

**Castleton University
Self-Study Report**

Submitted

to

New England Commission of
Higher Education

September 2021

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Workroom Documents

All Workroom Documents are housed in a Canvas module which the visiting team has remote access to. In general, to reduce redundancy and clutter, if a document is housed on a public access site it is linked directly in the study itself and not included in the work room. The exceptions to this include:

- The official policies of the Vermont State Colleges system (to ensure they are all available in one place and grouped by the relevant NECHE standard)
- Major reports that are central to the report's strategic planning, evaluation, and projection sections.
- The self-study itself, as a convenience to ensure that all documents and links are easily accessed from a single location.

The work room includes:

- Major strategic reports, particularly those central to the transformation of the Vermont State Colleges, housed under Standard 2.
- System-wide datasets for the past three years, called "Sourcebooks," housed under Standard 2.
- Board membership, structure, bylaws, and authority housed under Standard 3.
- All collective bargaining agreements, housed under Standard 3.
- Syllabi for the past four semesters, housed under Standard 4.
- System-wide policies related to academic programs, housed under Standard 4.
- System-wide policies related to students, housed under Standard 5.
- Particular contract provisions governing the work and evaluation of faculty, housed under Standard 6.
- Financial and physical resource datasets and analysis supplementary to the Data First forms, housed under Standard 7.
- System-wide policies related to finances and resources, housed under Standard 7.
- Academic program review and evaluation procedures, forms, and materials, including program-specific reports from the past six years, housed under Standard 8.
- System-wide policies related to integrity, transparency, and public disclosure, housed under Standard 9.

Institutional Characteristics Form

Date June 17, 2021

1. Corporate name of institution: Vermont State Colleges doing business as Castleton University
2. Date institution was chartered or authorized: 1787
3. Date institution enrolled first students in degree programs: Unknown
4. Date institution awarded first degrees: Unknown
5. Type of control:

Public	Private
<input checked="" type="checkbox"/> State	<input type="checkbox"/> Independent, not-for-profit
<input type="checkbox"/> City	<input type="checkbox"/> Religious Group
<input type="checkbox"/> Other	(Name of Church)
(Specify) _____	<input type="checkbox"/> Proprietary
	<input type="checkbox"/> Other: (Specify) _____
6. By what agency is the institution legally authorized to provide a program of education beyond high school, and what degrees is it authorized to grant? Vermont Legislature. AA, AS, BA, BM, BS, BSW, MA, MS, and CAGS
7. Level of postsecondary offering (check all that apply)

<input type="checkbox"/> Less than one year of work	<input type="checkbox"/> First professional degree
<input type="checkbox"/> At least one but less than two years	<input checked="" type="checkbox"/> Master's and/or work beyond the first professional degree
<input checked="" type="checkbox"/> Diploma or certificate programs of at least two but less than four years	<input checked="" type="checkbox"/> Work beyond the master's level but not at the doctoral level (e.g., Specialist in Education)

- ☒ Associate degree granting program of at least two years
- ☒ Four- or five-year baccalaureate degree granting program
- ☐ A doctor of philosophy or equivalent degree
- ☐ Other doctoral programs
- ☐ Other (Specify)

8. Type of undergraduate programs (check all that apply)

- ☐ Occupational training at the crafts/clerical level (certificate or diploma)
- ☐ Occupational training at the technical or semi-professional level (degree)
- ☒ Two-year programs designed for full transfer to a baccalaureate degree
- ☒ Liberal arts and general
- ☒ Teacher preparatory
- ☒ Professional
- ☐ Other _____

9. The calendar system at the institution is:

- ☒ Semester ☐ Quarter ☐ Trimester ☐ Other _____

10. What constitutes the credit hour load for a full-time equivalent (FTE) student each semester?

- a) Undergraduate 12 credit hours
- b) Graduate 9 credit hours
- c) Professional credit hours

11. Student population:

- a) Degree-seeking students: Fall 2020

	Undergraduate	Graduate	Total
Full-time student headcount	1,544	24	1,568
Part-time student headcount	146	114	260
FTE	1,629	79	1,708

- b) Number of students (headcount) in non-credit, short-term courses:

 N.A.

12. List all programs accredited by a nationally recognized, specialized accrediting agency.

Program	Agency	Accredited since	Last Reviewed	Next Review
B.S. Nursing	American Association of Colleges of Nursing (AACN): Commission of Collegiate Nursing Education (CCNE)	2013	2018	2028
M.S. Athletic Training	Commission on Accreditation of Athletic Training Education (CAATE)	2000	February 2021	2026
B.S.W. Social Work	Council on Social Work Education	1981	2021	2029

13. Off-campus Locations. List all instructional locations other than the main campus. For each site, indicate whether the location offers full-degree programs or 50% or more of one or more degree programs. Record the full-time equivalent enrollment (FTE) for the most recent year.
Add more rows as needed.

	Full degree	50%-99%	FTE
A. In-state Locations			
Killington, Vermont	B.S. Resort & Hospitality Management		26
Bennington, Vermont	B.S. Nursing		36
B. Out-of-state Locations			
N/A			

14. International Locations: For each overseas instructional location, indicate the name of the program, the location, and the headcount of students enrolled for the most recent year. An overseas instructional location is defined as “any overseas location of an institution, other than the main campus, at which the institution matriculates students to whom it offers any portion of a degree program or offers on-site instruction or instructional support for students enrolled in a predominantly or totally on-line program.” **Do not include study abroad locations.**

Name of program(s)	Location	Headcount

15. Degrees and certificates offered 50% or more electronically: For each degree or Title IV-eligible certificate, indicate the level (certificate, associate’s, baccalaureate, master’s, professional, doctoral), the percentage of credits that may be completed on-line, and the FTE of matriculated students for the most recent year. Enter more rows as needed.

Name of program	Degree level	% on-line	FTE
Business Administration	Masters	100	35
School Psychology	Masters + CAGS	100	15
Athletic Leadership	Masters	100	33
Athletic Training	Masters	90	52

16. Instruction offered through contractual relationships: For each contractual relationship through which instruction is offered for a Title IV-eligible degree or certificate, indicate the name of the contractor, the location of instruction, the program name, and degree or certificate, and the number of credits that may be completed through the contractual relationship. Enter more rows as needed.

Name of contractor	Location	Name of program	Degree or certificate	# of credits

17. List by name and title the chief administrative officers of the institution. (Use the table on the following page.)
18. Supply a table of organization for the institution. While the organization of any institution will depend on its purpose, size and scope of operation, institutional organization usually includes four areas. Although every institution may not have a major administrative division for these areas, the following outline may be helpful in charting and describing the overall administrative organization:
 - a) Organization of academic affairs, showing a line of responsibility to president for each department, school division, library, admissions office, and other units assigned to this area;
 - b) Organization of student affairs, including health services, student government, intercollegiate activities, and other units assigned to this area;
 - c) Organization of finances and business management, including plant operations and maintenance, non-academic personnel administration, IT, auxiliary enterprises, and other units assigned to this area;
 - d) Organization of institutional advancement, including fund development, public relations, alumni office and other units assigned to this area.
19. Record briefly the central elements in the history of the institution:

Castleton was established in 1787 by the legislature of Vermont as the Rutland County Grammar School. For the first six decades of the 19th Century, under a variety of names, Castleton served as a regional school for teenagers. The Castleton Medical College (1818-1862), although not strictly a predecessor of today's college, was an important institution and helped identify the Castleton area as an educational center. Increasingly, Castleton Seminary students were drawn from as far away as Maine.

The Castleton Normal School was established in 1867 in conjunction with the Seminary, but after a few years inherited the buildings and the full-time attention of the faculty. Most students were young, rural women. By the 1880s Castleton was awarding two-year normal school degrees. Although receiving state support, the Normal School was privately owned from 1881 to 1912 when it was purchased by the state of Vermont.

Castleton's golden age may have been the 1920s and 1930s when Caroline Woodruff was principal. She saved the institution after a devastating fire, and under her leadership the Normal School flourished. Nationally-recognized figures, including Robert Frost and Helen Keller, came to campus. Miss Woodruff was the first woman president of the NEA and a friend of Eleanor and Franklin Roosevelt.

Men began to attend Castleton in significant numbers following World War II. In the 1950s Castleton Teachers College took many steps toward becoming a modern college. In 1962 the institution became Castleton State College and joined the newly created Vermont State Colleges system. The 1960s was the time of greatest growth in enrollment and number of buildings and programs.

During the past twenty years Castleton expanded its campus footprint, updated facilities, expanded its educational offerings, including adding a dozen masters degrees and several fully online degree programs, actively recruited international students, and added two offsite locations. These advancements were institutionalized with the 2015 name change to Castleton University.

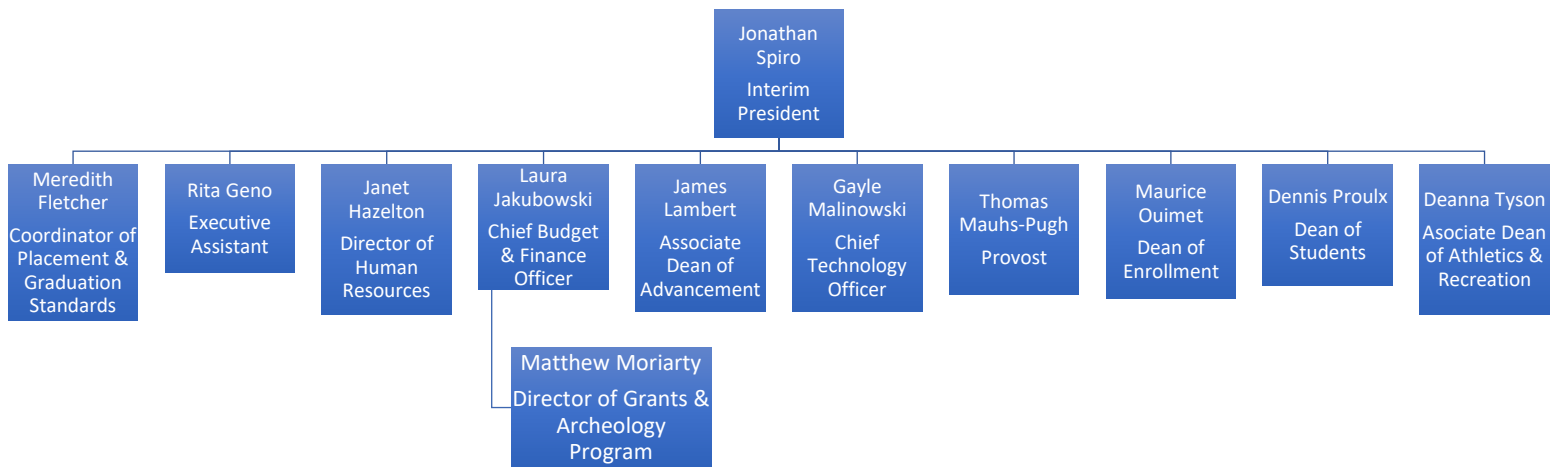
CHIEF INSTITUTIONAL OFFICERS

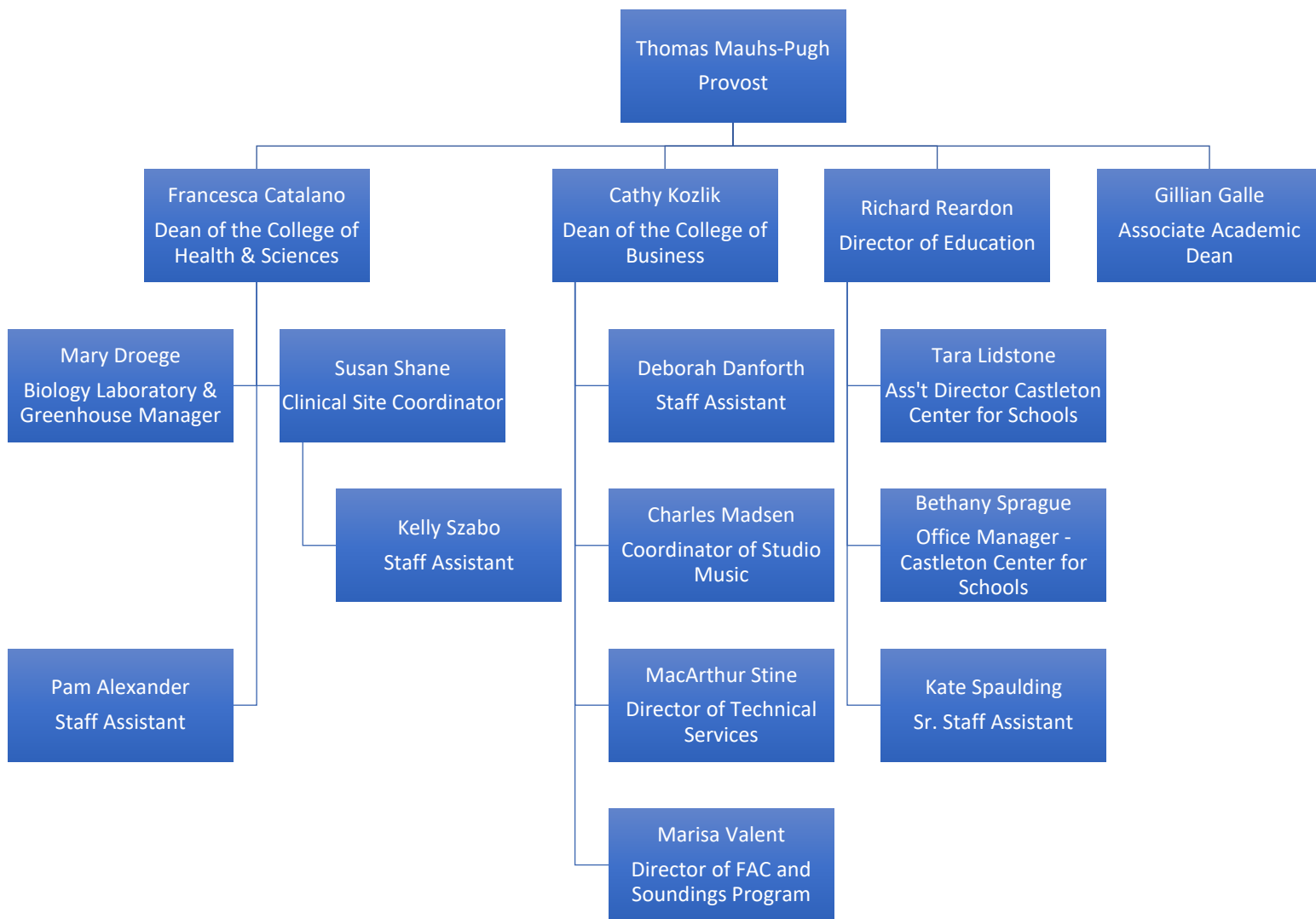
Function or Office	Name	Exact Title	Year of Appointment^
Chair Board of Trustees	Eileen “Lynn” Dickinson	Chair of the Board	2020
President/CEO	Jonathan Spiro	Interim President	2020
Executive Vice President	N/A		
Chief Academic Officer	Tom Mauhs-Pugh	Provost	2019
Deans of Schools and Colleges (insert rows as needed)	Cathy Kozlik	Dean of the College of Business	2016
	Francesca Catalano	Dean of Health and Sciences	2021
	Gillian Galle	Associate Dean of Humanities, Arts, and Social Sciences	2020
Chief Financial Officer	Laura Jakubowski	Chief Budget and Finance Officer	2017
Chief Student Services Officer	Dennis Proulx	Dean of Students	2009
Planning	N/A		
Institutional Research	Amanda Richardson	Director of Institutional Research	2019
Assessment	N/A		
Development	James Lambert	Associate Dean of Advancement	2019
Library	Temporarily vacant	Library Director	
Chief Information Officer	Gayle Malinowski	Chief Technology Officer	2019
Continuing Education	N.A.		

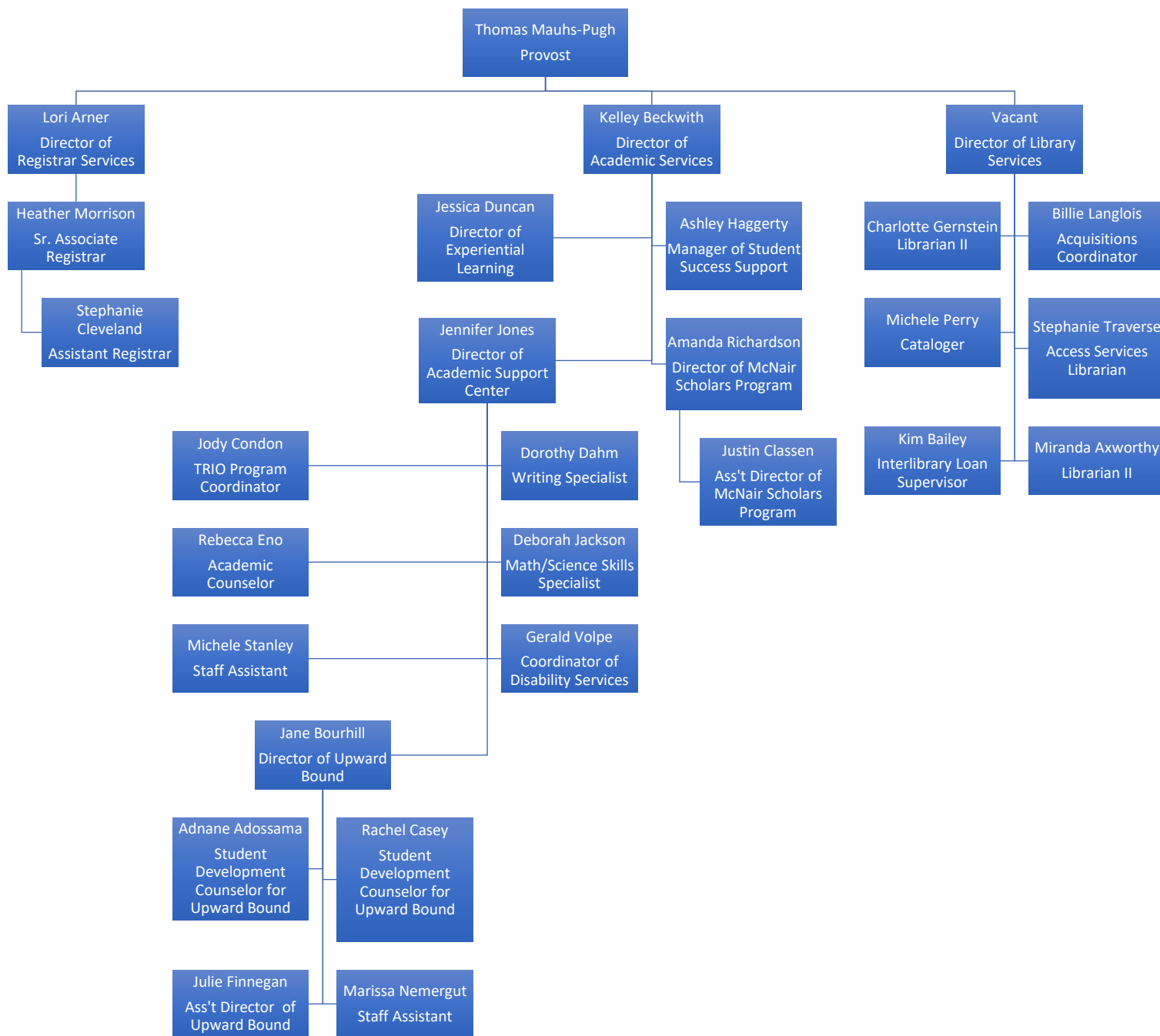
Grants/Research	Matthew Moriarty	Director of Grants	2019
Admissions	Maurice Ouimet	Dean of Enrollment	2007
Registrar	Lori Arner	Director of Registrar Services	2002
Financial Aid	Teresa McCormack	Director of Financial Aid	2020
Public Relations	James Lambert	Associate Dean of Advancement	2019
Alumni Association	Courtney Widli	Director of Development & Alumni Affairs	2018
Human Resources	Janet Hazelton	Director of Human Resources	2012
Athletics	Deanna Tyson	Associate Dean for Athletics & Recreation	2007

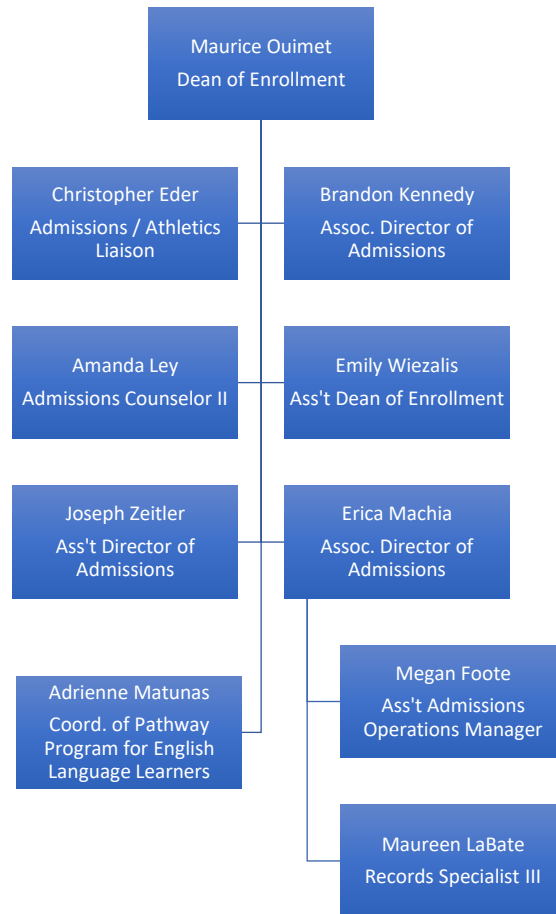
^Year appointed to this position; not year of hire.

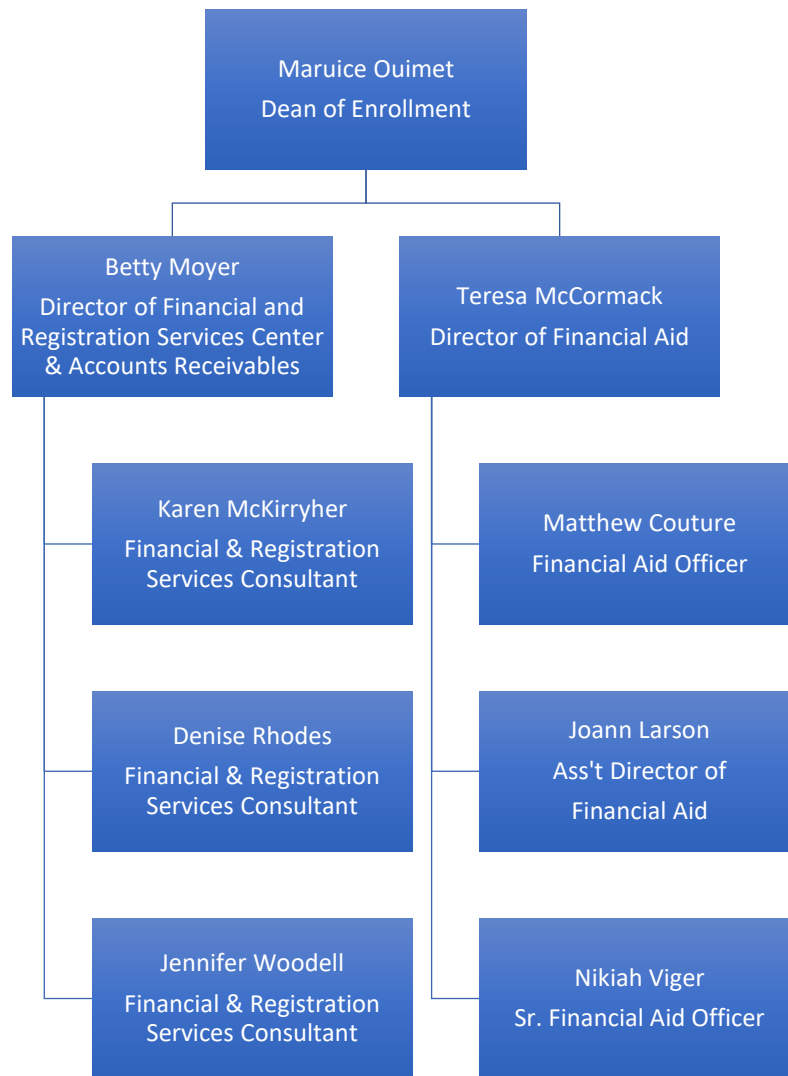
Organizational Chart 2020-2021

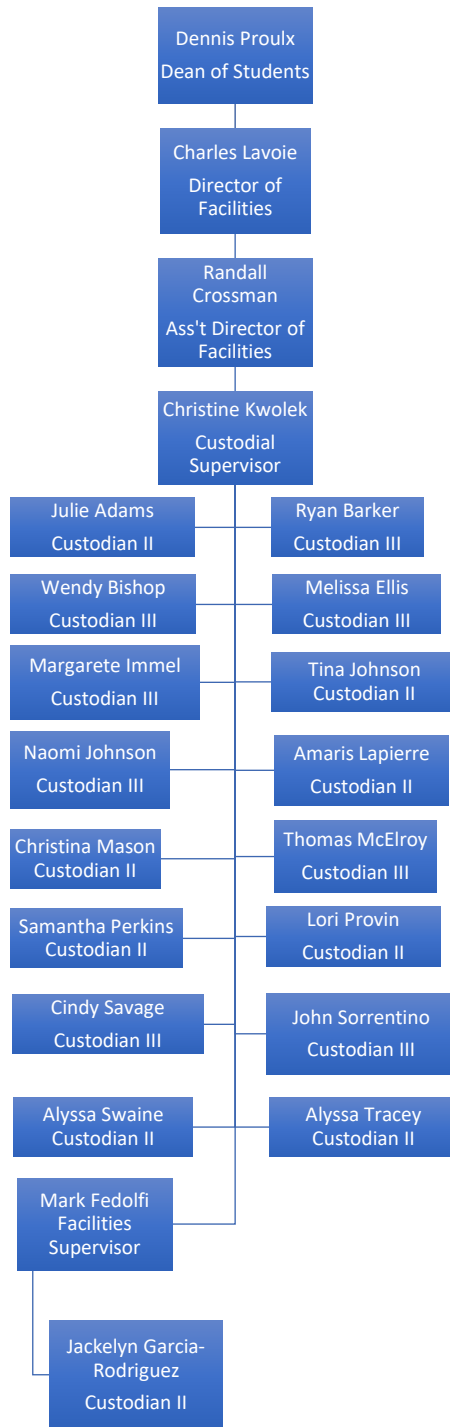


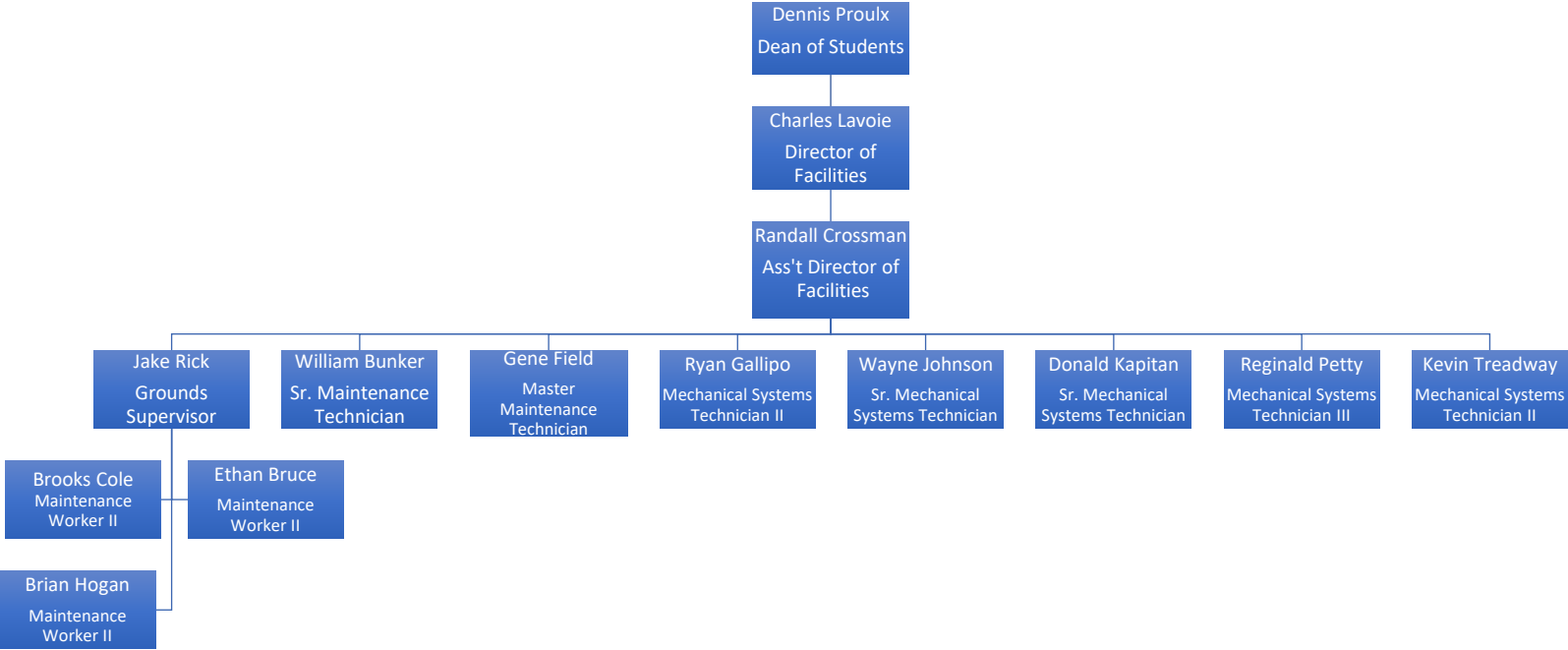


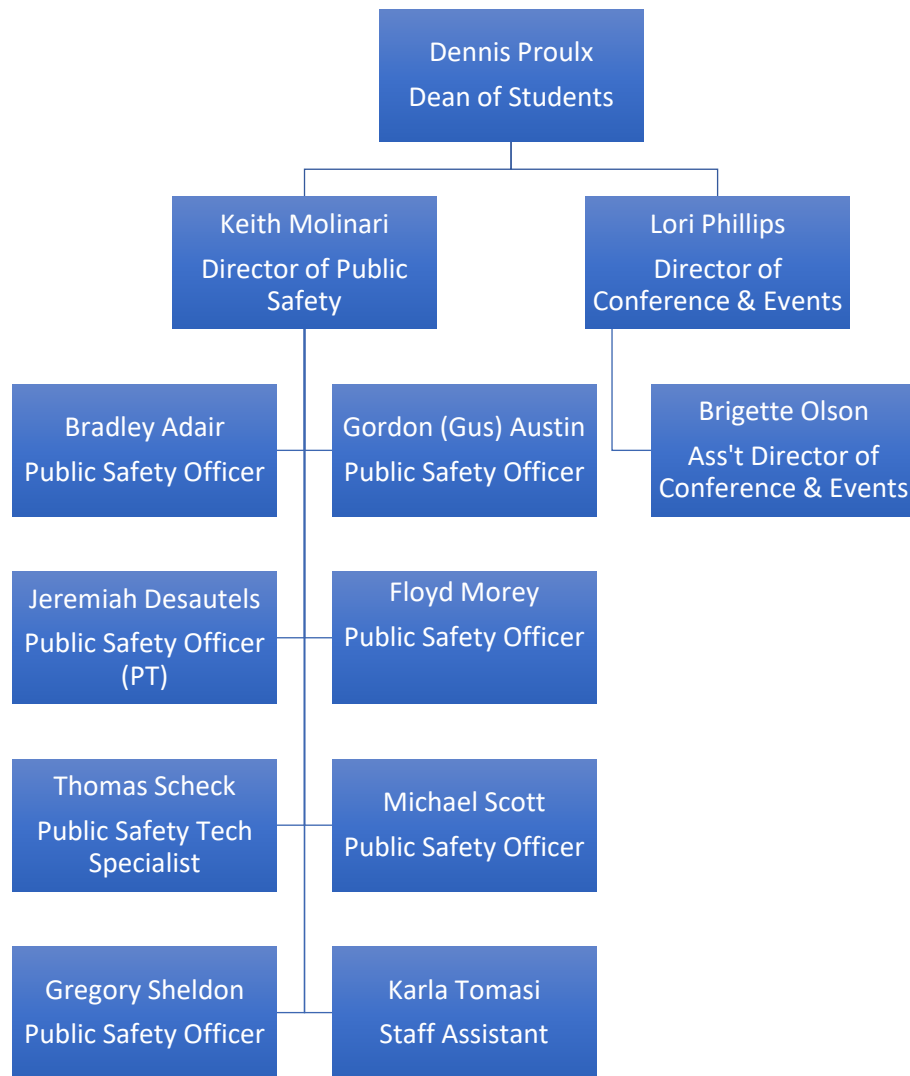


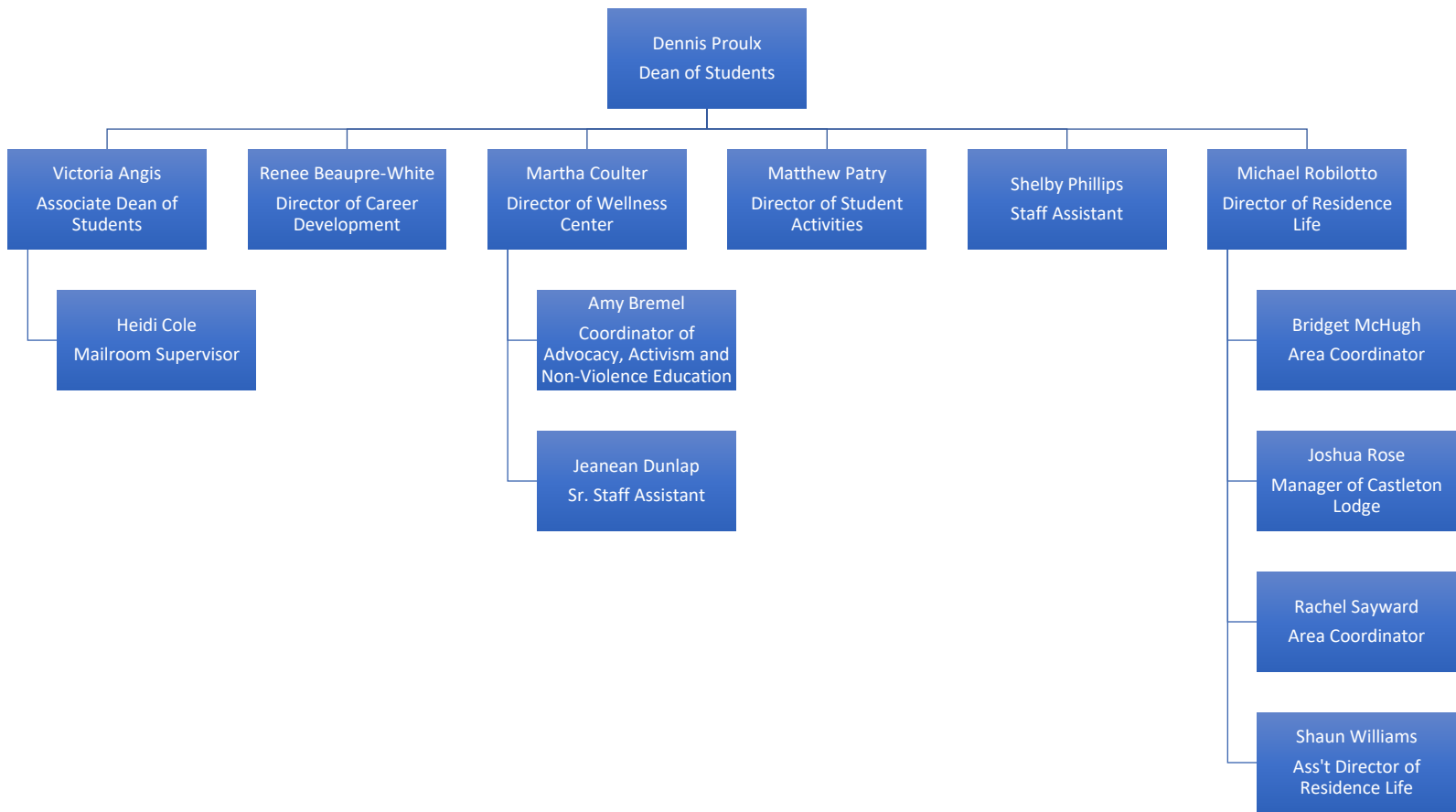


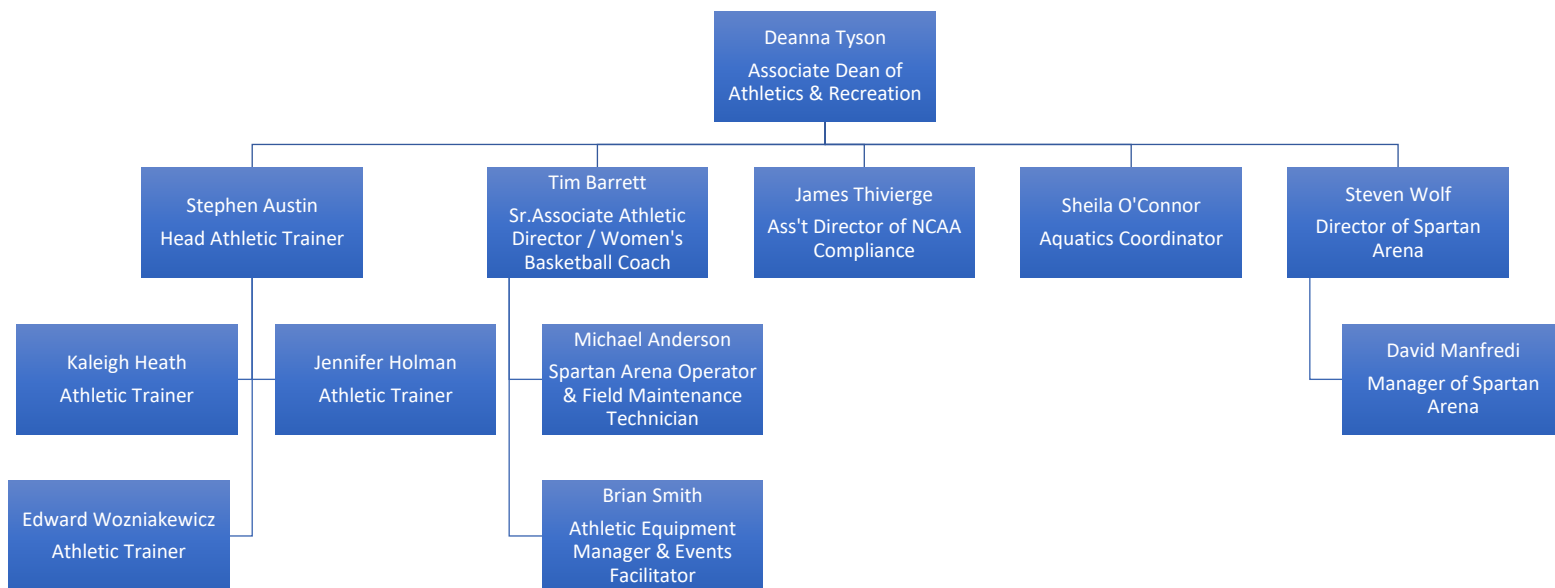


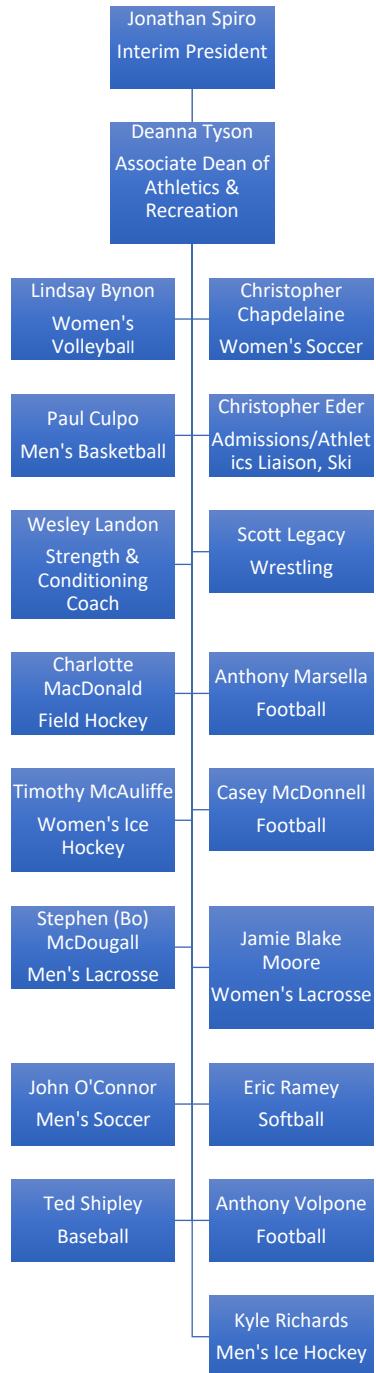


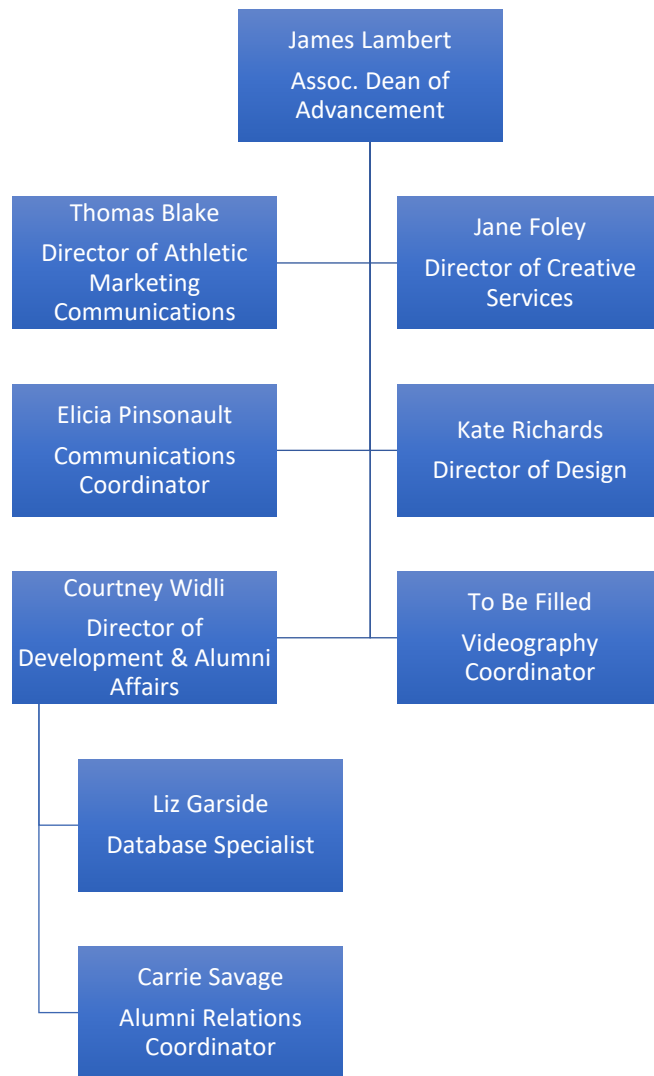












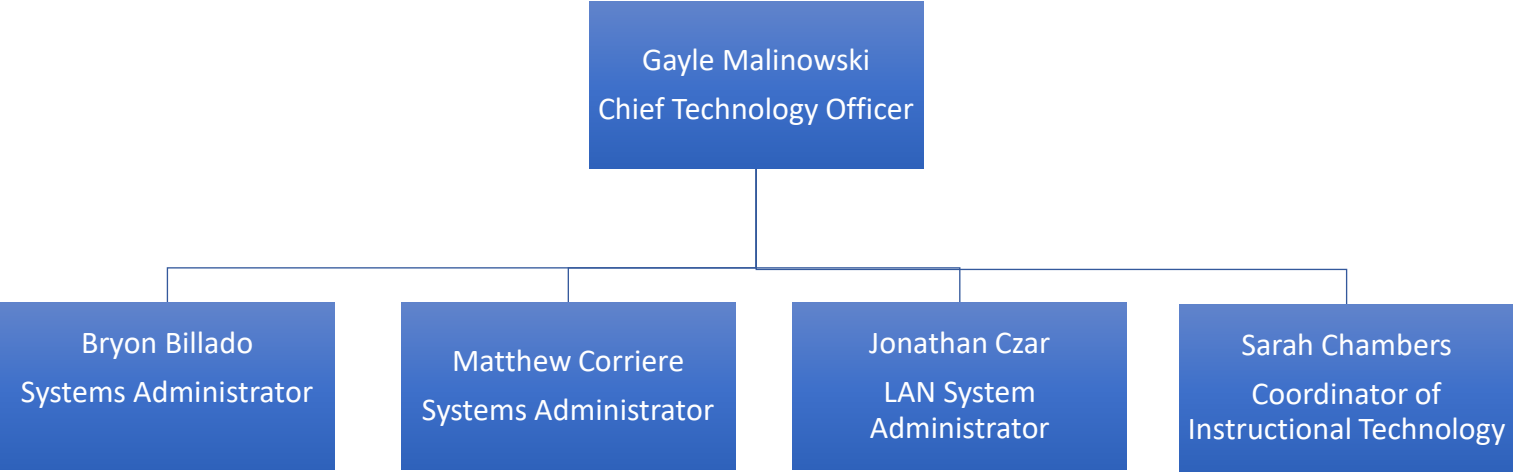


Table of NECHE Actions

5-year review

Date of Commission Letter: January 12, 2017

Detailed Actions, Items of Special Attention, Concerns	Self-Study NEASC 2017 Standards Cited in Letter	Self-Study NECHE 2021: Standards & Page Numbers
“success in implementing online programs with emphasis on achieving enrollment and financial goals and assuring academic quality”(3)	Standard 4.5 Standard 4.7 Standard 7.4 Standard 7.6	Standard 1, pp. 2-3 Standard 2, pp. 6, 8, 10 Standard 4, pp. 21, 25, 28, 29, 31 Standard 6, pp. 57, 60 Standard 7, pp. 65
“success in assessing student success and achievement and using results to improve educational effectiveness in its undergraduate and graduate programs” (4)	Standard 4.20 Standard 4.24 Standard 8 Standard 8.6 Standard 8.8	Standard 2, p. 9 Standard 3, p. 15 Standard 4, pp. 20, 24, 26-28, 30, 32, 35 Standard 8, pp. 77, 80-81, 84-90
“success in achieving its strategic initiatives with attention to establishing long-term entrepreneurial ventures with the City of Rutland” (4)	Standard 1.3 Standard 2.3	Standard 2, p. 10-11 Standard 5, p. 43

Substantive Change: adding new instructional locations: Killington and Bennington

Date of Commission Letter: June 18, 2019

The Commission confirmed “the inclusion of the instructional location in Bennington, Vermont be included in the institution’s accreditation, with an effective date of May 31, 2019;

that the site visit for the Killington, Vermont instructional location for Spring 2020 be confirmed and include a visit to the Bennington, Vermont instructional location.”

Substantive Change: adding new instructional locations: Killington and Bennington

Date of Commission Letter: March 2, 2021

“The Commission accepted the report submitted by Castleton University (Castleton) and confirmed inclusion of the additional instructional locations in Killington and Bennington, VT within the institution’s accreditation because the report was responsive to the concerns raised in our letter of June 18, 2019 and provided evidence that the institution is implementing the locations in a manner consistent with Commission standards and policies.”

Introduction: The 2021 Self-Study Process

The self-study was conducted over a two-year period commencing October 17, 2019 with nine members of the self-study team attending NECHE's self-study workshop. That group returned to campus and shared what they had learned at an October 31st kickoff meeting establishing the goals and deliverables, the work timeline, and the co-chairs for each of the nine standards. This meeting also reviewed the prior self-study, the five-year interim report, and intervening substantive change documents as well as NECHE's responses.

The co-chairs for each of the nine standards recruited additional sub-committee members to expand the reach of their expertise and to include a wider campus constituency in the self-study work (see committee membership listed below).

The pandemic and unanticipated staffing changes presented challenges in the process of completing the work. In January of 2020 Provost Mauhs-Pugh embarked on an eight-month medical leave. In March of that year, due to the pandemic, the University sent all students and employees home to complete the semester remotely. In June, President Scolforo resigned and Dr. Spiro, a member of the Steering Committee and co-chair of two standards, became interim president. Due to rising COVID-19 infection and positivity rates over the summer, the intention of returning to face-to-face instruction for the fall 2020 semester was cancelled and classes were once again conducted entirely online and most staff worked remotely. In spring 2021 instruction was conducted through a mix of online, face-to-face, and hybrid modalities, with some staff continuing to work remotely.

In April 2020, Jeb Spaulding, then-Chancellor of the Vermont State Colleges publicly announced his intention to close one of the other system's member institutions and the primary location of a second institution. Internally, he initiated steps to transfer senior administrators from the institution he proposed closing to Castleton, which would have resulted in personnel and possibly structural changes at Castleton. Public backlash against the proposal resulted in Chancellor Spaulding's resignation and withdrawal of the proposal to close campuses. After a brief period of disruption, including the resignation of President Scolforo, leadership stabilized under interim-president Spiro. However, uncertainty continued as to how to address the ongoing financial challenges of the Vermont State Colleges (VSC), which were exacerbated by the impacts of the pandemic.

In response to the crisis facing the Vermont State Colleges, the state commissioned two reports on the system's finances and created a legislative [*Select Committee on the Future of Public Higher Education in Vermont*](#). Throughout the remainder of the period of the self-study, Castleton's leadership, staff, and faculty invested considerable time assisting with the state's evaluation of the Vermont State Colleges and working to find viable solutions to existing financial and structural challenges. The result was the [*transformation plan*](#) recommended by the Select Committee and adopted by the VSC's Board of Trustees at its February 22, 2021 meeting. That plan informs the projections provided throughout this report and directs the future evolution of Castleton University and the Vermont State Colleges.

Under these shifting contexts, pandemic disruptions, and personnel changes, work on the self-study continued. Draft descriptions and appraisals were submitted by all sub-committees throughout the summer, fall, and winter of 2020 with multiple rounds of revisions. In February the completed draft narrative and Data First forms were submitted to all members of the steering committee and its subcommittees for review and feedback. In March, the draft narrative and Data First forms were submitted to the President's cabinet for review and feedback. In April, the narrative and Data First forms were submitted to all full-time faculty for review and feedback. At the May 4, 2021 Faculty Assembly meeting, the faculty voted in support for the self-study, requesting that the final version be reviewed by the Faculty Executive Council prior to its being sent to NECHE at the end of August. In June, the self-study was reviewed by President Spiro; in July it was sent to NECHE for feedback; and in August it was submitted to VSC Chancellor Sophie Zdatny for review and feedback.

The self-study provided an excellent opportunity for the Castleton community to reflect on its strengths and challenges and to consider its future trajectory, particularly in light of the searching examination conducted by the Legislature and the VSC during the same time period. The transformation promises to create a financially sustainable and educationally vibrant future as Castleton joins its sister institutions of Vermont Technical College and Northern Vermont University to create a new university that provides a state-wide portfolio of academic programs that are affordable and accessible to all Vermonters. In many ways, Castleton's star has never been brighter. It has, however, been a truly extraordinary two-years in which to prepare this self-study.

NECHE 2021 Self Study Committee Membership

Steering Committee Co-Chairs: Tom Mauhs-Pugh and Andy Alexander

Lead Writer/Editor: Andy Alexander, assisted by Tom Mauhs-Pugh

*Steering Committee Members and Subcommittee Co-Chairs

Standard One: Mission and Purposes and Standard Three: Organization and Governance

Tom Mauhs-Pugh* (provost)

Andre Fleche* (faculty)

Sherrill Blodget (faculty)

Meredith Fletcher (staff)

Kendra Ross (student)

Standard Two: Planning and Evaluation

Cathy Kozlik* (academic dean)

Tom Geisler* (faculty)

Standard Four: The Academic Program

Lori Arner* (registrar)

Chris Boettcher* (faculty)

Paige Gallo (faculty)

Preston Garcia (faculty)

Leigh-Ann Brown (faculty)

Joann Larson (faculty)

Standard Five: Students

Dennis Proulx* (dean of students)

Megan Blossom* (faculty)

Emily Wiezalis (staff)

Trish Van der Spuy (faculty)

Becky Eno (staff)

Deanna Tyson (associate dean of athletics)

James Wolfe (2nd year Grad Student and Alum)

Max Tempel (was undergrad rep, now 1st year Grad Student)

Standard Six: Teaching, Learning, Scholarship

Peter Kimmel* (academic dean, now retired)

Adam Chill* (faculty)

Doe Dahm (staff)

Rebekah Peterson (faculty)

Michael Talbott (faculty)

Ethan Welch (student)

Standard Seven: Institutional Resources

Laura Jakubowski* (chief finance officer)
Gillian Galle* (associate academic dean)
Janet Hazelton (director human resources)
Gayle Malinowski (chief technology officer)
Chuck Lavoie (director facilities)

Standard Eight: Educational Effectiveness

Kelley Beckwith* (associate dean student success)
Sue Generazzo* (faculty)
Scott Hanselman (faculty)
Marybeth Lennox-Levins (faculty)
Frank Pauze (faculty)
Amanda Richardson (staff)
Phil Whitman (faculty)

Standard Nine: Integrity, Transparency, Public Disclosure

Maurice Ouimet* (dean of enrollment)
Rich Clark* (faculty)
James Lambert (associate dean advancement)

Institutional Overview

Institutional Overview: Resilient and Transformational

The Past

Castleton University was founded in 1787 (the same year that the Constitution of the United States was written). We are Vermont's first institution of higher education and the eighteenth oldest college in the United States. With over 18,000 alumni, 1,800 students, and 360 faculty and staff, Castleton University is the educational, cultural, and economic engine of our region.

The University's 165-acre campus is situated in the picturesque Lakes Region of Vermont, an area long recognized for its beauty, tranquility, and abundant four-season recreational resources. Vermont's fifth largest city, Rutland, lies twelve miles to the east and serves as a vital source of internships, employment, service opportunities, and cultural activities for our students. The internationally-known ski resorts of Killington and Okemo are just forty minutes away along the crest of the Green Mountains,

As visitors approach the campus off of Main Street in Castleton, they pass the 18th-century tavern where Ethan Allen and Benedict Arnold plotted their successful capture of Fort Ticonderoga, the 19th-century Federated Church whose stately spire has towered above the Castleton River since the presidency of Andrew Jackson, and the 20th-century Birdseye Diner, an iconic slice of Americana.

The University's roots go back to 1787, when the General Assembly of the Republic of Vermont honored the petition of a group of veterans of the Green Mountain Boys and the Continental Army and chartered the Rutland County Grammar School in the village of Castleton. (In the eighteenth century, a grammar school was the first step in higher education, a link between the local common schools and the few colleges in New England.) In 1818, the Grammar School was joined by a neighbor, the Castleton Medical College, the first medical college in Vermont. Until it closed in 1862, the Medical College conferred some 1,400 medical degrees, more than any other New England medical school. Students came from throughout the United States and Canada, and from distant lands including France, Cuba, Ireland, and Brazil. At least two African Americans graduated and went on to distinguished careers. When the Medical College closed, its distinctive cupola-topped building (known today as "The Old Chapel") was absorbed by the original school. Today, the Old Chapel still houses classrooms along with exhibits from the days when it was the anatomical theater of the Medical College. It also features the oldest photograph of medical education taking place in the United States.

Throughout the nineteenth century and beyond, the school in Castleton evolved and changed names to meet the needs of society. The metamorphoses are permanently inscribed in the pavement stones embedded in the walkway in front of the Calvin Coolidge Library:

Rutland County Grammar School, 1787-1828

Vermont Classical High School, 1828-1830

Castleton Seminary, 1830-1876

State Normal School at Castleton, 1867-1920

Castleton Normal School, 1921-1947
Castleton Teachers College, 1947-1962
Castleton State College, 1962-2015
Castleton University, since 2015

Over the years—no matter its name—the school’s enrollments and revenues ebbed and flowed, but the institution repeatedly benefitted from the vision of several outstanding leaders, including Solomon Foot, principal in the 1820s (and later president pro tempore of the U.S. Senate during the Civil War); the force of nature known as Harriet Haskell, Castleton’s first woman principal in the 1860s (and later a nationally known feminist); and Captain Abel Leavenworth, principal in the 1880s (and hailed as the hero who had led the first Union infantry into Richmond in 1865 and personally raised the stars and stripes over the capital of the Confederacy).

Castleton entered its first Golden Age in the 1920s and 1930s under the leadership of Caroline Woodruff, a friend of Eleanor and Franklin Roosevelt and the first woman president of the National Education Association. Woodruff helped save the school after a devastating fire in 1924 (the fifth major fire in the school’s history). Demonstrating the resilience that typifies Castleton, Woodruff vowed that "the glory of the latter house shall be greater than that of the former." And, indeed, under Woodruff’s guidance the school flourished. She modernized the curriculum, hired excellent staff, and exposed her students to the wider world through guest speakers like Robert Frost, Helen Keller, Norman Rockwell, and Alexander Woollcott (whose home on a lake in Castleton served as the summer headquarters of the Algonquin Round Table in the Roaring Twenties).

In the 1960s, Castleton entered its second Golden Age under President Richard Dundas, a quiet visionary who doubled enrollment, bolstered the caliber of the faculty, embarked on a building boom, and expanded the curriculum until the school offered a full-fledged liberal arts education. The student population, which traditionally had been rural women, now included significant numbers of men, and Castleton became a national power in men’s soccer. In 1962, Castleton became a state college and a member of the newly formed Vermont State Colleges System. Unfortunately, the head of the Board of Trustees and President Dundas did not see eye to eye, and the latter was unjustly fired at the end of the decade.

Beginning in 2002, Castleton entered its third Golden Age under the charismatic leadership of President David Wolk. The college invested over \$75 million in infrastructure improvements, increased research opportunities for faculty and students, expanded programming in athletics and the arts, increased the number of international students, pursued a diversified portfolio of entrepreneurial ventures, and added a number of graduate programs. The college had become, for all intents and purposes, the flagship institution of the Vermont State Colleges System. Accordingly, after more than a decade of unprecedented growth and improvements, in 2015 the VSC Board of Trustees unanimously approved modernizing Castleton’s name to Castleton University.

The Present

Castleton—like most colleges in New England—entered a period of retrenchment in the late 2010s. The causes were not unique to Castleton; they include the declining population of high

school students in the region and insufficient funding from the state legislature. Vermont ranks at (or next to) the bottom of the fifty states when it comes to State support of higher education, and Castleton received a paltry 12% of its funding from the State. The foregoing led to (a) repeated—and painful—budget cuts, (b) staff layoffs, (c) the curtailment of several low-enrolled academic programs, and (d) tuition increases (which in turn led to further declines in enrollment, as Vermonters could no longer afford to attend their own state colleges). And then the nation was hit by COVID-19, which forced us to shut down the campus in spring 2020.

Accordingly, some of the more optimistic projections made in the 2011 Self-Study did not come to pass, e.g., an anticipated increase in the number of full-time faculty, an expansion of our study abroad programs, and a surge in the number of graduate programs. While we did create the Castleton Polling Institute, after a few years the budget situation forced its closure, along with several other entrepreneurial ventures in downtown Rutland that we could no longer afford.

Castleton University faces formidable challenges, most of which stem from fiscal constraints tied to the regional competition for students and the historically low state appropriation. For example, many of our employees are fatigued because they have assumed more and more duties as the total number of employees has decreased in response to budget tightening. When those employees resign or retire, our uncompetitive salary schedule renders it difficult to attract first-rate applicants. In addition, we have recently witnessed a troubling drop in our historically enviable student retention rate. We also need to follow through on the President's Pledge to increase diversity on campus. We must satisfy our students' need for increased mental health services. And we cannot indefinitely increase the discount rate in an effort (so far successful) to match our out-of-state competitors.

Despite facing serious challenges, our exceptional faculty and staff have displayed remarkable flexibility and have continued to provide our students with the quality education and personal service that they deserve. We sometimes remark, not so facetiously, that a salutary consequence of our low salaries is that employees who choose to come here genuinely want to work at a relationship-based institution that focuses on transforming its students.

Today, Castleton University has a total enrollment of more than 1,700 students. Vermont residents constitute the majority of the student body, though our out-of-state and international populations continue to grow. Per our Mission Statement, a Castleton education is transformational for our students. Nearly half of our students represent the first generation of their family to seek a college degree and they often arrive on campus with limited academic success and real fears about their ability to succeed. They are most lacking not in potential but in understanding how to navigate the culture of higher education. The University consciously strives to meet their special needs through close faculty-student interactions and by enveloping them with a sense of care, support, and opportunity that we refer to as “The Castleton Way.”

When Green Mountain College closed its doors in 2019, Castleton accepted its students with open arms. Later that year, when Southern Vermont College and then the College of St. Joseph ceased operations, Castleton again agreed to teach-out their students. And we continue to stand by, ready to provide New Englanders with the skills, training, and support they need to permanently improve their lives and the lives of their families.

We sometimes say that “All students can earn straight As at Castleton,” because they have unparalleled opportunities to excel in the three “A”s: Academics, Arts, and Athletics.

Academics

The university offers almost forty distinct undergraduate programs and seven graduate programs—delivered in face-to-face, online, and hybrid formats—that bridge the curricular divide between the liberal arts and professional preparation. Our dedicated professors are famous for always keeping their doors open so our students can readily receive one-on-one help and advice from their mentors. Our most popular programs are Business, Nursing, Psychological Sciences, Sport Management, Education, Social Work, Media & Communication, and Health Science. These programs are crucial to the health of our State. Nursing, for example, partners with regional healthcare providers to fill the critical shortage of health care workers, and Education trains the next generation of teachers. (One principal recently complimented us for our preparation of a teacher he had recently hired and finished the conversation with: “Send us more!”) In addition, the Castleton Center for Schools runs hundreds of courses a year for teachers and school administrators all around Vermont who seek professional development. External agencies, from the Vermont Community Foundation to the National Science Foundation, appreciate what they see and awarded Castleton \$8 million in grants last year alone, because they believe in our promise, in our mission, and in the demonstrable quality of our graduates.

Arts

Castleton University is the arts hub of this region. Our programs in Theater, Music, Dance, Photography, Art, and Cinema serve our students and the public at large with extensive educational opportunities and cultural programming. Castleton’s theater productions are renowned for their quality and attract the community to our exquisite 485-seat Casella Theater. Students produce and direct their own plays in the intimate 60-seat Black Box Theater. Faculty, staff, students, and community members participate in our Chorale, Chamber Choir, Wind Orchestra, and Jazz Band. Castleton’s two art galleries (one on campus and another in downtown Rutland) present revolving exhibits that showcase the work of New England artists. Our renowned Arts Reach Program brings to campus busloads of elementary students from all over the state to attend a dozen special presentations every year.

Athletics

Castleton has twenty-eight varsity athletic teams, most of which compete in the Little East Conference, a premier NCAA Division III conference. Our student-athletes perform over 20,000 hours of community service and donate over \$15,000 to local charities each year. And (speaking of straights ‘As’) our student-athletes often earn the Academic Cup for the highest grade point average in their conference. Prospective students comment on the variety and scope of our athletic facilities which are some of the finest in New England. We always say that all we need to do is get a recruit to visit Castleton: once they walk across our safe, bucolic campus, witness the splendor of Dave Wolk Stadium, and sit in on a class: they’re hooked.

Our alumni regularly state that the four years they spent at Castleton were the best years of their lives. That’s not surprising, as our campus is truly an exhilarating place: hundreds of eager young adults studying, learning, debating, going to plays, cheering at football games, starting clubs,

performing internships, conducting experiments in our new million-dollar science labs, skiing at Pico Resort (our students ski for free at Pico), working on projects in our state-of-the-art graphic design studio, and, most importantly, preparing to make Vermont a better place when they graduate.

The Future

COVID-19 forced the University into survival mode for over a year, but we nonetheless managed to embark on a number of new initiatives: we revised our General Education Program (which one expert has called “A model for Gen Ed reform”); embraced online teaching and technology; established a Center for Teaching and Learning; secured a Title III grant focused on increasing the retention rate; adopted new advising software (Aviso) and started to design a holistic advising structure; infused career preparation throughout the curriculum; created a new Office of Institutional Research; and emphasized diversity, equity, and inclusion. It is our belief that these initiatives will reverse the slide in retention, especially as many of them are being overseen by the newly-appointed Associate Dean of Student Success.

We also expanded our footprint in 2019 by adding new campuses in Killington (for our Resort & Hospitality Management program) and Bennington (for our Nursing program).

All of the foregoing is evident in the Self-Study, which reveals a repeated pattern of the institution making strategic adjustments in the face of significant external challenges. Indeed, Castleton has continually reinvented itself in numerous and profound ways. Over the years, our students survived dozens of economic depressions and they marched off to fight in fourteen wars. But during this time, two things remained constant: (1) Castleton never received adequate funding from the State, yet (2) it always served as a vital vehicle for our students’ upward mobility. As an orator declared at the school’s centenary celebration in 1887: “No matter by what name we call this institution, it has always been a stepping stone to those who wished to go higher.”

Although much has changed in 234 years, Castleton retains its historic commitment to our students and to Vermont. Like Ethan Allen and the Green Mountain Boys, who convened in Castleton just twelve years before our founding, we do heroic things with minimal means. The transformative education Castleton provides is needed now more than ever before, as we offer vital programming to educate the future scientists, nurses, social workers, educators, business persons, and thinkers who will tackle the myriad challenges facing our state, our nation, and our planet.

Castleton has never been a large university. It has never been a well-funded university. It does not have a national reputation. Nor does it have donors with big pockets. But it has persevered to achieve a level of success and significance far exceeding what the founders of 1787 could have imagined. Our faculty, staff, and students embrace our mission and are proud of what we do. Yes, on July 1, 2023 we will emplace another paving stone in front of the Library engraved with our new name, but we are confident that Castleton will continue to provide our students a relationship-based transformative education, as we have done since before George Washington was president.

DATA FIRST FORMS GENERAL INFORMATION

Institution Name: Castleton University

OPE ID: 368300

		Annual Audit	
		Certified:	Qualified
		Yes/No	Unqualified
Financial Results for Year Ending:	June 30th		
Most Recent Year	2021	Pending	Pending
1 Year Prior	2020	Yes	Unqualified
2 Years Prior	2019	Yes	Unqualified

Fiscal Year Ends on: June 30th (month/day)

Budget / Plans

Current Year	2022
Next Year	2023

Contact Person: Dr. Thomas Mauhs-Pugh

Title: Provost

Telephone No: 802-468-6413

E-mail address: thomas.mauhspugh@castleton.edu

Chapter 1

Mission and Purposes

Description

Mission

Castleton revised its [mission](#) in 2018 as the University transitioned to a new president, Dr. Karen M. Scolforo. The 2018 revision incorporated the University's commitment to helping students understand and embody the "Castleton Way" and emphasized transformational growth and global relevance while positioning the University to take advantage of opportunities for growth. The revision was approved by the Vermont State Colleges System's Board of Trustees on September 27, 2018.

To understand the Castleton Way, which guides the university in all its endeavors, is to engage in respectful relationships in an inclusive, student-centered environment; to appreciate our learned and compassionate faculty and dedicated and caring staff; to strive to learn, use, and teach sustainable environmental practices; and to participate in strong community partnerships.

Castleton's transformational education emphasizes undergraduate liberal arts and professional studies while also offering graduate programs. The University prepares its diverse students for relevant and meaningful careers in a global economy, advanced academic pursuits, and responsible citizenship.

This mission is featured in the [Undergraduate Catalog](#), the [University Handbook](#), and on the University web site ([Castleton University Mission](#)). Students become familiar with the mission primarily through the First-year Seminar program (Connections program beginning fall 2021), especially around its focus on defining the components of and goals for a liberal arts education; faculty have continually adjusted their teaching and advising as the mission has evolved and ultimately been approved by Faculty Assembly.

The mission is complemented by five learning goals that were adopted in 2016 by the Faculty Assembly. The goals are clearly stated in the [University Catalog](#).

The curriculum and overall campus experience are designed to realize five learning goals:

- 1. Castleton University provides a broad range of knowledge in the liberal arts as well as deep knowledge in one of our many academic disciplines.*
- 2. Castleton University develops students' facility with skills necessary for their academic studies, professional development, and life-long learning.*
- 3. Castleton University helps students to clarify their values and learn how to collaborate productively with others by recognizing and respecting diverse perspectives.*
- 4. Castleton University teaches students how to make connections between various intellectual and social domains and to apply their knowledge in critical and creative thinking and expression.*

5. *Castleton University prepares students to take meaningful action in their personal, professional, and civic lives.*

The mission statement gave direction to the revision of the [General Education](#) program which was approved in 2020, and implementation commences fall, 2021. Specifically, the revision includes seven General Education learning goals and requires three core courses – called Connections Seminars I, II, and III -- that emphasize learning goal 4: making connections between various intellectual and social domains and applying knowledge in critical and creative thinking and expression.

The mission also informed the creation of the Student Life Goals (see Workroom documents: Student Life Goals May 2019 and Student Life Goals Mapped Against the University Goals). The Student Life Goals are used in annual staff training and to review and set annual goals for student life activity.

