinese](#), [Classics](#), [Cognitive Science](#), [Computer Science](#), [Cross-Cultural Studies](#), [Dance](#), [Economics](#), [Educational Studies](#), [English](#), [European Studies](#), [French and Francophone Studies](#), [Geology](#), [German](#), [Greek](#), [History](#), [Interdisciplinary Studies](#), [Japanese](#), [Latin](#), [Latin American Studies](#), [Literature and Cultural Studies](#), [Linguistics](#), [Mathematics and Statistics](#), [Music](#), [Neuroscience](#), [Philosophy](#), [Physical Education, Athletics and Recreation](#), [Physics](#), [Political Science](#), [Psychology](#), [Religion](#), [Russian](#), [Sociology and Anthropology](#), [Spanish](#), [Studio Art](#), [Theater](#), and [Women's](#)

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## 3.B - Core Component 3.B

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The institution demonstrates that the exercise of intellectual inquiry and the acquisition, application, and integration of broad learning and skills are integral to its educational programs.

1. The general education program is appropriate to the mission, educational offerings, and degree levels of the institution.
2. The institution articulates the purposes, content, and intended learning outcomes of its undergraduate general education requirements. The program of general education is grounded in a philosophy or framework developed by the institution or adopted from an established framework. It imparts broad knowledge and intellectual concepts to students and develops skills and attitudes that the institution believes every college-educated person should possess.
3. Every degree program offered by the institution engages students in collecting, analyzing, and communicating information; in mastering modes of inquiry or creative work; and in developing skills adaptable to changing environments.
4. The education offered by the institution recognizes the human and cultural diversity of the world in which students live and work.
5. The faculty and students contribute to scholarship, creative work, and the discovery of knowledge to the extent appropriate to their programs and the institution's mission.

### Argument

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**3.B.1 and 3.B.2** Carleton's curriculum derives from its [institutional Mission](#) "to provide an exceptional undergraduate education." In particular, our Mission requires us to ensure that students "learn higher order thinking skills: disciplinary inquiry, analysis of evidence, arts of communication and argumentation, and problem solving strategies." This Mission structures Carleton's six foundational [student learning outcomes](#). Carleton graduates should be able to:

- (1) Demonstrate that they have acquired knowledge necessary for the continuing study of the world's peoples, arts, environments, literatures, sciences and institutions, i.e., learning to learn.
- (2) Demonstrate substantial knowledge of a field of study and the modes of inquiry or methodologies pertinent to that field.
- (3) Analyze evidence; i.e., identify underlying assumptions in particular theoretical orientations, methodological approaches or arguments; present opposing viewpoints and alternative hypotheses; recognize quantitative and qualitative claims, etc.
- (4) Formulate and solve problems; i.e., locate, analyze, synthesize and evaluate information; discern patterns, coherence and significance; explore a situation, phenomenon, question or problem to arrive at a hypothesis or conclusion about it, come to well-reasoned conclusions or solutions, etc.
- (5) Communicate and argue effectively.
- (6) In their chosen field of study, conduct disciplinary and/or interdisciplinary research and/or undertake independent work which may include artistic creation or production.

The graduation requirements, as listed in the [Academic Catalog](#), draw on these foundational learning outcomes. All first-year students enroll during their first term in an [Argument and Inquiry Seminar \(A&I\)](#), which introduces students to liberal learning by fostering intellectual independence, reinforcing the skills of

college-level writing, and encouraging collaborative learning. The remainder of the graduation requirements are divided into areas that [map onto the student learning outcomes](#). These are the Curricular Exploration Requirements, Global Citizenship, the Writing Requirement, Quantitative Reasoning, and Physical Education. Guided by their assigned advisers, students choose their own pathway, fulfilling required thematic areas. For example, in the Curricular Exploration Requirements, students may choose a variety of courses to fulfill specific requisites such as arts practice, formal and statistical reasoning, humanistic inquiry, literary or artistic analysis, lab science, and social inquiry. These courses, depending on their content, may also help students satisfy the Quantitative Reasoning and Global Citizenship requirements.

To complete the [Writing Requirement](#), students must take two courses designated Writing Rich. These courses have [defined student learning outcomes](#), and involve multiple writing assignments, opportunities for feedback, and opportunities for revision. Writing Rich courses and many other courses across the curriculum will produce examples of writing that students may elect to put in their [sophomore writing portfolios](#) to fulfill the remaining portion of the Writing Requirement. Portfolios include between three and five samples of a student's writing and each portfolio is evaluated by several faculty and staff readers who assess the quality and breadth of the portfolio. Portfolios are evaluated by clear criteria:

- The rhetorical strategy should be appropriate for the audience and purpose.
- If argument is a part of the rhetorical strategy, it should contain a thesis and develop that thesis with coherence, logic, and evidence.
- Whatever the purpose, writing should be as clear, concise, and interesting as possible.
- Narration, description, and reporting should contribute to analysis and synthesis; the parts of a paper should lead to a greater, connected whole.
- Writing should be edited to address surface error, including irregularities in grammar, syntax, diction, and punctuation.

The sophomore portfolio represents a milestone in what is a four-year commitment to improving student writing across the curriculum and in every discipline at the College. What is learned and presented in the sophomore writing portfolio is built upon as students work in their majors toward a new milestone, the [senior integrative exercise](#), a requirement that often demands the most of students' writing abilities.

Students meet the College's Quantitative Reasoning requirement by taking at least three courses that have been designated as Quantitative Reasoning Encounters. As defined by the [Academic Catalog](#), these courses must help students develop at least one of five skills:

- Possessing the habit of mind to consider what numerical evidence might add to the analysis of a problem.
- Identifying appropriate quantitative or numerical evidence to address a question.
- Locating or collecting numerical or quantitative data.
- Interpreting numerical evidence properly, including recognizing the limitations of methods and sources used.
- Effectively communicating arguments that involve numerical or quantitative evidence.

In a course designated as a Quantitative Reasoning Encounter, these learning outcomes may be addressed by a substantial assignment or module. These courses are offered across the curriculum.

Carleton's graduation requirements are driven by a strong commitment to curricular exploration. Students regularly consult with their academic advisers, especially during their first two years, to find courses in subject areas in which they have interests as well as courses that stretch their intellectual capabilities and challenge them in new ways. Advisers are trained and directed to guide their advisees to seek out new endeavors and to take risks early during their Carleton careers. Each term, students have the option of taking courses on a pass/fail basis so as to encourage this risk-taking (see [Satisfactory/Credit/No Credit Policy](#)).

**3.B.3.** The breadth of Carleton's graduation requirements and their connection to the institutional student learning outcomes ensure that all students learn to collect, analyze and communicate information in multiple disciplines. The Arts Practice requirement ensures that every student participates in creative work, whether this is in music, creative writing, theater, dance, studio art, filmmaking, or another medium. In general, the graduation requirements afford students a balance of structure and choice. Approximately a third of their total credits are allotted to the requirements described above, another third are dedicated to their chosen major, and a final third may be taken to satisfy the requirements of optional minors, a second major, or courses that simply are of interest to the student and fulfill total credit requirements towards graduation.

All Carleton students are required to finish a major; for courses to count towards the completion of the major, students must pass them with a grade of C- or higher, and cannot elect to take them Pass/Fail (Satisfactory/Credit/No Credit). All majors include a required [Senior Integrative Exercise \(Comps\)](#) that may take a variety of forms depending on the guidelines of their major department. In many majors, such as [Biology](#), [History](#), [Religion](#), or [Physics and Astronomy](#), comps takes the form of an independent research project and a public presentation. In some majors, such as [Chemistry](#) or [Computer Science](#), students work in teams but are still expected to work independently and present their work publicly. The Senior Integrative Exercise offers one of the primary means of assessing the second and sixth of the College's six student learning outcomes (Knowledge of a Field, Research and Independent Work; see 4.B below).

**3.B.4.** One of the strengths of a Carleton education is the focus and range of opportunities that exist to encourage students to explore the diversity of societies and cultures at home and around the world. These values are imbedded in Carleton's [Statement on Diversity](#). The focus begins early with an emphasis on the three-part Global Citizenship requirement, which is divided into a language requirement, one course in international studies (with an emphasis on global and comparative studies), and one course in intercultural domestic studies (with a focus on the United States). Depending on their chosen language, students are required to complete four or five terms of study, or demonstrate equivalent mastery, to fulfill the language requirement. Further study of foreign cultures and language is supported by a rich selection of advanced courses in literature and culture and [faculty-led off-campus programs](#) as well as non-Carleton OCS programs. Carleton enjoys a [high participation rate in OCS programs](#). On average, over 70 percent of all students go off-campus at least once during their enrollment. Credits gained on non-Carleton OCS programs are approved by the Registrar towards general credit requirement and they may be applied to majors with the approval of department chairs. Students wishing to use their language skills in non-language courses may choose from an expanding range of classes that offer [Foreign Language Across the Curriculum \(FLAC\)](#) components. The curriculum also provides a variety of area studies programs that bring an interdisciplinary array of faculty together to support students wishing to develop knowledge that is specific to a geographic or cultural area of the world.

The Carleton curriculum is dynamic. Most recently, the faculty converted interdisciplinary concentrations to minors and added new disciplinary minors. Combined training is available in a [3-2 Engineering Program](#) and many students pursue coursework following the recommendations of the [Pre-Health Program](#) to help prepare for careers in medicine and health. Students may register for [courses at St. Olaf College](#) that are not available at Carleton, and in recent years, with the support of a Mellon Foundation-supported grant called "[Broadening the Bridge](#)," Carleton and St. Olaf have embarked on numerous collaborations. One notable example is a joint [teaching licensure](#) program. The faculty are continually adding new courses and revising old courses, often with the help of [Curricular Innovation Grants](#) awarded by the FCPC, and they find new opportunities to collaborate with one another to engage in [team-teaching](#) with the support of the Dean. Over time, many of these projects have emerged from College-wide academic initiatives, many supported by external grants. Some of the largest and sustained initiatives are [Writing Across the Curriculum](#), [Integrative Science and Math Education](#), [Quantitative Reasoning](#), the Global Engagement Initiative (GEI), [Visualizing the Liberal Arts](#), [Carleton Arts and Technology](#), [Ethical Inquiry](#), [Critical Conversations](#), [Digital Liberal Arts](#), and [Public Works: Arts and Humanities Connecting Communities](#). Several of these and other smaller

initiatives are guided by interdisciplinary centers managed by faculty leaders. The [Humanities Center](#) encourages and supports interdisciplinary collaboration and innovative research in the humanities and the humanistic social sciences. The [Center for Global and Regional Studies \(CGRS\)](#), which emerged from the Global Engagement Initiative, provides support for innovative approaches to teaching about the world and promotes the discussion of important global issues. The STEM Board emerged from the Interdisciplinary Science and Math Initiative and supports innovative and collaborative teaching and research programs in the sciences and math. The [Center for Community and Civic Engagement \(CCCE\)](#) supports the integration of community-based learning and research into the curriculum under the rubric of [Academic Civic Engagement \(ACE\)](#). The [Perlman Learning and Teaching Center \(LTC\)](#) through its regular lunchtime panels, winter-break workshops, webpage, book groups and other events provides numerous venues for discussing and disseminating best practices across academic initiatives. For further description of the LTC's support for faculty, see 3.C.4. below. All of these academic initiatives and services involve the support of the Gould Library and [Information Technology Services](#), which provide resources and guidance for individuals and groups of faculty engaged in curricular innovation.

**3.B.5.** The [Faculty Handbook](#) defines teaching effectiveness “over the long term of a career” as depending “on a commitment to and a capacity for scholarship and continuing intellectual growth.” As discussed in 3.C, the Carleton faculty model these principles for Carleton students. The curriculum enables students to engage in independent research and artistic practices, and faculty encourage students to demonstrate their emerging abilities to produce their own scholarship or creative work. The most common example involves the Senior Integrative Exercise (Comps), which in most cases involves individual or group research (3.B.3. above). Students engage in their own scholarship in a variety of other ways. Some students earn research fellowships that are either [Carleton-funded](#) or provided by [national or international sources](#). Many students work with faculty on their own research as research assistants or even collaborators and as co-authors of published scholarship. Students in a variety of fields are encouraged and supported to present their research at scholarly conferences. These are varied and substantial experiences that are partially captured in the LTC’s annual [Research Symposium Booklet](#) and the Humanities Center’s [Student Research Partners booklets](#).

The intellectual life of the Carleton campus is replete with events, speakers, conferences, and performances. Each Friday during the term, the campus reserves a common hour to hear a [Convocation](#) speaker. Some courses integrate Convocation addresses into instruction. Many other events recur each year and offer similar opportunities for students to listen and interact with scholars, artists, and notables of various professions. The College supports many of these events with [endowed speaker funds and lectureships](#). Some events are held in conjunction with faculty and students at St. Olaf. The Mathematics and Statistics Department, for instance, sponsors the Northfield Undergraduate Mathematics Symposium and collaborates on the Math Across the Cannon (River) speaker series. This wide array of opportunities to participate in research and to learn from outside experts helps prepare our students for life after Carleton and for admission to [doctoral degree programs](#).

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- Convocation
- Courses at St Olaf
- Critical Conversations
- CS Major \_ Comps Overview \_ 3B
- Curricular Innovation Grants
- Developmental Model of Advising
- Digital Liberal Arts (DLA)
- Endowed Speaker Funds and Lectureships
- Ethical Inquiry (EthIC)
- Faculty-Led Off-Campus Programs
- Foreign Languages Across the Curriculum (FLAC)
- Guidelines for Writing-Rich Courses at Carleton \_ Writing Across the Curriculum \_ Carleton College
- Humanities Center
- Humanities Center \_ s Student Research Partners Booklet
- Information Technology Services
- Integrative Exercise (Comps) \_ Physics and Astronomy \_ 3B
- Integrative Science and Math Education
- IRA memo \_ bacc \_ orig \_ doc 2012-2016 \_ 4A
- LTC Research Symposium Booklet
- Mapping Student Learning Outcomes onto the Graduation Requirements
- Mission Statement
- Participation Statistics in OCS Programs
- Perlman Learning and Teaching Center (LTC)
- Pre-Health Program
- Public Works - Arts and Humanities Connecting Communities
- Quantitative Reasoning (QuIRK)
- Satisfactory \_ Credit \_ No Credit Policy
- Senior Integrative Exercise (Comps)
- Senior Integrative Exercise (Comps) Guidelines \_ Religion \_ 3B
- Statement on Diversity
- Student Fellowships (Carleton-funded)
- Student Fellowships (Funded by National or International Sources)
- Student Learning Outcomes
- Teaching Licensure \_ Educational Studies \_ 3B4
- Team-Teaching
- Visualizing the Liberal Arts (Viz)
- Writing Across the Curriculum (WAC)
- Writing Requirement \_ Campus Handbook \_ Carleton College
- WritingPortfoliodescription \_ WACwebpage \_ 4B4



## 3.C - Core Component 3.C

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The institution has the faculty and staff needed for effective, high-quality programs and student services.

1. The institution has sufficient numbers and continuity of faculty members to carry out both the classroom and the non-classroom roles of faculty, including oversight of the curriculum and expectations for student performance; establishment of academic credentials for instructional staff; involvement in assessment of student learning.
2. All instructors are appropriately qualified, including those in dual credit, contractual, and consortial programs.
3. Instructors are evaluated regularly in accordance with established institutional policies and procedures.
4. The institution has processes and resources for assuring that instructors are current in their disciplines and adept in their teaching roles; it supports their professional development.
5. Instructors are accessible for student inquiry.
6. Staff members providing student support services, such as tutoring, financial aid advising, academic advising, and co-curricular activities, are appropriately qualified, trained, and supported in their professional development.

### Argument

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**3.C.1 and 2.** The quality and quantity of the [Carleton faculty](#) provides highly effective oversight of the curriculum to support students. In 2017-18, Carleton employed 212 full-time faculty and 49 part-time faculty, according to the [Common Data Set \(CDS\)](#) of the College. Of the full-time faculty, 142 are tenured (67%) and 36 are tenure-track (17%). Over 98% of all full-time faculty [possess a terminal degree](#) in their field. Carleton sustains a student-faculty ratio of 9 to 1, and [70% of classes have fewer than 20 students](#). This ratio enables the faculty to work intensively with small groups of students, something that is most apparent at the level of the Senior Integrative Exercise (comps). It is also demonstrated in faculty-student collaboration in labs, in field work, conferences, and in community-based learning projects.