The prior mission statement gave direction to the 2013 development of a strategic plan, “Castleton on the Move,” a blueprint for the University’s next decade. At the plan’s midpoint in 2018 and at the outset of her tenure, President Karen Scolforo convened a committee of University and Vermont State Colleges System leadership, community stakeholders, students, and alumni to update the plan, to address changing circumstances, and to best equip the University for the future. Consistent with the revised mission statement, the updated “Castleton on the Move (revised 2018)” plan provided a more concise roadmap for the following five years, consolidating the original seven “destinations” into pillars, supported by several priorities. The new plan lays out how Castleton seeks to strategically align its pillars and priorities with the [VSC Mission and Priorities](#) for the benefit of Vermont (see Workroom document: Castleton on the Move, revised 2018).

Purposes

Castleton University focuses on providing students with a quality liberal arts education and selected professional and graduate programs. Castleton offers a diverse and challenging curriculum in a community that is small enough for individuals to matter. Castleton strives to engage students in a transformative educational journey, making accessible to all—especially first-generation—students, the joys and excitement of learning. Castleton is proud of its commitment to educating the 50% of its students who are the first in their family to attend college (see Workroom document: Sourcebook-2018-Final), as well as a growing number of international, out-of-state, and non-traditional students. Castleton’s goal is to produce graduates who are active, engaged, and well-informed members of their communities.

While historically Castleton University’s identity is as a residential, relationship-based institution, it has recently expanded the use of digital instructional modalities to overcome geographic and time constraints. Three such entirely online programs include the Masters in Athletic Leadership (launched in 2014), the MBA (launched in 2019), and the Masters in Nursing (which will launch in 2021). Castleton has also expanded beyond its main campus by opening instructional locations at Killington, Vermont for its Resort and Hospitality Management program and another at Bennington, Vermont to extend its Nursing program in partnership with Southwest Vermont Medical Center. Both of those campuses were opened in 2019, and on January 22, 2021 NECHE confirmed their inclusion within Castleton’s accreditation.

Appraisal

Castleton's mission and purposes have been successfully reviewed and revised during this decade and now emphasize "The Castleton Way," which defines the character of the University. The emphasis on a transformational education highlighting sustainability, community, and responsible citizenship provides a contemporary, coherent, and compelling identity for the institution. The five learning goals further define the mission and educational priorities in ways students can clearly understand. Castleton's mission remains a "living" document that reflects and drives current priorities and practices while providing a basis for both continuity and growth over time.

By opening off-site instructional locations and adding online degree programs, Castleton better serves its mission and purposes through bringing its particular approach to education to a wider audience.

The announcement by the Board of Trustees on February 22, 2021 that the Vermont State Colleges will move forward with pursuing the merger of Castleton University, Northern Vermont University, and Vermont Technical College, with a projected single accreditation to be achieved on or before July 1, 2023, signals a new chapter in the evolving mission and purpose of the University. Castleton looks forward to working with partner institutions across the Vermont State Colleges to build on Castleton's strengths and contribute to a robust mission and purpose for the new entity.

Projection

- Castleton University will review and revise its mission and purposes to align with the transformation of the Vermont State Colleges System, including the proposed merger with Northern Vermont University and Vermont Technical College.

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	Website location	Date Approved by the Governing Board
Institutional Mission Statement	www.castleton.edu/about-castleton/	September 27, 2018

Mission Statement published	Website location	Print Publication
<div>?</div> Castleton on the Move	<div>?</div> https://castleton.s3.amazonaws.com/files/resources/strategic-plan-2.pdf	No
Academic Catalog	http://catalog.castleton.edu/content.php?catoid=22&navoid=2026#Mission	No
Welcome to Castleton	https://s3.amazonaws.com/castleton/files/resources/welcome-to-castleton.pdf	No

Related statements	Website location	Print Publication
<div>?</div> Student Orientation Staff Mission Statement	<div>?</div> https://www.castleton.edu/admissions/for-first-year-students/orientation-the-first-year-at-castleton/student-orientation-staff/	No
Athletic Training Program Mission Statement	https://www.castleton.edu/academics/graduate-programs/master-of-athletic-training/program-mission-and-goals/	No
Student Government Association Mission Statement	https://www.castleton.edu/campus-life/clubs-activities/student-government-association/	No
Social Work Program Mission Statement	https://www.castleton.edu/academics/undergraduate-programs/social-work/social-work-program-requirements/	No
School of Nursing mission	https://www.castleton.edu/academics/undergraduate-programs/nursing/tradition-of-quality/	No

Please enter any explanatory notes in the box below

Castleton Mission

Approved by the VSC Board of Trustees, September 27, 2018

To understand the Castleton Way, which guides the university in all its endeavors, is to engage in respectful relationships in an inclusive, student-centered environment; to appreciate our learned and compassionate faculty and dedicated and caring staff; to strive to learn, use, and teach sustainable environmental practices; and to participate in strong community partnerships.

Castleton's transformational education emphasizes undergraduate liberal arts and professional studies while also offering graduate programs. The University prepares its diverse students for relevant and meaningful careers in a global economy, advanced academic pursuits, and responsible citizenship.

Chapter 2

Planning and Evaluation

Planning

Description

Planning and evaluation at Castleton occurs regularly at both the institutional level and in concert with strategic priorities, policies, and practices at the system level.

Since 2011, Castleton's strategic planning process and focus has intentionally shifted in scope and direction due to changing demographics, finances, environmental factors, and administrative changes. The changes are best described in three phases: (i) "Castleton on the Move (2013)," (ii) "Castleton on the Move (revised 2018)," and (iii) the "Vermont State Colleges Transformation Plan" (2021).

(i) Castleton Strategic Plan: Castleton on the Move (2013)

In fall 2013, as a result of input from eight campus-wide committees, "The Castleton Strategic Plan: Castleton on the Move" emphasized the college's student-centered, relationship-based classroom teaching model and provided a vision for a decade of growth through the following seven "key destinations":

1. Continue the relationship-based educational experience with a multitude of curricular and extra-curricular opportunities.
2. Increase the undergraduate population to 2500 with recruitment efforts across the nation and from other countries.
3. Develop exemplary graduate programs.
4. Maintain or improve support for faculty and staff as growth proceeds.
5. Add infrastructure.
6. Increase public and private funding
7. Strengthen relationship with the town of Castleton.

(paraphrased from "Castleton Strategic Plan" vision Statement, adopted November 28, 2012)

"Castleton on the Move" catalyzed the institution to enlarge its residential footprint, enhance its emphasis on athletics (long an institutional strength), and increase recruitment of international and out-of-state students. The vision was further facilitated by changing the name from Castleton State College to Castleton University in 2015. The appellation "university" was consistent with an increased emphasis on faculty research and the expansion of academic programming, including an increased number of master's degrees.

(ii) Castleton on the Move (revised 2018)

In December 2017, Karen Scolforo became president of Castleton University, replacing David Wolk, who retired after a 16-year tenure at Castleton. In order to immediately address a budget shortfall, President Scolforo initiated a series of *ad hoc* committees designed to both balance the budget and to revise the strategic plan. Over a three-month period, the task forces, consisting of volunteering faculty and staff members, studied and made recommendations in the following three areas: Existing Program Review; New Product Potential; and Delivery Models.

Existing Program Review

As part of the Existing Program Review, each academic department reported on changes that could be made within their programs to reduce costs without affecting quality. The revisions were generated by input from all faculty, who produced approximately 600 pages of evaluation, analysis, and proposal. As summarized in the final report of this task force, proposed cost savings from faculty reductions and department changes were projected to yield approximately \$546,000.

New Product Potential

This task force investigated and reported on several types of future opportunities:

- High Growth Programs with Long Implementation (examples: Physician Assistant, Nurse Practitioner, MBA, Data Analytics)
- High Growth Programs with Short-Term Implementation (examples: Computer Systems, OTA; PTA; Early Childhood Education; pathways with other institutions)
- Immediate Growth (examples: specializations within majors)
- High Growth Current Programs (examples: M.S. in Accounting; CIS; Multi-disciplinary Studies)

Delivery Models

This task force identified strategic initiatives in five areas:

- Making CU more attractive to adult students
- Focusing on pockets for professional development
- Expanding support for online and blended courses
- Expanding connections with other colleges in the Vermont State Colleges System
- Better articulating competencies and transferable skills

Following the reports of these three task forces, President Scolforo formed a steering committee of cabinet members, faculty and student representatives, and local business leaders to continue revision and development of “Castleton on the Move.” Led by President Scolforo, this committee met in March and April of 2018 to revise the Castleton Mission Statement and create four “pillars” that would form the basis for ongoing strategic initiatives.

New Mission:

To understand the Castleton Way, which guides the university in all its endeavors, is to engage in respectful relationships in an inclusive, student-centered environment; to appreciate our learned and compassionate faculty and dedicated and caring staff; to strive to learn, use, and teach sustainable environmental practices; and to participate in strong community partnerships.

Castleton’s transformational education emphasizes undergraduate liberal arts and professional studies while also offering graduate programs. The University prepares its diverse students for relevant and meaningful careers in a global economy, advanced academic pursuits, and responsible citizenship.

Pillars:

I: Transformational Student Experience (including innovative approaches to delivery models, pedagogy, co-curricular offerings, and faculty & staff support; rigorous academic experience; new

program development)

II: *Growth and Relevance* (realistic projections; market research and trends; expanded international recruitment; diversity initiatives; improved retention)

III: *Financial Sustainability* (balanced budgets, restructure, established margins, replenished reserves.)

IV: *Advancement* (strategic fundraising, branding, pursuits of grants, community engagement, value versus price structure, partnerships, promotion, town/gown.)

As the revised “Castleton on the Move” strategic plan of 2018 went into effect, unforeseen external factors prioritized certain programs over others. For example, three Vermont institutions of higher learning closed their doors in 2019, causing many of their students to transfer to Castleton. Castleton became the “teach-out school” for College of St. Joseph and, though not designated the teach-out school of record, accepted many transfers from Green Mountain College and Southern Vermont College. As a result of these closures, Castleton not only served students needing to finish their degrees but also established new locations in Killington and in Bennington, Vermont that had been abandoned by the closing institutions. Castleton built upon Green Mountain College’s Killington School of Resort Management, establishing the Castleton University School of Resort and Hospitality Management at Killington. Castleton also opened a new campus in Bennington for nursing students coming from Southern Vermont College.

The overarching vision of “The Pillars” at Castleton has remained largely consistent in the last several years despite uncertainty regarding the future structure of the Vermont State Colleges System and then the emergence of the COVID-19 crisis beginning in spring 2020. In some cases, timelines were necessarily changed. For example, although Castleton had already created rigorous training for online and hybrid delivery, the sudden transition to online/remote delivery put the planning and development of online excellence high on the priority list. Similarly, the resignation of President Scolforo effective May 31, 2020 precipitated a transition in leadership at Castleton. Furthermore, the decline in enrollment and reduction in housing revenue due to the pandemic prioritized attention to fiscal sustainability by the Vermont State Colleges System, and attention was diverted to collaboration across the system in programming and support. Although the many functional and operational committees on the Castleton campus continued their work under the categories of the “Pillars,” much of the strategic planning efforts turned toward exploring ways to support the VSC, particularly around combining the institutions into one entity.

(iii) The Vermont State Colleges Transformation Plan (2021)

In June of 2019, the Vermont State Colleges’ (VSC) Chancellor released a white paper: [Securing the Future of the Vermont State College System](#). Presenting a detailed analysis of—and substantial data documenting—the challenges facing the VSC, the white paper initiated eleven months of planning and evaluation of the member institutions of the VSC, as well as the VSC as a whole. The Long Range Planning Committee of the Board of Trustees held open forums with faculty, students, administrators, staff, and other stakeholders throughout the State and on each of the [campuses](#). On December 2, 2019, Castleton University submitted its [draft strategic vision](#) in response to the Chancellor’s request.

While initially envisioning a multi-year timeline to refine the development of a strategic vision for each of the campuses and to construct an implementation plan, the financial threat created by the pandemic impacts of spring 2020 drove precipitous action. In April, 2020, Chancellor Spaulding announced a plan to close three of the VSC campuses: NVU-Lyndon, NVU-Johnson, and Vermont Technical College's main campus in Randolph. Substantial resistance to the plan resulted in the chancellor resigning and the plan being shelved. However, the challenges articulated in the white paper remained.

In response to the demise of the Chancellor's proposal, the Vermont Legislature's Joint Fiscal Office created a Select Legislative Committee on the Future of Public Higher Education in the State of Vermont. Act 120 charged the Select Committee with "addressing the urgent needs of the Vermont State Colleges (VSC) and developing an integrated vision and plan for a high-quality, affordable, and workforce-connected future for higher education in Vermont" and to offer recommendations regarding "the financial sustainability of the VSC system" as judged through the lens of having "impact on institutional capacity to innovate and meet State goals and learners' needs" ([NCHEMS final report](#)). The [Committee](#) initiated a thorough review of the system, with the assistance of the National Center for Higher Education Management Systems (NCHEMS), to meet the Legislature's charge. The VSC had six representatives on the Select Committee: the Chancellor, a president, a trustee, a faculty member, and alum, and a current student.

The NCHEMS final report, submitted April 5, included the recommendation that Castleton be merged into a single accredited institution along with Northern Vermont University and Vermont Technical College.

Prior to the launch of the Select Committee, the Chancellor's Office created a system-wide committee, the VSC Forward Task Force, in the summer of 2020. The VSC Forward Task Force's recommendations, along with that of other interested stakeholders, such as the VSC Labor Task Force (comprised of union leaders), were considered by the Select Committee. The result was a detailed [Transformation Plan](#) approved by the Board of Trustees on February 22, 2021. This incorporated the Select Committee's two principal recommendations set forth in its Initial and Interim Reports, namely that Castleton University, Northern Vermont University and Vermont Technical College be combined under a single leadership and a single accreditation, and that the system move to coordinate administrative service operations.

The president's cabinet has been the main entity for the strategic planning process. Prior to March of 2020, the cabinet met weekly; since the pandemic, the cabinet has met more frequently, sometimes daily, to confront the ever-changing environment. The cabinet consists of the president and all the deans and directors representing the administrative areas of Academic Affairs, Business Affairs, Communication, Development, Enrollment, Human Resources, and Student Life. The Faculty Assembly president was added to the cabinet in summer of 2020. The role of the cabinet is twofold: 1) strategic, in its consideration of internal and external opportunities and threats, and 2) operational, in its focus on day-to-day matters of managing the business of the University.

Although the main planning entity is the cabinet, all constituencies of the University are involved in functional planning that still falls under the four pillars of "Castleton on the Move." Individual university committees and planning groups employ planning processes that take a wide variety of

forms and range from highly formal to *ad hoc*. Financial Aid's planning is an example of the more formal, as its process is heavily prescribed by state and federal actions. On the other hand, the "CU/see me" Committee is an *ad hoc* committee planning events to encourage diversity and inclusion. An Emergency Management Team has played an increasingly important role navigating through the pandemic.

The Faculty Assembly, which includes all full-time members of the faculty, is charged with planning and executing policies related to the University's educational program in accordance with the [Agreement between Vermont State Colleges and Vermont States Colleges Faculty Federation](#). Through its various standing committees, the Faculty Assembly conducts the ongoing governance work related to educational policy and meeting the objectives of Pillar I.

The Faculty Assembly's executive council consists of three officers (president, vice-president, and secretary), three at-large members elected according to Assembly by-laws, a parliamentarian appointed by the Assembly president, and the chairperson of the local chapter of the Faculty Federation, who serves as an *ex officio* member. The Executive Council initiates and oversees the work of the Assembly. As mentioned before, the president of the Faculty Assembly also serves on the University president's Cabinet.

Appraisal

Leadership turnover, declining enrollment, instability at the Vermont State Colleges System, and pandemic effects have challenged planning and evaluation on a scale not experienced before. The 2013 physical expansion plan created a solid base that was necessarily revised due to increasing enrollment challenges by the 2018 academic exploration plan, which in turn has been replaced by the VSC Transformation Plan.

In the midst of these changes, Castleton has maintained its emphasis on a student-centered, relationship-based education. New leadership and ongoing work by all functional areas have allowed the University to be flexible and nimble in the face of challenges. For example, when the three Vermont institutions of higher learning closed their doors in 2019, Castleton quickly stepped in to serve students needing to finish their degrees without transferring out of state. The expansion into Bennington to serve Southern Vermont College's nursing program and the establishment of the Castleton University School of Resort and Hospitality Management at Killington within just a few months was evidence of the University's ability to quickly adjust and provide a nearly seamless transition to students.

During the past year, the president's cabinet adjusted to planning for major changes in the Vermont State Colleges System. Similarly, the faculty have undergone the transformation from face-to-face classrooms to online teaching through the pandemic. The new Center for Teaching and Learning (CTL) quickly geared up for training faculty for online teaching. In the summer of 2020, 99 faculty members participated in training for online teaching through the CTL. The Technology Plans and IT/Tech Services Plan evolved to meet the needs of increased online programs and use, with security issues as a top priority.

Benefitting from a Title III grant received in 2020, Castleton began a rigorous retention plan, “Pathway to Graduation,” whose work has three objectives: improve teaching and learning excellence; strengthen the first-year experience, and enhance student workplace readiness. The addition of advising software, such as Aviso, has greatly enhanced faculty and other advisors’ ability to measure students’ success and to enact early interventions for student success and retention. All these examples show the adaptability of the University to face challenges.

Evaluation

Description

Leadership turnover, declining enrollment, and budget shortfalls have affected the strategic planning process over the last several years, requiring constant evaluation and adjustments by those involved both in planning and action steps.

The adjustment from one strategic plan (2013) to another (2018) to the current reorganization plan (2021) for the entire system has been driven primarily by ongoing evaluation of results as well as the plan’s congruence with changing environmental factors.

The president’s cabinet regularly reviews enrollment projections and sets recruiting targets in light of enrollment capacity and shifts in demographics. For example, in 2017 when New York State initiated its “free tuition” program, the cabinet responded by offering discounted tuition to neighboring counties in other states.

At the academic program level, all Castleton degrees have established learning outcomes that are approved by the Faculty assembly and published in the [Undergraduate Catalog](#). In February of 2013, the Board of Trustees created Policy 101: Program Review and Continuous Improvement Process (PReCIP). This policy requires a cycle of academic program outcomes reviews such that every program across the Vermont State Colleges is reviewed every five years. In January of 2019, implementation of PReCIP was revised (PReCIP 2.0) to give greater priority and visibility to student learning outcomes and the iterative improvement process involving them. To better support PReCIP 2.0, Castleton implemented annual PReCIP reviews. The move to annual PReCIP reviews has increased faculty attention to ongoing continuous improvement efforts for improving course content, relevance, and scaffolding to better meet student learning objectives.

Since 2019, every program is also required to submit a one-year review of progress and assessment of the learning outcomes to the provost as well as to be subject to the five-year review cycle through the VSC PReCIP. The Program Assessment Committee, a standing committee of the Faculty Assembly, assists departments with their yearly and five-year PReCIP reports. This committee has the responsibility to help each degree program annually assess their progress and plans towards meeting program learning objectives. Part of their role is to educate and mentor faculty to create viable learning objectives, to measure them effectively, and to take steps toward improvement. In AY20-21 alone, the Program Assessment Committee has met with the faculty from ten different academic programs to guide them through the evaluative process. These annual reviews emphasize outcome assessment and steps taken to enhance the programs as a result of the assessment. (PReCIP reports are discussed in greater detail under Standard Eight.)

A number of academic programs, such as Social Work, Athletic Training, Education, and Nursing, undergo periodic review by their accreditors. The graduates of some programs, such as Education and Nursing, must pass examinations to enter their field, a process that the associated departments track carefully.

In response to important cultural events in the news, Castleton expanded the efforts of the Access and Equity Committee, giving special emphasis to diversity, equity, and inclusion programming. In response to COVID, the Emergency Management Team engaged in vigorous COVID-related safety measures; the IT Services concentrated on updating technical capabilities of classrooms; the Center for Teaching and Learning provided training and development of faculty for online teaching necessitated by the pandemic; and the Registration and Orientation Committees developed alternative ways to welcome and advise new students.

Through the office of Institutional Research, the following surveys are conducted: CIRP, NSSE, Time of Graduation Survey, 6 Month Alumni Survey, and FSSE. Other offices on campus conduct surveys to measure results of programs such as Orientation and First-Year Experience. Evaluation of these survey results has led to an expansion of the Student Support Network, reimagining of orientation, registration, and advising, and adding an Office of Experiential Learning and Workplace Readiness.

Appraisal

Evaluation is an integral component of all four pillars of the Castleton on the Move strategic plan.

Pillar I: Transformational Student Experience

This area is a demonstrated strength for Castleton University. Despite the shifts in plans and follow through, the University has maintained its student-centered, relationship-based education and accentuated the transformational experience through the above-mentioned attention to the first-year experience, to retention, to a liberal arts education, and to curricular and extracurricular opportunities. The 2013 plan provided for a transformational student experience through efforts to partner with the Rutland Economic Development Corporation, maintaining offices in downtown Rutland, opening student apartments in Rutland, and expanding the athletic facilities. One success factor of these efforts can be seen in the Athletics department's expansion of new student opportunities. The following sports were added: Men's and Women's Nordic Skiing (2015), which resulted in back-to-back National Championships in 2019 and 2020; Wrestling (2016), which has achieved regional and national recognition and increased enrollment with its annual 40-50-man roster; and Women's Rugby (2016). The University offers students 28 athletic teams in all. Another successful initiative is the 2017 addition of the Ronald E. McNair Post-Baccalaureate Achievement Program (commonly referred to as McNair Scholars Program), made available through a TRIO grant, which provides transformative opportunities for 25 students annually to partner with faculty on research projects. While all these efforts proved fruitful for attracting new students and continuing the Castleton transformational experience, the problems brought about by external factors such as the pandemic and the instability of the VSC resulted in an entirely new plan set into motion in 2021.

Pillar II: *Growth and Relevance*

In late 2017, newly-hired President Scolforo changed the infrastructure emphasis of the 2013 plan to academic expansion with the redevelopment of “Castleton on the Move (revised 2018).” Although deemed a necessary move to cut costs, inroads toward uniting the University with the Rutland community were hurt when the Rutland offices were closed and Castleton separated from the Rutland Economic Development Corporation. Several programs identified by the new product task forces were explored and initiated, including Occupational Therapy Assistant (OTA), Physical Therapy Assistant (PTA), Early Child Education, and an MBA program. But the public announcement of such programs was premature, as the discovery of long and expensive lead times necessary for programs such as OTA and PTA caused plans to be set aside. The MBA degree program, however, was launched in academic year 2019-2020 and has exceeded its first- and second-year projections. The Early Child Education degree took longer to launch (2020-2021) and has eliminated some objectives, such as opening a child care center, as action plans were developed. Ultimately, these efforts, coupled with the increase in transfer students coming from nearby closed institutions, proved to be successful as they contributed to offsetting enrollment challenges. Implementing multiple teach outs and working with many transfer students to help them finish their degrees solidified the University’s stature as a caring learning institution that serves the region. This work also helped to raise enrollment. In fact, enrollment slightly increased over three consecutive semesters at this time. While Castleton has not been able to grow enrollment to 2,500 students, as projected in 2013, until the pandemic struck, the University was able to maintain enrollment through multiple initiatives, including the addition of Bennington and Killington locations. Without these initiatives, Castleton would have experienced more severe shortfalls.

Pillar III: *Financial Sustainability*

In 2018, President Scolforo implemented a campus-wide restructuring in response to a three percent operating deficit due to a fall 2017 decline in its traditional first-year student enrollment.

New full-time, first-year students as of the October 15 IPEDS report date:

Fall	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Students	446	470	480	372	441	470	366	441	422	351

From 2011 to 2019 new student enrollment bumped up and down, with a point-to-point change of -5.4%. However, the 22% drop from 2016 to 2017 cued up an enrollment challenge that was only partially mitigated by both the recovery in new student enrollment and the teach out students that were added in 2019 as the result of the closure of College of St. Joseph’s, Green Mountain College, and Southern Vermont College.

The restructuring process was focused on enhancing the student experience, strengthening and expanding academic offerings, and positioning the University for sustainable growth into the future. When near-term efforts reduced but did not resolve deficits, more cost-cutting measures were implemented. In the end, Castleton reduced its overall staffing levels by approximately five percent through a series of incentivized retirements, non-reappointments, and ten staff layoffs. These actions demonstrate how Castleton proved to be proactive, nimble, and committed to quickly addressing significant budget shortfalls. The ability to build on the most successful aspects of “Castleton on the Move (2013)” while not being constrained by those models and projections that were falling short, enabled Castleton to refocus and redouble efforts towards new financial challenges. The need to

downsize staff also led the University to revisit the recommendation from the 2011 accreditation review to ensure “staffing and services for increased enrollment.” The [VSC Transformation Plan](#), adopted in February 2021 has led the four institutions within the system, along with the Office of the Chancellor, to work together on both strategic and financial planning that is responsive to existing trends and emerging conditions.

Pillar IV: *Advancement*

After evaluating needs, the development plan was revised to create an organized fundraising calendar. Although the University has seen increased giving, these efforts will undergo more challenge as the Castleton brand changes over the next few years.

Projection

- Castleton will maintain the vision of a relationship-based, transformative education experience through the upcoming VSC transformation.
- Castleton will continue to collaborate with Northern Vermont University and Vermont Technical College to provide more academic opportunities for all students under the timeline and objectives of the VSC Transformation Plan.
- Castleton will align the department degree plans across the three institutions.
- Castleton will participate in the ongoing plans for system-wide consolidation of “back office” administrative functions (e.g. Human Resources, Admissions, Registration, Financial Aid) while seeking to keep the benefits of a strong student-centered, relationship-based model.
- Castleton will develop succession plans as the leadership of the new VSC entity changes.
- Castleton will measure the effects of the Pathway to Graduation plans to increase retention and provide more holistic advising; the University will seek additional grants to support further progress.
- Castleton will retain communication with and fundraising from Castleton alumni as the University enters a rebranding.
- Castleton will create an assessment plan for the new General Education Program in order to measure its success and revise as needed.

Standard 2: Planning and Evaluation

PLANNING

Strategic Plans

Immediately prior Strategic Plan

Current Strategic Plan

Next Strategic Plan

Year approved by governing board	Effective Dates	Website location
?	?	?
	2013-2018	
	2018-2021	https://www.castleton.edu/about-castleton/our-leadership/university-priorities/
	2021-2026	https://www.vsc.edu/wp-content/uploads/2021/02/VSCS-Transformation-Proposal.pdf

Other institution-wide plans*

Master plan

Academic plan

Financial plan

Technology plan

Enrollment plan

Development plan

Marketing & Communications Plan

Year completed	Effective Dates	Website location
		Development in process at VSCS level
		Development in process at VSCS level
		Development in process at VSCS level
2019-2020	2020-2022	See work room: EdTech Classroom Status Update
2019-2020	2020-2023	See work room: Draft Strategic Enrollment Plan
2019-2020	2020-2023	development-strategic-plan-20-23.pdf
2019-2020	2020-2023	integrated-marketing-and-communications-plan

Plans for major units (e.g., departments, library)*

?			

EVALUATION

Academic program review

Program review system (colleges and departments).

System last updated:

Program review schedule (e.g., every 5 years)

Website location
2019; See work room Program Assessment Reports
Every 5 years; See work room Program Assessment Reports

Sample program review reports (name of unit or program)*

2021 CU MBA Pre-CIP Report
2021 CU Business Department Pre-CIP Report
2020 CU Theater Pre-CIP Report

See work room Program Assessment Reports
See work room Program Assessment Reports
See work room Program Assessment Reports

System to review other functions and units

Program review schedule (every X years or website location of schedule)

All functions and units are undergoing a cmprehensive review 2021-2022
--

Sample program review reports (name of unit or program)*

Other significant institutional studies (Name and web location)*

https://ljfo.vermont.gov/assets/Uploads/c2ef482057/Final-Report-of-the-Select-Committee-on-the-Report-to-the-Vermont-State-Colleges-System-Final-Version-REVISED-6-3-21.pdf

Date
9-Apr-21
10-May-21

*Insert additional rows, as appropriate.

Please enter any explanatory notes in the box below

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Chapter 3

Organization and Governance

Governing Board

Description

The Vermont State Colleges System (VSC), created in 1961 by an act of the Vermont state legislature, is governed by a board of 15 trustees. Members of the VSC Board of Trustees include the governor of Vermont (ex officio); four legislators elected by their peers to serve four-year terms; one student elected by the VSC Student Association to serve a one-year term; five members appointed by the governor who typically serve staggered four-year terms; and four members selected by the board who serve four-year terms. The Board meets at least four times per year, including one meeting at each of the member institutions. The Board appoints the chancellor (the chief administrative officer of the VSC) and the presidents of each VSC institution, sets tuition and fees, decides on budgetary allocations to its member institutions, reviews and approves academic programs, and determines the policies and procedures for the system as a whole. Policies adopted by the Board are implemented by the chancellor and the chancellor's staff through the presidents of each institution. Board policies are published in the [Vermont State Colleges Policies and Procedures Manual](#), which is available to all through VSC's on-line portal. The chancellor communicates important decisions through system-wide e-mails, and the VSC learning management system portal contains a feed for announcements and college news.

There are seven standing committees of the Board of Trustees: Audit and Risk Management; Diversity, Equity & Inclusion; Education, Personnel, and Student Life; Executive; Finance and Facilities; Long-Range Planning (which is currently suspended as the full Board is engaged in the ongoing transformation of the system); and Nominating. Each committee has specific responsibilities defined in the [Board of Trustees Handbook](#) and meets several times per year.

The chancellor is the chief executive officer of the Vermont State Colleges System and manages and coordinates the academic, personnel, and fiscal affairs of the system consistent with the policies and guidelines established by the Board of Trustees. The chancellor represents the VSC in meetings with the governor and state legislature on matters pertaining to state appropriations and public policy. The chancellor also negotiates contracts with the system's seven employee collective bargaining units.

Appraisal

The VSC is currently in the process of reexamining its entire organizational and governance structure. The University's president consults frequently with the chancellor both informally and formally through the twice-a-week meetings of the council of presidents, and consultants with NCHEMS interviewed faculty and administrative leadership. A task force comprised of representatives from the system's unions has also developed an alternative set of recommendations for restructuring the VSC.

While the service of representatives from Castleton on key deliberative bodies has provided important avenues of communication, the leaders on the board and in the chancellor's office are the primary

drivers of systemic change. In the past two years, the system's leadership has moved to increasingly centralize operations. In 2019, for example, the chancellor's office took system-wide responsibility for payroll functions. In 2020, VSC campuses adopted common learning and advising platforms in Canvas and Aviso. Currently, efforts are underway to consolidate library services across the system, and in the fall of 2020, the chancellor's office began implementation of a single, system-wide budgeting process. The chancellor's office implemented these initiatives to achieve increased efficiency, improve regulatory compliance, and to initiate standard practices and tools across the system with an intent to support and align best practices. There has not been any formal assessment of the success of these initiatives. The widespread adoption of Canvas and Aviso certainly proved fortuitous during the coronavirus pandemic, but numerous technical glitches hampered the smooth rollout of UltiPro (human resources software). The centralization of payroll also resulted in the layoff of on-campus human resources staff whom Castleton employees had come to rely on for high quality and responsive work.

Internal Governance

Description

The president of Castleton University reports directly to the chancellor and is responsible for the effective management of the University within the framework of system-wide policies and procedures. The Board of Trustees' bylaws provide that the responsibility for selection of the president lies with the trustees, after consultation with the Chancellor and representatives of the affected institution, including faculty, staff, and students. Past practice has been that these groups have been represented on the board's presidential search committees.

Currently, the major advisory body to the president is the president's Cabinet, which meets every week throughout the year. The Cabinet consists of the president, the provost, the director of human resources, the director of finance, the associate dean of advancement, the chief technology officer, the dean of enrollment, the dean of students, and the president of the faculty assembly.

The provost acts as the chief academic officer for the entire institution. Since 2019, the University has been divided into three colleges: the College of Arts, Humanities, and Social Sciences; the College of Business; and the College of Health and Sciences. Each college is headed by a dean who reports to the provost. Several schools exist within the colleges, including the School of Education and the School of Fine and Performing Arts within the College of Arts, Humanities, and Social Sciences; the Killington School of Resort Management within the College of Business; and the School of Nursing, which includes a campus in Bennington, within the College of Health and Sciences. The School of Education is led by a director who reports to the dean of the College of Arts, Humanities, and Social Sciences, and the School of Nursing is led by an assistant dean, who reports to the provost.

All three colleges share a common General Education program and a common faculty governance body. The University designates minimum admissions requirements, but each college and school may add additional requirements or choose to adopt more stringent admissions standards.

Except for a small group of non-represented "exempt" employees, all full- and part-time faculty and staff are represented by one of the following five bargaining units: the VSC Faculty Federation; the

VSC Part-time Faculty Federation; the VSC Staff Federation; the VSC United Professionals Professional, Administrative, and Technical Unit; and the VSC United Professionals Supervisory Unit. Each of the unions handles contract negotiations and grievance cases for its respective constituency.

Faculty play a central role in many policy decisions at Castleton, especially those relating to the educational programs and policies of the University. According to the [Agreement between Vermont State Colleges and Vermont States Colleges Faculty Federation](#), “the Federation, as elected bargaining unit, retains the exclusive right to negotiate and reach agreement on all matters pertaining to wages, benefits and terms and conditions of employment.” The collective bargaining agreement also stipulates that “areas of academic concern” are addressed through a Faculty Assembly (Article 19 A, p. 22). The Faculty Assembly, comprising all full-time faculty and ranked librarians, has rights and responsibilities in such matters as curriculum, program assessment, and admissions and retention. The Assembly develops criteria for granting degrees and for the development, reorganization, and elimination of academic programs. Though any full-time member may request an item be placed on the Faculty Assembly agenda, agenda items are usually initiated by committees or academic departments. The Faculty Assembly meets on the first Tuesday of each month during the academic year and conducts its business through the use of standard parliamentary procedure as defined by *Robert’s Rules of Order*. Faculty members at the Killington and Bennington campuses attend and participate fully with the assistance of video-conferencing technology. The secretary of the Faculty Assembly keeps and distributes the printed bylaws, which can be amended when appropriately warned and affirmed by a two-thirds vote of the members present.

The president of the Faculty Assembly is elected bi-annually. The Executive Council, chaired by the Assembly president and consisting of a vice president, secretary, and three members-at-large, provides charges for each of the Assembly’s other eleven committees. Faculty committees described in the bylaws include: Admissions and Retention; Chairpersons; Cultural Affairs; Curriculum; Educational Resources; Faculty Affairs; Program Assessment; Reappointment, Promotion, and Tenure; Teaching and Scholarship; General Education; and Teacher Education. With the exception of first-year faculty, all full-time faculty members are required to serve on at least one of these standing committees. In addition, the Faculty Assembly may authorize ad hoc and joint committees, which—drawing their members from administrators, faculty, and students—allow all groups to work together on shared concerns. The administration also organizes faculty task forces, which, independent of the Faculty Assembly, spearhead important initiatives in a collaborative manner.

One of the most important ad hoc committees to meet in recent years led a revision of the University’s General Education program. The Faculty Assembly convened the committee in 2018 and its work was supported in part by a Davis Family Foundation grant. The committee presented a proposal for reform in the fall of 2020, which the Faculty Assembly voted overwhelmingly to approve.

In 2017-2018 the president established several faculty task forces to identify areas for growth, which resulted in the creation of more than twenty new major, minor, and certificate programs. In recent years, the administration has also consulted the Faculty Assembly on low-enrolled programs, resulting in the elimination of eight majors and a number of minors in the fall of 2020.

The president of the University, the provost, and the academic deans are invited to attend meetings of the Faculty Assembly, and administrators may participate as non-voting members on several key Assembly committees, including the Cultural Affairs Committee, the Teaching and Scholarship Committee, and the Committee for Teacher Education. Representatives of the Student Government Association are also invited to attend Faculty Assembly meetings, and the bylaws permit inclusion of students as non-voting members of nearly all committees.

All matriculated students registered at Castleton University are members of the [Student Government Association \(SGA\)](#). The SGA represents the interests of all students and is divided into three branches: congress, court, and the campus activities board (CAB).

The congress is headed by the president. Other executives of the congress include the executive vice-president, vice-president for campus activities, vice-president for academics, vice-president for community relations, treasurer, and secretary. Each of these executive members is elected annually and has a distinct role. There are also five to ten delegates to the congress who are elected and required to lead or be a part of at least one committee. The congress oversees the appropriation of the Student Activity Fee and initiates legislation for the general welfare of the student body. A number of committees, including the Campus Activities Board (CAB), Food Committee, Sustainability Committee, Safe Ride Committee, Wellness Committee, and Finance Board, support the congress.

The College Court is the SGA's judicial branch. No more than thirteen student justices are responsible for monitoring the constitutionality of all SGA policies, procedures, and legislation and serve as student representatives in student disciplinary procedures. The court is led by the chief justice, who appoints all other members. The court hears cases involving student misconduct, and many cases are resolved at this level and do not need to be addressed by a dean or a designee of a dean. Disciplinary matters involving allegations serious enough to result in dismissal from the University are heard by an All-College Judicial Committee comprised of an administrator, faculty member, and student representative.

Students are often included as members of joint committees, which may be convened from time to time to address matters of importance to the University. In addition, Castleton's faculty hiring process requires that, when possible, at least one student is included in the membership of any faculty search committee.

Chartered by an act of the Vermont state legislature, the Vermont State Colleges Student Association (VSCA) exists to represent the interests of all students to the VSC Board of Trustees and chancellor. One of the very important functions of the VSCA is the selection of a student trustee, who is a full voting member of the Board of Trustees and whose term lasts one academic year. The VSCA consists of fifteen students, three from each VSC institution. Generally speaking, the SGA president and two other appointed students represent Castleton in the VSCA.

Appraisal

Castleton University's leadership team continues to effectively manage the institution during these uncertain times. The University, however, has had three presidents since the fall of 2017. After a national search, Karen Scolforo began her tenure in December 2017, replacing long-serving David

Wolk upon his retirement. President Scolforo resigned in May of 2020. Interim President Jonathan Spiro, a long-serving Castleton professor and academic dean, has led the University since June 2020 and worked harmoniously with the cabinet to ensure the smooth and efficient administration of the institution. Shortly after taking office, the interim president added the president of the Faculty Assembly to the cabinet, which helped to improve communication between all stakeholders. The University carried out planning for instruction and operations during the coronavirus pandemic in an especially collaborative spirit. The dean of students headed an expanded emergency management team, which included committees on health, instructional delivery, facilities, and residential life. Each committee included numerous representatives from the administration, the faculty, and the staff. By the beginning of the 2020-2021 academic year, an impressive percentage of Castleton's employees had been involved in some way in pandemic planning. Support for the measures taken by the University has been very strong, and contractual grievances at Castleton remain low.

Castleton University's faculty take their role in college governance seriously. Participation in Faculty Assembly has been steady for many years, with approximately 80 to 90 percent of full-time faculty members from all campuses in attendance at the monthly meetings. The assembly recently extended invitations to meetings to representatives of the part-time faculty and the staff in order to improve communication. The University's shared governance structure ensures that faculty retain a voice in the development of college programs and policies, and encourages faculty, students, and staff to actively contribute to the mission of the institution.

One of the more ambitious shared projects in recent years has been the reorganization of the University into colleges and schools. In 2017, the new university president identified potential for growth in carrying out such a transformation. Academic department chairpersons worked collaboratively with the administration to develop a plan, which was passed by the faculty assembly in the fall of 2018. Since then, the reorganization has been implemented with varying degrees of efficacy. The College of Business and the School of Nursing have especially begun to function as cohesive entities, but the other units have found the results of the change to be less meaningful. The retirement of the dean of the College of Health and Sciences and the elevation to interim president of the dean of the College of Arts, Humanities, and Social Sciences in the spring of 2020 may have played a role in hampering cohesiveness. Progress may be forthcoming as these positions are replaced. Furthermore, several of the proposals currently under consideration for reform of the VSC envision a role for the colleges in delivering education across campuses in a more unified system.

Projection

- Castleton University will work with the Board of Trustees and the chancellor's office to implement structural changes identified for the system.
- Castleton University will continue to preserve its commitment to shared governance in any new operating model.

Standard 3: Organization and Governance (Board and Internal Governance)

Please attach to this form:

- 1) A copy of the institution's organization chart(s).
- 2) A copy of the by-laws, enabling legislation, and/or other appropriate documentation to establish the

See intro section of report.

legal authority of the institution to award degrees in accordance with applicable requirements.

See VT Statute 16 in the appendices and at: <https://www.vsc.edu/wp-content/uploads/2017/02/VSC-Enabling-Statutes-Title-16-VSA-Chapter-72-%C2%A72170-2186.pdf>

If there is a "sponsoring entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited institution.

Name of the sponsoring entity

Website location of documentation of relationship

Vermont State Colleges

<https://www.vsc.edu/>

Governing Board

By-laws

Board members' names and affiliations

Website location

<https://www.vsc.edu/wp-content/uploads/2018/04/VSC-BOT-Bylaws-as-amended-2017-09-28.pdf>

<https://www.vsc.edu/board-of-trustees/members-committees/>

Board committees *

Website location or document name for meeting minutes

?

Audit

<https://www.vsc.edu/board-of-trustees/meeting-materials/audit-committee-agenda-materials-2019-20/>

Education, Personnel and Student Life

<https://www.vsc.edu/board-of-trustees/meeting-materials/education-personnel-student-life-committee-agenda-materials-2019-20-academic-year-2/>

Executive

<https://www.vsc.edu/board-of-trustees/meeting-materials/executive-committee-agenda-materials-2020-21-academic-year/>

Finance and Facilities

<https://www.vsc.edu/board-of-trustees/meeting-materials/finance-facilities-committee-meeting-materials-2019-20-academic-year-2/>

Long Range Planning

<https://www.vsc.edu/board-of-trustees/meeting-materials/long-range-planning-committee-meeting-materials-2019-20-academic-year-2/>

Major institutional faculty committees or governance groups*

Faculty Federation

Faculty Assembly

Website location or document name for meeting minutes

Does not keep minutes

Not available online

Major institutional student committees or governance groups*

Student Government Association

Website location or document name for meeting minutes

Not available online

Other major institutional committees or governance groups*

President's Cabinet

Website location or document name for meeting minutes

Does not keep minutes

*Insert additional rows as appropriate.







Please enter any explanatory notes in the box below

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Standard 3: Organization and Governance (Locations and Modalities)

Campuses, Branches and Locations Currently in Operation (See definitions in comment boxes)

(Insert additional rows as appropriate.)

	Location (City, State/Country)	Date Initiated	Enrollment*		
			2 years prior (FY 2019)	1 year prior (FY 2020)	Current year (FY 2021)
 Main campus	Castleton, VT/USA	9/1/1787	2,826	2,584	3,602
 Other principal campuses	None				
 Branch campuses (US)	Bennington, VT/USA	8/1/2019	0	47	72
 Other instructional locations (US)	Killington, VT/USA	8/1/2019	0	26	34
 Branch campuses (overseas)	None				
 Other instructional locations (overseas)	None				

Educational modalities

	Number of programs	Date First Initiated	Enrollment*		
			2 years prior (FY2019)	1 year prior (FY 2020)	Current year (FY 2021)
Distance Learning Programs	Programs 50-99% on-line	Master of Music Education	6	10	15
		Master of Athletic Training			0
Programs 100% on-line		RN to BSN	16	21	22
		Master of Science in Accounting	4	6	2
		Master of Business Administration	0	52	62
		Master of Science in Athletic Leadership	40	45	41
		Master of Science in Nursing			0
		None			
		Educational Leadership	16	19	19
 Correspondence Education	None				
Low-Residency Programs	None				
Competency-based Programs	None				
Dual Enrollment Programs	None				
Contractual Arrangements involving the award of credit	None				

*Enter the annual unduplicated headcount for each of the years specified below.

Please enter any explanatory notes in the box below

Headcount refers here to any individual who enrolled in one or more courses in the 12 months of July 1, 2020 through June 30, 2021.

Chapter 4

The Academic Program

Assuring Academic Quality

Description

For more than a century, Castleton's sole focus was teacher training. An associate's degree in Nursing, the first non-teaching program, was introduced in 1962. Subsequently, numerous other professional and liberal arts programs were added so that by the early-1970s most of Castleton's current majors were in place. Since that time, Castleton has maintained a balanced array of professional and liberal arts programs while never failing to afford teacher preparation, Castleton's historic mission, a special place within the institution. Prior to the last decennial review, it was fair to say that Castleton strived to be deliberate and, if anything, conservative in adding new programs and limiting distance education. When the college had been in a position to increase resources, it had often chosen to strengthen an existing program rather than to add a new one. These trends continued as Castleton State College was reorganized as Castleton University in 2015.

Castleton offers collegiate-level programs consisting of a curriculum of studies that lead to degrees in recognized fields of study and require two or more years to complete. Castleton offers a limited number of two-year Associates degree programs (four as of fall 2020) as the relatively large Associates in Nursing was phased out in favor of the Bachelor of Science degree in Nursing in fall 2016.

Bachelor's degrees have been expanded in some areas and eliminated in others, based on enrollments and market trends. Like many institutions in the northeast, demographic trends have led Castleton to continue to fine-tune the right balance between liberal arts and professional programs. Castleton currently has 35 distinct 4-year bachelor degree programs, with 3-year programs being piloted to gauge student interest.

Castleton Degrees 2021-2022: (concentrations not counted as distinct degrees)

Degree level	Number of distinct degrees
Associates	4
Bachelors	35
Masters	7
Total	46

Castleton's degree programs are listed in the [catalog](#). As of the fall of 2020, Castleton has stopped accepting new applications in Geology, Philosophy, Spanish, and Women's and Gender Studies due to under enrollment. Some majors have been renamed: Literature became English; Exercise Science became Exercise and Sports Science; and the large Bachelor of Science degree in Business Administration has been split into three majors, Accounting, Marketing, and Management.

Despite pressures and tests of the character of the curriculum in recent years, Castleton continues to deliver academic programs through “The Castleton Way,” which pervades all areas of campus life and promotes close faculty-student interactions and provides students the wider support of an intentional community with a sense of care for them as individuals. Consistent with its earliest mission, Castleton is organized to serve Vermonters, the majority of them first-generation students who come to college with high hopes but with emerging but often limited academic success and real fears about their ability to succeed. By meeting the special needs of these students, Castleton fosters a sense of care, support, and special opportunity that makes the Castleton education a unique value for all of its students. As the Mission Statement describes, the Castleton education is intended to be transformational for its students. This ideal has guided Castleton as it has undertaken its own transformation to meet the challenges of the current educational environment.

In 2016, Castleton ratified a set of [campus-wide learning goals](#) that are published in the *University Catalog* below the mission statement. These goals, passed by unanimous vote of the faculty, target five essential areas of the Castleton education: breadth of learning and in-depth study in one of our academic areas; acquisition of academic and intellectual skills; values clarification; integrative connection-making; and real-world application of the Castleton education. These goals are broadly stated and serve as aspirations of the Castleton education.

Learning outcomes for programs are published in the *Undergraduate Catalog* on [each departmental page](#). Many programs publish their learning outcomes on the Castleton website, while a smaller number include program goals in handbooks and/or course syllabi.

A review of program goals (from a faculty survey) indicates that Castleton’s programs almost universally (in all but one case for each item) include descriptions of specific knowledge to be acquired, intellectual and academic skills to be developed, and competencies to be developed. A slim majority of programs include goals related to methods of inquiry, while a larger majority include explicit goals related to career preparation. Eighteen programs reported goals related to values development/clarification. Twelve programs reported goals related to development of creative abilities.

Castleton values coherence in curricular design at both the program and overall undergraduate experience levels. The University learning goals stem from a balance of breadth of study in the liberal arts and depth of study in at least one academic discipline. Breadth emerges primarily through the General Education Program, although individual programs also take breadth of study into account in program design. As part of an overall review of the curriculum in 2018, all academic programs were urged to review program sequencing, to streamline their programs, and to develop program capstone experiences for students. Many programs elected to develop program capstones that include real-world work experience such as an internship. The Faculty Assembly reviewed and approved changes to academic programs from all fourteen academic departments.

Survey responses from chairs indicate the relative emphasis of factors that were taken into consideration in program design. All but four reported including breadth of subject matter, while all reported depth of specific study; 23 of 29 reported sequential progression. All but one program reported degree mapping; 25 of 29 reported synthesis of learning. All of the respondents reported a program capstone.

The University employs standard institutional mechanisms to assure that all programs meet basic quality standards and reasonable consistency in quality. This is achieved primarily through university governance and oversight. Faculty members are required to administer student course evaluations for every course taught. Full-time faculty participate in departmental planning and assessment of programs, which they undergo on a regular basis, informally, and formally on a five-year rotation through the VSC's Program Review and Continuous Improvement Process ([PRe-CIP](#)). Part-Time faculty are evaluated through a regular course observation and review by the department chair as well as a comprehensive peer-review process and dean's evaluation every four years. Full-time faculty undergo a regular class observation and review as part of the contractually-defined Reappointment, Promotion, and Tenure procedures. All new programs are proposed and reviewed by the Faculty Assembly and administration through a multi-step, public process that enacts shared guidelines, standards, and deliberation. All programs conduct assessment of their learning goals, submit annual reports on their assessment, and then undergo an intensive five-year self-study and review process.

Castleton relies upon typical higher education organization and governance structures. Faculty are organized into individual departments, and department chairs meet on a regular basis with the Chief Academic Officer, who as of 2018 has been officially designated the university Provost, to administer academic matters. In 2018, as a way to spur collaboration and innovation, the departments were organized into three colleges--the College of Arts, Humanities, and Social Sciences; the College of Business; and the College of Health and Science--with each college being administered by an academic dean. All faculty meet regularly in the Faculty Assembly which also oversees most cross-departmental faculty committees such as committees responsible for curricular review and faculty evaluation. Some important work is conducted through special task forces or joint committees of faculty, administration, and staff.

All academic programs have well-established and published learning goals which they assess, and programs are regularly reviewed through the VSC's Program Review Continuous Improvement Process (PReCIP), a 2013 revision of previous VSC procedures which was updated again in 2019. Programs prepare self-studies, and the provost conducts structured interviews of seniors in the majors under review. A review of each program subsequently takes place at an in-person meeting of a system-wide committee composed of program representatives, an academic dean, and one or more non-VSC experts. The Education, Personnel, and Student Life Committee (EPSL) of the VSC Board of Trustees reviews and approves the resulting reports. In 2019, this procedure was updated to include review of department reports by outside consultants. Additionally, all academic departments are now required to submit annual reports on their assessment of one major learning goal and planned changes arising from this assessment.

Academic programs regularly propose curricular revisions as a result of assessment. Departments bring completed curricular proposals to the Faculty Assembly's Curriculum Committee for undergraduate programs and Graduate Council for graduate programs. Should they pass this review, proposals are then reviewed and approved by the full Faculty Assembly. Curriculum changes must receive final approval by the president and then by the Board of Trustees. New programs go through a similar process, but they begin with a review and approval by the Board using the Board's [Policy 102](#) New Program Approval template. For purposes of efficiency, the provost will often prepare and submit Policy 102 documents to the Board while the faculty sponsor of the new program submits a

parallel proposal to the Curriculum Committee or the Graduate council. When both the Board's approval and Faculty Assembly's support are achieved, the proposed new program is then presented to the president for final approval.

With the revision of the 2013 strategic plan in 2018, Castleton has become less conservative in adding new programs and limiting distance education, which has led to some uncertainty of direction when the expansion was unrealized. It was clear that Castleton's programs would require change, but how to do so and retain what was most valued about its character were open questions as President Wolk announced his planned departure in 2017. In spring 2018, President Scolforo called for a revision of the strategic plan and convened three Faculty Task Forces to review and make recommendations regarding existing programs, possible new programs, and new delivery models such as expansion of distance learning. The recommendations of these task forces, coupled with ongoing work at the department level, led to reductions of course offerings and other cost savings in existing programs, eliminations of others, and the planned addition of several new majors and graduate programs.

In general, all decisions about expanding existing programs and establishing new ones are now made with student demand, labor market analysis, and available resources in mind. Since 2018, state and national workforce data have been prominent parts of the review of existing programs and plans to add new ones. Whenever the University has eliminated programs, it has faithfully discharged its obligation to provide students pursuing the programs the opportunity to complete their degrees. For example, when the University eliminated the Geology major in 2018, it hired faculty to teach special courses at reduced enrollment, and the remaining students graduated in May 2020. Current program reductions are planned through similarly phased teach-outs in Spanish, Philosophy, Geography, Economics, and Women's and Gender Studies.

Castleton's strategic move into online education unwittingly set the foundation for the 2020 rapid transition to remote/online learning. Castleton's first online-only degree, an RN to BS in Nursing program, was pioneered through cooperation of various members of faculty, staff, and administration. It was followed by new online-only graduate programs such as the Masters in Athletic Leadership and the Masters in Business Administration. These programs required professional development for faculty and new processes transitioning in-person instructors to online teaching, overseen by an academic dean and the Coordinator of Instructional Technology. This support was expanded with the VSC migration from Moodle LMS to Canvas LMS in fall of 2019 to include a system of peer support by faculty "early adopters" of online teaching. Thus, an effective structure had been put in place to support the pandemic-driven spring 2020 transition to all online and the concomitant decision to offer all courses remotely in the fall of 2020.

Coincidentally, a multi-year project to build a Center for Teaching and Learning, funded first through a Davis Educational Foundation grant and then, in 2019, by a Title III grant, resulted in such a center being operational starting in January 2020. It was able to offer nine workshops in online teaching in summer 2020, which were attended by 99 discrete faculty. Additional support from the Title III Pathway to Graduation project funded three instructional designers to work with faculty throughout fall 2020 and spring 2021 to build online instructional capacity and skill. Support for Castleton's remote coursework is now offered by a team of administration, faculty, and staff through regular workshops and a variety of on-demand resources and consultation.

Castleton has expanded its grant-seeking capacity in support of academic programs. In 2015, a team of administration and faculty sought and received a three-year grant from the Davis Educational Foundation to support integrative learning and professional development across the campus. One major outcome of this grant was General Education reform and a proposal to found a new Center for Teaching and Learning. These goals were realized in 2019 when Castleton was awarded a Department of Education Title III grant to further some of the Davis Grant initiatives as well as other student support projects. This \$2.25 million grant has seen the development of a new infrastructure to support Castleton's relationship-based education, including a full-time Associate Academic Dean for Student Success and three half-time positions: a faculty Director of the Center for Teaching and Learning, a Director of Institutional Research to provide badly needed coordination of data collection and management, and a new Director of Experiential Learning and Workplace Readiness.

Appraisal

Castleton's overall structure of governance has remained solid and admirably responsive through the many crises of the last four years. Success has come largely through the collaboration and sometimes generous cooperation of faculty and administration to meet the needs of the day. Some structural deficiencies and lack of resources continue to pose challenges, however.

Administrative leadership has been inconsistent due to regular personnel changes and ongoing reorganizations at all levels. The University has seen three presidents and three provosts in the last four years. Until very recently, the University has been unable to adequately staff positions at the associate dean level, recently reorganized to college dean positions. Reorganization into colleges has not yet realized the efficiency and other benefits imagined by that plan. During the pandemic period, administrative leadership has been understandably focused on crises management, including the impending VSC re-organization. Day-to-day academic operations have functioned smoothly despite the ongoing challenges of the pandemic, and various joint committees of administration, faculty, and staff have worked remarkably well to maintain something approximating the status quo wherever possible.

Faculty roles in academic governance have been varied, depending on the dispositions of the sitting president. In the early years since the last decennial review, faculty invented new programs, largely online, at the behest of the president. In more recent years they have collaborated with administration to review and update the curriculum. The Curriculum Committee of the Faculty Assembly has been strengthened to take a more prominent role in the program approval process, and the Assembly has also established a stronger Graduate Council for planning and review of new graduate programs.

Fiscal pressures have put an increasing strain on faculty workload. The University has launched new programs to attract and retain students by stretching faculty responsibilities for program design and instruction. Further, it leverages the remaining faculty for program support tasks ranging from social media marketing to direct student recruitment.

While retaining a sound system of administration and organization, Castleton has benefitted from the dedication and creativity of personnel in all areas of the University to meet these challenges. As part of Castleton's earlier community engagement initiatives, participants often talked about campus citizenship and strong connections among stakeholders throughout the University. Since that time,

the aim was to build greater capacity for collaboration in all areas of student support and success, working to do the necessarily “more” with increasingly “less.” This collaboration and connectivity across the campus have taken on new forms through a fairly constant process of reorganization and experimentation to support academic programming.

Undergraduate Degree Programs

Description

As of fall 2020, Castleton offered [four 2-year Associates degree programs, 35 distinct bachelor’s degree programs, and an additional 26 concentrations within those degree programs.](#) A three-year psychology B.S. is being piloted to determine student interest in accelerating a four-year degree. The B.S. in Resort and Hospitality Management is structured as an off-site, cohort-driven, three-year degree run on a trimester calendar with the second term of both the first and second year being a co-op, and a summer co-op also required between either the first and second year or the second and third. In addition to an array of bachelor’s degree programs in traditional liberal arts majors, Castleton offers professional training majors and teacher licensure programs in 12 fields. The student demand for bachelor’s degrees has shifted somewhat in the past ten years to programs in professional preparation such as business and the BS in Nursing added in 2015. This trend has led to ongoing concerns about the viability of liberal arts majors that are seeing declining enrollments. The ongoing discussion weighs the importance of these disciplines and programs against the hard realities and prioritizations involved in budgeting. As of the fall of 2020, Castleton stopped accepting new applications in Geology, Philosophy, Spanish, Geography, Economics, and Women’s and Gender Studies. These programs have been identified for teach-outs and closure, while the VSC system, as a whole, is studying the feasibility of combining or discontinuing other lower-enrolled programs as part of an overall system re-organization.

As noted earlier, some majors have been renamed, with accrediting agencies sometimes driving change. Most notably, the long-running bachelor’s degree program in Athletic Training has become a 3 +2 program in Health Science (B.S) with an MAT (Master of Athletic Training), as by 2022 a master’s degree will be required in order to sit for the major national athletic training licensure examinations. The relatively large associate’s degree in nursing was replaced by a bachelor’s of science degree for nursing. This reflects the growing trend within nursing that favors hiring RNs in possession of a B.S. degree. Part of that change was driven by Castleton’s choice of nursing accrediting agency. New majors in Archeology and Early Childhood Education were also added upon the recommendation of the 2018 New Programs Presidential Task Force. The University has also added a number of new [certificate programs](#), some of which, intended for continuing education, can be taken without matriculating as an undergraduate student.

Castleton adopted two programs from neighboring Green Mountain College, which unfortunately closed in May 2019: Wildlife and Forestry Conservation and the Resort and Hospitality Management program held at a new campus on the mountain in nearby Killington, Vermont. The latter major involves a new departure for Castleton as it includes both a trimester schedule, as opposed to Castleton’s standard two-semester calendar, and three cooperative terms that involve paid experiences for an “earn as you learn” education model. The Lodge at Killington, which houses the students, also serves as a living and learning laboratory where these students get to put what they learn in the

classroom and on their co-op into practice by helping to manage the Lodge under professional supervision. This is one of two new satellite programs opened in the past two years; the other is a site for the nursing program in Bennington. The site was acquired from Southern Vermont College when it closed in 2019. Castleton has subsequently taught out the SVC nursing students and assumed partnership agreements with both Southwest Vermont Health Care and the lower-level nursing programs run by Vermont Technical College in Bennington.

As a body, Castleton's majors and concentrations, through their rationales and goals, provide focused study to meet the [university learning goals](#), with the greatest emphasis on in-depth study in the program area, the first of these goals, and the fifth goal that prompts students to put their learning into action in the world beyond graduation. Castleton's majors almost universally include goals concerning specific knowledge to be acquired, intellectual and academic skills to be developed, and competencies to be developed; each gives students an in-depth understanding of the complex structure of knowledge germane to the concentration, as well as the ability to transfer skills of inquiry and analysis to other areas. A handful of programs also target values development/clarification as a goal and/or include goals related to integrative connection-making. For example, Computer Information Systems and the three business administration majors require courses from other disciplines, encouraging students to consider interdisciplinary connections. Most Castleton programs include goals related to specific facets of career preparation or development of creative abilities. As part of the five-year PRe-CIP review process, all academic programs report on how learning in their department advances these University goals as well as assessing specific program learning outcomes.

While courses often designated for general education credit are offered at the introductory or intermediate levels, each major includes substantial requirements, typically half to two-thirds of the major courses, at the intermediate and advanced undergraduate level. The percentage of a student's overall course load taken at the intermediate and advanced level depends on the number of credits required for the major and their choices of general education and elective courses. The majority of upper-level courses have prerequisites listed in the catalog and the on-line course listings.

The majority of majors now require culminating capstone courses and/or projects. For professional majors, culminating experiences include student teaching, field experience, or internships. For example, students in teacher licensure programs spend considerable time observing veteran teachers, as well as a semester student teaching full-time under supervision. Other majors require clinical field experiences, a final project, or a portfolio. For example, Theater Arts students produce a Senior Project; Music students perform a Senior Recital; and Art students produce a Senior Exhibition.

The increasing emphasis on career preparation and workplace readiness continues to have an impact on the design and delivery of academic majors. As part of their efforts to bolster enrollments, many liberal arts majors have incorporated some form of career emphasis in advertising their programs, in their curriculum, and in advising. In the 2018 review, for example, the Philosophy and English majors added a program capstone that includes the possibility of an internship. Such program capstones and career-focused courses help students to expand their imagination of how study in liberal arts might be leveraged to diverse careers. Although the number of courses offering service learning or civic engagement has declined, the number of courses involving experiential learning more broadly has expanded. Castleton currently offers 99 courses that include some form of experiential learning including co-ops, internships, practicums, undergraduate research, service learning, student teaching

opportunities, and field-based placements; 44% of majors include some required form of experiential learning.

Undergraduate research has become a particularly important part of the academic experience for Castleton students, and many students present research and creative endeavors at the spring Scholars Celebration. Faculty in the Natural Sciences, in particular, have secured significant grant funding supporting research in which students work alongside their professors. Despite funding cuts, the University continues to offer funds to support independent student research, field work, and conference presentations. In a typical year, Castleton funds 100% of the qualifying proposals. Additionally, the University supports a [McNair Scholars Program](#) funded through a TRIO grant from the US Department of Education that mentors first generation, low-income, and underrepresented populations of students in research experiences intended to prepare them for success in graduate school.

Appraisal

As enrollment has declined, and staffing along with it, adding new degree programs has further stretched the capacity of faculty to serve all existing programs effectively. It is now time to consolidate programs, directing budgetary, staffing, and recruitment resources to degrees targeted for investment or optimization, while merging or eliminating low-demand programs or those tangential to the mission.

As part of the transformation of the VSC system, and the proposed merger of Castleton with Northern Vermont University (NVU) and Vermont Technical College (VTC), a thorough audit of all degree programs at the three institutions was conducted in the spring and summer of 2021. This work builds on the fall 2020 analysis done by the Castleton-Northern Vermont University Academic Affairs *ad hoc* Committee looking at low-enrolled and duplicate programs at the two schools. During 2021, each program is being evaluated within a cluster of cognate programs across the three institutions on the basis of enrollment size, growth/decline, labor market demand, student success outcomes (matriculation, retention, graduation), mission alignment, and financial viability.

One result of this work is the cross-institutional collaboration that began in spring 2021 with the sharing of courses between Castleton and NVU in which students from both institutions cross enroll in the same course, with the course delivered either asynchronously online, synchronously online, or in a hybrid fashion in which the home campus delivers it in person and uses a telepresence or affiliated online section to deliver it remotely to the other campus. The sharing of classes is expected to escalate as CU, NVU, and VTC increasingly work together to ensure all students have access to the range of courses and degrees that the other institutions offer, while at the same time enlarging the critical mass of faculty within a discipline working together on curriculum, research, and advising. This should allow appropriate reallocation of faculty, reduction of overloads, and better support for retained programs.

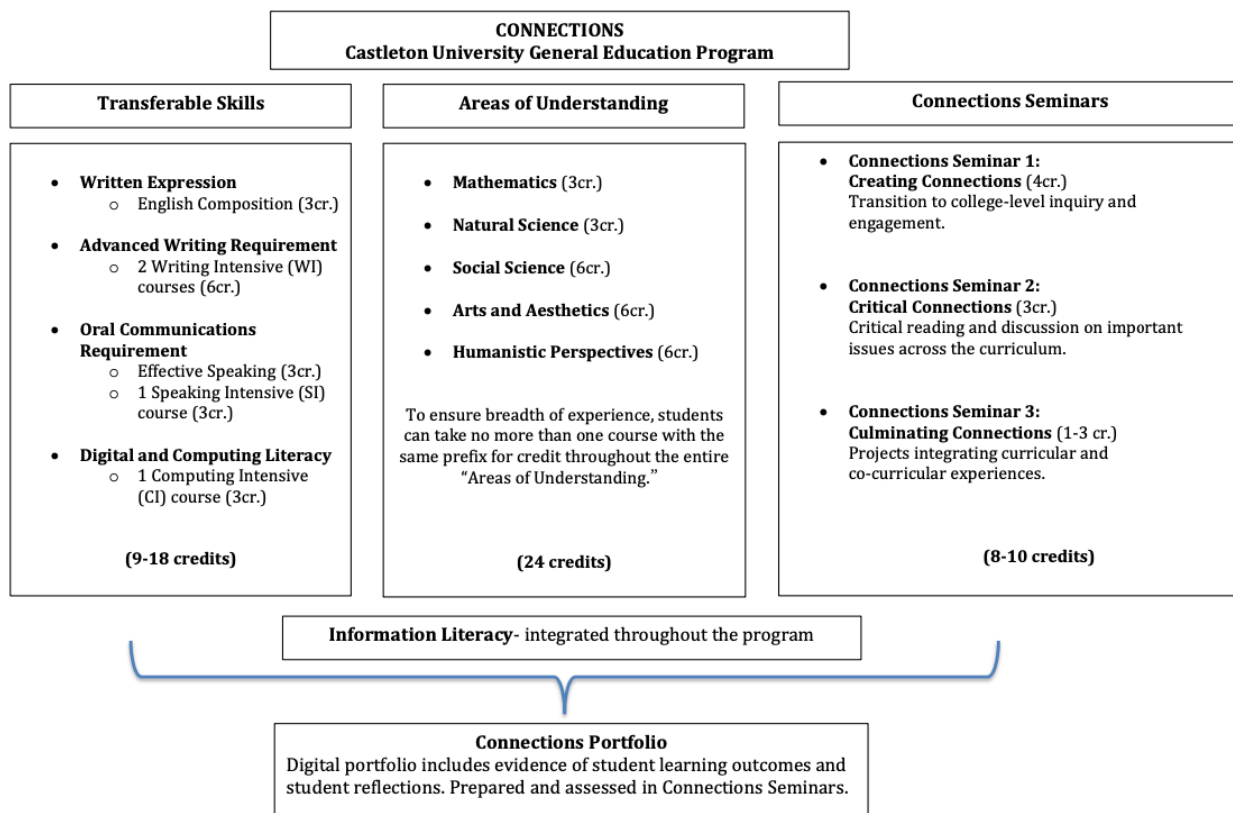
Castleton's efforts to expand curriculum-based experiential learning for students has been admirable, and in areas of undergraduate research, it offers interested undergraduate students a unique opportunity to work alongside expert scientists. Castleton does not adequately assess the impact of such efforts or collect comprehensive data about career outcomes. The new office of Institutional

Research and the Director of Experiential Learning and Workplace Readiness can help assure that data collection and support for student experiential learning is more systematized, but such efforts are only just beginning. The move away from service learning and community engagement within major courses, however, has not come without costs. There is a potential to reinvigorate community engagement within the broader development of experiential learning.

General Education

Description

All Castleton students must complete the General Education program requirements which constitute approximately 40 credits out of the 120 credits required for a baccalaureate degree (reduced from 122 in 2019) and at least 20 credits out of the 64 required for an associate's degree. In the fall of 2021, Castleton first-year students will be the first cohort to undertake a revised General Education program. Named the Connections Program (see below), it is the centerpiece of an overall effort to cultivate greater integration of the student's experience of a chosen major program, general education, and co-curricular activities.



This program revision is the culmination of a five-year process, slightly extended by a year due to the pandemic, that resulted from program assessment and the regular five-year PReCIP review conducted in 2015. Following that review and consistent with one of the goals of the "Castleton on the Move" strategic plan, Castleton sought a grant from the Davis Educational Foundation to investigate models

that would bring a stronger integrative element to the students' experience of the General Education Program. The overall goal was to bring a greater sense of coherence to the program and strengthen students' abilities to make connections between their studies in the liberal arts and their major or professional programs. The new program was approved by the faculty in 2020 by a vote of 85% in favor. Though slow and deliberative, this consensus-building approach resulted in a successful outcome of what can often be a contentious process. The new program is designed to meet [the first four university learning goals](#) and the new [General Education learning outcomes](#) established in 2018 (including VSC graduation requirements in written and oral communication, quantitative reasoning, and information literacy).

General Education program Learning Goals

1. encourages students to make connections throughout academic courses, cultural events, and co-curricular activities;
2. engages students in a wide-range of disciplines, leading to adaptable and flexible thinking;
3. teaches students to search for, critically appraise, and implement knowledge;
4. prepares students to convey ideas through multiple means of expression;
5. primes students to value different perspectives and cultures;
6. promotes students to be engaged as active citizens on campus and beyond;
7. stimulates intellectual curiosity, preparing students to be life-long learners.

Students meet the first goal in breadth of knowledge by enrolling in courses in the Connections Program's "Areas of Understanding." This distribution requirement includes introductory or generally accessible courses in Arts and Aesthetics, Social Science, Natural Science, Humanistic Perspectives, and Mathematics. The latter, a new requirement, includes an embedded assessment of quantitative reasoning. Students are required to take eight courses from throughout these areas, each in different disciplines.

To achieve the second goal, the program retains a slate of courses in academic skills: a three-course sequence in writing (first-year English Composition followed by two "Writing Intensive" courses culminating in an assessment test), a two-course sequence in academic speech (first-year Effective Speaking followed by one "Speaking Intensive" course, including an embedded assessment), and a "Computing Intensive" course focusing on digital and computing literacy.

The program meets the third university goal on values clarification, perspective taking, and intercultural awareness through courses in its Areas of Understanding. A new initiative across the VSC is developing explicit learning outcomes in Diversity, Equity and Inclusion in each of these Areas and the skills requirements described above. At the time of this writing, that initiative is in its nascent stages.

To address the fourth goal, the revised program adds a sequence of three integrative seminars to be taken in each of the student's first three years of study. Progressively staged from introductory to advanced levels, the activities and instruction requires students to draw together their wider general education coursework, major coursework, and co-curricular learning. During the seminars the students compile an e-portfolio comprised of artifacts from throughout their general education coursework demonstrating achievement of the program goals. This portfolio may be used for further

major capstone work or for seeking employment, and it will also be used by the faculty for program assessment.

Appraisal

The long revision process sequestered considerable institutional resources and faculty energy. It seems to have had the effect, however, of reinvigorating the program, highlighting the General Education curriculum among the faculty, and directing some strains of discussion about the wider curriculum. It also expanded the cohort of faculty who have taken a professional interest in the design and delivery of the General Education curriculum. Considering the decline in the number of full-time faculty, maintaining and growing this interest will be crucially important, especially for staffing the new integrative seminars.

The review and revision process highlighted the shortcomings of Castleton's previous system of oversight for general education. Whereas other academic programs are supported by departments in colleges, this program is overseen by a service committee of the Faculty Assembly with a limited charge. In actual practice, the governance of the program is distributed and fragmentary, with numerous individuals and committees overseeing its components without coordination or a sense of professional affiliation.

The curricular reforms of the program have initiated a promising shift towards regularly assessing student learning in the program with an eye towards continuous improvement of the program itself. Pilot sections of the first Connections seminar were successfully run in fall 2020. Work remains to be done to clarify implementation and management of the assessment system.

The revision of Castleton's General Education program is consistent with the impending merger of the three VSC institutions. Under the direction of Board [Policy 106](#), a cross-institutional General Education Committee has been aligning general education Areas of Understanding, learning outcomes, and academic skills across the institutions. This work explicitly recognizes the unique character of additional general education requirements, such as Castleton's three Connections Seminars and complementary portfolio. Castleton's General Education Committee crafted the new Castleton general education requirements to align with this VSC proposal; thus, its enactment does not disrupt the implementation of Castleton's new program. The VSC proposal was approved, with an amendment, at the April 6, 2021 Faculty Assembly meeting.

Graduate Degree Programs

Description

Castleton has developed several strong graduate programs as well as an appropriate infrastructure to deliver them. There are currently six active and successful programs, five of which were added since the last review: the long-standing Master of Arts degree in Education (MAE; residential/online mix), Master of Music Education (MME; residential/online mix; added in 2014), Master of Science in Athletic Leadership (MS.ATL; online; added in 2015), Master of Arts + CAGS in School Psychology (MA.+CAGS PSY; residential; added in 2016), Master of Business Administration (MBA; online;

added in 2019) and the new 3+2 BS in Kinesiology and Master of Athletic Training, a residential program with its first cohort starting graduate work in 2020. A new Master of Nursing (MSN; online) will be offered starting fall 2021.

Several programs were launched but discontinued due to lack of student interest. The Master of Arts in Theater (2014-2016) and the Master of Arts in Arts Administration (2016-2018) were discontinued after serving one student cohort. The Master of Science in Accounting (added in fall 2011) has been folded into the MBA Program, and the Master of Arts in Math Education, offered to only one cohort, is now available as a concentration in an education degree.

Core courses for Castleton's graduate programs are largely taught by full-time faculty, most of whom have joined the faculty after successful professional work and who maintain professional ties to their fields. Additional courses are staffed by part-time professionals who contract to teach specialized courses. These faculty are chosen based on their credentials, their holding an appropriate terminal degree in the discipline of the course, and—for online programs—their experience with online pedagogy. As an example, the [MBA program](#) is designed to offer a core curriculum and then several specializations. The core courses are taught by faculty in Castleton's Business Administration Department; concentration courses are taught by a mix of discipline-specific Castleton faculty and specialists from other universities.

Entrance standards for the graduate programs are set at a level consistent with those at other practice-oriented graduate schools. Most programs have designated learning outcomes aligned with the profession. Core courses in the [Master in Athletic Leadership](#), for example, were developed to align with core competencies needed for successful employment in the interscholastic and intercollegiate athletics sub-industries. Students then choose two electives, and wrap up the degree with a placement in the professional field through either an internship or a special project.

Multiple admission criteria ensure equity for individuals with diverse learning strengths. All programs require successful completion of undergraduate degrees and a 3.0 undergraduate grade point average. Occasionally, provisional admission is extended to an applicant who appears less qualified on standardized measures but otherwise shows signs of considerable potential. Although most students admitted to the programs are established professionals in their areas seeking advanced credentials and professional expertise, specific programs, such as the education programs, require applicants to have already acquired prior licensure.

The graduate programs grew out of existing strengths in Castleton's undergraduate programming which could be expanded and intensified to meet professional development needs and employment demands of the state and region. Some programs, such as the Master of Athletic Training and MA+CAGS in School Psychology, are the only programs of their kind in the state. Academic expectations for these programs uniformly exceed those of the corresponding undergraduate programs. As part of the strategic planning process, graduate programs were developed with the enhancement of undergraduate programming in mind, often with an eye to expanded library resources or a new layer of intellectual engagement throughout the department.

Each of Castleton's graduate programs has a theoretical foundation and professional focus, preparing students for successful employment in a professional field or providing advanced training and

credentials for advancement. Castleton's [School Psychology program](#), for example, is grounded in a scientist-practitioner philosophy of training and education. Fieldwork experience provides opportunities for students to apply their knowledge in a variety of community settings. Graduates are eligible to apply for National Certification through the National Association School Psychology Certification System.

The [MA in Curriculum and Instruction](#) and [MA in Special Education](#) contain what is maybe the most research-based integration with professional preparation. These programs require an introduction to graduate research course to set the stage for a degree option that is heavily steeped in research. That course is followed sequentially by qualitative and quantitative research courses, a research design course, and a research seminar. The required courses all lead to a culminating thesis that assures that students are able to read, understand, and produce research in their field.

Programs include rigorous assessments in professional practice. In the Master of Athletic Training, for example, students are assessed on each learning outcome by site supervisors after completing their required internships or special projects. Each of the programs includes a culminating assessment that demonstrates mastery of the program's goals and objectives. These can include presentation of a final portfolio, board examinations, or the preparation of a master's thesis. As part of the University's process of establishing these new programs, the program rigor and final requirements were reviewed by the Graduate Council. A new graduate [thesis manual](#) was reviewed and approved by the full Faculty Assembly in 2019.

Appraisal

The graduate program components of the 2013 strategic planning process and the 2014 push to launch new programs are often cited as cautionary tales when new academic programs are proposed. While the benefit and need for planning new graduate programs was well-documented and understood, faculty in individual departments felt pressured (by administrators who have since departed) to produce new graduate programs without assurances of resource support for development and marketing, adequate staffing, and clear student demand. A slower and more deliberative process, while not fully addressing the core concerns, has produced much more successful outcomes. While most of the programs enjoy healthy enrollments, some programs, such as the MA in Special Education concentration, have had to explore other routes, such as partnerships with the Higher Education Collaborative, to provide core courses for students.

While Castleton remains, in its organization and overall institutional culture, focused on serving undergraduate students, it has developed appropriate infrastructure to support graduate programming. The Graduate Council of the Faculty Assembly provides a faculty-focused oversight mechanism and has seen development of important academic standards. These have included establishing minimal admission requirements and a system for producing and reviewing master's thesis submissions to assure quality and academic integrity.

In nearly every case, programs have been launched on the premise that student demand and enrollment would drive the possibility of establishing new faculty lines to staff them; though not at all optimal, the necessity of this strategy is realistic. Some programs such as the School Psychology, MBA, and MAT Programs have expanded or taken steps to expand their faculty to meet this need.

No program has developed a dedicated graduate faculty to cover all core courses. The need to contract part-time faculty brings both opportunities and costs. Each program, particularly the online-only programs, contract with experts in the fields from around the country, ranging from professors from highly-selective research universities to leading professionals. While offering students such highly qualified instructors, this strategy risks not assuring consistency in the quality and supportive courses to which Castleton aspires.

Online-teaching training for part-time instructors has provided an adequate introduction to Castleton's goals for student learning. This support has been bolstered by the growing infrastructure for online learning as a result of the pandemic. Building these capacities has also allowed Castleton to better assess and select the best modes of delivery to determine, for example, whether fully online or some form of hybrid courses might be best for Castleton's target students.

Integrity in the Award of Academic Credit

Description

Castleton's degree programs all follow common practices of U.S. higher education in terms of naming conventions, length, content, and level of program. Castleton's associate's degrees are all 60 credits, and the bachelor's programs were reduced from 122 credits to 120 in 2019. The master's degree programs range from 30 to 36 credits, and the school psychology MA/CAGS program is 72 credits.

Credit awards are consistent with Commission policy, and the awarding of credit is based on policies developed and overseen by the faculty and the administration. The number of credits for each course is based on a combination of scheduled contact hours and expected out-of-class work. One credit is expected to include at least 15 contact hours and 30 out-of-class hours, or the equivalent. The credit hour policy is published in both the [public disclosure](#) section of the website and in the [catalog](#).

Castleton does offer some courses in a concentrated time frame, especially during the summer and January Term, and there are 1-credit courses and a handful of 3-credit courses that are offered during the first or second half of the fall and spring semesters. Castleton's MBA program, which is taught online, offers all courses in a concentrated 8-week format, year-round. The Resort and Hospitality Management program operates on a trimester schedule of a 13-week term with proportionally longer contact hours per week per credit. Castleton maintains clear standards that assure that all courses and modalities adhere to the stated requirements for contact hours described in the [academic policies section](#) of the [Undergraduate Catalog](#).

Standard letter grades are used, and guidelines for evaluation are described in the *Undergraduate Catalog*. Departments may propose certain courses as ones that may be taken on a pass/no pass basis. The graduate level grading system is outlined in the [Graduate Catalog](#) and, consistent with American higher education norms, limits a passing grade to grades A through C. Faculty submit grades online, and the Registrar's Office conducts the grade verification process, processes grade changes, and facilitates grading as needed. Midterm and final grades are available to students online. An academic honesty policy is referenced in the academic policies section of the *Undergraduate Catalog* and elaborated in the [College Handbook](#). The policy details the roles of instructor, student, and administration in dealing with academic honesty infractions.

Grading procedures and norms as well as standards for program completion are set by departments and academic programs. Accredited professional programs tend to have the most elaborated systems of student evaluation and can include numerous performance standards mandated by the accrediting agencies. Four VSC “graduation standards” required of all students are an exception: Written communication, which is taught through a sequence of three writing-intensive courses, is evaluated by a trained committee following the University Writing Standards; details and procedures for assessment may be found at [A Guide to the Castleton University Writing Standards](#). Oral communication is evaluated by individual instructors using agreed-upon criteria. The University, through its general education reform, is transitioning to embedded information literacy and quantitative reasoning assessment (previously evaluated by exam). Students who matriculate with certain threshold standardized test scores are exempted from the quantitative reasoning assessment.

[Policies for student independent learning](#) (e.g. independent or directed studies, tutorials, and internships) are described in the *Undergraduate Catalog* and are generally administered by the sponsoring academic program. Most independent learning is initiated by a faculty-student agreement and described in a written proposal that is reviewed by the department chair and then approved by an academic dean. In general, proposals demonstrate that independent learning will be consistent in expectations with standard academic courses in that department. For [internships](#), the catalog provides work guidelines for academic credit, though evaluative standards for student learning and performance are set by the sponsoring program.

For the most part, individual faculty design courses within each major. Members of each department work together to monitor programs and initiate changes, using the curricular review process described above, as appropriate. Each instructor must submit the syllabus for his/her course to the Provost’s Office.

Castleton faculty periodically plan and teach in off-campus educational opportunities for students, and these courses go through the normal academic approval and oversight process. Individual courses with extended field trips have been offered in the American southwest, Belize, Costa Rica, Iceland, and the U.S. Virgin Islands. Semester-long programs in which Castleton students and faculty travel together have been held in London and Santa Fe. In addition, students may receive credit for international study through regionally accredited U.S. institutions or by enrollment in an international university with which Castleton has forged a contractual agreement. Finally, students seeking to transfer credit from international institutions with which Castleton does not have a contractual agreement can be required to submit their materials to a transfer credit evaluation service such as World Education Services.

Dual enrollment courses are taught in area high schools on a limited basis. High school faculty teaching dual enrollment courses have sufficient academic credentials to teach college-level courses, and they are approved by the appropriate Castleton academic department as well as the academic dean. They receive training and oversight by the relevant department, and the syllabi are approved by the sponsoring departments. The Castleton Center for Schools facilitates the process of offering approved courses as “contract courses” for in-service teachers. The chair and the director of education must approve faculty and syllabi.

The university president authorizes the formation of faculty search committees. Membership typically consists of faculty from the department in which the position has been approved, at least one faculty member from outside the hiring department, at least one student, and an academic dean or designee. The president approves the committee's membership.

New full-time faculty undergo an intensive orientation process at the beginning of their first semester followed by a support approach that continues throughout their first year. Most academic departments conduct informal mentoring that continues thereafter, and specific initiatives, such as training of instructors of Writing Intensive courses and training of advisors, are conducted by appropriate Faculty Assembly committees.

Evaluation of full-time faculty is a responsibility shared by the Faculty Assembly's Reappointment, Promotion, and Tenure Committee, the academic dean, and the president. Department chairpersons annually evaluate the teaching of some of the part-time faculty in their departments, including by observing their classes. Every four years, part-time faculty are also evaluated by the Peer Review Committee, established by the part-time faculty collective bargaining agreement, and by the provost or their designee.

Academic advising is discipline-based and conducted almost exclusively by faculty members in the students' majors. This advising begins with the student's enrollment in the Connections 1 seminar where they learn about the requirements and rationale of the curriculum. Though most of these sections are designated general education courses, some majors establish a first-year cohort and begin major advising at this time. In the second semester, students who have declared majors are transitioned to a designated advisor.

Advising is also intended to build student capacity for self-direction in academic planning. All academic programs publish program rationales, goals, program requirements, and other information both in the *Undergraduate Catalog* and on the extensive Castleton website. In 2019 all programs designed [four-year degree plans](#) now available on the website, as well. Students are supplied with online tools such as a "program evaluation" to track their progress in meeting program and graduation requirements. The course schedule is published online, and students select and self-register for their courses upon review of their plans and approval by their advisors.

In recent years, Castleton has worked to improve student pace to degree through participation in Complete College America and its "Think 30" programming to support 4-year completion. For years, Castleton has also employed an alert system, with alerts initiated largely by faculty members, that enables student life professionals to make timely interventions. Starting in 2019 this system was expanded through the VSC-wide implementation of Aviso advising and predictive modeling software that enables greater collaboration among faculty and staff as well as more efficient faculty advising. Through the creation of a dedicated Associate Dean of Student Success, the Title III grant has supported a wide roll-out of this software as well as other online-based advising approaches needed for new student registration during the pandemic.

Castleton has also grown an early college program, including a residential component beginning in 2018, and it has expanded dual enrollment offerings with local high schools. However, students coming from Castleton's rural communities experience a distinct challenge of attending small high

schools that do not offer advanced placement courses in many subjects or equip their students to imagine college as a realistic possibility. In Vermont, just 50% of high school students seek college admission, and policies regarding portability of state financial assistance do not incentivize enrollment in Vermont colleges as they do in other states. There is a potential for further growth if Castleton and the VSC can further integrate into a “K-16” plan for education based more firmly in Vermont.

Castleton welcomes the diversity of experiences that transfer and nontraditional students bring to Castleton and provides support as necessary in subsequent coursework through programs offered by the Academic Support Center, where tutoring in most courses is available to all students free of charge. There is no noticeable difference in support required by first-year students and those who are admitted as transfer students, or those who have been granted advanced standing through prior learning assessment.

Castleton has strong pathways for students at the Community College of Vermont to transfer to Castleton to complete their education. In addition to having a shared academic database within the VSC, Castleton and CCV faculty and administrators have developed a series of [Pathways agreements](#) that promote 2 plus 2 programs between the institutions. In addition, starting in fall 2018, Castleton and CCV embarked on a Direct Admissions program that allows students to be admitted to both institutions simultaneously with collaboration between advisors in specific student cases. [Transfer articulation agreements](#) have also been established with numerous regional community colleges in New York and New England.

[Transfer policies](#) are clearly outlined in the *Undergraduate Catalog*. The initial review of transfer credits for incoming students is conducted by the Registrar’s Office. Castleton accepts undergraduate credit for courses receiving a grade of C- or better at accredited institutions. Faculty are consulted for transfer decisions on upper-division and specialized major courses. Credits earned at other VSC colleges are not considered transfer credit, but the granting institution is designated on the transcript.

Castleton academic policy dictates that a minimum of 30 credits towards a bachelor’s degree, including a substantial amount of intermediate and advanced work in the major, must be completed at Castleton. Program learning outcomes are generally tiered so that transfer courses at the appropriate level meet program standards. In reality, transfer students, even with substantial previous credits, must complete more than one-fourth of their undergraduate credits to complete degree requirements. An exception to this policy was made in the 2019-2020 academic year for students from local colleges that closed, consistent with carefully crafted and implemented teach-out agreements. Graduate students pursuing a degree in education may petition to transfer in up to 12 credits.

Castleton accepts transfer credit from the VSC Office of External Programs (OEP), the administrative office of the VSC that coordinates the evaluation and approval of experiential and non-collegiate-sponsored learning. Students participating in OEP develop an extensive portfolio. The portfolio is reviewed by a committee of academics and experts in the field of learning, which makes academic credit recommendations based on its findings. The University uses the [American Council on Education recommendations](#) for granting academic credit for courses from service schools and military training.

Appraisal

Program size and requirements at Castleton are somewhat uneven. Many programs reduced requirements to 40-50 credits in the curriculum review of 2018. However, some professional programs, especially accredited professional programs, have increased in size well beyond this range. In two cases, Music Education and Nursing, a concerted effort was required to assure that students studying for a baccalaureate degree could meet major requirements without significantly exceeding the 120 credits required to graduate. Although there is no official Castleton or VSC policy limiting the size of majors, oversized major requirements are a matter of concern for the Board of Trustees and may be revisited in the future.

The University maintains the VSC graduation standards for all undergraduates in speaking, writing, and quantitative literacy. Performance standards regarding student inquiry and associated dispositional development (e.g. critical thinking) have been set and evaluated at the program level. The revised general education goals and program reform have been developed to promote university-wide standards in student inquiry, integrative and critical thinking, and development of an academic mindset. The reform has also addressed graduation standards to create more rigorous assessments embedded in the integrative courses.

There has been widespread dissatisfaction with the system of discipline-based advising, largely due to structural inequities in which advisors in some programs are over-burdened by the number of advisees and are limited to very prescriptive (e.g., course selection) advising. As part of the Title III grant work, the University has initiated a process to develop a new holistic and developmental advising model, including an assessment plan, which will be implemented in the fall of 2021. Although severely affected by the pandemic, the University has also set goals for improving retention and persistence as metrics judging the success of the Title III grant.

While the emphasis on traditional-aged students will remain, Castleton is anticipating an increase in non-traditional and returning students, as well as non-degree students seeking specific forms of professional certification. At present, Vermont is discussing intensifying its K-16 educational system with high school to college pathways and more formalized academic partnerships. Likewise, the pattern of transfer and articulation agreements are planned to increase. While these changes will accompany changes in formal programming, they will also require a variety of new student supports and an overall support strategy for an increasingly diverse student body.

Projection

- The administrative structure of Castleton and key personnel will be revised in accord with the planned merger of Castleton, Northern Vermont University, and Vermont Technical College.
- Faculty and administrative leadership will work together to create a new faculty governance structure for the new, merged institution.

- Utilizing the recommendations of the consultants rpk Group, hired in spring 2021 to assess the relative strength of academic programs across the institutions to be merged, the Board of Trustees charged faculty working groups to combine and revise the academic programs of the three merged institutions during the summer and fall of 2021 with an eye to strengthening programs through consolidating faculty and resources from the three institutions, adding programs as appropriate based on a labor market gap analysis, and reallocating resources away from or closing low-demand programs that are not central to the institutional mission. The resulting proposals will be brought forward for review and approval in the fall, winter, and spring of 2021-2022.
- Castleton will continue to seek and use grant funding to initiate necessary changes in the delivery of its academic programs and updates to its infrastructure of support for academic programs.
- Castleton will institutionalize the offices in support of student success, teaching and learning excellence, experiential learning and workplace readiness, and institutional research created through the Title III grant.
- By fall 2021, Castleton faculty will have worked with their colleagues at Northern Vermont University and Vermont Technical College to design a shared portfolio of academic programs that can be delivered efficiently across the three institutions, aggregating each institution's facilities, faculty, and resources to ensure high quality, high access, and affordability for all degrees. This will require the restructuring of many of Castleton's existing degree programs. In some cases, the changes will be minor, in others, more substantive. Overall, there will be a reduction in the number of degrees offered and a focusing of resources on those newly created or retained.
- Castleton will expand upon its undergraduate research opportunities and will develop the infrastructure and support mechanisms to assure safe, quality, and ethical experiential learning opportunities for all students.
- Career readiness will continue to transform the curriculum with a renewed emphasis on experiential learning.
- By fall 2023, Castleton will have fully implemented its revised General Education program and fully incorporated VSC-wide student learning outcomes for the distribution areas component.
- Stipends for program design and incentives for teaching are provided for in the Title III grant, and the implementation will be supported by the Center for Teaching and Learning.
- Support for assessment, including the design and implementation of the final portfolio, will be supported by the new Office of Institutional Research, also provided for by the Title III grant.

- Castleton will use the implementation of the Connections Program to support teaching excellence across the University via this focus on general education instruction.
- The faculty and administration will collaborate to create a revised and organized governance structure for the program.
- Castleton will implement a new or renewed emphasis on teaching for important dispositions and assessing them in meaningful ways. The quantitative reasoning standard will be satisfied by a new math requirement, and the information literacy standard will be replaced by an embedded assessment in the integrative seminars.
- Castleton will implement and assess a new holistic and developmental advising model building on the faculty and staff advising committee work of 2020-2021 and integrated with the new advising model being constructed for the merged institution.

Standard 4: The Academic Program
(Summary - Degree-Seeking Enrollment and Degrees)

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Associate's	Bachelor's	Master's	Clinical doctorates (e.g., Pharm.D., DPT, DNP)	Professional doctorates (e.g., Ed.D., Psy.D., D.B.A.)	M.D., J.D., DDS	Ph.D.	Total Degree-Seeking
Main Campus FT	7	1,469	13					1,489
Main Campus PT	1	129	40					170
Other Principal Campus FT								0
Other Principal Campus PT								0
Branch campuses FT		35						35
Branch campuses PT		5						5
Other Locations FT		25						25
Other Locations PT		1						1
Overseas Locations FT								0
Overseas Locations PT								0
Distance education FT		1	11					12
Distance education PT		10	74					84
Correspondence FT								0
Correspondence PT								0
Low-Residency FT								0
Low-Residency PT								0
Unduplicated Headcount Total	8	1,675	138	0	0	0	0	1,821
Total FTE	7.75	1,621.04	78.89					1,707.68
Enter FTE definition:								
Degrees Awarded, Most Recent Year	6	415	57					478

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

Please enter any explanatory notes in the box below

Standard 4: The Academic Program
(Summary - Non-degree seeking Enrollment and Awards)

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Title IV-Eligible Certificates: Students Seeking Certificates	Non-Matriculated Students	Visiting Students	Total Non- degree-Seeking	Total degree- seeking (from previous page)	Grand total
Main Campus FT		1	1	2	1,489	1,491
Main Campus PT		358	8	366	170	536
Other Principal Campus FT				0	0	0
Other Principal Campus PT				0	0	0
Branch campuses FT				0	35	35
Branch campuses PT				0	5	5
Other Locations FT				0	25	25
Other Locations PT				0	1	1
Overseas Locations FT				0	0	0
Overseas Locations FT				0	0	0
Distance education FT				0	12	12
Distance education PT				0	84	84
Correspondence FT				0	0	0
Correspondence PT				0	0	0
Low-Residency FT				0	0	0
Low-Residency PT				0	0	0
Unduplicated Headcount Total	0	359	9	368	1,821	2,189
Total FTE		134.02	4.92	139	1,708	1,846.62

Enter FTE definition:	FTE=FT (12 credits or more) + PT credit hours/12					
Certificates Awarded, Most Recent Year						

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

Please enter any explanatory notes in the box below

Standard 4: The Academic Program
(Headcount by UNDERGRADUATE Major)

?	Number of credits*	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
		(Fall 2017)	(Fall 2018)	(Fall 2019)	(Fall 2020)	(Fall 2021)

For Fall Term, as of Census Date

Certificate (add more rows as needed)

?	Speech Language Pathology	18	-	-	-	1	1.00
	Archeological Methods	12.00					1.00
	Total		0	0	0	1	2

Associate (add more rows as needed)

?	Business Administration	64	4	4	9	5	3
	Chemistry	64	0	-	-	-	-
	Communications	64	1	-	-	-	
	Criminal Justice	64	7	3	3	2	2
	General Studies	64	7	3	2	1	
?	Undeclared						
	Total		19	10	14	8	5

Baccalaureate (add more rows as needed)

?	Accounting	120	0	15	28	23	22	Prior to FY2018 a concentration in Business Management
	Archaeology, Geography & Applied Anthropology	120	0	-	1	5	9	
	Art	120	22	21	22	22	24	
	Athletic Training	120	35	19	12	-		Replaced by Health Science/Pre-ATR and the master's in Athletic Training
	Biology	120	62	61	72	65	67	
	Business Administration	120	260	191	125	55	11	FY2018 split into 3 degrees: Accounting, Marketing, Management
	Career & Technical Education	120	1	-	-	-		
	Chemistry	120	12	11	13	9	3	
	Communication	120	62	34	15	5		Replaced by Media & Communication
	Computer Information Systems	120	29	31	27	16	14	

Criminal Justice	120	76	63	71	55	43	
Early Childhood Education	120	0	-	7	16	22	New FY2020
Ecological Studies	120	16	25	17	5	9	
English	120	27	26	29	21	22	
Environmental Science	120	22	21	24	23	21	
Exercise Science/Exercise & Sports Science	120	73	64	51	31	37	
Forensic Psychology	120	0	-	14	19	27	
Geology	120	8	4	3	-		Eliminated FY2021
Global Studies	120	12	17	10	8	6	
Graphic Design	120	5	12	20	22	14	
Health Education	120	9	5	4	2	2	
Health Promotion	120	0	3	7	4	5	
Health Science	120	90	78	70	53	37	
Health Scicne/Pre-ATR	120					23	Replaces Athletic Training
History	120	39	40	40	30	33	
Kinesiology/Pre-ATR	120	31	61	57	71	41	
Literature	120	1	-	-	-		Replaced by English
Management	120	0	48	77	98	138	Prior to FY2018 a concentration in Business Management degree
Marketing	120	0	22	31	43	50	Prior to FY2018 a concentration in Business Management
Mathematics	120	32	37	31	30	23	
Media & Communication	120	0	16	30	33	32	Replaced Communication
Multidisciplinary Studies	120	101	99	100	78	68	
Music	120	8	8	17	18	17	
Music Education	120	9	13	28	26	19	
Natural Science	120	0	-	-	-		
Nursing	120	212	220	245	258	240	
Philosophy	120	5	4	3	3	1	Eliminated FY2021
Physical Education	120	65	71	78	63	67	
Political Science	120	19	18	18	25	16	
Psychological Science	120	94	94	83	65	86	
Resort & Hospitality Management	120	0	-	26	26	30	New FY2020
Social Science (contract)	120	11	12	17	10	7	
Social Studies	120	1	1	2	-		
Social Work	120	56	49	64	60	45	
Sociology	120	21	29	19	24	24	
Spanish	120	5	2	2	1	1	Eliminated FY2021
Sports Administration	120	51	33	13	2	1	Replaced by Sports Management

Sports Management	120	22	49	86	84	90	Replaces Sports Administration
Sports Medicine	120	0	-	-	-		
Wildlife & Forest Conservation	120	0	-	9	11	23	New FY2020
Theatre Arts	120	24	24	19	12	14	
Women's & Gender Studies	120	0	-	3	1	1	Eliminated FY2021
Undeclared	120	94	106	91	129	124	
Total		1,722	1,757	1,831	1,660	1,609	
Total Undergraduate		1,741	1,767	1,845	1,669	1,616	

* Enter here the number of credits students must complete in order to earn the credential (e.g., 69 credits in an A.S. in Nursing)

Associates degree = 60 credits; Bachelor's degree = 120 credits

Please enter any explanatory notes in the box below

Prior to the 2019-2020 catalog- Associates degree was a minimum of 64 credits, and Bachelor's degree was a minimum of 122 credits. This changed to 60 for an Associates degree and 120 for a Bachelor's degree in the 2019-2020 catalog. Undeclared category includes early college students. Beginning in Fall 2021- Kinesiology/Pre-Atr became Health Science/Pre-Atr. Fall 2021 data based on 8/15/21 actuals.

Standard 4: The Academic Program (Headcount by GRADUATE Major)

For Fall Term, as of Census Date

	Number of credits*	3 Years Prior (Fall 2017)	2 Years Prior (Fall 2018)	1 Year Prior (Fall 2019)	Current Year (Fall 2020)	Next Year Forward (goal) (Fall 2021)
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Master's (add more rows as needed)

Accounting	30	6	4	6	1	0
Arts Administration	30	5	0	1	0	0
Athletic Leadership	30	36	33	36	33	20
Business Administration	36	0	0	38	35	31
Masters in Education	36	28	30	52	43	34
Math Education	36	1	0	0	0	0
Music Education	41	0	4	8	4	4
Theater	30	0	0	0	0	0
Athletic Training	67					8
Nursing	40					5
Total		76	71	141	116	102

Doctorate (add more rows as needed)

Total		0	0	0	0	0

First Professional (add more rows as needed)

Total		0	0	0	0	0

Other; specify (add more rows as needed)

CAGS/ School Psychology	72	10	16	20	15	13
Post-Bacc/Educator Licensing	36	16	15	12	7	2
Principal Endorsement	22	11	4	3	16	8
Total		37	35	35	38	23

Total Graduate	113	106	176	154	125
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* Enter here the number of credits students must complete in order to earn the credential (e.g., 36 credits in an M.B.A.)

Please enter any explanatory notes in the box below

School Psychology program graduates earn a Masters and a Certificate of Advanced Graduate Study. Masters in Athletic Training program is 3 +2 program allowing qualified students to complete Bachelors and Master degree in 5 years. All Fall 2021 numbers are based on 8/15/21 actuals.

Standard 4: The Academic Program
(Credit Hours Generated and Information Literacy)

Credit Hours Generated By Department or Comparable Academic Unit



3 Years Prior (FY 2018)	2 Years Prior (FY 2019)	1 Year Prior (FY 2020)	Current Year (FY 2021)	Next Year Forward (goal) (FY 2022)
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Undergraduate (add more rows as needed)

Art	1,494	1,620	1,563	1,327	1,247
Business Administration	6,388	6,373	6,864	5,841	5,491
Communication	2,047	1,717	1,591	1,621	1,524
Education	1,556	1,390	1,716	1,587	1,492
English	6,272	6,629	6,433	6,009	5,648
History, Geography, Economics & Politics	3,691	3,723	3,805	3,175	2,985
Introduction to Liberal Arts	1,778	1,568	1,505	1,113	1,046
Mathematics	3,166	3,331	3,436	2,603	2,447
Music	1,237	1,260	1,659	1,253	1,177
Natural Science	5,747	5,754	5,688	5,103	4,797
Nursing	3,751	3,714	4,232	3,906	3,672
Physical Education	4,845	5,099	4,869	3,979	3,740
Psychology	2,565	2,998	3,191	3,208	3,016
Social Science	3,934	4,208	4,424	4,325	4,066
Theater Arts	925	1,124	969	688	647
Total	49,395	50,507	51,944	45,737	42,993

Graduate (add more rows as needed)

Art	99	6	3	0	0
Athletic Leadership	374	390	420	417	420
Business Administration	113	90	554	471	471
Masters in Education	3,452	3,311	4,058	4,604	5,000
Music Education	47	63	68	40	40
Athletic Training					144
School Psychology	291	288	339	237	237
Total	4,376	4,148	5,442	5,769	6,312

Information Literacy Sessions

Main campus

Sessions embedded in a class

	139	82	78	80
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Free-standing sessions

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Branch/other locations

Sessions embedded in a class

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Free-standing sessions

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Online sessions

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URL of Information Literacy Reports:

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Please enter any explanatory notes in the box below

FY2022 undergraduate credit hours projected as 6% below FY2021 credit hours based on an expected overall enrollment decline of 6%.
FY2022 graduate credits hours based on 8/15/21 actual enrollments.

Chapter 5

Students

Admissions

Description

Castleton seeks to serve students from an array of backgrounds, including [first-year students \(372\)](#), [early college students \(22\)](#), [transfer students \(142\)](#), [international students](#), [veterans](#), and [graduate students](#), and provides specific information for each of those groups on the admissions website. All recruiting materials emphasize the University's commitment to students and their academic opportunities, including Castleton's emphasis on a relationship-based educational experience with connections and community engagement. Admissions also foregrounds Castleton's size and location to attract prospective students who prioritize those characteristics. The admissions website provides details about [admissions requirements](#) and [information about the current average class profile](#). Staff members analyze enrollment history and future prospect information to identify targeted travel areas in the fall and spring. In fall 2019, 60 percent of new incoming undergraduate students were from Vermont, and 40 percent came from outside Vermont. Students enrolled from 19 states and Canada, Ethiopia, Norway, and Spain.

Enrollment by type IPEDS October 15 census

Level	Type	2018	2019	2020
Undergraduate	Full-Time			
	VT	1,161	1,163	950
	Out of state	566	638	589
	Part-time			
	VT	152	195	166
	Out of state	11	12	39
	Total Head Count	1,890	2,008	1,744
	FTE	1,804	1,887	1,650
Graduate	Full-Time	10	21	11
	Part-Time	293	390	455
	Total Head Count	303	411	466
	FTE	99	148	150
Total	Head Count	2,193	2,419	2,210
	FTE	1,903	2,036	1,800

Over the past three years graduate enrollment has grown in both real numbers (an increase of 51 FTE) and as a percent of the total (from 5.2% to 8.3%). Full-time out of state students have also grown in real numbers by 23 and as a percent of total FTE (from 29.7% to 32.7%).

All prospective students and applicants are assigned to an admissions staff member who serves as their primary point of contact. Castleton Admissions uses a Customer Relationship Management (CRM) system called Slate. Admissions staff are readily available in person and via telephone, and Slate facilitates all the necessary communications with students during the admission and enrollment processes. This comprehensive tracking of communication and applications allows for systematic assessment of recruitment and admissions processes.

Castleton's admission policies are clearly stated in the [Undergraduate Catalog](#) and on [the University's website](#). The admissions team determines if a student is qualified for success at Castleton for undergraduate admissions, while faculty determine if students meet the requirements for specific graduate programs. Additionally, transfer Nursing candidates are pre-reviewed by admissions staff and reviewed subsequently by the Nursing department. Music Education and Music Performance applicants complete a required audition. The requirements for regular undergraduate admission have remained consistent: a cumulative grade point average (GPA) of 2.5 or better on a 4.0 scale, combined reading/writing and mathematics SAT scores of at least 850 with no score under 400, or an ACT composite score of 18 or above (note that for spring and fall 2021 admission, SAT and ACT scores were optional due to the pandemic), and successful completion of a college preparatory curriculum. English proficiency tests are required of international applicants, with a minimum score that is guided by regular assessment of the [Pathways Program for English Language Learners](#) to ensure it can provide necessary services for all accepted students to be successful. Currently the minimum score is 65 on the IBT test of English in the TOEFL. Transfer applicants must have at least a 2.0 GPA to be considered for admission.

Students admitted on a conditional basis are encouraged to take advantage of the Academic Support Center (ASC) and provided with detailed ASC information; those provisionally admitted are required to successfully complete prescribed coursework prior to regular enrollment. Students who are not yet prepared for Castleton are offered advice on how to improve their academic foundation to gain future acceptance.

All Community College of Vermont (CCV) graduates are guaranteed general admission to Castleton, and CCV and Castleton cooperate closely to make transfer between the two institutions as seamless as possible. To this end, [Castleton and CCV have developed curricular pathways for twenty-one programs of study. Castleton has established articulation agreements with eleven additional institutions in the region that offer two-year degrees](#), making the transition to a four-year degree program at Castleton easy.

As part of the quest to provide an inclusive campus community for all, the University also tracks a variety of measures that describe the student population, including in terms of diversity and equity. Vermont residents make up the majority of Castleton's students, though the out-of-state population constituted 35% undergraduate students in Fall 2019. Nearly half of Castleton students represent the first generation of their family to seek a college education, and most carry full-time course loads (93% of all undergraduate students in Fall 2019). The proportion of students engaged in part-time study, however, is increasing in both undergraduate and graduate programs. As of the beginning of the fall 2019 semester, 2% of our student body were international students.

Appraisal

Admissions figures (see below) have been adversely impacted by many factors in recent years. Data indicate that Castleton has not been immune to declining college-going populations in primary Vermont/New England markets. The Excelsior scholarship program in New York and a weakened Canadian dollar, combined with normal pricing pressure/competition from Castleton's peers in the region, resulted in a fall 2017 enrollment decline. This decline dramatically increased budgetary pressures and caused the University to resort to layoffs in 2018. A fall 2019 enrollment boost is attributed to regional institutional closures, where students were offered teach-out opportunities at Castleton. Fall 2020 enrollment tracked strong until COVID, declined some as virus awareness increased, and ultimately declined further when the academic delivery model went predominantly online.

Total	FY2017	FY2018	FY2019	FY2020	FY2021	FY2022*
Freshmen	484	374	435	433	372	364
Transfer	178	132	164	257	142	84
Early College	18	19	41	37	42	34
Overall	2036	1877	1929	2048	1824	1875

*2022 data as of 8/15/21

Financial Aid modeling has strengthened Castleton's merit scholarship and need-based grant awarding rubric, but the biggest enrollment yield challenge remains affordability. Modeling seeks to increase enrollment and revenue while making Castleton more affordable to a range of students, from a wider geographic region, while maintaining academic quality and serving Vermont students according to the VSC mission. Castleton has increased grants for high-need students, and the Maple Award provides opportunities for students attending from wider regions. Maple Award recipients reside on campus, making them revenue-positive.

Upholding Castleton's student-centered mission by building relationships throughout the enrollment process is a challenge with reduced staff, but efficiencies have been found by leveraging Slate, the University's Customer Relationship Management (CRM) software. The enhanced opportunity to access data efficiently allows Castleton to track, examine, and act with data-driven decisions.

Where automation has provided efficiency, invested human-power remains committed to relationship building during the full enrollment cycle. Admissions further focuses energy on wider goals within Castleton's mission, including increasing diversity through Opportunity Scholarships and internationalizing the campus community by increasing ESL support and providing an English Pathway Program to foster student success. Castleton has improved transfer students' seamless transition through multiple articulation agreements and fosters affordability with Transfer Success Scholarships.

Student Services and Co-Curricular Experiences

Description

Academic Support Center: Castleton's [Academic Support Center](#) (ASC) helps students meet their academic goals, with a particular focus on student success and on-time graduation. Two thirds of the center's funding comes from a U.S. Department of Education Student Support Services (SSS) TRIO grant, and all services offered are free to students. Academic counseling provides assistance with time management, study skills, test-taking strategies, learning styles, course and major selection, navigation of the Canvas learning platform and online classes, and meeting graduation requirements. Tutoring and academic support in all Castleton disciplines and English Language Learning is available through individual and small group meetings with professional writing and math specialists, as well as through peer tutors and drop-in math and writing clinics. Assistance with financial literacy and financial aid concerns is available through professional counselors and workshops presented by peer mentors.

Services are also extended to the Killington Resort and Hospitality Management program and Nursing students at CU's Bennington campus through periodic in-person ASC staff visits and remote counseling and tutorial arrangements. An average of 800 students receive services each year, each student averaging seven visits. Staff work closely with various populations, including students who are the first in their families to attend college, students from low to moderate income families, conditionally admitted students, students on academic probation, and all first-year students. Students with documented disabilities meet with the ASC coordinator of disability services to discuss their needs, receive tailored academic counseling, and complete academic accommodation forms, as required under the Americans with Disabilities Act.

In addition to the services available to all students, students supported by the SSS [TRIO grant](#) receive additional outreach, counseling, and tutoring; help with the financial aid process; and instruction in basic financial literacy skills. First-year SSS TRIO students are invited to participate in two summer bridge programs: a Summer Texting program and an on-campus Summer Transition Program, both of which are led by trained peer mentors. SSS TRIO students may also receive support in applying for graduate school and preparing for the GRE, LSAT, and other standardized tests. For more intensive support in preparing for doctoral programs, they may participate in the [McNair Scholars Program](#), another TRIO program on campus. This program involves specialized advising for preparing for doctoral work, opportunities to visit schools and attend academic conferences, and a summer research project under the direction of a faculty mentor. SSS TRIO students who receive a Pell grant are also eligible to apply for a \$1000-2000 SSS TRIO grant during their first two years. Each year, between twenty and thirty students receive these grants.

Financial and Registration Services (FRS): Castleton's [FRS Center](#) provides students with a single office for billing, registration, and financial aid questions. More in-depth questions, which require specialized expertise, are referred to administrative staff in related offices.

Financial Aid is offered in the form of scholarships (accessible through the Financial Aid & Scholarships [website](#)), loans, grants, and employment. All students are encouraged to complete the

Free Application for Federal Student Aid (FAFSA). Students and families with extenuating financial circumstances are advised to submit a special circumstance appeal.

Castleton follows a carefully planned system for awarding financial aid. In early November, the University begins awarding aid for the upcoming academic year to accepted and returning students who have submitted valid FAFSA information. Federal financial aid is awarded at Castleton based on the Expected Family Contribution (EFC), which is the eligibility index calculated by the Federal Processor (based on information provided on the FAFSA). Prior to each academic year, the financial aid team determines “packaging” parameters related to Federal Supplemental Educational Opportunity Grant (FSEOG). FSEOG is awarded based on EFCs. Need-based grants are awarded collaboratively by the Admissions and Financial Aid Offices. The Financial Aid office monitors the spending of the FSEOG to ensure all funds are awarded.

Castleton offers [several types of scholarships](#), with information specific to new accepted students, returning students, international students, and transfer students readily available on the Castleton website. [New Student Scholarships](#) are awarded by the Admissions office to eligible students upon acceptance to the University and are renewable as long as the student earns the required minimum GPA. [Returning student scholarships](#) are endowed and privately funded scholarships with various criteria. Students are reminded by email early in the spring semester to apply for the returning student scholarships, and recipients are selected by a scholarship committee composed of Castleton faculty and staff.

New Student Programs: New first-year students (those with fewer than 15 credits) enroll in a Connections Seminar 1 (formerly FYS) which provides an entry point to the General Education program and to co-curricular programs such as the Academic Support Center, the Library, the Wellness Center, and Career Services. As part of the Connections seminar, incoming students typically attended a two-day registration and orientation weekend during the summer where they meet with their Connections faculty, who serves as their developmental and academic advisor in their first semester, and a peer student orientation (SOS) member, both of whom work closely with students throughout the first semester. During the weekend before the start of fall classes, students participate in Orientation where they learn about student services, engage with faculty about their academic goals, and participate in community engagement activities. Due to the pandemic, the weekend orientation was moved online. Online delivery was sufficiently successful that Castleton expects this to be the default delivery mechanism going forward. Orientation continues throughout the first semester as Connections students participate in programming where the focus is on building interpersonal relationships and engagement and connections with key student services.

During the summer of 2020, these registration and orientation activities were altered to support incoming students virtually. Incoming first-year students were assigned a Success Coach by the associate dean of student success, who reached out to students and helped them register for classes and connected them to campus resources. The Success Coach team was comprised of professional staff. Once students were registered, their instructors/advisors and SOS staff members connected with students. Orientation included eight online modules for students to view. Additionally, for the students who were on campus in the fall 2020 semester, the Student Life office led on-campus orientation activities with efforts to include students who opted to learn remotely for the fall 2020 semester. The system of Success Coaches will be expanded starting summer 2021. Orientation is

periodically assessed through an evaluation survey distributed by the associate dean of students and/or a survey distributed by the Connections Steering Committee.

In addition to planning for first-year student registration and orientation, the Registration and Orientation Committee plans registration days for transfer students offering one-on-one support for registering for courses. Efforts to welcome international students to campus include an International Seminar that fosters community among this cohort and provides a safe space where international students may discuss their culture shock and also share their own cultures with peers. The Admissions office supports a small budget to enable the international students to prepare food from their own countries to share with the broader university community. For all new student populations, student peer mentors play a critical role in helping students transition to Castleton.

Student Life: The division of Student Life, housed in the Campus Center and overseen by the dean of students, is composed of five distinct offices: Residence Life, Student Activities and Leadership, Career Services, Public Safety, and the Wellness Center. Additional services coordinated from within the division include Campus Mail service, Campus Dining, Conference and Events, and Facilities.

Residence Life: All first-year students are required to live on campus for their first two years unless they commute from home. Approximately 60 percent of beds in the eight residence halls and three houses is reserved for first-year students. Residence Life also incorporates two Rutland apartment locations (being reduced to one effective summer 2021), and the Lodge at Killington for students in the Resort & Hospitality Management program.

Residents are supported by a staff of two full-time Area Coordinators (AC), one full-time Assistant Director of Residence Life (AD), a General Manager (GM) for the Castleton Lodge at Killington, and a shared Graduate Assistant. Each AC/AD supervises an undergraduate student staff of between twelve and fifteen Community Advisors (CA).

The Director of Residence Life and the AD/ACs work closely with the staffs of the Wellness Center, Public Safety, and Facilities to ensure the safety and well-being of Castleton students. Expected to provide paraprofessional support, the student staff are well trained and refer residents to professional staff as needed. CAs are responsible for initiating co-curricular programs that foster the academic, social, and health development of their residents. The addition of “Themed Housing” allows for students to reside in a living space with other students with similar interests and values. Castleton offers the option of gender-inclusive housing in multiple residence halls, with gender-inclusive bathrooms and bedrooms on each floor of the designated building.

Disciplinary matters are dealt with progressively, beginning with the CA or public safety officer, moving on to the AC/AD, then to the Director of Residence Life or the Student Court, or ultimately to the dean of students or an All-College Committee Hearing. The University’s Code of Conduct as well as discipline, appeals processes, and information release policies are spelled out in the [University Handbook](#), which is distributed in abbreviated form to all students each fall and is also available in full on-line. These policies and procedures are reinforced by Residence Life staff at hall and floor meetings and by SOS in meetings with first-year students.

Student Activities and Leadership: Residents and commuters can take advantage of a wide variety of co-curricular programs and leadership experiences. Castleton believes that students' academic experiences are enhanced when they are engaged outside the classroom. To that end, the University encourages students to organize activities and clubs to meet their diverse needs and to explore new interests.

In any given semester, the University supports approximately fifty clubs and club sports, eligible for funding from the Student Activity fee administered through the Student Government Association (SGA). The SGA is made up of three branches: Student Congress, Student Court, and the Campus Activities Board. SGA leaders work closely with two advisors (the director of student activities and a shared graduate assistant) and are also in regular communication with the dean of students, the president of the University, and other key administrators.

The Campus Activities Board (CAB), a branch of the SGA, is charged with presenting social activities for the entire campus including late-night activities, weekend activities, and special weekends. In addition to CAB events, students are able to participate in intramural events, recreational events, and club-sponsored activities. These student-initiated, co-curricular programs complement a wide range of performing arts events presented by the Soundings program and the departments of Music and Theater Arts. In 2017, the Student Congress initiated a partnership with Killington Resort to offer all full-time matriculated students the opportunity to ski for free with additional benefits with what is now known as the Castleton Beast Pass.

In addition to the SGA and its organized clubs, there are many other opportunities for students to develop their leadership potential. These include thirteen academic honor societies, twenty-eight intercollegiate athletic teams, the aforementioned Student Orientation and CA Staffs, and a myriad of work-study and volunteer positions.

Career Services: Supporting student development and working collaboratively with faculty and other administrative departments are hallmarks of Castleton's career development efforts. The director of Career Services and the director of Experiential Learning and Workplace Readiness meet with Connections seminars to introduce students to Career Services and Pathway to Graduation. During these presentations, they focus on exploration and personal career plans, while emphasizing workplace readiness and co-curricular involvement to the Castleton experience. Staff provide personal career and internship counseling, financial literacy counseling, career assessments, class presentations, workshops, job and graduate school fairs, and alumni networking events.

Wellness Center: The Wellness Center is an integrated center providing nursing, counseling, wellness education, and advocacy services to Castleton students. The Center provides confidential mental health services for all students, emergency response and crisis intervention, individual and group counseling, psycho-educational and wellness workshops, trainings for student groups, and presentations to classes. The goal of mental health services is to help students develop coping strategies to navigate challenges and to develop resilience in their personal, social, and academic lives. First aid and triage services are offered free of charge by the RN team who make referrals to local medical practices when indicated.

The Wellness Center staff includes the director (a licensed psychologist), the director of Advocacy, Activism, and Nonviolence Education, one part-time administrative assistant, four part-time per diem registered nurses (one nurse each day), one paid post-graduate counseling intern, and four part-time, unpaid graduate and post-graduate counseling interns.

Athletics: As an active participant in the Castleton University community, the Athletics Department contributes to furthering the school's mission through varsity, club, intramural, and recreational activities. Intramural sports are available to all members of the University's community and feature diverse indoor and outdoor sports. Castleton supports several club-level sports that compete in and around the New England region. Castleton has expanded its varsity offerings to twenty-eight sports, which have the opportunity to compete on the national stage through affiliation with a variety of conferences under the NCAA Division III. As an NCAA Division III member, Castleton does not provide athletic scholarships and strictly adheres to all of the NCAA's guidelines and philosophies.

Castleton University adheres to the NCAA mandate of maintaining a Student Athletic Advisory Committee on campus. This committee meets regularly and helps student-athletes have a voice in their sponsored programs. The SAAC helps programs contribute 20,000 hours of community service and raises an average of almost \$20,000 a year for various organizations and local charities. An overall student-athlete grade point average of 3.2 continues to remain above the university-wide average grade point of 2.8 across all academic programs.

Appraisal

Academic Support: The need for TRIO Student Support Services (SSS) appears to be growing at Castleton. A 2012 analysis of student records indicated that 66% of the student body was SSS eligible, while a similar analysis done in 2018 revealed that 74% of CU students met SSS eligibility criteria. As the need has grown, so has the ASC's contact with students, both by professional staff and supervised peer mentors and tutors.

Academic Year	Professional Contact Hours	Mentor/Tutor Contact Hours	SSS Eligibility
2017-2018	2002	1773	72%
2018-2019	2269	1574	67%
2019-2020	2583	2190	81%

Use of Aviso, in conjunction with the move to online learning in response to the COVID pandemic, may account for some of the increase in ASC services provided during the past year. The combination of these two factors will almost certainly lead to an additional increase in services provided in the 2020-21 academic year.

The ASC has also been increasingly able to meet the financial needs of its SSS eligible students by increasing the amount of supplemental aid available through its TRIO Achievement grants.

Academic Year	Students	Total	Award Range
2017-2018	24	\$45,000	\$765-\$2245
2018-2019	30	\$56,000	\$1320-\$2800

2019-2020	31	\$61,182	\$700-\$3909
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Financial and Registration Services (FRS): FRS has seen a decrease in staffing levels in the past few years. There had been five financial aid professionals and six student service area professionals, including a full-time staff assistant at the front desk. Currently, there are four financial aid professionals and four student service area professionals with no front desk support other than work-study positions. This arrangement is not ideal and the need to bring in more staff is currently being evaluated. This is an area that has been affected by the centralization efforts of the VSC so extra caution is being used so as to not hire additional staff that may not be based on campus in the future.

FRS is crucial to supporting student retention and persistence, as the consultants are often the first to hear about critical student issues and can make referrals as needed. More training and professional development is needed for staff in these areas. With the addition of Aviso and other systems to support student success, it will be essential for staff to be competent in their effective use. To date, it has been a challenge to find the time and resources to support these efforts primarily due to staffing levels and disruptions brought about by the pandemic.

New Student Programs: Historically, the first-year retention rates at Castleton indicate that new student programs are effective for retaining students (ranging from 69 to 75 percent from 2012-2018).

Year	2012	2013	2014	2015	2016	2017	2018	2019	2020
Retention Rate	71%	74%	69%	74%	75%	70%	69%	66%	62%

Castleton's report data from the National Survey of Student Engagement (NSSE), most recently from the spring of 2019 (2021 data has been received but not yet analyzed), indicates that first-year students rated student-faculty interaction as significantly higher than at comparison New England public institutions (see below). Additionally, on the specific items of "seeking help from academic advisors" and "difficulty interacting with faculty," Castleton first-year students rated their experiences as significantly higher and lower, respectively, than comparison institutions. The First Year Seminar program at Castleton has undergone some changes in the last several years, including a reduction in faculty compensation for teaching FYS courses in 2018, from six credits to four. While data from NSSE suggest that faculty have remained committed to fostering a positive advising relationship with their FYS students, the reduction in institutional support for FYS does mirror a downturn in first-year retention rates (see below). The FYS program has been restructured as part of General Education reform, with the new [First Year Experience](#) and Connections Seminar I: Creating Connections being implemented fall 2021.

	Castleton	NE Public
Student-Faculty Interaction	25.9	21.2
Interaction with Advisors	52% 6 or 7 out of 7	47% 6 or 7 / 7
Difficulty of Interaction with Advisor	2.3 / 7	2.7 / 7

Assessment of the FYS program independent of broader University assessment practices has been less systematic and consistent. The revisions to the FYS program, which will go into effect in the fall

of 2021, include more focus on systematic assessment. Additionally, starting in 2020 Castleton intends to more consistently administer the Cooperative Institutional Research Program (CIRP) Freshman survey that provides detailed information about incoming students' backgrounds, attitudes, and expectations. The University plans to administer this every other year and will include it in a more systematic assessment process for first-year programs. Results for 2020 have only recently been collected and the University is in the process of determining which administrative body—e.g., The General Education Committee or the Pathway to Graduation initiative—will direct its use.

Residence Life: Data collected over four years from the annual Residence Life Satisfaction Survey suggests that there is a 75% overall residence life satisfaction rating at Castleton. With approximately 60% of residents returning to the residence halls each year, the University is able to fill available rooms while maintaining a 60/40 mix of returners and new students in each building. The “CU Success” programming model allows the Community Advisors the opportunity to support students with different needs throughout the year. The programs offered by residence life are well attended and have helped to foster a greater sense of community and connection among all residential students.

Student Activities and Leadership: The SGA is committed to making it easy for students to form clubs and participate in leadership positions that reflect the needs and diversity of the student body. Further, the SGA has worked to encourage diversity among the student organizations by coordinating with the Castleton Diversity, Equity, and Inclusion Committee to support clubs such as the Social Issues Club and the first collegiate NAACP chapter in the state of Vermont; however, the goal for more diversity remains. The COVID-19 pandemic has demonstrated the importance of being more accessible virtually to facilitate the growth of the SGA and affiliated organizations. Current operations offer a more person-to-person approach, but transitioning to a digital format may offer more efficient paths to completion of SGA goals and initiatives. The SGA continues to consistently work with others to reflect and improve by seeking feedback from the student body and other departments to provide more efficient and effective services.

Career Services: This office hosts a variety of events throughout the year with a consistent focus on opportunities for students to develop career readiness. Career services was able to expand its reach to undergraduates (and even some alumni) in AY2017-18 by offering more mini job fairs, which typically brought in more than one hundred students each time. These outreach opportunities were severely affected by the pandemic, which essentially prevented Career Services from being able to offer anything but one-to-one counseling in the spring of 2020.

Year	2015-2016	2017-2018	2019-2020	2020-2021
Total appts, class visits, events, workshops	593	1,544	972	1,151

Capitalizing on the combined strength of the Vermont State Colleges System, Career Services offers the College Central Network, an online portal that features jobs and internships opportunities from employers across the region for students and over 20,000 alumni. Castleton ranked as the top public college in Vermont for job placement for two consecutive years by Zippia, and was recognized by College of Distinction as a Vermont College of Distinction, Nursing College of Distinction, Education College of Distinction, and Career Development College of Distinction.

Wellness Center: The increasing need for student mental health services has been well documented nationally, and is apparent at Castleton. During the 2010/2011 academic year, 132 Castleton students received counseling services in the Wellness Center. The numbers of students increased substantially in the next several years, then stabilized at 244 to 288 students for the past four years before declining due to the campus moving to remote learning during the pandemic.

Year	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021
Students Served	288	263	256	244	209

Surveys conducted with Castleton students measuring mental health have consistently mirrored national trends, with a high number of students reporting depression, anxiety, and suicidal ideation. In the fall 2018, a Healthy Minds Study, conducted in partnership with the Jed Foundation and the University of Michigan, found the following concerning results:

- 40% of students met the criteria for depression
- 38% met the criteria for an anxiety disorder, and
- 22% reported seriously considering suicide in the past 12 months.

The reliance upon graduate or post-graduate counseling interns to provide most of the counseling services necessarily limits the numbers of students who can be seen, as graduate students can work only three days per week.

Each semester, a confidential satisfaction survey is administered to students who have received counseling services. In the past three years, 72-75% of students surveyed have agreed or strongly agreed that “My participation in counseling has helped me to stay at Castleton.”

The Student Wellness Task Force, comprised of representatives from multiple departments and community partners, has identified a need for an increase in education and prevention programming for students regarding mental health and wellness issues such as sexual health and safety, substance abuse prevention, and stress management. The restoration of a Health Educator position in the Wellness Center could allow for these services to be provided.

Athletics: As the Castleton University coaching staff works diligently to recruit according to NCAA bylaws, doing so in the New England region has become increasingly competitive. Other colleges and universities are offering discounts, scholarships, and free housing in order to attract students to their campuses. It has been difficult to attract competitive student-athletes that are located in state, out of state, and internationally due to the costs associated with attending Castleton. Additionally, the negative impact from COVID-19 restrictions on recruiting both on and off campus will likely be felt over the next two years.

Coaches ask their student-athletes to fund raise year-round so that their teams can pay for expenses that cannot be covered in the yearly budget, such as travel to fulfill the number of required games, cost of equipment and travel gear, expenses for film breakdown, and other needed items. Upgrades to the facilities will need to be made in the next two years including the purchase of a new turf field for the stadium. Over the past several years the transportation for athletic teams has been downgraded to traveling in school vans and mini busses. For safety concerns, the athletic department should be

traveling in mass transit using company busses and hired drivers to transport student-athletes safely to and from competition sites.

Diversity Equity and Inclusion Efforts (DEI): Fostering a learning environment and community that is committed to diversity, equity, and inclusion has long been an integral component of the University's mission. In 2020, [President Spiro released a pledge](#) for renewed focus and commitment to addressing bias, privilege, and systemic racism at Castleton. The DEI Committee at Castleton, a group of students, staff, and faculty now meet twice monthly to translate the eight items on the pledge into action steps. The members of the DEI committee have divided into several subcommittees to work directly with other offices such as admissions, human resources, SGA, event planning, the Institutional Research office, and the Center for Teaching Excellence to critically examine current practices at Castleton and identify areas for growth and improvement to ensure Castleton is meeting its goals for diversity, equity, and inclusion.

Projection

- Castleton will continue to actively recruit a diverse student body including Vermont, out-of-state, international, early college, transfer, and non-traditional students in support of diversity, equity, and inclusion efforts across the University.
- Castleton will continue to address affordability for students with strong merit scholarship and need-based grant offers informed by reasonable financial aid modeling.
- Castleton will continue to seek efficiencies through digital systems across all student services to allow faculty and staff to focus efforts on building close relationships with students and to facilitate more systematic program assessment practices. This includes leveraging Slate in differentiated admissions communications, refining the use of Aviso, and enhancing campus-wide training in the use of Aviso to facilitate effective communication among faculty, staff, and students regarding academic and advising concerns.
- Castleton's Academic Support Center will continue to provide supplemental financial aid available to TRIO eligible students through its TRIO Achievement grants, as allowable by SSS program policy, to help students reduce loan debt.
- Castleton will continue to support and enhance systematic assessment practices to allow for data-based decision making across all student services.
- As the First Year Seminar program transitions to the new First Year Experience program as part of general education reform, Castleton will continue to prioritize the faculty advisor relationship for first-year students in support of first-year retention.
- Castleton will quantify and achieve the University's goal for a more diverse student body through the clubs and organizations associated with the Student Government Association and continued actions of the Diversity Equity and Inclusion Committee.

- Castleton will continue to support the existing Wellness programs to address student physical and mental health needs and will identify ways to increase education and prevention programming for students' mental health and wellness issues such as sexual health and safety, substance abuse prevention, and stress management.

Standard 5: Students
(Admissions, Fall Term)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

Credit Seeking Students Only - Including Continuing Education

	3 Years Prior (FY2018)	2 Years Prior (FY2019)	1 Year Prior (FY2020)	Current Year (FY2021)	Goal (specify year) (FY2022)
Freshmen - Undergraduate	?				
Completed Applications	?	2,297	2,191	2,172	1,933
Applications Accepted	?	1,873	1,871	1,817	1,708
Applicants Enrolled	?	370	435	433	374
% Accepted of Applied		81.5%	85.4%	83.7%	88.4%
% Enrolled of Accepted		19.8%	23.2%	23.8%	21.9%
Percent Change Year over Year					
Completed Applications		na	-4.6%	-0.9%	-11.0%
Applications Accepted		na	-0.1%	-2.9%	-6.0%
Applicants Enrolled		na	17.6%	-0.5%	-13.6%
Average of statistical indicator of aptitude of enrollees: (define below)	?				
Transfers - Undergraduate	?				
Completed Applications		279	366	521	354
Applications Accepted		215	273	402	262
Applications Enrolled		131	155	250	142
% Accepted of Applied		77.1%	74.6%	77.2%	74.0%
% Enrolled of Accepted		60.9%	56.8%	62.2%	54.2%
Master's Degree	?				
Completed Applications		45	40	115	81
Applications Accepted		36	31	103	59
Applications Enrolled		25	21	71	45
% Accepted of Applied		80.0%	77.5%	89.6%	72.8%
% Enrolled of Accepted		69.4%	67.7%	68.9%	76.3%
First Professional Degree	?				
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied		-	-	-	-
% Enrolled of Accepted		-	-	-	-
Doctoral Degree	?				
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied		-	-	-	-
% Enrolled of Accepted		-	-	-	-

Please enter any explanatory notes in the box below

FY 20 transfer # is higher due to local institutional closures. FY 20 Master's # is higher due to local institutional closures and introduction of MBA program.

Standard 5: Students
(Enrollment, Fall Term)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

?

Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior (FY 2018)	2 Years Prior (FY 2019)	1 Year Prior (FY 2020)	Current Year (FY 2021)	Goal (specify year) (FY 2022)
UNDERGRADUATE						
First Year	Full-Time Headcount	549	612	600	478	511
	Part-Time Headcount	2	4	5	28	29
	Total Headcount	551	616	605	506	540
	Total FTE	550.6	620.5	603.6	492.7	520.6
Second Year	Full-Time Headcount	420	375	395	322	323
	Part-Time Headcount	5	7	27	19	23
	Total Headcount	425	382	422	341	346
	Total FTE	423.0	380.8	412.9	331.8	334.5
Third Year	Full-Time Headcount	338	382	409	369	303
	Part-Time Headcount	21	16	7	50	40
	Total Headcount	359	398	416	419	343
	Total FTE	436.5	392.0	414.5	396.3	323.6
Fourth Year	Full-Time Headcount	346	350	392	346	321
	Part-Time Headcount	72	54	54	79	80
	Total Headcount	418	404	446	425	401
	Total FTE	385.2	384.4	419.0	390.1	366.3
Unclassified	Full-Time Headcount	4	3	2	1	0
	Part-Time Headcount	99	83	113	51	11
	Total Headcount	103	86	115	52	11
	Total FTE	31.5	26.8	36.5	16.3	3.6
Total Undergraduate Students						
	Full-Time Headcount	1,657	1,722	1,798	1516	1,458
	Part-Time Headcount	199	164	206	227	183
	Total Headcount	1,856	1,886	2,004	1743	1,641
	Total FTE	1,826.8	1,804.5	1,886.5	1627.2	1,548.6
	% Change FTE Undergraduate	-1.2%	-1.2%	4.5%	-13.75%	-17.9%
GRADUATE						
	Full-Time Headcount	45	34	46	25	31
	Part-Time Headcount	242	268	366	443	460
	Total Headcount	287	302	412	468	491
	Total FTE	135.2	123.1	189.3	196.9	210.0
	% Change FTE Graduate	n.a.	-8.9%	53.8%	4.0%	10.9%
GRAND TOTAL						
	Grand Total Headcount	2,143	2,188	2,416	2211	2,132
	Grand Total FTE	1,962.0	1,927.6	2,075.8	1824.1	1,758.6
	% Change Grand Total FTE	n.a.	-1.8%	7.7%	-12.1%	-15.3%

Please enter any explanatory notes in the box below

FY 22 Enrollment will be updated prior to campus visit. Fall 21 enrollment reported as of 8/15/21. Fall 21 graduate part-time headcount estimated based on Center for Schools expected enrollment.

Standard 5: Students (Financial Aid, Debt, Developmental Courses)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

? Where does the institution describe the students it seeks to serve?

--

? Three-year Cohort Default Rate
Three-year Loan repayment rate
(from College Scorecard)

(FY2018)	(FY2019)	(FY2020)
6.4	5	5.2

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year	Goal (specify year)
(FY2018)	(FY2019)	(FY2020)	(FY2021)	(FY2022)

? Student Financial Aid

Total Federal Aid	\$15,931,542	\$16,023,479	\$16,757,223	\$11,817,195	\$13,500,000
Grants	\$3,479,691	\$3,584,629	\$3,829,006	\$3,494,213	\$3,500,000
Loans	\$11,836,213	\$12,038,443	\$12,676,830	\$8,126,365	\$12,500,000
Work Study	\$408,196	\$400,407	\$251,387	\$196,617	\$375,000
Total State Aid	\$1,153,627	\$1,231,068	\$1,262,126	\$1,190,141	\$1,200,000
Total Institutional Aid	\$5,745,189	\$8,713,118	\$10,742,391	\$11,562,588	\$12,000,000
Grants	\$5,745,189	\$8,713,118	\$10,742,391	\$11,562,588	\$11,000,000
Loans	\$0	\$0	\$0	\$0	\$0
Total Private Aid	\$5,611,323	\$5,606,598	\$5,751,305	\$3,246,441	\$5,500,000
Grants		\$0	\$0	\$0	\$0
Loans	\$5,611,323	\$5,606,598	\$5,751,305	\$3,246,441	\$5,700,000

Student Debt

Percent of students graduating with debt (include all students who graduated in this calculation)

Undergraduates	66%	66%	77%	77%	77%
Graduates	20%	33%	33%	28%	30%
First professional students					

For students with debt:

Average amount of debt for students leaving the institution with a degree

Undergraduates	\$26,659	\$28,597	\$28,895	\$32,918	\$34,000
Graduates	\$20,717	\$26,994	\$31,410	\$23,472	\$26,000
First professional students					

Average amount of debt for students leaving the institution without a degree

Undergraduates					
Graduate Students					
First professional students					

Percent of First-year students in Developmental Courses (courses for which no credit toward a degree is granted)

English as a Second/Other Language					
English (reading, writing, communication skills)					
Math					
Other					

Please enter any explanatory notes in the box below

--

Standard 5: Students (Student Diversity)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

For each type of diversity important to your institution (e.g., gender, race/ethnicity, first generation status, Pell eligibility), provide information on student admissions and enrollment below. Use current year data.