**3.C.3.** All instructional faculty undergo evaluations as specified for the type of appointment they hold. The [Faculty Handbook](#) defines [five instructional appointment types](#): (1) tenure-track appointments to the ranks of professor, associate professor, assistant professor, and instructor; (2) appointments in the Department of Physical Education, Athletics, and Recreation (PEAR) based on renewable contracts; (3) faculty on continuing appointments based on renewable contracts; (4) visiting faculty appointments; and (5) appointments in applied music in the Department of Music. Only the first category allows for the possibility of tenure. The Faculty Handbook stipulates the process for promotion of all regular tenure-track faculty. These faculty undergo a formal review at the third year and when they become eligible to stand for tenure, normally during the sixth year of their appointment. Prior to the sixth year, department chairs (or designated senior department faculty) [mentor junior faculty](#). All chairs and program directors conduct [end-of-year conversations](#) with all tenure-track faculty in their departments/programs. The Office of the Dean provides guidelines to department chairs on the planning and timing of each [third-year](#) and [tenure review](#). The Faculty Handbook also describes the process of reviews for PEAR and non-PEAR faculty on continuing but non-tenurable appointments, as well as the process of promoting tenured associate professors to the status of full professors. Applied music instructors are evaluated every three years by the Music Department (see [Information for Applied Music Faculty](#)); visiting faculty are evaluated by the chair or other designated tenured faculty member of the department/program in which they are appointed.

The formal review process for tenure-track faculty emphasizes the central roles of excellence in teaching, a

commitment to scholarly growth, and service to the College and the professional community (see [Faculty Handbook \(Tenure- and Non-tenure Track Reviews\)](#)). At both the third-year and tenure review points, the candidate is asked to submit a professional prospectus and supporting scholarly and teaching materials. In addition, a carefully sampled cohort of the candidate's students are asked by the Dean's Office to provide written evaluations of the candidate's teaching. For tenure reviews, external evaluators who are knowledgeable about the candidate's scholarly field are asked to provide their assessment of the candidate's scholarly or artistic work. Colleagues in the candidate's department observe the candidate's teaching and provide assessments based on their observations and materials in the candidate's dossier, including student and external evaluations. The Dean submits these materials, including colleagues' assessments, to the Faculty Personnel Committee (FPC), composed of the President, the Dean, and five elected members of the faculty, who then deliberate and provide a recommendation for tenure to Dean and the President, who in turn make a recommendation to the Board of Trustees. For third-year reviews, members of the FPC provide a recommendation to the Dean and President on reappointment and feedback for the candidate on their performance and areas for improvement. For more on the composition of the FPC, see [Faculty Bylaws](#), Art. VII, B. The Faculty Handbook describes review procedures for continuing and PEAR faculty, which are modeled on those for third-year and tenure review, but scholarship is not considered.

Departments or programs wishing to make a tenure-track hire must submit a proposal to the Dean and the Faculty Curricular Planning Committee, which advises the Dean on the allocation of tenure-track positions. Once departments and programs are authorized to hire for a tenure-track position by the Dean, they undergo a process that begins with the careful design of an ad in close consultation with the Dean of the College and the Director of Faculty Diversity Recruitment. Each department works with the Director of Faculty Diversity Recruitment to develop strategies for diversifying the pool of applicants and creating a process for minimizing implicit bias in recruitment and the consideration of job candidates. Following the conclusion of each tenure-track hiring process, the department meets with the Director of Faculty Diversity Recruitment to debrief on what was learned from the process. The hiring of non-tenure track candidates is managed by the Associate Dean of the College. The guidelines in use assure that each search, both tenure-track and non-tenure track, is thorough, fair, and provides the highest quality instructors and instructional support staff (see [Hiring Policies for Tenure-Track and Non-tenure Track Appointments](#)).

**3.C.4.** Carleton maintains a robust infrastructure for the professional development of its faculty and staff members who provide academic support and advising. New tenure-track faculty and faculty on continuing appointments are assigned a mentor outside of their department by the Dean of the College in consultation with the Director of the Perlman Learning and Teaching Center (LTC) and the Director of Faculty Diversity Recruitment. [New faculty mentors](#) provide confidential advice and support for the first two years of appointment. Mentees meet regularly to discuss various issues in the [LTC Faculty Mentoring Program](#). All new faculty join the [New Faculty Orientation Workshop](#) and they are eligible to receive advice on their classroom teaching from designated senior faculty in the [LTC Junior-Senior Faculty Class Visitation Program](#). New faculty also participate in a special [winter break workshop](#), which serves as a chance to reflect and learn from their first term of teaching at Carleton, as well as to practice "micro-teaching" in front of their peers. The Director of the Perlman Learning and Teaching Center serves as the mentor for all visiting faculty. The LTC provides continued support to all faculty through its lunchtime events, winter-break workshops, teaching circles, and other activities. Faculty can also have designated, specially trained students visit their classes and provide feedback as part of the [LTC Student Observer Program](#). As discussed further in 3.E, faculty may also develop their knowledge and practice in areas of supporting students in terms of their overall wellness by participating in training programs through the [Office of Health Promotion](#). Some of the most prominent of these involve "gatekeeper training" in areas of mental and emotional health, and working with LGBTQ+ students. Additionally, the Dean's Office provides start-up funding for new tenure-track hires to support laboratory needs and other research costs.

All tenured, tenure-track, and continuing faculty may also apply for curricular innovation grants to support the creation of new courses, implementation of innovative pedagogies, or engage in team-teaching. Many

new faculty find additional sources of support through the many academic initiatives, grant-supported projects, and institutions such as the Humanities Center that are described in 3.B. Carleton faculty also make use of opportunities for professional development provided through Carleton's membership in consortia, specifically the [Alliance to Advance Liberal Arts Colleges](#), the [Associated Colleges of the Midwest](#) (ACM), and the [Liberal Arts Consortium for Digital Innovation](#).

Faculty scholarship, including research involving collaborations with students, is supported by external and internal sources. Carleton's sabbatical leave policy provides one term at full pay for tenured and tenure-track faculty after three years (nine terms) of full time teaching. Faculty on continuing appointments are also eligible for professional leave at full pay. Carleton faculty have successfully earned [external research grants](#) from many sources, including the National Science Foundation, the National Institute of Health, the Fulbright Program, the National Endowment for the Humanities, the ACM, and many others. Faculty seeking external support are encouraged to consult the [Office of Corporate and Foundation Relations](#), which provides step-by-step assistance in the grant process. Several internal grants are distributed on a competitive basis by the Faculty Grants Committee. These are funded through the [Faculty Development Endowment \(FDE\)](#) that supports both term-long projects ("large FDEs") and shorter "break-long" projects ("small FDEs"). Junior faculty who are awarded large FDEs become eligible to apply for an additional term of support through the Class of 1949 Endowed Fund for Faculty Development. The Faculty Grants Committee also disburses [Targeted Opportunity Grants](#) to support work that falls outside of the traditional scholarship and creative work supported by external and large FDE grants. Support for research assistants during terms and the summer and winter breaks are available through the Dean's office. All tenured, tenure-track, and PEAR faculty, and most continuing faculty, have [Professional Development Accounts \(PDAs\)](#) to support conference attendance, memberships, and other professional costs. The Dean's Office has endowed funds to support additional conference and research travel for faculty, as well as research equipment needs. The Dean's Office provides new tenure-track and PEAR faculty a useful information sheet summarizing the many sources of support (see [Support for Scholarship and Other Professional Activities](#)).

**3.C.5.** The strong emphasis on teaching and advising in the tenure and promotion process ensures that Carleton faculty attend closely to their responsibilities to students, inside and outside the classroom. In their roles as instructors and academic advisors, faculty hold regular office hours and make themselves available to students outside of class time. The Faculty Handbook includes a policy detailing the [expectations for faculty](#) to participate in the life of the community and campus events. But faculty go well beyond these baseline expectations; academic departments routinely sponsor a wide range of events for students, and [maintain a fund to support faculty-student interaction](#) outside the classroom. In addition, the "[Take a Faculty Member to Lunch](#)" program allows students to invite faculty and staff advisors to share a meal and a conversation.

**3.C.6.** Carleton has a strong record of hiring and supporting staff who are integral to the educational mission of the College and well-qualified for their duties. For the hiring and orientation of staff, see 2.A. above. New staff employees participate in the [Community Resource Program \(CCRP\)](#), which matches them with an experienced staff member who can advise and mentor as new employees engage with the campus community. Human Resources provides new staff orientation and [additional training services](#). Academic staff have access to [professional development funds](#) to attend conferences, build skills, or obtain additional certifications. Academic staff regularly attend LTC lunchtime panels and participate alongside faculty in workshops during the breaks. Upwards of 22 staff participate in the staff adviser program in which they are trained by the Director of Advising to work with four or five first-year and second-year liberal arts advisees. This training involves a two day workshop (see the agendas for [2016](#), [2017](#), [2018](#) as evidence) that ensures that staff advisers know the [curriculum and academic regulations well](#). Staff advisers also participate in the Winter advising workshops, described in 3.D.3 below. For additional information on the training and professional development of staff, see 5.A.4 below.

## Sources

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- 2016\_Academic Advisor Training for New Staff Advisors SummerANDFall\_3C 2016
- 2017\_Academic Advisor Training for New FacultyStaff Advisors
- 2018\_Academic Advisor Training for New FacultyStaff Advisors
- Additional Training Services (Human Resources)
- AdvisingWorkshop\_August 2017 Curriculum and Rules and Regs
- Alliance to Advance Liberal Arts Colleges (AALAC)
- Associated Colleges of the Midwest (ACM)
- Common Data Set (CDS)
- Community Resource Program (CCRP)
- End-of-Year Conversations
- External Grants 2016-2017
- Faculty Bylaws
- Faculty Development Endowment (FDE)
- Faculty Entertaining Students Program \_ Campus Handbook \_ 3C
- Faculty Expectations Regarding Time on Campus \_ Campus Handbook \_ 3C
- Faculty Handbook (Faculty Appointments)
- Faculty Handbook (Tenure- and Non-Tenure Track Reviews)
- FacultyRoster-TerminalDegree\_DOC\_3C
- Hiring Policies for Tenure-Track and Non-tenure Track Appointments
- Information for Applied Music Faculty
- Liberal Arts Consortium for Online Learning (LACOL)
- LTC Faculty Mentoring Program
- LTC Junior-Senior Faculty Class Visitation Program
- LTC Student Observer Program
- M13\_ClassSize\_Management Metrics Fall 2018 Update\_3C
- Mentoring Junior Faculty
- New Faculty Mentors (Dean of the College)
- NewFacultyOrientation\_DeanoftheCollegeOffice\_2A
- NewFacultyWinterWorkshops\_LearningandTeachingCenter\_2A
- Office of Corporate and Foundation Relations
- Office of Health Promotion (OHP)
- Professional Development Accounts (PDAs)
- StaffProfessionalDeveloopment\_DeanoftheCollegeOffice\_2A
- Support for Scholarship and Other Professional Activities
- Take a Faculty Member to Lunch Program \_ Dean of the College Office \_3C
- Targeted Opportunity Grants
- Tenure Reviews
- Third-Year Reviews

## 3.D - Core Component 3.D

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The institution provides support for student learning and effective teaching.

1. The institution provides student support services suited to the needs of its student populations.
2. The institution provides for learning support and preparatory instruction to address the academic needs of its students. It has a process for directing entering students to courses and programs for which the students are adequately prepared.
3. The institution provides academic advising suited to its programs and the needs of its students.
4. The institution provides to students and instructors the infrastructure and resources necessary to support effective teaching and learning (technological infrastructure, scientific laboratories, libraries, performance spaces, clinical practice sites, museum collections, as appropriate to the institution's offerings).
5. The institution provides to students guidance in the effective use of research and information resources.

### Argument

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**3.D.1.** Carleton offers a broad array of services to support student learning. The support services across campus are all staffed in ways that foster a collaborative, advising-based approach to student services.

The [Academic Support Center](#) encourages students to make use of a wide variety of services to develop specific academic skills, such as writing, math, and speaking skills. The Academic Support Center offers multilingual and second language writing assistance, assigns Writing Consultants to work with specific courses, and provides faculty with sample syllabi statements to help students understand how their office can assist with students' academic success. The [Writing Center](#) and the [Speak Easy](#) are housed on the main floor of the Gould Library and the [Math Skills Center](#) is located in the Math and Computer Science building. Both the Writing Center and the Math Skills Center are staffed by full-time employees who bring a versatile approach to differentiated learning and working with students on their long-term skill development in addition to supporting completion of classwork. The Academic Support Center also employs an [Academic Skills Coach](#) to work one-on-one with students on learning strategies and time management. The [Career Center](#) is available to help students explore their academic interests and map them to available internships and post-graduation opportunities. (The Career Center is discussed more extensively in 3.E).

Students support each other's intellectual growth through the [Prefect Program](#), and as [Academic Tutors](#), Writing Consultants at the Writing Center, and as tutors in the [Language Center](#). The Language Center, overseen by the Dean of the College, offers a variety of resources to support and supplement second language learning at Carleton, including specially-equipped computer labs, foreign language films, and homework help and tutoring. While much of the Language Center's work focuses on language courses taught in our curriculum, it also supports students who are looking to acquire languages not offered by Carleton (in anticipation of an off-campus study experience, for instance).

These programs support the institutional slogan of "[Carls Ask Questions](#)" that frames a suite of programs for curricular and research support at Carleton. Student prefects and tutors also learn from these programs, as each provides a valuable growth opportunity for the students doing the mentoring. The Prefect Program, in which upper level students offer group study sessions, encourages students to explore their learning through critical thinking and problem-solving exercises. About 25 percent of the student body have one or more courses with a prefect, typically in introductory math and science courses. [Language associates](#) are foreign college students who work at Carleton for one year, interacting regularly with Carleton students



studying their native languages. In addition to running a variety of formal and informal conversation programs, the language associates live in [Parish International House](#), the site of many co-curricular events supporting the development of language competency and fluency.

Carleton promotes educational access and equity for all of its students. [Disability Services](#), in the division of the Dean of Students, works to ensure equal learning and working opportunities for students with disabilities, and to eliminate physical, programmatic, policy, informational, and attitudinal barriers. Students meet with Disability Services to document disabilities and seek appropriate accommodations; Disability Services works with, and assists students to work with, faculty and staff who are responsible for providing those accommodations, including accommodations for coursework, residence halls, and dining halls.

[Student Financial Services](#) ensures that finances are not a barrier to a Carleton education. The [Student Health and Counseling Center](#) (SHAC) helps students maintain the physical and mental health necessary to be successful at Carleton. In part because our shorter term provides less opportunity for students to recover from any gaps in attendance or delays in completing coursework, Carleton recently added an [Office of Health Promotion](#) (OHP) to promote a holistic and proactive approach to students' physical and mental health with a goal of creating a community of students who are flourishing in their academics and their lives as a whole. (SHAC and OHP are discussed further in section 3.E).

**3.D.2.** From the moment new students accept the offer to come to Carleton, they receive a series of new student mailings and [information regarding academic offerings and registration](#). This includes carefully calibrated [placement testing](#) to place them for best success in the language, math and chemistry sequences. Students also use the [Course Navigator](#) system to consider their registration options before arriving on campus. Once on campus, students meet with their academic advisers (see below, 3.D.3) and confirm their registration. All students begin their first term in a first-year seminar (the [Argument and Inquiry seminar](#)) to support the development of writing and reasoning skills as described in section 3.B.

For the past two summers Carleton has provided a more proactive bridging experience for students who are less prepared in their quantitative skills. A cohort of incoming students in the [Carleton Undergraduate Bridge Experience \(CUBE\)](#) review skills learned in high school, learn key quantitative concepts and their real-world application, and interact with faculty and alumni who use particular quantitative skills in their work.

The college transition is especially acute for those students who are the first in their family to attend college or from less rigorous high schools. Those students, and those from under-represented groups, are supported both academically and socially through the Posse, TRIO/SSS, and FOCUS programs as described in section 3.E.

**3.D.3** As described in 3.B, advising relationships are crucial to empowering students to take ownership of their education and succeed academically. Carleton's developmental model expects students to:

- reflect on their experiences and identify their own interests, strengths, and challenges;
- articulate their educational goals and strategies for achieving them.

Entering students are assigned a liberal arts adviser who will guide and counsel them for the first five terms until they select their majors in the second week of their sixth term. At that point, their major department assigns a major adviser. The [Advising System](#) follows a [developmental model](#) that addresses the whole student in matters involving their intellectual growth and professional skills, as well as character and resilience. The Director of Advising, who works within the Dean of the College Office, manages the advising system by providing training to new advisers (see examples for [2016](#), [2017](#), [2018](#)), workshops and timely information for all advisers (see examples for [2016](#), [2017](#), and [2018](#)), and handling all advising assignments for students in their first six terms. Winter break workshops ([2016](#), [2017](#), [2018](#)) led by the



Director of Advising explore particular dimensions of advising in greater depth. Most liberal arts advisers and all advisers within the major are faculty. In recent years, a small, highly-trained cohort of staff advisers have also served as liberal arts advisers (see 3.C above).

**3.D.4** Carleton students have a breadth of resources available to support their academic efforts. As with most institutions, the library is a hub of academic activity. The [Laurence McKinley Gould Library](#) maintains an outstanding undergraduate [library collection](#). Included in the collection are over 563,000 books, 937 active print journal subscriptions, over 39,000 electronic journals, and over 400,000 U.S. government publications, including maps. The library also maintains a collection of over 8,000 volumes in its Special Collections, and a growing digital collection with materials from the archives and teaching collections. The library also houses 51 out of 250 computers available in [public labs](#).

Specialty technology labs are available in most departments, including the [Language Lab](#), the [Idea Lab](#) and the [Instrument Shop](#). [Information Technology Services](#) also offers software and services in support of the activities mentioned in this section, such as [assistive technology](#), [computer repair](#) for student-owned computers, and a newly launched Chromebook pilot for students who cannot provide their own computers. [Academic Technologists](#) are available to support students and faculty in making effective use of available and emerging technologies.

Resources are available to support students across all curricular and co-curricular interest areas. The [Arts at Carleton](#) are supported robustly by resources centralized in the Weitz Center for Creativity. In addition to College offerings, students also have a healthy list of student-created and student-run clubs and [organizations](#) that span all interest areas with financial support from the [Carleton Student Association \(CSA\)](#). The CSA is discussed in greater detail in 3.E.

**3.D.5.** As discussed in greater detail in 2.E above, Carleton students receive extensive guidance in the responsible use of information and ethical research practices. Much of this guidance comes from faculty in their first-year Argument and Inquiry Seminars and elsewhere in introductory courses. In addition, [Reference and Instruction Librarians](#) support students in locating and leveraging available information resources.

## Sources

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- 2016\_Academic Advisor Training for New Faculty Advisors
- 2016\_Advising Workshop Agenda
- 2017\_Academic Advisor Training for New FacultyStaff Advisors
- 2017\_Advising Workshop Agenda
- 2018\_Academic Advisor Training for New FacultyStaff Advisors
- 2018\_Advising Workshop Agenda
- Academic and Registration Information \_ New Students 2018 \_ 3D
- Academic Technologists
- Academic Tutoring \_ Academic Support Center \_3D
- AcademicSkillsCoach\_AcademicSupportCenter\_3D
- AcademicSupportCenter\_CarletonWebpage\_4A4
- Advising Handbook
- Argument \_ Inquiry Seminar (A\_I)
- Arts at Carleton
- Assistive Technology
- Career Center
- Carleton Student Association (CSA)
- Carleton Undergraduate Bridge Experience (CUBE)

- Carls Ask Questions
- Computer Repair
- CourseNavigator \_ New Students 2018 \_ 3D
- Developmental Model of Advising
- Disability Services
- Idea Lab
- Information Technology Services(2)
- Instrument Shop
- Language Associates
- Language Center \_ 3D
- Language Lab
- Laurence McKinley Gould Library
- Library Collection
- Math Skills Center
- Office of Health Promotion (OHP)
- Parish International House
- Placement Testing
- Prefect Program
- Public Labs
- Reference and Instruction Librarians
- Speak Easy
- Student Financial Services
- Student Health and Counseling (SHAC)
- Student Organizations
- Winter2016 \_ Advising the Whole Student
- Winter2017 \_ Acknowledging Class through Advising
- Winter2018 \_ Where is the Line \_ Workshop
- Writing Center

## 3.E - Core Component 3.E

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The institution fulfills the claims it makes for an enriched educational environment.

1. Co-curricular programs are suited to the institution's mission and contribute to the educational experience of its students.
2. The institution demonstrates any claims it makes about contributions to its students' educational experience by virtue of aspects of its mission, such as research, community engagement, service learning, religious or spiritual purpose, and economic development.

### Argument

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**3.E.1.** Following its [Mission](#), Carleton aspires to produce students who “lead lives of learning” in all aspects. This encompasses the co-curricular and personal as it does the academic and intellectual. From a Carleton student's first day on campus, the co-curricular program, spearheaded by [New Student Week](#), provides all incoming students with experiences and information that prepare them to thrive academically and socially in their first year at Carleton. Prior to their arrival, students are asked to complete three online educational trainings, [DiversityEDU](#), [Haven](#), and [AlcoholEdu](#), to provide a foundation for discussion during their first weeks at Carleton and beyond.

The [mission of New Student Week](#) is to help students:

1. Acquire reliable sources of information for academic issues, policies, and regulations.
2. Be aware of support structures for social, emotional, and physical health and well-being.
3. Begin to understand the rewards and challenges of living in a diverse community.
4. Begin the process of making social connections within a diverse community.

Student support continues through the year in various forms, including cohort and peer support. Students are provided with the opportunity to be part of different cohorts as incoming students and serve as leaders as they become more experienced Carleton students. The College employs hundreds of students in a variety of leadership roles, and every office of the [Division of Student Life](#) recruits and trains [Peer Leaders](#) to provide important programs and services to the campus community.

[TRIO/Student Support Services](#), funded by a grant from the U.S. Department of Education's Student Support Services Program, operates in the Student Life division and assists 130 low-income and/or first-generation college students in their pursuit of a bachelor's degree. TRIO provides one-on-one advising, peer mentoring to first-year students, textbook assistance, academic workshops, and financial literacy workshops; it also hosts an annual retreat. TRIO also provides programming on socioeconomic diversity for the entire campus through their “First Generation Faculty” panel and “Class Act” event, an annual peer to peer educational and interactive program that helps participants take pride in their backgrounds and feel comfortable talking about their own social class status.

The [Office of Intercultural and International Life](#) (OIIL) leads the International Student Orientation for incoming international students, and OIIL staff work with Peer Leaders to coordinate the OIIL annual retreat, OIIL Talks, academic programs, and social programs. Students who apply to and are accepted into the [FOCUS](#) and [CUBE](#) programs (mentioned in 3.D) receive additional support for their training in the sciences and mathematics from faculty in those departments. FOCUS, funded in part by grants from the National Science Foundation, serves “groups historically underrepresented in STEM fields” through 1- and 2-credit classes, conference attendance, and mentoring. The [Mellon-Mays program](#), funded by the Andrew W. Mellon Foundation, seeks “to increase the number of students from historically and currently

underrepresented groups...who pursue PhDs” in the humanities by supporting undergraduate research and the graduate school application process. Carleton also has a long experience with the [Posse Program](#), supporting ten new Posse scholars per year who receive a designated faculty mentor and meet weekly throughout their first two years on campus (see 1.C.1 for further detail).

A major and growing dimension of co-curricular programming at Carleton involves topics of wellness/well-being. Offices leading this effort include [Student Health and Counseling \(SHAC\)](#), the [Office of Health Promotion \(OHP\)](#), and the [Gender and Sexuality Center](#). In addition to providing medical and counseling services, SHAC also offers [group therapy](#), [online screening tools](#), and a [video series](#) on resilience, that is also linked to the Recreation Center’s programming. The OHP, established in 2016, “envision[s] a flourishing Carleton in which the entire campus community supports relationships, environments, and behaviors that are in pursuit of the well-being of all Carleton community members.” OHP offers numerous trainings and workshops each year to faculty, staff, and students, including [gatekeeper trainings](#) to help individuals in crisis. OHP’s student-focused efforts include thematic programs such as [Sleep@Carleton](#), [CUES](#) (a peer-to-peer program that invites groups and teams to discuss alcohol use), and [Happy Hour](#) (a program in positive psychology). Peer Leaders in the Gender and Sexuality Center lead discussion groups such as [FemSex](#) and [MSex](#) (on healthy sexual behavior), based on established curricula.

Behavioral health support is a major growth area within overall wellness efforts at Carleton. The College community is served by the Behavioral Health Advisory Team made up of select staff, faculty, and Northfield community members who oversee three major behavioral health initiatives supported by three grants. The Partnerships for Success Grant focuses on reducing alcohol (18-20 yr olds) and marijuana use (18-25 yr olds). The [Garrett Lee Smith Suicide Prevention Grant](#) facilitates a comprehensive public health approach to prevent suicide. The Jed Foundation Campus Initiative promotes the emotional well-being of students, reducing the risk of suicide and serious substance abuse. This array of programming works in tandem to strengthen the tools the community has to help students learn and thrive.

Carleton's [Mission Statement](#) includes a commitment to "the healthy balance of mind, body and spirit," and this extends to athletics. In addition to the [four terms of physical education required to graduate](#), a large percentage of students engage in varsity, intramural, and club sports. Varsity sports provide the greatest challenges by developing student-athletes who pursue the highest levels of rigor in athletics under the guidance of professional coaches. Intramural and club sports provide more community-enhancing and collegial opportunities for helping students develop a balance between their academics and their social-athletic pursuits (See [Physical Education, Athletics, and Recreation](#)). The [Recreation Center](#) provides programming to encourage the community to “maintain a balanced, healthy lifestyle” by ensuring that users have access to all kinds of fitness and well-being programs, as well as athletic programs throughout the year.

**3.E.2.** Carleton encourages students to challenge themselves with co-curricular learning in the community and in workplaces beyond campus. In addition to the academic civic engagement curriculum discussed in section 3.B, the Center for Community and Civic Engagement (CCCE) offers seven academic areas in which students can volunteer: arts and humanities, community development, education, environment and energy, food, global affairs, and health. Three of the largest and most developed of these programs are [TORCH at Northfield High School](#) and [Northfield Middle School](#), [Project Friendship](#), and [Food Recovery Network](#). TORCH focuses on improving equitable access to post-secondary education by providing tutors to underserved student populations in the local school district. Student volunteers in Project Friendship mentor local youth in grades 2 through 7 throughout the academic year. Carleton's chapter of the national Food Recovery Network addresses local food insecurity; student volunteers work with dining hall employees to recover more than 25 pounds of food each day for donation to community partners. The CCCE's student learning goals define civic engagement as an opportunity for students to develop leadership and to understand the true complexity of the problems studied in the classroom. As such, it is one of the most valuable forms of co-curricular learning at Carleton.

Carleton's commitment to educating the whole student includes attention to the professional development of students from the time they enter through graduation and beyond. The [Career Center](#) empowers students and recent graduates to integrate and apply their liberal arts education towards successful careers and meaningful lives after Carleton. To achieve this mission, the Career Center highlights [eight learning goals](#) that are supported with resources and guidance. These resources include Career Tracks, a tool that personalizes students' engagement with the Career Center and can be used in partnership with their academic advisers. Students explore careers through self-assessment, occupational research, guest speakers, and examining the range of career contacts and resources organized in [Pathways](#), an online source for career information organized around majors and fields of work.

Sophomore year is a strategic time for students to start thinking more broadly about their education and how course selection, choice of major, and the pursuit of internships and externships can all link together to make a coherent professional pathway. To support our students' planning, the annual [Sophomorphosis](#) program sponsors an array of events, iterated twice to allow for maximum attendance. These events cover externships, internships, fellowships, study abroad, resumé writing, the pre-health program, and important upcoming deadlines. Students can also participate in an experiential opportunity through the [Scholars Program](#), which offers students career exploration, alumni connections, networking, and professional skills. Carleton's Off-Campus Programs, discussed in 3.B, provide a range of experiences that are relevant to the professional and personal development of students.

The Carleton community benefits from a number of initiatives that either involve students heavily in their implementation or were the initiative of students. Supported by the OHP, [Green Dot Bystander Intervention](#) is a national program adapted to Carleton in 2015-2016. By participating in Green Dot, students learn how to be an active bystander, recognize behavior that leads to harm, and understand personal obstacles to action. Once started by a cohort of student leaders, [Students Engaging in Essential Dialogue \(SEED\)](#) is a peer-to-peer program supported by the Dean of Students Office that aims to create a more open campus culture characterized by ongoing conversations among students about inclusion, exclusion, and difference. Groups and organizations request trained student facilitators from SEED to lead conversations concerning identities and intersections. Co-curricular residential programming is another area that provides support for broad-based student learning. [Civil Discourse on a Diverse Campus](#) is a year-long 2 credit living-learning course based in one of the residence halls that explores what makes for a good discourse, and involves sustained conversations about diversity, power, and privilege. [Critical Conversations](#) is a non-residential course that focuses on similar questions.

The [Office of the Chaplain](#) at Carleton hosts weekly worship services and religious holiday celebrations representing a variety of faiths. The Chaplain serves as a resource to 16 student religious groups on campus that include Christian, Buddhist, Jewish, Muslim, and Quaker organizations. In collaboration with academic departments, local churches, and other offices on campus the Chaplain's Office provides programming for members of the Carleton community from a wide array of religious and spiritual backgrounds. In the residence halls, students may participate in peer-led dialogues about religious and spiritual experiences through [Religious Diversity Floor Panels](#).

The 800-acre [Cowling Arboretum \(the Arb\)](#) provides the Carleton community opportunities for research, education, and outdoor recreation. During New Student Week, each first-year student plants a tree and learns about the Arb. Throughout each year, numerous courses and student groups use the Arb for research, community outreach, and recreation (see [Cowling Arboretum Annual Report 2017](#)). The [Carleton Student Organic Farm](#) (Carleton Farm) strives to grow food in sustainable and experimental ways. The produce is sold to Bon Appetit, the food service company on campus. Carleton Farm hosts events for the Carleton community to learn about harvesting vegetables and fruits while encouraging involvement in related campus organizations.

As the preceding descriptions suggest, Carleton has a strong tradition of student leadership and depends on

students to initiate, direct, and maintain the programs that directly benefit them. The Carleton Student Association (CSA) is the student governing body. Its responsibilities, capacities, and procedures are strictly managed by elected student leaders who are the stewards of its constitution and bylaws (see [CSA Constitution](#) and [CSA Bylaws](#)). Among its most important responsibilities are the management of a budget based largely on student activity fee revenues that fund an array of [student organizations](#) and events during the academic year. CSA also provides a venue for students to be represented and to articulate their ideas as they pertain to the governance of the College.

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- Religious Diversity Floor Panels
- Scholars Program



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- TORCH at Northfield Middle School
- TRIO Student Support Services

## 3.S - Criterion 3 - Summary

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The institution provides high quality education, wherever and however its offerings are delivered.

### Summary

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A Carleton education is meant to produce well-rounded, creative, life-long learners who will achieve professional and personal satisfaction and be of service to humanity. The curriculum, instructional and other professional staff, academic resources, and co-curricular programming of the College work to ensure that all our students have access to the highest quality residential liberal arts education and the opportunity to reach their goals. The sustainability of Carleton's mission is based fundamentally on the careful design of processes that govern and maintain high academic quality. From the dynamism of the curriculum and the hiring and promotion of faculty, to the design of programming for student well-being, personal and professional growth, Carleton invests continually in its mission. The College sees a clear connection between the development of its academic personnel and resources and the effectiveness of its commitment to liberal learning.