Undergraduate Admissions information	Completed Applications	Applicants Accepted	Applicants Enrolled
Category of Students (e.g., male/female); add more rows as needed			
Female	1,190	1,096	314
Male	1,158	1,047	248
Age 25+	148	121	57
Under 25	2,201	2,019	505
Black	192	161	32
Asian	39	36	10
Two or More Races	42	36	8
Native American	13	8	2
Hispanic	171	150	28
Graduate Admissions information	Completed Applications	Applicants Accepted	Applicants Enrolled

Category of Students (e.g., male/female); add more rows as needed			
Female	47	38	26
Male	35	28	16
Age 25+	63	51	34
Under 25	19	15	8
Black	3	1	0
Asian	2	0	0
Two or More Races	2	1	1
Native American	0	0	0
Hispanic	1	1	1

Undergraduate Enrollment information	Full-time Students	Part-time Students	Total Headcount	FTE	Headcount Goal (specify year)
Category of Students (e.g., male/female); add more rows as needed					
Female			0		1,264
Male			0		808
Age 25+			0		522
Under 25			0		1,565
Black			0		82
Asian			0		29
Two or More Races					41
Native American					5
Hispanic			0		62
Graduate Enrollment information	Full-time Students	Part-time Students	Total Headcount	FTE	Headcount Goal (specify year)

<div>?</div> Category of Students (e.g., male/female); add more rows as needed					
Female			0		74
Male			0		55
Age 25+			0		82
Under 25			0		47
Black					7
Asian					0
Two or More Races					1
Native American			0		0
Hispanic			0		2

Please enter any explanatory notes in the box below

Chapter 6

Teaching, Learning, and Scholarship

Faculty and Academic Staff

Description

Castleton University employs a dedicated group of full- and part-time faculty who are accomplished scholars and dedicated teachers. They are represented by a full-time and a part-time union, and the conditions of their employment are governed by agreements negotiated between those bargaining units and the Vermont State Colleges System. Although the system has undergone change in the last several years, the faculty continue to have a strong voice at Castleton and have been a critical part of the institution's evolution.

During fall semester 2020, Castleton University employed 82 full-time faculty members. By rank, there were 34 professors (all with tenure), 29 associate professors (24 with tenure, one without), and 19 assistant professors (none with tenure). By gender, there were 40 males and 42 females. By degrees earned, there were 49 with doctorates, 31 with terminal degrees other than a doctorate, and one with a law degree, considered a terminal degree in that discipline.

During that same semester, Castleton employed 130 part-time faculty members. By gender, there were 63 males and 60 females. By degrees earned, there were 21 with doctorates, 86 with master's degrees, 2 with JDs, 1 with an LLB, and 20 others with lengthy experience in their fields but without an advanced degree.

There have been changes to the makeup of the full-time faculty in the last three years. A total of 12 full-time faculty and two academic staff departed Castleton in the last three years – five retired and nine departed for other reasons (including one layoff) – but, during this same three-year period, a total of 13 new full-time faculty and one member of the academic staff were hired. While the number of tenure line appointments was the same at the end of the period as at the beginning, some programs filled vacant faculty lines while others did not. Departed faculty in the Psychological Sciences, Natural Sciences, Criminal Justice, and Sociology programs, and one member of the academic staff, were not replaced during this period. On the other hand, Athletic Training and Nursing added faculty, and the new Killington Resort Management program added a full-time faculty member as well.

All full-time faculty members are represented by the Faculty Federation, a union affiliated with United Professions AFT Vermont. Consequently, those faculty members and the university administration abide by the *Agreement between Vermont State Colleges and Vermont State Colleges Faculty Federation* (henceforth called the “[full-time faculty Agreement](#)”), a document that governs crucial aspects of full-time faculty life: workload, faculty governance, salaries, evaluations, promotions, grievances, and academic freedom, among others. For example, the current full-time faculty *Agreement* stipulates that the “normal individual workload shall be 24 credit hours or its equivalent per year” (p. 55). Individual faculty members normally teach 12 credit hours in the fall semester and 12 credit hours in the spring. Some teach fewer credit hours because they undertake

alternative responsibilities, such as advising the student newspaper. Others teach more credit hours because they undertake overload assignments.

The full-time faculty *Agreement* also stipulates that full-time faculty members “be responsive to student needs for academic advice” and that they “participate in the operations” (p. 57) of the Faculty Assembly, the faculty governance structure that oversees academic programs, curricular matters, library policies, cultural affairs, and awards of student and faculty research grants. After the first year of employment, individual faculty members are required to serve on one of eleven standing committees of the Faculty Assembly.

Moreover, the full-time faculty *Agreement* explains the methodology by which the Vermont State Colleges System determines faculty compensation, including salary. Because the system comprises four colleges and because those colleges represent three different institutional categories (IIA, IIB, and III), the general principle has been and remains that “the average VSC faculty member’s total compensation ... shall be 100% of a blended national IIA, IIB, and III public institutions’ average total compensation” (p. 67). A full explanation of this methodology appears on pages 66-71 of the current full-time faculty *Agreement*. In AY2020-2021, the mean salary for professors was \$73,319.73; for associate professors, \$59,035.14; and for assistant professors, \$52,245.86.

Part-time faculty members who teach more than two semesters at the college are typically represented by the Part-Time Faculty Federation, also affiliated with United Professions AFT Vermont. Those faculty members and the college administration abide by the *Agreement between Vermont State Colleges Part-Time Faculty Federation, Local 3180, United Professions of Vermont—AFT and the Vermont State Colleges* (henceforth called the “[part-time faculty Agreement](#)”), a document that governs crucial aspects of part-time faculty life. For example, the current part-time faculty *Agreement* stipulates that individual part-time faculty members teach no more than 11 credit hours per semester. The part-time faculty *Agreement* also lists five pay grades for part-time faculty members, each grade defined by the total number of credit hours taught and the amount of compensation to be earned.

The procedures for recruiting full-time faculty members are described in the full-time faculty *Agreement* and [Vermont State Colleges and Castleton State College Equal Opportunity, Posting, and Hiring Guidelines](#). Candidates recommended for hire should demonstrate an aptitude for and commitment to excellence in teaching, further commitments to scholarship and service, a mastery of one or more fields in their disciplines, and an enthusiasm for and determination to advance the college mission. The *Hiring Guidelines* document states, “The VSC seeks to ensure that its hiring practices are based on the principles of “equal opportunity.” As such, the VSC seeks to hire and maintain a workforce based on equal opportunity while striving to promote diversity among its employees.

Searches for full-time faculty are conducted by a search committee, including faculty members from the hiring department, at least one student enrolled in a major offered by that department, one faculty member from another department, and the dean of the relevant college. The dean or the director of human resources reviews the hiring process with committee members, and the job advertisement is published internally and externally. The search committee reviews applications and then identifies finalists and interviews them. With the president’s approval, an offer is made to the leading candidate. A formal offer includes an individual notice of appointment containing specifics about dates, rank, salary and benefits, and specifics to campus, department, and discipline/program.

Many programs face challenges in recruiting qualified candidates to Castleton, in large part due to the comparatively low salaries the institution offers. Since salary schedules are determined by the [full-time faculty Agreement](#), this recruiting challenge is related to the relatively low pay received by all full-time faculty. Castleton seeks to mitigate this issue in several ways. The full-time faculty *Agreement* stipulates, for example, that the “Chancellor or his/her designee may offer inducements to a prospective faculty member such as a hiring bonus, payment of moving expenses, etc.” and that the Chancellor may also offer a permanent salary offset in order to recruit a prospective faculty member. The institution also offers a generous benefits package for full-time faculty and academic staff that includes health benefits, free tuition at the Vermont State Colleges System and at the University of Vermont, and a retirement contribution amounting to 10% of the first \$60,000 of salary and 8% of any additional salary beyond \$60,000.

The procedures for recruiting new part-time faculty members are less elaborate than those established for hiring full-time faculty. The part-time faculty *Agreement* stipulates that any member of that union with seniority in the respective discipline will be hired for any such open position for which they are qualified and have made themselves available. If a current, qualified union member is not available for assignment, an academic department that wishes to hire a part-time faculty member begins by asking the University to advertise the position. Candidates submit letters and resumes to the dean’s office, after which the department chair reviews those applications. A small number of candidates is invited to interview; then one candidate is hired.

Efforts to retain new faculty members begin soon after hiring and continue through the first year of employment and beyond. Prior to the start of the fall semester, new faculty members, full-time and part-time, attend the New Faculty Orientation session overseen by a dean (most recently, the dean of the College of Arts, Humanities, and Social Sciences). This orientation introduces new faculty to the campus culture, including the nature of teaching and learning at Castleton, the array of services available to faculty and students alike, essential policies and procedures, and the importance of the full-time faculty *Agreement* or part-time faculty *Agreement*. During their first year of employment, new full-time faculty members concentrate on their teaching assignments without the added obligations of committee work or undergraduate advising. Additionally, new faculty members meet once a month with the dean charged with overseeing the New Faculty Common Hour (most recently, the dean of the College of Arts, Humanities, and Social Sciences). This common hour provides new faculty a chance to ask questions and continue to learn more about teaching, evaluations, reappointment, advising, committees, and how the University operates.

According to the full-time faculty *Agreement*, the performance of full-time faculty is regularly reviewed “to aid in determining whether or not a faculty member shall be reappointed, promoted, tenured, or continue to be employed.” The full-time faculty *Agreement* lists and defines four “performance areas” that “shall be considered in the performance evaluation of a faculty member for reappointment, promotion, and tenure” (p. 30). Those four areas are (1) teaching and advising effectiveness, (2) scholarly and professional activity, (3) service to college and community, and (4) the special work of librarians (a performance area that does not apply to any current faculty members). Full-time faculty members are evaluated during their first year for reappointment to a second year, during their second year for reappointment to a third and fourth year, during their third year for review, and during their fourth year for reappointment to a fifth and sixth year. During his/her sixth

year of service, a faculty member is reviewed to help determine if he/she will be awarded tenure and promoted to associate professor. During the sixth year of service as an associate professor, a faculty member is reviewed to help determine if he/she will be promoted to professor. After being tenured and promoted to professor, faculty are reviewed every six years.

Full-time faculty members undergoing evaluation begin the process by updating their personnel files. They add evidence that helps to demonstrate that they meet or exceed the expectations of each performance area, particularly teaching effectiveness. The personnel file also includes student evaluations and a letter from an academic dean describing her/his classroom observation conducted during the review year. Others, including faculty colleagues, may add letters of thanks, testimonial letters, and other additional information, but the faculty member under review must receive notification of any material added to his or her file. In the fourth and sixth years of service, faculty must also contribute to their personnel file a written self-evaluation that assesses his/her progress toward tenure. The file closing date is determined by the faculty member's year of service and is identified in the full-time faculty *Agreement*. After the personnel files close, the Reappointment, Promotion, and Tenure Committee, a standing committee of the Faculty Assembly, evaluates each file and prepares a letter of evaluation, a draft of which the committee sends to that faculty member. He or she may petition the committee to amend the letter and may also write to or speak with the dean about that letter. Next, the dean evaluates the file, also placing a letter into the file and sending a copy to the faculty member. The faculty member may then write to or speak with the college president about the dean's letter. Finally, after evaluating the entire file, the president determines if that faculty member should be reappointed, promoted, or tenured. The decision of the president can be subject to grievance by the Faculty Federation if that body claims that the decision is unfair, discriminatory, or that it violates academic freedom.

One mitigating fact about tenure is described in the full-time faculty *Agreement*: "the percentage of faculty members who have tenure shall not exceed 70%" of the "actual number of full-time bargaining unit members at the College" or of "the authorized number of full-time bargaining unit positions at the College, plus one" (p. 53). In fall 2020, 68% of full-time faculty members had tenure.

The transition to all-remote teaching and learning during the COVID-19 pandemic in March 2020 made the traditional in-class observation impossible. As a result, administrators and faculty adapted to a new process for classroom observations. For synchronous courses, a dean arranged to observe a Zoom meeting equivalent to one class period; for asynchronous courses, a dean visited a specific module of the Canvas course site several times to get a feel for student-instructor interactions. Details of the pre- and post-observation process outlined in the [Agreement](#) remained the same.

The procedures for evaluating part-time faculty members are described in the part-time faculty *Agreement*. The purposes of such evaluation are to improve instruction and to determine if part-time faculty will be reappointed. The part-time faculty *Agreement* stipulates the following as the primary measures for the evaluation of part-time faculty members: (1) knowledge of subject matter, (2) effectiveness in facilitating learning, (3) ability to help students think critically and creatively, (4) ability to organize courses and to communicate course expectations, (5) effectiveness in defining learning objectives and assessing learning outcomes, and (6) effectiveness in designing educational experiences to address the needs of diverse learners.

All part-time faculty members undergo formal evaluation at least once every four years, although their department chairs or chair designees observe and write reports to the academic dean about their classes more often than that. A part-time faculty member under formal review assembles an evaluation portfolio that includes at least one reflective essay about teaching; four most recent course syllabi; and two recent examinations, tests, or assignments. Next, the Peer Review Committee, comprising one individual appointed by the administration and two faculty members appointed by the Faculty Federation chair, examines that portfolio, student evaluations, and class observation reports, then sends a summary report and recommendation to the faculty member, the faculty member's file, and the academic dean. The dean, in turn, reviews all the evidence, eventually sending a letter of evaluation and recommendation to the faculty member and the faculty member's file.

Professional development for faculty and academic support are overseen by the Center for Teaching and Learning and provided through a combination of resources available through Canvas courses and workshops. These resources were critical during the transition to Canvas in Fall 2019 and, particularly, during the switch to remote learning after the onset of the pandemic in March 2020. When new tools are adopted, "champions" or leads are identified and asked to facilitate adoption of relevant best practices within their departments.

Appraisal

Castleton University has been in a period of transition during the past decade. Long-term demographic shifts, with which all New England colleges and universities have to grapple, changes in student demand for programs and, most recently, the COVID-19 pandemic have prompted some adjustments in programs and in staffing. Throughout this period, however, the fundamental strengths of the Castleton faculty and academic staff have remained constant. The faculty and academic staff are dedicated and innovative educators and engaged and creative scholars who have adapted to the challenges of the past decade so that Castleton is well prepared for the decade ahead.

During this period of transition, the number of full-time faculty at Castleton has decreased from 94 in FY2011 to 82 in FY2021. The decline, however, occurred almost entirely between FY2018, when there were 92 full-time faculty, and FY2019, when there were 81, and was mostly driven by early retirements, which were incentivized in response to budgetary concerns that year. The number of academic staff has decreased during this same period, from two in FY2017 to one in FY2021. The decline in academic staff – both of which were librarians – created challenges for faculty who rely on academic librarians to provide critical support to students and faculty with research. Their low number is an important gap at Castleton.

The decline in the overall number of full-time faculty has created a burden on the remaining full-time faculty, particularly in that it has necessitated the teaching of more overloads. From Fall 2017 to Fall 2020, more than half of the full-time faculty taught at least one class as an overload each semester. This suggests that 82 full-time faculty are not sufficient to support the number of programs Castleton offers at present, at least as those programs are currently structured.

In addition to full-time faculty overloads, Castleton has employed more part-time faculty (overall and relative to full-time faculty numbers) in recent years to help fill the gap left by departing full-time faculty. The number of part-time faculty employed at the institution increased from 128 in FY2018

to 150 in FY2020. Although the number of part-time faculty employed in FY2021 was only 106, this figure is likely artificially low because of the pandemic's effect on course offerings.

Recruitment and retention of qualified candidates are important obstacles to increasing the number of full-time faculty at Castleton. While replacement and new faculty lines have been approved in a number of programs in the last several years, there have been challenges in recruiting candidates to fill these lines. In a questionnaire distributed to department chairpersons in October 2020, respondents cited the low salaries offered to potential hires as a challenge facing departments in filling approved faculty lines. One respondent also noted that there seemed to be “a lack of candidates that would want to apply to a rural campus.”

Such challenges, which have not changed significantly since 2011, are difficult for the institution to overcome. Salary schedules continue to be determined by the [VSC Full-Time Faculty Agreement](#), meaning that the difficulty in recruiting new faculty experienced by some programs is related to the relatively low pay received by all full-time faculty. The institution seeks to mitigate this problem by offering a generous benefits package to full-time faculty and academic staff but such measures are unlikely to significantly improve recruitment and retention.

Castleton has attempted to address the challenges in recruiting candidates to a small, rural campus. The [Castleton Diversity, Equity, and Inclusivity Committee](#), which is composed of faculty, staff, and students, seeks to create “a culture of diversity and acceptance” on campus and to help realize the [President's Pledge to Combat Bias, Privilege, and Systemic Racism](#), one principle of which is to “revise our hiring practices to increase diversity among faculty and staff.” While these actions are a good first step to recruit and retain a diverse pool of qualified candidates, more can and should be done to achieve this goal.

The procedures for evaluating full-time faculty for reappointment, promotion, and tenure are sufficiently rigorous to ensure quality, yet manageable to navigate. The expectations for evaluation are clearly outlined in the [full-time faculty Agreement](#), and the Reappointment, Promotion, and Tenure (RPT) Committee (all members of which are drawn from the full-time faculty) holds a series of informational meetings each fall for faculty under review. Members of the administration routinely participate in these meetings as well, to answer questions and provide guidance. Classroom observations conducted by deans, evaluations completed by students, and self-reflections authored by faculty under review ensure faculty are effective in the classroom. The RPT Committee's review of scholarly and professional accomplishments ensures that faculty are current in the various aspects of their discipline or profession. Similarly, the RPT Committee reviews service to the University and the community to confirm that faculty members meet their commitments in these areas as well. This process, including a robust element of peer review and concluding with a final review by administration, assures that faculty are effective in carrying out their assigned responsibilities. Overall, Castleton does a good job of supporting faculty through this process.

Substantial reliance on part-time faculty makes the first and second semester evaluation of those faculty critical. Oversight of part-time faculty is largely performed by department chairs, who offer feedback following a classroom observation to help the new part-time faculty member understand the character and learning needs of the University's students and adapt their curriculum and teaching style accordingly. The regularly scheduled review of part-time faculty members who continue to teach

at the University ensures that they remain current in their discipline and effective in the classroom. This ongoing evaluation is especially important as part-time faculty may not be able to regularly participate in departmental meetings and activities.

Castleton provides adequate resources to support scholarly and other professional development for full-time faculty and academic staff. According to Article 30 of *the [full-time faculty Agreement](#)*, full-time faculty can propose a grant for the purposes of “research, including study and related travel,” “improvement of teaching,” or “creative work in literature or the arts.” Between AY2017 and AY2021, Castleton full-time faculty were awarded \$250,739 in faculty development grants, an average of just over \$50,000 per year. This is comparable to Castleton’s competitor Keene State University, [which currently offers \\$55,000 per year in faculty development grants](#). Between AY2017 and AY2021, Castleton full-time faculty were also awarded 22 semesters of sabbatical leave. This institutional support bolsters the efforts of Castleton full-time faculty, who have been widely recognized by receiving one of the two annual “Faculty Fellowships” offered by the Vermont State Colleges System in seven of the last nine years.

Teaching and Learning

Description

As a small university, Castleton prioritizes teaching and is committed to providing students with a personal education that the University’s mission statement refers to as its “inclusive, student-centered environment.” In addition, all job descriptions for full-time teaching positions emphasize the centrality of teaching with the following statement: “Castleton University places special value on the teaching role of its faculty, and candidates for this position will be evaluated on the basis of their ability to be outstanding teachers.” Finally, both full- and part-time faculty are evaluated on the effectiveness of their teaching at regular intervals.

Online delivery of courses has increased since the last accreditation visit, with online or hybrid courses making up 5% of course offerings in the 2019-2020 academic year. With the onset of the pandemic in March 2020, all classes were shifted to remote delivery. During the crisis, faculty mentors acted as part of a “Canvas Crew” to assist their colleagues in the transition. In the summer of 2020, a series of nine, four and eight-week Canvas Design courses were offered by Castleton’s new Center for Teaching and Learning that taught the basics of online course design and pedagogy. Ninety-nine full- and part-time faculty participated in these courses.

In normal times, most classes are delivered in various in-person formats, including traditional lecture sections, seminars, clinical experiences, and laboratories. The exception includes fully online degree programs, such as the MBA. Course descriptions may be found in the online [Undergraduate](#) and [Graduate](#) Catalogs, and these descriptions are reviewed frequently by departments and updated as needed via the Faculty Assembly curriculum change process. Course descriptions provide a framework on which individual faculty can build their syllabi, thus ensuring consistency between multiple sections of the same course while also allowing faculty some freedom in course design and presentation. Faculty are also encouraged to offer new or experimental courses with approval of their home department and the dean of the college. Such a course may be offered up to two times before it must be proposed for inclusion in the catalog.

Castleton has a long history as a liberal arts institution, with students completing a broad set of general education requirements in addition to courses in a major. In this way, students are exposed not only to content in many areas of knowledge, but also to a variety of viewpoints and teaching styles. Course requirements within each major ensure that students are taught by different faculty. Although some programs (e.g., Criminal Justice and Political Science) are staffed by few full-time faculty, these programs employ the expertise of part-time faculty to provide a diversity of viewpoints and teaching methods.

Academic advising is largely the responsibility of full-time faculty. Each first-year student is assigned to a course designated as a First-Year Seminar (Connection Seminar I, beginning fall 2021) and the course instructor (who is usually a full-time—but can be a part-time—instructor) becomes the student's initial advisor. Sometime in the student's second semester, he or she will be given a permanent advisor among the full-time faculty in the major department. Collaboration between the faculty advisor and staff on campus (e.g. coaches and Academic Support Center staff) and communication between faculty and student has been facilitated by the adoption of the Aviso online advising system in Fall 2020. Students must meet with their advisor, generally a full-time faculty member in their academic program, before they register for classes for the following semester. During these meetings, which may take place in person or via video chat, the student and advisor discuss the student's academic and career goals. They also review the student's academic plan to ascertain whether the student is fulfilling their general education and major requirements. Thus, the advisor can help the student make informed decisions about course selection. Castleton faculty are also available to their advisees and other students throughout the academic year to discuss course material and assignments as well as academic and career goals. After the shift to remote instruction in Spring 2020, faculty held virtual office hours, inviting students to meet with them over Zoom. The advising system at Castleton is currently under review and revision, as is described in other chapters of this report.

Faculty often advise students on research projects outside of the classroom. Each semester, the Teaching and Scholarship Committee, a standing committee of the Faculty Assembly, solicits proposals for [student-faculty research grants](#), which help students “acquire a meaningful research experience by playing a key role in the development and implementation” of a project in collaboration with a faculty member. Castleton also participates in the [McNair Scholars Program](#), which enables a limited number of American postsecondary institutions to help a variety of students traditionally under-represented in graduate study to pursue it. [Castleton's McNair Scholars Program](#) is funded to serve 25 first-generation and low-income and/or underrepresented Castleton students per year. Students can join McNair either as a sophomore or junior and participate in at least one research or scholarly activity under faculty mentorship as part of the program.

As specified in the full-time faculty *Agreement*, faculty development grants are available to full-time faculty for the purposes of “research, including study and related travel, improvement of teaching, and creative work in literature or the arts.” To apply for a grant, full-time faculty must submit a proposal to a committee designated by the Faculty Assembly for the purpose. The provost and the president then give proposals final approval. Faculty receiving development grants must continue to serve at the University for at least one year after being awarded the grant.

Tenured faculty can apply for one or two-semester sabbaticals after every five years or more of full-time service. Faculty awarded sabbaticals are paid 75% salary plus full fringe benefits for a two-semester sabbatical and 85% salary plus full fringe benefits for a one-semester sabbatical. Applications for sabbatical are made to a committee designated by the Faculty Assembly for the purpose. The provost and the president then give proposals final approval. Proposals must demonstrate how the sabbatical will “contribute to the professional development of the faculty member in relation to his/her work at the College.” Tenured faculty may also apply for a one-semester sabbatical for the purpose of enhancing teaching or curriculum development. On return from sabbatical, faculty must give a report or presentation to faculty and administration that demonstrates how the sabbatical met the goals of the proposal. Faculty awarded sabbaticals must continue to serve at the University for at least one year following the sabbatical.

According to the full-time faculty *Agreement*, full-time faculty are allotted \$1050 in professional expenses funds each year. These funds can be used for a variety of professional activities such as travel to conferences and workshops, membership dues, and academic journal subscriptions. The dispersal of these funds is subject to review and approval by the provost or his/her designee and must be relevant to the faculty member’s professional development and/or teaching.

The part-time faculty *Agreement* stipulates that part-time faculty members can apply for professional development funds each semester. These funds can be used for professionally relevant travel, tuition, or other projects related to professional development. In recent years, grants have ranged from \$500 to \$6,000. To access these funds, part-time faculty must apply in writing to the provost, who approves funding.

According to the bylaws of the Faculty Assembly, the Teaching and Scholarship Committee “shall provide ... a forum for discussion of current issues and emerging programs involving scholarly activity and teaching.” Throughout the academic year, this committee organizes workshops and colloquia led by faculty and guest speakers. These have included “Share Your Work Dinners,” which provide opportunities for faculty to share their own work and to engage in discussion with peers and workshops, such as sessions on using Flipgrid and OneNote audio journals in spring 2019. This committee also disburses funds that supplement the faculty professional expenses funds—especially when faculty members make conference presentations—and that support joint faculty and student conference attendance and research.

Appraisal

Curricular innovation and improvement continue to be a strength at Castleton. In recent years in particular, Castleton faculty and administrative staff have taken advantage of grant funding--a 2016 [Davis Grant of \\$275,000](#) over three years--to increase professional development opportunities for faculty, particularly in the area of adopting an integrative learning approach to the curriculum. Almost all of these funds went directly to faculty to enhance integrative learning on campus; faculty engaged in a variety of professional development opportunities to learn best practices for incorporating an integrative education into the classroom.

The professional development opportunities made possible by the Davis Grant have generated curricular and programmatic innovation, including the revision of the General Education program.

The program, which will begin in the fall 2021 semester, includes the collection of artifacts from students in each of their three Connections seminars and the compilation of these artifacts in a portfolio. These portfolios will be used to assess the effectiveness of the program and the courses within it and to make necessary improvements.

In addition, the quality of teaching and learning have been enhanced by the development of a teaching and learning center, the establishment of an Institutional Research office, upgrades to technology in classrooms, and an increase in faculty professional development resources. Much of this work was supported by a [Title III Grant](#) of \$2.25 million over five years, which Castleton received in the fall of 2019. [The Center for Teaching and Learning](#) was established in 2019 and has since provided a variety of critical resources and support for faculty from instruction on integrative learning concepts to assistance with remote teaching and learning during the pandemic.

The Center offered immediate support to all faculty and, throughout the summer of 2020, made a variety of professional development opportunities available to faculty. During this period, 60 faculty members participated in a self-directed course on online learning and Canvas course design. The Center also conducted successful weekly virtual workshops that examined pedagogy and best practices. A total of 99 faculty took part in these summer workshops, with each participating faculty member attending an average of 4.4 workshops. This included 55 full-time faculty, 68% of full-time faculty at that time—a commendable proportion of full-time faculty, particularly considering that participation was voluntary and that the workshops took place during the summer, when faculty often have other commitments. Data from the “Teaching and Learning Summer 2020 Feedback Survey” suggests that this work helped them successfully manage the transition to remote learning. The majority of respondents reported that their teaching “changed a lot or changed a little” as a result of the training they received. Additionally, 95% of respondents reported “gaining a great deal or some confidence” in their “skills for teaching in the fall semester” as a result of their participation in the various summer activities. Title III funds were also used to hire three instructional design consultants to further facilitate the transition to remote instruction for the fall semester.

Other initiatives also provide opportunities for faculty to experiment and innovate in their teaching and research. The [Distinguished Scholars Certificate](#) program was introduced in 2018 in order to increase the academic rigor of the Honors Program and to expand student access to the program and its Honors courses. As a result, an increased number of HON 2020 Special Topics in Honors courses can now be offered each semester. The topics chosen by interested faculty are often aligned with their research interests and offer greater opportunity for experimentation in teaching. These courses represent an expanded opportunity for faculty to teach especially curious and academically motivated students.

Castleton has also been able to offer consistent institutional support for faculty and student research collaboration, despite budgetary constraints felt throughout campus generally. From Fall 2018 to Spring 2020, 26 proposals for [student-faculty research grants](#) were accepted and \$21,469 was awarded for projects in a variety of programs around the University. The dollar amount of each grant dropped off significantly in Spring 2020, however. Whereas between Fall 2018 and Fall 2019, 19 projects received an average of \$1011 each, in Spring 2020, 8 grants received an average of \$408. It is too soon to identify a trend from this data, particularly given the challenges facing faculty in 2020 and the likelihood that some pared down the scale of planned projects. [The Castleton McNair Scholars](#)

[program](#) is another example of Castleton's success in supporting faculty and student research collaboration. The program, which involves a student completing a research project under the guidance of a faculty mentor, has been a resounding success; 100% of CU McNair students who started a qualifying research/scholarly activity completed it and 64% of McNair students who graduated in 2020 enrolled in a graduate program by the fall semester after the year in which they graduated. Although comparative data from other institutions is not readily available, Castleton's consistent institutional support for faculty and student research collaboration represents an admirable prioritization of resources for student learning.

Castleton values high-quality academic advising but, like institutions around the country, has at times struggled to find ways to connect academic advisors, academic support staff, administrators, and coaches to share information to respond to student needs. Therefore, over the past decade, the University has instituted effective campus-wide systems to improve the quality and quantity of the communication regarding students. From 2014 to 2020, Castleton faculty and staff reported concerns about students' academic, financial, and personal well-being through a form on the University's portal page. [The Castleton Support Team](#), a small coterie of administrators, regularly reviewed these reports and identified an administrator, staff member, or faculty member (often the student's academic advisor) to contact the student, offer support, and connect the student with off and on-campus resources. In addition, if a student had missed multiple class meetings or assignments, faculty frequently reached out to the student via campus email to express concern, offer support, and connect the student to University resources, such as the [Wellness Center](#) or [Academic Support Center](#). This system was particularly helpful in triaging acute student problems but was less useful in responding to more common concerns such as multiple absences or missing assignments, which are often indicators of challenges for student persistence.

Castleton has begun to address these challenges with persistence by adopting and implementing Aviso, a new advising software suite purchased by the Vermont State College System in January 2020. Because Aviso is integrated with other platforms that generate student data, it provides academic advisors with statistics about a student's likelihood to persist in individual courses and from semester to semester. Such information has already helped advisors more efficiently target students in need and thus address concerns expressed by some faculty about unequal distribution of advising loads, which can cause inconsistencies in advising quality. As the Aviso system collects more historical data and as the Aviso pilot group solicits feedback from faculty about their experiences, advising will continue to improve to help provide a consistent and positive experience to students.

Projection

- Under the proposed merger of Castleton with Northern Vermont University and Vermont Technical College, the combined institutional portfolio of degree programs will be evaluated and revised to ensure investments in and optimization of degree programs to ensure a high quality of instruction and support in all degree programs.
- Castleton will develop a holistic, developmental, and agile advising model as it continues to implement advising systems that support student persistence and success.

- Castleton will continue to support faculty, including through the Center for Teaching and Learning, to innovate in their teaching, particularly with integrative learning.
- Castleton will take advantage of the online expertise developed during the pandemic and the implementation of several online programs to expand student access to Castleton's courses and degrees state-wide.
- Castleton will utilize the enhancements to instructional technology, including the construction of telepresence classrooms, to offer synchronous enrollment in Castleton classes to students enrolled at NVU and VTC as well as enabling Castleton students to enroll in classes taught at those campuses.

Standard 6: Teaching, Learning, and Scholarship
(Faculty by Category and Rank; Academic Staff by Category, Fall Term)

3 Years Prior	2 Years Prior	1 Year Prior	Current Year
(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)

Number of Faculty by category

Full-time	91	81	81	82
Part-time	103	99	122	105
Adjunct				
Clinical	11	11	10	9
Research				
Visiting				
Other; specify below:				
Total	205	191	213	196

Percentage of Courses taught by full-time faculty

56.06%	54.91%	56.25%	60.42%
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Number of Faculty by rank, if applicable

Professor	32	24	30	34
Associate	17	21	25	29
Assistant	40	35	25	19
Instructor	11	11	10	9
Other; specify below:				
Part Time Professors (do not have ranks)	103	99	122	105
Total	203	190	212	196

Number of Academic Staff by category

Librarians	2	1	1	0
Advisors				
Instructional Designers				
Other; specify below:				
Total	2	1	1	0

Please enter any explanatory notes in the box below

Clinical Nurses are listed as Instructors.

**Standard 6: Teaching, Learning, and Scholarship
(Highest Degrees, Fall Term)**



3 Years Prior	2 Years Prior	1 Year Prior	Current Year
(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)

Highest Degree Earned: Doctorate

Faculty	Professor	26	19	24	28
	Associate	14	16	17	17
	Assistant	20	15	8	7
	Instructor				
	No rank	16	19	22	17
	Other				
	Total	76	69	71	69

Academic Staff	Librarians				
	Advisors				
	Inst. Designers				
	Other; specify*				

Highest Degree Earned: Master's

Faculty	Professor	6	5	6	6
	Associate	3	5	8	12
	Assistant	20	19	17	12
	Instructor				
	No rank	62	61	85	76
	Other				
	Total	91	90	116	106

Academic Staff	Librarians	2	2	1	0
	Advisors				
	Inst. Designers				
	Other; specify*				

Highest Degree Earned: Bachelor's

Faculty	Professor				
	Associate				
	Assistant				
	Instructor				
	No rank	23	17	14	11
	Other				
	Total	23	17	14	11

Academic Staff	Librarians				
	Advisors				
	Inst. Designers				
	Other; specify*				

Highest Degree Earned: Professional License

Faculty	Professor				
	Associate				
	Assistant				
	Instructor				
	No rank				
	Other				
	Total	0	0	0	0

Academic Staff	Librarians				
	Advisors				
	Inst. Designers				
Other; specify*					

* Please insert additional rows as needed

Please enter any explanatory notes in the box below

All listed as "No Rank" are Part Time professors. 2 part time people in each year have no degree, but have extensive experience in their field.

Standard 6: Teaching, Learning, and Scholarship
(Appointments, Tenure, Departures, Retirements, Teaching Load Full Academic Year)

3 Years Prior		2 Years Prior		1 Year Prior		Current Year	
(FY 2018)		(FY 2019)		(FY 2020)		(FY 2021)	
FT	PT	FT	PT	FT	PT	FT	PT

Number of Faculty Appointed

Professor							
Associate				1		1	
Assistant	2		2	6		3	
Instructor							
No rank		17		10		21	
Other							
Total	2	17	2	10	7	21	4

Number of Faculty in Tenured Positions

Professor	32		31		33		34
Associate	17		24		27		27
Assistant							
Instructor							
No rank							
Other							
Total	49	0	55	0	60	0	61

Number of Faculty Departing

Professor							
Associate	1		1				
Assistant	2		2		3		
Instructor							
No rank							
Other							
Total	3	0	3	0	0	3	0

Number of Faculty Retiring

Professor	8		2				3
Associate							
Assistant							
Instructor							
No rank							
Other							
Total	8	0	2	0	0	0	3

Fall Teaching Load, in credit hours

Professor	Maximum	20.00	11.4	23.00	7.00	23.00	10.00	24.00	11.00
	Median	14.00	7.70	15.00	3.00	12.20	6.00	12.00	9.00
Associate	Maximum	20.00		21.00	10.00	21.00		18.00	11.00
	Median	15.00		15.00	9.00	15.00		13.00	8.00
Assistant	Maximum	18.00	9.50	25.00	10.00	26.00	10.00	22.00	9.00
	Median	14.00	5.50	14.00	8.00	15.00	10.00	13.00	8.00
Instructor	Maximum	15.00	11.00		11.00	13.00	10.00		9.00
	Median	15.00	3.50		3.00	13.00	3.00		2.50
No rank	Maximum	12.00	10.00	21.00	11.00		10.00		11.00
	Median	12.00	4.50	21.00	4.00		4.00		3.00
Other	Maximum								
	Median								


Explanation of teaching load if not measured in credit hours

Note: We do not keep track of departing PT faculty.

Standard 6: Teaching, Learning, and Scholarship
(Number of Faculty by Department or Comparable Unit, Fall Term)

3 Years Prior		2 Years Prior		1 Year Prior		Current Year	
(FY 2018)		(FY 2019)		(FY 2020)		(FY 2021)	
FT	PT	FT	PT	FT	PT	FT	PT

Number of Faculty by Department (or comparable academic unit); insert additional rows as needed

 Art	3	2	3	2	3	3	3	2
Business Administration	7	16	7	14	8	22	9	16
Education	7	0	6	0	4	2	5	3
English	8	18	7	19	7	20	7	19
Health, Human Movement and Sport	8	22	8	16	8	23	8	17
History, Geography, Economics and Political Science	8	3	7	1	7	3	7	5
Library	2	0	2	0	2	0	0	0
Mathematics	4	7	4	6	4	5	4	3
Media and Communication	4	6	3	4	4	2	4	2
Music	2	6	2	8	2	9	2	8
Natural Science	12	9	9	11	9	13	10	10
Nursing	7	11	7	14	9	11	8	10
Psychological Sciences	4	8	4	7	4	10	4	8
Sociology, Social Work and Criminal Justice	11	3	8	7	7	7	8	9
Theater Arts	3	3	3	1	2	2	2	2
Women's and Gender Studies	1	0	1	0	1	0	1	0
Total	91	114	81	110	81	132	82	114

Please enter any explanatory notes in the box below

The part time people listed for Nursing consist of part time instructors, and also Clinical Instructors, who work under a different contract than normal part time instructors.

Standard 6: Teaching, Learning, and Scholarship (Faculty and Academic Staff Diversity)

For each type of diversity important to your institution (e.g., gender, race/ethnicity, other), provide information on faculty and academic staff below. Use current year data.

Faculty	Full-time	Part-time	Total Headcount	Headcount Goal (specify year)
Category of Faculty (e.g., male/female, ethnicity categories); add more rows as needed				
Female	42	68	110	
Male	40	62	102	
Black or African American	2		2	
Asian	2	1	3	
Hispanic or Latino	1	1	2	
Arabian	1		1	
			0	
Academic Staff	Full-time	Part-time	Total Headcount	Headcount Goal (specify year)
Category of Academic Staff (e.g., male/female, ethnicity categories); add more rows as needed				
Black or African American	1		1	
Hispanic or Latino	1		1	
			0	
			0	
			0	
			0	
			0	

Please enter any explanatory notes in the box below

We do not have 100% participation for people reporting their ethnicity. In FY2021 Castleton charged its Diversity, Equity, and Inclusion Committee with recommending categories of employees to track. In FY2021 the VSCS also adopted a software upgrade to its human resources program (UltiPro) that will better facilitate the collection, storage, and retrieval of such data.

Chapter 7

Institutional Resources

Human Resources

Description

Over the past ten years, Castleton University's staffing levels first rose and then decreased. The increase was driven by the 2009 – 2012 increase in enrolled FTE from 1,900 to 2,000 and the 2012 strategic plan to continuing building enrollment to 2,400. Faculty and staff were hired to catch up to enrollment increases, to support expected future growth, and to support various new initiatives. When continued growth failed to materialize, positions vacated by retirement or resignation were increasingly left unfilled and work load was reallocated. The budget deficits of FY2016 and FY2017 led into a financially challenging FY2018. When a new president arrived midway through FY2018 it was clear that substantial changes need to be implemented immediately to avoid a third straight deficit. In a series of difficult decisions, a number of staff were let go and faculty eligible for retirement were encouraged to do so. Three non-bargaining positions were eliminated: Dean of Administration, Dean of Entrepreneurial Programs, and Director of Corporate Gifts. Twelve staff members retired, nine of whom took advantage of an early retirement incentive. Additionally, eight staff members were laid off and six staff members were reduced to 80% time. Since these drastic reductions, only six of these positions have been reinstated.

	FY12	FY13	FY14	FY15	FY16	FY17	FY18	FY19	FY20	FY21
Full-Time Faculty	93	96	99	102	96	94	90	78	81	82
Staff	185	193	198	195	191	192	178	165	166	167
Student FTE	2013	2031	2024	1958	1982	2036	1877	1929	2048	1755
Budget Surplus/(Deficit) in thousands	\$776	(2,464)	637	49	(476)	(2,022)	564	369	2,701	1,098

Budget surplus/(deficit) based on unrestricted funds only.

The greatest reductions have occurred in hourly staff employees and full-time faculty. Castleton experienced a 19% decrease in the number of hourly employees (13 employees), primarily staff assistants. This reduction has not substantially diminished the services offered, as this reduction was possible due to advances in technology that streamlined the job functions. Also, some services, such as human resources, have been increasingly centralized in the chancellor's office. Simultaneously, Castleton has seen a 12% decrease in the number of full-time faculty (11 faculty members), due in part to incentivized retirements offered in 2018.

Collective Bargaining Unit	SUP	PAT	RPS	NBU	Full-Time Faculty	Total Full Time	Part-Time Faculty	Total Employee Head Count
2011	23	65	70	23	93	274	141	415
2020	19	70	57	20	82	248	115	363
% Change	-17%	+8%	-19%	-13%	-12%	-10%	-18%	-13%

SUP: Supervisory Employees
PAT: Professional, Administrative, and Technical Employees
RPS: Staff
NBU: Non-unionized, administrative employees

While sufficient qualified staff and faculty are employed to serve Castleton's mission, the impact of staffing reductions, particularly the voluntary nature of faculty reductions, impacts academic programs variously. For example, Criminal Justice, historically one of Castleton's largest degree programs, was reduced to a single full-time faculty member until FY2021, when a second full-time professor was hired. The uneven nature of faculty reductions has created staffing challenges that are being systematically analyzed and addressed over the past two years through the provost's assessment of faculty workload and staffing needs (see Workroom Standard 7 "[Provost's Analysis](#)").

Human Resources policies are listed on the [Human Resources](#) page of the Castleton University website as well as on the [VSC website](#). Resources include all union contracts ([Full Time Faculty](#), [Part Time Faculty](#), [Staff](#), [VSCUP-PAT](#), [VSCUP-SUP](#)), which are re-negotiated every four years, as well as the [Non-Bargaining Unit Employee Handbook](#). These resources address leave time, performance evaluations, discipline and discharge, grievance procedures, job postings, layoff and recall, salary information, benefits, leaves of absences, tuition waivers, and more. Additional employee resources available on the Human Resources web page include VSC Policies 311, 311-A (Title IX) and 316. These policies include a Resource and Reporting Guide for incidents of harassment, discrimination, child abuse, stalking, domestic/dating violence, sexual assault, or other sexual misconduct.

Appraisal

Castleton employees are deeply committed to the University's mission. There is a longevity demonstrated by the years of service of the staff and faculty as well as an overall minimal employee turn-over. Benefits for the employees remain robust and the University has received a limited number of grievances. Despite the benefits, hiring to fill some of the recently vacated positions has been challenging. Starting salary, determined by the collective bargaining agreement salary corridors, has become an impediment to landing qualified candidates. This has been particularly problematic in hiring Nursing faculty as well as faculty in the Exercise Science program. This has also been an impediment to hiring coaches and tradesmen, such as electricians, plumbers, and HVAC experts.

The University's financial constraints may lead to understaffing in the future, also likely contributing to a lack of diversity among employees. Castleton has an aging employee base with key retirements likely in the next few years. There is also a need for more internal training on policies like 311 and 311-A (sexual harassment) as well as supervisor training on conflict resolution.

The proposed merger of Castleton with Northern Vermont University and Vermont Technical College, along with the proposed increased centralization of many services, requires the development of a new organizational chart, role redefinitions, and staff reallocations.

Financial Resources

Description

Since 2012, the University has faced financial challenges. Overall operating expenditures have increased from \$42,266,789 to \$51,057,000 (pre-COVID numbers; a 21% increase) while revenue has gone from \$43,042,319 to \$51,000,000 (a 19% increase). At the same time, enrollment did not continue to grow as anticipated and scholarship aid increased by approximately 1,200%, forcing budgetary retrenchment. To address challenges in enrollment, state appropriations, and operating expenditures, the University has continued to develop more detailed and rigorous budget models, to work with the VSC Chancellor's Office to realign the state appropriation allocation formula, and to search for new revenue generators.

All amounts in thousands; reporting unrestricted funds only.

Fiscal Year	FY12	FY13	FY14	FY15	FY16	FY17	FY18	FY19	FY20	FY21^
Actual Revenue	43,042	45,355	47,867	46,236	48,521	49,274	48,989	51,425	53,162	48,881
Actual Expense	42,267	47,819	47,230	46,187	48,997	51,295	48,425	51,057	50,461	47,784
Surplus/(deficit)	776	(2,464)	637	49	(476)	(2,022)	564	369	2,701	1,098
Scholarships	840	1,540	2,024	2,471	3,591	4,438	5,493	8,430	10,686	10,546
Salary & Benefits	25,266	27,084	28,063	28,410	28,582	30,169	29,384	26,963	27,929	26,626

^FY21 pre-audited estimated revenues & expenses include CRF offsets, creating non-parallel historical comparison.

^^ Revenue includes pre-scholarship charges; expense includes scholarships.

While Castleton has not seen significant growth in traditional, residential, undergraduate enrollment and room and board, by implementing new programs and increasing scholarship aid, it has kept student FTE relatively constant from FY2012 through FY2020. The pandemic produced an enrollment decline in FY2021.

Fall	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Student FTE^	2,031	2,024	1,958	1,982	2,036	1,877	1,929	2,048	1,824	1,700

^ 2012-2020 based on Oct. 15 IPEDS reports; 2021 8/23/21 enrollment report.

Castleton has developed and expanded other revenue sources. In 2018, Castleton developed twenty-one new programs and certificate courses, including opening two new offsite locations: a Resort and Hospitality Management program located in Killington, Vermont and an expanded nursing program in Bennington, Vermont. The Education department has added majors in Early Childhood Education and Special Education. All of these new initiatives are contributing to enrollment stabilization (see Workroom Standard 7 [Financial Resources Evidence](#) Table 7A). New online graduate degrees targeted to high demand and high growth professional areas, such as the Master in School Psychology, launched in 2016; the Master in Business Administration, launched in 2019; and the Masters in Nursing, set to launch in 2021, have expanded program levels and delivery models, bringing new audiences to Castleton.

The Castleton Center for Schools, whose purpose is to support regional K-12 schools with tailored, in-service professional development programming, has experienced continued revenue growth (see table below) which has helped to offset some of the stagnation from the traditional undergraduate enrollment revenue.

Fiscal Year	Revenue (in thousands)	Expenses	Net Revenue
FY16	478	139	339
FY17	498	303	195
FY18	823	306	517
FY19	930	333	598
FY20	1,102	477	625

In addition to launching new programs and developing new revenue streams, Castleton has also strategically reviewed and closed low-enrolled programs. Guided by the [Policy 109](#) process for annual enrollment and cost effectiveness review of academic programs, Castleton closed nine degree programs in fall 2020. While the review was stimulated by Board policy and direction, the resulting actions were discussed by all relevant stakeholders, including an affirmative vote by Faculty Assembly and final action by the President. Other degree programs have been merged or closed in the past ten years through faculty initiative. For example, in Spring 2021, at the request of the Department of Human Health, Movement, and Sport, and after review by the Curriculum Committee, the Faculty Assembly voted in support of closing the B.S. in Kinesiology, effectively merging that program with an existing degree in Health Science.

The following table reflects the primary sources of the University's revenue, measured at Fiscal Year 2011 and Fiscal Year 2020:

	FY 2011	FY 2020
Tuition and Fees	62%	65%
State Appropriations	12%	12%
Sales and Services	2%	2%
Room and Board	22%	19%
Gifts	1%	1%
Other Revenues	1%	1%

The University's operating expenditure budget has increased since 2011, challenging the University to minimize the shortfalls. As a result, the University has had to utilize board reserves (see Workroom Standard 7 [Financial Resources Evidence](#) Table 7D) to fund the shortfalls when they occurred.

In accordance with collective bargaining agreements, salary increases have continued as negotiated, creating an upward ratchet effect on expense even as increases in scholarship aid depress net revenue. Health insurance costs have fluctuated with marketplace premium rates.

The most significant expenditure increase has been in institutional scholarships. Due to the rising cost of tuition, coupled with the increased competition among universities to attract students from a declining pool of applicants, the University has significantly increased its scholarship awards.

Tuition, room, board and fees for Vermonters in Fiscal Year 2011 totaled \$17,911 as compared to \$24,670 per student in Fiscal Year 2020 (a 38% increase). For non-Vermonters, the amounts were \$29,455 in Fiscal Year 2011 and \$41,638 in Fiscal Year 2020 (a 41% increase). For Fiscal Year 2011, scholarship expenditures were \$693,472 while for Fiscal Year 2020 scholarship expenditures were \$10,685,685 and in FY21 are projected to be \$11,600,000. The University hired EAB, a consulting firm, in 2019 to work with the Admissions Office to optimize scholarship strategies.

The following table compares FY 2011 and FY 2019 University expenditures for education, research, and service programs dedicated to advancing educational quality and services for students:

	FY 2011	FY 2019
Salaries	40%	33%
Benefits	20%	20%
Operations	22%	18%
Scholarships	2%	17%
Debt and System Support	12%	9%
Utilities	5%	4%

The chief budget and finance officer initiates the annual budget process, beginning with an in-depth review of each program budget that also compares historical spending with current trends. This process relies upon collaboration with the dean of enrollment to project future revenue enrollment estimates and then results in an initial department budget that is then shared with the president, the provost, and University cabinet members. Multiple budget meetings are then held to discuss changes to reflect ongoing needs specific to each department. The VSC Finance Committee simultaneously reviews the campus budget development process. The VSC chief financial officer uses a four-year budget model tool to provide the board of trustees with a vision of the institutions' financial plans and a multiyear analysis of the financial forecast.

Once the University's budget has been finalized, it is submitted to the VSC chancellor's office. The budget is reviewed by the VSC board of trustees each spring for the following fiscal year. Once the board has approved the budget, it is monitored on a continual basis by the University's chief budget and finance office. On a quarterly basis, financials are prepared by the chief budget and finance officer and reviewed with the president before they are submitted to the board of trustees for review. This monitoring process has allowed for the early detection of potential budget concerns and the implementation of necessary corrective action plans.

Since 2011, the VSC has centralized numerous operations, including the general ledger, payroll, accounts payable, and grant accounting functions. As a result, Castleton's business office now consists solely of the chief budget and finance office and a part-time assistant who provides eight hours of support weekly.

The University's fundraising efforts continue to be a vital component of overall financial health and are managed by the development office, which has effectively strengthened relationships with alumni and donors by presenting an accurate picture to potential donors and working with donors to create

endowments, which must be approved by the president and board of trustees. The office also oversees Castleton's annual fund (see Workroom Standard 7 [Financial Resources Evidence](#) Table 7H) and campus fund-raising activities. This oversight ensures that all donors are treated consistently and that any funds raised are used as donors intended. As a result of these efforts, annual fund revenues have grown almost 400% from FY2012 to FY2020, from \$34,000 to \$167,000.

The University recently appointed a director of grants whose primary role is to establish new sources of grant revenue. In the short time the University has had this position it is seeing the positive results of these efforts in the increase of awarded grants (see Workroom Standard 7 [Financial Resources Evidence](#) Table 7G).

A system-level governing board dictates how oversight functions on the campuses, including fiscal policies, which are available to the public on the [VSC portal](#). Some administrative duties have already been consolidated to reduce costs and increase efficiency, including IT services such as administrative software like the Datatel Colleague system, learning management software, advising software, the digital portal, and content management software. Endowment resources of all four VSC institutions are pooled and invested at the system level.

Castleton is audited annually by the external auditing firm O'Connor & Drew P.C. as a component of the VSC overall audit, and all findings and management comments are reported through this audit and ultimately reviewed by the board of trustees' audit committee. Any corrective action plans are tracked and reported to the committee. Audit reports have continued to be "unqualified" and the findings are relatively minor. There have been additional internal audits that have been conducted by members of the VSC system on an ongoing basis. The VSC periodically audits business processes identified for review by the audit committee based on risk and exposure. The results of these reviews, which typically include a campus visit, are reported to the board's audit committee. As appropriate, in response to VSC and campus audits, the University adopts corrective measures to improve processes.

Every year, Castleton reviews the effectiveness of its expanding institutional aid programs (merit scholarships and need-based grants) which are monitored by the financial aid director and overseen by the dean of enrollment and the chief financial officer. At the beginning of each awarding cycle, the financial aid team conducts a thorough review of all processes and procedures. Minor changes are presented to the dean of enrollment and chief financial officer for comment, while major changes are presented to the president and the cabinet for full consideration. Financial aid policies are reviewed annually—and as changes to aid programs dictate—to ensure compliance with all federal and state regulations as well as VSC and University policies.

Financial challenges have caused Castleton to depend heavily on its reserve funds to offset year-end deficits. The required Board Reserve fund has been replenished as of the fiscal year ending June 2020. The University will redirect funds that become available from the restructuring of existing debt. In Fiscal Year 2019 the VSC Chief Financial Officer restructured the existing debt resulting in a savings to Castleton University in the amount of \$2 million over four years. In addition to this restructuring, the following also occurred since the last accreditation visit (according to the former Chief Financial Officer of the Vermont State College System, Steve Wisloski): "In Fiscal Year 2017, the System refinanced its privately placed, variable rate bank loans issued in Fiscal Year 2006, Fiscal Year 2008,

and Fiscal Year 2009; terminated the related interest rate swaps; and amortized a balloon maturity associated with the Fiscal Year 2008 loan. The VSC structured the repayments to provide debt service relief from Fiscal Year 2008 through Fiscal Year 2021, followed by level debt service from Fiscal Year 2022 through Fiscal Year 2038. The Fiscal Year 2017 debt was issued through the Vermont Municipal Bond Bank, is publicly traded and has an interest fixed rate, and is backed by the VSC's appropriation from the State of Vermont. In addition to the bonds issued in Fiscal Year 2013 and Fiscal Year 2017, the VSC's debt also includes publicly traded fixed rate obligation bonds issued in Fiscal Year 2011."

Castleton's state appropriation has remained level funded for many years and, coupled with declining enrollments, has added to its financial challenges. In an effort to address inequities in the appropriation allocation the VSC made changes to this funding formula allocation. The new formula consists of three components: 25% is based on historic status quo allocation, 50% is based on the average of the previous three Fiscal Years' net student revenue, and 25% is based on the average of the previous three academic years' numbers of awarded degrees and credentials. This new allocation method is being phased in over a four-year period, beginning with Fiscal Year 2020. At full implementation, Castleton is projected to receive an additional \$1.5 million in state appropriation monies on an annual basis.

While adjusting the allocation formula is important, it is insufficient. To address the historical underfunding of the VSC by the State, in 2021 the legislature's Select Committee on the Future of Public Higher Education in Vermont recommended increasing the base allocation by \$17 million. The State budget for FY2022 contains \$5 million in additional base allocation, \$12 million less than requested, but still a welcome increase. The FY2022 State budget also includes approximately \$60 million in dedicated, one-time funds to support the VSC in merging Castleton with Northern Vermont University and Vermont Technical College so as to achieve cost savings of \$25 million per year (phased in over five years) through further centralization of services, streamlined administration, consolidation of duplicative academic programs, and a reduction in both deferred maintenance and overall facilities footprint in the VSC.

Appraisal

Castleton University's overall fiscal health, like many other institutions of higher education, has faced challenges over the past ten years. As a result of this, significant personnel action was taken by the University in 2018. Financial constraint on faculty hiring has resulted in a number of positions that were voluntarily vacated being left unfilled. This has produced some gaps in staffing for high enrollment academic programs. As low-enrolled programs are closed and taught out, and program requirements are revised, there are opportunities for reallocation of positions. Staffing efficiencies are also being sought through increased collaboration with—and sharing of courses across—VSC institutions. Centralization of back-office operations through the Chancellor's office and standardization of software, policies, and practices across the VSC promise additional efficiencies.

As noted above, institutional scholarships have increased from 2% to 17% of expenses over the past ten years in an effective effort to stabilize enrollment. With the goal of stabilizing the institutional investment in scholarships/discount rates, the University has recently contracted with EAB to perform an assessment of past practices and make recommendations going forward that will result in an

increase of net tuition revenue, especially as it relates to the traditional residential undergraduate student.

A further stressor on overall enrollment has been an 8 percentage-point decline in first to second year retention from FY2017 to FY2020. The pandemic exaggerated the trend, but it was initiated in part by decreases in staffing, professional development, and advising support focused on a student's first year. The University has taken steps to reverse this trend with a Title III grant (\$2.25 million) awarded in 2019 devoted to improving academic quality, advising, and experiential education linked to future employment. The grant-funded Pathway to Graduation project is providing the necessary resources to address Castleton's weaknesses in the area of staffing, professional development, and support services.

Year	FY 2017	FY 2018	FY 2019	FY 2020
Retention Rate	70%	69%	66%	62%

COVID-19 has resulted in a significant change to the financial position of the University as of June 30, 2020. The FY20 unrestricted fund was budgeted to end with a break-even balance. In reality, FY20 actually ended with a net unrestricted fund balance of \$2.7M and a total all funds balance of \$769K. This positive ending balance can be attributed to receiving federal CARES Act stimulus funds and a savings in operating expenditures that resulted from the shutdown of the campus and the aggressive budget freeze that took place in the spring of 2020.

While COVID-19 ramifications significantly impacted the financials of the University in FY21, the losses from reductions in room and board, tuition and fees, and conference revenues has been offset by HEERF and CRF funds, yielding an unrestricted funds surplus of just over \$1 million. However, ongoing impacts from this past year will suppress revenue well into the future. The small incoming class in fall 2020, a historically low retention rate, and an increase in leaves of absence will impact revenues for the next four years as smaller classes make their way toward graduation. One-time savings in reduced travel and supplies, particular in the area of athletics, along with general conservation of resources, when combined with the infusion of federal dollars, have produced a projected FY21 year-end projection for a \$1.1 million surplus.

Information, Physical, and Technological Resources

Description

Castleton University offers undergraduate programming at three distinct sites in Vermont: a main campus in Castleton, The Vermont Mill in Bennington, and both the Castleton Lodge and High Ridge Conference Center in Killington.

Nursing classes are offered in classrooms and simulation labs that occupy approximately 10,000 square feet of the Vermont Mill in Bennington. These facilities are secured with a renewable lease through FY2022. Castleton's nursing program partners with Southwestern Vermont Health Care (SVHC) and currently partners with and will merge with the nursing program at Vermont Technical College (VTC) in summer 2023. The three entities are partnering in securing consolidated, program-specific facilities in downtown Bennington. The goal is to realize economies of scale, better coordination between the Community College of Vermont, VTC, and CU, and to increase program

visibility and strength as VTC and SVHC join Castleton in an expanded facility with integrated programming and services.

The Castleton Lodge and High Ridge Conference Center house the Resort & Hospitality Management program at the Killington Resort. The Castleton Lodge is a full-service residence, including conference space, computer lab, dining room, food service, laundry facilities, recreation room, and fireplace lounge. The Lodge serves as a living and learning laboratory that enables the student residents to practice what they learn through managing budgets, planning meals, and providing guest services under the guidance of professional staff. High Ridge provides a nearby suite of classrooms and faculty workspaces.

A 40,000 square foot arena and a set of residential apartments are located in Rutland, 11 miles east of the University's main campus which is comprised of 32 buildings situated on 157 acres.

One main campus building houses the Calvin Coolidge Library ([mission, vision, and strategic plan](#)) which supports the overall mission of Castleton University by fostering information literacy and providing access to physical collections and electronic resources (see Workroom Standard 7 [Information Resources Evidence](#) p.1) that support research, teaching and learning, intellectual curiosity and enrichment, and civic engagement. The Office of Information Technology, which encompasses Information Technology (IT) Services and Educational Technology (EdTech) Services, is adjacent to the library and provides a broad range of administrative and academic technical support services.

The Library's selection of new materials is informed by a collection development policy. For any resources not readily available, faculty, students, and staff have easy access to holdings in the other state college locations via interlibrary loan and in-person borrowing. In addition to Koha (an open-source, shared database that combines the holdings of the four Vermont State College libraries) and Ebsco Discovery Services (EDS), the library maintains [lists of journals A-Z](#) and [research databases](#). Castleton's library also offers a 24/7 chat reference service via a [reference cooperative](#).

Additional library resources include forty-six computers (36 PCs and 10 Macs), two scanners, two printers, two photocopiers, and two microform readers/printers. Software offerings are extensive and include various web browsers, Microsoft Office Suite, and other software necessary for departments' needs. Outside of the library, there are approximately 200 additional computers across campus available for student use, many in on-campus department labs. All of these spaces have access to printers, and many also have scanners available.

There are eight whiteboards with markers throughout the library and ten individual study carrels that can be reserved. Both of the group study rooms have video monitors, and there is a projector in one of the three conference rooms. Beginning spring 2021 semester, the library media viewing room was upgraded to a telepresence classroom featuring cameras that face both the instructor and the class, microphones to capture student discussions, and interactive panels in lieu of white boards.

All classrooms are equipped with at least a computer, projector or large LCD TV, and speakers. Many are also outfitted with enhanced sound systems, control systems, Blu-ray players, and document cameras. As a result of VSC COVID-relief funding, forty classrooms were updated with instructor

facing cameras and microphones as well as equipment providing the ability to stream to Zoom and digitally record lectures. Three of these classrooms had interactive panels installed. EdTech provides portable projection equipment, including two new transportable interactive panels to locations where permanent equipment is not installed. EdTech also has a variety of A/V equipment available to lend out to students and employees; these include digital cameras (video and still), digital audio recorders, graphing calculators, et al.

The library, IT, and EdTech are all staffed by a mixture of full-time and student employees. Currently, the library is overseen by one full-time reference librarian, three full-time staff, one part-time staff, and about a dozen student workers. There is one part-time reference librarian currently on leave. The Chief Technology Officer (CTO) reports to the president. Four full-time employees report to the CTO – a local area network administrator, two systems administrators, and an instructional technology coordinator. IT and EdTech also employ 8-12 part-time student employees.

The IT/EdTech help desk provides technology support to all Castleton students and employees. It is staffed in-person Monday through Friday from 8:00AM to 4:30PM. The online help desk is available 24/7 for users to submit requests. IT and EdTech provide end-user support for all academic and administrative technologies, as well as local administrator support for some VSC enterprise systems, including email, the learning management system, the videoconferencing system, network services, and the identity management system. They are also responsible for providing and maintaining technology for student and classroom use.

The responsibility for management and operation of the campus's buildings and grounds rests primarily with the director of facilities, who reports to the dean of students. The Facilities Department—consisting of fifteen custodians, six maintenance technicians, four grounds and general laborers, three administrators, and one director—maintains over 640,000 square feet of buildings on the main campus, including seven academic buildings with fifty classrooms, eleven laboratories, and sixteen computer labs.

In 2012, construction was completed on a 14,000 square foot Facilities barn, a \$10.5 million 162-bed residence hall that includes office space for Conference and Events Office staff, and a 1,350 square foot multipurpose meeting room. Commencement, Orientation, and Soundings events, as well as weddings, trade shows, etc. are held in the 12,000 square foot open-air pavilion with an attachable 14,000 square foot tent, which was also completed in 2012. A complete list of construction and renovation projects is available in the document “Physical Resources Evidence” in Workroom for Standard 7.

The Physical Education and Athletics Departments share the 62,500 square foot Spartan Athletics Complex, which houses a competition basketball court, an additional gym/recreational area, a wrestling training room that was constructed in 2016, a pool and two athletic training rooms, a 7,500 square foot fitness center, three classrooms, a strength and conditioning room, ten locker rooms, and faculty and administrative offices. Dave Wolk Stadium, with its multi-use synthetic turf field, seats 1,600 in bleachers and includes office space for use by the press and athletics administrators. The athletics facilities also include baseball and softball fields, three multipurpose fields, six lighted tennis courts, and the off-campus Spartan Arena.

Castleton has eleven on-campus residence halls with a combined occupancy of 1,050 students. Additionally, Castleton leases apartment-style space in Rutland and houses students at the Killington Campus for a total resident capacity of approximately 1,130. The University's other facilities include Huden dining hall, Public Safety building, Coffee Cottage, Old Chapel, Campus Center, President's House, and two additional residences. The University provides parking for 1,424 vehicles.

Campus buildings and grounds are designed, constructed, and maintained in compliance with the Americans with Disabilities Act and fire and building codes. All new construction has passed through the state Act 250 process to ensure proper compliance with, among other considerations, state environmental regulations. Environmental comfort in the majority of campus buildings is monitored by a Johnson Controls Metasys building energy management system. Consistent with National Fire Protection Association life safety codes, building emergency exit signs, emergency lighting, and fire extinguishers are tested monthly by qualified staff. Required annual sprinkler, fire alarm, and elevator inspections are performed by licensed contractors. Compliance regarding all life safety features is an administrative priority, and any deficiencies found are repaired promptly. All buildings with fire alarm systems are monitored around the clock for system trouble or alarm initiation by a UL-listed monitoring company. In the event of a fire alarm, the local fire department and Public Safety are notified.

Wired and wireless Internet access is available to students and employees in every building in Castleton's three locations. Students are given base-level access to the VSC portal upon admission to the college. Once they are accepted and registered for classes, that access is expanded to other online services including University Office 365 email, learning management system, LAN/WiFi network, and library databases.

Castleton shares its enterprise systems and wide-area network with the other Vermont State Colleges institutions. Some of these systems are located in a central data center maintained by Chancellor's Office IT staff, and others are cloud-based. These systems include Ellucian Colleague, Canvas, Zoom, and UltiPro. Wide-area network contracts are done jointly with the other VSC institutions and managed by the VSC Wide-Area Network (WAN) Administrator.

The CTO has significant involvement in strategic planning and decision making for IT and Ed/Tech at the local and system levels. The CTO is also a member of the President's leadership team. IT and EdTech planning and budgeting is evaluated annually and based on the priorities of the University. The CTO works closely with Castleton's Chief Financial Officer on budgeting issues. The Instructional Technology Coordinator is a member of the VSC Teaching and Learning Technologies (TLT) group, whose membership comes from all VSC institutions and which serves as an advisory group for academic technology.

Appraisal

Staffing: IT and EdTech continue to operate with very lean staffing levels. IT Services staffing levels have remained the same since the last self-study with four full-time staff members and 3-5 part-time student workers. Educational Technology (EdTech) staffing was reduced to one full-time coordinator with assistance from 5-7 part-time student workers.

The Calvin Coolidge Library operates with a very small library staff that is not always equipped to perform duties needed to stay current and best serve faculty and students (e.g., lack of skills regarding electronic resources management and instructional design). The last two directors have not stayed long due, in part, to challenges with the various labor unions and reporting structures within the University. However, there is collaboration among library staff within the VSC and Vermont Consortium of Academic Libraries (VCAL) and good working relationships within the University community, including various academic departments (e.g., History, Social Work, Media & Communication, Psychology, Nursing). The VSC created a library task force in 2020 to consider how best to integrate library services under a single system-wide director and to consolidate digital library resources at the Hartness Library located at Vermont Technical College. Hartness already services CCV, and the proposal is to extend those services to all member institutions of the VSC.

Coincident with expansion of campus buildings and their square-footage, the Facilities Department has had to reduce staffing from the 2010 level of 44 facilities personnel to a current level of 31. In addition, custodial and maintenance work has increased with the growing number of conferences and campus events taking place all seven days and evenings of the week. According to Association of Physical Plant Administrators staffing level standards, the University is still understaffed, particularly in the custodial area. The need for additional full-time staff is illustrated by the 100+ unfilled work orders in the Web-based work order request system, managed by the Facilities Department administrative assistant.

Network and Online Services: Castleton has a reliable and stable network infrastructure. Network hardware for academic buildings has been maintained and upgraded within a reasonable replacement cycle. COVID Relief Funds (CRF) have allowed the University to update network hardware in residence halls and upgrade and expand campus WiFi to allow for more robust access to cloud services.

Facilities and Classrooms: The University continues to make investments in its physical infrastructure, with the goal of enhancing facilities to increase competitiveness and educational effectiveness.

Since the last self-study, the number of technology-outfitted classrooms has increased to 70. The number of student use and lab computers has remained steady at 250. Equipment is being replaced in a 5-6 year cycle, instead of 3-4 year cycle.

In the Calvin Coolidge Library there is limited seating during very busy times. Many buildings are experiencing heavier usage, which in turn leads to continued deferred maintenance issues. The Facilities Department monitors needs all year long, and these are addressed in the processes of developing the annual operating budget as well as the capital projects budget.

Since the last review, the University has completed the construction of several buildings in addition to making major renovations in others (see Workroom Standard 7 [Physical Resources Evidence](#)). Improvements and projects recently have been aimed at upgrading ADA compliance, energy savings, and security. The frequency of maintenance for building ventilation has increased, improving filter ratings and disinfection of air handlers. Residence hall renovations (sprinkler systems in Adams and Haskell) along with heating system improvements have led to increased energy savings. All

renovations meet current code requirements. Monthly and annual safety inspections are done by a combination of qualified in-house and contractor staff.

Other Assets: Looking for ways to be more efficient and productive usually requires an investment in equipment or training. Castleton recently purchased cleaning ionizers that are saving significant time disinfecting common areas in buildings.

In the library there is limited assessment of the provided services and collections. There is also a very small budget with which to purchase library materials resulting in the lack of some resources (e.g., *Social Work Abstracts* and *Social Services Abstracts* for the field of social work). As Data First forms demonstrate, funding for the library has decreased since 2008 (see Workroom Standard 7 [Information Resources Evidence](#) p. 2).

There is not a plan for equipment replacement like fleet vehicles or equipment for maintenance. The funds currently come out of a lean operating budget.