### Sources

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*There are no sources.*

## 4 - Teaching and Learning: Evaluation and Improvement

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The institution demonstrates responsibility for the quality of its educational programs, learning environments, and support services, and it evaluates their effectiveness for student learning through processes designed to promote continuous improvement.

### 4.A - Core Component 4.A

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The institution demonstrates responsibility for the quality of its educational programs.

1. The institution maintains a practice of regular program reviews.
2. The institution evaluates all the credit that it transcripts, including what it awards for experiential learning or other forms of prior learning, or relies on the evaluation of responsible third parties.
3. The institution has policies that assure the quality of the credit it accepts in transfer.
4. The institution maintains and exercises authority over the prerequisites for courses, rigor of courses, expectations for student learning, access to learning resources, and faculty qualifications for all its programs, including dual credit programs. It assures that its dual credit courses or programs for high school students are equivalent in learning outcomes and levels of achievement to its higher education curriculum.
5. The institution maintains specialized accreditation for its programs as appropriate to its educational purposes.
6. The institution evaluates the success of its graduates. The institution assures that the degree or certificate programs it represents as preparation for advanced study or employment accomplish these purposes. For all programs, the institution looks to indicators it deems appropriate to its mission, such as employment rates, admission rates to advanced degree programs, and participation rates in fellowships, internships, and special programs (e.g., Peace Corps and Americorps).

### Argument

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**4.A.1.** Since the early 1970s, Carleton has completed [regular, decennial reviews](#) of academic departments and programs under the direction of the Education and Curriculum Committee (ECC) and the Dean of the College. The [review process](#) is clearly laid out in the Department Chair/Program Director Handbook. At the beginning of the process, Institutional Research and Assessment provides the department or program under review with historical data including enrollments, number of graduating majors, and alumni outcomes, including employment and graduate school matriculation statistics. The Dean of the College provides clear [criteria for the review](#). The department or program then completes a self-study informed by this and other evidence, including annual academic assessment reports. The Dean of the College, in consultation with the the faculty co-chair of the ECC and department or program faculty, invites an external review team to conduct a site visit. The review team's report, along with a department response, then inform a discussion among the department chair or program director, the Dean of the College, and the faculty co-chair of the ECC. Recommendations and conclusions flowing from that conversation are then summarized in a final report composed by the Dean of the College and shared with the department or program. Reviews from the past three years have been supplied as evidence ([2015-16](#), [2016-17](#), [2017-18](#)).

In recent years, departmental and program reviews have generated significant curricular, personnel, and programmatic changes. For example, in response to its decennial review, the Physics Department developed a new, combined course in analytical and computational mechanics and refined its requirement in quantum mechanics. Following its review, the Economics Department replaced its capstone (comps) exam with a

research paper. The Women and Gender Studies Program followed up a review recommendation to hire a scholar specializing in LGBTQ studies. The faculty in the Political Economy Minor used its external review committee as a consultant on its initiative to transform the program into a Public Policy Minor, which began in AY 2017-18.

**4.A.2.** Carleton understands that, at its core, an exceptional undergraduate liberal arts education demands high-quality, rigorous courses, thoughtfully assessed, to ensure that all areas of the curriculum meet the College's standard. All work that Carleton transcripts -- whether taught on-campus, via study abroad, or brought in for transfer -- is subject to evaluation by the Registrar's Office. Credit will only be transcribed in cases where there is clear academic work; therefore, [experiential learning](#), whether via independent study, internship, Academic Civic Engagement, or off-campus study, requires departmental sponsorship and verification of academic work. The Registrar's Office carefully reviews all proposals for [independent study](#), whether connected to experiential learning or academic work.

**4.A.3.** Carleton's [transfer credit policies](#) are developed and annually reviewed by several groups on campus, including administrative offices and academic departments, to ensure that they are accurate, fair, and consistent with Carleton's own curriculum. The policies have been ratified by the Education and Curriculum Committee. The Committee has also carefully considered how many credits should be accepted for [pre-matriculation work](#), and makes these policies clearly available to students in our Academic Regulations & Procedures and in the [Pre-Matriculation Credits area in the Academic Catalog](#). In accordance with the College's transfer credit policy, the Registrar's Office evaluates and awards transfer credit for prior learning. Credit for non-Carleton off-campus study is reviewed by the Off-Campus Studies Office (in collaboration with academic department chairs and program directors) and the Registrar's Office; occasionally academic departments are also asked to evaluate courses for pre-approval. Carleton-directed off-campus study programs are evaluated using the same criteria as on-campus programs.

Except in the case of transfer students, transfer credit may not count toward college graduation requirements other than as general credit. Students who participate in non-Carleton off-campus study programs may [petition their departments](#) for work taken abroad to count toward graduation requirements. [No independent study](#) can be used to fulfill Carleton's distribution requirements. Students may [petition the Academic Standing Committee](#) to request exceptions to academic policies, including transfer and independent study policies.

#### **4.A.4.**

##### *Rigor and Expectations for Student Learning*

Carleton's [Education and Curriculum Committee](#) (ECC) is responsible for the oversight of educational policy and curriculum, including rigor and student learning expectations, and meets weekly during the term. Agenda and minutes for the last three years are included as evidence in 3.A.2 above. The ECC includes membership from the Dean of the College Office, faculty members, students, and standing ex-officio staff members. One of these ex-officio committee members is the College Registrar, whose office works closely with faculty and departments to oversee and manage course prerequisites and other curricular requirements, such as meeting times and appropriate content. [All students earn grades on a single grading scale and are subject to the same late drop transcript notation.](#)

All new course or course change proposals go through four approval steps before they can be included in the course catalog. The process begins with a [proposal from the faculty member](#). For course changes, the proposing faculty member must simply edit the information that is changing and provide an explanation for the change. In the case of new courses, the proposing faculty must provide all information for a course, including prerequisites, grading method, course length, offering information, and which curricular requirements it would fulfill. Faculty must also provide information regarding computing resources and

library resources required for the course. In all cases, the department chair must review the proposed change(s) or new course and verify departmental approval of the course as well as provide any comments on why they support this change or new course. The proposal is then reviewed by the Senior Curriculum and Scheduling Associate in the Registrar's Office, who reviews previous versions of the course and determines whether this course is requested to fulfill the appropriate curricular areas. The proposal is then forwarded to the Registrar for additional review before finishing with a review by the Associate Dean of the College. [The approved course](#) is then included in the College Catalog, usually for the next academic year. In some cases, new courses with broad ranging effects on the curriculum or an unusual format are brought to the ECC for discussion.

Curricular changes, including changes to or the creation of majors and minors, do not require a specific form. In such cases, the department prepares a detailed proposal, approved by the full department, ideally with input from the [Department Curriculum Committee](#). If approved by the ECC, these proposals go before the full faculty where they are voted on after two readings.

Changes to the names of majors and minors need to be approved by the ECC, and the full faculty notified. Changes to the structure of majors and minors need to be approved by the ECC in the following cases:

- Changes to the total required credits, including prerequisites to required courses
- Changes to the required credits for the senior integrative exercise or the addition of new senior integrative exercise-related courses
- The creation or elimination of required gateway, core, or capstone courses
- Substantial realignment of elective categories

Generally, changes such as these do not require approval by the full faculty.

Some changes in a major merit discussion by the ECC but do not require ECC approval. These include changes to the senior integrative exercise process in a major that do not change the required credits. Similarly, only ECC discussion is required for changes to course sequences, especially in cases where the courses serve multiple majors and programs (e.g., a recent change to Carleton's calculus sequence).

Changes to "Departments of Instruction" language in the College catalog generally do not require review by the ECC, and can instead be approved by the Registrar and Associate Dean. Such changes typically involve updates to the list of elective courses offered by a department, non-substantive edits to the description of the major, clarification of existing requirements, etc. Changes to the Prior Credit policy for a particular department generally do not require ECC approval or discussion, only approval of the Registrar and Associate Dean.

### *Access to Learning Resources*

Carleton is committed to providing [reasonable access for all students](#) to learning resources for both academic and co-curricular endeavors. This commitment is a shared responsibility involving physical facilities and support services. Our commitment to physical accessibility was re-affirmed in our [2014 Facilities Master Plan](#) which calls for accessibility to be considered in all renovation projects. The recent renovations of Scoville and Evans Halls, which added accessible entrances and elevators, exemplify this process.

Overall responsibility for day-to-day facilities planning falls to the [Capital Funding and Priorities Committee](#) (CF&PC), which takes the lead on many projects. For example, when the State of Minnesota mandated changes to elevator mechanical requirements CF&PC took this opportunity to identify other

renovations that would simultaneously improve access and address other benefits to the College. In one case, such opportunism in facilities planning resulted in increased accessibility in one of our residence halls.

The CF&PC delegates responsibility for the oversight and evaluation of classroom spaces to the [Classrooms Committee](#); this committee is composed of ex officio members from the offices of Dean of the College, Facilities, Registrar, and Academic Technology plus a rotating faculty member named by the Faculty Affairs Committee. The Committee solicits input from faculty and staff to identify priorities for continual improvement of our classroom spaces. Accessibility concerns are given high priority. For example, several years ago we added special blinds to several classrooms to accommodate students who experience sun-sensitivity.

The CF&PC also sets aside a portion of the facilities budget for a [Facilities Change Request Program](#). All faculty and staff are invited to submit requests for facilities projects ranging in cost from \$3,000 to \$50,000. While this program clearly cannot handle large projects like making an entire building accessible, it often surfaces potential modest improvements to accessibility that might otherwise have been missed.

[Gould Library](#) has standard hours of access, but online resources can be accessed at any time. Carleton's [Recreation Center](#) and other facilities have standard hours of access, which vary seasonally, and [can be reserved by groups](#) with priority for scheduling assigned by the Physical Education, Athletics, and Recreation (PEAR) department.

In addition to physical learning spaces, Carleton recognizes that students must have access to excellent student services to ensure that they are able to take advantage of all the College has to offer. The [Academic Support Center](#), [Math Skills Center](#), and [Writing Center](#), and [Language Center](#) are described in detail above in 3.D.1. [Disability Services](#) works with students to document disabilities and seek appropriate accommodations, both academic and residential (see 3.D.1. above). Carleton's [TRIO program](#) provides academic, personal, and financial support to low-income and first-generation college students and/or students with a documented disability. The program provides mentoring, coordinates academic support offered in the TRIO offices, runs a textbook lending library, and works with departments and programs to address challenges particular (but not unique) to this segment of our student body.

Information Technology Services (ITS) provides students with email, internet, printing, software, cloud computing and storage, and training services. ITS provides support to multiple classroom and learning management technologies utilized by faculty. ITS also hosts a number of [public computing labs](#) outfitted with dual-boot Mac/PCs, printers, and a host of software packages, both for general use and for course-specific needs. The [ITS Helpdesk](#) is a centralized software and hardware support center that all campus members can rely on, even for student-owned devices. The College also recognizes that not all students can afford to bring their own devices to campus; for this reason, students are able to request a [loaner laptop](#) through the Dean of Students Office and ITS.

[Reference librarians at Gould Library](#) hold regular office hours to assist students and faculty with individual research or to visit classes to provide customized instruction. The library also offers a [Research/IT Desk](#) in collaboration with ITS to assist students with their research or to give them tech help for issues related to their research.

Student services are not all about academics, of course. Caring for a student's emotional and physical health is a key component to supporting their success. Carleton's [Class Deans](#), in the Student Life Division, assist students in navigating both the academic and the personal side of being a college student, serve as a student's liaison to the Academic Standing Committee, and [work with faculty](#) who have concerns about a student's well-being in or out of the classroom. When appropriate, faculty or the Dean of Students refer students to [Student Health and Counseling](#) (SHAC). Students may also self-refer. SHAC supports students' physical and mental health. In addition, the Chaplain's Office coordinates religious activities for a range of



faith traditions and provides [pastoral counseling](#) to students (and faculty and staff) wrestling with issues of spiritual growth, values, or personal crises.

### *Faculty Qualifications*

As described in detail in 3.A. above, Carleton ensures faculty qualifications for all programs.

All [appointments to the faculty](#) are made by the Board of Trustees, on the recommendation of the President, advised by the Dean of the College and the chair and other members of the appropriate department, [as described in the Chairs Handbook](#). Candidates must submit proof of qualification upon hire or immediately upon completion of terminal degree if obtained after their hire date. These documents are preserved in files in the Dean of the College Office.

### *Dual Credit*

Carleton College does not offer dual credit courses, but does allow some limited enrollment for high school students during the summer or, on a more limited basis, during the academic year. In the summer, the College offers [Summer Academic Programs](#) taught and led by Carleton faculty members, with guest faculty teaching additional courses on occasion. These courses are structured to ensure that students are completing college-level work commensurate with the number of credits earned. Carleton also allows a limited number of [students from Northfield High School](#) to apply to take one course per term on campus at Carleton for college credit. These students enroll in regular Carleton courses and are expected to complete the same assignments with the same grading and credit policies as matriculated Carleton students.

**4.A.5.** Carleton maintains a [publicly available notice](#) of its current accredited programs. While we have in the past (including much of the time since our last accreditation) offered a teacher licensure program with oversight and approval of the Minnesota Board of Teaching (MNBOT), we discontinued the program on June 30, 2018. From this date, we have partnered with St. Olaf, cross-enrolling Carleton students in the St. Olaf licensure program with oversight and approval from MNBOT. Through [this program](#) Carleton students may receive teaching licensure for grades 5-12 in [Communication Arts](#), [Mathematics](#), [Life Sciences](#), and [Social Studies](#), for grades 9-12 in [Chemistry](#), [Physics](#), and for grades K-12 in [French](#), [Spanish](#), [German](#), and [Visual Art](#).

Our Chemistry Department offers a major [certified by the American Chemical Society](#).

**4.A.6.** Carleton continually evaluates graduate outcomes through alumni surveys, analysis of our alumni database, and external studies such as the [National Science Foundation's Baccalaureate Origins of U.S.-Trained S&E Doctorate Recipients](#). Summaries of [alumni survey data](#) and [employment and graduate school outcomes](#) are routinely shared on the webpage of the Office of Institutional Research and Assessment (IRA). This data informs campus conversations among faculty, staff, senior administration, and the Board of Trustees. For example, IRA led a presentation and discussion of alumni survey findings, [“What Do We Know about Our Alumni?”](#) at our Learning and Teaching Center in May, 2014.

This ongoing conversation is reflected in our most recent [Strategic Plan](#), the first goal of which is to “prepare students more robustly for fulfilling post-graduation lives and careers.” In response to the detailed initiatives outlined in that plan, the Director of Academic Advising has overseen the [“liberal arts advisor” program](#) for advising students in their first two years at Carleton and the design of [innovative webtools](#) to help those advisors guide students in planning related to careers.

Also in response to our Strategic Plan, the [Career Center launched a series of new and revised programs](#). In an effort to encourage students to participate in internships and to ensure that all students are able to access this important learning experience, the College has invested in financial support for students working in unpaid internships. The number of such scholarships awarded has increased from 25 in 2013 to 125 in 2017; we aim to increase this total to 250. The Career Center has also partnered with external groups to

offer pre-professional workshops and training to complement course work in our curriculum. These programs have included [Pillars of Wall Street](#) (an introduction to investment banking) and [HBX CORE](#) (an introduction to business). As the Career Center has undertaken this work, it has engaged the faculty to make sure that these new initiatives are reflected in advising. For instance, the Career Center Director discussed this work with faculty at the Department Chairs and Program Directors meeting in [January 2017](#). Further description of the Career Center's programs can be found in 3.E.2. above.

Finally, in response to strategic planning, Carleton hired a Director of Student Fellowships to help guide students in pursuit of [internal](#) and [external](#) fellowship opportunities. With this support, recent students have received [Churchill](#), [Davis Projects for Peace](#), [Fulbright](#), [Goldwater](#), [Marshall](#), and [Watson](#) fellowships.

While we offer no programs that are explicitly represented as preparation for a particular career or program of continued study, as part of the regular cycle of decennial review we examine education and employment outcomes for majors in each of our academic departments and programs (see 4.A.1. above).

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## 4.B - Core Component 4.B

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The institution demonstrates a commitment to educational achievement and improvement through ongoing assessment of student learning.

1. The institution has clearly stated goals for student learning and effective processes for assessment of student learning and achievement of learning goals.
2. The institution assesses achievement of the learning outcomes that it claims for its curricular and co-curricular programs.
3. The institution uses the information gained from assessment to improve student learning.
4. The institution's processes and methodologies to assess student learning reflect good practice, including the substantial participation of faculty and other instructional staff members.

### Argument

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**4.B.1.** In 2009, drawing on a recently-adopted [Mission Statement](#), a new curriculum, and additional discussions with the faculty, Carleton articulated [six institutional student learning goals](#), which were ultimately endorsed by the Education and Curriculum Committee (ECC). The ECC then empowered a subcommittee composed of faculty and staff to create a [detailed assessment plan](#) that addressed these learning goals, which was formally endorsed by the ECC later in the same academic year.

One of our six institutional student learning goals speaks to students' demonstration of "substantial knowledge of a field of study." While we have found great value in cross-department discussions of this important goal, the primary locus of its assessment is inherently grounded within departments and programs. Every academic department and program has [explicitly stated learning goals and an associated assessment plan](#), which are made public on the Dean of the College webpage. Since 2010, departments and programs have provided copies of annual assessment reports to the Dean of the College Office. While departments and programs can choose a format of their own, the annual assessment reports must respond to [a series of prompts](#) designed to remind programs of the importance of "closing the loop"—that is, engaging with collected evidence and responding with appropriate changes where needed in the program's curriculum and practice. To further reinforce the importance of using assessment to inform continual improvement, [departments are asked](#) to weave reflections of their assessment results and resulting actions into the self-study submitted as part of decennial department reviews.

In response to student and faculty interest, in Fall 2016 the faculty voted to add minors to the curriculum. Previously, the college had maintained a robust offering of interdisciplinary concentrations; students had indicated that the term "concentrations" was not widely understood beyond Carleton, and that the term "minor" was in wider use. With this change, existing concentrations were simply re-named minors, and their learning goals and assessment plans remained largely unchanged. Since 2016, new department-based minors have been proposed and adopted. All minor programs are required to complete assessment plans before June 2019 (the date at which students might graduate with these new minors); several programs have already done so (e.g., the [American Music](#), [French and Francophone Studies](#), [German](#), and [Russian](#) minors). Learning goals and assessment plans and reports for the newly-created departmental minors are handled in the same manner as described above for majors and programs.

Recognizing that student learning happens in many domains beyond the classroom, Carleton also has [learning goals associated with its Division of Student Life](#) and offices such as the [Career Center](#) and [Off Campus Studies](#). We are committed to assessing these goals on [a regular schedule](#) to ensure the effectiveness of these programs.

**4.B.2.** In accordance with our [institutional assessment plan](#) and our [2012 Progress Report on the Assessment of Student Learning](#), Carleton assesses its institutional learning goals on an ongoing basis. Specifically, the Education and Curriculum Committee assesses one of the six goals per year in a regular rotation. A [typical schedule](#) will designate a subcommittee of faculty and, where appropriate, staff to review [evidence](#) in the fall, and then, after campus-wide conversations hosted by the subcommittee in a variety of venues, they generate a report by spring for presentation to the ECC. The findings of the assessment subcommittee are then discussed by the ECC and potential action-items are considered and implemented through the appropriate channels of campus governance. At the time of writing, all six goals have been assessed at least once since our last site visit and two have been assessed twice:

- [2012 Analyze Evidence](#)
- [2012 Knowledge of a Field](#)
- [2013 Communicate and Argue Effectively](#)
- [2014 Formulate and Solve Problems](#)
- [2015 Learning to Learn](#)
- [2016 Knowledge of a Field](#)
- [2017 Research and Independent Work](#) (i.e., the Senior Comprehensive Exercise or “Comps”)
- [2018 Formulate and Solve Problems](#)

In a similar fashion, department and programmatic assessment happens on a regular basis with an annual report submitted by each academic department or program to the Dean as noted above; as evidence, we have provided the complete set of department and program assessment reports from [2015-6](#), [2016-7](#), and [2017-8](#). Typically, each program will assess one of its learning goals per year, rotating through the entire list, though this may vary due to personnel and curricular shifts, as well as the timing of decennial program reviews. While many departments and programs have made annual assessment a valuable part of curricular review (as discussed in examples below), some have been inconsistent or ineffective in their use of assessment to date. As discussed at the end of this section, some of this inconsistency can be attributed to turnover in our office of Institutional Research and Assessment, and we expect that new hires in the second half of 2018 will improve the effectiveness of departmental and program assessment efforts.

A good example of programmatic assessment may be seen in the [Economics department's 2017 annual report](#). The department assessed two goals, both using rubric-scored direct measures of student work. A further example comes from the Classics department. In its [2017 assessment work](#), Classics used a newly created placement test to collect performance data on incoming students. By using currently enrolled students as a control group, they were able to rate the reliability and the validity of the test and to confirm that students in the language sequence displayed the appropriate level of mastery of required skills. The examples of both Economics and Classics demonstrate the willingness of faculty to engage in meaningful assessment activities to determine the actual achievement of their programmatic goals.

The culture of assessment is evident in co-curricular settings as well. The Career Center, Center for Community and Civic Engagement, and Off-Campus Studies (OCS) office engage in robust assessment exercises. For example, the Career Center regularly attempts to [measure the learning that happens in connection with student internships](#), and OCS recently [evaluated the learning that occurs when students study abroad](#) and developed an [eportfolio assignment](#) that would allow their office to document that learning even more effectively (see 4.B.3 below for further detail on both these projects).

Within the Division of Student Life, the Academic Support Center (ASC) has regularly assessed the extent to which their services support student learning. For example, a [2016 study](#) conducted by the Director of the ASC and the Director of Assessment of students' usage of the Writing Center revealed which factors correlated most strongly with students' GPA in Writing Rich courses, and included a focus group of students who do not use the ASC's resources. The results were recently [presented at a professional meeting](#), and



their implications led directly to changes in the training for writing consultants at the Writing Center. The [work of the TRIO/SSS](#) office to assess student learning as part of their financial literacy series for low-income first-generation students offers another recent example of co-curricular assessment from the Division of Student Life. Staff used direct and indirect assessment measures to gauge the success of each of the 4 workshops, and to gather student feedback for future improvements. Similarly, in AY2017-18 the Office of Health Promotion used indirect measures to [evaluate the effectiveness of their CUES program](#) on students' perceptions (and misperceptions) of alcohol use; results are being used to inform the administration of the CUES program among more student groups in the current academic year.

**4.B.3.** Both departmental and institutional assessment inform campus-wide and department-level change designed to improve student learning. To ensure that we identify issues that cut across departments, in addition to the regular review of this institutional learning goal, annual department/program assessment reports are read by staff in the offices of the Dean of the College and/or Institutional Research and Assessment, and a [summary report is prepared](#). Department responses to their assessment findings are often deeply embedded in the curriculum. Departments have added or modified courses or modules within courses, changed major requirements or the timing of those requirements, and developed specific assignments and learning activities to address areas of demonstrated weakness in specific skills or content areas. A few examples demonstrate the ways Carleton faculty alter courses and assignments to improve student performance and meet desired learning outcomes.

- In [2011, the Biochemistry program](#) studied students' understanding of the application of thermodynamic concepts to biological systems--a foundational concept in this cross-disciplinary field. The faculty described the results as "disappointing....Several [students] proposed an answer that would result in the equations turning out correctly, but would be nearly impossible in a functioning organism." In response, the faculty revised BIOC320 "so that 'Energy' was a top-level topic, the overall organizing idea for the first half of the course." This included new assignments and greater faculty feedback on related subject matter. Subsequent assessment showed improvement.
- [In 2014, the Classics Department examined students' understandings of the cultures of ancient Greece and Rome](#). (NB: The date at the top of the file appears to be a typo. The linked report was indeed submitted in 2014.) The department saw room for improvement in students' abilities to place cities accurately on a map. In response, they added numerous mapping exercises to the history courses within the curriculum.
- [In 2017, the Department of Economics studied students' mastery of material in its theoretical core sequence](#). They noticed a pattern across the core courses that suggested that too many students struggled with mathematical representation of various economic functions. To mitigate these problems at the end of the major, the faculty decided to change the way they taught lower-level courses (particularly the introductory courses because these are the only courses that all majors take prior to the core) to make algebraic expression a more regular and frequent occurrence. However, at the same time, the department was approached by staff from [the TRIO program who had noted lower grades achieved by TRIO-eligible students](#). Suspecting that this finding might follow from weaker high school preparation with quantitative skills in this subgroup of students, the department completed an assessment project in which all Principles of Economics students were asked to take the Quantitative Literacy/Reasoning Assessment (QLRA) as a pre-test. That assessment work provided [evidence consistent with the department's hypothesis](#). The department worried that this finding could mean that by addressing concerns about students' performance in the core courses, the department would inadvertently exacerbate a problem at the introductory level. In response to these assessment results, the department decided to experiment with new versions of Principles courses with an additional 70 minutes of contact time for problem-solving activities designed to provide encounters with mathematical material in a supported environment. These experimental courses are being offered in 2018-19 by two faculty members. In addition, the QLRA will be used as a diagnostic tool



more broadly to identify, at the very beginning of courses, students who are likely to require additional support.

- In [2015, the Cinema and Media Studies department](#) looked at work from an introductory course and concluded that students could improve in their capacity to cite evidence and engage in textual description. The department responded by revising the prompt to the final paper in the course, clarifying what it means to engage effectively with sources. Subsequent assessment suggested student work may have moved in a positive direction, although small sample sizes make it difficult to evaluate.
- The senior integrative exercise in Biology includes a literature review and oral presentation. From [2013 to 2018](#), the department has applied a rubric to the grading of this student work. After reflecting on the results, the department made several programmatic changes, such as increasing the number of writing and oral presentation assignments in the major, and adding pre-requisites to some classes. From 2013 to 2018, the percentage of seniors scoring in the "good" to "excellent" range in several domains has steadily increased, [and is now above 80% in 5 out of 6 criteria](#). The department is now broadening their data collection to consider juniors.
- Using a rubric to evaluate the senior integrative exercise, [the English department noted in 2012](#) that seniors choosing the "colloquium" option received lower scores on argument and the use of evidence. [The following year](#), the department encouraged students in the colloquium option to peer review their work, and the percentage of ratings in the ["adequate" category fell from 35% to 21%](#), while the percentage of ratings in the "excellent" category rose from 5% to 22%.
- In their [2017 assessment report](#), the Physics and Astronomy department compared the lab reports of students in the Contemporary Experimental Physics course to the reports by the same students in the Electricity and Magnetism course a year earlier. In addition to noting gains in experimental analysis and use of writing conventions, the department found some weakness in students' use of figures regarding experimental set-ups, which the department planned to cover in greater detail in subsequent years.

At the institutional level, educational policy and curriculum changes are the province of the Education and Curriculum Committee (ECC), while the Dean of Students office is charged with policy-making regarding much of the co-curriculum. Of course, many responses to assessment findings play out at the course or assignment level. The ECC and the Dean of the College often foster such curriculum revision through faculty/staff development manifested in curriculum revision grants, workshops, and programming by the Learning and Teaching Center (LTC) (presentations, discussions, or more in-depth activities like reading groups or teaching circles).

Several examples demonstrate how, at the institutional level, Carleton has used assessment findings to revise our practice to enhance student learning.

- The [2012 assessment of the Analyze Evidence](#) learning goal identified lack of clarity among faculty particularly around the meaning of "quantitative evidence" outside the natural sciences. This confusion largely reflected the addition of Quantitative Reasoning Encounters (QREs) to our graduation requirements. In response, the College sponsored a series of sessions at the LTC to share best practices and promote faculty discussion (April 2012 Getting QuIRKy in the Arts and Humanities; [May 2013 Quantitative Reasoning in Context](#); and [May 2014 What Is QRE?](#)) In addition, with coordination between the LTC, the Writing Program, and QuIRK (the quantitative reasoning initiative) the College sponsored a series of faculty development workshops ([December 2013 What is QRE?](#); [December 2013 Stats for Poets](#); [December 2014 Responding to Student Writing, Even Writing with Numbers](#); and [December 2015 QR University](#)). Today we have QREs across the curriculum, including offerings in Classics, History, Religion, Music, and French, with additional

course revisions planned in German and Education Studies.

- [The 2013 assessment of the institutional student learning goal Communicate and Argue Effectively](#) identified oral presentation as an area in need of greater attention. This finding was echoed in the [2016 assessment of Knowledge of a Field](#), which necessarily reflected a retrospective review of department assessment reports. To address these concerns, the college hosted several LTC sessions to teach best practices for teaching oral presentations ([May 2013 Scaffolding the Academic Poster](#) and October 2014 Design Matters: Why and How Presentation Affects Communication) and offered professional development workshops for more in-depth support ([December 2013 Communicating Across the Curriculum](#) and [December 2014 Oral Communication](#)). In December 2018, the LTC and the Director of Writing Across the Curriculum hosted another workshop on this topic, "[Teaching and Encouraging Oral Communication](#)."
- During the 2015-16 academic year, the Dean of Students Office created a working group to examine the needs of low-income and first-generation (LIFG) college students at Carleton and to provide specific [recommendations for improving our support of these students](#). See 4.C.3. below for further details.
- As described in more detail in our [Quality Initiative Report, "Educating Global Citizens"](#), in conjunction with a broader institutional improvement initiative around global understanding, several of our language departments have recently assessed foreign language proficiency using the Standards-Based Measure of Proficiency (STAMP) test. Our German department led the effort beginning in 2015 and found that while our students were very strong in reading, writing, and listening skills, they were less proficient in speaking. As a result, faculty revised courses in the German language sequence to increase speaking opportunities. In 2015, 29% and 12% of fourth-term German students were rated intermediate-mid and intermediate-high on the ACTFL scale, respectively; by 2017, those figures improved to 38% and 26%, respectively. Inspired by the German department's example of a positive assessment-to-practice feedback loop, Arabic, Chinese, French, Japanese, Russian, and Spanish are in the process of administering the STAMP test to their students as well. In spring 2018 we opened a new [Center for Global and Regional Studies](#) that will coordinate faculty and staff efforts to ensure that this and related work continues.
- Carleton's Career Center has assessed the student learning outcomes established for internships. The [2016 report](#) noted that students rarely set goals for themselves that were connected to professional habits and readiness for the workplace, but often cited these skills as among the most important learning outcomes of their internships. The Career Center then required students embarking on internships [in the subsequent summer](#) to set at least one goal for themselves that was a transferrable workplace skill.
- [A study conducted by our Director of Assessment](#) of students' reflective writing on off-campus programs run by the Associated Colleges of the Midwest (the ACM, a consortium that includes Carleton) showed that students do not naturally reflect on their surroundings or apply the academic learning of off-campus study (OCS) programs to their understanding of local cultures. Based on this work, the faculty director of our 2016 Guatemala program ran a pilot in which he explicitly taught and required reflective practice. Using the same rubric as employed by the ACM, we found encouraging results in the Guatemala program's pilot project. These results were presented to a [2016 workshop for faculty directors](#) of OCS programs, and prompted other faculty to institute similarly structured assignments on their own programs.

These findings also informed our recognition of a larger need for faculty and staff development around reflective writing. In response,

- Our [Career Center now requires more reflective writing](#) as part of the learning contract for students receiving internship funding.
- Our [Director of Student Fellowships](#) now contacts all students on OCS programs each term to prompt them to consider the relationship between their OCS experiences and internal or external fellowship opportunities.
- The LTC collaborated with the Writing Program, the Student Fellowships Office, and the Director of Advising to present a professional development workshop to teach best practices in teaching reflective writing assignments ([December 2017 Prompting and Supporting Student Reflective Writing](#)). The discussion was guided by previous assessment work, including the Director of Student Fellowships' [review of students' habits of reflection](#) in fellowship applications.
- The LTC organized a learning community on ePortfolios.
- The [LTC hosted a session on the use of reflective writing to promote knowledge transfer](#) in writing rich courses with the eminent writing pedagogy scholar Kathleen Yancey.