Projection

- The proposed merger and centralization of services and functions will enable Castleton to realize staffing efficiencies and economies of scale as well as reallocation of existing personnel so as to more strategically support centers of instructional excellence and key staffing areas.
- Castleton will continue to work to diversify its staff and faculty.
- The VSC transformation plan will produce efficiencies and perhaps enrollment and revenue growth, to enable the newly created entity to offer more competitive salaries so as to better attract and retain high quality employees
- The merger of Castleton with Northern Vermont University and Vermont Technical College will produce administrative efficiencies, reduced instructional costs, and support more effective recruitment of students.
- Continued centralization of back-office services and IT will combine with new initiatives, such as creating a single digital library services function through the Hartness Library at Vermont Technical College, to drive down operating expenses while increasing service quality and student, staff, and faculty access to resources and support.
- Increased State allocation, both base funding and transitional monies, will support new initiatives, including those driving financial efficiencies, while enabling increases in quality and effectiveness across all operational areas.
- The elimination of competition among VSC institutions through merger, in combination with a data-driven recruitment and financial aid model supported by EAB, will increase net revenue per recruited student.

- The grant-funded Pathway to Graduation project will complement increases in service quality described above to increase first to second year retention at least 5% and the four-year graduation rate at least 7% over the next five years.
- Castleton will increase the number of full-time staff in EdTech in order to meet the demands for more online offerings and the increases in classroom technology use while still meeting the day-to-day needs of the department.
- Castleton will increase the number of staff members in IT Services in order to adequately support users at all three University locations.
- Castleton will re-evaluate library staffing needs as the VSC looks to merge digital library functions and collections of Castleton University, Northern Vermont University, and Vermont Technical College and oversee component libraries under a single director.
- Castleton will evaluate facilities staffing levels based on the desired level of cleaning and maintenance and seek to reach Association of Physical Plant Administrators staffing level standards, particularly in the custodial area.
- Castleton will review annual funding needs for information and technological resources, in light of increased costs for software, hardware, and online services.
- Castleton will review annual funding needs for physical resources in order to address deferred maintenance.
- The Calvin Coolidge Library will continue to strengthen its collections and services by collaborating with its VSC partners to create shared resources and working to provide access to its collections and services at the Bennington and Killington campuses.
- Castleton will look to update the technology and equipment in the classrooms that were not renovated with COVID relief funding.
- Castleton will undertake a new Master Plan Study to determine opportunities and shortcomings of our current campus.
- Castleton will identify a funding source and seek the significant funding needed to address aging infrastructure, including boilers, piping, and electrical systems.

Standard 7: Institutional Resources
(Headcount of Employees by Occupational Category)

For each of the occupational categories below, enter the data reported on the IPEDS Human Resources Survey (Parts B and D1) for each of the years listed.

If your institution does not submit IPEDS, visit this link for information about how to complete this form: https://surveys.nces.ed.gov/IPEDS/Downloads/Forms/package_1_43.pdf

	3 Years Prior			2 Years Prior			1 Year Prior			Current Year		
	FY 2018			FY 2019			FY 2020			(FY 2021)		
	FT	PT	Total	FT	PT	Total	FT	PT	Total	FT	PT	Total
Instructional Staff	90		90	75		75	79		79	79		79
Research Staff			0			0			0	0		0
Public Service Staff			0			0			0	0		0
Librarians	2		2	1		1	1		1	3		3
Library Technicians	6		6	6		6	7		7	0		0
Archivists, Curators, Museum staff			0			0			0	0		0
Student and Academic Affairs	16		16	13		13	13		13	14		14
Management Occupations	41		41	36		36	37		37	36		36
Business and Financial Operations	3		3	3		3	3		3	4		4
Computer, Engineering and Science	6		6	5		5	5		5	4		4
Community, Social Service, Legal, Arts, Design, Entertainment, Sports, and Media	21		21	19		19	20		20	16		16
Healthcare Practitioners and Technical	5		5	4		4	4		4	0		0
Service Occupations	33		33	31		31	32		32	37		37
Sales and Related Occupations			0			0			0	0		0
Office and Administrative Support	33		33	28		28	24		24	37		37
Natural Resources, Construction, Maintenance	13		13	12		12	11		11	0		0
Production, Transportation, Material Moving			0			0			0	0		0
Total	269	0	269	233	0	233	236	0	236	230	0	230

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources
(Statement of Financial Position/Statement of Net Assets)

Fiscal Year ends - month & day: (6 /30)		2 Years Prior (FY 2018)	1 Year Prior (FY 2019)	Most Recent Year 2020	Percent Change 2 yrs-1 yr prior	
	ASSETS (in 000s)					
?	Cash and Short Term Investments	\$174	\$483	\$283	177.6%	-41.4%
?	Cash held by State Treasurer	\$0	\$0	\$0	-	-
?	Deposits held by State Treasurer	\$0	\$0	\$0	-	-
?	Accounts Receivable, Net	\$655	\$255	\$1,134	-61.1%	344.7%
?	Contributions Receivable, Net	\$0	\$0	\$0	-	-
?	Inventory and Prepaid Expenses	\$0	\$0	\$0	-	-
?	Long-Term Investments	\$0	\$0	\$0	-	-
?	Loans to Students	\$1,470	\$1,204	\$947	-18.1%	-21.3%
?	Funds held under bond agreement	\$0	\$0	\$0	-	-
?	Property, plants, and equipment, net	\$59,127	\$57,129	\$55,617	-3.4%	-2.6%
?	Other Assets				-	-
	Total Assets	\$61,426	\$59,071	\$57,981	-3.8%	-1.8%
	LIABILITIES (in 000s)					
?	Accounts payable and accrued liabilities	\$0	(\$1)	\$0	-	-100.0%
?	Deferred revenue & refundable advances	\$2,924	\$2,968	\$2,816	1.5%	-5.1%
?	Due to state	\$0	\$0	\$0	-	-
?	Due to affiliates	(\$8,727)	(\$9,381)	(\$11,126)	7.5%	18.6%
?	Annuity and life income obligations	\$0	\$0	\$0	-	-
?	Amounts held on behalf of others	\$17	\$45	\$57	164.7%	26.7%
?	Long-term investments	\$0	\$0	\$0	-	-
?	Refundable government advances	\$0	\$0	\$0	-	-
?	Other long-term liabilities	\$123	\$68	\$94	-44.7%	38.2%
	Total Liabilities	(\$5,663)	(\$6,301)	(\$8,159)	11.3%	29.5%
	NET ASSETS (in 000s)					
	Unrestricted net assets					
	Institutional	\$60,430	\$58,791	\$60,087	-2.7%	2.2%
?	Foundation				-	-
	Total	\$60,430	\$58,791	\$60,087	-2.7%	2.2%
	Temporarily restricted net assets					
	Institutional	\$1,386	\$1,235	\$601	-10.9%	-51.3%
?	Foundation				-	-
	Total	\$1,386	\$1,235	\$601	-10.9%	-51.3%
	Permanently restricted net assets					
	Institutional	\$5,273	\$5,346	\$5,452	1.4%	2.0%
?	Foundation				-	-
	Total	\$5,273	\$5,346	\$5,452	1.4%	2.0%
	Total Net Assets	\$67,089	\$65,372	\$66,140	-2.6%	1.2%
	TOTAL LIABILITIES and NET ASSETS	\$61,426	\$59,071	\$57,981	-3.8%	-1.8%

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources
(Statement of Revenues and Expenses)

Fiscal Year ends - month& day: (6 /30)		3 Years Prior (FY2018)	2 Years Prior (FY2019)	Most Recently Completed Year (FY 2020)	Current Year (FY 2021)	Next Year Forward (FY 2022)
OPERATING REVENUES (in 000s)						
?	Tuition and fees	\$31,434	\$33,768	\$37,264	\$35,324	\$33,145
?	Room and board	\$9,944	\$10,419	\$8,469	\$5,748	\$9,200
?	Less: Financial aid	-\$640	-\$375	-\$766	-\$429	-\$545
	Net student fees	\$40,738	\$43,812	\$44,967	\$40,643	\$41,800
?	Government grants and contracts	\$1,773	\$2,192	\$3,841	\$5,775	\$4,000
?	Private gifts, grants and contracts	\$145	\$135	\$146	\$72	\$65
?	Other auxiliary enterprises	\$1,564	\$1,261	\$858	\$695	\$700
	Endowment income used in operations	\$0	\$0	\$0	\$0	\$0
?	Other revenue (specify): Int Student Loan Rec	\$42	\$38	\$35	\$32	\$30
	Other revenue (specify): Fines/damages/ID cards	\$565	\$436	\$442	\$184	\$300
	Net assets released from restrictions					
	Total Operating Revenues	\$44,827	\$47,874	\$50,289	\$47,401	\$46,895
OPERATING EXPENSES (in 000s)						
?	Instruction	\$13,431	\$12,501	\$12,936	\$12,566	\$12,942
?	Research	\$18	\$22	\$4	\$4	\$4
?	Public Service	\$2,533	\$1,182	\$1,134	\$1,114	\$1,147
?	Academic Support	\$2,808	\$3,117	\$3,334	\$3,010	\$3,100
?	Student Services	\$8,529	\$9,124	\$8,848	\$6,976	\$7,186
?	Institutional Support	\$6,251	\$6,561	\$6,654	\$7,876	\$8,112
	Fundraising and alumni relations					
?	Operation, maintenance of plant (if not allocated)	\$3,758	\$3,130	\$2,205	\$2,281	\$2,350
?	Scholarships and fellowships (cash refunded by public institution)	\$9,356	\$12,443	\$15,822	\$15,385	\$15,846
?	Auxiliary enterprises	\$7,950	\$8,147	\$6,051	\$6,809	\$6,850
?	Depreciation (if not allocated)	\$2,928	\$2,971	\$3,059	\$3,094	\$3,090
?	Other expenses (specify):					
	Other expenses (specify):					
	Total operating expenditures	\$57,562	\$59,198	\$60,047	\$59,115	\$60,627
	Change in net assets from operations	-\$12,735	-\$11,324	-\$9,758	-\$11,714	-\$13,732

	NON OPERATING REVENUES (in 000s)					
?	State appropriations (net)	\$5,465	\$5,465	\$6,417	\$6,821	\$8,169
?	Investment return	\$678	\$376	\$79	\$1,820	\$350
?	Interest expense (public institutions)	-\$12	-\$6	-\$5	-\$1	-\$1
	Gifts, bequests and contributions not used in operations	\$1,184	\$556	\$567	\$520	\$500
?	Other (specify): Non Oper Fed Grants	\$3,048	\$3,153	\$3,380	\$2,981	\$2,980
	Other (specify): Other Non Operating	\$5	\$2	-\$17	\$0	\$0
	Other (specify):					
	Net non-operating revenues	\$10,368	\$9,546	\$10,421	\$12,141	\$11,998
	Income before other revenues, expenses, gains, or losses	-\$2,367	-\$1,778	\$663	\$427	-\$1,734
?	Capital appropriations (public institutions)	\$0				
?	Other (specify):	\$44	\$60	\$106	\$117	\$100
	ASSETS	-\$2,323	-\$1,718	\$769	\$544	-\$1,634

Standard 7: Institutional Resources
(Statement of Debt)

FISCAL YEAR ENDS month & day (/)			3 Years Prior (FY2018)	2 Years Prior (FY2019)	Most Recently Completed Year (FY 2020)	Current Year (FY 2021)	Next Year Forward (FY 2022)
		Debt					
		Beginning balance	\$45,585	\$43,552	\$41,437	\$39,266	\$36,984
		Additions	\$0	\$0	\$0	\$0	\$0
	P	Reductions	(\$2,033)	(\$2,115)	(\$2,171)	(\$2,282)	(\$1,771)
		Ending balance	\$43,552	\$41,437	\$39,266	\$36,984	\$35,213
		Interest paid during fiscal year	\$1,982	\$1,900	\$1,808	\$1,716	\$1,646
		Current Portion	\$2,115	\$2,171	\$2,282	\$1,771	\$1,897
		Bond Rating					

Debt Covenants: (1) Describe interest rate, schedule, and structure of payments; and (2) indicate whether the debt covenants are being met.

All debt is issued by the Vermont State Colleges System. While debt and debt service is allocated to each college (including Castleton University) based upon projects undertaken by that college, the system is still liable jointly for all debt incurred. The System currently has three series of bonds outstanding under two different credit structures: Series 2010B and Series 2013 Bonds were issued as general obligations of the system and are rated A-/ stable by S&P, and Series 2017 Bonds which were issued by the Vermont Municipal Bond Bank and are rated AA/Aa2 (S&P / Moody's) because the State Treasurer is able to intercept the System's State appropriation to pay debt service. Other than continuing disclosure, there are no covenants

Line(s) of Credit: List the institutions line(s) of credit and their uses.

The System has no lines of credit.

Future borrowing plans (please describe)

The system plans to currently refund its Series 2010B bonds in spring 2020, using the Vermont Municipal Bond Bank credit structure. For anticipated present-value debt service savings of approximately 8% or \$2 million.

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources
(Supplemental Data)

FISCAL YEAR ENDS month & day (6 / 30)		3 Years Prior (FY2018)	2 Years Prior (FY2019)	Most Recently Completed Year (FY 2020)	Current Year (FY 2021)	Next Year Forward (FY 2022)
	NET ASSETS					
	Net assets beginning of year	\$69,413	\$67,089	\$65,371	\$66,140	\$67,460
	Total increase/decrease in net assets	(\$2,324)	(\$1,718)	\$769	\$1,320	(\$690)
	Net assets end of year	\$67,089	\$65,371	\$66,140	\$67,460	\$66,770
	FINANCIAL AID					
	Source of funds					
	Unrestricted institutional	\$5,532	\$8,473	\$10,600	\$11,560	\$12,000
	Federal, state and private grants	\$4,633	\$4,816	\$4,995	\$4,712	\$4,700
	Restricted funds	\$213	\$240	\$251	\$287	\$275
	Total	\$10,378	\$13,529	\$15,846	\$16,559	\$16,975
	% Discount of tuition and fees					
?	% Unrestricted discount					
?	FEDERAL FINANCIAL RESPONSIBILITY COMPOSITE SCORE					
Please indicate your institution's endowment spending policy:						

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources (Information Resources)

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year	Next Year Forward (goal)
(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)	(FY 2022)

Total Expenditures (in thousands)

Materials	\$118	\$99	\$109	\$108	\$110
Salaries & wages (permanent staff)	\$527	\$392	\$393	\$254	\$300
Salaries & wages (student employees)	\$2	\$5	\$2	\$3	\$5
Other operating expenses	\$474	\$398	\$368	\$335	\$345

Expenditures/FTE student (full amount)

Materials	\$61	\$48	\$60	\$60	\$61
Salaries & wages (permanent staff)	\$273	\$191	\$215	\$141	\$167
Salaries & wages (student employees)	\$1	\$2	\$1	\$2	\$3
Other operating expenses	\$245	\$194	\$202	\$186	\$192


Collections

Percent available physically	58%	56%	29%	28%	
Percent available electronically	42%	44%	71%	72%	
Number of digital repositories	0	0	0	0	

Personnel (FTE)

Librarians - main campus	3	2	3	1	2
Librarians - branch /other locations					
Other library personnel - main campus	5	5	5	4	4
Other library personnel - branch/other locations					

Availability/attendance

 Hours of operation/week main campus	85	85	84	50	
Hours of operation/week branch/other locations					

Consortia/Partnerships

URL of most recent library annual report:

<https://libguides.castleton.edu/c.php?g=580467&p=7282692>

Please enter any explanatory notes in the box below

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See Form 4.5 for data about Information Literacy

Standard 7: Institutional Resources (Technological Resources)

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year	Next Year Forward (goal)
(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)	(FY 2022)

Course management system

Canvas 9-19-2020 (FY20); Moodle (FY18 and FY19)

Number of classes using the system


1,157	936	1,057	797	916
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Bandwidth


On-campus network

100mbps	100mbps	1000mbps	1000mbps	1000mbps
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Off-campus access

 commodity internet (Mbps)

1000mbps	1000mbps	1000mbps	1500mbps	1500mbps
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 high-performance networks (Mbps)

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 Wireless protocol(s)

802.1x	802.1x	802.1x	802.1x	802.1x
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Typical classroom technology

Main campus

Computer, data projector or large LCD TV, sound system; many also include enhanced control systems, cameras, microphones, streaming/recording appliances, Blu-ray players, and document cameras; Two rooms provide telepresence

Branch/other locations

Computer, data projector or large LCD TV, sound system, webcams

Software systems and versions

Students

Ellucian Colleague 18.0.5

Finances

Ellucian Colleague 18.0.5

Human Resources

UltiPro 14.0.0

Advancement

Blackbaud Online Express RE NXT 7.96.6403.20

Library

Koha 19.11

Website Management

Big Tree 4.4.7

Portfolio Management

Canvas 9-19-2020

Interactive Video Conferencing

Zoom 5.3.1

Digital Object Management

n/a

Website locations of technology policies/plans

Integrity and security of data

<https://www.vsc.edu/board-of-trustees/policies-procedures/data-security-operational-policies/>

Privacy of individuals

<https://www.vsc.edu/wp-content/uploads/2019/06/Policy-312-FERPA-Compliance-revised-6-20-19.pdf><https://www.vsc.edu/wp-content/uploads/2018/12/627-1-VSCS-Information-Sensitivity-Policy.pdf>https://www.vsc.edu/wp-content/uploads/2018/12/634-1_VSC-Social-Security-Usage-Policy.pdf<https://www.vsc.edu/wp-content/uploads/2018/12/635-1-VSC-Web-Privacy-Statement.pdf>

Appropriate use

<https://www.vsc.edu/wp-content/uploads/2018/12/600-1-VSC-Acceptable-Use-Policy.pdf>

Disaster and recovery plan

n/a - Internal document; not shared publicly due to security concerns

Technology replacement

n/a - Internal document

Please enter any explanatory notes in the box below

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Standard 7: Institutional Resources
(Physical Resources)

Campus location	able Buildin	Assignable Square Feet (000)
Main campus	32	647
Other U.S. locations	1	40
International locations		

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)	(FY 2022)

Revenue (\$000)

Capital appropriations (public institutions)	\$419	\$420	\$419	\$400	\$419
Operating budget					
Gifts and grants		\$203			
Debt					
Total	\$419	\$623	\$419	\$400	\$419

Expenditures (\$000)

New Construction					
Renovations, maintenance and equipment					
Technology					
Total	\$0	\$0	\$0	\$0	\$0

Assignable square feet (000)

	Main camp	Off-campus	Total
Classroom	30		30
Laboratory	12		12
Office	44		44
Study	6		6
Special	13	40	53
General	58		58
Support	12		12
Residential	105		105
Other	63		63

Major new buildings, past 10 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet (000)	Cost (000)	Year
Hoff Hall	Residential	438.00	\$6,100	2012
Pavilion	Special	12.00	\$1,400	2012
Facilities Barn	Support	12.00	\$4,500	2012

New buildings, planned for next 5 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
None				

Major Renovations, past 10 years (add rows as needed)

The list below includes renovations costing \$XXX or more				
Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
Replcement window Woodruff	Energy Improvement	0.00	\$279	
Air Conditioning Glenbrook	Energy Improvement		\$287	
Huden Dining Hall Renovation	update		\$2,000	
Leavenworth Energy Improvements	Energy Improvement		\$646	
Window Replacement Leav and Library	Energy Improvement		\$142	
Chemistry Lab	expansion		\$1,000	
Media Lab	new program		\$350	

Renovations planned for next 5 years (add rows as needed)

The list below includes renovations costing \$XXX or more				
Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
Residence Halls	update	105.00	\$500	2022

Please enter any explanatory notes in the box below

Granger House and Yellow house were aquired 2012

Chapter 8

Educational Effectiveness

Description

Introduction

At the time of the last self-study in 2011, Castleton University was beginning to build a culture of assessment and continuous improvement. Prior to 2011, assessment was considered a “dirty word” at Castleton with some faculty carrying deeply rooted suspicions about its need and value. The development of a culture of assessment over the last ten years has been deliberate and can be characterized as slow but steady.

Since 2014, significant budget and enrollment challenges, 20% fewer faculty and staff, and numerous changes in academic and university leadership led to a “two steps forward, one step backward” pattern of progress. In direct response to resource constraints, the University successfully sought two grants to aid in developing a more robust assessment of educational effectiveness.

In 2016, Castleton University was awarded a three-year \$265,000 grant from the Davis Educational Foundation to enhance integrative learning and ultimately reform the General Education program to include new learning objectives and a clear process for assessing programmatic outcomes and individual student progress. In 2019, the University was awarded a five-year, \$2.5 million Department of Education Title III grant. The Title III grant activities are focused on improving teaching and learning, strengthening the first-year experience and advising, and enhancing experiential learning and workplace readiness. The grant, entitled Pathway to Graduation, also established an office of institutional research to provide robust evaluation and support of grant activities aligned with Castleton’s overall assessment of student success.

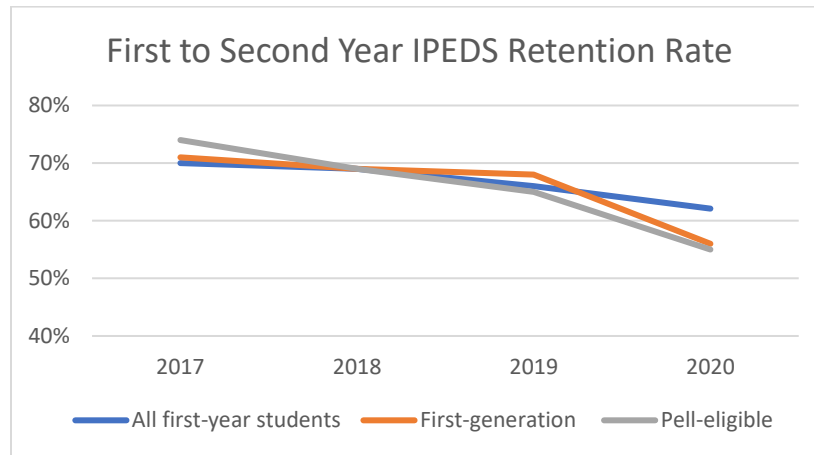
By 2019, the University had established a tangible culture of assessment. In 2021, with the culture and the grant-funded resources in place, assessment of educational effectiveness is poised to be more systematically and comprehensively implemented. In some areas, such as the Program Review and Continuous Improvement Policy (PReCIP), Castleton has made excellent gains, whereas in others, such as tracking overall success measures by sub-population, efforts are in the early stages. The VSC, the Castleton administration, and the Castleton faculty all play active roles in assessing educational effectiveness efforts which are organized into three areas: overall measures of student success, student learning outcomes, and academic programs and courses.

Overall Measures of Student Success

In 2019, Title III Pathway to Graduation funds allowed Castleton to intensify its focus on the first-year experience and persistence of first year students. This focus included enhanced advising practices and increased focus on experiential learning and career readiness. The University adopted key benchmarks of student success in 2019 as part of the Title III grant, including first- and second-year retention rates, four-year graduation rates, and 30 credits per year (average) completion rates.

In the past five years, the IPEDS first to second year retention rate of bachelor’s degree-seeking students was at a high of 70% in 2017 and a low of 62% in 2020. In the past several years, the same

retention rate for first-generation students (which comprised 47% of Castleton’s undergraduate population in 2019) is higher or equal to the overall population, except for 2020. In 2018-2019, 37% of Castleton students were awarded a Federal Pell grant. First to second year retention of Pell-eligible students has declined since 2017 from a rate outperforming overall retention (74%) to a low in 2020 (55%). For many years, academic leadership has targeted a one-year retention rate of 75% or higher as an attainable goal, based on comparisons with similar institutions and historical Castleton rates.



While the specific causes of the declines are not known, there are suggestive correlations. Financial retrenchment in 2018 led to staff retirements and layoffs and incentivized faculty retirements. Some open faculty lines were not filled. This created a generalized sense of instability and uncertainty on campus as well as some loss of student-faculty engagement in impacted degree programs. Cuts in operating budgets during this time added to the general sense of fragility. As in any setting where such retrenchment is in process, employee anxiety impacted conversations with students and personal anxieties and concerns were sometimes shared. In addition, faculty who had been receiving 6 credits of teaching load for staffing the First Year Seminar and advising first year students had their compensation reduced to 4 credits. This had multiple impacts. Some of these faculty picked up an additional course in order to fill their contractual load, and thus had less time to devote to the First Year Seminar and advising. Others who were veterans of the program stopped teaching the First Year Seminar and thus no longer advised first year students. In addition, the chancellor’s office centralized a number of operations. One of those was payroll, in 2019. The many Castleton students who work on campus now had to participate in a human resources and payroll system that switched from an on-site, highly personalized system to an off-site, computerized system that had significant problems during its first year of operation. There were many instances of people not getting paid in a timely fashion, or being paid the wrong amount, or of having inaccurate records. The transition was poorly done and caused substantial stress across all employees, but impacted student workers particularly hard in 2019-2020.

In addition to the above challenges, in June of 2019 then-chancellor Jeb Spaulding produced a highly-publicized White Paper on the Future of the Vermont State Colleges. It was a well-researched document that detailed the many financial and demographic challenges facing Vermont’s public institutions of higher education. The accompanying listening sessions held at campuses across the State generated substantial publicity. In April of 2020, the chancellor announced three campuses (but not Castleton) would be closed. This generated major headlines. The backlash led to the Chancellor’s

resignation, and the campuses were not closed, but it added to the air of fragility that had been present on campus.

Finally, the pandemic and the move to 100% online teaching in the spring of 2020 with little warning led to a disruptive and suboptimal learning experience for students. Initially told that the campus intended to resume face-to-face classes in fall of 2020, in early summer the University announced that all classes would be taught online, leading many students to take leaves of absence or simply not return.

Castleton has taken significant steps to mitigate or remedy all of these impacts.

Castleton supports students in successfully planning and completing their degree programs in a variety of ways, from the prospective student stage until graduation, all of which contribute to student success. Castleton's Admissions Office provides prospective students and families general information about what students are expected to gain from their Castleton education. The Admissions Office also highlights and provides details on growth opportunities and experiences in our educational community such as research and presentation, service and civic engagement, global perspective and study abroad, and internship and capstone experiences.

Beginning in the summer of 2020, with support from the Pathway to Graduation Title III grant, incoming first-year students were matched with a Success Coach, whose role is to understand the student's educational and developmental goals, to connect them to their first-year faculty advisor and Student Orientation peer leader, and to assist in their development of self-efficacy to achieve the student outcomes the University has identified for them. Success Coaches work one-on-one with students to confirm major choice, explain the degree plan, introduce the General Education program, and choose classes for the first semester. Students also have the opportunity to discuss co-curricular intentions, academic support and other needs, and general questions about the University with the Success Coach so that connections between the student and various University offices can be fostered even before students begin classes.

Also in the summer of 2020, with support from the Title III grant and in response to COVID-19 restrictions, the University purchased and implemented an interactive [online Orientation program](#). With the addition of the Success Coaches and online Orientation program, Castleton offered an improved comprehensive and consistent registration and orientation process to all undergraduates, regardless of their learning modality or location, including students who chose to study online, Killington Resort and Hospitality Management students, and Bennington Nursing students.

The Title III Pathway to Graduation Grant has also afforded Castleton several other resources to support retention, graduation, and assessment, including Aviso, a new advising software system, a Center for Teaching and Learning, and an Office of Institutional Research.

Two recent personnel changes and several strategic initiatives have been the most significant of these new resources. The Title III grant allowed Castleton to add a half-time director of institutional research and an associate dean of student success. The director of IR, working closely with the provost, leads efforts to establish and integrate assessment practices and methodologies into the

academic year cycle including monitoring of overall measures of success consistently and by sub-populations. The associate dean of student success oversees related strategic initiatives to improve educational effectiveness and key benchmarks of success, including Castleton Support Team expanded student outreach efforts, Think 30, the roll-out of Aviso to streamline advising and registration, enhanced student communication methods, and success coaching. Additional retention initiatives include awarding “completion scholarships” to upper-class students with financial needs and expanding other scholarships and grant programs.

[The Castleton Support Team](#) performs the University’s early intervention function by responding to faculty and staff concerns about student success, connecting students to resources, and following up on students with mental health needs. With the implementation of Aviso (which is fully integrated with the student records system), faculty and staff submitted nearly 500 alerts in Fall 2020 as compared to fewer than 150 in any given semester under the previous stand-alone system.

To monitor additional measures of success, Castleton implements the National Student Engagement Survey (NSSE) to provide indicators of high-impact practices (HIPs) that students experience throughout their undergraduate experience. NSSE collects data from second semester first-year students and seniors. Because NSSE is conducted by institutions nationally, data is available for comparison with peer institutions.

Due to the alignment of NSSE’s HIPs with Castleton’s undergraduate educational goals and outcomes for both Title III and Davis grant activities, NSSE HIPs are a focus of assessment at Castleton. According to the NSSE’s definition, HIPs include service-learning, learning communities, research with faculty, internships or other field experience, study abroad, and a culminating experience in the senior year.

Data from the 2019 NSSE Survey indicates that 14% of Castleton first-year students have participated in two or more HIPs and 86% of seniors had done the same while at the institution. Compared to other New England Public institutions participating in NSSE, Castleton rates are higher, indicating more HIPs being implemented throughout a Castleton student’s education than at peer institutions.

High-Impact Practices

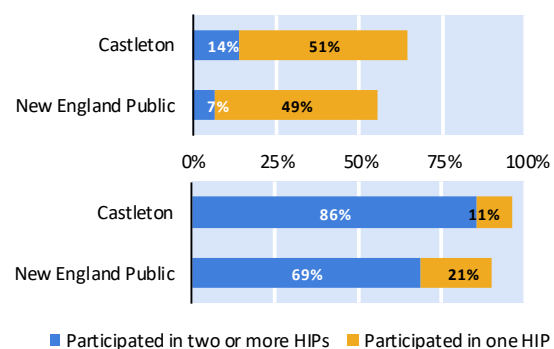
Due to their positive associations with student learning and retention, special undergraduate opportunities are designated “high-impact.” For more details and statistical comparisons, see your *High-Impact Practices* report.

First-year

Service-Learning, Learning Community, and Research w/Faculty

Senior

Service-Learning, Learning Community, Research w/Faculty, Internship, Study Abroad, and Culminating Senior Experience



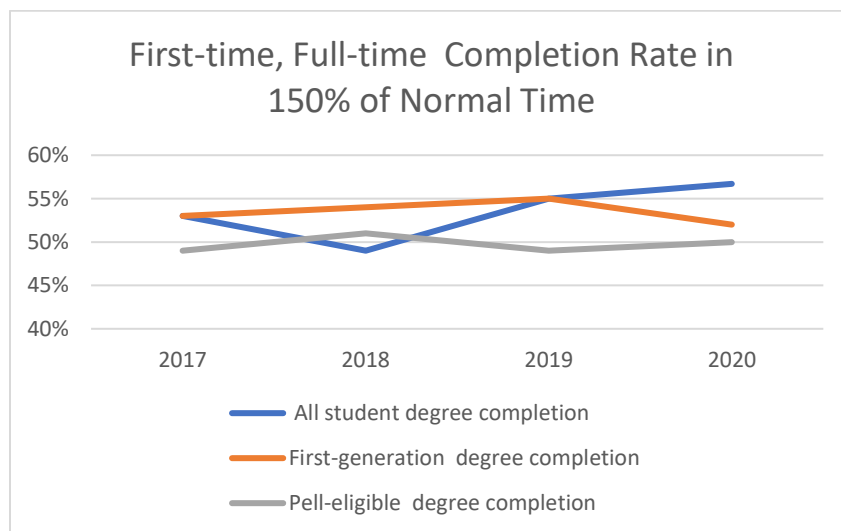
As part of Castleton’s undergraduate General Education requirements, all students must satisfy four graduation standards: information literacy, quantitative reasoning, speaking, and writing. Students may take the information literacy exam and quantitative reasoning exam at any point during their

undergraduate career and can re-take them until a passing score is achieved. They can also satisfy the speaking requirement at any time before graduation. Students usually complete the Writing Graduation Standard in their junior year, following completion of two writing intensive courses and submission of a timed culminating essay.

With a target pass rate of 100% for each standard, the institution monitors passage rates of all four standards as part of the assessment process. In the past three academic years, an average of 84% of students passed the culminating essay exam on the first attempt. In the same time period, an average 93% of students passed (within a semester) the information literacy exam.

The quantitative reasoning exam has the lowest pass rate of all three exams, averaging 79% within a semester. This rate has steadily been increasing with a pass rate in 2019-2020 of 94% compared to 63% in 2017-2018.

Typically, Castleton monitors graduation rates for first-time, full-time entering students. In 2019, 43% of the 2015 Federal cohort had completed a bachelor's degree in four years. This percentage has remained steady over the past three academic years. Looking at graduation within 150% of normal time (six years), it has also remained steady with the 2020 rate at 57% for the cohort that began in 2014. For the same cohort of students who were Pell-eligible, the 150% completion rate was 50%, and for first-generation the rate was 52%.



The University also has begun to monitor student satisfaction levels across a variety of measures with much of this work now coordinated under the new Office of Institutional Research. All students slated to graduate are surveyed each spring in order to assess their experiences at Castleton and to learn about students' future plans. Additionally, recent alumni are contacted by the Office of Institutional Research approximately six months after Commencement to provide an update on their plans. The University then compiles this data into a fact sheet for use in recruitment by Admissions. Additional details are used by the Office of Career Services for program planning and evaluation concerning post-graduation outcomes for recent alumni, including location of employment (in VT or out of state), salary, relevance of their Castleton education, and general satisfaction with life after college. Generally this post-graduation data is not reported by major to protect student privacy in small majors;

however, academic departments also use this information, or information provided by department initiated alumni surveys, to improve student success in a number of ways. For example, the Athletic Training program increased training on clinical documentation strategies and expectations based on weaknesses noted in surveys. Athletic Training also used this feedback to make changes in curricular content such as eliminating unnecessary courses, changing curricular sequencing in order to offer classes when most beneficial to student development, and adding prerequisite courses.

Student Learning Outcomes

Castleton began revising its [General Education Program](#) in earnest in 2015. The end vision for this work has been to integrate student experiences in general education, major coursework, and experiential learning opportunities (co-curricular) into a more coherent and deeper undergraduate degree.

From early in the process, the Davis grant provided a basis for community-wide dialog about shared goals, curricular directions, and new opportunities to enhance faculty teaching, student learning, and overall educational effectiveness. This initiative aligned with the [Castleton Mission](#) to “prepare its diverse students for relevant and meaningful careers in a global economy, advanced academic pursuits, and responsible citizenship.”

The first major outcome was the development of Castleton’s Undergraduate Learning Goals. As part of the revision to the ten-year strategic plan in 2016 and with significant support from the Davis grant, the Faculty Assembly approved and the University adopted a set of five goals for undergraduate education to enable improved assessment of the larger institutional mission. The goals are intentionally broad and designed to provide a framework for academic program review reporting.

The catalog includes [Castleton's Undergraduate Learning Goals](#):

The curriculum and overall campus experience are designed to realize five learning goals:

- 1. Castleton University provides a broad range of knowledge in the liberal arts as well as deep knowledge in one of our many academic disciplines.*
- 2. Castleton University develops students' facility with skills necessary for their academic studies, professional development, and life-long learning.*
- 3. Castleton University helps students to clarify their values and learn how to collaborate productively with others by recognizing and respecting diverse perspectives.*
- 4. Castleton University teaches students how to make connections between various intellectual and social domains and to apply their knowledge in critical and creative thinking and expression.*
- 5. Castleton University prepares students to take meaningful action in their personal, professional, and civic lives.*

The new Undergraduate Learning Goals was followed by the second major outcome, new General Education Learning Goals (see below). During the 2015-2016 academic year, an ad-hoc committee of the Faculty Assembly, including faculty and administrators, led a campus-wide conversation about how to be more intentional in making a Castleton education more developmental, integrative, and meaningful. Based on support from the Davis grant and creative campus-wide input on preparing students for a wide variety of careers, lifelong learning, and engaged citizenship, the committee made

significant progress. Ultimately, the committee developed a coherent “pathway” through the general education curriculum, allowing students to reflect upon and make more meaningful connections among their academic major, general education, and co-curricular learning.

Specifically, the Davis grant allowed the General Education Committee to devise and gain Faculty Assembly endorsement of the [General Education Learning Goals](#) (2018):

The General Education program:

- 1. encourages students to make connections throughout academic courses, cultural events, and co-curricular activities;*
- 2. engages students in a wide range of disciplines, leading to adaptable and flexible thinking;*
- 3. teaches students to search for, critically appraise, and implement knowledge;*
- 4. prepares students to convey ideas through multiple means of expression;*
- 5. primes students to value different perspectives and cultures;*
- 6. promotes students to be engaged as active citizens on campus and beyond;*
- 7. stimulates intellectual curiosity, preparing students to be life-long learners.*

In order to engage in meaningful and productive study, the student should develop and learn to apply a variety of skills, including reading, writing, speaking, critical thinking, using the library, and practical computing.

In the Fall of 2020, the Faculty Assembly voted to approve a new General Education program entitled Connections based on the Learning Goals noted above. See details of the General Education program’s structure in Chapter Four.

All incoming students with fewer than 15 college credits are required to take Connections Seminar 1 to help them acclimate to college. Connections Seminar 1 faculty play a dual role of instructor and advisor to these students, providing additional support as mentors. In addition to regular class meetings, Connections Seminar 1 students meet once per week as a class for scheduled talks, events, and activities designed to help students adapt to college life and responsibilities. Faculty and students piloted five sections of Connections Seminar 1 in the Fall of 2020. The course rolls out to all new students in the Fall of 2021. Accordingly, faculty and students will pilot Connections Seminar 2 in Fall of 2021 followed by a roll-out to all students in Fall 2022. Seminar 3 will follow with a pilot in 2022 and a roll-out in 2023.

In addition to supporting the revision of the General Education program, in May 2019, the Davis Grant Committee also supported the development of Student Life Co-curricular Learning Goals, all of which relate to the Undergraduate Learning Goals:

- to prepare students to be civically engaged in their local communities and beyond,*
- to provide students with the knowledge and self-awareness to make healthy choices in lifestyles and relationships, personal and professional,*
- to present students with leadership opportunities,*
- to give students space and support to develop agency, self-responsibility, and independence,*
- to help students in the process of self-discovery, connecting past experiences with what is acquired at Castleton,*

- *to integrate what is learned in the Castleton curriculum with its applicability in the world beyond the classroom,*
- *and to help prepare students for professional lives beyond college.*

While “traditional-aged” and “residential” remain the terms that best characterize the Castleton community, the student body continues to diversify. More non-traditional and commuter students are enrolled at Castleton than ten years ago, and other substantial cohorts include the Resort & Hospitality Management program in Killington, the Nursing campus in Bennington, transfer students, Early College students, international and new American students, low-income and first-generation students, LGBTQ+ students, students with disabilities, students with scholarships, and athletes. (Specific data about these sub-populations can be found in Chapter Five.) From the CU website: “Castleton works collaboratively across many offices and departments to serve students in an equitable, vibrant, and academically challenging environment regardless of background or location. Through values including understanding, mutual consideration, and respect, we have created a culture of diversity and acceptance, allowing students to reach their full potential as active members of our community.”

Academic Programs and Courses

Academic programs are evaluated through the [PRe-CIP](#) process both through an annual report and through a five-year comprehensive review. Student success in meeting learning outcomes are reviewed systematically by program faculty and, where appropriate, external examinations and external accreditation procedures (see E-Series form in the appendix). Courses are evaluated via course evaluations and classroom observations. Instructional quality is also reviewed through the full and part-time faculty evaluation process. Through all these methods, program faculty regularly receive constructive feedback on programs and courses, reflect critically on suggested changes, and make appropriate curricular adjustments. Academic administration also has consistent mechanisms for regular review of program quality. Faculty routinely use feedback to improve student learning by changing course design or content, revising curricula, and modifying pedagogical strategies.

The Faculty Assembly Program Assessment Committee (PAC)—the main faculty support for assessment—takes as its mission to assist departments and programs with their VSC-mandated Program Review and Continuous Improvement Policy (PReCIP) reviews and to nurture the developing culture of continuous assessment on the campus. The PAC has tried a variety of approaches to this mission and has found increasing success by holding annual workshops, inviting external reviewers and consultants to campus, and offering careful feedback to departments on their assessment processes and reports.

The VSC requires that all academic programs conduct self-reviews (PReCIP) on a rotating, five-year cycle. As stated in the 2021 Program Report Guidelines:

Program faculty collaboratively use periodic reviews to reflect on past efforts and outcomes and to plan the continuous improvement of the program. The resulting plans are living documents that regularly receive the collective attention of all faculty (full and part-time, within and across contributing departments) teaching in the program.

The PReCIP self-study results in a report of each program’s efforts to use assessment data to guide continuous program improvement. Contributing to this process, an academic dean interviews and

surveys all seniors in the major and provides a summary report to the respective academic chair or program coordinator for consideration in the PReCIP report. Once the self-study is submitted, a VSC committee composed of an academic dean, like-program representatives (also under review), and one or more external program assessment experts, meets to discuss the reports submitted from each campus. The academic dean then provides each individual program under review with an evaluative report describing the program's activities and suggesting areas for improvement. The process implemented in 2019 was different because most programs being evaluated at this time were relatively new and their assessment plans were still being developed. For this reason, in 2019 an external reviewer with expertise in assessment was hired to review programs and provide feedback. The process for 2020 will be similar for the same reason, and once all programs have been through the review cycle, the process will be re-evaluated. The rationale for this change is explained in the document "PReCIP 2.0: Building on Our Progress with Program Assessment" included in the Workroom for Standard 8.

A sample PReCIP report that highlights the new process is the 2019 Psychological Sciences PReCIP Report. This report, as well as the new PReCIP 2021 Report Template, can also be found in the Workroom for Standard 8, along with all the PReCIP reports for the past five years.

Some programs, such as Resort & Hospitality Management and Nursing, have found innovative and successful ways of measuring student success. The Resort & Hospitality Management program has a review board that appraises every student at the end of their first and second winter term co-operative experience. The review board bases the evaluation on four criteria: academic performance, co-op experience, professionalism, and personal behavior. The possible outcomes of the review board are Pass, Probation, or Dismissal. The RHM Assessment Rubric is included in the Standard 8.

The Nursing department has created and embedded a mid-semester course and faculty evaluation into all Nursing courses. It is an anonymous survey that is assigned to all students, in which they rate the course and faculty delivery of content. Students are also asked to highlight what is working well and what needs improvement, as well as what other learning needs they have. Nursing faculty also evaluate student knowledge and skills using an online assessment aligned with the NCLEX examination. After reviewing student test scores as well as student self-reported feedback, the Nursing faculty create and teach J-term courses addressing students' specific learning needs. For example, in fall 2020 students in Adult Health II requested a Pathopharmacology review course, so one of the faculty created the course which she then taught during J-term 2021.

Four academic programs adhere to state or national licensure requirements. These programs undergo periodic review by accreditors, satisfying the VSC PReCIP review policy. Information about each of these processes can be found in the links below. Each link includes the process used by that organization to assess SLOs.

Program	Accreditor(s)
Athletic Training	1. Commission on Accreditation of Athletic Training Education (CAATE) (every ten years)
Nursing	1. Commission on Collegiate Nursing Education (CCNE) (every ten years) 2. Vermont Board of Nursing (every year)
Social Work	1. Council on Social Work Education (CWSE) (every eight years, and benchmark reporting every two years)
Teacher Preparation	1. Results Oriented Program Approval (ROPA) (every seven years)

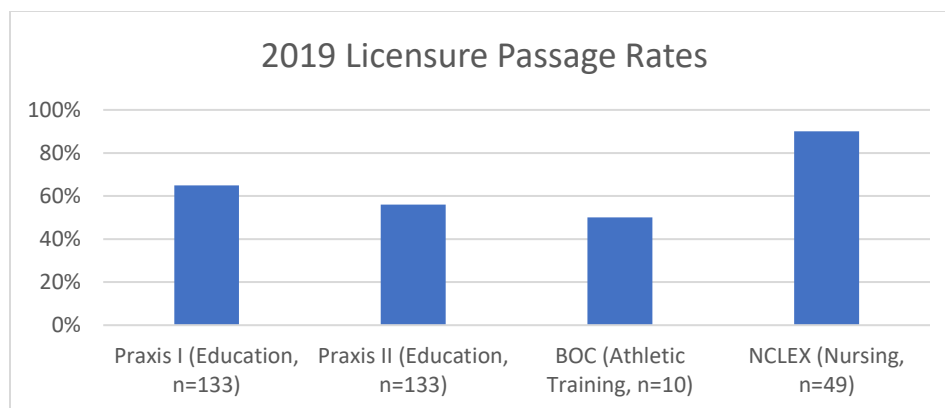
In addition to the larger PReCIP process, the faculty Program Assessment Committee (PAC) works to keep assessment central to faculty deliberations concerning the success of their academic programs, including investing considerable resources in sending faculty to events hosted by the New England Educational Assessment Network. Current budgetary restrictions, however, have prevented the University from being able to send faculty to take advantage of these valuable opportunities.

Specific Academic Program Student Learning Outcomes (SLOs) for all locations and modalities are published in the online [Undergraduate Catalog](#) under each program. A complete list of URL links to each program's SLOs can be found in the E-Series Forms.

Academic Program Annual Report

Beginning in the 2019-2020 academic year, Castleton added an annual assessment called the [Academic Program Annual Report](#). In this report, programs describe assessment activities from the current academic year, as well as the program's plans for improvements as a result of the assessment. These annual reports aim to create a more sustainable process for program assessment, distributed across a five-year cycle, for programs to reflect on within the VSC Policy 101 PReCIP report.

Castleton gathers passage rates for licensure (when available and appropriate for the field) and job placement rates. For programs with entrance exams, passage rates are either collected or can be obtained. The Nursing department has been collecting passage rates for the NCLEX since 1962 (BSN since 2019). Education students seeking licensure must take and pass the Praxis I and II exams. The Athletic Training Program collects pass rate data for the Board of Certification (BOC) exam, which Athletic Training program graduates must pass before receiving licensure to work in the profession. In 2019, passage rates ranged from 50% in the Athletic Training BOC to nearly 90% for nursing's NCLEX exam.



In addition, some degree programs and departments conduct some version of a senior exit survey and alumni surveys as part of their PReCIP process, but this is not mandated.

Graduate and New Programs

Graduate programs are also part of the robust PReCIP process addressed in detail above. Graduate program SLOs can be found in the [Graduate Catalog](#) (e.g., [Athletic Leadership program objectives](#)).

Killington's Resort and Hospitality Management program (RHM), initiated at Castleton in Fall 2019, is a three-year degree and cooperative education program in partnership with Killington Pico Ski Resort Partners – Powdr Corp (KPSRP, LLC). [RHM SLOs](#) are listed on the program requirements page on the Castleton website.

In August of 2019, Castleton was approved to deliver the nursing program remotely in Bennington. The nursing program has both a four-year track and a two-year RN-BS post licensure completion track for registered nurses. [Nursing program goals and outcomes](#) are listed on the program website.

Course Evaluations

Educational effectiveness at the course level is measured primarily with course evaluations and class observations. Faculty receive completed evaluations after final grades have been submitted and are strongly encouraged to reflect on them. Untenured faculty are encouraged to write regular self-evaluations. Both course evaluations and self-evaluations are collected in the instructor's file for the RPT (Reappointment, Promotion, and Tenure) review process.

Until 2017, Castleton used a paper-based system of course evaluations. In this format, instructors would set aside time in class to distribute the evaluations, and then leave the room while students completed them, with a selected student in charge of collecting the responses and returning them to the President's Office. In 2017, Castleton changed to an online system using "Blue" in which students receive emails requesting that they complete the surveys on their own. The University saw an immediate and sharp decline in response rates, from 75% (Fall 2017) using the paper-based system to 48% (Fall 2019) using the online system. This drop happened in spite of repeated attempts from faculty and administration to encourage students to complete the forms, including many faculty opting to set aside time in class so that students can complete the form (even though this practice was no longer considered mandatory).

The drop in responses naturally resulted in a drop in written comments from students, which many faculty lamented because written feedback is widely considered one of the most valuable forms of feedback and one that faculty would read carefully and reflect upon.

Appraisal

As an institution, Castleton has made progress in the area of assessment over the past ten years: adding learning outcomes to course syllabi and program descriptions; creating cycles of iterative improvement through the new (2013) and then revised (2019) Pre-CIP process as well as through ongoing assessment of student learning outcomes annually by program faculty; and working with faculty across the VSC to create uniform learning outcomes for all general education distribution categories during 2020-2021. The revised general education program, with implementation commencing fall 2021, includes three core seminars taken by all students that each contribute to a student portfolio that is to be reviewed in the third and capstone seminar. The structures are in place. What remains to be built is a more consistent execution of a culture of assessment across all degrees and programs. External funding to expand and enhance the capacity to undertake a more systematic and robust approach to assessment is secured. These changes mark a positive and noteworthy turning point.

Programs that are exemplars of iterative improvement based on student learning outcomes assessment include Nursing, Resort and Hospitality Management, and Athletic Training. Nursing faculty review student performance on end-of-semester examinations shared across course sections every semester, not only to advise and direct students but also to address curricula or instructional weaknesses. They do the same with NCLEX examination results. Working together, they constantly assess and revise course content, pedagogy, and curricular requirements based on student's demonstrated learning.

Resort and Hospitality Management core faculty assesses every student's performance in the spring term based on grades, instructor feedback, and coop supervisor reports. The assessment is used partly to advise and direct individual students, but it is also used to adjust assignments and instruction based on trends they see in student's demonstrated strengths and weaknesses. This annual performance review drives immediate changes that improves the learning context for students in real time so that changes impact existing cohorts, not just future ones.

Athletic Training's accreditation through CAATE requires its students to meet or exceed a 70% first-time pass rate over a three-year average on the national BOC examination. In 2018 73% passed on the first attempt; in 2019 71% passed; and in 2020 it was 61.65% (due in part to pandemic related exam cancellations and rescheduling). The average Castleton pass rate for the six prior years was between 90 and 100%. Aside from the pandemic impacts, other aspects of curriculum and instruction influenced this three-year pattern. Using data from a self-assessment exam delivered every fall to all program seniors, which aligns with the BOC assessment, the Athletic Training faculty have changed course prerequisites, changed the curriculum sequence, changed the structure of clinical practice, and added an intensive clinical experience.

University leaders are particularly proud of the new PReCIP process for evaluating academic programs, as it provides a regular and comprehensive system to measure the effectiveness of all majors and promotes the kind of tightly integrated outcomes assessment and program approval

represented by the three programs described above. Not all programs have completed a full cycle yet, and more work is needed in re-evaluating the process for future reviews (as noted above); however, thanks to PReCIP, the University now has a system in place to regularly assess the achievement of SLOs. As the documents “PReCIP 2.0: Building on Our Progress with Program Assessment” and the PReCIP 2021 Template (both included in the Workroom) show, this new approach represents a vast improvement over 2011. The VSC now asks for more specific data on student success and retention, and much more detail in the program review section (new standardized tables and charts). The changes in the VSC PReCIP report template provide programs with more and better guidance, more data, and new report templates to support outcomes assessment. The new process has an increased emphasis on SLOs, assessment, and iterative improvement. In addition, the new Academic Annual Report is on track to significantly improve the sustainability of the assessment process at Castleton and distribute the program’s assessment efforts throughout a five-year cycle.

University leaders also remain proud of and rely heavily on the university-wide Graduation Standards as explicit student learning objectives for improving educational effectiveness. Although the standards are underutilized in enhancing instruction and curricula, student performance in the four areas provide a needed baseline.

Castleton’s use of overall measures of success has room for improvement; it is overly reliant on IPEDS reporting and it is inconsistent and informal regarding annual targets and related strategies to achieve them. However, with support from Title III and especially the addition of a Director of Institutional Research in early 2020, the University is developing a more systematic approach that goes beyond the fundamentals of measuring retention rates, graduation rates, and credits earned for all undergraduates. An improved system, including the identification of benchmarks and metrics for learning goals campus-wide and the ability to disaggregate data by population and modality, is beginning to emerge as a part of the Title III Pathway to Graduation project.

In the short term, retention strategies must be a top priority for administration, faculty, and staff. Due to the impact of COVID-19 combined with the financial and enrollment challenges of recent years, retention fell at an alarming rate in fall 2020. With a one-year retention target rate of 72% for 2021 and an actual rate of 62% in 2020, the situation requires an ‘all hands on deck’ approach.

As a result of a new IR staff member, Castleton is now on track to collect data via nationally recognized systems, like the National Survey of Student Engagement and The Freshman Survey via Cooperative Institutional Research Program, on a more routine basis, allowing for meaningful comparisons to peer institutions on key metrics. The combination of these strategies will allow the administration and faculty to track, understand, and intervene as needed. However, it is clear that the University must allocate additional resources to institutional research, including a full-time director in the near future. In addition, while the University’s TRIO-funded Student Support Services activities are having a positive influence on a portion of first-generation and low-income students, more data is needed to better understand and replicate those outcomes campus-wide.

The implementation of the new General Education Program, Connections, represents significant progress in Castleton’s assessment of student learning in that program. The work has begun, although much remains to be done. A faculty committee is working closely with the provost to strengthen and systematize the oversight of this work, as compared to the former ad hoc method. The General

Education Learning Outcomes have yet to be tied to specific metrics and outcomes for the three Connections Seminars, the student portfolio, and Soundings, nor has the University clearly identified who is responsible for monitoring and taking action on the data that is collected.

The first-year experience is evolving to meet the needs of a changing student body, especially in light of the impact of COVID-19. The University pivoted quickly in 2020 to onboard new students; however, success coaching, online orientation, and introducing our relationship-based mission in this new environment have yet to be evaluated to identify improvements to increase student participation and satisfaction.

Graduate programs must complete the PReCIP review process and are reviewed every five years, as with undergraduate programs. In addition, graduate programs are expected to complete PReCIP Annual Reports. Since the Annual Report process only began in 2019, it is too soon to evaluate this process, but as noted previously, this helps make the assessment process more consistent and sustainable.

Projection

- Continue to implement PReCIP with particular emphasis on formalized, iterative, program improvement procedures through the annual assessment of student achievement of learning outcomes.
- Replicate successful ways of measuring student success currently occurring in some departments across all departments.
- Adopt Pathway to Graduation Title III targets as official University goals:

Target Rates for Key Benchmarks				
	2021	2022	2023	2024
Increase 1st to 2nd year retention to 78% by 2024.	72%	75%	77%	78%
75% of students complete 30 credits during their first year.	67%	70%	73%	75%
Increase 4-year graduation rate to 45% by 2024.	38%	40%	43%	45%

- Implement the structure for assessment for continual improvement in the new General Education Program, Connections.
- Develop ways to further use the results of graduation standards testing to improve curricula and instruction.
- Increase student participation and satisfaction by evaluating and then improving success coaching, online orientation, and other programming designed to introduce students to the University's relationship-based mission in the new COVID and post-COVID environment.

- Design and implement a university-wide advising model based on the holistic, developmental, and agile approach identified by the Advising Committee and supported by Faculty Assembly in 2021. Include a system of assessment and explicit outcomes for ongoing evaluation and improvement of advising.

Standard 8: Educational Effectiveness
(Undergraduate Retention and Graduation Rates)

Student Success Measures/ Prior Performance and Goals	3 Years Prior (FY 2018)	2 Years Prior (FY2019)	1 Year Prior (FY 2020)	Current Year (FY 2021)	Next Year Forward (goal) (FY 2022)
IPEDS <u>Retention</u> Data					
Associate degree students	--	--	--	--	
Bachelors degree students	70%	69%	66%	62%	68%
? IPEDS <u>Graduation</u> Data (150% of time)					
Associate degree students	--	--	--	--	
Bachelors degree students	51%	54%	53%	56%	54%
? IPEDS <u>Outcomes Measures</u> Data					
First-time, full time students					
Awarded a degree within six years	53%	49%	55%	56%	54%
Awarded a degree within eight years	54%	49%	56%	56%	56%
Not awarded within eight years but still enrolled	0%	1%	0%	0%	0%
First-time, part-time students					
Awarded a degree within six years	0%	0%	0%	0%	0%
Awarded a degree within eight years	0%	0%	0%	0%	0%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
Non-first-time, full-time students					
Awarded a degree within six years	61%	60%	61%	64%	62%
Awarded a degree within eight years	62%	61%	62%	66%	63%
Not awarded within eight years but still enrolled	1%	0%	0%	0%	0%
Non-first-time, part-time students					
Awarded a degree within six years	78%	70%	73%	72%	73%
Awarded a degree within eight years	78%	70%	73%	72%	73%
Not awarded within eight years but still enrolled	0%	4%	0%	0%	1%
? Other Undergraduate Retention/Persistence Rates (Add definitions/methodology in #1 below)					
1 First-year 30+ credits	49%	49%	45%	46%	47%
2 First-gen, first to second year retention	71%	69%	68%	56%	66%
3 Pell eligible first to second year retention	74%	69%	65%	55%	66%
4					
5					
? Other Undergraduate Graduation Rates (Add definitions/methodology in # 2 below)					
1 Overall on time (4 year) completion rate	44%	46%	43%	45%	45%
2 First generation 150% graduation rate	53%	54%	55%	50%	53%
3 Pell eligible 150% graduation rate	49%	51%	49%	51%	50%
4					
5					
Definition and Methodology Explanations					
1	FY 2022 projections are averages across prior 4 years, except line 12 which excludes the FY2019 anomaly.				
2	Line 35 & 36--VSC Sourcebook 2019 first-time full-time only Fed cohort 2011FA, 2012FA, 2013FA Line 34 Fed Cohort 2013, 2014, 2015, 2016				

Note: complete this form for each distinct student body identified by the institution (See Standard 8.1)

Standard 8: Educational Effectiveness

		Bachelor Cohort Entering		Associate Cohort Entering	
Category of Student/Outcome Measure		6 years ago	4 years ago	6 years ago	4 years ago
First-time, Full-time Students					
	Degree from original institution	63%	47%	0%	22%
	Not graduated, still enrolled at original institution	2%	9%	0%	0%
	Degree from a different institution	17%	9%	0%	0%
	Transferred to a different institution	4%	11%	0%	0%
	Not graduated, never transferred, no longer enrolled	14%	24%	0%	78%
First-time, Part-time Students					
	Degree from original institution	0%	0%	0%	100%
	Not graduated, still enrolled at original institution	0%	0%	0%	0%
	Degree from a different institution	0%	0%	0%	0%
	Transferred to a different institution	0%	0%	0%	0%
	Not graduated, never transferred, no longer enrolled	0%	0%	0%	0%
Non-first-time, Full-time Students					
	Degree from original institution	47%	55%	100%	0%
	Not graduated, still enrolled at original institution	0%	10%	0%	100%
	Degree from a different institution	6%	3%	0%	0%
	Transferred to a different institution	12%	10%	0%	0%
	Not graduated, never transferred, no longer enrolled	35%	23%	0%	0%
Non-first-time, Part-time Students					
	Degree from original institution	0%	100%	60%	0%
	Not graduated, still enrolled at original institution	0%	0%	0%	0%
	Degree from a different institution	0%	0%	20%	0%
	Transferred to a different institution	0%	0%	20%	0%
	Not graduated, never transferred, no longer enrolled	0%	0%	0%	0%

Measures of Student Achievement and Success/Institutional Performance and Goals					
	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2017)	(FY2018)	(FY 2019)	(FY 2020)	(FY 2021)

Success of students pursuing higher degrees (add more rows as needed; add definitions/methodology in #1 below)

1					
2					
3					
4					

Other measures of student success and achievement, including success of graduates in pursuing mission-related paths (e.g., Peace Corps, public service, global citizenship, leadership, spiritual formation) and success of graduates in fields for which they were not explicitly prepared (add more rows as needed; add definitions/methodology in #2 below)

1	Percent of seniors completing 2 or more "high-impact" activities on NSSE	na	na	86%	na	
2	Time of graduation indicating plan to serve in the military or volunteer/service program	2%	2%	2%	2%	
3	Passage rate for info. lit. grad. standard exam	92%	92%	94%	94%	100%
4	Passage rate for quant. reasoning grad. standard exam	67%	63%	80%	94%	100%
5	Passage rate for culminating essay grad. standard exam	86%	85%	94%	95%	100%

Definition and Methodology Explanations

1	NSSE High-Impact Practices
2	Percentage of graduating seniors indicating that their plans after CU are military service or joining a volunteer/service organization (e.g.,

Standard 8: Educational Effectiveness
(Licensure Passage and Job Placement Rates and
Completion and Placement Rates for Short-Term Vocational Training Programs)

	3-Years Prior	2 Years Prior	1 Year Prior	Most Recent Year
	(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)

? State Licensure Examination Passage Rates

	Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1	Praxis Core Academic Skills for Education	146	87	189	109	133	87	140	84
2	Praxis Subject Tests (all subjects)	163	79*	198	90*	133	75*	145	80
3									
4									
5									

? National Licensure Passage Rates

	Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1	Athletic Training Board Certification Exam	11	11	8	5	11	8	0	0
2	NCLEX-RN (first attempt pass rate)	38	35	56	43	49	44	47	37
3									
4									
5									

? Job Placement Rates at Time of Graduation

	Major/time period	*	# of grads	# with jobs	# of grads	# with jobs	# of grads	# with jobs	# of grads	# with jobs
1	Art		6	4	4	3	3	2	1	0
2	Business		55	38	52	33	55	31	21	12
3	Media and Communication		15	8	17	10	10	3	6	3
4	Education		13	11	32	23	17	8	12	5
5	English		5	2	6	4	7	5	4	2
6	HGEP		14	7	10	8	6	3	11	4
7	Mathematics		6	1	0	0	9	2	4	4
8	Music		1	1	4	1	1	0	1	0
9	Natural Sciences		58	26	32	12	47	19	34	11
10	Nursing		17	15	30	27	52	43	35	27
11	Health, Human Movement, & Sport		31	9	39	20	40	9	16	5
12	Psychological Sciences		15	4	19	7	20	6	9	2
13	SSC		34	20	19	10	35	19	14	8
14	Theater		4	1	5	3	8	2	0	0

* Check this box if the program reported is subject to "gainful employment" requirements.

Web location of gainful employment report (if applicable)

Federal Financial Aid

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2017)	(FY2018)	(FY 2019)	(FY 2020)	(FY 2021)

? Completion Rates

1		NA	NA	NA	NA	NA
2		NA	NA	NA	NA	NA
3		NA	NA	NA	NA	NA
4		NA	NA	NA	NA	NA
5		NA	NA	NA	NA	NA

? Placement Rates

1		NA	NA	NA	NA	NA
2		NA	NA	NA	NA	NA
3		NA	NA	NA	NA	NA
4		NA	NA	NA	NA	NA
5		NA	NA	NA	NA	NA

Please enter any explanatory notes in the box below

Line 13: Athletic Training moved from undergrad to grad program creating a one-year gap in testing. Line 14: Unofficial results self-reported by the daprtment as official results not yet released.

Standard 8: Educational Effectiveness

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)	(FY 2022)

Master's Programs (Add definitions/methodology in #1 below)

Retention rates first-to-second year

69%	80%	76%	55%	70%
-----	-----	-----	-----	-----

Graduation rates @ 150% time

71%	71%	71%	63%	69%
-----	-----	-----	-----	-----

Average time to degree

2	2	2	2	2
---	---	---	---	---

Other measures, specify:

Doctoral Programs (Add definitions/methodology in #2 below)

Retention rates first-to-second year

NA	NA	NA	NA	NA
----	----	----	----	----

Graduation rates @ 150% time

NA	NA	NA	NA	NA
----	----	----	----	----

Average time to degree

NA	NA	NA	NA	NA
----	----	----	----	----

Other measures, specify:

First Professional Programs (Add definitions/methodology in #3 below)

Retention rates first-to-second year

NA	NA	NA	NA	NA
----	----	----	----	----

Graduation rates @ 150% time

NA	NA	NA	NA	NA
----	----	----	----	----

Average time to degree

NA	NA	NA	NA	NA
----	----	----	----	----

Other measures, specify:

Distance Education (Add definitions/methodology in #4 below)

Course completion rates

NA	NA	NA	NA	NA
----	----	----	----	----

Retention rates

NA	NA	NA	NA	NA
----	----	----	----	----

Graduation rates

NA	NA	NA	NA	NA
----	----	----	----	----

Other measures, specify:

Branch Campus and Instructional Locations (Add definitions/methodology in #5 below)

Course completion rates

NA	NA	NA	94%	94%
----	----	----	-----	-----

Retention rates

NA	NA	NA	96%	96%
----	----	----	-----	-----

Graduation rates

NA	NA	NA	NA	
----	----	----	----	--

Other measures, specify:

--	--	--	--	--	--

--	--	--	--	--	--

--	--	--	--	--	--

1 Other measures, specify:

2	
3	
4	
5	Lines 36, 37: Killington branch campus. Lines 41, 42 Bennington branch campus. Both locations were opened fall 2019. Bennington's nursing students are included in main campus numbers; thus there are no separate retention rates. The graduation rates provided are those of the Southern Vermont College students the Bennington campus taught out in AY2019-2020 and 2020-2021.

Chapter 9

Integrity, Transparency, and Public Disclosure

Integrity

Description

Castleton University is committed to holding its administration, faculty, staff, and students to high and transparent ethical standards. The most detailed information about Castleton can be found in five primary places: the [Undergraduate Catalog](#), the [University Handbook](#), the [Graduate Catalog](#), the [University website](#), and the website for the [Vermont State Colleges System](#). These information sources are all available to the general public and strive to meet all of the standards for online accessibility. Additionally, the University's web site prominently features a [Public Disclosure](#) page that provides links to the most commonly requested information by the public.

The [University Handbook](#) provides guidelines for upholding honesty and integrity in academics. This guide provides clear definitions of infractions of academic honesty, including a definition and detailed analysis of forms of plagiarism. In addition, the Academic Support Center and Calvin Coolidge Library staff are available to help students access and evaluate the integrity of information, especially information from the Internet, as it applies to academic use. The handbook describes remedies available to instructors and academic advisers for violations of Castleton's academic policy.

Policies regulating faculty behavior and the process of discipline for faculty are set forth in the faculty collective bargaining agreements: [Full-Time Faculty Federation Agreement](#) and the [Part-Time Faculty Federation Agreement](#). The VSC also has [policies](#) adopted by the Board of Trustees, which govern the behavior of administration, faculty, staff, and students. For example, policies 201-211 focus on personnel conduct, including policies about political activity and conflicts of interest. Policies 301-316 govern student behavior (akin to the *University Handbook*). Board policies often duplicate or reinforce institutional policies.

The *University Handbook* and the *Undergraduate Catalog* describe student responsibilities and promote a sense of fairness by clearly addressing academic policies, student governance, and residential life. These publications also detail University policy regarding alcohol, hazing, harassment, and sexual assault. Investigative and disciplinary procedures, judicial hearings, and due process, including the right to appeal, are also clearly outlined in these documents.

Personnel policies at Castleton and the VSC specify employee rights and responsibilities in legally binding bargaining-unit agreements. The powers, rights, and responsibilities of college administrators are described in the [Non-Bargaining Unit Personnel Handbook](#) for exempt administrators and administrative staff. The bargaining unit agreements are publicly available on the [Vermont State Colleges System website](#). These agreements between the University and its unions include policies regarding hiring, promotion, benefits, seniority, discipline, and grievances. The five bargaining units include those representing staff as well as full- and part-time faculty. Bargaining unit agreements include descriptions of rights to legal representation in standard grievance procedures for the different

categories of employees. The Vermont State Colleges System Conflict of Interest guidelines are published under its [Personnel Policies](#).

The University's [Public Disclosure web page](#) displays all of the information required to be made public.

[Article 7 of the agreement](#) between the Vermont State Colleges System and the Vermont State Colleges Faculty Federation assures the faculty's freedom of inquiry in teaching and research. The Faculty Assembly oversees the charges of faculty committees concerned with matters of academic freedom (Curriculum), professional development (Faculty Affairs), and personnel (Reappointment, Promotion, Tenure).

As a member of the Vermont State Colleges System, and being a public university, Castleton is granted necessary authorities under Vermont Statute ([Title 16: Education, Chapter 72: Vermont State Colleges](#)). Policymakers at the local and system levels work in concert with legal counsel to make sure that the University complies with all applicable federal and state legal requirements. Castleton's online programs are approved under State Authorization Reciprocity Agreement (SARA), and all programs, degree levels, modalities, and locations have undergone NECHE review and achieved accreditation.

The University sustains strong, positive relations with the town of Castleton through the [Bridge Initiative](#), a town and gown organization charged with maintaining close communication and mutually beneficial relations with the town of Castleton.

As a statement of values, and partly in response to the racial justice protests during summer 2020, the University Interim President issued a pledge to recommit the University to the work of social justice. That pledge, as well as the prior policies of non-discrimination, can be found on the [University web site](#). The University's non-discrimination statement is placed prominently in the online [University Handbook](#), stating: "Qualified students are recruited for, admitted to, and participate in all University programs without discrimination on the basis of race, color, creed, ancestry, ethnicity, national origin, place of birth, sex, sexual orientation, disability, age, veteran status, marital status, or any other status protected by law."

Castleton provides reasonable accommodations to create equal opportunities for students with documented disabilities. Castleton's Access and Equity Committee, led by the associate dean of students, meets regularly to ensure and consistently improve the fostering of an inclusive atmosphere that supports people of diverse characteristics and backgrounds. The group includes representatives of various campus stakeholder groups. In 2019, the [CU/See Me initiative was launched](#) as a home-grown initiative for members of the Castleton family to recognize diversity and identity in a positive way.