Of course, assessment must never be stagnant; as we learn new things and as circumstances change, the focus and methods of assessment must evolve to answer new questions in new ways. We note several changes in our immediate future.

First, on a very positive note, we look forward to less turnover on our assessment team. In December of 2016 our Director of Institutional Research announced his retirement. The Associate Director announced her retirement in mid-2017. A failed search process for the Director added a bit of delay to the transition. At approximately the same time, the Director of Educational Research (who facilitated assessment in the Dean of the College office) was honored with an offer to serve as a Program Officer in the National Science Foundation's Department of Undergraduate Education. While we managed to maintain our assessment program despite being understaffed, we are very pleased to have filled the open IRA positions and look forward to utilizing fully this critical support to the assessment work of the College as a whole and departments/programs.

Second, in part to facilitate the transition of our new Associate Director for Assessment, we have set the 2018-19 institutional learning goal to #2, Knowledge of a Field. Assessment of this learning goal involves the application of a template of desiderata to each annual assessment report for all departments from 2010 to 2018, providing the new Associate Director with a comprehensive picture of program assessment and a clear agenda for improving assessment practices.

Finally, we continue to look for alternatives to the Collegiate Learning Assessment (CLA) to serve as an external benchmarks. The CLA holds promise as a way of assessing the kinds of critical thinking and writing skills acquired gradually over several years of exposure to a liberal arts curriculum, and Carleton [used this assessment in 2016](#) (having used it previously in 2005 and 2009). However, few of our direct peers use this tool, making it difficult to mark us against similar schools. First-year Carleton students consistently scored in CLA's 99th percentile, which may make it less valuable as a means to gauge their subsequent learning. In addition, the holistic nature of the tool, while useful for many purposes, limits its direct application to many learning goals.

**4.B.4.** As indicated by our [institutional assessment plan](#), Carleton strives to use multiple measures, direct and indirect, local and national, to assess student learning. Of our local measures, the longest-standing is [Carleton's Sophomore Writing Portfolio](#) which has been [recognized by the Conference on College Composition and Communication](#) as an example of best practices in the assessment of writing across the curriculum. The rubrics in our assessment plan were developed by faculty and staff led by the Director of

our Writing Across the Curriculum Program.

The Dean of the College's Assessment webpage offers many examples of effective programmatic assessment [techniques](#) and [processes](#). In the wake of turnover in recent years (discussed in 4.B.3), we are now fortunate to have an Institutional Research and Assessment Office that is well-staffed, equipped to handle the ongoing demands of [administering and analyzing the many surveys](#) we utilize, and can help steer the assessment process for both our institutional learning goals, as well as programmatic assessment. Both the IRA and Dean of the College offices work together to keep the College focused on measuring student learning in a sustainable way that produces findings we can act upon.

Our assessment process is embedded within the governance structure empowered to initiate institutional change--the ECC, which is co-chaired by the Dean of the College. At the same time, the process is designed to engage the community more broadly. Department/program assessment typically engages all faculty in the department. And the annually-reconstituted ECC subcommittee charged with assessment of institutional learning goals is designed to include stakeholder faculty from beyond the ECC. Furthermore, the subcommittee shares its preliminary findings with the entire community by discussing data and interpretations at an LTC session.

As exemplified by our [Quality Initiative](#), broad engagement by faculty and staff also drives assessment beyond the six formal institutional learning goals, and their work emphasizes direct measures. For instance, the [Writing Portfolio assessment process](#) annually involves approximately 35 faculty and staff in a rubric-guided direct assessment of student work as a way to confirm the individual student's completion of the college's Writing Requirement. Since its inception in 2001, over 180 individual faculty and 45 staff have participated in scoring Sophomore Portfolios, and this broad participation has enhanced the pedagogy of writing on campus through the shared experience and collegial conversation that the process engenders. Faculty who participate in the portfolio assessment emerge with a much clearer understanding of how writing is situated in the many different disciplines and programs on campus. They leave with a better context for the writing tasks that they require from their own students and what the general expectations are for writing by the end of the sophomore year. Similarly, staff who participate gain a greater sense of the context and expectations that they should have when helping our students to complete writing assignments. Both faculty and staff come away with a clearer sense of the benefits of rubric-based assessment and ideas about how to apply it to their own, more particular assessment activities. Reading sophomore portfolios is, in fact, one of the best faculty and staff development activities in which Carleton regularly engages, a claim supported by evidence in *Faculty Development and Student Learning: Assessing the Connections* (Indiana University Press 2016), co-authored by four Carleton faculty and staff members (plus Bill Condon).

Additionally, the large pool of student writing that we have collected since 2001 and the model of faculty/staff engagement provided by the Writing Portfolio have led to similar assessment/professional development work in other areas such as [quantitative reasoning](#) and critical thinking. For example, our reference librarians have an ongoing assessment project that samples sophomore portfolios for evidence of [information literacy](#). In the summer of 2018, the project involved a joint assessment team of librarians and faculty using a [carefully designed rubric](#), with [results presented to the Education and Curriculum Committee in Fall 2018](#). The assessment results will give the ECC much to consider in its implications for writing across the curriculum and the first-year Argument and Inquiry Seminars, but this long-standing assessment project has already helped the reference librarians develop new ways of talking about information literacy at the first and second year level and new ways of articulating how information literacy functions outside the parameters of traditional research projects. This project has resulted in [national presentations and publications](#).

The specific examples we have offered here, as well as the assessment reports cited in other sections, demonstrate that Carleton has a robust and thoughtful assessment culture at all levels of its institutional learning environment, both curricular and co-curricular.

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## 4.C - Core Component 4.C

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The institution demonstrates a commitment to educational improvement through ongoing attention to retention, persistence, and completion rates in its degree and certificate programs.

1. The institution has defined goals for student retention, persistence, and completion that are ambitious but attainable and appropriate to its mission, student populations, and educational offerings.
2. The institution collects and analyzes information on student retention, persistence, and completion of its programs.
3. The institution uses information on student retention, persistence, and completion of programs to make improvements as warranted by the data.
4. The institution's processes and methodologies for collecting and analyzing information on student retention, persistence, and completion of programs reflect good practice. (Institutions are not required to use IPEDS definitions in their determination of persistence or completion rates. Institutions are encouraged to choose measures that are suitable to their student populations, but institutions are accountable for the validity of their measures.)

### Argument

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**4.C.1.** Carleton's overall goals for retention and graduation, [publicly available on the website for our Office of Institutional Research and Assessment](#) (IRA) are "a [first-time, full-time] retention rate of no less than 90% from the first to second year, and for a six-year graduation rate of no less than 85%."

Using methods used for IPEDS reporting, Carleton has exceeded these goals in each of the last 10 years.

For cohorts entering Fall 2002 to 2011, Carleton's first to second year retention rate has ranged between 94.7% and 98.1%. For cohorts entering Fall 2002 to 2011 our 6-year graduation rate was between 91.8% and 94.5%.

### 4.C.2 and 4.C.3.

Retention, persistence, and graduation data are tracked by the Carleton IRA office, which disseminates and regularly updates records of Carleton's [first to second year retention](#), as well as [four-year](#), [five-year](#), [six-year](#), [seven-year](#), and [eight-year](#) graduation rates.

Because our overall retention and graduation rates are both strong and consistent, Carleton's improvement efforts [focus on subpopulations](#), including low-income students, first-generation college students, students from historically underrepresented groups, and international students. These are tracked in one of the management metrics regularly presented to the Board of Trustees (the metrics are discussed further in 5.C.1-3. below). Dividing students into groups with small sample sizes naturally creates wider year-to-year variation in retention and graduation rates. To mitigate such statistical noise, we look at retention and graduation rates across several years. While we generally exceed our stated goals for these subpopulations, some groups clearly fall closer to the bar. In response to these observations and related work, we have designed programs and initiatives to address student needs and to ensure that the "Carleton experience" is available to all:

- The Carleton TRIO program offers both personal and academic advising to students from low-income households, first-generation students, and students with disabilities. As described on their website, [TRIO's mission](#) is to help these students, "[overcome] social, cultural, financial, personal, academic, and other challenges to fully participate in the life of the college and ultimately achieve the goal of graduation." As such, all TRIO programming is informed by retention and graduation data.

- Carleton's Office of Intercultural and International Living (OIIL) supports retention of students of color and international students as part of its mission to "[[advocate](#)] for the promotion of a diverse and nondiscriminatory campus community, preparing students for pursuit of lifelong learning." OIIL programs include a [peer leadership program](#) designed to increase the persistence of first-year students of color and three [Cultural Houses](#), which are designed to provide culturally safe spaces and build a sense of community among Asian students, African-American students, and Latinx students, respectively.
- [Carleton's FOCUS program](#) provides support services to STEM students from backgrounds that are historically underrepresented in math and the sciences, based on gender, race, ethnicity, socioeconomic background, first-generation status, or disabilities. FOCUS is designed to foster persistence in science and math majors, though it is noteworthy that, once enrolled, students may continue to participate in FOCUS activities even if they choose to pursue a non-STEM major. As evidenced by this (successful) [grant application to the National Science Foundation](#) from 2016, FOCUS uses persistence, retention, and graduation data to assess its programmatic success and seek continued improvement.
- Since 2001, Carleton has partnered with the [POSSE Foundation](#) by recruiting from an urban center (currently Houston, TX) a team of ten students -- a posse -- who may have been overlooked in the traditional college selection process. The posse is given exceptionally deep support under the oversight of a faculty mentor who is given partial release from teaching duties. [We have used graduation rates to evaluate and improve this important program.](#)
- In the Winter of 2016, the College created a [Working Group](#) devoted to focusing on the challenges and opportunities facing low-income and first generation (LIFG) students. Working in collaboration with Carleton's TRIO office, the LIFG Working Group comprised faculty, staff and students. The Working Group conducted a review of established programs that serve LIFG populations, and obtained comparison data from non-LIFG populations, and considered retention data alongside survey and focus group responses from LIFG students at Carleton. The working group focused on the challenges and opportunities in three specific areas:
  - Students entering Carleton: managing the transition to being the first in the family to attend college while dealing with possible "culture shock."
  - Being at Carleton: acknowledging the high expectations of families and home communities for LIFG individuals, which may serve as a driving force or as a weight.
  - Preparing to leave Carleton: gauging satisfaction with their overall experience compared to their Non-LIFG peers.

The group's work resulted in a [final report](#), published on the Student Life website in May, 2016. Recommendations from this report that have already been implemented a student-authored financial resource guide, [Beyond Financial Aid](#), a [laptop loaner program](#), and [an emergency fund](#) for students experiencing a financial hardship due to an unexpected event. In 2018, the Student Life division responded to another finding from this report by creating a [food pantry for students](#) living on campus over breaks for work or research (when the dining halls are closed).

**4.C.4.** As stated above in 4.C.1, Carleton uses IPEDS methods to track retention and graduation rates.

## Sources

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## 4.S - Criterion 4 - Summary

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The institution demonstrates responsibility for the quality of its educational programs, learning environments, and support services, and it evaluates their effectiveness for student learning through processes designed to promote continuous improvement.

### Summary

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Carleton is committed to fulfilling its mission by providing a learning and teaching environment that supports our students' success while on campus and in life after college. At the institution and department/program level, we have clearly articulated goals which are assessed in a cycle of continuous improvement. This process is embedded within governance structures empowered to enact needed change. The process is an open one, involving the Education and Curriculum Committee, the Dean of the College, the Dean of Students, the Office of Institutional Research and Assessment, every department and program, and individual faculty and staff. While Carleton has demonstrated broad success in our ambitious goals for retention, graduation, and student learning, we are committed to continued improvement so that all of our students benefit from the full power of the Carleton experience.

### Sources

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*There are no sources.*

## 5 - Resources, Planning, and Institutional Effectiveness

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The institution's resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.

### 5.A - Core Component 5.A

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The institution's resource base supports its current educational programs and its plans for maintaining and strengthening their quality in the future.

1. The institution has the fiscal and human resources and physical and technological infrastructure sufficient to support its operations wherever and however programs are delivered.
2. The institution's resource allocation process ensures that its educational purposes are not adversely affected by elective resource allocations to other areas or disbursement of revenue to a superordinate entity.
3. The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution's organization, resources, and opportunities.
4. The institution's staff in all areas are appropriately qualified and trained.
5. The institution has a well-developed process in place for budgeting and for monitoring expense.

## Argument

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### 5.A.1 and 5.A.3

#### *Financial Resources*

Carleton's financial resources are strong and have positioned the college to adequately support both current and future operations. In April 2017, Moody's Investors Service updated their [rating of Carleton's financial outlook](#), stating, "the rating reflects Carleton's excellent market position as an elite liberal arts institution with robust financial reserves and liquidity, national student draw, strong operations and moderate leverage." This assessment is evidenced further in Carleton's financial ratios, financial statements and [operating budget](#).

Carleton's financial strength and flexibility are demonstrated through several calculated ratios and indices.

These show the current fiscal health and a five-year trend of stability. The [primary reserve ratio](#) (page 8) (calculated as expendable net assets divided by total expenses) for fiscal year end 2017 is 5.67, indicating that the institution could operate using its expendable resources without relying on additional income for more than five years. The [Composite Financial Index](#) (page 18) a compilation of several ratios also used to measure institutional financial health, remains strong even while the college continues to support strategic initiatives with significant investments.

As reported on the [balance sheet](#) (page 7), Carleton holds between \$25-30M of liquid cash and cash equivalents. This is equal to roughly three months of operating activity, demonstrating the ability to support operations through cash flow cycles. The [balance sheet](#) (page 7) shows an increase in total and net assets between fiscal years 2016 and 2017. Preliminary calculations for fiscal year 2018 show continued growth.

Further documented in the Financial Statements is the [credit quality of Carleton's student loan portfolio](#) (page 26) (less than 1% default rate), which demonstrates the ability of Carleton students to repay their loan

obligations.

At the end of fiscal year 2017, Carleton's outstanding debt balance was \$150M. The majority of this balance (\$125M par amount + \$15M premium) was secured in April 2017 in a [tax-exempt bond issuance](#), funding new construction and refinancing existing debt. The bond sale was significantly oversubscribed, evidence that Carleton debt was well received by the financial markets. Repayment is at a low, fixed rate which will protect Carleton against potential future interest hikes. The Series 2017 bonds were secured with [no financial covenants](#): a testament to the current financial strength and forecasted stability of Carleton's balance sheet and debt service capacity. Carleton uses roughly 5% of its operating budget for [annual debt service](#) (Page 34), on par with its peers.

Carleton's operating budget provides stable support for all of the College's activities; the operating budget has produced surpluses in each of the last five fiscal years. The operating budget is funded from a [balance of sources](#) including student fees, endowment income and annual giving; student fees provide 69% of operating income. [Admissions demand](#) continues to grow: fiscal year 2018 saw record-low acceptance rates of 20% (due to a record-high number of applications) and consistently high yield of 38%. Comparatively, the budgeted enrollment remains intentionally flat at approximately 2,000 students. The demand trends suggest that the operating budget enrollment goals will continue to be met. Carleton's growing [discount rate](#) demonstrates our commitment to the Strategic Plan goal of increasing financial aid. Even so, [net tuition revenue](#) continues to grow, providing support for the operations of the College. Strong alumni participation in the annual fund also provides essential dollars to the operating budget each year ([45% participation in FY2017](#)).

Carleton's endowment provides roughly one quarter of our operating budget income. Due to generous donors and careful management, the endowment's [market value was \\$878M](#) (page 22) at fiscal year-end 2018. A prudent [spending policy](#), last revised by the Board of Trustees in 2016, aims to separate long-term planning from short-term investment results. The resulting [spending percentage](#) (5.04% in FY2017, forecast to be 4.73% in FY2018) compares favorably to our peers. Beyond the spending policy, Carleton employs several strategies to ensure operating budget support continues to be stable, including diversification in asset allocation, broad selection of managers, and engaged oversight by the Investment Committee of the Board of Trustees.

With a strong financial base, efficient operations, and healthy admissions demand, Carleton is well-positioned to support current and future operations of the College.