The [Human Subjects Institutional Review Board](#) reviews all University-sponsored research. The board oversees compliance with federal guidelines for the ethical conduct of research as well as selected guidelines for ethics in research established by individual disciplines. This panel is chaired by an academic dean and includes faculty members from a range of disciplines. This oversight group

meets as needed to discuss and assess research proposals from students and faculty, and they work with applicants to be certain all risks to human subjects are minimized and offset by research benefits.

Castleton requires criminal background checks on all new full-time employees and certain part-time employees to protect everyone who works for the University, enrolls in academic programming, or attends University-sponsored events. Additionally, the Office of Admissions and Office of Advancement work closely to ensure the accuracy of the information provided to prospective students through print and digital channels.

Castleton's Conferences and Events office evaluates all applications for conferences, institutes, and workshops to ensure that all hosted activities are consistent with the University's stated educational goals, purposes, and policies.

Castleton serves as a cultural hub for the region, providing many speakers, fine arts events, art shows, theatrical events, and musical performances. These performances are carefully selected to complement academic programming and support the Soundings program, which introduces Castleton students to a variety of cultural programming. Soundings events are overseen by the Soundings and Fine Arts Center Manager and vetted by the Faculty Assembly's Cultural Affairs Committee.

The University is committed to the highest standards of scholarly and personal conduct. Students, faculty, and administrators make up a scholarly community whose integrity and success stem from a mutually agreed upon code of academic standards and principles. Policies regarding academic integrity are published in the [undergraduate and graduate academic catalogs](#). [Grievance policies](#) are outlined in collective bargaining agreements between the University and its employees.

Castleton has consistently sought to demonstrate honesty and integrity in its relationship with NECHE, as evinced in the multiple instances when the University has communicated with the Commission over the last ten years. Castleton is furthermore committed to regularly reflecting upon and assessing its institutional integrity, the primary methods for which depend on open lines of communication between the various groups of campus leadership. The cabinet under the current interim president has brought aboard the elected president of the Faculty Assembly to help improve and extend these communications and to engage in continuous improvement through more streamlined and frequent administration-faculty discussions.

Appraisal

Castleton University strives to be as open and honest in sharing information as possible. While there may be ways to make information more easily accessible, the wide array and the large amount of information that is pertinent to students and the public make the ease of access all the more difficult. The University has worked to balance transparency and ease of access, while prioritizing the most important information that needs to be available.

Admissions counselors and representatives of the Advancement Office are open and honest in representing the Castleton experience to prospective students while guiding them in their decision-making processes.

Castleton keeps the Commission informed of routine and extraordinary circumstances. Recent examples of success include the dialogue in 2019 that went into the planning to teach-out students from College of St. Joseph, Green Mountain College, and Southern Vermont College; the substantive change proposals to add two satellite campus locations; and the addition of online programs. The University's attempt to add a new doctoral program in education in 2016 represents a recent lapse in communication with the Commission. Castleton is becoming increasingly mindful of the "all students, all modalities, all locations" mantra as it tries to fine-tune and publicize its policies and standards, both internally and externally. The University can clearly do a better job at avoiding marginalizing groups/locations and communicating its standards and policies, although progress is sometimes hampered due to the general lack of resources.

Transparency

Description

Since the last review, the University's website has undergone a major revision to make information more accessible to the public, especially students and prospective students. The website is systematically updated by the Advancement and Admissions Offices to provide complete and accurate information, and to ensure that it meets all public disclosure standards.

Castleton's [admissions process](#) is clearly outlined on its website, and applicants and prospective students can connect with admissions officers through that site. In the event that a program has unique admissions requirements, those requirements are outlined in the online *Undergraduate Catalog* or the *Graduate Catalog*. For example, the [requirements for the BA in social work](#) are outlined for those applicants. The website also contains [specific information for veterans and dependents of veterans](#) seeking to apply to Castleton University.

The process and requirements for employment are detailed in the "[Employment Opportunities](#)" section of the University's website. Additional requirements for employment and the application process are described in the job listings. The process for grading and assessment is detailed in the syllabi for coursework. It is also provided to students in the [Academic Policies](#) section of the online *Undergraduate Catalog* as well as the *Graduate Catalog*. Matters of student conduct, discipline, complaints, and appeals are outlined in the *University Handbook* in the section titled [Standards and Consequences](#).

Castleton is responsive to public inquiry in several ways. The website offers a [Contact Us form](#), managed by the Advancement Office, where members of the public can make inquiries to the University. The Advancement Office answers inquiries or forwards them to the appropriate office. Additionally, the footer on the website has a general email account (info@castleton.edu) for those who prefer not to use the form.

In matters of [formal public records requests](#), counsel at the VSC Office of the Chancellor serves as the custodian of public records and responds to requests within the statutorily-required time frame. A notification that the most recent [audited financial statement](#) is available for review through the VSC Chancellor's Office is provided on the website's [Public Disclosure](#) page.

Castleton reviews academic catalogs and print and digital materials annually in the summer after the release of each new catalog. Information is reviewed and updated with faculty involvement to ensure that it is accurate for the upcoming cycle. This yearly collaboration between the faculty, Admissions Office, and the Advancement Office has multiple proofs and checks to ensure the accuracy of the current information portrayed, while older undergraduate and graduate catalogs are archived in the online Catalogs and in the [student resources](#) section of the University's website. In fall 2019, the marketing and communications team launched a major initiative to update and improve thousands of pages of the University website to supplement the regular updates conducted each year.

The main sources of data documenting promises made about program excellence, learning outcomes, success in placement, and achievement of graduates and faculty are at the department level, typically in response to VSC Board of Trustee's [Policy 101: Program Review and Continuous Improvement Process](#) (PReCIP). These reports are reviewed by peer departments and administrators of the VSC but are not widely available to the public.

Additionally, the University engages in an annual survey of recent graduates (six-month post-graduation survey) to assess employment and continuing education, and in 2012 and 2019 participated in the National Survey of Student Engagement. The data from these surveys are on the University's shared drives, accessible by staff and faculty, but are not immediately available to the public.

Appraisal

Castleton University does a reasonably good job of making most information easy to find for the public and prospective students. The fall 2019 initiative to update the content of the University's website has resulted in improved systems and scale to maintain the University website in a more systematic and efficient way. Most major categories of information can be readily accessed through the University's website, and that information is regularly updated to reflect the current situation. Departmental assessments are not available to the public, nor at this time do many departments or the University make evidence available for claims about learning outcomes, job placement, or achievement. Some departments have taken this work on themselves, although the results can be more anecdotal than quantitative.

Ensuring that print and digital publications are complete, accurate, available, readily accessible, and current and that such publications are used systematically for institutional improvement is generally well done, but can be improved. A wide array of information is collected by individual departments and through other academic program assessment tools such as VSC Policy 101 (Program Review and Continuous Improvement Process), but this information is shared anecdotally across campus. There is very little assessment of this data that allows for the University to make statements or promises with certainty. The good news is that Castleton makes very few promises because of this, but it would be tremendously helpful to be able to say more if the data were at hand and reliable. For example, the admissions team might be more effective if it were able to say more about student outcomes as they relate to internships, co-ops, job placements, and graduate school attendance by academic program.

Instead, there is an overreliance on using data from the Castleton Alumni Survey to articulate student outcomes in very general ways. Some academic programs have national accreditation such as Nursing, Athletic Training, and Social Work. By meeting certain standards of their accreditors,

documentation of some level of program quality is available. There are many other areas the University would like to make known to the public, including to prospective students. For example, Castleton states that it provides students with transformative experiences. This claim is supported by data collected by a survey modeled after the CIRP Freshman survey compared against the same group of students as graduating seniors. There are many great stories to tell, but the University lacks the evidence to support the claims. The problem is not that the evidence is not there; instead, the issue is that the resources and time are not available to collect, assess, and share the data in a meaningful way. There are not enough human resources to focus on institutional research at this time, a problem the University is only beginning to remedy with the recent introduction of a half-time institutional resource position.

Public Disclosure

Description

Castleton's catalogue describes the University's programs and objectives in ways consistent with its [mission](#). This information includes the University's Mission, Location, Faculty and Curriculum, History, Strategic Planning, and Accreditation. The University describes the obligations of both students and the institution in its [Undergraduate Catalog](#), [Graduate Catalog](#), and [University Handbook](#).

Several programs at Castleton are accredited by profession organizations. The department of Nursing is [accredited](#) by the Commission on Collegiate Nursing.; the Education program is accredited by the Vermont [Agency of Education](#); the Athletic Training program is [accredited](#) by the Commission on Accreditation of Athletic Training Education; the Social Work program is [accredited](#) by the Council on Social Work Education. [Information about accredited programs](#) appears on our website.

The University provides all required information on its public website. The "[Public Disclosure](#)" page serves as an easily accessible directory for members of the University community and the general public to access this information. This page has connections to information about

- [academic programs](#);
- [accreditation](#);
- [the Family Educational Rights and Privacy Act](#);
- [facilities and services for students with disabilities](#);
- [student diversity](#) and [inclusion](#);
- [the cost of attendance](#) (tuition, fees, room & board), including the [net price calculator](#);
- [financial aid options](#);
- [federal financial aid penalties for drug law violations](#);
- [refund policies and requirements for withdrawal and return of federal financial aid](#);
- [exit counseling for student borrowers](#);
- [campus crime statistics](#) and [campus security policies](#);
- [fire safety report](#);
- [immunization rates](#) (including [current COVID data](#));
- [faculty](#);
- [policy and sanctions related to copyright infringement](#);

- [computer use and file sharing](#);
- [student activities](#);
- [career and job placement services](#);
- [inter-collegiate athletic program participation rates](#) (go to "Get data for one school" • Enter "Castleton University");
- [transfer of credit policies](#); and
- student outcomes related to [graduation and retention rates](#) and [transfer-out rates](#).

The [Undergraduate Catalog](#) and [Graduate Catalog](#) list all courses taught at the University (excepting experimental courses), and the [course schedule](#) lists the courses offered in a given semester. While each major program has its own set of learning outcomes, there is also a set of five [university learning goals](#) as well as a set of seven [learning goals for the General Education program](#). The University undergraduate and graduate catalogs are reviewed and updated annually to reflect archived courses or programs, though this process relies on input from academic departments, which is not always thorough.

The public [Directory](#) on the University website lists faculty members and their departments, as well as their degrees and the institutions granting them. Additionally, each [academic program web page](#) lists its respective faculty, including degrees obtained and granting institutions. Administrative officers are listed in the “About Us” section of the public website, under “[Our Leadership](#).” Castleton does not have its own independent board. Information about the Vermont State Colleges System's Board of Trustees can be found on the [VSC website](#).

Castleton has two satellite campus locations—Killington and Bennington—in addition to its main campus in Castleton, Vermont. Each satellite campus location serves a specific program, [Resort & Hospitality Management](#) and [Nursing](#), respectively.

The Castleton University website is updated annually to reflect the size and characteristics of the student body; this information is included in the [Common Data Set](#). [Academic and other support services](#) are easily found on the University website, as is a long list of clubs and other activities in the [Student Life](#) section of the website.

The University publishes objectives for its students under its [Frames of Reference](#), which showcase the compelling nature of studying the liberal arts. Student outcomes are available in the [Public Disclosure](#) section of the website. The University Advancement Office regularly celebrates the success of its students and alumni in its “[news](#)” [section](#). The University does not currently compile any generalizable assessments of student outcomes available apart from descriptive data on [graduation and retention rates](#). Passage rates for programs with licensure examinations are, however, collected on those relevant program web pages.

The University publishes the [total cost of education and net price](#), including the availability of financial aid in the [Financial Aid and Scholarship](#) section of the website, although currently there are no statistics on average student loan debt upon graduation. Students have the option to attend full-time or part-time for any program. Associate degrees can be completed full-time in two years; a small number of bachelor degrees can be completed in as few as three years, but most require four years of full-time study. Some graduate programs can be completed in as little as one calendar year to as many

as three years of full-time study, but most of Castleton's graduate programs are designed for part-time enrollment, as most students are working professionals.

The University has a thorough screening process for outside recruiting agencies working on its behalf, including a number of organizations that partner with Castleton to recruit international students. Prior to signing any agreement, the Vermont State Colleges System's legal counsel reviews the conditions. Proper training is provided by university personnel, and printed materials are either approved by or sourced right from the University. There are frequent meetings with these recruiters to ensure they are equipped with current materials and are informed of changes as they occur. In addition to working with international recruiters, Castleton recently entered into an agreement with [ReUP Education](#) to recruit former students back to Castleton to finish their degrees.

The University provides clear access to [its accreditation status](#) with NECHE on the Public Disclosure webpage. Additionally, as noted earlier, the [Public Disclosure](#) page lists the other programs with external accreditation. While there are links to the program accreditation bodies, the web page does not explain the nature of the accreditation.

Appraisal

Castleton attempts to collect and make available to students, prospective students, and the public the most current and accurate information possible. The University presents a reasonably accurate and up to date picture of itself to these constituencies, especially through its Public Disclosure web page, and those instances when inaccurate information is used stem from oversights caused by inadequate staffing. The loss of faculty in recent years, for example, has meant that some courses are not offered with the same frequency as in the past. While administration, staff, and faculty do try to catch these instances, changes in course information are not always discovered in time to be accurately reflected in the *Undergraduate Catalog*.

Castleton overall has made substantial progress in cultivating a culture of assessment, although this culture has made the most progress at the program level. The University is only beginning to collect and present aggregate data about student achievement and institutional performance and recognizes the value of collecting this information for the purposes of improvement and making this information available to prospective students. Additionally, while the University makes the cost of attending the institution readily available to prospective students, it could do a better job of presenting an accurate picture of its students' average debt load upon graduation.

Projection

- Castleton will continue to foster transparency in its relationships within and outside the campus community.
- Castleton will continue to implement VSC policies that promote integrity across all campus endeavors, inclusive of all students, faculty, and staff and in both academic and co-curricular arenas.

- Castleton, principally through the Diversity, Equity, and Inclusion Committee (formerly the Access and Equity Committee), will continue to develop and implement policies and activities that promote diversity, equity, and inclusion.
- Castleton will continue to build upon the progress it has made in designing the infrastructure necessary to share information with the public.
- Under the proposed merger with Vermont Technical College and Northern Vermont University, Castleton will take advantage of increased resources and focus on institutional research to better collect, assess, and share information about academic opportunities, academic program quality, and student achievements before and after graduation. An extensive set of dashboard metrics encompassing these variables have been proposed and are under consideration by the Education, Personnel & Student Life Committee of the Board of Trustees.
- Under the proposed merger with Vermont Technical College and Northern Vermont University, Castleton will take advantage of increased resources and focus on institutional research to better collect, assess, and share information about academic opportunities, academic program quality, and student achievements before and after graduation. An extensive set of dashboard metrics encompassing these variables have been proposed and are under consideration by the Education, Personnel & Student Life Committee of the Board of Trustees.

Standard 9: Integrity, Transparency, and Public Disclosure (Integrity)

Policies	Last Updated	Website location where policy is posted	Responsible Office or Committee
Academic honesty	7/24/20	https://www.castleton.edu/campus-life/student-resources/university-handbook/academics/#honesty	Student Life
Intellectual property rights	9/1/18	https://www.vsc.edu/wp-content/uploads/2019/11/Full-Time-Faculty-Federation-Agreement-2018-2022-1.pdf	Chancellor's Office
Conflict of interest	5/26/16	https://www.vsc.edu/wp-content/uploads/2016/10/Policy-210-Employee-Conflict-of-Interest.pdf	Chancellor's Office
Privacy rights	7/24/20	https://www.castleton.edu/campus-life/student-resources/financial-registration-services/student-privacy-release/	Student Life
Fairness for students	7/24/20	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/	Student Life
Fairness for faculty	9/1/18	https://www.vsc.edu/wp-content/uploads/2019/11/Full-Time-Faculty-Federation-Agreement-2018-2022-1.pdf	Chancellor's Office
Fairness for staff	various dates	https://www.vsc.edu/wp-content/uploads/2016/09/Staff-Federation-Agreement-2016-2020.pdf	Chancellor's Office
		https://www.vsc.edu/wp-content/uploads/2016/09/VSCUP-PAT-Agreement-July-2016-June-2020.pdf	
		https://www.vsc.edu/wp-content/uploads/2016/09/VSCUP-SUP-Agreement-July-2016-June-2020.pdf	
Academic freedom	7/24/20	https://www.castleton.edu/campus-life/student-resources/university-handbook/academics/#speech	Student Life
Research	6/5/20	https://www.castleton.edu/academics/research/	Academic Affairs
Title IX	8/12/20	https://resolve.vsc.edu/	Chancellor's Office
Other; specify			

Non-discrimination policies

Recruitment and admissions	10/12/20	http://catalog.castleton.edu/content.php?catoid=22&navoid=2092&hl=discrimination&returnto=search#Application_Procedures	Academic Affairs
Employment	8/12/20	https://www.vsc.edu/wp-content/uploads/2020/08/Policy-311-Revised-for-08-12-20-1-1.pdf	Chancellor's Office
Evaluation	8/12/20	https://www.vsc.edu/wp-content/uploads/2020/08/Policy-311-Revised-for-08-12-20-1-1.pdf	Chancellor's Office
Disciplinary action	7/24/20	https://www.vsc.edu/wp-content/uploads/2020/08/Policy-311-Revised-for-08-12-20-1-1.pdf	Student Life
Advancement	8/12/20	https://www.vsc.edu/wp-content/uploads/2020/08/Policy-311-Revised-for-08-12-20-1-1.pdf	Chancellor's Office
Other; specify			

Resolution of grievances

Students	7/24/20	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/#complaints	Student Life☐
Faculty	9/1/18	https://www.vsc.edu/wp-content/uploads/2019/11/Full-Time-Faculty-Federation-Agreement-2018-2022-1.pdf	Chancellor's Office
Staff	7/1/16	https://www.vsc.edu/wp-content/uploads/2016/09/VSCUP-PAT-Agreement-July-2016-June-2020.pdf	Chancellor's Office
	7/1/16	https://www.vsc.edu/wp-content/uploads/2016/09/VSCUP-SUP-Agreement-July-2016-June-2020.pdf	Chancellor's Office
Other; specify			
Non-bargaining Unit	8/16	https://www.vsc.edu/wp-content/uploads/2017/05/Non-Union-Employees-Personnel-Handbook.pdf	Chancellor's Office

Other	Last Updated	Website location or Publication	Responsible Office or Committee

Please enter any explanatory notes in the box below

Standard 9: Integrity, Transparency, and Public Disclosure (Transparency)

Information	Website location and/or Relevant Publication(s)
How can inquiries be made about the institution? Where can questions be addressed?	https://www.castleton.edu/contact-us/
Notice of availability of publications and of audited financial statement or fair summary	https://www.castleton.edu/about-castleton/public-disclosure/
Processes for admissions	http://catalog.castleton.edu/content.php?catoid=22&navoid=2092&hl=admissions&returnto=search
Processes for employment	https://www.castleton.edu/about-castleton/employment-opportunities/
Processes for grading	http://catalog.castleton.edu/content.php?catoid=22&navoid=2025&hl=admissions&returnto=search#Grading_Policies
Processes for assessment	https://www.castleton.edu/resources/vscs-policy-101-precip-academic-program-annual-report/
Processes for student discipline	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/#Discipline
Processes for consideration of complaints and appeals	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/#complaints

List below the statements or promises made regarding program excellence, learning outcomes, success in placement, and achievements of graduates

Statement/Promise	Website location and/or publication where valid documentation can be found
Our degree programs prepare you for its repective career choices	https://www.castleton.edu/admissions/career-outcomes/

Date of last review of:	
Print publications	September-20
Digital publications	September-20

Please enter any explanatory notes in the box below

The print and digital materials used in marketing and admissions are reviewed and updated annually between July and September.

**Standard 9: Integrity, Transparency, and Public Disclosure
(Public Disclosure)**

Information	Website location
Institutional catalog	http://catalog.castleton.edu/
Obligations and responsibilities of students and the institution	https://www.castleton.edu/campus-life/student-resources/university-handbook/
Information on admission and attendance	http://catalog.castleton.edu/content.php?catoid=22&navoid=2025&hl
	http://catalog.castleton.edu/content.php?catoid=22&navoid=2092&hl
Institutional mission and objectives	https://www.castleton.edu/about-castleton/
Expected educational outcomes	https://www.vsc.edu/wp-content/uploads/2020/11/Sourcebook-2019-Final-copy-updated-11-2020.pdf
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	https://www.castleton.edu/about-castleton/public-disclosure/
Requirements, procedures and policies re: admissions	http://catalog.castleton.edu/content.php?catoid=22&navoid=2092&hl
Requirements, procedures and policies re: transfer credit	http://catalog.castleton.edu/content.php?catoid=22&navoid=2025&hl#Transfer_Credit_for_Current_Students
A list of institutions with which the institution has an articulation agreement	https://www.castleton.edu/admissions/articulations-pathways/
Student fees, charges and refund policies	https://www.castleton.edu/admissions/tuition-fees/
	https://www.castleton.edu/admissions/scholarships-financial-aid/financial-aid-policies-procedures/withdrawal-return-of-financial-aid/
Rules and regulations for student conduct	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/#conduct
Procedures for student appeals and complaints	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/
Other information re: attending or withdrawing from the institution	http://catalog.castleton.edu/content.php?catoid=22&navoid=2025&hl=withdraw&returnto=search#Withdrawing_from_the_College
Academic programs	https://www.castleton.edu/academics/
Courses currently offered	https://selfservice.vsc.edu/Student/Courses
Other available educational opportunities	https://www.castleton.edu/academics/professional-development-continuing-education/the-castleton-center-for-schools/
Other academic policies and procedures	https://www.castleton.edu/campus-life/student-resources/university-handbook/academics/#honesty
Requirements for degrees and other forms of academic recognition	http://catalog.castleton.edu/content.php?catoid=22&navoid=2025&hl=degree+requirements&returnto=search
List of continuing faculty, indicating department or program affiliation, degrees held, and institutions granting them	https://www.castleton.edu/academics/faculty/
Names and positions of administrative officers	https://www.castleton.edu/about-castleton/our-leadership/
Names, principal affiliations of governing board members	https://www.vsc.edu/board-of-trustees/members-committees/
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location	https://www.castleton.edu/academics/undergraduate-programs/resort-management/castleton-lodge-at-killington/
	https://www.castleton.edu/academics/undergraduate-programs/nursing/
Programs, courses, services, and personnel not available in any given academic year.	Individual courses that have specific terms that they are offered in are noted in our academic catalog
Size and characteristics of the student body	https://castleton.s3.amazonaws.com/files/resources/cds2018-2019.pdf
Description of the campus setting	https://www.castleton.edu/campus-life/campus-the-region/
Availability of academic and other support services	https://www.castleton.edu/academics/academic-support/academic-support-center/
Range of co-curricular and non-academic opportunities available to students	https://www.castleton.edu/campus-life/clubs-activities/
	https://www.castleton.edu/library/
Institutional learning and physical resources from which a student can reasonably be expected to benefit	
Institutional goals for students' education	https://www.castleton.edu/academics/undergraduate-programs/general-education/
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate	https://castleton.s3.amazonaws.com/files/resources/retention-and-graduation-rates.pdf
Total cost of education and net price, including availability of financial aid and typical length of study	https://www.castleton.edu/admissions/scholarships-financial-aid/how-to-apply-for-financial-aid-scholarships/
	https://castleton.studentaidcalculator.com/survey.aspx
	https://www.castleton.edu/about-castleton/public-disclosure/
Expected amount of student debt upon graduation and loan payment rates	https://collegescorecard.ed.gov/school/?230834-Castleton-University
Statement about accreditation	https://www.castleton.edu/about-castleton/public-disclosure/accreditation/

Appendices

Affirmation of Compliance with Federal Requirements of Title IV

Series E Forms

Financial Statements

Auditor's Management Letter

Contents of Electronic Workroom

AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

- 1. Credit Hour:** Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (NECHE Policy 111. See also *Standards for Accreditation* 4.34.)

URL	https://www.castleton.edu/about-castleton/public-disclosure/credit-hour-policy/
Print Publications	http://catalog.castleton.edu/content.php?catoid=24&navoid=2316&hl=Credit+hour
Self-study/Fifth-year report Page Reference	Page 34

- 2. Credit Transfer Policies.** The institution's policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (NECHE Policy 95. See also *Standards for Accreditation* 4.38, 4.39 and 9.19.)

URL	https://www.castleton.edu/about-castleton/public-disclosure/
Print Publications	https://catalog.castleton.edu/content.php?catoid=24&navoid=2316
Self-study/Fifth-year Report Page Reference	Page 37

- 3. Student Complaints.** "Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered." (*Standards for Accreditation* 5.18, 9.8, and 9.19.)

URL	https://www.castleton.edu/campus-life/student-resources/university-handbook/standards-and-consequences/
Print Publications	https://www.castleton.edu/campus-life/student-resources/university-handbook/
Self-study/Fifth-year Report Page Reference	Pages 91, 94

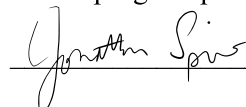
- 4. Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . . The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (NECHE Policy 95. See also *Standards for Accreditation* 4.48.)

Method(s) used for verification	The VSCS uses an Identity Management system. Users are assigned unique user names, and go through an account activation process to set their own passwords. We do not use generic passwords. Passwords are required to meet a specified complexity, which is enforced programmatically. We encourage students to change their passwords every 120 days. Our network usage policies forbid sharing of user accounts and outline the possible consequences of violations.
Self-study/Fifth-year Report Page Reference	

- 5. FOR COMPREHENSIVE EVALUATIONS ONLY: Public Notification of an Evaluation Visit and Opportunity for Public Comment:** The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments. (NECHE Policy 77.)

URL	https://www.castleton.edu/about-castleton/public-disclosure/
Print Publications	
Self-study Page Reference	Page 99

The undersigned affirms that Castleton University (institution name) meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer: 

Date: 07/30/21

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY	(1) Where are the learning outcomes for this level/program published? (please specify) Include URLs where appropriate.	(2) Other than GPA, what data/ evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	(3) Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	(4) What changes have been made as a result of using the data/evidence?	(5) Date of most recent program review (for general education and each degree program)
At the institutional level:					
For general education if an undergraduate institution:	Information Literacy ; Graduation Standards for Undergraduates	Students must receive a grade of “pass” on the writing portfolio, which includes a culminating essay. Students must pass the information literacy test. Students must pass the quantitative reasoning assessment.	Students write two timed essays: one a formative assessment and the other cumulative “culminating essay” that must receive a passing grade. FT and PT faculty, primarily from the English department, assess the essays anonymously after the essays are written. This process takes places every semester.	The data shows that most students (~85%-93%) pass the Culminating Essay on the first try. Those who don’t retake the assessment and eventually work with a specialist if they fail three tries. The process clearly indicates a robust writing program across the campus, with individual instructors adjusting their pedagogy as needed.	The general education program was reviewed in 2019-2020 at the VSCS level. Associate degree level general education requirements (distribution requirements) were made identical, with shared student learning outcomes, across the VSCS effective 2021-2022

<p>List each degree program: (Undergraduate) 1. Accounting (BS.ACC)</p>	<p>The Accounting SLOs can be found on the Accounting Website: https://www.castleton.edu/academics/undergraduate-programs/accounting/accounting-program-requirements/</p> <p>They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1967&returnto=2090</p>	<p>External Reviewer(s) will read and analyze a sample of BUS 4080 Executive Summaries for criteria based on a rubric that focuses on accurate problem definition and solving. Pre- and Post-Tests regarding writing skills will be taken each semester by students taking BUS 3035. Improvement of 1 grade level is expected during the course. Scores on BUS 3035 Excel case will exceed 75%.</p>	<p>Faculty teaching BUS 4080 are responsible and will distribute samples to reviewers in the 4th year of the cycle. Faculty teaching BUS 4080 and BUS 3035 will collect the data.</p>	<p>Summary of results will be shared with entire department for review of evidence. The program will use its analysis to inform teaching methods, material, and curriculum revisions.</p>	<p>PreCIP review in 2016</p>
<p>2. Archaeology, Geography, & Applied Anthropology (BS.AGA)</p>	<p>The Archaeology, Geography, and Applied Anthropology SLOs can be found on the Archaeology, Geography, and Applied Anthropology program website: https://www.castleton.edu/academics/undergraduate-programs/archaeology-geography-applied-anthropology/archaeology-geography-applied-anthropology-program-requirements/</p> <p>They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=24&poid=2427&returnto=2387</p>	<p>In addition to the successful completion of core courses, the Archaeology, Geography, and Applied Anthropology program assesses students on the basis of a capstone course and final project, successful completion of an approved internship, internship sponsor feedback, senior questionnaire, and graduating student exit interviews.</p>	<p>Archaeology, Geography, and Applied Anthropology program faculty meet each spring to review and assess student capstone projects, internship feedback results, questionnaire and exit interview data, and ongoing student progress toward completion of program and learning outcomes.</p>	<p>No changes to the curriculum have been made yet that are a result of these data.</p>	<p>This program has not been in existence long enough to go through the PreCIP review (every 5 years).</p>
<p>3. Art: Art Education (BA.ART.ARE)</p>	<p>The Art Education SLO's can be found on the Art Department website: https://www.castleton.edu/academics/undergraduate-programs/art/art-education-program-requirements/. They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2075&returnto=2093.</p>	<p>In addition to the successful completion of our core course sequence, the Art Department assesses student achievement in the following ways: capstone Senior Exhibition review, senior questionnaire, and graduating student exit interview. In addition, Art Education students are assessed through Praxis I/II licensure examination and the student teaching portfolio.</p>	<p>Art faculty meet to review and evaluate each Senior Exhibition, as well as to review the Portfolio materials developed by each graduating student. Documentation of Senior Exhibitions and graduating student questionnaires are maintained by the Department Chair. Art Faculty also meet to discuss the Sophomore Reviews.</p>	<p>Art Faculty revised the curriculum to provide more coherence within the upper-level core courses (including Intermediate and Advanced Open Studio, Professional Studio I and II, and our capstone Senior Exhibition course. In addition, the faculty instituted Sophomore Reviews to provide better guidance for students at the midpoint of their</p>	<p>The Art Department's last full PreCIP report was in 2015. Due to the unusual circumstances of the pandemic, we submitted an abbreviated PreCIP</p>

				program. Art faculty worked with the Education Department to clarify the sequence of Education courses for the Art Education majors. We have determined that the Student Learning Outcomes for the Art Education major still need to be revised.	report in 2020.
4. Art: Art History (BA.ART.ARH)	The Art History SLO's can be found on the Art Department website: https://www.castleton.edu/academics/undergraduate-programs/art/art-history-program-requirements/ . They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2073&returnto=2093 .	In addition to the successful completion of our core course sequence, the Art Department assesses student achievement through the capstone Senior research project and presentation, senior questionnaire, and graduating student exit interview.	Art faculty review and evaluate each Senior research presentation. Documentation of the presentation is maintained by the Department Chair.	No recent changes have been made to the Art History program specifically, but Art History students have benefitted from the changes made to the Studio art curriculum. We have determined that we still need to revise the Art History Student Learning Outcomes.	The Art Department's last full PReCIP report was in 2015. Due to the unusual circumstances of the pandemic, we submitted an abbreviated PReCIP report in 2020.
5. Art: Photography (BA.ART.PHO)	The Photography SLO's can be found on the Art Department website: https://www.castleton.edu/academics/undergraduate-programs/art/photography-program-requirements/ . They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2076&returnto=2093 .	In addition to the successful completion of our core course sequence, the Art Department assesses student achievement in the following ways: capstone Senior Exhibition review, senior questionnaire, and graduating student exit interview.	Art faculty meet to review and evaluate each Senior Exhibition, as well as to review the Portfolio materials developed by each graduating student. Documentation of Senior Exhibitions and graduating student questionnaires are maintained by the Department Chair. Art Faculty also meet to discuss the Sophomore Reviews.	Art Faculty revised the curriculum to provide more coherence within the upper-level core courses (including Intermediate and Advanced Open Studio, Professional Studio I and II, and our capstone Senior Exhibition course. In addition, the faculty instituted Sophomore Reviews to provide better guidance for students at the midpoint of their program. We also revised the Photography SLO's but these still need to be updated on the website and catalog.	The Art Department's last full PReCIP report was in 2015. Due to the unusual circumstances of the pandemic, we submitted an abbreviated PReCIP report in 2020.

6. Art: Studio Art (BA.ART.STA)	The Studio Art SLO's can be found on the Art Department website: https://www.castleton.edu/academics/undergraduate-programs/art/studio-art-program-requirements/ . They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2072&returnto=2093 .	In addition to the successful completion of our core course sequence, the Art Department assesses student achievement in the following ways: capstone Senior Exhibition review, senior questionnaire, and graduating student exit interview.	Art faculty meet to review and evaluate each Senior Exhibition, as well as to review the Portfolio materials developed by each graduating student. Documentation of Senior Exhibitions and graduating student questionnaires are maintained by the Department Chair. Art Faculty also meet to discuss the Sophomore Reviews.	Art Faculty revised the curriculum to provide more coherence within the upper-level core courses (including Intermediate and Advanced Open Studio, Professional Studio I and II, and our capstone Senior Exhibition course. In addition, the faculty instituted Sophomore Reviews to provide better guidance for students at the midpoint of their program. In the past year, we significantly revised the Studio Art SLO's to more fully capture the range of skills and dispositions we expect students to demonstrate by the time they graduate.	The Art Department's last full PReCIP report was in 2015. Due to the unusual circumstances of the pandemic, we submitted an abbreviated PReCIP report in 2020.
7. Athletic Training (BS.KIN)	The Kinesiology/Pre-Athletic Training SLOs can be found in undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2121&returnto=2090	Internship- student reflective journals & supervisor evaluation forms; Course assignment rubric for SOAP note documentation and senior thesis; Senior Exit Surveys and Alumni Surveys.	Internship forms to be evaluated by core faculty annually in the spring. The rubric is used to assess speaking and writing effectiveness biennially in the fall. The senior exit interview will be reviewed annually in the fall. The alumni survey will be conducted biennially and reviewed in the fall.	This program is only 3 years old. Assessment efforts thus far have consisted of developing the assessment plan, and creating the assessment tools (rubric, surveys, eval forms). Due to COVID restrictions and limitations this year the rubric review was not done. There is no senior thesis to assess or senior exit interviews/alumni to surveys to review yet.	This program has not been in existence long enough to go through the PReCIP review (every 5 years).
8. Biology (BS.BIO)	The learning outcomes for the Biology major are listed in the Undergraduate Catalog http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2017&returnto=2090	Currently we have been using a national Biology specific ACAT (Area Concentration Achievement Test) that is given to senior students in their last semester. We have chosen areas of Biology that we expect the students to know by the time they graduate. ACAT assesses	The data is reviewed by the program coordinator and department chair with consultation of other biology instructors. There is an annual department retreat where we focus on assessment and make specific plans for data collection and interpretation.	No changes to the curriculum have been made that are a direct result of these test data.	PReCIP Review was completed during the 2016-17 academic year.

		content knowledge and retention by students at the completion of their major. This provides quantitative assessment data with a national reference group that is meant to inform decision making about student learning outcomes. The data has been useful, but unfortunately too sporadic for us to ascertain a trend. The test codes must be purchased for each student and budget freezes have prevented purchasing of these codes during some year. The abrupt ending of courses in the Spring 2019 semester prevented that graduating class from also taking the exam.			
9. Biology: Ecology and Evolutionary Biology (BS.BIO.EEB)	The learning outcomes for the Biology major are listed in the Undergraduate Catalog http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2017&returnto=2090	Assessment of all the biology concentrations is done in parallel so the process is the same for each.	The data is reviewed by the program coordinator and department chair with consultation of other biology instructors. There is an annual department retreat where we focus on assessment and make specific plans for data collection and interpretation.	No changes to the curriculum have been made that are a direct result of these test data.	PRECIP Review was completed during the 2016-17 academic year.
10. Biology: Molecular Biology and Biomedicine (BS.BIO.MBB)	The learning outcomes for the Biology major are listed in the Undergraduate Catalog http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2017&returnto=2090	Assessment of all the biology concentrations is done in parallel so the process is the same for each.	The data is reviewed by the program coordinator and department chair with consultation of other biology instructors. There is an annual department retreat where we focus on assessment and make specific plans for data collection and interpretation.	No changes to the curriculum have been made that are a direct result of these test data.	PRECIP Review was completed during the 2016-17 academic year.
11. Chemistry (BS.CHE)	The learning outcomes for the Chemistry major are listed in the Undergraduate Catalog (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2099&returnto=2090).	Students are evaluated using the Diagnostic of Undergraduate Chemistry Knowledge (DUCK) Exam which is published by the American Chemical Society. The exam is administered during the student's final Spring semester. Writing samples are collected and assessed during CHE 2112. Oral communication is assessed at the	The data is reviewed by the program coordinator and department chair with consultation of other chemistry instructors. Since the Chemistry major is still relatively new, we have not completed this review yet, but all of the student work has a collection schedule and is archived.	We have not made any changes using the evidence using the DUCK exam because we are in the process of collecting enough data to evaluate. It is expected that this analysis will occur during	This was a new program during the last assessment cycle, so it has not yet been reviewed. It will be

		annual NAS Research Fair. Laboratory skills and tools are assessed in CHE 2112		our next internal program evaluation.	reviewed AY 2021-22.
12. Computer Information Systems/Business (BS.CIS.BUS)	<p>The Computer Information Systems learning outcomes can be found online at: https://www.castleton.edu/academics/undergraduate-programs/computer-information-systems/computer-information-systems-program-requirements/</p> <p>Additionally, the CIS learning outcomes can be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=24&poid=2261&returnto=2384</p>	CIS students are required to complete one, 4810 upper level, 3 credit internship course (140 hours) as part of the degree requirements. The internship course requires student reflective written communication (weekly and final) as well as job supervisor evaluation forms.	The CIS program coordinator evaluates the job supervisor evaluation forms to identify potential issues employers face with student interns as potential employees.	Updates to course content and new course creation for required program courses have been made as a result of evaluating information from internship employers.	The most recent PReCIP review was in 2017.
13. Criminal Justice (BA.CRJ)	<p>Program requirements are listed in the undergraduate catalog on the CRJ Program website at http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2046&returnto=2090 for the BA.CRJ program.</p>	<p>CRJ 4720 Sr. Seminar in Criminal Justice – this is a capstone course for the major. Students complete a comprehensive exam of foundational criminal justice concepts covered over the course of their academic career and also write and present a senior research project. Sr. BA.CRJ students also complete a survey of how well they believe they have mastered the BA.CRJ SLOs.</p> <p>CRJ 4810 CRJ Internship & Seminar – up to 7 BA students who are juniors or seniors apply for an internship and after being accepted complete a 125 hr. with a sponsoring CRJ agency. Among the requirements of this course students are required to develop goals for their internship, do a self-evaluation or their agency performance, the instructor conducts a site interview</p>	Program Coordinator (PC) in consultation other full-time Program faculty informally review required courses at end of each academic year to see how well students are satisfying SLOs and if any of required courses or SLOs require revision/modification. Since we lacked 2 full-time faculty to complete this review until the 2020-2021 Academic year, the Program Coordinator performed this task on his own in Spring 2020. The development of a Criminal Justice Program Review Committee (PRC) has been thwarted as a result of the COVID 19 pandemic, but now that we have a full-compliment of program faculty we hope to begin an annual review of SLO data; to include the PC, other full-time CRJ faculty, and perhaps expand our group to include a BA.CRJ alum, and a junior and senior in the program.	Addition of new SLO 1 in Spring 2020 PReCIP report emphasizing importance of students understanding and being able to explain meaning and importance of justice in CRJ and exploring ways in which to improve CRJ agencies delivery of justice; revision of SLO 2 to incorporate examination and evaluation of gov't CRJ data to assess agency effectiveness; revision of SLO 7 to have students identify relevant organizational and mgmt. practices within specific components of CRJ system – police, courts, and corrections; Revision of SLO to link crime data with crime theory and	PReCIP Review 2019: Finalized November of 2019.

		with their agency supervisor and that supervisor submits a final assessment of their work when they have completed their internship hours.		correctional and crime prevention program development; revision of remaining SLOs to come up with verbs to provide for more measurable outcomes.	
14. Early Childhood and Special Education (BA.ECE)	CU Website , Student Handbook (in Development). This is a new program.	Praxis Core & Praxis II, Student Teaching Gates , Student Teaching (EDU 4871, 4872, and Seminar VT AOE Licensure Portfolio	ECSE Development team of three EDU Faculty and one Director of EDU have met weekly to research and develop this degree and are currently building an Institutional Profile to be reviewed for licensure in Spring 2021	We are in the process of getting Faculty Assembly approval of some course changes in order to add student teaching where we originally had four practicum, which we discovered is not compliant with licensure requirements.	VT AOE Results Oriented Program Approval (ROPA) New Program Review 5/21
15. Ecological Studies (BA.ECS)	The learning outcomes for the Ecological Studies major are listed in the Undergraduate Catalog http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2083&returnto=2090	<p>For the last five years, students in Ecology have been asked to develop a research proposal to address a Lyme Disease related question. In this proposal they write an introduction, develop a hypothesis, and formulate a method to test the hypothesis using what is known about the topic. Ultimately, they speculate on what needs to be identified in future research.</p> <p>In the spring of 2021, I hope to have at least 2 other members of the department read through the proposals (there are approximate 30 or so) and assess them in terms of</p> <ol style="list-style-type: none"> 1. Scientific understanding – Comprehending complexities of Lyme Disease transmission and human risk and the role ecological systems play in mitigating or inflating infection rates. 2. Scientific inquiry - Developing a scientifically sound method to address a valid scientific hypothesis. 	The data is reviewed by the program coordinator and department chair with consultation of other biology and environmental science instructors. There is an annual department retreat where we focus on assessment and make specific plans for data collection and interpretation.	As a result of assessment activities Student Learning Outcomes have been developed and modified for BIO 3060 Ecology, BIO 3030 Ecology of Water, and BIO 4250 Ecotoxicology that align more closely with program goals. Both BIO 3060 and BIO 3030 are upper-level courses that all ECS students take so we intend to focus on these two courses, for assessment in the future.	PreCIP Review was completed during the 2016-17 academic year.

		<p>3. Ability to communicate in writing – Writing for a target audience of uniformed but intelligent persons with a scientific background but not necessarily an ecological background.</p> <p>4. Use of information resources – Demonstrating the ability to find, interpret, and use credible scientific sources to inform their scientific endeavors.</p>			
16. Economics: Major-by-Contract (BA.SSC.ECO)	<p>This program has been closed, is in the process of teaching out remaining majors, and is no longer accepting new students after 2020.</p> <p>Castleton undergraduate catalog http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1989&returnto=2090</p>	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination) Embedded course-appropriate exam questions in all ECO courses; Senior Capstone Project with self-assessment; program assessment survey for graduating seniors.	Annually by the Economics coordinator; exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	Addition of a 1000-level course (Building Sustainable Prosperity) to increase opportunities for civic engagement and experiential and applied learning.	2019
17. English (BA.ENG)	UG Catalog: http://catalog.castleton.edu/preview_entity.php?catoid=22&ent_oid=289&returnto=2093	Written work collected in entry gateway classes (ENG 1250 and ENG 1310) and Capstone projects from ENG 4940.	ENG faculty meet in the summer to read and discuss the evidence.	None at this date. We are just starting.	2018
18. English: Honors (BA.ENG.HON)	UG Catalog: http://catalog.castleton.edu/preview_entity.php?catoid=22&ent_oid=289&returnto=2093	Written work collected in entry gateway classes (ENG 1250 and ENG 1310) and Capstone projects from ENG 4940.	ENG faculty meet in the summer to read and discuss the evidence.	None at this date. We are just starting.	2018
18. Environmental Science (BS.ENV)	The learning outcomes for the Environmental Science major are listed in the Undergraduate Catalog http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2018&returnto=2090 .	Evidence is assessed in the capstone course Biogeochemistry: Soils and Elemental Cycles. Intellectual skills 3-6 are all assessed at various stages of a semester long research	The capstone course is offered every other year and materials are assessed by Professor Garcia and Professor Vermilyea. We are in the first cycle of data collection	No changes have been implemented yet	PRCIP Review was completed during the 2016-17

		proposal, execution, and presentation.			academic year.
19. Environmental Studies: Major-by-Contract (BA.SSC.ENV)	Castleton undergraduate catalog, http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1991&returnto=2090	In-class project assessment in ENV 1015 (Intro to Environmental Studies), Senior Capstone Project; program assessment survey for graduating seniors. All assessments are completed using a standard rubric. Also, program assessment survey for graduating seniors.	Annually by the Environmental Studies coordinator; exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	New introductory (gateway) course developed for Fall 2019; addition of GEO 2220 (Weather and Climate) to list of courses that count toward the major; students are now required to take 3000-level applied course in Conservation, Planning and the Environment as part of the major, and are advised to take a course in Geographic Information Systems for employability.	2019
20. Exercise & Sports Science (BS.ESS)	The Exercise & Sports Science SLOs can be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2019&returnto=2090	<ul style="list-style-type: none"> · AHS 4830 Internship in Exercise Science – students complete a 3-credit internship (140 hours) at an approved site. Students complete a log of hours (signed off by internship supervisor) and a reflective summary of the experience. In addition, internship supervisors also complete an evaluation form which they submit directly to the ESS program coordinator. --or-- · AHS 4912 Senior Research in Exercise & Sports Science – students complete an independent research project with the supervision of one of the faculty in ESS. This process includes writing/submitting the HSIRB, subject recruitment, data 	At the mid-point and end of every academic year, the Program Coordinator meets with the Natural Science Department Chair and faculty to review each program.	The primary change has been the addition of a second faculty in the ESS program. We are in the process of making important curriculum changes, such as the addition of areas of concentration (General ESS, Strength and Conditioning, and Clinical Exercise Science).	The last PReCIP review occurred in 2015-2016

		<p>collection and analysis, presentation of the study upon completion.</p> <ul style="list-style-type: none"> · AHS 4160 Clinical Exercise Testing & Prescription · AHS 4220/4221 – a two-semester course that prepared students to sit for National Strength and Conditioning Association (NSCA) certification exam to become a Certified Strength and Conditioning Coach (CSCS). 			
21. Forensic Psychology (BS.FPS)	<p>The Bachelor of Science in Forensic Psychology learning outcomes are published in the catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2041&returnto=2090</p> <p>They are also available on the Psychology page of the Castleton website: https://www.castleton.edu/academics/undergraduate-programs/psychology/forensic-psychology-program-requirements/</p>	<ol style="list-style-type: none"> (1) Intro to Psychological Sciences final exam (2) Poster presentation from Research Methods course sequence (3) Completion of ethics training in human subjects research (4) Research paper written in a 3000- or 4000-level course (5) Self-assessment of professional dispositions <p>[note that (1), (3), and (5) are currently being reconsidered/amended]</p>	<p>Annually the full-time faculty in the department assess one of the five major learning outcomes. Student work is currently saved in a shared drop box folder, although we are transitioning away from that format. As a department we have developed rubrics for each of the learning outcomes and we divide up whatever student work is available.</p>	<p>Following our 2014 PReCIP review, we decided to remove all concentrations, but elected to keep Forensic Psychology as a major because of strong student interest. In order to more explicitly train students for careers in forensic psychology, which generally requires graduate study, we made changes that are parallel to our new BS in Psychology Science: a course in ethics and diversity, a statistics requirement, and a 4000-level outside-the-classroom experience- either research or practicum. As with all of our undergraduate programs we added Abnormal Psychology and Proseminar as core requirements.</p>	<p>Last PReCIP Review: 2019 [note this precise program was not evaluated in the last PReCIP because it is part of the new curriculum which launched in Fall 2019)</p>
22. Geography: Major-by-Contract (BA.SSC.GEO)	<p>This program has been closed, is in the process of teaching out remaining majors,</p>	<p>Project assessment (by standard rubric) in GEO 2050 (Cartography), GEO 1060 (Fundamentals of Geography); Senior capstone project</p>	<p>Annually by the Geography Coordinator; exit surveys reviewed annually by department assessment</p>	<p>Complete re-orientation of major with consideration of transferrable geography skills starting in 2019, with</p>	<p>2019</p>

	and is no longer accepting new students after 2020. Castleton undergraduate catalog, http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1993&returnto=2090	(assessed by standard rubric keyed directly to outcomes); program assessment survey for graduating seniors.	committee, with feedback presented to the coordinator annually.	new skills-based courses added (in cartography, geographic information systems, conservation/planning/environment, historical geography of North America, and reconstruction of historical landscapes, as well as internship options). Also, addition of GIS-related unit to GEO 1060 (Fundamentals of Geography).	
23. Global Studies (BA.GLB)	Castleton undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1994&returnto=2090	Senior project and presentation assessment by rubric; program assessment survey for graduating seniors.	Annually by the Geography, History, Environmental Studies, and Global Studies Coordinators (depending on the source of the information); exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	Reorganization of major (including reduction in credit hours and changes to core and upper-level requirements) adopted effective August 2020. Problems identified in capstone projects of graduating seniors in the areas of global awareness and research skills have led to the strengthening of the program coordinator's oversight of student project planning.	2019
24. Graphic Design (BA.GDS)	Undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2120&returnto=2090				
25. Health Promotion (BS.HLP)	The Health Promotion SLOs can be found in the undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2096&returnto=2090	Practicum Experience, e.g. Student teaching or internship, teaching portfolio, Praxis Exams. Students are recommended for licensure in their endorsement area based upon successful completion of Vermont's initial licensure portfolio as well as minimum student teacher grade of B or better.	Every semester the Program Coordinator and HETE Faculty review student portfolios, along with internship and practicum sites.	Updates to student teacher evaluation (grading form, completed by mentor and university supervisor) to better align with national and state health education standards. Addition of coursework and new course (pre-practicum in teaching) to assist student in portfolio work as well as preparing	Eight Year Formal Accreditation Review, ROPA, fall 2019 (passed)

				them to enter the practical experience.	
26. Health Promotion: Community Health (BS.HLP.CED)	The Health Promotion SLOs can be found in the undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2096&returnto=2090	All Health Promotion concentrations are done in parallel so follow the same process (as indicated above)	All Health Promotion concentrations are done in parallel so follow the same process (as indicated above)	All Health Promotion concentrations are done in parallel so follow the same process (as indicated above)	Eight Year Formal Accreditation Review, ROPA, fall 2019 (passed)
27. Health Promotion: School Health (BS.HLP.ESE)	The Health Promotion SLOs can be found in the undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2096&returnto=2090	All Health Promotion concentrations are done in parallel so follow the same process (as indicated above)	All Health Promotion concentrations are done in parallel so follow the same process (as indicated above)	All Health Promotion concentrations are done in parallel so follow the same process (as indicated above)	Eight Year Formal Accreditation Review, ROPA, fall 2019 (passed)
28. Health Science (BS.HLT)	The Exercise & Sports Science SLOs can be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2021&returnto=2090	AHS 2810 Internship in Health Science – students complete a 1-credit internship (140 hours) at an approved site. Students complete a log of hours (signed off by internship supervisor) and a reflective summary of the experience. In addition, internship supervisors also complete an evaluation form which they submit directly to the Health Science program coordinator.	At the mid-point and end of every academic year, the Program Coordinator meets with the Natural Science Department Chair and faculty to review each program.	The Natural Science Department (NAS), in conjunction with the Department of Health, Human Movement and Sport (HHMS) has recently overhauled the Health Science curriculum. As a result, we have developed three areas of specialization: Pre-Athletic Training, Pre-Health Professions, and General Health Science. We believe these changes will improve marketing to prospective students as it simplifies the overview of academic programs and related career paths. In addition, it will ease the transition between majors for students who, for example, enter Castleton as a Health Science major but decide to change to Athletic Training. This is due to the fact that the first-year curriculum is the same, regardless of which specialization track a student chooses. There is	The last PRECIP review occurred in 2015-2016.

				also a new common, first year course that will be taken by all Health Science majors.	
29. History (BA.HIS)	Castleton undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1998&returnto=2090	Embedded assessment in introductory HIS courses and in capstone course (in capstone course, students complete a research paper and presentation). Assessment is conducted with the use of standard rubrics. Also, Secondary Education students are required to take the Praxis II exam. All graduating seniors complete a program assessment "exit" survey.	Annually by the History Coordinator and Capstone Instructor, with other history faculty as appropriate (annually); exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	Minor changes to major requirements, including reduction in credit hours and changes to regional-history requirements. Replacement of two required 1000-level courses in World History with new courses in Ancient History and Global History. Elimination of 1-semester American History survey, replaced with a required 2-semester American History survey. Also, in 2020, the History Program adopted a new set of learning outcomes for the program.	2019
31. Kinesiology/Pre-Athletic Training (BS.KIN)	The Kinesiology/Pre-Athletic Training SLOs can be found in undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2121&returnto=2090	Internship- student reflective journals & supervisor evaluation forms; Course assignment rubric for SOAP note documentation and senior thesis; Senior Exit Surveys and Alumni Surveys.	Internship forms to be evaluated by core faculty annually in the spring. The rubric is used to assess speaking and writing effectiveness biennially in the fall. The senior exit interview will be reviewed annually in the fall. The alumni survey will be conducted biennially and reviewed in the fall.	This program is only 3 years old. Assessment efforts thus far have consisted of developing the assessment plan, and creating the assessment tools (rubric, surveys, eval forms). Due to COVID restrictions and limitations this year the rubric review was not done. There is no senior thesis to assess or senior exit interviews/alumni to surveys to review yet.	This program has not been in existence long enough to go through the PReCIP review (every 5 years).
32. Management (BS.MGT)	The Management SLOs can be found on the Management Website:	External Reviewer(s) will read and analyze a sample of BUS 4080 Executive Summaries for criteria	Faculty teaching BUS 4080 are responsible and will distribute	Summary of results will be shared with entire department for review of	PReCIP review in 2016

	https://www.castleton.edu/academics/undergraduate-programs/management/management-program-requirements/ They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1968&returnto=2090	based on a rubric that focuses on accurate problem definition and solving. Pre- and Post-Tests regarding writing skills will be taken each semester by students taking BUS 3035. Improvement of 1 grade level is expected during the course. Scores on BUS 3035 Excel case will exceed 75%.	samples to reviewers in the 4 th year of the cycle. Faculty teaching BUS 4080 and BUS 3035 will collect the data.	evidence. The program will use its analysis to inform teaching methods, material, and curriculum revisions.	
33. Marketing (BS.MKT)	The Marketing SLOs can be found on the Marketing Website: https://www.castleton.edu/academics/undergraduate-programs/marketing/ They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=1969&returnto=2090	External Reviewer(s) will read and analyze a sample of BUS 4080 Executive Summaries for criteria based on a rubric that focuses on accurate problem definition and solving. Pre- and Post-Tests regarding writing skills will be taken each semester by students taking BUS 3035. Improvement of 1 grade level is expected during the course. Scores on BUS 3035 Excel case will exceed 75%.	Faculty teaching BUS 4080 are responsible and will distribute samples to reviewers in the 4 th year of the cycle. Faculty teaching BUS 4080 and BUS 3035 will collect the data.	Summary of results will be shared with entire department for review of evidence. The program will use its analysis to inform teaching methods, material, and curriculum revisions.	PReCIP review in 2016
34. Mathematics (BS.MAT)	The Mathematics SLOs can be found on the Mathematics Website: https://www.castleton.edu/academics/undergraduate-programs/mathematics/mathematics-program-requirements/ They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2004&returnto=2090	MAT1531 Calculus I Assessment, successful completion of mathematics core course sequence including culminating Senior Seminar, graduating student exit interview	Department Chair collects and maintains Calculus assessment data every semester for past five years. Exit interviews have been conducted by an academic dean every four years, coinciding with PReCIP reviews.	Changes to the calculus course content and pedagogies, with a stronger focus on conceptual and active learning. Changes to course sequencing and prerequisites have also been made based on student performance.	PReCIP review in 2016
35. Mathematics: Elementary Education (BA.MAT.EED)	CU website: https://www.castleton.edu/academics/undergraduate-programs/mathematics/elementary-education-program-requirements/ Elementary Education Licensure Undergraduate catalog:	MAT1531 Calculus I Assessment, successful completion of mathematics and education core course sequences, Praxis I/II licensure examination, graduating student exit interview, student teaching portfolio.	Department Chair collects and maintains Calculus assessment data every semester for past five years. Exit interviews have been conducted by an academic dean every four years, coinciding with PReCIP reviews. Student teaching portfolios are evaluated by Education faculty.	Changes to the calculus course content and pedagogies, with a stronger focus on conceptual and active learning. Changes to course sequencing and prerequisites have also been made based on student performance.	PReCIP review in 2016 Results Oriented Program Approval (ROPA) review Oct. 2019

	http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2007&returnto=2090 Education Dept Core Competencies		We have a Faculty Assembly Committee on Teacher Education that meets monthly to support aligning share coursework in the liberal arts with VT licensure standards at the PreK-12 levels.		
36. Mathematics: Major-by-Contract (BA.MAT.CNT)	CU website: https://www.castleton.edu/academics/undergraduate-programs/mathematics/major-by-contract-program/ Undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2008&returnto=2090	MAT1531 Calculus I Assessment, successful completion of mathematics core course sequence, graduating student exit interview	Department Chair collects and maintains Calculus assessment data every semester for past five years. Exit interviews have been conducted by an academic dean every four years, coinciding with PReCIP reviews.	Changes to the calculus course content and pedagogies, with a stronger focus on conceptual and active learning. Changes to course sequencing and prerequisites have also been made based on student performance.	PReCIP review in 2016
37. Mathematics: Secondary Education (BA.MAT.SED)	The mathematics secondary education SLOs can be found on the Mathematics Education website: https://www.castleton.edu/academics/undergraduate-programs/mathematics/secondary-education-program-requirements/ They can also be found in the undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2006&returnto=2090 Secondary Education Licensure	MAT1531 Calculus I Assessment, successful completion of mathematics and education core course sequences, Praxis I/II licensure examination, graduating student exit interview, student teaching portfolio	Department Chair collects and maintains Calculus assessment data every semester for past five years. Exit interviews have been conducted by an academic dean every four years, coinciding with PReCIP reviews. Praxis licensure examination data is available on request from ETS. Student teaching portfolios are evaluated by Education faculty. We have a Faculty Assembly Committee on Teacher Education that meets monthly to support aligning share coursework in the liberal arts with VT licensure standards at the PreK-12 levels.	Changes to the calculus course content and pedagogies, with a stronger focus on conceptual and active learning. Changes to course sequencing and prerequisites have also been made based on student performance.	PReCIP review in 2016 Results Oriented Program Approval (ROPA) review Oct. 2019
38. Mathematics: Statistics (BS.MAT.STA)	CU website: https://www.castleton.edu/academics/undergraduate-programs/mathematics/statistics-program-requirements/ Undergraduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2005&returnto=2090	MAT1531 Calculus I Assessment, successful completion of mathematics core course sequence including culminating Senior Seminar, graduating student exit interview	Department Chair collects and maintains Calculus assessment data every semester for past five years. Exit interviews have been conducted by an academic dean every four years, coinciding with PReCIP reviews.	Changes to the calculus course content and pedagogies, with a stronger focus on conceptual and active learning. Changes to course sequencing and prerequisites have also been made based on student performance.	PReCIP review in 2016

39. Media & Communication (BA.MDC)	The learning objectives are published each year in the college catalog under the section Media and Communication Department: (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.	The department assesses student attainment of the learning objectives through a variety of methods, including analyzing reports from internship site supervisors, feedback from employers, quantified achievement in coursework (such as GPAs), interviews with graduating seniors, and a variety of qualitative methods to assess the aggregate levels of student outcomes. In our required senior portfolio course, taken during a Media and Communication student's final semester, graduating seniors present their web-based portfolio to the department faculty and community professionals. This is a capstone course for Media and Communication majors nearing completion of their undergraduate degrees. This course is intended to help students prepare for the transition from student to professional, as well as to assess their learning. Each student is asked to explicitly reflect on how well their major coursework helped them to achieve the listed learning objectives.	During regular meetings, the department frequently discusses the manner in which courses are linked in terms of reinforcing materials and standards, and faculty members discuss and share both general and specific pedagogical methods. For instance, faculty teaching the 100-level Media Writing course share and discuss projects and assignments with those teaching the 400-level Communication Portfolio course, attempting to better coordinate student expectations and output. In addition, faculty members regularly discuss strategies for dealing with an individual student's particular learning needs, particularly for students whose work might be marginal at either end of the spectrum (above or below expectations). Such discussions are carried out in the spirit of improving the ability of faculty to inspire, instruct and generally guide the learning experience for each student.	The development and inclusion of the senior portfolio and review process was a direct result of the department's desire to better assess student attainment of the learning objectives, and it has proven successful. The department has expanded its interdisciplinary hybrids of classroom and experiential learning through a number of initiatives, such as requiring a senior-year internship, and creating the Castleton Content Lab, a student-run digital media agency that plans and executes content and public relations campaigns for real-world clients.	May 2018
40. Media & Communication: Concentration by Contract (BA.MDC.CNT)	The learning objectives are published each year in the college catalog under the section Media and Communication Department: (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.	All Media & Communication concentrations are done in parallel as indicated above.	Same as above.	Same as above.	May 2018
41. Media & Communication: Digital Media	The learning objectives are published each year in the college catalog under the section Media and Communication Department:	All Media & Communication concentrations are done in parallel as indicated above.	Same as above.	Same as above.	May 2018

(BA.MDC.DGM)	(http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.				
42. Media & Communication: Journalism (BA.MDC.JOU)	The learning objectives are published each year in the college catalog under the section Media and Communication Department: (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.	All Media & Communication concentrations are done in parallel as indicated above.	Same as above.	Same as above.	May 2018
43. Media & Communication: Media Studies (BA.MDC.MST)	The learning objectives are published each year in the college catalog under the section Media and Communication Department: (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.	All Media & Communication concentrations are done in parallel as indicated above.	Same as above.	Same as above.	May 2018
44. Media & Communication: Public Relations (BA.MDC.PRL)	The learning objectives are published each year in the college catalog under the section Media and Communication Department: (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.	All Media & Communication concentrations are done in parallel as indicated above.	Same as above.	Same as above.	May 2018
45. Media & Communication: Video/Film Production (BA.MDC.VFP)	The learning objectives are published each year in the college catalog under the section Media and Communication Department: (http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2125&returnto=2090). We have a general MDC degree and six concentrations, but they all share the same learning objectives.	All Media & Communication concentrations are done in parallel as indicated above.	Same as above.	Same as above.	May 2018

46. Multidisciplinary Studies (BA.MDS)	CU Website, INTASC Teaching Standards , Undergraduate Catalogue, Student Handbook , El Ed Competency Standards , Grid of Program Teaching Standards and Endorsement Standards Core Teaching Standards	Praxis Core & Praxis II, Student Teaching Gates , Student Teaching (EDU 4871, 4872, and Seminar 4720), VT AOE Licensure Portfolio	We have a Faculty Assembly Committee on Teacher Education that meets monthly to support aligning share coursework in the liberal arts with VT licensure standards at the PreK-12 levels.	We changed our undergraduate programming in 2015 from a “Book-end” model to instead integrate EDU courses across our students’ college careers.	VT AOE Results Oriented Program Approval (ROPA) 10/31/19
47. Music (BA.MUS)	https://www.castleton.edu/academics/undergraduate-programs/music/music-degree-program-requirements/	Grade of C or better in all music classes. Progress in applied lessons. *adding juried performances *adding Capstone project	Music Department Faculty Regular meetings to discuss student progress and preparation.	Small department – close contact with all students through advisors and faculty. The music faculty meet 1-2x a month and discuss student success in classes and applied lessons. We keep contact with alumni and monitor success in finding employment post-graduation. Curriculum changes are considered annual to meet current student and market need. Recently these include adding a Capstone requirement and reinstating a jury requirement for Music BA students.	PRECIP (Fall, 2020)
48. Music Education (BM.EDU)	https://www.castleton.edu/academics/undergraduate-programs/music/music-degree-program-requirements/	Mid-Level Review Student Teaching Seminar Student Teaching Evaluations Portfolio Review Praxis I/II End of semester Juries Senior Recital Exit interview Cooperating Teacher interview/survey	Director of Music Education Music Dept. Faculty Education Faculty Director of Education	The Music Department faculty meet 1-2x a month to discuss student progress. Curriculum changes to better prepare students for student teaching, PRAXIS, and portfolio review are considered annually. (For example: splitting off from EDU department back to MUS centered licensure; adding back in Choral and Instrumental Methods classes).	ROPA (Fall, 2019)
49. Music: Musical Theater (BA.MUS.THA)	https://www.castleton.edu/academics/undergraduate-programs/music/musical-theater-degree-requirements-2/	Grade of C or better in all music classes. Performance Labs each semester Juried performances each semester Successful participation in annual Musical	Music Department Faculty Theater/Dance Department Faculty	Curriculum was adjusted from a Music heavy curriculum to be equal parts Music, Dance, and Theater to better represent the needs of liberal arts students	PRECIP (Fall, 2020)

		Senior Recital **NOTE – this applies to the music portion. We do not know what the Theater Department assessments are**		studying musical theater. The degree is now shared by Music and Theater.	
50. Music: Performance (BA.MUS.PER)	https://www.castleton.edu/academics/undergraduate-programs/music/music-performance-degree-requirements/	Grade of C or better in all music classes. Pre-Sophomore year audition Performance Labs each semester Juried performances each semester Junior Recital Senior Recital	Music Department Faculty Applied Faculty Jury and Recital committees – observe and critique performances and grade Recitals	Small department – close contact with all students through advisors and faculty. The music faculty meet 1-2x a month and discuss student success in classes and applied lessons. We keep contact with alumni and monitor success in finding employment post-graduation. Curriculum changes are considered annual to meet current student and market need. Recent changes include reducing the overall credit load to make the degree more manageable.	PRECIP (Fall, 2020)
51. Nursing: Bachelors (BS.NUR)	The learning outcomes are leveled according to our Accreditor CCNE using QSEN competencies located in each course syllabus and https://www.castleton.edu/academics/undergraduate-programs/nursing/tradition-of-quality/ https://www.aacnnursing.org/CCNE-Accreditation/Accreditation-Resources/Standards-Procedures-Guidelines	Per accreditor NCLEX first time rates are used as a metric and reported to the Vermont State Board of Nursing. Students final Senior Capstone Paper and Presentation is also a culminating evaluator. We also have incorporated into our course's anonymous mid semester evaluations by students of course, faculty, clinical site and preceptors. We also have the standard final course evaluations	The NCLEX pass rate average must be >80% per CCNE or we are required to create an action plan and accreditation is at risk. This data is reviewed with faculty and department chair and curriculum is adjusted based on metric, student feedback etc. We also use our underlying ATI platform that keeps a databank of student performance per class performance and is benchmarked against other BSN students across the nation. We are able to adjust and adapt content based on real time performance. Each student and class have an NCLEX comprehensive predictor and a post-graduation process for students to attain a "Green Light" guarantee for licensure. We also meet with ATI account specialists who analyze our student	We have made many changes based on NCLEX pass rates, mid semester and final course evaluations and ATI feedback. We have adjusted course content and materials, changed course sequencing, and revised delivery methods.	CCNE accreditation 2018 next due 2028

			performance data cross referenced with course content, course placement in the curriculum, cohort scores, etc. The program is very agile and responsive to student needs		
52. Nursing: RN to BS (BS.NUR.RN)	This program has been closed, is in the process of teaching out remaining majors, and is no longer accepting new students after 2021.				
53. Philosophy (BA.PHI)	This program has been closed, is in the process of teaching out remaining majors, and is no longer accepting new students after 2020.				
54. Physical Education (BS.PED/BS.PE D.ESE)	The Physical Education SLOs can be found in the undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2032&returnto=2090	Practicum Experience, e.g. Student teaching or internship, teaching portfolio, Praxis Exams Licensure track students apply for student teaching. Students are recommended for licensure in their endorsement area based upon successful completion of Vermont's initial licensure portfolio as well as minimum student teacher grade of B or better.	Every semester the Program Coordinator and PETE Faculty review student portfolios, along with internship and practicum sites.	Updates to student teacher evaluation (grading form, completed by mentor and university supervisor) to better align with national and state PE standards. Addition of coursework and new course (pre-practicum in teaching) to assist student in portfolio work as well as preparing them to enter the practical experience.	Eight Year Formal Accreditation Review, ROPA, fall 2019 (passed)
56. Political Science (BA.POS)	Castleton undergraduate catalog, http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2001&returnto=2090	Primarily senior capstone project review); exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	Political Science Coordinator (annually); exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	After 2014, addition of POS 2510 (Social Science Research Methods) course, changed International Relations from 2000- to 1000-level, added 3000-level course in American Political Thought. Subsequently, changes were made to two methods courses (POS 2510 and POS 3510) to place greater emphasis on how to conduct and present a	2019

				literature review and how social scientists discuss output from quantitative analysis. Also, the program created the Social and Opinion Research Lab, an experiential teaching facility to provide students with hands-on opportunities for original research and analysis.	
57. Psychological Science - BA(BA.PSS)	<p>The Bachelor of Arts in Psychological Science learning outcomes are published in the catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2039&returnto=2090</p> <p>They are also available on the Castleton website: https://www.castleton.edu/academics/undergraduate-programs/psychology/psychology-program-requirements/</p>	<ol style="list-style-type: none"> (1) Intro to Psychological Sciences final exam (2) Poster presentation from Research Methods course sequence (3) Completion of ethics training in human subjects research (4) Research paper written in a 3000- or 4000-level course (5) Self-assessment of professional dispositions <p>[note that (1), (3), and (5) are currently being reconsidered/amended]</p>	Annually the full-time faculty in the department assess one of the five major learning outcomes. Student work is currently saved in a shared drop box folder, although we are transitioning away from that format. As a department we have developed rubrics for each of the learning outcomes and we divide up whatever student work is available.	After our 2014 PReCIP review we made significant changes to our curriculum and assessment procedures. We removed the different concentrations and instead now offer two separate tracks—a BA and a BS in Psychological Science to meet a wider range of student needs/interests while streamlining our course offerings due to longstanding faculty shortage. In particular, for this BA, we relaxed the grade requirement for our Research courses, which we found were a place where some students would leave the major. We also added a course in Abnormal Psychology. We added a proseminar course which allows for more directed career planning.	Last PReCIP Review: 2019 [note this precise program was not evaluated in the last PReCIP because it is part of the new curriculum which launched in Fall 2019)
58. Psychological Science – BS (BS.PSS)	<p>The Bachelor of Science in Psychological Science learning outcomes are published in the catalog: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2138&returnto=2090</p>	<ol style="list-style-type: none"> (1) Intro to Psychological Sciences final exam (2) Poster presentation from Research Methods course sequence (3) Completion of ethics training in human subjects research 	Annually the full-time faculty in the department assess one of the five major learning outcomes. Student work is currently saved in a shared drop box folder, although we are transitioning away from that format. As a department we have developed rubrics for each of the learning	As mentioned above, following our 2014 PReCIP review we created this BS track in Psychological Science. This major is designed for students preparing for graduate school and we have added requirements that prepare	Last PReCIP Review: 2019 [note this precise program was not evaluated in the last PReCIP because it is

		<p>(4) Research paper written in a 3000- or 4000-level course</p> <p>(5) Self-assessment of professional dispositions</p> <p>[note that (1), (3), and (5) are currently being reconsidered/amended]</p>	outcomes and we divide up whatever student work is available.	students for that future (a course in ethics and diversity, a statistics requirement). We added a required outside-the-classroom experience intended for the final year- either a research experience or a practicum. As mentioned above, we added Abnormal Psychology and a Proseminar course for all majors.	part of the new curriculum which launched in Fall 2019)
Psychological Science (Accelerated) (BS.PSS)	http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2241&returnto=2090				
59. Social Studies (BA.SST)	Castleton undergraduate catalog, http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2003&returnto=2090	Students take the Praxis II exam, and instructors of POS 1020, GEO 2020, and ECO 3080 share assessment results (based on exams). A standard rubric-based assessment of senior capstone projects and evaluation of student exit surveys at the time of graduation comprises the bulk of assessment.	Social Studies Coordinator with coordinators of Economics, History, Political Science, and Geography (as appropriate, depending on the source of information) (annually); exit surveys reviewed annually by department assessment committee, with feedback presented to the coordinator annually.	Elimination of several courses in Economics, History, and Geography from SST major requirements, the addition of others, and the loosening of some requirements to allow students to take a greater range of applicable courses.	2019
60. Social Work (BSW.SWK)	Social work program manual: https://www.castleton.edu/academics/undergraduate-programs/social-work/	Aggregate data is collected yearly on specific assignments measuring the nine competencies from the CSWE 2015 EPAS. Scores from field assessments, student mastery of competencies, and implicit curriculum survey scores are also reviewed.	Faculty meets in May to look at data and determine if programmatic changes are warranted. Data is also presented to Advisory Council for review.	Several changes have been made, including more time was spent in SWK 4010 on understanding the types of prejudice, stereotyping, and oppression in our rural context and the role of social work leadership to address the 21% of students not achieving the benchmark. Application of research content was increased in SWK 4720 Capstone Seminar to address the 24% of students not achieving the benchmark.	May 2019

61. Sociology (BA.SOC)	Learning outcomes for the Sociology Program are published on the Sociology Program webpage found on the Castleton University website: (https://www.castleton.edu/academics/undergraduate-programs/sociology/sociology-program-requirements/). Learning outcomes can also be found on the syllabi for the four primary course requirements for the Sociology degree. Finally, learning outcomes are published in the 2019 Sociology Pre-CIP Report.	In addition to GPA as a measure determining that graduates have achieved the stated outcomes for the degree, students in the Sociology Program are required to pass four required courses in sociology (Introduction to Sociology, Research Methods in Sociology, Social Theory, and Capstone Seminar and Careers in Sociology). In the Capstone course students are required to complete a final research project and a faculty reviewed portfolio. Finally, sociology students are required to satisfactorily complete either an internship or civic engagement course. Periodic Sociology Graduate Surveys conducted by the Program are also used to assess graduates understanding of learning goals and outcomes.	Faculty in the Sociology Program meet regularly for Department and Program meetings during the academic year and hold an end-of-the-year Program Retreat to discuss and evaluate the currency and relevance of program requirements and content, possible changes, and planning for the next academic year. We also conduct periodic Sociology Graduate Surveys to determine these data and review the results of the academic dean's annual exit interview surveys of our graduating seniors.	To improve student's understanding of learning goals and outcomes and overall success in the Sociology Program, we have continued to create ways to incorporate SLO's more conspicuously in course descriptions, syllabi, and program website materials and literature. Also, in the past year, we have incorporated a required internship or civic engagement course, as well as new minors in our more popular courses, including Anthropology. Currently, we are planning the creation of a course or seminar that would address issues of job skills and career preparation. In addition, the Sociology Program has introduced three new interdisciplinary academic and certificate programs that involve out-of-the-classroom experiential work and/or internships	Pre-CIP Report, July, 2019
64. Spanish for Business (BA.SPA.BUS)	This program has been closed, is in the process of teaching out remaining majors, and is no longer accepting new students after 2020.				
65. Spanish Language and Literature (BA.SPA)	This program has been closed, is in the process of teaching out remaining majors, and is no longer accepting new students after 2020.				
66. Sport Management (BS.SMT)	The Sport Management SLOs can be found in the undergraduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2033&returnto=2090	PED 4811 Internship in Sport Management site supervisor final evaluation, senior exit interview/survey, PED 4110 Strategic Sport Management Assignment: Developing a Plan for Future	Program Coordinator (PC) in consultation with the Department Chair (DC); informal review to this point between PReCIP reports; development of the Sport Management Program Review Committee (PRC) was halted by	Addition of the DPFL assignment in PED 4110 (SLO 4); tracking of final case study for SLO 3; update to internship site supervisor evaluation; improved peer evaluation	PReCIP Review 2016-2017: Finalized November of 2017

	They can also be found on the Sport Management Website: https://www.castleton.edu/academics/undergraduate-programs/sport-management/sports-admin-program-requirements/	Learning (DPFL), PED 4110 final case study	COVID, but will result in an annual review of SLO data; PRC will include PC, DC, graduate assistant, an alum, a senior, a junior	form; better tracking of site supervisor data; plan for PRC creation; next review in 2022 will have better data and may result in more significant program changes	
67. Theater Arts	Theatre Arts Department SLO's can be found on the Academic Departments web page of the undergraduate catalogue: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2059 as well as the Department webpage: https://www.castleton.edu/academics/undergraduate-programs/theater-arts/acting-and-directing-program-requirements/ https://www.castleton.edu/academics/undergraduate-programs/theater-arts/technical-theater-and-design-program-requirements/ https://www.castleton.edu/academics/undergraduate-programs/theater-arts/theater-studies-program-requirements/	THA 4721 – Theatre Arts Capstone I THA 4722 – Theatre Arts Capstone II The Theatre Arts Department produces plays every semester for public viewing. We regularly invite outside evaluators to assess and write evaluations of Department productions Also, professionals from the field are brought in every Spring to serve as evaluators of Senior portfolios using a rubric and criteria we provide.	Department Chair collects and interprets data on an annual basis. Department faculty analyze and interpret five-year data for PRe-CIP.	More emphasis in portfolio development in THA 1001 Stage Production, a course all THA students must take 4 times. Also, two THA courses were combined to form THA Capstone I and II courses. These courses run in a two-semester sequence.	PRe-CIP Review in 2020
68. Wildlife and Forest Conservation (BS.WFC)	This is a brand-new program that has only been at Castleton for one year. We are in the midst of creating student learning outcomes and an assessment plan.	N/A	N/A	N/A	This program has not yet been reviewed.
69. Women's and Gender Studies (BA.WGS)	This program has been closed, is in the process of teaching out remaining majors, and is no longer accepting new students after 2020.				
List each degree program (Graduate): 1. Accounting (MS)	Program discontinued				
2. Athletic Leadership (MS)	The Athletic Leadership SLOs can be found in the graduate catalog here: http://catalog.castleton.edu/preview_program.php?catoid=22&poid=2059	ATL 6810 Internship in Athletic Leadership and ATL 6890 Special Project in Athletic Leadership site	Program Coordinator (PC) in consultation with the Department	Update to internship site supervisor evaluation, better tracking of site	Program launched in 2015, first

	am.php?catoid=23&poid=2229&returnto=2180 They can also be found on the Athletic Leadership Website: https://www.castleton.edu/academics/graduate-programs/masters-of-science-in-athletic-leadership/program-matriculation-requirements/	supervisor final evaluation, graduating student exit interview/survey	Chair (DC); currently informal review	supervisor data; elimination of the coaching leadership emphasis area; additional focus on interscholastic athletics throughout the program	PreCIP is 2021
3. Athletic Training (MAT)	The Athletic Training SLOs can be found on the Athletic Training Website: https://www.castleton.edu/academics/graduate-programs/master-of-athletic-training/program-requirements/	Clinical- preceptor evaluation of student; 1st and 2nd year comprehensive program exams; Board of Certification Pass Rates, Senior Exit Surveys; Alumni Surveys	The program coordinators (Program Director and Coordinator of Clinical Education) review assessment data annually in June, and write a report summarizing the data reviewed and the action plan for programmatic improvement.	Examples include: Curricular revisions such as adding more professional development (resumes, interviewing, etc.) and BOC exam preparation in senior capstone course. Development of a more extensive professional behavior policy after feedback from clinical preceptors' evaluations, increased training on clinical documentation strategies and expectations based on weaknesses noted in surveys. Extensive overall of the program in recent years as we transitioned from a bachelor's to a master's degree (first MAT cohort 2020-2021).	The last comprehensive review was complete in 2012 (re-accreditation; good standing). The next review will occur in 2021-2022.
4. Master of Business Administration (MBA)	Graduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=23&poid=2236&returnto=2180	Emailed Ed Dansereau for rest			
5. Education: Curriculum and Instruction (MA)	CU Website , CU Graduate Catalogue	Master's Thesis is completed with two readers and adherence to the Thesis Manual	The Graduate Council reviews all coursework and approved a new degree design in 2015 Each research study is evaluated by CU's IRB Committee. Every thesis is guided by a first reader in the EDU Department and a second reader from	In 2015, EDU faculty revised our C&I Master's degree to accommodate a research focus to our C&I Masters.	2019

			EDU or CU faculty. The Graduate Council reviews curriculum and thesis procedures.	In 2020, Program faculty reviewed our course structure and shifted some content timing for better course flow and student access.	
6. Education: Curriculum and Instruction: Applied Behavior Analysis (MA)	Program discontinued				
7. Education: Educational Leadership (School Principal Licensure) (MA)	CU Website , CU Graduate Catalogue , Council of State School Officers' Interstate School Leaders Licensure Consortium Standards for School Leaders (ISLLC Standards) .	Mediated Achievement Map (MAP): The MAP requires 80 hours a semester and will reconcile theory and practice, requiring candidates to continually reflect and revise their implementation plans.	The Graduate Council reviews all coursework changes. EDU designated a faculty member to direct this degree and endorsement and to evaluate syllabi and outcomes for ISLLC Standard adherence.	We have recently shifted some course crediting structures for consistency.	VT AOE Results Oriented Program Approval (ROPA) 2015
8. Education: Special Education (MA)	CU website: https://www.castleton.edu/academics/graduate-programs/master-of-arts-in-education-special-education-non-licensure/ Graduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=23&poid=2224&returnto=2180 Council of State School Officers' Interstate School Leaders Licensure Consortium Standards for School Leaders (ISLLC Standards) .	Mediated Achievement Map (MAP): The MAP requires 80 hours a semester and will reconcile theory and practice, requiring candidates to continually reflect and revise their implementation plans.	The Graduate Council reviews all coursework changes. EDU designated a faculty member to direct this degree and endorsement and to evaluate syllabi and outcomes for ISLLC Standard adherence.	We have recently shifted some course crediting structures for consistency.	VT AOE Results Oriented Program Approval (ROPA) 2015
9. Education: Specialization in Mathematics (MA)	Program discontinued				
10. Music Education (MM)	Graduate Catalog: http://catalog.castleton.edu/preview_program.php?catoid=25&poid=2510&returnto=2471 The students are also giving a Masters in Music Education Music Department	As the final part of their degree, MMED students propose and complete a Capstone Thesis Project (MUS 7010) with adherence to the CU Thesis Manual and Music Department Capstone Thesis	The Advisor works with the student to plan coursework and ensure the student is doing satisfactory work. The Primary and Secondary Reader supervise and grade the Thesis. This committee collaborates with the	The syllabi of the core courses have been revised a number of times over the past five years, to stay current with music education practices, and	The program has not been officially reviewed as it was not included in

	<p>Handbook with details and expectations about the program.</p> <p>https://livevsc-my.sharepoint.com/:b:/g/personal/sbb08200_vsc_edu/Ed2qatvJW0FHuHBWNd_I3lwBCY1cPts1AzPEhZOfbwXdMQ?e=TV94Uf</p>	<p>Manual. The Capstone Thesis Project combines research with an individual project in music education, using the tools and knowledge they have gained through the program. https://livevsc-my.sharepoint.com/:b:/g/personal/sbb08200_vsc_edu/EfZLeh6t2C1Al60d6KB83IkBwu3geuAPgTBLgzwoWbrZJg?e=hPtrW6</p>	<p>Department Chair to conduct a final review of the student's success in coursework and thesis to earn the degree.</p>	<p>student needs. The sequence and modality of courses was adjusted to match student schedules and needs. The Thesis and Capstone guidelines were revised to better fit hands on needs of the students.</p>	<p>the recent ROPA review.</p>
11. Nursing (MS)	<p>This new program is being implemented fall 2021. The learning outcomes assessment process has not been finalized as of this writing.</p>				
12. School Psychology (MA, CAGS)	<p>The learning outcomes for our graduate program in School Psychology are published in the graduate catalog: http://catalog.castleton.edu/preview_program.php?catoid=23&poid=2231&returnto=2180</p>	<p>Students submit portfolios follow their Practicum and Internships. Additionally, students must pass the PRAXIS II exam in School Psychology in order to graduate.</p>	<p>Currently the professors supervising Practicum and Internship evaluate the portfolios, but in future years there will be multiple faculty reviewers, overseen by our program director.</p>	<p>None currently.</p>	<p>Program is still new and has not yet been reviewed.</p>

Institutions selecting E1a should also include E1b.

Note: Please see the Statement on Student Achievement and Success Data Forms (available on the CIHE website: <https://cihe.neasc.org>) for more information about completing these forms.

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

(1) Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).	(2) Date of most recent accreditation action by each listed agency.	(3) List key issues for continuing accreditation identified in accreditation action letter or report.	(4) Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.). *	(6) Date and nature of next scheduled review.

*Record results of key performance indicators in form 8.3 of the Data First Forms.

Institutions selecting E1b should also include E1a.

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

FINANCIAL STATEMENTS AND MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2020 and 2019

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

**Financial Statements and
Management's Discussion and Analysis**

June 30, 2020 and 2019

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INDEPENDENT AUDITORS' REPORT

To the Board of Trustees of
Vermont State Colleges
Montpelier, Vermont

Report on the Financial Statements

We have audited the accompanying financial statements of the Vermont State Colleges (the "Colleges"), (a component unit of the State of Vermont (the "State")) which comprise the statements of net position as of June 30, 2020 and 2019, the related statements of revenues, expenses and changes in net position, and cash flows for the years then ended, and the related notes to the financial statements, which collectively comprise the Colleges' basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditors consider internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

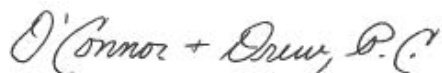
In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Vermont State Colleges at June 30, 2020 and 2019 and the results of its operations and its cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that management's discussion and analysis on pages 3-22, the schedule of changes in total OPEB liability on page 64, and their respective notes on page 65-66, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audits of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated October 29, 2020, on our consideration of Vermont State Colleges' internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts and grants. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Colleges' internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be read in conjunction with this report in considering the results of our audits.



**Certified Public Accountants
Braintree, Massachusetts**

October 29, 2020

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited)

June 30, 2020 and 2019

Introduction

The management of the Vermont State Colleges System (VSCS) has prepared the following unaudited Management's Discussion and Analysis (MD&A), required supplemental information according to the Governmental Accounting Standards Board (GASB). The intent is to contribute to the reader's understanding of the accompanying financial statements and notes. As this MD&A contains highly summarized information, tables and graphs, it should be read in conjunction with the accompanying financial statements and notes.

Vermont State College System

The Vermont State College System is comprised of four public colleges including Community College of Vermont (CCV), Castleton University (CU), Northern Vermont University (NVU), and Vermont Technical College (VTC). The member institutions are united in the common purpose of providing affordable, high quality, student-centered, and accessible education, fully integrating professional, liberal arts, and career study, consistent with student aspirations and regional and state needs.



Significant Events Affecting These Financial Statements

Events that affect these statements during the past five years include:

- The pandemic that began in January 2020 touched the Vermont State Colleges System for the first time in March 2020. Mid-March the VSCS shuttered all face-to-face programs, closed their residence halls to all but those with housing insecurity issues, and conducted all classes remotely. Relief in the form of CARES, HEERF, and Coronavirus Relief

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

- Funding (CRF) helped the VSCS to conclude fiscal year 2020 in a positive position; however, the ongoing pandemic, coupled with the demographics of the Northeast as well as Vermont is a concern.
- Enrollment trends continue to be a concern for institutions of Higher Education. Nationally, enrollments have declined by 9.0% since 2011. Although a national issue, these challenges to the industry are hitting New England and Vermont especially hard. There are declining numbers of traditional college students and increased competition among colleges for those students. Student preferences and attitudes toward higher education are changing. Vermont also ranks at the bottom of the nation in state support.
- The other post-employment benefits accrual has a liability of \$194 million. This accrual is not being pre-funded but paid when incurred during retirement periods. Groups have been closed for newly hired employees, which will reduce this liability over time.
- In FY2020, the System refinanced its 2010B bonds with the issuance of its 2020A bond series. The 2020A bonds are fixed rate, publicly traded, and were issued through the Vermont Municipal Bond Bank under the VSCS Program Resolution, as special obligations of the Bond Bank, secured by a pledge of the 2020 VSCS Bond and the amounts required to be paid by the VSCS to the Bond Bank pursuant to a loan agreement for principal and interest on the 2020 bonds. Additionally, the bonds are secured by appropriations to the VSCS, which may be directed by the State Treasurer to pay principal and interest on the bonds in the event of a default of such payments on the part of the VSCS. In addition to the 2020 bonds, the VSCS debt includes fixed rate, publicly traded special obligation bonds issued in 2013 and 2017.

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

Using the Financial Statements

The following discussion and analysis provide an overview of the financial statements and activities of the Vermont State Colleges System (VSCS) for the year ended June 30, 2020 and selected comparative information for the previous 4 years. Since this MD&A is designed to focus on current activities, resulting changes and currently known facts, please read in conjunction with the financial statements and notes that follow this section.

These financial statements have been prepared in accordance with GASB (Government Accounting Standards Board) principles. In June 1999, GASB released Statement No. 34, *Basic Financial Statements and Management's Discussion and Analysis*. Changes in Statement No. 34 compared to prior GASB pronouncements require a comprehensive consolidated look at the entity as a whole, as well as capitalization and depreciation of assets. In November 1999, GASB issued Statement No. 35, *Basic Financial Statements and Management's Discussion and Analysis for Public Colleges and Universities*. This essentially applies Statement No. 34 to public colleges and universities. Previously, the financial statements focused on the individual fund groups rather than VSCSS as a whole.

A brief explanation of each financial statement required by the GASB reporting model follows:

Financial Statements

The Vermont State College System's financial statements include three primary components:

- Statement of Net Position
- Statement of Revenues, Expenses and Changes in Net Position
- Statement of Cash Flow

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

STATEMENT OF NET POSITION

The Statement of Net Position presents the financial position of VSCS at a point in time - June 30, and includes all assets, liabilities, and the net position of the System. Net position represents the residual interest in the System's assets after liabilities are deducted. The change in net position is an indicator of whether the overall financial condition has improved or deteriorated during the year. Table 1 on page 6 shows the condensed Statement of Net Position for the past five years.

Assets are items of economic value owed by an institution. They include capital assets like land, buildings and equipment, cash and investments, and amounts owed to us by students or others. Total assets are categorized as either current or noncurrent.

Current assets are available to satisfy current liabilities, which are those amounts expected to be payable within the next year. The major components of current assets are cash and accounts receivable, which are primarily funds due to the VSCS by students and granting agencies.

Total assets (including deferred outflows) of \$276 million as of the end of the current fiscal year increased by \$7 million or 3% from prior year, the increase was primarily in the cash due to the receipt of \$12.515M in Coronavirus Relief Funding received prior to the end of the FY2020, and in deferred outflows due to predictable amortization. Over the 5 years, total assets have increased by \$8 million: an increase of \$23 in current assets and investments, combined with the \$8 million increase in deferred outflows and other noncurrent assets, net of the \$23 million reduction in capital assets.

Noncurrent assets consist primarily of endowment and other investments, in addition to capital assets. Investments were \$48 million at June 30, 2020, consistent with prior year. Capital Assets continue to decline at relatively the same rate indicating that investments in capital have primarily been at the same level each year and continue to be less than depreciation on an annual basis.

Liabilities are obligations owed by the institutions. They include funds owed to others like vendors, employees, taxing agencies, bondholders. Liabilities are classified as current and long-term. Current liabilities are those that due during the next fiscal year.

Current liabilities of \$27 million include primarily accounts payable and unearned revenue related to the next fiscal year. Current liabilities have been relatively consistent, with the exception of the \$3 million deferred revenue from the FY2019 state capital project monies received in June 2018 and the advanced funding of CRF in FY2020.

Noncurrent liabilities increased by \$2 million to \$321 million during FY2020. This increase relates to an actuarial increase in other post-employment benefits.

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

TABLE 1: Condensed Statement of Net Position as of June 30

(\$ in millions)

	2020	% change	2019	% change	2018	% change	2017	% change	2016
Current Assets	48	45%	33	-6%	35	21%	29	-3.3%	30
Noncurrent Assets									
Investments	48	0%	48	4%	46	0%	46	7.0%	43
Capital assets, net	151	-4%	157	-4%	163	-4%	169	-2.9%	174
Other	4	-33%	6	0%	6	0%	6	0.0%	6
Deferred outflows/inflows	25	0%	25	-11%	28	65%	17	13.3%	15
Total Assets and Def'd outflows/inflows	<u>276</u>	3%	<u>269</u>	-3%	<u>278</u>	4%	<u>267</u>	-0.4%	<u>268</u>
Current liabilities	27	13%	24	-14%	28	22%	23	-8.0%	25
Non current liabilities									
Post employ'm't benefit oblig	194	3%	189	1%	188	9%	172	186.7%	60
Bonds and Notes payable	118	-1%	119	-2%	121	-3%	125	6.8%	117
Other	4	-33%	6	-14%	7	17%	6	-71.4%	21
Deferred outflows/inflows	5	100%	5	100%	0		0	0.0%	0
Total Liabilities	<u>348</u>	1%	<u>343</u>	0%	<u>344</u>	6%	<u>326</u>	46.2%	<u>223</u>
Net investment in cap'l assets	46	0%	46	-6%	49	-11%	55	1.9%	54
Restricted									
Nonexpendable	19	0%	19	6%	18	-5%	19	5.6%	18
Expendable	13	0%	13	8%	12	9%	11	22.2%	9
Unrestricted	<u>-150</u>	-1%	<u>-152</u>	5%	<u>-145</u>	1%	<u>-144</u>	300.0%	<u>-36</u>
Total Net Position	<u>-72</u>	-3%	<u>-74</u>	12%	<u>-66</u>	12%	<u>-59</u>	-231.1%	<u>45</u>
Total Liabilities and Net Position	<u>276</u>	3%	<u>269</u>	-3%	<u>278</u>	4%	<u>267</u>	-0.4%	<u>268</u>

Table 1: Condensed Statement of Net Position as of June 30

Net position is equal to the total assets minus the total liabilities and represents the value of the institution at a point in time - for the VSCS, financial statements on June 30.

Net investment in capital assets represents the historic cost of the System's capital assets reduced by total accumulated depreciation, plus the outstanding principal balances on debt used for the acquisition, construction, or improvement of those assets.

Total net position over the five years reported here decreased from 45 million to -72 million, primarily from the recognition of post retirement costs and compounded by the change to GASB75 in FY2018 (FY2017 was restated for FY2018 financial statement presentation). The total net position for the Vermont State Colleges increased from -\$74 million in FY2019 to FY2020 -\$72 million due to the impact of Cares Act funds on FY2020.

Net investment in capital assets was consistent from June 30, 2019 to June 30, 2020 due to depreciation and additions, offset by reduction in outstanding debt related to capital assets. Net investment in capital assets have steadily decreased over the five-year period reported here.

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

The restricted nonexpendable portion of the Net Position represents the permanent endowment funds for the system. These are donations to the colleges that cannot be spent without permission of the donor. These are invested; and the earnings are used based on VSCS Board Policy and the instructions of the donor. Most of the earnings on our endowment funds are designated for student scholarships. The increase of \$1 million over 5 years is due to gifts received for endowments during this period.

The restricted expendable portion of Net Position includes unexpended restricted gifts and grants, and unexpended endowment appreciation, subject to externally imposed conditions on their use. The balance was consistent from June 30, 2019 to June 30, 2020. Over the 5-year period, expendable net assets have increased by \$4 million, as earnings have outpaced the 5% spending on endowments permitted by Board policy.

The unrestricted portion of the Net Position is largely affected by general operations, but the most significant impact to date has been the OPEB obligations, which are unfunded. Since implementation, that liability has time eroded the unrestricted net position.

Capital Assets and Debt Administration

The System's facilities are critical to accomplishing the mission of the System as they provide the physical framework and environment for education, research, cultural programs and residential life. Table 2 below provides detail from the past 5 years related to the Capital Assets held by the System.

Table 2: Capital Assets as of June 30

(\$ in millions)

	2020	% Change	2019	% Change	2018	% Change	2017	% Change	2016
Land	9	0%	9	0%	9	0%	9	-10%	10
Construction in progress	3	50%	2	100%	1	0%	1	-50%	2
Infrastructure	46	12%	41	3%	40	3%	39	3%	38
Buildings and improvements	262	0%	261	1%	259	1%	257	1%	254
Leasehold improvements	4	0%	4	0%	4	0%	4	0%	4
Equipment	32	-11%	36	0%	36	6%	34	3%	33
Total Capital Assets	356	1%	353	1%	349	1%	344	1%	341
Accumulated Depreciation	-205	5%	-196	5%	-186	6%	-175	5%	-167
Capital Assets, Net	151	-4%	157	-4%	163	-4%	169	-3%	174
Related information									
Depreciation Expense	10	0%	10	0%	10	0%	10	0%	10
Outstanding Principal, Related Loans	120	-1%	121	-3%	125	-3%	129	5%	123

Table 2: Capital Assets as of June 30

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

Construction in Progress reflects amounts paid for buildings or other assets that were not completed at year-end. When completed and placed in service, the total cost is moved to the appropriate capital asset category. Depreciation of that asset begins the month after it is placed in service. Construction in Progress has remained steady since the significant construction phase ended in FY14. Building and Improvements increased throughout the period, reflecting completed projects. Infrastructure includes water & sewer systems, heating & electrical systems, telecommunication systems, and roads. The increase in infrastructure over the five-year period is due to projects on the campuses as well as enhanced communications systems for the entire System. Table 2 below also includes related information (depreciation expense and outstanding principal on construction loans).

Statement of Revenues, Expenses, and Changes in Net Position

The Statement of Revenues, Expenses, and Changes in Net Position reports total operating revenues, operating expenses, non-operating revenues and expenses, and other changes in net position, showing the total change in net position for the fiscal year. Table 3 on this page shows the Condensed Statements of Revenues, Expenses, and Changes in Net Position for the past five fiscal years.

Operating and Non-operating Revenue

Accounting rules require that our audited financials include operating revenues, operating expenses and non-operating revenues and expenses. The following sections provide an analysis of the total operating and non-operating revenues and expenses. The VSCS's primary source of revenue is from student tuition and fees. This accounts for 56% of operating and non-operating income. In addition, the System receives revenue from state appropriations, governmental and privately funded grants and contracts; gifts from individuals, foundations, and corporations; and investment income.

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

Table 3: Condensed Statements of Revenues, Expenses, and Changes in Net Position

	(\$ in millions)								
	2020	% Change	2019	% Change	2018	% Change	2017	% Change	2016
Net Student Revenues	100	-7%	107	-1%	108	-4%	112	0%	112
Grants and contracts	16	0%	16	7%	15	7%	14	-7%	15
Other Operating Revenues	6	-14%	7	0%	7	0%	7	-13%	8
Operating Revenues	122	-6%	130	0%	130	-2%	133	-1%	135
Operating Expenses	183	-2%	186	0%	186	1%	184	-1%	186
Operating Loss	-61	9%	-56	0%	-56	10%	-51	0%	-51
Nonoperating Revenues (Expenses)									
Non Capital Appropriations	33	10%	30	0%	30	11%	27	4%	26
Federal Grants & Contracts	28	75%	16	0%	16	0%	16	-6%	17
Gifts currently expendable	2	0%	2	-33%	3	50%	2	-33%	3
Investment Income & Interest	1	-50%	2	0%	2	-33%	3	200%	1
Interest Expense	-5	0%	-5	0%	-5	0%	-5	-17%	-6
Other nonoperating revenues	0	0%	0	0%	0	0%	0	-100%	-1
Net Nonoperating Revenues	59	31%	45	-2%	46	7%	43	8%	40
Total Change before other Revenues	-2	-82%	-11	10%	-10	25%	-8	-27%	-11
Other Changes in Net Position									
Capital Appropriation	2	-33%	3	0%	3	50%	2	-33%	3
Capital gifts and grants	0	0%	0	0%	0	0%	0	0%	0
Endowment gifts	1	0%	0	0%	0	-100%	1	100.0%	0
Change in Net Position	1	-114%	-7	0%	-7	40%	-5	-38%	-8

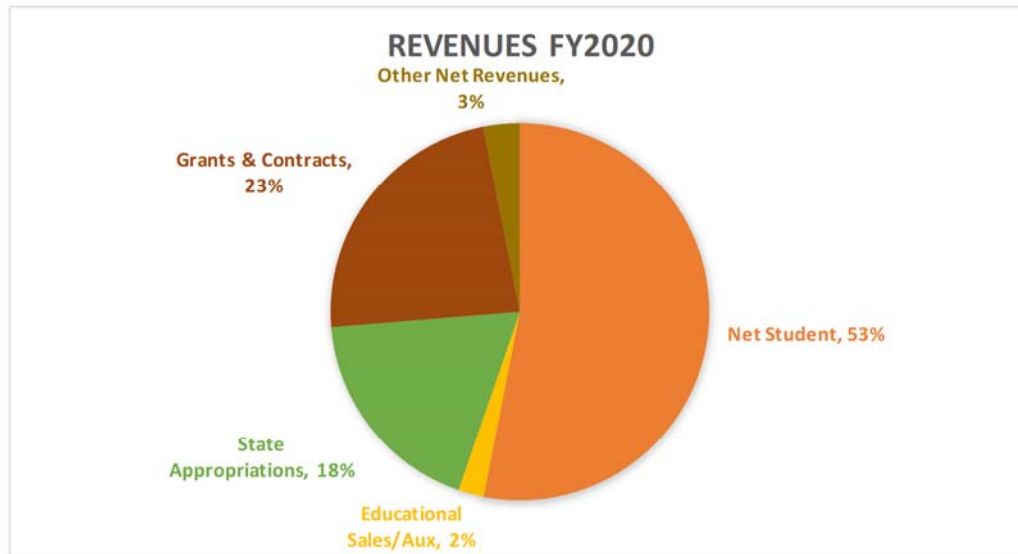
Table 3: Condensed Statements of Revenues, Expenses, and Changes in Net Position

VERMONT STATE COLLEGES

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019



FY2020 Revenues
(\$ in thousands)

Net Student	\$ 100,276	53%
Educational Sales/Aux	4,123	2%
State Appropriations	34,828	18%
Grants & Contracts	43,821	23%
Other Net Revenues	5,882	3%
TOTAL	\$ 188,930	100%

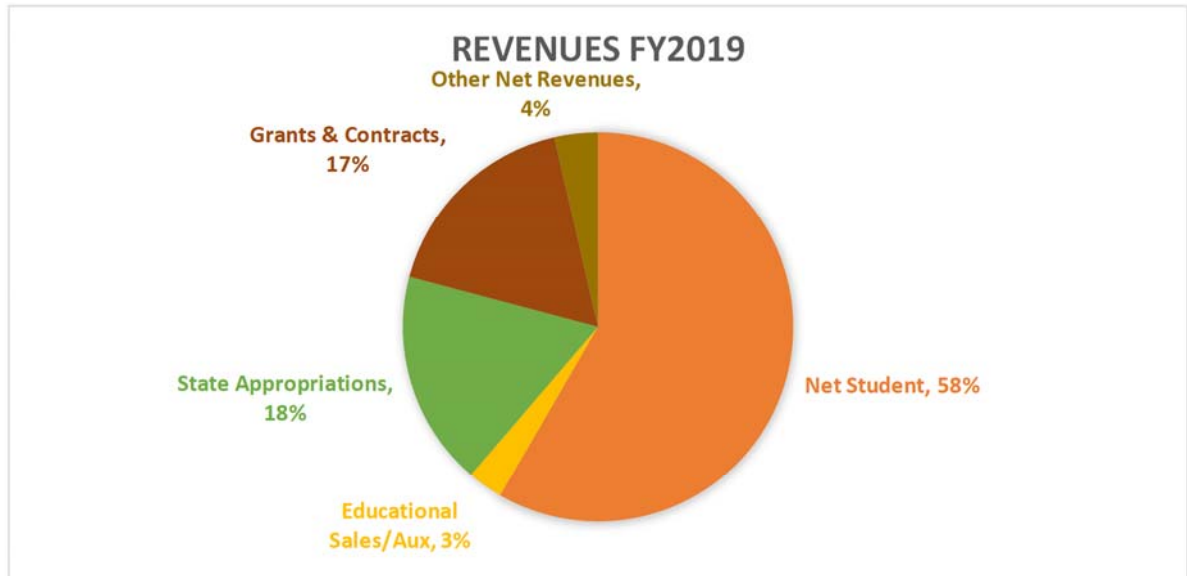
Chart 1: Revenues FY2020

VERMONT STATE COLLEGES

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019



FY2019 Revenues
(\$ in thousands)

Net Student	\$ 107,247	58%
Educational Sales/Aux	5,360	3%
State Appropriations	32,790	18%
Grants & Contracts	31,723	17%
Other Net Revenues	6,628	4%
TOTAL	\$ 183,748	100%

Chart 2: Revenues FY2019

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Management's Discussion and Analysis (Unaudited) - Continued

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Tuition and Fee Revenue

Net Tuition and fees includes tuition and fees plus residence and dining fees less scholarship allowances. The charts below show the trend for Tuition and Fee Revenue from FY2016 through FY2020. For the System, student-based revenue has been slowly declining during this five-year period, despite increases in tuition rates. Enrollments, in a time of decreasing high school graduates in the state, have created a challenge for the colleges/universities in our system.

Enrollments are displayed by both FTE (Full Time Equivalent) and by Headcount. FTE provides better comparative information; whereas, headcount shows the total number of individuals who have benefited from a VSCS education. These charts show a general steady decline in enrollment for CCV together with significant volatility for Castleton University, Northern Vermont University, and Vermont Technical College.

*Please note that the method used for calculating FTE for the VSCS changed for Fall 2018 and restatement of prior years is not feasible, so with exception of CCV, the comparative nature of this chart is somewhat lost for Fall 2018 as compared to prior years herein.

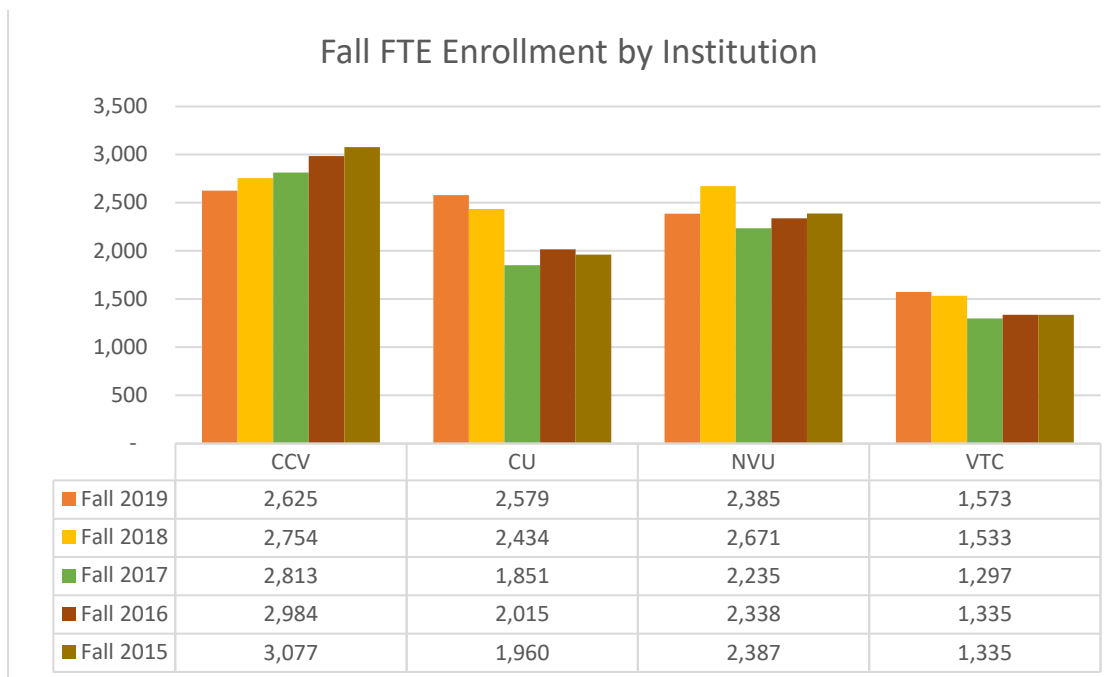


Chart 3: Fall FTE Enrollment by Institution

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Management's Discussion and Analysis (Unaudited) - Continued

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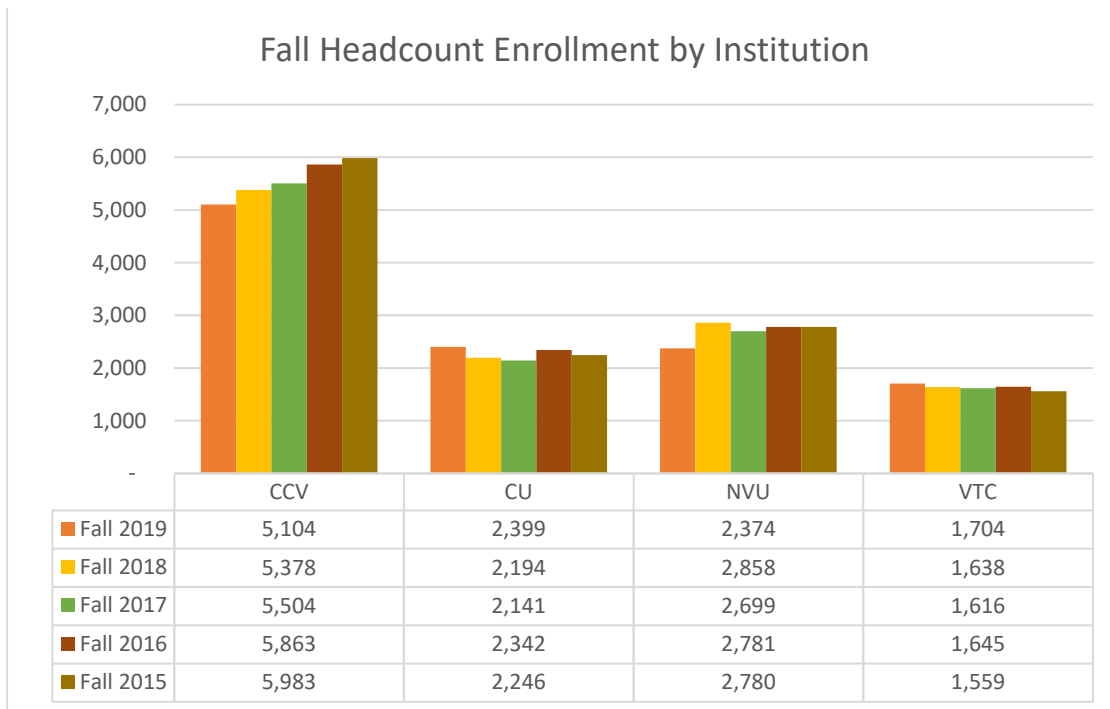


Chart 4: Fall Headcount Enrollment by Institution

The chart below displays Net Tuition and Fees for each college during the five-year period. It is notable that CCV has by far the largest number of students – both FTE and Headcount, but their net tuition is consistently outpaced by the Universities. CCV, as a community college has the lowest tuition cost and charges for courses on a per credit basis, while the residential schools charge a higher tuition rate and on a semester basis.

Over the last five years, CCV and NVU have seen enrollment declines of 16% and 19% respectively while CU and VTC have seen enrollment increases of approximately 4% and 10% with the all of CU's growth in net revenue occurring between FY2019 and FY2020. CU's increase in net tuition and fees can be attributed to, in large part, the closures of Green Mountain College, Southern Vermont College, and College of St. Joseph during FY2019. NVU's decline in net tuition and fees had been a steady decline until FY2019 at which time enrollments at the NVU-Lyndon campus dipped and greater emphasis was placed on discounting to boost enrollment. CCV, like NVU, experienced a large drop in net tuition and fees between FY2019 and FY2020.

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

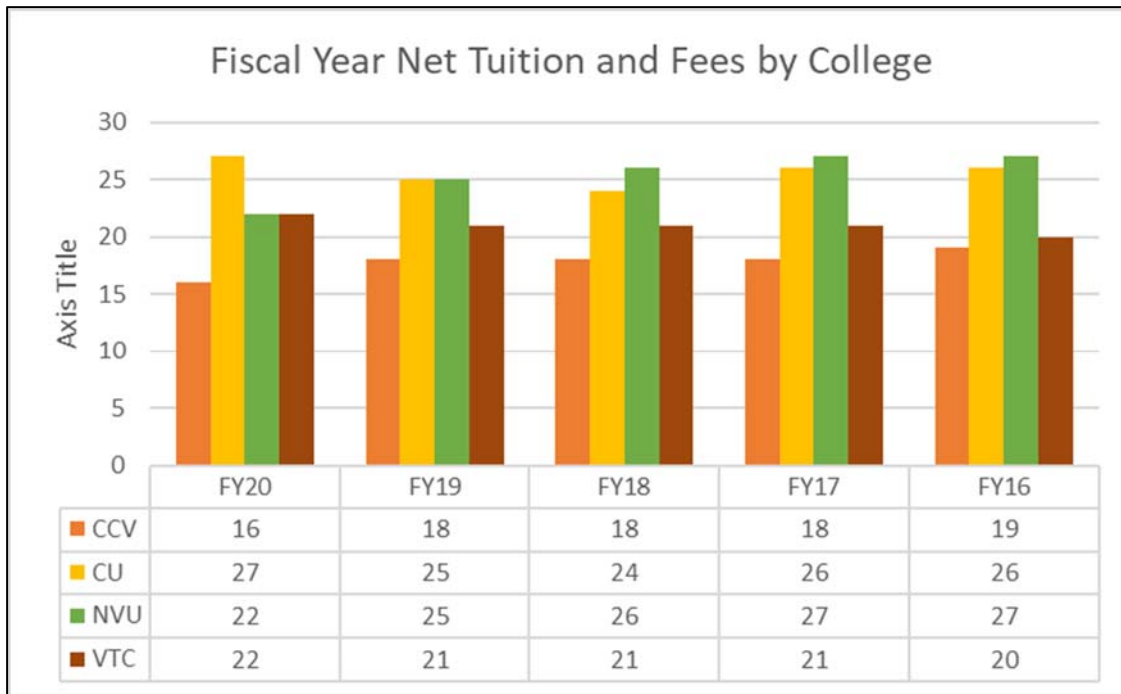


Chart 5: Fiscal year Net Tuition and Fees by Institution

Operating and Non-operating Expenses

Table 4 on page 15 shows the total Operating and Non-Operating Expenses for the past 5 years, and the charts provide a quick view of the percent of expenses by type for FY2020 and FY2019.

The largest percentage of VSCS expenses are for salary and benefits (approximately 63%). Those expenses have generally declined since FY2014 due to staff reductions compounded with a reduction in TIAA employer contribution for all employees beginning in FY2018. Positive trends in health care over the past couple of years have resulted in far less expense; however, annual accruals related to post-employment benefits are also included in this salary and benefit expense category.

Overall expenses have declined over the five years reported. Changes in utility expenses have been a direct result of favorable oil prices, and a particularly mild winter heating season, and the closure of the residential campuses in March 2020 due to COVID-19. Supplies and services is the second largest expense (20%). Keeping this expense relatively constant has been the result of the colleges and universities continued efforts to contain costs in response to the enrollment declines and the modest dip in percentage from FY2019 to FY2020 was due, again to reduced expenditures on supplies and services due to the closure of residential facilities. Notably, student aid has increased

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

as the VSCS institutions respond to the national trend towards aggressive discounting as a strategic and necessary response to the current competitive environment.

	2020	% Change	2019	% Change	2018	2017	2016
Operating							
Salaries & Benefits	119	-2%	121	-1%	122	121	121
Utilities	6	-14%	7	17%	6	5	6
Supplies and Svcs	38	-5%	40	0%	40	41	41
Depreciation	10	0%	10	0%	10	10	11
Student Aid	10	25%	8	14%	7	7	7
Total Operating	183	-2%	186	1%	185	184	186
Nonoperating							
Interest on Debt	5	0%	5	-17%	6	5	5
TOTAL Expenses	188	-2%	191	0%	191	189	191

Table 4: Total Operating and Non-Operating Expenses for Years Ended June 30

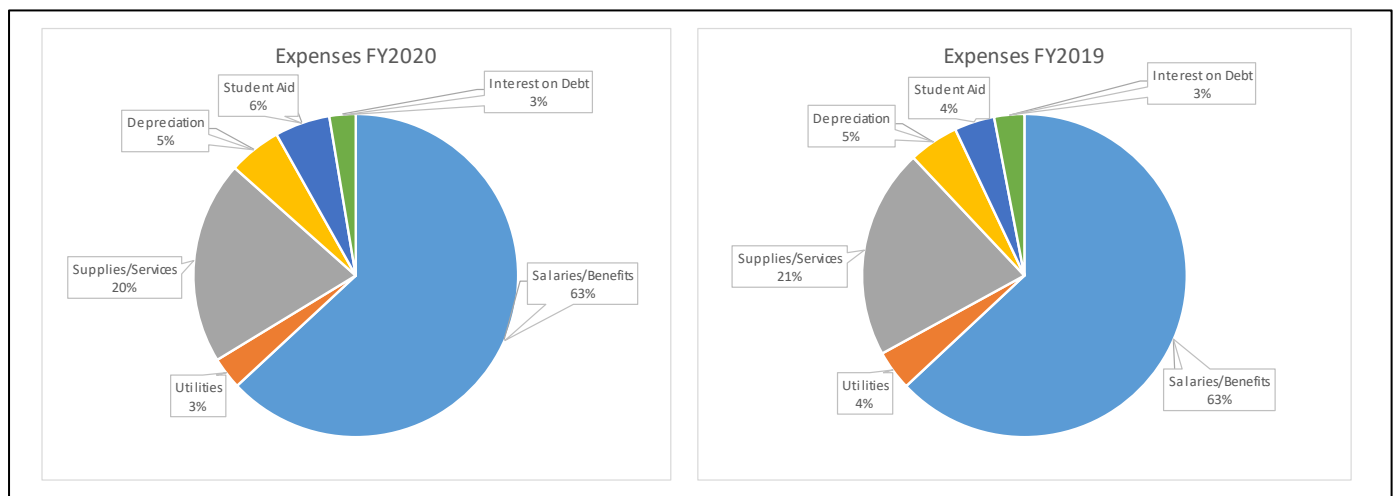


Chart 6: Expenses FY2020 and FY2019 by Major Category

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

Student Financial Aid

Student financial aid awards are made from a variety of sources including federal, state, private, and system funds. Aid received from third parties is recognized as grants and contracts revenue, and aid funded with endowments is recognized as investment income on the Statements of Revenues, Expenses, and Changes in Net Position while the distribution of aid from all sources is shown as one of two components:

- Scholarship Allowances – financial aid retained by the System to cover students' tuition, fees, and on-campus housing and meals. These amounts are reported as a direct offset to operating revenues.
- Scholarships and Fellowships Expense – financial aid refunded to students to cover off-campus living costs, books, and other personal living expenses. These amounts are reported as operating expense.
-

Student Financial Aid Trends for the Past Five Years					
(\$ in millions)					
	FY20	FY19	FY18	FY17	FY16
Scholarship Allowances (included in revenue)	32	29	27	25	25
Scholarship Expenses (included in expenses)	10	8	7	7	7
Total Student Aid	42	37	34	32	32

Table 5: Student Financial Aid Trends for Past Five Years

Statement of Cash Flow

The Statement of Cash Flows shows inflows and outflows of cash excluding both revenue and expense that is accrued to comply with accounting rules. The Condensed Statement of Cash Flows for the VSCS is in Table 6 on page 18.

Cash flows from operating activities

Cash flows from operating activities on the Statement of Cash Flows will always be different from the operating gain or loss on the Statement of Revenues, Expenses, and Changes in Net Position (SRECNP) because of the inclusion of noncash items, such as depreciation expenses on the SRECNP. Also, the SRECNP is prepared on the accrual basis of accounting, meaning that it shows both revenues earned, and expenses incurred though cash has not yet exchanged hands. The primary cash receipts from operating activities consist of tuition and fees, grants and contracts, and auxiliary income from housing and food service operations. Cash outlays include payment of

VERMONT STATE COLLEGES

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

wages and benefits; operating expenses such as utilities, supplies, insurance and repairs; and scholarships awarded to students. Cash flow from operations decreased significantly due to increased payments to suppliers, reduced tuition and fees, and an increase in accounts receivable outstanding at year-end.

Cash flows from noncapital financing activities

In normal years there are two primary sources of noncapital financing: state appropriations and non-operating federal grants that fund PELL student grants. Accounting standards require that we reflect these sources of revenue as non-operating, even though each of the colleges depends on them to continue the current level of operations. This remained relatively stable over the past two years and has returned to the FY2016 level. For FY2020, the VSCS received additional sources of noncapital financing in the form of federal CARES act funding, HEERF, and Coronavirus Relief Funds. These monies increased the non-operating federal grants line from its usual \$16 million to \$31 million at the end of FY2020

Cash flows from capital and related financial activities

Cash flows from capital and related financing activities include all capital plant funds and related long-term debt activities (excluding depreciation and amortization of bond premiums, since these are non-cash transactions), as well as capital gifts, grants and appropriations. This has remained relatively consistent over the 5-year period presented herein with the exception of both FY2019 and FY2020 as Bond Series were paid off at the close of FY2018 and in January of 2020, so there was a smaller amount paid on deposit with the bond trustee in both fiscal years.

Cash flows from investing activities

Purchase or sale of investments and income earned on investments are included in cash flows from investing activities. An item on the cash flow statement belongs in the investing activities section if it results from any gains (or losses) from investments in financial markets and operating subsidies. In FY2020, there was an increase in the investment's category due to additions to current endowments, as well as gains related to long-term investments.

Consistent with accounting standards, cash flows from state operating appropriations and federal PELL grant revenue are included in noncapital financing activities, even though they provide funding for operating activities. The bottom section of Table 6 shows that with these revenue sources added to the operating cash flows, the result is positive cash flows in all years.

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

Table 6: Condensed Statement of Cash Flows as of June 30
(\$ in millions)

<u>Cash flows from:</u>	2020	% Change	2019	% Change	2018	2017	2016
Operating	-47	9%	-43	16%	-37	-35	-38
Non capital financing	66	38%	48	-2%	49	45	45
Capital and related financing	-5	-50%	-10	43%	-7	-10	-12
Investing	1	0%	1	-50%	2	0	7
Net increase (decrease)	15	-475%	-4	-157%	7	0	2
Cash, Beginning of Year	14	-22%	18	64%	11	11	9
Cash, End of Year	29	107%	14	-22%	18	11	11
Operating cash flows if noncapital appropriations and PELL grants were included							
Operating	-47	12%	-42	14%	-37	-35	-38
Non capital appropriations	33	10%	30	0%	30	27	26
Non operating federal grants	31	94%	16	0%	16	16	17
Operating cash flows including appropriations and fed grants	17	325%	4	-56%	9	8	5

Table 6: Condensed Statement of Cash Flows

Economic Factors That Will Affect the Future

Pandemic Impacts

The worldwide pandemic of the novel coronavirus COVID-19 has hit the higher education sector especially hard. In March of 2020 all VSCS institutions, like much of the higher education market, closed its residence halls and moved to remote instruction. This teaching modality persisted through the summer 2020 term, and disrupted summer camps and conferences.

The pandemic is affecting the VSCS institutions unequally. The Community College of Vermont is experiencing a modest uptick in enrollment, comparing favorably with its community college peers nationally who are experiencing a downturn in enrollment. Castleton University, Northern Vermont University, and Vermont Technical College are experiencing a downturn in enrollment and residence hall participation. This downturn varies dependent upon the teaching modality selected by each institution and their own demographic trend. The pandemic impact on enrollment for the three residential institutions is estimated at between 9% and 19%. This reduction in enrollment is consistent with national trends. New student enrollment for the fall semester was

VERMONT STATE COLLEGES

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

down between 21% and 24% for each of the residential institutions. Should this trend continue into the 2021-2022 academic year, the impact on VSCS finances would be substantial.

Structural Difficulties

Consistent with national trends, Vermont continues to experience a demographic decline in the overall number of graduating high school students. This is expected to last for the foreseeable future and likely result in permanently lower enrollments going forward. In fact, the number of births in Vermont in 2015 was the lowest since before the Civil War and continues to shrink. Additionally, free college initiatives in neighboring states and online education are increasing the competitive landscape and forcing aggressive discounting strategies to ensure VSCS enrollments. All of the institutions have adopted programs and strategies to better recruit in this shrinking market.

In August 2019, the VSCS Office of the Chancellor published a white paper titled "Serving Vermont's Students by Securing the Future of the Vermont State Colleges System." The intent was to set the foundation for consideration of concrete, strategic actions that the Vermont State College System could take to secure its mission in an increasingly challenging and rapidly changing higher education environment. The paper highlighted the demographic challenges facing Vermont, New England, and the Northeast, as well as pointed to challenges with respect to the structure and nature of the VSCS.

In late March/early April 2020, the combined effects of the pandemic and the VSCS's structural issues became clear. In response, the former Chancellor proposed shuttering the residential campuses of Northern Vermont University and the Randolph Center location of Vermont Technical. The proposal was intended to alter the structure and shape of the Vermont State Colleges System so as to stabilize the system in response to the demographic challenges facing the region. Due to considerable public and legislative outcry, the proposal was withdrawn.

Legislative Evaluation and Support

At the request of the Vermont Legislature two separate financial evaluations of the Vermont State Colleges were undertaken in May 2020. The first, conducted by Vermont State Treasurer Beth Pearce, evaluated the financial health of the VSCS to determine the extent of the VSCS's demographic and funding challenges. The second evaluation, organized by the Joint Fiscal Office of the Vermont State Legislature and conducted by Mr. James Page, former chancellor of the University of Maine System, evaluated the overall financial condition of the VSCS, its current demographic and pandemic related enrollment challenges. Both studies concluded that the VSCS was accurately reflecting its financial situation and that an infusion of cash from the State would be necessary to support the transformation of the VSCS into a leaner, nimbler and financially

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

sustainable organization. The Legislature also created a Select Committee to student the future of public higher education in Vermont, with a specific focus on the Vermont State Colleges System.

Several key actions have been taken that will have a positive impact on the VSCS moving forward:

- Hiring of an external consultant to assist the work of the Legislative Select Committee. The consulting firm's preliminary report is due on December 4, 2020, with an interim report due in mid-February and the final report to be released in mid-April 2021.
- Board approval of critical policy changes that facilitate the creation of a system-wide budget that emphasizes the health of the system rather than the independent health of a single institution
- Development of strategic priorities for the Vermont State Colleges – these priorities emphasize affordability of a post-secondary education, the accessibility of a post-secondary education for Vermonters, and the quality/relevance of credentials, programs of study, and degrees offered by the VSCS
- Hiring of two critical positions - Chancellor and Chief Financial/Operating Officer. These officers are driving change throughout the system, with an emphasis on collaboration and transparency within the higher education and legislative communities

Vermont State Appropriations

The pandemic has had and continues to have a negative effect on the finances of the State of Vermont with receipt of tax and other revenues down substantially. However, the State has been extraordinarily generous to the VSCS this year. In addition to holding its base appropriation flat year-over-year, it supplied one-time bridge funding in the amount of \$28.8 million, plus federal Coronavirus Relief Funds (CRF) in the amount of \$22.758 million for FY2021. Additionally, the VSCS has received a one-time grant in the amount of \$2.3 million to support education for unemployed Vermonters. Combined, the total appropriation plus CRF allocated in the FY2021 budget is \$98.5 million, more than three times the amount of funding allocated in the previous year.

While the VSCS does not anticipate receiving this level of funding in future years, it has allowed the VSCS the time necessary to transform into a leaner and more nimble organization. This work will be ongoing throughout FY2021.

Employee and Contractual Obligations

The VSCS employs more than two thousand people annually, the majority of whom are covered by collective bargaining agreements. Wages and benefits are the single biggest expense of the VSCS, with more than 63% of all expenses related to employees.

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2020 and 2019

The VSCS has six collective bargaining units. Three of the collective bargaining agreements expired on June 30, 2020. Due to the pandemic, labor and management agreed to a one-year extension of the agreements with modest adjustments to the terms. Two additional agreements will expire on June 30, 2021. Negotiation for new agreements for these five units will be conducted in FY2021. The remaining agreement, for full-time faculty, will expire on June 30, 2022. An election for a possible seventh bargaining unit (part-time faculty teaching for NVU Online) is scheduled to be held in October 2020.

VERMONT STATE COLLEGES
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Statements of Net Position

June 30,

Assets and Deferred Outflows of Resources

	<u>2020</u>	<u>2019</u>
Current Assets:		
Cash and equivalents (Note 2)	\$ 22,432,987	\$ 12,779,829
Restricted cash and equivalents	5,940,335	-
Accounts receivable, net (Note 3)	17,174,731	14,613,398
Deposit with bond trustees (Note 2)	1,061,784	3,147,989
Other current assets	<u>1,458,477</u>	<u>2,252,541</u>
Total Current Assets	<u>48,068,314</u>	<u>32,793,757</u>
Non-Current Assets:		
Cash and equivalents (Note 2)	963,686	1,305,530
Long-term investments (Note 2)	48,091,685	47,978,121
Notes receivable, net (Note 3)	3,488,786	4,185,228
Other assets	61,683	100,704
Capital assets, net (Note 11)	<u>150,979,076</u>	<u>157,104,709</u>
Total Non-Current Assets	<u>203,584,916</u>	<u>210,674,292</u>
Total Assets	<u>251,653,230</u>	<u>243,468,049</u>
Deferred Outflows of Resources:		
Deferred loss on debt refunding (Note 5)	8,570,206	8,820,680
OPEB (Note 9)	<u>16,151,177</u>	<u>16,444,994</u>
Total Deferred Outflows of Resources	<u>24,721,383</u>	<u>25,265,674</u>
Total Assets and Deferred Outflows of Resources	<u>\$ 276,374,613</u>	<u>\$ 268,733,723</u>

The accompanying notes are an integral part of these financial statements.

Liabilities, Deferred Inflows of Resources and Net Position

	<u>2020</u>	<u>2019</u>
Current Liabilities:		
Accounts payable and accrued liabilities (Note 12)	\$ 13,402,712	\$ 14,540,357
Unearned revenue and deposits	12,187,617	7,131,827
Current portion of long-term debt (Note 4)	<u>1,613,454</u>	<u>2,503,616</u>
Total Current Liabilities	<u>27,203,783</u>	<u>24,175,800</u>
Non-Current Liabilities:		
Other liabilities	244,435	224,866
Refundable grants	4,751,397	6,036,744
Post-employment benefit obligations (Note 9)	194,057,554	189,003,550
Long-term debt, excluding current portion (Note 4)	<u>117,960,911</u>	<u>118,582,630</u>
Total Non-Current Liabilities	<u>317,014,297</u>	<u>313,847,790</u>
Total Liabilities	<u>344,218,080</u>	<u>338,023,590</u>
Deferred Inflows of Resources:		
OPEB (Note 9)	<u>4,548,824</u>	<u>4,465,998</u>
Net Position:		
Net investment in capital assets	45,779,424	46,529,627
Restricted - nonexpendable	19,157,254	18,564,953
Restricted - expendable	12,639,185	13,185,660
Unrestricted	<u>(149,968,154)</u>	<u>(152,036,105)</u>
Total Net Position	<u>(72,392,291)</u>	<u>(73,755,865)</u>
 Total Liabilities, Deferred Inflows of Resources and Net Position	 <u>\$ 276,374,613</u>	 <u>\$ 268,733,723</u>

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Statements of Revenues, Expenses and Changes in Net Position

For the Years Ended June 30,

	<u>2020</u>	<u>2019</u>
Operating Revenues:		
Tuition and fees	\$ 119,193,554	\$ 117,624,580
Residence and dining	13,080,067	18,584,640
Less: scholarship allowances	<u>(31,997,371)</u>	<u>(28,962,603)</u>
Net Tuition, Fees, and Residence and Dining Revenue	100,276,250	107,246,617
Federal grants and contracts	12,607,232	12,215,520
State and local grants and contracts	2,384,119	2,437,913
Non-governmental grants and contracts	940,145	1,091,487
Interest income	84,052	86,158
Sales and services of educational activities	4,123,603	5,359,762
Other operating revenues	<u>1,285,806</u>	<u>1,431,315</u>
Total Operating Revenues	<u>121,701,207</u>	<u>129,868,772</u>
Operating Expenses (Notes 6, 10 and 12):		
Salaries and wages	77,863,880	78,107,048
Employee benefits (Notes 8 and 9)	41,202,655	42,706,911
Scholarships and fellowships	10,369,849	7,805,966
Supplies and other services	37,107,026	40,403,321
Utilities	6,080,442	6,772,332
Depreciation (Note 11)	<u>9,999,987</u>	<u>10,084,696</u>
Total Operating Expenses	<u>182,623,839</u>	<u>185,880,274</u>
Net Operating Loss	<u>(60,922,632)</u>	<u>(56,011,502)</u>
Non-Operating Revenues (Expenses):		
State appropriations (Note 7)	32,754,092	29,790,256
Federal grants and contracts	27,890,446	15,978,880
Gifts	2,197,466	2,108,506
Investment income, net of expenses (Note 2)	1,322,745	2,562,154
Interest expense on capital debt	(4,944,172)	(5,357,070)
Other non-operating revenues (expenses)	<u>(18,971)</u>	<u>147,313</u>
Net Non-Operating Revenues	<u>59,201,606</u>	<u>45,230,039</u>
Decrease in Net Position Before Other Revenues	(1,721,026)	(10,781,463)
Other Revenues:		
State appropriations for capital expenditures (Note 7)	2,074,056	3,000,000
Capital grants and gifts	405,759	3,500
Additions to non-expendable assets	<u>604,785</u>	<u>290,578</u>
Increase (Decrease) in Net Position	1,363,574	(7,487,385)
Net Position, Beginning of Year	<u>(73,755,865)</u>	<u>(66,268,480)</u>
Net Position, End of Year	<u>\$ (72,392,291)</u>	<u>\$ (73,755,865)</u>

The accompanying notes are an integral part of these financial statements.

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Statements of Cash Flows

For the Years Ended June 30,

	<u>2020</u>	<u>2019</u>
Cash Flows from Operating Activities:		
Tuition and fees	\$ 90,171,996	\$ 98,885,844
Grants and contracts	14,888,434	14,634,805
Sales and services of educational activities	4,049,903	5,359,762
Interest received	84,052	86,158
Payments to suppliers	(38,474,396)	(43,761,040)
Payments to employees	(119,340,878)	(120,017,607)
Collection of loan payments	696,442	791,625
Other cash receipts	<u>1,285,806</u>	<u>1,431,315</u>
Net Cash Applied to Operating Activities	<u>(46,638,641)</u>	<u>(42,589,138)</u>
Cash Flows from Non-Capital Financing Activities:		
State appropriations	32,754,092	29,790,256
Non-operating federal grants	31,181,335	15,978,880
Gifts and grants	<u>2,252,201</u>	<u>2,373,517</u>
Net Cash Provided by Non-Capital Financing Activities	<u>66,187,628</u>	<u>48,142,653</u>
Cash Flows from Capital and Related Financing Activities:		
Capital and non-expendable grants and gifts	1,010,544	294,078
Capital appropriations	2,074,056	-
Purchase of capital assets	(3,897,495)	(4,309,639)
Change in deposits with bond trustee	2,086,205	1,466,570
Proceeds from sale of capital assets	23,141	56,200
Proceeds from issuance of bonds	28,723,755	-
Payments on capital debt	(30,299,155)	(3,280,000)
Interest expense on capital debt	(5,208,599)	(5,357,069)
Other receipts	<u>(18,971)</u>	<u>139,013</u>
Net Cash Applied to Capital and Related Financing Activities	<u>(5,506,519)</u>	<u>(10,990,847)</u>

VERMONT STATE COLLEGES
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Statements of Cash Flows - Continued

For the Years Ended June 30,

	<u>2020</u>	<u>2019</u>
Cash Flows from Investing Activities:		
Proceeds from sales and maturities of investments	\$ 5,448,756	\$ 18,790,357
Purchase of investments	(5,502,982)	(20,297,338)
Interest and dividends received on investments	<u>1,263,407</u>	<u>2,625,116</u>
Net Cash Provided by Investing Activities	<u>1,209,181</u>	<u>1,118,135</u>
Net Increase (Decrease) in Cash and Equivalents	15,251,649	(4,319,197)
Cash and Equivalents, Beginning of Year	<u>14,085,359</u>	<u>18,404,556</u>
Cash and Equivalents, End of Year	<u>\$ 29,337,008</u>	<u>\$ 14,085,359</u>
Reconciliation of Operating Loss to Net Cash Applied to Operating Activities:		
Operating loss	\$ (60,922,632)	\$ (56,011,502)
Adjustments to reconcile operating loss to net cash applied to operating activities:		
Depreciation	9,999,987	10,084,696
Bad debts	796,980	680,460
OPEB activity	376,643	5,925,157
Changes in assets and liabilities:		
Accounts receivable	(708,867)	(3,567,568)
Other assets	833,085	(985,545)
Notes receivable	696,442	818,601
Accounts payable and accrued liabilities	(559,225)	156,051
Unearned revenues, deposits and refundable grants	(2,205,058)	(194,890)
Post-employment benefit obligations	<u>5,054,004</u>	<u>505,402</u>
Net Cash Applied to Operating Activities	<u>\$ (46,638,641)</u>	<u>\$ (42,589,138)</u>
Non-Cash Transactions:		
Equipment provided by capital grants and gifts	<u>\$ -</u>	<u>\$ 30,635</u>
Proceeds from sale of investments transferred to operating cash	<u>\$ 1,415,582</u>	<u>\$ 642,135</u>
Unrealized gains (losses)	<u>\$ (1,119,070)</u>	<u>\$ (432,423)</u>
Donation of stock	<u>\$ 403,259</u>	<u>\$ -</u>
Net loss on disposal of capital assets	<u>\$ -</u>	<u>\$ 19,881</u>

The accompanying notes are an integral part of these financial statements.

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Notes to the Financial Statements

June 30, 2020 and 2019

Note 1 - **Summary of Significant Accounting Policies**

Organization

Vermont State Colleges include the following entities: System Office and Services, Community College of Vermont ("CCV"), Castleton University ("CU"), Northern Vermont University ("NVU"), Vermont Technical College ("VTC"), Vermont Manufacturing Extension Center ("VMEC"), Small Business Development Center ("SBDC"), and Vermont Tech Office of Continuing Education and Workforce Development ("TED").

On March 11, 2020, the World Health Organization declared the global outbreak of the novel coronavirus (COVID-19) as a pandemic. On March 23, 2020, the Colleges transitioned students to a distance learning environment for the completion of the 2020 spring semester, and the 2020 summer semester was taught online. The Colleges refunded a total of \$5,380,526, before June 30, 2020 to students for a prorated share of the housing and meals fees charged for the period from when the Colleges transitioned students to a distance learning environment to the completion of the 2020 spring semester.