### *Human Resources*

In addition to the Board of Trustees, Carleton's senior administration consists of the President and seven executive staff members. This cabinet-level administration team is made up of [qualified leaders](#) with a strong commitment to Carleton and its mission. The most recent evidence of Carleton's ability to attract talented, qualified senior leaders is the successful hiring in Fall 2018 of our [next Vice President and Dean of Admissions and Financial Aid](#). For further information about the qualification and training of employees, see 5.A.4 below.

### *Infrastructure*

Carleton is located on a 1,040-acre campus in the historic river town of Northfield, Minnesota. Carleton is an active learning and living environment by design. On average [96% of students live on campus](#) in one of 11 residence halls, 24 college-owned interest and cultural houses, and 10 townhomes. This residential landscape fosters connections and creates an immersive college experience.

Carleton's mission is mirrored in its [use of space](#): 34% of campus building square footage is dedicated to academics, 48% to students (housing, student life, athletics), and the remaining 18% to administrative uses,



facilities plant and faculty housing. The campus includes the [800-acre Cowling arboretum](#) adjacent to the college used for recreation, academic research and conservation.

The 95-member Facilities staff is responsible for maintaining the physical plant, which includes renovation and new construction planning, custodial, energy, grounds and maintenance services. They support Carleton's community by providing a physical environment that is well-maintained, clean and conducive to the educational and environmental mission. Facilities management uses a database from consultant Sightlines to track the condition of plant assets and as a base for developing the [five-year maintenance and capital priorities plan](#). Sightlines data from peer institutions is used to benchmark quality, costs and resources. Further detail is provided in 5.D.

Campus planning is further guided by the [Facilities Master Plan](#) (FMP), completed in 2014, which outlined several major projects and strategic infrastructure priorities. As envisioned in the FMP, [Scoville Hall](#) was renovated in 2017 to house Admissions and Student Financial Services, creating an updated but historical invitation to campus. Johnson House was also renovated in 2017 to house the Career Center in a larger and more visible location. The [Weitz Center for Creativity](#) was expanded to include a Music wing and new performance spaces of high acoustic quality. A new integrated [Science Complex](#) is underway, scheduled for completion in 2020, that will position Carleton to better serve the needs of students and faculty and ensure that Carleton maintains its reputation as a leader in the sciences. A [Utility Master Plan](#) (UMP) is also underway; the plan replaces Carleton's 100-year old steam system with a new campus-wide geothermal system. When the implementation of the UMP is complete, Carleton's plant emissions will be reduced by over 12%. Details of the UMP are included in 5.D. Campus planning continues, with an update to the 2007 Residential Life housing plan and a circulation and parking plan in progress.

### *Technology*

Carleton's Information Technology Services (ITS) staff, with 40 members, oversees the information technology infrastructure that supports the educational mission. This includes traditional ITS roles in hardware, software, tech support, and infrastructure, as well as web services, audio-visual, classroom technology support and academic technology.

Carleton's main enterprise software system, Colleague, is used for financial reporting, human resources, and all student academic, residential, and financial records. Colleague has been a stable resource at Carleton for 25 years and its provider, Ellucian, is reliable and produces timely software updates. However, we are currently evaluating other applications on the market to ensure that Colleague is still the right fit for us. Other software systems used on campus include Moodle, Google, Slate, Advance, and Symplcity.

Our Strategic Plan recognizes that "technology at Carleton is ubiquitous, expensive, and subject to continual rapid change." Growth in the need for enterprise and teaching technology will not abate and it is increasingly difficult to meet the expectations of the "connected" student generation. In response, ITS has been implementing cost-saving measures and taking steps to manage campus expectations around technology, along with an increasing focus on data security and student equity. Recent initiatives include a [shared ITS security position with St. Olaf College](#), a move to cloud-based document storage, an initiative to [provide technology for students](#) who cannot afford their own devices, and a focus on campus-wide [web accessibility](#). More projects and initiatives are highlighted in the [ITS 2017 annual report](#).

**5.A.2.** By its [Articles of Incorporation](#), Carleton has no superordinate entity, and all resources benefit its educational mission. Carleton's operating budget is developed through a [defined series](#) of conversations and analysis between the campus [Budget Committee](#), College Council, senior leadership and the Board of Trustees. The Budget Committee begins its work a year in advance of each fiscal year, with final trustee approval requested in February for a July fiscal year start. The process is intentional and allows committee members time to thoroughly consider the strategic nature of each decision and its contribution to the Strategic Plan initiatives. The [Budget Committee](#) is made up of faculty, staff and students, giving all campus

constituents a voice in the development of the financial priorities of the college. Budgets are built and reviewed within the context of a [five-year plan](#) to ensure assumptions or initiatives approved for the current year are supported in the near-term future. Operating budgets and year-end results are presented annually to employees at faculty and all-staff meetings, and to the Board of Trustees.

**5.A.4.** Carleton's faculty members are highly respected scholars, researchers, and practitioners in their fields; above all, their first priority is teaching. In 2018, Carleton's faculty were once again recognized by their peers as ranking [#1 in undergraduate teaching at national liberal arts colleges](#), as reported by *U.S. News & World Report*. Carleton employs [263 faculty members](#) (81% full-time, 19% part-time; 228 FTE). This leads to a [low faculty to student ratio](#) of 9 to 1, on par with our peers. 98% of Carleton's full-time faculty [have a doctorate or other appropriate terminal degree](#). Hiring and promotion practices dictate that all tenure-track faculty must complete a PhD or terminal degree before the third-year review, and all faculty must provide a graduate school transcript prior to employment. Peer comparisons of faculty salaries are monitored by the [Faculty Compensation Committee](#), in discussions with the Budget Committee. This process is further reviewed in 5.D.

Carleton employs 526 staff members, including full- and part-time workers ([414 FTE](#)). Required credentials for staff vary by position and are posted with each job description. Current staff in management positions [meet \(74%\) or exceed \(25%\)](#) the posted educational requirements. Human Resources uses [an evaluation and position grading system](#) to compare Carleton staff salaries to market rates. [Less than 1% of salaries](#) are below the targeted market range, allowing Carleton to attract and retain qualified employees. A subset of Facilities workers are organized under the Local #70 chapter of the International Union of Operating Engineers. The [contract](#) covers 80 total workers in Grounds, Maintenance and Custodial; their current 4-year contract was negotiated in July 2017.

Carleton offers a [full array of benefits](#) for employees who work more than 950 hours per year (0.46 FTE). In addition to traditional benefits, Carleton supports [professional development](#) in several ways, including through on-line training opportunities, leadership courses, and department budget allocations. The college adheres to required trainings for OSHA, FERPA, and HIPAA compliance, and also offers training in Green Dot, ergonomics, first aid, workplace harassment awareness, sexual misconduct prevention, and many IT skills through a subscription with Lynda.com. [Required training](#) is tracked by departments and aggregated by Human Resources; professional development is incorporated into the annual supervisors appraisal process to encourage participation. Faculty have [additional resources](#) for professional development with opportunities for both individuals and departments, as directed by the Dean of the College Office. For further information on faculty development, see 3.C. above.

**5.A.5.** As reported on [IRS Form 990](#) (page 8), Carleton employs policies and procedures reflective of best business practices; a system of internal controls assures segregation of duties. These practices are reviewed annually by the Audit Committee of the Board of Trustees. Outside auditor selection is also within the purview of the Audit Committee. Carleton has engaged CliftonLarsonAllen, LLP (CLA) to fill this role, with the relationship ably managed by Carleton's Business Office. [CLA's 2018 audit](#) of financials, management controls, and governance structures identified no material weaknesses.

On a department level, budget managers have real-time access to monitor their budgets through a secure web portal "The Hub", which shows budgets, actual expenditures and source documentation. [Budget guidelines](#) and suggested analysis are provided for managers to reference. On a monthly basis, restricted funds are reviewed by the Business Office to ensure adherence to fiduciary responsibility. Operating budgets are reviewed monthly by the Budget Director; a budget "carryover" system for academic departments encourages prudent utilization of financial resources.

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## 5.B - Core Component 5.B

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The institution's governance and administrative structures promote effective leadership and support collaborative processes that enable the institution to fulfill its mission.

1. The governing board is knowledgeable about the institution; it provides oversight of the institution's financial and academic policies and practices and meets its legal and fiduciary responsibilities.
2. The institution has and employs policies and procedures to engage its internal constituencies—including its governing board, administration, faculty, staff, and students—in the institution's governance.
3. Administration, faculty, staff, and students are involved in setting academic requirements, policy, and processes through effective structures for contribution and collaborative effort.

### Argument

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**5.B.1.** The Carleton [Board of Trustees](#) is ultimately responsible for the general educational and financial policies and operations of the College. The Board meets its legal and fiduciary responsibilities through careful planning and decision-making. Trustees are not involved in the College's daily operations, rather delegating general management to the President and senior leadership, and academic management to the faculty. There are currently 31 voting members of Carleton's Board of Trustees. They meet three times per year (fall, winter, spring) with the spring meeting designated as their annual meeting. Trustees serve four-year terms; following two terms, Trustees must rotate off the Board for a minimum of one year. The Board elects its own officers annually. As described in the [bylaws](#), there are 11 standing committees, each with oversight of various College policy. The full Board receives policy and management recommendations from these standing committees. The standing committees receive policy and management recommendations through the College's shared governance system and from the College's senior administrative leadership.

**5.B.2 and 5.B.3.** Many of the policies and procedures that guide the day-to-day operation of the College originate in and are implemented by the [shared governance system](#) of college committees and the [President's senior leadership team](#). Shared governance at Carleton is intentionally designed to be transparent, with most committees comprised of faculty, staff and students. The members of these committees are chosen through both election and appointment, with selection for faculty coming from the [Faculty Affairs Committee](#), the students through the [Carleton Student Association](#) (CSA), and the staff by the President of the College, usually in consultation with [Staff at Carleton](#) and [the Forum](#) (the two groups representing Carleton's staff). Carleton's shared governance is historically separated into two categories: educational policy, as determined by the faculty, and non-educational policy, as carried forward by the College Council.

#### *Educational Policy*

Educational policy at Carleton is delegated by the Board of Trustees to the [faculty](#). The faculty meet monthly, under the leadership and guidance of the Faculty President (for agendas and minutes see 3.A.2. above). The faculty receive policy recommendations from the [Education and Curriculum Committee](#) (ECC). This group meets weekly and is comprised of faculty and students (including a handful of staff who serve in an ex officio, non-voting manner) who are tasked with formulating educational policy (for agendas and minutes see 3.A.2. above). When necessary, the ECC will engage the assistance of other college committees (e.g., the [Academic Standing Committee](#)) on both educational and curricular matters. Proposals from the ECC must be made available ahead of each faculty meeting and will only be considered for approval after a second reading. If a recommendation is amended at a faculty meeting, it must be returned to the ECC for

further consideration and discussion.

### *Non-Educational Policy*

The President's senior leadership team, called the Tuesday Group, includes the [Dean of the College](#), [Vice President for Student Life and Dean of Students](#), [Vice President and Treasurer](#), [Vice President for External Relations](#), [Vice President and Dean of Admissions and Financial Aid](#), Vice President and Chief of Staff, and the Faculty President. This group meets with the President weekly to consider the strategic and operational needs of the College, make key decisions, and focus on institutional planning and the coordination of strategic initiatives across each division of the College. Examples include responding to [campus climate concerns](#), assessing co-curricular initiatives, and engaging in campus and budgetary planning. The leadership team acts as a consultative group in formulating non-academic policies, some of which are then considered by the College Council for approval.

The [College Council](#) oversees non-educational policy at Carleton which may be forwarded on to the Board of Trustees for approval. Membership on the Council includes faculty, staff, and students. The Board of Trustees and the Alumni Council also designate a non-voting representative to attend each meeting. All Council meetings are open to the entire campus. The Council may create subcommittees, consisting of members of the Council and other campus constituents, to consult and produce policy recommendations when needed. There are currently three subcommittees of the College Council: the Budget Committee, the Campus Design Advisory Committee, and the Community, Equity, and Diversity Initiative (CEDI).

The [Budget Committee](#) is chaired by the Dean of the College. Its role is to assist the Vice President and Treasurer with creating the College's [annual budget](#) and to assist in the construction and implementation of the longer-term financial plan. Each annual budget is formulated over a 15-18 month period, with the Committee spending this time gathering data and engaging in conversations with members of the campus community. The Committee presents the budget to College Council each January. Upon approval by the Council, the budget is forwarded to the Board of Trustees for their consideration and approval. The Budget Committee is discussed in more detail in sections 5A and 5C.

The [Campus Design Advisory Committee](#) considers the principles and longer-term perspectives on broader physical plant and campus design initiatives. When appropriate, the Committee also communicates these issues and initiatives to the campus community. The Committee played a significant role in the recent design and construction of the [student memorial](#), a sculpture honoring students who have lost their lives while enrolled at Carleton.

The [CEDI Leadership Board](#) receives an [annual charge](#) from the President to improve the academic and social climate on campus. CEDI identifies and communicates emerging priorities, while also being attentive to community concerns and raising issues that may not be attended to elsewhere on campus. Its work is described in further detail in 1.C.2. above.

All current students are members of the [CSA](#), which is governed by 22 elected senators, including three officers (President, Vice President, and Treasurer). As written in its [bylaws](#), the mission of the CSA Senate is "to enhance the quality of student life by officially recognizing and supporting student groups and activities, and by assuring student representation within the College governance structure and in other decisions pertaining to the student life." One significant task of the CSA is to recommend the annual student activity fee, determined by the [CSA Budget Committee](#) and approved by the CSA Senate. The activity fee is a part of the College comprehensive fee ultimately approved by the College Budget Committee, Tuesday Group, College Council, the Finance and Planning Committee of the Board of Trustees, and finally, the full Board of Trustees. The CSA Senate allocates the activity fee income to students and student groups.

The College's governance system is extensive, and at times, complex. Carleton's recent Strategic Plan



called for ways to consider the [structure of the College's current administrative functions](#), including the governance system, eyeing ways to reduce the amount of time community members devote to governance work without compromising inclusiveness, transparency, and shared values. For example, the College recently merged three committees into one: the former [Academic Technology Advisory Committee](#), [Administrative Computing Advisory Committee](#) and the Library Committee are now the [Library and Information Technology Committee \(LIBIT\)](#). Additionally, faculty no longer serve independently on the Copyright Committee or the [Curricular and Research Support Committee](#). Rather, faculty serving on LIBIT are consulted by these two groups when specific topics arise. These recent changes in governance structure add clarity of purpose while continuing to involve all campus constituents in guiding the strategic and operational direction of the College.

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## 5.C - Core Component 5.C

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The institution engages in systematic and integrated planning.

1. The institution allocates its resources in alignment with its mission and priorities.
2. The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting.
3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.
4. The institution plans on the basis of a sound understanding of its current capacity. Institutional plans anticipate the possible impact of fluctuations in the institution's sources of revenue, such as enrollment, the economy, and state support.
5. Institutional planning anticipates emerging factors, such as technology, demographic shifts, and globalization.

### Argument

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**5.C.1-3.** Rooted in the College's mission and growing out of our [Strategic Plan](#), Carleton planning is multifaceted, varied, and ubiquitous. Carleton's planning happens at *many levels of detail*. For example, facilities planning ranges from establishing the broad outlines of what buildings to build to the fine details of where teaching stations should be in each classroom or what furniture will be in the common areas. In keeping with the mission's definition of the College as a "collaborative community," Carleton's planning involves *many constituencies*. For instance, discussions about how to best support the College's financial aid commitments involve trustees, senior leadership, the faculty, staff and students serving on the Budget Committee and the Admissions and Financial Aid Committee, and alumni (as part of the College Council). Carleton's planning happens at *many timescales*: our Utility Master Plan and our Climate Action Plan together lay out a vision for sustainably meeting our energy needs for the next several decades; our budget planning process leverages a five-year model to construct a budget for our next fiscal year; and each spring our academic departments plan for the following year's senior comps projects.

Carleton's planning revolves around our mission as a undergraduate institution: the budget process engages the entire College community to make sure resources are allocated towards mission-based initiatives. This process is regularly informed by assessment of student learning and the evaluation of operations. For example, when [assessment of students' quantitative skills](#) revealed deficits among particular student populations, [planning began](#) for a new support position, the Director of the Quantitative Resource Center. The position moved ahead in budgeting priorities, and [funding for this position](#) became available in the 2018-19 academic year. Similarly, evaluations of student outcome data with particular attention to low-income and first-generation students led to the creation of a working group, which outlined priorities that became part of subsequent budget cycles; for further details on this process, see 4.C.3. above. For another example of how student outcome data informed Carleton's Strategic Plan and subsequent investments in the Career Center and the Office of Student Fellowships, see 4.A.6. above.

To illustrate all of these features of planning at Carleton, sections 5.C.4 and 5.C.5 below discuss two parts of the Strategic Plan developed from 2011 to 2012. Work on the Strategic Plan began in the spring of 2011 with a set of foundational assumptions about Carleton's future, which were developed by the College community. Work continued in the fall of 2011 with several public seminars aimed at sharing information about the College's economy and about admissions, student, and alumni outcomes. These working assumptions and seminars on the current state of the College formed the basis for the main planning process, which was carried out by thirteen working groups. The [working groups](#) consisted of students,

faculty, staff, trustees, alumni, parents, and friends of the College, and each group focused on a single topic, formulated as a question central to the College's future. In addition to their own discussions, various working groups sought outside opinions and insights by holding public focus groups, conducting surveys, and consulting with other outside sources. The [working groups' reports](#) were publicly shared and open for comment, becoming the basis for the final version of the Strategic Plan. This was publicly shared, before it was endorsed by the College Council and adopted by the Board of Trustees in the fall of 2012.

Senior administrators have tracked progress on the Strategic Plan's goals using [management metrics](#) compiled by the Institutional Research and Assessment office. These metrics are presented to the Board of Trustees each meeting, and form a regular part of committee deliberations and the planning undertaken by a wide range of offices on campus.

**5.C.4.** The Strategic Plan calls for "focused investments in facilities that directly advance our mission." This priority includes several specific recommended projects, and identifies the most pressing three of them to be (1) more classrooms that "allow for multiple teaching approaches and the full use of educational technology," (2) construction of "modern, interactive teaching space and space for undergraduate and faculty research" for the physical and biological sciences, and (3) construction of facilities to "meet the music teaching and performance needs of our academic and co-curricular programs." To address (1), architects Holabird and Root conducted a detailed study of the available classroom space on campus. Based on their [findings and recommendations](#), four new classrooms were added and two were expanded. To address the more complex needs of the two other priorities (2 and 3), the President convened a committee charged with developing a Facilities Master Plan.

The Facilities Master Plan Core Committee had two subcommittees, one focused on the sciences and the other focused on music and the performing arts. Each committee assessed the College's needs and visited other institutions to learn in detail how others are meeting (or not meeting) similar needs. The result of this work was the [Facilities Master Plan](#), which includes a comprehensive vision for the entire campus over the coming decades, in addition to detailed recommendations about how to address the College's needs in music and the sciences. The Facilities Master Plan was approved by the Board of Trustees in May of 2014.

The Facilities Master Planning Group on Music and the Performing Arts recommended construction of an addition to the Weitz Center for Creativity to house the majority of the music program, including rehearsal spaces and a large performance space of high acoustic quality to replace the existing Concert Hall.

Construction on this addition began in the fall of 2016, and work was completed in time for the start of classes in the fall of 2017. The project cost of \$35.6 million was funded with \$25 million in gifts, [\\$10 million in new debt](#) (page 17) and \$600,000 of college reserves. For details on the new debt, see 5.A.1. above.

The Facilities Master Planning Group on the Sciences recommended renovating existing science facilities, and expanding the current science footprint by approximately 30%. After substantial additional planning involving representatives from across the Carleton science community, the College decided to meet its current and future needs in the sciences by demolishing Mudd Hall, building a new addition connecting Olin and Hulings Halls much more extensively, and renovating selected spaces in Olin and Hulings. The [resulting facilities](#) will include new state-of-the-art Geology, Chemistry, and Physics labs, several flexible science classrooms, and a Maker Space available for a variety of science and other small construction projects. They will bring all of the sciences, including for the first time Computer Science, together under the same roof, and will facilitate interdisciplinary teaching and research. Construction began in June of 2017 with final completion estimated by fall 2020. The project cost of \$97.5 million will be funded by \$60 million in gifts, [\\$35 million in new debt](#) (page 17), and \$2.5 million of college reserves.

The major gifts financing the Music addition and the new Science complex are part of Carleton's current fundraising campaign, [Every Carl for Carleton](#). The campaign goal is to raise \$400 million to fund these construction projects, to help meet the growing need for financial aid, to fund a variety of teaching and

learning initiatives, and to provide resources to support programs connecting academic life to students' lives and careers after Carleton. With [\\$315 million in commitments](#) as of November 2018, a successful completion of the campaign is likely.

**5.C.5.** The Strategic Plan identified six “Critical Next Steps to Secure Carleton’s Continued Distinction.” One of these steps is to “enhance our curriculum to improve liberal arts teaching and learning.” The College has done this in a variety of traditional ways, but it has also experimented with new learning models and technologies, which the Strategic Plan identifies as an important part of carrying out this step. To coordinate our efforts, the College established the [Future Learning Technologies Learning Group \(FLTG\)](#). This initial group was designed to be temporary and has since been replaced by a permanent group of faculty and administrative leaders within the College's governance structure, the [Committee on Effective Learning Technologies \(CELT\)](#). The CELT is charged with “ensuring that Carleton remains smart and nimble in responding to changes in technology and technology-enhanced pedagogies.” The CELT does this by providing strategic counsel on emerging technologies, and extending financial support for the faculty time, student work, and travel needed to explore new pedagogies. The CELT also sponsors faculty development workshops on issues connecting teaching and technology, and to facilitate communication among groups working on related projects or exploring the use of similar technologies. These efforts have included [faculty development workshops](#) on blended learning and effective use of class time, lecture-capture and screencasting, technology and public scholarship, and going beyond the ten-week term.

Projects the FLTG and CELT have supported range from the incorporation of new technology into individual assignments, to work on entirely new curricular structures extending beyond individual classes or courses. These projects have emphasized the use of assessment to evaluate new pedagogies. For example, the FLTG supported a [project using blended learning techniques in introductory microeconomics](#). Two faculty incorporated online assignments and restructured their use of class time. With help from the Director of Educational Research, the faculty assessed the effects of the changes using a standardized pre- and post-test of conceptual understanding. Over the four years it existed the FLTG awarded 27 innovation grants to 34 faculty, and the CELT continues to award innovation grants at approximately the same rate. In 2018 CELT awarded grants to support the development of electronic portfolios in Biology and Cross-Cultural Studies, and to support the construction of modules in Psychology demonstrating the use of virtual reality technology in treating clinical disorders.

The College’s work to explore technology-enhanced teaching has also expanded beyond campus. Shortly after adopting the Strategic Plan, the College played a leading role in establishing the [Liberal Arts Consortium for Digital Innovation \(LACOL\)](#), a partnership of eleven small, residential, liberal arts colleges aimed at fostering collaborations to “promote excellent and innovative teaching, learning, and research in the liberal arts, with a special emphasis on utilizing and adapting emerging technologies.” Since its founding LACOL has established, coordinated, and sponsored a variety of online education efforts and experiments, across a range of technologies and subjects. For example, the college has been heavily involved in LACOL’s [QLAB project](#); Carleton's Director of the Perlman Learning and Teaching Center and our Director of Academic Technology are two of the project leads. The QLAB project provides a framework for creating a [collection of modules \(called Q-bits\)](#) devoted to topics in quantitative reasoning. Each of these modules focuses on a specific quantitative skill, and includes instructional videos, pre- and post- tests, and applications in several disciplines. Taken together, these modules are intended to provide a tool students can use to fill gaps in their quantitative skill backgrounds or to refresh their skills as they are needed in their coursework. Several Q-bits are already publicly available, including one on linear functions and another on logarithms.

#### *Extension of the Strategic Plan*

The Strategic Plan's goals are extended into annual processes, resource allocations and analyses. The Strategic Plan’s fourth critical goal is to maintain a self-sustaining economy. This requires understanding

the College's economy and current capacity, linking operations with budgeting processes, and allocating resources in alignment with our mission. One of the specific goals is to limit the percentage of the compensation budget used for benefits, which threatens to compress broader budget initiatives. The campus Benefits Committee and the Budget Office have worked to [educate employees](#) about this goal and how decisions impact the bottom line. Progress towards the goal is tracked via one of the [management metrics](#) presented regularly to the Board of Trustees. Several Carleton faculty have extended this education by participating in the annual Associated Colleges of the Midwest (ACM) [Institute on College Futures](#) seminar, which serves to inform faculty about the current economic climate facing liberal arts colleges and encourage engagement in addressing these challenges. Carleton's planning process also involves the Budget Committee, whose work is further detailed in section 5A. Collectively, these planning processes and commitment to the Strategic Plan have ensured a [consistent percentage of Carleton expenses](#) are directed towards instruction, research and public service, a percentage that compares [favorably to our peers](#).

Carleton has taken a very active approach to implementing its 2012 Strategic Plan. The plan was forecast to cover a ten-year span of initiatives. Based on the [progress report](#) shared with the Trustees in 2017, Carleton is well on its way to fulfilling these goals.

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## 5.D - Core Component 5.D

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The institution works systematically to improve its performance.

1. The institution develops and documents evidence of performance in its operations.
2. The institution learns from its operational experience and applies that learning to improve its institutional effectiveness, capabilities, and sustainability, overall and in its component parts.

### Argument

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**5.D.1.** Carleton strives to ensure our resources are used as wisely as possible. To this end, we regularly use data and strategic planning to improve operational performance and seek out new efficiencies. For the documentation and use of management metrics in connection our Strategic Plan, see 5.C.2. above.

To illustrate Carleton's systematic use of data driven, evidence based decision making we have chosen four examples: 1. Reducing the College's carbon footprint through a Utility Master Planning process, 2. Tackling student binge drinking issues, 3. Setting priorities for facilities annual capital renewal projects and 4. Setting salary goals for faculty. These four examples demonstrate how the College systematically approaches tough issues. Each example includes the documentation of a challenge, the collection of evidence, and the formation of a plan based on the evidence, followed by the plan's implementation and continued evaluation of its effectiveness.

#### 5.D.2.

##### *Reducing the college's carbon footprint through a utility master planning process*

Carleton's Mission Statement calls for the college to be a responsible steward of its resources. This extends to the sustainable use of the earth's resources and a minimization of our environmental impact.

Carleton's *Carbon Free by 2050* campaign commits substantial financial resources towards a consequential reduction in our carbon footprint. Through a series of strategic planning processes that included a [Climate Action Plan](#) (2011), [Strategic Plan](#) (2012), and a [Facilities Master Plan](#) (2014), it became clear what the parameters would be for energy needs at the College over the coming years. Based on these needs and the College's resources, a [Utility Master Plan](#) was developed and approved by the Trustees. Developing the Utility Master Plan required substantial financial and energy-use analysis based on the College's current and future utility needs in conjunction with how those needs can be met using renewable sources. The plan recommends converting the College's steam system to a circulating hot water system, installing a central geothermal heat pump system to increase our renewable energy assets (adding to our current two 1.6 MW wind turbines), and converting to high efficiency condensing boilers to supplement the geothermal heat pump during peak heating demand. The realization of the first phase of the Utility Master plan is now underway with a completion date of 2022, when the campus will be totally converted to hot water heating and have 305 operating geothermal wells. At the completion of the plan, Carleton will reduce its plant emissions by over 12%. This substantial \$38 million investment illustrates Carleton's commitment to sustainable energy use as a financially sound expenditure and an ethically sound choice.

##### *Tackling student binge drinking*

The College regularly uses surveys to examine the social and health-related behaviors of students. Carleton administers the College Student Health Survey and the AlcoholEdu survey for incoming students to determine where programing may be needed to promote healthy student choices. Based on these surveys the Office of Health Promotion has targeted binge drinking, stress, sleep, and mental health (broadly defined) as being priority areas to focus programming. A grant in 2015 provided funds for the College to access



AlcoholEdu data, which revealed [a disturbing trend](#) related to student binge drinking. For the entering class in the fall of 2015, 8% reported being heavy/problematic drinkers and 76% reported being an abstainer/non-drinker. When a follow-up survey was performed on the same first-year students 45 days later, 35% reported being heavy/problematic drinkers and 39% reported being an abstainer/non-drinker. Based on these data, the College established the Carleton Coalition on Alcohol and Marijuana. This group's [strategic plan](#) drew upon the data and adjusted programming for New Student Week, ensured that the AlcoholEdu course was regularly offered to students, and adopted the CUES Program for students to examine injunctive norms within small groups of peers. There is [evidence in recent survey data](#) that the rate of binge drinking by first year students has been reduced, but there is still more work to be done.

#### *Setting priorities for facilities annual capital renewal projects*

Setting the appropriate priorities for facilities investments ensures the timely and efficient use of College resources. In recent years Carleton has had a [Strategic Plan](#) (2012), a [Facilities Master Plan](#) (2014), and a [Utility Master Plan](#) (2016) to guide our big picture planning. Most of the facilities projects that have evolved from these plans required financial resources outside the College's annual budget. However, nested within this process is the College's annual budget for capital renewal projects that are of a smaller scale.

The College uses a data driven process to determine which buildings have the greatest need for capital renewal. The consulting firm Sightlines helps [collect data on the conditions of facilities](#) and maintains a database for comparison to other liberal arts colleges. As an example of how this report was used, a presentation was generated for the February 2018 Board of Trustees meeting that included [an update on capital renewal needs](#) at the College. This report included a facilities financial comparison to eleven other liberal arts colleges and a net asset value rating for all of Carleton's buildings (excluding small houses not used for offices). Comparison data were presented for the conditions of buildings in 2008 versus 2018. Substantial progress was demonstrated due to the targeting of funds to the buildings most in need of attention as identified by the Sightlines metrics. Currently, only five of thirty-nine buildings are in the "poor" category. Further work by the Director of Facilities and senior administrators is underway to prioritize these needs and determine funding options.

#### *Setting salary goals for faculty*

Carleton believes that fairly compensating faculty and staff is a high priority on par with other crucial financial needs. However, as faculty become tenured and commit their career to the College, the market pressure to maintain appropriate salary growth declines. There needs to be an alternative standard by which the College judges whether faculty are fairly compensated. To this end, Carleton uses a group of 25 colleges for salary comparison. The [Faculty Compensation Committee \(FCC\)](#), the Budget Committee, senior administrators, and the Board of Trustees now monitor the average salary of [assistant](#), [associate](#), and [full professors](#) relative to our comparison group. In each of these three ranks the goal is to be at or above the 67th percentile of our 25 comparison colleges. A member of the FCC is also on the Budget Committee and the FCC annually reports salary data at a faculty meeting. In addition, the Chair of the FCC [annually attends a Budget Committee meeting](#) to discuss the latest data and make recommendations about growth in the compensation pool of the budget. Therefore, one of the drivers in setting the growth of the compensation pool is considering whether the increase will be sufficient to keep the growth in faculty salaries on pace with our 25 comparison colleges. While this remains a guessing game every year, our approach provides benchmarking that can be used as part of the dialogue between faculty and administrators regarding fair compensation.

## **Sources**

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## 5.S - Criterion 5 - Summary

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The institution's resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.

### Summary

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Carleton's resources are sufficient to maintain the integrity of its mission and to support its operations. The College follows procedures designed to utilize resources efficiently for the purpose of fulfilling our mission. Carleton is governed by an engaged Board of Trustees, well-qualified leaders, and a strong set of campus committees. From that governance came a forward-looking Strategic Plan, anticipating and addressing changes in the economic needs of the College, the diversity of the student body, and the expectations of students and alumni. With this Strategic Plan as a guide, careful planning and thoughtful analysis continue to be a ubiquitous part of decision making on campus, involving all constituents. Carleton is in a strong position to address future challenges and opportunities.

### Sources

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*There are no sources.*