On March 27, 2020, the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) became law. As part of the law, the CARES Act created the Higher Education Emergency Relief Fund ("HEERF"). The Colleges were awarded \$6,141,231 of which 50% (or half) is required to be distributed to students affected by the COVID-19 crisis as emergency grants and the other half is required by the Colleges to cover costs associated with changes in operations due to the COVID-19 crisis. According to the terms of HEERF, an institution can only spend costs associated with changes in operations due to the COVID-19 crisis up to the amount provided to students as emergency grants.

As of June 30, 2020, the Colleges expended \$2,649,446 for emergency grants to students and \$2,649,446 for institutional costs from the HEERF funds. In conjunction with CARES Act regulations, the Colleges must spend these funds by one calendar year from when the funds were awarded.

The CARES act also created the Coronavirus Relief Fund which was awarded to the State. On June 15, 2020, the governor signed a fiscal year 2020 supplemental budget that allocated a portion of the CRF to the Colleges amounting to \$12,515,500, of which \$5,117,792, had to be used to cover the cost of room and board refunds due to the closing of the campuses in the Spring 2020 semester. As of June 30, 2020, the Colleges

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

expended \$6,575,165 which included the cost of room and board refunds. The remaining unexpended balance of \$5,940,335 is included in unearned revenue and deposits in the statement of net position and must be used for necessary expenditures incurred due to COVID-19. The Colleges must expend this award by December 30, 2020.

The accounting policies and procedures used by the Vermont State Colleges (“VSC” or the “Colleges”) in accounting for, and reporting, its financial transactions are based on the accrual method of accounting. The significant accounting policies followed by the Colleges are described below.

Basis of Presentation

The accompanying financial statements have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America, as prescribed by the Governmental Accounting Standards Board (“GASB”).

Revenues are recorded when earned, and expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. Grants and similar items are recognized as revenue as soon as all eligibility requirements have been met. The accompanying statements of revenues, expenses and changes in net position demonstrate the degree to which the direct expenses of a given function are offset by program revenues. Direct expenses are those that are clearly identifiable with a specific function. Program revenues primarily include charges to students or others who enroll or directly benefit from services that are provided by a particular function. Items not meeting the definition of program revenues are reported as general revenue.

The Colleges have determined that they function as a business-type activity, as defined by GASB. The effect of interfund activity has been eliminated from these financial statements. The basic financial statements and required supplementary information for general-purpose governments consist of management’s discussion and analysis, basic financial statements and required supplementary information. The Colleges present the statements of net position, revenues, expenses and changes in net position, and cash flows on a combined College-wide basis.

The Colleges’ policy is to define operating activities in the statements of revenues, expenses and changes in net position as those that generally result from exchange transactions such as charges for services provided to students and for the purchase of goods and services. Certain other transactions are reported as non-operating activities.

VERMONT STATE COLLEGES

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

These non-operating activities include the Colleges' operating appropriations from the State, net investment income, gifts, certain grants, and interest expense.

Net Position

GASB Statement No. 34 requires that resources be classified for accounting purposes into the following four net position categories:

Net investment in capital assets: Capital assets, net of accumulated depreciation and of outstanding principal balances of debt attributable to the acquisition, construction, repair or improvement of those assets.

Restricted - nonexpendable: Net position subject to externally imposed conditions that VSC must maintain in perpetuity.

Restricted - expendable: Net position that is subject to externally imposed conditions that can be fulfilled by the actions of the Colleges or by the passage of time.

Unrestricted: All other categories of net position. Unrestricted net position may be designated by actions of the Colleges' Board of Trustees (the "Board").

In accordance with VSC's policy pertaining to the expenditure of restricted dollars, unrestricted dollars are spent first, followed by restricted dollars, if appropriate.

Cash and Equivalents

The Colleges consider all highly liquid debt instruments purchased with an original maturity date of three months or less to be cash equivalents.

Restricted Cash and Equivalents

The Colleges restricted cash consists of CRF funds that were funded to the Colleges from the State but were not expended as of the year ending June 30, 2020. Funds are restricted as they must be used to cover expenses that were incurred due to the COVID-19 pandemic.

Allowance for Doubtful Accounts

Provisions for losses on receivables are determined on the basis of loss experience, known and inherent risks, and current economic conditions.

VERMONT STATE COLLEGES

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Capital Assets

Real estate assets, including improvements, are generally stated at cost. Furnishings and equipment are stated at cost as of date of acquisition or, in the case of gifts, at fair value as of the date of donation. In accordance with the Board's capitalization policy, vehicles, equipment and works of art and historical treasures with a unit cost of at least \$5,000 are capitalized. Land, building, leasehold and infrastructure improvements with a unit cost of \$50,000 or more are capitalized. Software with a unit cost of \$500,000 or more is capitalized. Interest cost on debt related to capital assets is capitalized during the construction period and then depreciated over the life of the project. The Colleges' capital assets, with the exception of land and construction in progress, are depreciated on a straight-line basis over their estimated useful lives, which range from 3 to 50 years. The costs of normal maintenance and repairs that do not add to the value of the asset or materially extend asset lives are not capitalized.

Restricted - expendable net position includes certain capital funds appropriated by the State of Vermont to the Vermont Department of Buildings and General Services for the benefit of VSC and unexpended as of fiscal year-end.

Investments

Investments are stated at fair value. Investment securities are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is possible that changes in the values of the investment securities will occur and that such changes could materially affect the amounts reported in the statements of net position.

Other Significant Accounting Policies

The Colleges' employees are granted vacation and sick leave in varying amounts. In the event of termination, an employee is paid for those accumulated vacation days allowable in accordance with the applicable union contract in force or in the case of non-union personnel, according to the State or Colleges' policy.

Amounts of vested and accumulated vacation leave are reported as accrued compensation and benefits. Amounts are determined based upon the personal service rates in effect as of the balance sheet date. No liability is recorded for non-vesting accumulating rights to receive vacation benefits.

Refundable Grants

Refundable grants are refundable to the federal government for Federal Perkins and Nursing Student loans.

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

The Federal Perkins Loan Program Extension Act of 2015 (the “Extension Act”), enacted on December 18, 2015, extended the Perkins Loan Program through September 30, 2017. The Extension Act states that new Perkins Loans cannot be disbursed to students after September 30, 2017. Students that received a fall semester Perkins Loan disbursement before October 1, 2017 can receive a spring semester Perkins Loan disbursement. The Colleges are currently evaluating alternative methods of financial aid for students affected by the Extension Act for the 2020-2021 academic year.

Unearned Revenue and Deposits

Deposits and advance payments received for tuition and fees related to certain summer programs and tuition received for the following academic year are reported as unearned revenues.

Student Fees

Student tuition and fees are presented net of scholarships and fellowships applied to students’ accounts. Certain other scholarship amounts are paid directly to, or refunded to students, and they are reflected as expenses.

Bond and Note Premiums

Bond and note underwriters' premiums are amortized on the straight-line basis over the life of the respective bond. VSC incurred bond premiums related to the 2013, 2017, and 2020 bonds at the time of the issuance of the bonds. The bond premium for the 2013 bond of \$1,898,889 is amortized over 20 years. The bond premium for the 2017 bond of \$10,557,129 is amortized over 20.5 years. The bond premium for the 2020 bond of \$4,538,755 is amortized over 21.7 years. Cumulative amortization of the bond premium totaled \$2,385,408 and \$1,684,772 as of June 30, 2020 and 2019, respectively. Cumulative unamortized balances of bond premiums totaled \$14,609,365 and \$10,771,246 as of June 30, 2020 and 2019, respectively. The bond premiums are included in bonds and notes payable.

Post-employment Benefits Other Than Pensions ("OPEB")

GASB Statement No. 75, *Accounting and Financial Reporting for Post-employment Benefits Other than Pensions* (“GASB 75”), require governments to account for other post-employment benefits (“OPEB”), primarily healthcare, on an accrual basis rather than on a pay-as-you-go basis. The effect is the total OPEB liability is to be measured as the present value of projected benefit payments to be provided to current active and inactive employees that is attributed to those employees' past periods of service. The Statement requires that the actuarial present value of projected benefit payments be attributed to the periods of employee services using the entry age actuarial cost method with each period's service cost determined as a level percentage of pay.

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Income Taxes

The Internal Revenue Service has determined that the Colleges are a wholly owned instrumentality of the State of Vermont, and as such are generally exempt from federal income tax. However, the Colleges are subject to federal income tax on unrelated business income.

Grants

The Colleges receive financial assistance from federal and state agencies in the form of grants and entitlements. Expenditures of funds under these programs require compliance with the grant agreements and are subject to audit by the granting agency.

Use of Estimates in Financial Statement Preparation

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions about future events. These estimates and assumptions affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements, as well as the reported amounts of revenues and expenses during the reporting period. Management evaluates the estimates and assumptions on an ongoing basis using historical experience and other factors that management believes to be reasonable under the circumstances. Adjustments to estimates and assumptions are made as facts and circumstances require. As future events and their effects cannot be determined with certainty, actual results may differ from the estimates used in preparing the accompanying financial statements. Significant estimates and assumptions are required as part of estimating an allowance for doubtful accounts, depreciation, net position classification, self-funded health insurance accrual, and determining the other post-employment benefits liability.

New Governmental Accounting Pronouncements

GASB Statement 84, *Fiduciary Activities* is effective for periods beginning after December 15, 2019. The objective of this Statement is to establish criteria for identifying fiduciary activities. Activity meeting the established criteria would then be presented in a statement of fiduciary net position and a statement of changes in fiduciary net position. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 87 – *Leases* is effective for periods beginning after June 15, 2021. Implementation of this standard will require lessees to recognize on their statement of net position the rights and obligations resulting from leases categorized as operating leases as assets, liabilities, or deferred inflows / outflows of resources. It provides for

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

an election on leases with terms of less than twelve months to be excluded from this Statement. Management is in the process of evaluating this Statement and has not yet determined its impact on the financial statements.

GASB Statement 89 – *Accounting for Interest Costs Incurred before the End of a Construction Period* is effective for reporting periods beginning after December 15, 2021. The objectives of this Statement are (1) to enhance the relevance and comparability of information about capital assets and the cost of borrowing for a reporting period and (2) to simplify accounting for interest cost incurred before the end of a construction period. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 90 – *Majority Equity Interests*, an amendment of GASB Statements 14 and 61, is effective for reporting periods beginning after December 15, 2019. The objective of this Statement is to improve the consistency of reporting a government's majority equity interest in a legally separate organization. A majority equity interest should be recognized using the equity method if the government's holding of the equity interest represents an investment. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 91 – *Conduit Debt Obligations* is effective for reporting periods beginning after December 15, 2021. The objective of this Statement is to improve the consistency of reporting conduit debt. This Statement requires government entities that issue conduit debt, but are not the obligors, not to recognize the liability unless it is more likely than not that the government issuer will service the debt. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 92 – *Omnibus 2020* is effective for reporting periods beginning after June 15, 2021. The objective of this Statement is to improve comparability in financial reporting for leases, pensions, OPEB, and asset retirement obligations. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 94 – *Public-Private and Public-Private Partnerships and Availability Payment Arrangements* is effective for reporting periods beginning after June 15, 2022. The objective of this Statement is to provide accounting and financial reporting guidance for arrangements in which the governmental entity (the transferor) contracts with an operator to provide public services by conveying control of the right to operate or use a nonfinancial asset. Management has not completed its review of the requirements of this standard and its applicability.

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

GASB Statement 96 – *Subscription-Based Information Technology Arrangements (SBITA)* is effective for reporting periods beginning after June 15, 2022. The objective of this Statement is to provide accounting and financial reporting guidance for transactions in which a governmental entity contracts with another party for the right to use their software. A right-of-use asset and a corresponding liability would be recognized for SBITAs. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 97 – *Certain Component Unit Criteria, and Accounting and Financial Reporting for Internal Revenue Code Section 457, Deferred Compensation Plans* is effective for reporting periods beginning after June 15, 2021. The objective of this Statement is to provide financial reporting consistency in which the potential component unit does not have a governing board and the primary government performs the duties that a governing board would perform. In the absence of a governing board of the potential component unit, the situation should be treated the same as the primary government appointing a majority of the potential component unit's governing board. Management has not completed its review of the requirements of this standard and its applicability.

Reclassifications

Certain amounts on the 2019 financial statements have been reclassified to conform to the 2020 presentation.

Note 2 - Cash and Equivalents, and Investments

Cash and Equivalents

Cash and equivalents with maturities of 90 days or less from purchase date are recorded at cost, which approximates market value.

In operating a central treasury and investment pool, individual college cash receipts (except the federal loan funds) are deposited in separate collection deposit accounts in the name of VSC. Disbursements are made from other bank accounts that are funded by transfers from the central treasury.

In accordance with the Uniform Prudent Management of Institutional Funds Act, VSC deems all realized and unrealized gains on permanently restricted investments to be temporarily restricted if the income is restricted by the donor. Absent donor restrictions, the Board of Trustees has adopted a spending policy whereby 5% of the lesser of the

VERMONT STATE COLLEGES

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

current market value of investments or the average portfolio value over the last three years is allowed to be drawn down and allocated to operations.

Cash and equivalents included with non-current assets are restricted primarily for specific programs or to be used to pay for capital construction projects.

At June 30, 2020, the balance of current assets - cash and equivalents and restricted cash and equivalents, consists of approximately \$15,000 in petty cash, and the remainder deposited in Federal Deposit Insurance Corporation ("FDIC") insured banking institutions of approximately \$28,358,000 per the accounting records of the Colleges, and approximately \$29,478,000 per bank records. Of the bank balances, approximately \$1,191,000 was covered by federal depository insurance and approximately \$28,287,000 was uninsured and uncollateralized at June 30, 2020.

At June 30, 2020, the balances of non-current assets - cash and equivalents deposited in FDIC insured banking institutions were approximately \$964,000 per the accounting records of the Colleges, and approximately \$959,000 per bank records. Of the bank balances, approximately \$250,000 was covered by federal depository insurance and approximately \$709,000 was uninsured and uncollateralized at June 30, 2020.

At June 30, 2019, the balance of current assets - cash and equivalents consists of approximately \$14,000 in petty cash, and the remainder deposited in Federal Deposit Insurance Corporation ("FDIC") insured banking institutions of approximately \$12,766,000 per the accounting records of the Colleges, and approximately \$14,907,000 per bank records. Of the bank balances, approximately \$700,000 was covered by federal depository insurance and approximately \$14,207,000 was uninsured and uncollateralized at June 30, 2019.

At June 30, 2019, the balances of non-current assets - cash and equivalents deposited in FDIC insured banking institutions were approximately \$1,306,000 per the accounting records of the Colleges, and approximately \$1,306,000 per bank records. Of the bank balances, approximately \$250,000 was covered by federal depository insurance and approximately \$1,056,000 was uninsured and uncollateralized at June 30, 2019.

VERMONT STATE COLLEGES
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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Investments

Investments of the various funds at June 30, 2020 are as follows:

	<u>Fair Value</u>	<u>Cost</u>
U.S. Government bonds	\$ 8,760,041	\$ 8,277,343
Corporate bonds	8,006,904	7,614,131
Common stock and ETF's	13,072,630	12,538,585
Hedge fund shares	3,379,757	3,601,384
Mutual funds	9,652,272	8,795,025
Money market	5,220,081	5,220,081
Held by bond trustee	<u>1,061,784</u>	<u>1,061,784</u>
 Total Investments	 <u>\$ 49,153,469</u>	 <u>\$ 47,108,333</u>

Investments of the various funds at June 30, 2019 are as follows:

	<u>Fair Value</u>	<u>Cost</u>
U.S. Government bonds	\$ 9,394,940	\$ 9,186,397
Corporate bonds	8,847,291	8,747,382
Common stock and ETF's	15,553,273	13,350,519
Hedge fund shares	1,125,677	1,000,000
Mutual funds	10,305,114	9,972,751
Money market	2,751,826	2,749,018
Held by bond trustee	<u>3,147,989</u>	<u>3,147,989</u>
 Total Investments	 <u>\$ 51,126,110</u>	 <u>\$ 48,154,056</u>

Investment maturities include deposits held by the bond trustee, which are invested in various government securities, corporate bonds, commercial grade paper, and money market accounts. The majority of these funds are related to the 2013 and 2010 bonds, and they are held in the bond fund, the reserve fund, and the construction fund. Within the bond fund, there is a principal account, an interest account, and a sinking fund account.

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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

2020
Investment Maturities (in years)

<u>Investment Type</u>	<u>Market Value</u>	<u>Less than 1</u>	<u>1-5</u>	<u>6-10</u>	<u>More than 10</u>
Money Market					
Investments	\$ 5,220,081	\$ 5,220,081	\$ -	\$ -	\$ -
Corporate Bonds	8,006,904	867,411	4,745,585	2,393,908	-
U.S. Govt. Bonds	<u>8,760,041</u>	<u>2,017,689</u>	<u>5,396,665</u>	<u>1,345,687</u>	<u>-</u>
Total	<u>\$ 21,987,026</u>	<u>\$ 8,105,181</u>	<u>\$ 10,142,250</u>	<u>\$ 3,739,595</u>	<u>\$ -</u>

Other Investments

Common Stock and Mutual Funds	26,104,659
Held by Bond Trustee	<u>1,061,784</u>
Total	<u>\$ 49,153,469</u>

2019
Investment Maturities (in years)

<u>Investment Type</u>	<u>Market Value</u>	<u>Less than 1</u>	<u>1-5</u>	<u>6-10</u>	<u>More than 10</u>
Money Market					
Investments	\$ 2,751,826	\$ 2,751,826	\$ -	\$ -	\$ -
Corporate Bonds	8,847,291	1,377,845	4,757,159	2,712,287	-
U.S. Govt. Bonds	<u>9,394,940</u>	<u>885,072</u>	<u>6,128,619</u>	<u>2,381,249</u>	<u>-</u>
Total	<u>\$ 20,994,057</u>	<u>\$ 5,014,743</u>	<u>\$ 10,885,778</u>	<u>\$ 5,093,536</u>	<u>\$ -</u>

Other Investments

Common Stock and Mutual Funds	26,984,064
Held by Bond Trustee	<u>3,147,989</u>
Total	<u>\$ 51,126,110</u>

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Notes to the Financial Statements - Continued

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Realized gain (loss) is included as a component of investment income. The calculation of realized gains (losses) is independent of the calculation of the net increase (decrease) in the fair value of investments. Realized gains and losses on investments that had been held in more than one fiscal year and sold in the current year may have been recognized as an increase or decrease in the fair value of investments reported in the prior year.

Investment income for the years ended June 30, is as follows:

	<u>2020</u>	<u>2019</u>
Interest and dividend income	\$ 1,259,821	\$ 1,230,390
Net realized and unrealized gain (loss)	<u>242,286</u>	<u>1,514,228</u>
 Total investment income	 1,502,107	 2,744,618
Less: management fees	<u>(179,362)</u>	<u>(182,464)</u>
 Investment income, net	 <u><u>\$ 1,322,745</u></u>	 <u><u>\$ 2,562,154</u></u>

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The risk categories for the bond fund holdings held by VSC at June 30, are as follows:

<u>Investment rating*</u>	<u>2020</u>	<u>2019</u>
AAA	\$ 9,013,298	\$ 9,733,021
AA+	168,394	83,350
AA	1,447,534	1,766,436
AA-	8,571	860,615
A+	921,686	643,655
A	2,073,619	2,339,099
A-	1,721,591	1,346,719
BBB+	1,061,009	1,219,060
BBB	153,931	250,276
BBB-	-	-
BB+	-	-
BB	-	-
BB-	-	-
B+	-	-
B	-	-
B-	-	-
CCC+	-	-
Unrated	<u>5,417,393</u>	<u>2,751,826</u>
	<u>\$ 21,987,026</u>	<u>\$ 20,994,057</u>

*These ratings are determined by Standard & Poor's, a division of The McGraw-Hill Companies, Inc. All ratings represent the opinions of the research provider and are disclaimed as not representations or guarantees of performance.

The applicable risk ratings as defined by Standard & Poor's are as follows:

AAA - An obligation rated 'AAA' has an extremely strong capacity to meet its financial commitments. It is the highest rating given to an obligor.

AA - An obligation rated 'AA' differs from the highest rated obligations only to a small degree. The obligor's capacity to meet its financial commitment on the obligation is very strong.

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A - An obligation rated 'A' is somewhat more susceptible to the adverse effects of changes in circumstances and economic conditions than obligations in higher rated categories. However, the obligor's capacity to meet its financial commitment on the obligation is still strong.

BBB - An obligation rated 'BBB' exhibits adequate protection parameters. However, adverse economic conditions or changing circumstances are more likely to lead to a weakened capacity of the obligor to meet its financial commitment on the obligation.

BB - An obligation rated 'BB' is less vulnerable to non-payment than other speculative issues. However, it faces major ongoing uncertainties or exposure to adverse business, financial or economic conditions, which could lead to the obligor's inadequate capacity to meet its financial commitment on the obligation.

B - An obligation rated 'B' is more vulnerable to non-payment than obligations rated 'BB', but the obligor currently has the capacity to meet its financial commitment on the obligation. Adverse business, financial, or economic conditions will likely impair the obligor's capacity or willingness to meet its financial commitment on the obligation.

CCC - An obligation rated 'CCC' is currently vulnerable to non-payment and is dependent upon favorable business, financial and economic conditions for the obligor to meet its financial commitment on the obligation. In the event of adverse business, financial or economic conditions, the obligor is not likely to have the capacity to meet its financial commitment on the obligation.

Plus (+) or minus (-): The ratings from 'AAA' to 'CCC' may be modified by the addition of a plus (+) or minus (-) sign to show relative standing within the major rating categories.

Fair Value Hierarchy

The fair value hierarchy categorizes inputs to valuation techniques used to measure fair value into three levels. Level 1 inputs are quoted market prices for identical assets or liabilities in active markets that a government can access at the measurement date. Level 2 inputs are inputs, other than quoted prices included within Level 1, that are observable for an asset or liability, directly or indirectly. Level 3 inputs are unobservable inputs. The highest priority is assigned to Level 1 inputs and the lowest to Level 3 inputs. If the fair value is measured using inputs from more than one level of the hierarchy, the measurement is considered to be based on the lowest priority input

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level that is significant to the entire measurement. Valuation techniques used should maximize the use of the observable inputs and minimize the use of unobservable inputs. The asset's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. The following is a description of the valuation methodologies used for assets at fair value on a recurring basis.

U.S. Government Bonds: Valued at the current available closing price reported or based on values obtained on comparable securities of issuers with similar credit ratings.

Corporate Bonds: Valued at the current available closing price reported or based on values obtained on comparable securities of issuers with similar credit ratings.

Common Stock and Exchange Traded Funds ("ETF"): Value based on quoted prices in active markets of similar instruments.

Hedge Fund Shares: Hedge fund shares held by the Colleges are closed-end hedge funds that are registered with the SEC. The fair values of the investments in this class have been estimated using the net asset value ("NAV") per share of the investments. The hedge fund shares held by the Colleges have redemption periods under 90 days and are considered redeemable in the near term. Hedge funds shares may at times, not be redeemable subject to the business judgement of the hedge funds board of directors.

Mutual funds: Valued at daily closing price as reported by the fund. Mutual funds held by the Colleges are open-end mutual funds that are registered with the SEC. These funds are required to publish their daily net asset value ("NAV") and to transact at that price. The mutual funds held by the Colleges are deemed to be actively traded.

Money market: Value based on quoted prices in active markets of similar instruments.

Held by bond trustee: Valued at the current available closing price reported or based on values obtained on comparable securities of issuers with similar credit ratings.

The preceding methods described may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the Colleges believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to

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determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables set forth by level, within the fair value hierarchy, the fair value of the Colleges assets measured on a recurring basis:

Assets at Fair Value as of June 30, 2020

	Level 1	Level 2	Level 3	Total
U.S. Government bonds	\$ 8,760,041	\$ -	\$ -	\$ 8,760,041
Corporate bonds	-	8,006,904	-	8,006,904
Common stock and ETF's	13,072,630	-	-	13,072,630
Hedge fund shares	-	3,379,757	-	3,379,757
Mutual funds	9,652,272	-	-	9,652,272
Money market	5,220,081	-	-	5,220,081
Held by bond trustee	1,061,784	-	-	1,061,784
Total Assets at Fair Value	\$ <u>37,766,808</u>	\$ <u>11,386,661</u>	\$ <u>-</u>	\$ <u>49,153,469</u>

Assets at Fair Value as of June 30, 2019

	Level 1	Level 2	Level 3	Total
U.S. Government bonds	\$ 9,394,940	\$ -	\$ -	\$ 9,394,940
Corporate bonds	-	8,847,291	-	8,847,291
Common stock	15,553,273	-	-	15,553,273
Hedge fund shares	-	1,125,677	-	1,125,677
Mutual funds	10,305,114	-	-	10,305,114
Money market	2,751,826	-	-	2,751,826
Held by bond trustee	3,147,989	-	-	3,147,989
Total Assets at Fair Value	\$ <u>41,153,142</u>	\$ <u>9,972,968</u>	\$ <u>-</u>	\$ <u>51,126,110</u>

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Note 3 - Accounts Receivable, Notes Receivable and Allowance for Bad Debts

The composition of the Colleges' accounts receivable at June 30, is summarized as follows:

	<u>2020</u>	<u>2019</u>
Student accounts receivable	\$ 12,762,953	\$ 12,468,104
Grants receivable	10,107,548	6,415,040
Other receivable	<u>1,816,793</u>	<u>2,605,519</u>
Subtotal	24,687,294	21,488,663
Allowance for doubtful accounts	<u>(7,512,563)</u>	<u>(6,875,265)</u>
Total accounts receivable, net	<u>\$ 17,174,731</u>	<u>\$ 14,613,398</u>

The notes receivable balance in the statements of net position represent the Perkins notes receivable. It is shown net of an allowance for bad debts of approximately \$1,253,000 and \$1,214,000 at June 30, 2020 and 2019, respectively. This allowance is the aggregate that was reserved for each college based upon historical bad loan reserve requirements, the net increase in the allowance of \$39,000 and \$11,000 in 2020 and 2019, respectively, has been reflected in operating expenses.

Note 4 - Long-Term Liabilities

Long-term liabilities consist of the following at June 30,:

	<u>2020</u>				
	<u>Beginning balances</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending balances</u>	<u>Current portion</u>
Long-term liabilities					
Bonds and notes payable	\$ 121,086,246	\$ 28,723,755	30,235,636	\$ 119,574,365	\$ 1,613,454
Total OPEB obligation	189,003,550	5,054,004	-	194,057,554	-
Other liabilities	224,866	244,435	224,866	244,435	-
Refundable grants	<u>6,036,744</u>	<u>-</u>	<u>1,285,347</u>	<u>4,751,397</u>	<u>-</u>
Total long-term liabilities	<u>\$ 316,351,406</u>	<u>\$ 34,022,194</u>	<u>\$ 31,745,849</u>	<u>\$ 318,627,751</u>	<u>\$ 1,613,454</u>

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	2019				
	Beginning balances	Additions	Reductions	Ending balances	Current portion
Long-term liabilities					
Bonds and notes payable	\$ 125,023,978	\$ -	\$ 3,937,732	\$ 121,086,246	\$ 2,503,616
Total OPEB obligation	188,498,148	505,402	-	189,003,550	-
Other liabilities	247,529	224,865	247,528	224,866	-
Refundable grants	6,037,232	-	488	6,036,744	-
Total long-term liabilities	\$ 319,806,887	\$ 730,267	\$ 4,185,748	\$ 316,351,406	\$ 2,503,616

Bonds and Notes Payable

Outstanding debt as of June 30, is as follows:

	<u>2020</u>	<u>2019</u>
Revenue Bonds, Series 2020A:		
3.0% - 5.0% serial bonds aggregating \$18,990,000 maturing 2020 through 2037 and a \$5,195,000 4.0% term bond due October 2040. Interest on the serial bonds is paid semi-annually on the unpaid balances. Unamortized bond premium of \$4,451,736 has been added to this liability at June 30, 2020. ¹	\$ 28,636,735	\$ -
Revenue Bonds, Series 2010B:		
4.751% - 5.101% serial bonds aggregating \$3,800,000 maturing 2018 through 2020, and 6.101%, 6.861%, and 7.211% term bonds of \$6,255,000, \$5,580,000, and \$14,630,000 due July 2025, July 2030, and July 2040, respectively. Interest on the term bond is payable semi-annually on the unpaid balances. ²	-	28,780,000
Revenue Bonds, Series 2017:		
4.0% - 5.0% serial bonds aggregating \$67,660,000 maturing 2021 through 2037 and Interest on serial bonds is paid semi-annually on the unpaid balances. Unamortized bond premium of \$8,947,085 and \$9,465,747 has been added to the liability at June 30, 2020 and 2019, respectively. ³	76,607,085	77,125,757

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Revenue Bonds, Series 2013:

4.0% - 5.0% serial bonds aggregating
\$13,715,000 maturing 2015 through 2032
and 3.125% - 5.0% term bonds aggregating
\$4,450,000 maturing 2027 through 2030.

Interest on serial bonds is paid semi-annually
on the unpaid balances. Unamortized bond
premium of \$1,210,545 and \$1,305,489 has
been added to the liability at June 30, 2020
and 2019, respectively.

\$ 14,330,545 \$ 15,180,489

\$ 119,574,365 \$ 121,086,246

¹ In February 2020, VSC issued Revenue Bonds, Series 2020A, in the principal amount of \$18,990,000 in serial bonds and \$5,195,000 in term bonds. The 2020A Bonds were issued solely for the purpose of refunding the Series 2010B Bond. The Colleges entered into the bond refunding with the goal to achieve cost savings primarily through the reduction of interest expense. At the time of the issuance, the bond proceeds were put in an irrevocable trust for which the trustee would use the funds to pay off the 2010B Bond at a later date. The refunding decreased the College's total debt service by \$5,409,550 and resulted in an economic gain (difference between the present value of the old and new debt service payments) of \$5,352,091.

² In December 2010, VSC issued Federally Taxable Build America Bonds, Series 2010B, in the principal amount of \$30,265,000. The 2010B Bonds were issued for the purpose of (1) financing certain upgrades to the Community College of Vermont's Montpelier campus, including a 12,000 square foot building addition; (2) constructing a new residence hall and other related improvements at Castleton University; (3) renovating an academic building and a visual arts center at Johnson State College; (4) expanding parking facilities at Lyndon State College together with building improvements for Lyndon State College's journalism program; (5) financing library renovations, the installation of certain energy or heating systems, construction of additional on-campus housing at the Randolph campus of Vermont Technical College ("VTC"), and improvements at VTC's Blair Park, Williston, Vermont campus; and (6) paying the costs of issuance of the 2010B Bonds. VSC is expected to receive a 35% subsidy of the interest paid on the Series 2010B Build America Bonds from the Federal Government, which will be recorded as a reduction of bond interest expense. (Sequester for federal budget reduced subsidy of interest by 7.6%). The bond was refunded as part of the 2020A series Bond.

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³ On May 24, 2017, VSC issued the Vermont State Colleges System Bonds 2017 Series A, in the principal amount of \$67,660,000. The 2017 Bond was issued for the purpose of (1) refinancing certain indebtedness of VSC; (2) paying the costs of issuance of the 2017 Series A Bond; and (3) paying the breakage fee for the interest rate swap agreements. The Colleges entered into the bond refunding with the goal to achieve cost savings primarily through the reduction of interest expense. The refunding increased the Colleges' total debt service by \$15,163,384 and resulted in an economic gain (difference between the present value of the old and new debt service payments) of \$1,051,774.

Debt Roll-Forward

Long-term debt activity for the years ended June 30, 2020 and 2019 was as follows:

	<u>Balance</u> <u>June 30, 2019</u>	<u>Additions</u>	<u>Repayment</u>	<u>Balance</u> <u>June 30, 2020</u>	<u>Current</u> <u>Portion</u>
Series 2010-B	\$ 28,780,000	\$ -	\$ (28,780,000)	\$ -	\$ -
Series 2010 Bond Premium	-	-	-	-	-
Series 2010 Bonds	<u>28,780,000</u>	<u>-</u>	<u>(28,780,000)</u>	<u>-</u>	<u>-</u>
Series 2013	13,875,000	-	(755,000)	13,120,000	780,000
Series 2013 Bond Premium	<u>1,305,489</u>	<u>-</u>	<u>(94,944)</u>	<u>1,210,545</u>	<u>94,944</u>
Series 2013 Bonds	<u>15,180,489</u>	<u>-</u>	<u>(849,944)</u>	<u>14,330,545</u>	<u>874,944</u>
Series 2017	67,660,000	-	-	67,660,000	-
Series 2017 Bond Premium	<u>9,465,757</u>	<u>-</u>	<u>(518,672)</u>	<u>8,947,085</u>	<u>518,672</u>
Series 2017 Bonds	<u>77,125,757</u>	<u>-</u>	<u>(518,672)</u>	<u>76,607,085</u>	<u>518,672</u>
Series 2020	-	24,185,000	-	24,185,000	-
Series 2020 Bond Premium	<u>-</u>	<u>4,538,755</u>	<u>(87,020)</u>	<u>4,451,735</u>	<u>219,838</u>
Series 2020 Bonds	<u>-</u>	<u>28,723,755</u>	<u>(87,020)</u>	<u>28,636,735</u>	<u>219,838</u>
Total Bonds and Notes Payable	<u>\$ 121,086,246</u>	<u>\$ 28,723,755</u>	<u>\$ (30,235,636)</u>	<u>\$ 119,574,365</u>	<u>\$ 1,613,454</u>

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	Balance <u>June 30, 2018</u>	<u>Additions</u>	<u>Repayment</u>	Balance <u>June 30, 2019</u>	Current <u>Portion</u>
Series 2010-A	\$ 1,190,000	\$ -	\$ (1,190,000)	\$ -	\$ -
Series 2010-B	30,265,000	-	(1,485,000)	28,780,000	1,135,000
Series 2010 Bond Premium	<u>44,116</u>	<u>-</u>	<u>(44,116)</u>	<u>-</u>	<u>-</u>
Series 2010 Bonds	<u>31,499,116</u>	<u>-</u>	<u>(2,719,116)</u>	<u>28,780,000</u>	<u>1,135,000</u>
Series 2013	14,480,000	-	(605,000)	13,875,000	755,000
Series 2013 Bond Premium	<u>1,400,433</u>	<u>-</u>	<u>(94,944)</u>	<u>1,305,489</u>	<u>94,944</u>
Series 2013 Bonds	<u>15,880,433</u>	<u>-</u>	<u>(699,944)</u>	<u>15,180,489</u>	<u>849,944</u>
Series 2017	67,660,000	-	-	67,660,000	-
Series 2017 Bond Premium	<u>9,984,429</u>	<u>-</u>	<u>(518,672)</u>	<u>9,465,757</u>	<u>518,672</u>
Series 2017 Bonds	<u>77,644,429</u>	<u>-</u>	<u>(518,672)</u>	<u>77,125,757</u>	<u>518,672</u>
Total Bonds and Notes Payable	<u>\$ 125,023,978</u>	<u>\$ -</u>	<u>\$ (3,937,732)</u>	<u>\$ 121,086,246</u>	<u>\$ 2,503,616</u>

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Maturities of long-term debt for the next five fiscal years and thereafter are as follows:

Years Ending <u>June 30,</u>	Principal <u>Amount</u>	Interest <u>Amount</u>
2021	\$ 780,000	\$ 5,009,462
2022	3,425,000	4,782,547
2023	3,595,000	4,615,322
2024	3,915,000	4,436,222
2025	5,355,000	4,208,897
2026-2030	27,895,000	14,772,740
2031-2035	34,110,000	4,786,299
2036-2040	24,090,000	58,626
2041	<u>1,800,000</u>	<u>18,621</u>
	<u>\$ 104,965,000</u>	<u>\$ 42,688,736</u>

Amortization of the bond premiums and deferred loss on debt refunding are included in interest expense.

According to the terms of the agreements under which the revenue bonds were sold, the bonds are general obligations of VSC. The 2013 and 2010 Revenue Bonds are also collateralized by deposits held by the trustee in the Bond Fund. VSC is required to make payments to the trustee for deposit into the Bond Fund sufficient to pay the principal and interest fund requirements, when due.

Note 5 - Deferred Outflows of Resources - Debt Refunding

During 2017, VSC paid a breakage fee of \$10,931,885 to discontinue all of its interest rate swap agreements. The breakage fee is recorded on the statements of net position as a "deferred loss on debt refunding" and is amortized over the life of the old debt it was associated with and is included with interest expense. The amortization of the breakage fee that was included in interest expense was \$1,003,346 for the years ended June 30, 2020 and 2019.

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During 2020, VSC issued the 2020A Series Bond which was an advanced refunding of the 2010B Bond. As stated in the advanced refunding agreement, the proceeds from the issuance of the 2020A Bond was to be placed in an irrevocable trust and will be used to pay off the 2010B Bond. The difference between the amount in placed in escrow to pay off the 2010B Bond and the net carrying amount of the 2010 Bond was \$764,156 and is recognized as a "deferred loss on debt refunding", and is amortized over the life of the old debt it was associated with and is included with interest expense. The amortization of this advanced debt refunding that was included in interest expense was \$11,823 for the year ending June 30, 2020.

Note 6 - **Functional Expense Classification**

The following table details VSC's operating expenses by functional expense classification as of June 30,:

	<u>2020</u>	<u>2019</u>
Instruction	\$ 53,644,471	\$ 55,107,218
Research	17,601	42,237
Public service	9,115,632	9,597,218
Academic support	22,024,412	22,496,341
Student services	37,725,010	39,393,272
Institutional support	36,537,599	37,267,090
Physical plant	4,713,801	5,574,191
Student financial support	8,845,326	6,318,011
Depreciation	<u>9,999,987</u>	<u>10,084,696</u>
 Total	 <u><u>\$ 182,623,839</u></u>	 <u><u>\$ 185,880,274</u></u>

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Note 7 - **Appropriations**

VSC's operating appropriation from the State of Vermont is made directly to the Colleges and is drawn down on the basis of a monthly allotment. Included in the annual State appropriation for operations is funding for Allied Health of approximately \$1,158,000 in fiscal years 2020 and 2019; VMEC of approximately \$428,000 in fiscal year 2020 and 2019. Additional appropriations totaling \$820,000 were received in fiscal year 2020: \$120,000 to cover costs of maintaining records of Burlington College, \$500,000 for a student retention program, and \$200,000 for the design of a pilot associates degree program for Vermont Technical College.

Capital appropriations for VSC made from the State Bond Funds were approximately \$2,100,000 and \$3,000,000 in fiscal years 2020 and 2019, respectively.

Note 8 - **Retirement Plans**

Eligible faculty and staff participate in a defined contribution retirement plan administered by Teachers Insurance Annuity Association and College Retirement Equities Fund ("TIAA-CREF"). For the years ended June 30, 2020 and 2019, the Colleges' total payroll expense was approximately \$77,864,000 and \$78,107,000, respectively, of which approximately \$52,809,000 and \$51,902,000 represented salaries and wages of employees covered under the defined contribution plan, respectively. The Colleges' requirements to contribute to the retirement plan are specified by four collective bargaining agreements and by personnel policies for non-represented employees. Employer contribution rates are established by employee category. There are no required employee contributions to the plan. Depending upon the position category, employees may be eligible for the plan from as early as date of hire to as long as two years from date of hire. All eligible employees are vested from the date of eligibility. During the years ended June 30, 2020 and 2019, contributions made by the Colleges under this plan totaled approximately \$4,926,000 and \$5,163,000, or approximately 9.33% and 9.95%, of covered salaries, respectively.

Additionally, certain employees participate in one of two defined benefit plans (Vermont Employees Retirement System or Vermont State Teachers Retirement System). Employees who were participants in either of these plans prior to their employment by the Colleges are allowed to continue participation. During the years ended June 30, 2020 and 2019, there were no covered salaries for employees participating in the Vermont Employees Retirement System and there were no employer contributions. There were no contributions to the Vermont State Teachers Retirement System during 2020 and 2019.

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In addition, full-time faculty employees who have worked for the Colleges for 15 years may elect early retirement at age 58 and receive 50% of their annual salary as of their retirement date. In addition, VSC will pay 12% of the retiree's early retirement wages to the individual. This 12% payment represents VSC's contribution, which would have been made to the individual TIAA/CREF pension account. The payments due under this program are funded by VSC, as needed. During the years ended June 30, 2020 and 2019, contributions for these benefits were approximately \$826,000 and \$899,000, respectively.

The early retirement benefit is no longer being offered to faculty employees hired after February 10, 2005, but those employees who were eligible for early retirement before the benefit was discontinued have the option of electing for early retirement in October of every year. The benefit will be completely phased out when those employees currently eligible for early retirement either elect for early retirement or reach the age of 65.

Note 9 - **Post-Employment Benefits Other Than Pension**

Plan Description: VSC administers a self-insured single-employer defined benefit healthcare plan. The plan provides 100% of the lifetime healthcare payments for eligible employees, spouses or civil union partners. The self-insured plan, administered by CIGNA, covers both active and retired members. Benefit provisions are established through negotiations between VSC and the unions representing VSC employees, and they are reviewed during the bargaining period prior to the termination date of each union contract. The retiree healthcare plan does not issue a publicly available financial report. Employees hired after October 1, 2012 (fulltime faculty after October 1, 2015) are ineligible for retiree medical and dental benefits. The type of employees that were covered by the benefits terms at June 30,:

	<u>2020</u>	<u>2019</u>
Retirees and Beneficiaries	700	654
Inactive, Non-retired members	-	-
Active plan members	<u>917</u>	<u>938</u>
Total plan members	<u>1,617</u>	<u>1,592</u>

Funding Policy: Contribution requirements are also negotiated between VSC and union representatives. VSC contributes 100% of the current-year utilization costs for

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June 30, 2020 and 2019

eligible employees, spouses or civil union partners. For the fiscal years 2020 and 2019, VSC recognized employer contributions of \$6,986,981 and \$6,181,621, respectively, for both healthcare and early retirement. The plan is financed on a pay-as-you-go basis. In fiscal years 2020 and 2019, there were minimal member contributions to the plan from new retirees hired before July 1, 2000. No assets are accumulated in a trust that meets the criteria in paragraph 4 of Statement 75.

Annual OPEB Cost and Total OPEB Obligation: VSC's OPEB cost (expense) includes most changes in the total OPEB liability. The effects of changes, such as service costs and interest on the total OPEB liability, must be reported in the current reporting period as an OPEB expense. The effects of changes, such as the change in actuarial assumptions and differences between expected and actual experiences, are required to be included in OPEB expense over the current and future periods. Such changes must be amortized in a systematic and rational manner over a closed period equal to the average of the expected remaining service lives of all employees that are provided with benefits through the OPEB plan beginning in the current period.

At June 30, 2020 and 2019, VSC reported a total OPEB liability of \$194,057,554 and \$189,003,550, respectively. The total OPEB liability as of June 30, 2020, the reporting date, was measured as of June 30, 2019, the measurement date, and the actuarial valuation date of July 1, 2019. The total OPEB liability as of June 30, 2019, the reporting date, was measured as of June 30, 2018, the measurement date, and the total OPEB liability was determined by an actuarial valuation date as of July 1, 2017 which was rolled forward from the prior measurement date of June 30, 2017.

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

The following table shows the components of VSC's annual OPEB costs for the year ended June 30, 2020 and 2019, and the changes in VSC's total OPEB obligation to the retiree healthcare plan are as follows:

	<u>2020</u>	<u>2019</u>
Interest on total OPEB obligation	\$ 7,194,823	\$ 6,647,387
Service Cost	4,532,612	4,515,546
Amortization of current year for difference between expected and actual experience	991,437	951,327
Amortization of current year for changes in plan actuarial assumptions	<u>(301,243)</u>	<u>(186,281)</u>
Annual OPEB cost	12,417,629	11,927,979
Difference between expected and actual experience to be recognized in future years	(727,905)	(2,729,774)
Difference between changes in plan actuarial assumptions to be recognized in future years	(454,099)	(2,293,777)
Benefit payments	<u>(6,181,621)</u>	<u>(6,399,026)</u>
Increase in total OPEB obligation	5,054,004	505,402
Total OPEB obligation - Beginning of Year	<u>189,003,550</u>	<u>188,498,148</u>
Total OPEB obligation - End of Year	<u>\$ 194,057,554</u>	<u>\$ 189,003,550</u>

VERMONT STATE COLLEGES
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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Deferred Outflows of Resources related to OPEB:

VSC reported deferred outflows of resources related to OPEB from the following sources for the year ended June 30,:

	<u>2020</u>	<u>2019</u>
<u>Deferred Outflows of Resources</u>		
Differences between projected and actual experience	\$ 8,702,485	\$ 9,733,361
Changes in plan actual assumptions	461,711	530,012
Contributions subsequent to the measurement date	<u>6,986,981</u>	<u>6,181,621</u>
Total	<u>\$ 16,151,177</u>	<u>\$ 16,444,994</u>

Deferred Inflows of Resources related to OPEB:

VSC reported deferred inflows of resources related to OPEB from the following sources for the year ended June 30,:

	<u>2020</u>	<u>2019</u>
<u>Deferred Inflows of Resources</u>		
Differences between projected and actual experience	\$ 2,123,831	\$2,426,803
Changes in plan actual assumptions	<u>2,424,993</u>	<u>2,039,195</u>
Total	<u>\$ 4,548,824</u>	<u>\$4,465,998</u>

VSC's contributions of \$6,986,981 and \$6,181,621 made during fiscal year ending 2020 and 2019, respectively, subsequent to the measurement date will be recognized as a reduction of the total OPEB liability in the succeeding year. Other amounts

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized as increases (decreases) in pension expense as follows:

Years Ending
June 30,

2021	\$ 690,194
2022	690,194
2023	690,194
2024	690,194
2025	690,194
2026-2027	<u>1,164,402</u>
	<u>\$ 4,615,372</u>

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Actuarial Assumptions: The total OPEB liability was determined using the following actuarial assumptions, applied to all periods included in the measurement, unless otherwise specified:

Measurement date	<u>June 30, 2019</u>	<u>June 30, 2018</u>
Inflation	2.5%	2.6%
Salary increases	3.5% per year	3.5% per year
Discount rate	3.50%	3.87%
Healthcare Cost Trend Rate	4.7%, increasing incrementally to an ultimate rate of 5.2% in 2023, then decreasing incrementally to an ultimate rate of 3.8% in 2050	5.4%, decreasing incrementally to an ultimate rate of 5.1% in 2021 then increasing from 5.1% to 5.3% in 2022 and then decreasing incrementally to an ultimate rate of 3.8% in 2040

The discount rate was based on the Bond Buyer 20-Bond GO Index.

Future Employment: Age-related turnover rates were developed based on the experience from July 1, 2017 to July 1, 2019. These rates were used as the basis for assigning active members a probability of remaining employed until the assumed retirement age and for developing an expected future working lifetime assumption for purposes of allocating to periods the present value of total benefits to be paid. Employees less than 40 had an annual turnover rate of 8.5%, an increase from the 7.5% rate used in the prior measurement date. Employees less than 65 had an annual turnover rate of 3.5%, an increase from the 2.5% used in the prior measurement date.

Mortality: Life expectancies were based on the RP-2006 Table (base rates underlying RP-2014) projected to 2017 and thereafter, with MP-2019 projection scale which is

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

published by the Retirement Plans Experience Committee of the Society of Actuaries. In the prior measurement date, general scale MP-2017 was used.

Retirement Rate: Age-related retirement rates tables were developed based on input and analysis of the current retiree population overall and the new retirees over the last five years. The age related tables assumed rates of retirement beginning at age 55.

Marital Status: Marital status of member at the calculation date was assumed to be 70% married based on current retiree population. Spousal participation was assumed to be 90% at the calculation date.

Healthcare Cost Trend Rate: Dental claims are expected to increase at 2.0 per annum. Medical trend rates are based on the Society of Actuaries ("SOA") Long-Run Medical Cost Trend Model.

Sensitivity of the Colleges' proportionate share of the total OPEB liability to changes in the discount rate: The following presents the Colleges' proportionate share of the total OPEB liability, as well as what the Colleges' proportionate share of the total OPEB liability would be if it were calculated using a discount rate that is 1-percentage-point lower or 1-percentage-point higher than the current discount rate:

<u>2020</u>		
Current		
1.00% Decrease (2.5%)	Discount Rate (3.5%)	1.00% Increase (4.5%)
<hr/>	<hr/>	<hr/>
\$ 222,043,023	\$ 194,057,554	\$ 171,021,205

<u>2019</u>		
Current		
1.00% Decrease (2.87%)	Discount Rate (3.87%)	1.00% Increase (4.87%)
<hr/>	<hr/>	<hr/>
\$ 211,446,681	\$ 189,003,550	\$ 170,026,659

Sensitivity of the Colleges' proportionate share of the total OPEB liability to changes in the healthcare cost trend rates: The following presents the Colleges' proportionate share of the total OPEB liability, as well as what the Colleges'

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

proportionate share of the total OPEB liability would be if it were calculated using healthcare cost trend rates that are 1-percentage-point lower or 1-percentage-point higher than the current healthcare cost trend rates:

<u>2020</u>		
Current Healthcare		
<u>1.00% Decrease</u>	<u>Cost Trend Rate (A)</u>	<u>1.00% Increase</u>
\$ 170,034,818	\$ 194,057,554	\$ 223,911,882

<u>2019</u>		
Current Healthcare		
<u>1.00% Decrease</u>	<u>Cost Trend Rate (A)</u>	<u>1.00% Increase</u>
\$ 167,824,500	\$ 189,003,550	\$ 214,438,450

(A) - See page 53 for current healthcare cost trend rate.

Note 10 - Leases

The Colleges have various operating leases for classrooms, office space, equipment and motor vehicles. The majority of these leases have terms equal to or less than ten years and in some cases contain escalation and maintenance clauses, as well as renewal options. Total rental expense for all operating leases was approximately \$3,352,000 and \$2,935,000 in 2020 and 2019, respectively.

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Future minimum rental payments required under operating leases with non-cancelable terms in excess of one year at June 30, 2020 are as follows:

Years Ending <u>June 30,</u>	<u>Real Estate</u>	<u>Vehicles and</u> <u>Equipment</u>	<u>Total</u>
2021	\$ 2,740,911	\$ 347,317	\$ 3,088,228
2022	2,249,909	317,586	2,567,495
2023	2,016,575	263,830	2,280,405
2024	1,617,602	61,795	1,679,397
2025	1,270,735	30,843	1,301,578
2026 and thereafter	<u>3,775,920</u>	<u>-</u>	<u>3,775,920</u>
	<u>\$13,671,652</u>	<u>\$ 1,021,371</u>	<u>\$14,693,023</u>

Note 11 - Capital Assets

Property and equipment activity for the years ended June 30, 2020 and 2019 is summarized below:

	<u>Balance</u> <u>June 30, 2019</u>	<u>Additions</u>	<u>Transfers</u>	<u>Retirements</u>	<u>Balance</u> <u>June 30, 2020</u>
Land	\$ 9,004,664	\$ -	\$ -	\$ -	\$ 9,004,664
Construction-in-process	<u>1,604,504</u>	<u>3,046,796</u>	<u>(1,784,864)</u>	<u>-</u>	<u>2,866,436</u>
Subtotal - Capital assets not depreciated	<u>10,609,168</u>	<u>3,046,796</u>	<u>(1,784,864)</u>	<u>-</u>	<u>11,871,100</u>
Infrastructure	40,998,521	197,553	372,302	-	41,568,376
Buildings and improvements	260,551,052	-	1,412,562	-	261,963,614
Leasehold improvements	4,090,271	-	-	-	4,090,271
Equipment	<u>36,425,264</u>	<u>653,149</u>	<u>-</u>	<u>(146,033)</u>	<u>36,932,380</u>
Subtotal - Capital assets depreciated	<u>342,065,108</u>	<u>850,702</u>	<u>1,784,864</u>	<u>(146,033)</u>	<u>344,554,641</u>
Less accumulated depreciation	<u>(195,569,567)</u>	<u>(9,999,987)</u>	<u>-</u>	<u>122,889</u>	<u>(205,446,665)</u>
Capital assets, net	<u>\$157,104,709</u>	<u>\$ (6,102,489)</u>	<u>\$ -</u>	<u>\$ (23,144)</u>	<u>\$150,979,076</u>

VERMONT STATE COLLEGES
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Notes to the Financial Statements - Continued

June 30, 2020 and 2019

	Balance <u>June 30, 2018</u>	<u>Additions</u>	<u>Transfers</u>	<u>Retirements</u>	Balance <u>June 30, 2019</u>
Land	\$ 9,004,664	\$ -	\$ -	\$ -	\$ 9,004,664
Construction-in-process	<u>908,493</u>	<u>3,423,799</u>	<u>(2,727,788)</u>	<u>-</u>	<u>1,604,504</u>
Subtotal - Capital assets not depreciated	<u>9,913,157</u>	<u>3,423,799</u>	<u>(2,727,788)</u>	<u>-</u>	<u>10,609,168</u>
Infrastructure	39,864,432	-	1,134,089	-	40,998,521
Buildings and improvements	259,347,174	-	1,203,878	-	260,551,052
Leasehold improvements	4,090,271	-	-	-	4,090,271
Equipment	<u>35,411,937</u>	<u>855,205</u>	<u>389,821</u>	<u>(231,699)</u>	<u>36,425,264</u>
Subtotal - Capital assets depreciated	<u>338,713,814</u>	<u>855,205</u>	<u>2,727,788</u>	<u>(231,699)</u>	<u>342,065,108</u>
Less accumulated depreciation	<u>(185,680,251)</u>	<u>(10,084,696)</u>	<u>-</u>	<u>195,380</u>	<u>(195,569,567)</u>
Capital assets, net	<u>\$ 162,946,720</u>	<u>\$ (5,805,692)</u>	<u>\$ -</u>	<u>\$ (36,319)</u>	<u>\$ 157,104,709</u>

Note 12 - Contingencies and Commitments

Contingencies

VSC participates in various federally funded programs. These programs are subject to financial and compliance audits and resolution of identified questioned costs. The amount, if any, of expenditures that may be disallowed by the granting agency cannot be determined at this time.

VSC is involved in various claims and legal actions arising in the ordinary course of business. The ultimate disposition of these matters is indeterminable, but in the opinion of management, the amount of ultimate liability would not have a significant impact on VSC's financial condition.

VSC is also exposed to various risks of loss related to torts; theft of, damage to and destruction of assets; errors and omissions; injuries to employees; and natural disasters. VSC manages these risks through a combination of commercial insurance packages purchased in the name of VSC, and through self-insurance for medical and dental claims. VSC has entered into contracts with a third-party claims administrator, which essentially caps medical claim costs (stop-loss) at an agreed-upon level. Individual stop-loss is \$200,000 of paid claims per covered member per year. Settled claims

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

resulting from these risks have not exceeded commercial insurance coverage in any of the past three fiscal years. Reserves for medical and dental claims are included in accrued liabilities in the amount of approximately \$1,447,000 at June 30, 2020 and \$2,560,000 at June 30, 2019 and are based on historical data. A medical and dental claim roll-forward is presented below:

	<u>2020</u>	<u>2019</u>
Medical and dental claims reserve, beginning of year	\$ 2,560,000	\$ 1,987,000
Incurred claims	16,837,100	18,747,000
Payments on claims	<u>(17,950,000)</u>	<u>(18,174,000)</u>
Medical and dental claims reserve, end of year	<u>\$ 1,447,100</u>	<u>\$ 2,560,000</u>

VSC self-insures its workers' compensation program and is operated by a third-party claims administrator. Contributions to the plan are based on estimated payroll and rates adjusted by an experience modification factor. VSC has purchased stop-loss insurance, which is effective for individual claims over \$200,000 and for aggregate claims in excess of \$1,603,900 per year. VSC has obtained a letter of credit in the amount of \$450,000 to be used in the event of failure to pay premiums on the stop-loss policy. This is collateralized by a certificate of deposit. A workers' compensation roll-forward is presented below:

	<u>2020</u>	<u>2019</u>
Workers' compensation reserve, beginning of year	\$ 297,000	\$ 432,000
Workers' compensation accrued during the year	842,000	640,000
Claims paid/reserved/claims administration	<u>(774,000)</u>	<u>(775,000)</u>
Workers' compensation reserve, end of year	<u>\$ 365,000</u>	<u>\$ 297,000</u>

VERMONT STATE COLLEGES

(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

Commitments

VSC has entered into various construction contracts. The following commitments are ongoing projects at June 30, 2020:

<u>Project</u>	<u>Expended through June 30, 2020</u>	<u>Committed Future Costs</u>	<u>Total Committed Costs of Project</u>
Castleton Fine Arts Roof replacement	\$ 166,000	\$ 69,000	\$ 235,000
NVU-J Site Improvements	<u>408,000</u>	<u>40,000</u>	<u>448,000</u>
	<u>\$ 574,000</u>	<u>\$ 109,000</u>	<u>\$ 683,000</u>

At June 30, 2020, invoices related to construction projects of approximately \$337,000 were included in accounts payable.

Employment Contracts

The Colleges have employment contracts with certain officers that expire on various dates through fiscal year 2021. The agreements provide for aggregate annual base salaries of \$165,000 in fiscal year 2021, respectively, and may be terminated with cause at any time.

Service Concession Agreements

The Colleges entered into a service concession agreement with Sodexo Operations, LLC ("Sodexo") to manage and operate its food services for VSC's students, faculty, staff, employees and guests through June 2022; the agreement was cancelable by either party at any time. Under the agreement, Sodexo made annual contributions to VSC to be used at VSC's discretion for food service facility enhancements. In March 2020, with the commencement of the pandemic, VSC exercised its right to the catastrophe clause of its existing contract with Sodexo. VSC is currently negotiating with Sodexo a revised three-year contract that will provide direct payment for services rendered and will eliminate the annual contributions to VSC.

Note 13 - Subsequent Event

The COVID-19 crisis has created volatility in the financial markets and a significant decrease in the overall economy. The full adverse impact and duration of COVID-19 on the Colleges' finances and operations cannot be determined.

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Notes to the Financial Statements - Continued

June 30, 2020 and 2019

As a result of the COVID-19 crisis and other factors, student enrollment has decreased for the 2020 fall semester. In addition, capacity of residence hall occupancy has been reduced to meet social distancing guidelines

Subsequent to June 30, 2020, the governor signed the 2021 Fiscal Year Appropriations Act on October 2, 2020, the bill provided the Colleges with its base appropriations of \$30.5 million and an additional \$28.8 million in bridge funding to allow the Colleges to restructure beginning in the 2021/2022 academic year.

REQUIRED SUPPLEMENTARY INFORMATION
(Unaudited)

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

Schedule of Changes in Total OPEB Liability (Unaudited)

Year ended	June 30, 2020	June 30, 2019	June 30, 2018
Measurement date	June 30, 2019	June 30, 2018	June 30, 2017
Valuation date	July 1, 2019	July 1, 2017	July 1, 2017
Total OPEB liability			
Service Cost	\$ 4,532,612	\$ 4,515,546	\$ 4,359,477
Interest	7,194,823	6,647,387	6,185,678
Changes of benefit terms		-	-
Differences between expected and actual experience	263,532	(1,778,447)	12,241,959
Changes of assumptions or other inputs	(755,342)	(2,480,058)	666,613
Benefit payments	<u>(6,181,621)</u>	<u>(6,399,026)</u>	<u>(6,464,225)</u>
Net change in total OPEB liability	5,054,004	505,402	16,989,502
Total OPEB liability - beginning	<u>189,003,550</u>	<u>188,498,148</u>	<u>171,508,646</u>
Total OPEB liability - ending	<u>\$ 194,057,554</u>	<u>\$ 189,003,550</u>	<u>\$ 188,498,148</u>
Covered payroll	49,219,646	50,074,973	51,380,910
Total OPEB liability as a percentage of covered-employee payroll	394.27%	377.44%	366.86%

Notes:

The GASB pronouncement requiring the presentation of the information on this schedule became effective for years beginning after June 15, 2017 and is intended to provide data for the most recent ten years.

See accompanying notes to the required supplementary information.

VERMONT STATE COLLEGES

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Notes to the Required Supplementary Information - OPEB (Unaudited)

June 30, 2020 and 2019

Note 1 - **Change in Plan Assumptions**

Measurement date – June 30, 2019

Change in Discount Rate

The discount rate was decreased from 3.87% to 3.5%

Employee Turnover

Employees less than 40 had an annual turnover rate of 8.5%, an increase from the 7.5% rate used in the prior measurement date. Employees less than 65 had an annual turnover rate of 3.5%, an increase from the 2.5% used in the prior measurement date.

Mortality Rates

Mortality rates used general scale MP-2019 for males and females. In the prior measurement date, general scale MP-2017 was used.

Change in Trend on Future Costs

The healthcare trend rate decreased from 5.4% to 4.7%. The medical trend was developed using the SOA Getzen Model and noted the following economic assumptions that changed from the prior measurement date:

- Rate of Inflation was 2.5% which was a decrease from 2.6%
- Rate of Growth in Real Income/GDP per capital was 1.25% which was an increase from 1.15%
- Health share of GDP resistance point was 25% which was an increase from 20%
- Year for limiting cost growth to GDP growth was 2050. 2040 was used in prior measurement date.

Measurement date – June 30, 2018

Change in Trend on Future Costs

The healthcare trend rate decreased from 5.5% to 5.4%.

Change in Discount Rate

The discount rate was increased from 3.58% to 3.87%.

VERMONT STATE COLLEGES
(a Component Unit of the State of Vermont)

**Notes to the Required Supplementary Information - OPEB (Unaudited) -
Continued**

June 30, 2020 and 2019

Measurement date – June 30, 2017

Change in Discount Rate

The discount rate decreased to 3.58% based upon the change of the discount method to the discount rate of the Bond Buyer 20-Bond GO Index as of the measurement date as required by GASB Statement 74. The June 30, 2016 discount rate was calculated to be 3.75%.

**INDEPENDENT AUDITORS' REPORT ON INTERNAL
CONTROL OVER FINANCIAL REPORTING AND ON
COMPLIANCE AND OTHER MATTERS BASED ON AN
AUDIT OF FINANCIAL STATEMENTS PERFORMED IN
ACCORDANCE WITH *GOVERNMENT AUDITING
STANDARDS***



INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

To the Board of Trustees of
Vermont State Colleges
Montpelier, Vermont

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Vermont State Colleges (a component unit of the State of Vermont) (the "Colleges"), which comprise the statements of net position as of June 30, 2020 and 2019, the related statements of revenues, expenses and changes in net position, and cash flows for the year then ended, and the related notes to the financial statements, which collectively comprise the Vermont State Colleges' basic financial statements and have issued our report thereon dated October 29, 2020.

Internal Control Over Financial Reporting

In planning and performing our audits of the financial statements, we considered the Vermont State Colleges' internal control over financial reporting ("internal control") as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Colleges' internal control. Accordingly, we do not express an opinion on the effectiveness of the Colleges' internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audits we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Vermont State Colleges' financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audits and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in cursive script that reads "O'Connor + Drew, P.C.".

**Certified Public Accountants
Braintree, Massachusetts**

October 29, 2020

The Vermont Statutes Online

Title 16: Education

Chapter 72: Vermont State Colleges

-
- **§ 2170. Statutory purposes**

The statutory purpose of the exemption for the Vermont State Colleges in section 2178 of this title is to allow institutions providing higher education to deploy more of their financial resources to their educational missions. (Added 2013, No. 200 (Adj. Sess.), § 9.)

- **§ 2171. Corporation established; purposes; powers**

(a) There is created as a part of the educational system of the State of Vermont a public corporation to be known as "Vermont State Colleges" or any other name that the Board of Trustees, established under section 2172 of this chapter, selects at a meeting duly warned for that purpose, provided that the word "Vermont" shall appear in the selected name. **The Corporation shall plan, supervise, administer, and operate facilities for education at the postsecondary level supported in whole or in substantial part with State funds;** however, while the Corporation shall maintain cooperative relations with the University of Vermont and State Agricultural College, nothing in this chapter shall give the Corporation any responsibility for the planning, supervision, administration, or operation of the University.

(b) The Corporation shall own the real and personal property of the Castleton State College, Johnson State College, Lyndon State College, Vermont Technical College, and Community College of Vermont, and of other State-operated institutions of higher education that may be established. It shall protect, preserve, and improve the properties and promote their use as institutions of higher education.

(c) The Corporation may acquire, hold, and dispose of property in fee or in trust, or any other estate, except as provided in subsection (d) of this section, shall have a common seal, and shall be an instrumentality of the State for the purposes set forth in this section. **The State of Vermont shall support and maintain the Corporation.**

(d) The Corporation shall not abandon, lease, sell, or dispose of any of the institutions under its control unless that action is specifically authorized by the General Assembly. The terms of any such sale, lease, or other disposal shall be prescribed by the Agency of Administration, with the approval of the Governor, within the terms of the authorization of the General Assembly.

(e) The Corporation may make expenditures for capital improvements. The Corporation is authorized to borrow money for building purposes, to give security that may be required, and to execute necessary related instruments, and is also authorized to accept, use, and administer any funds made available to it for any of its corporate purposes by the United States or any of its agencies, and to agree to any terms and conditions that may be required that are not inconsistent with its corporate purposes. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 1963, No. 104, eff. May 22, 1963; 1973, No. 240 (Adj. Sess.), § 1, eff. April 8, 1974; 2007, No. 52, § 41, eff. May 28, 2007; 2013, No. 92 (Adj. Sess.), § 178, eff. Feb. 14, 2014; 2015, No. 19, § 1, eff. July 15, 2015.)

- **§ 2172. Trustees; appointment; vacancies**

(a) The Corporation shall be governed by a board of 15 trustees who shall be appointed or elected as follows:

(1) Biennially, the Governor, with the advice and consent of the Senate, shall appoint trustees to serve for four-year terms expiring March 1 of the year of the biennial session. Five trustees may be in office at one time under this subdivision. In the event of any vacancy occurring between biennial sessions in an office under this subdivision, the Governor, pursuant to 3 V.S.A. § 257, shall fill the vacancy, and the term of a person so appointed shall expire on March 1 in the year of the next following biennial session.

(2)(A) One trustee shall be a student trustee:

(i) who is a matriculated student at an educational institution operated by the Vermont State Colleges Corporation;

(ii) who is pursuing a degree program; and

(iii) who has reached the age of majority.

(B) The student trustee shall serve a one-year term expiring on June 1. The student trustee shall be appointed, and a vacancy may be filled, from among those eligible students applying for the position by the decision of those members of the steering committee of the Vermont State Colleges Student Association who have been elected at large to that committee by the

students at their respective colleges. No student trustee may serve more than two consecutive terms.

(3) Four trustees shall be legislative trustees who are members of the General Assembly at the time of their election. Legislative trustees shall serve four-year terms expiring on March 1 of the second year of the biennial session, and they shall be elected by joint assembly of the Legislature. Vacancies for any cause shall be filled by the General Assembly at its earliest opportunity and the term of a person so appointed shall expire on March 1 of the next even numbered year.

(4) Four trustees shall be elected by the Board of Trustees to four-year terms expiring on March 1. Vacancies for any cause shall be filled by the remaining members of the Board of Trustees, and the term of the person so appointed shall expire on the next following March 1.

(b) Appointments by the Governor and elections by the General Assembly shall be made with consideration of the geographic distribution of members to prevent an unfair focus on any single college.

(c) No trustee shall be a member of the Board of Trustees of the University of Vermont.

(d)(1) The Board of Trustees, after notice and a hearing, may remove a trustee for incompetency, failure to discharge duties, malfeasance, illegal acts, or other cases inimical to the welfare of the Corporation.

(2) Gubernatorial-appointed trustees shall serve at the pleasure of the Governor pursuant to 3 V.S.A. § 2004.

(3) In the event of a vacancy occurring under this subsection, the Governor or the Board, as applicable, shall fill the vacancy pursuant to subsection (a) of this section. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 1977, No. 188 (Adj. Sess.), § 1, eff. April 5, 1978; 2015, No. 19, § 1, eff. July 15, 2015; 2015, No. 48, § 8, eff. July 16, 2015.)

- **§ 2173. Board of Trustees; organization**

In addition to the 14 elected and appointed trustees, the Board of Trustees shall include as a member the Governor of Vermont. A majority of the trustees shall constitute a quorum for the transaction of business. Biennially, the Board shall elect one of its voting members to serve as its chair. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 1977, No. 188 (Adj. Sess.), § 2, eff. April 5, 1978; 2013, No. 92 (Adj. Sess.), § 179, eff. Feb. 14, 2014; 2015, No. 19, § 1, eff. July 15, 2015.)

- **§ 2174. Board of Trustees; power**

The Board of Trustees may confer such honors and degrees as are usually given in colleges and universities and any other appropriate degrees and shall appoint a chancellor of the Corporation and a president for each institution under its control and prescribe their duties, salaries, and terms of office. The Board shall make bylaws and regulations for the government of its meetings and each institution under its control prescribing, among other things, the terms of admission, courses of instruction, educational standards, rates of tuition, scholarships, and other student aids. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 2015, No. 19, § 1, eff. July 15, 2015.)

- **§ 2175. Retirement system**

The Corporation may deduct from funds appropriated to it for salaries, employer contributions to a retirement system established by its Board of Trustees, or to such other retirement system as the Board may choose. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 2013, No. 92 (Adj. Sess.), § 180, eff. Feb. 14, 2014.)

- **§ 2176. Procedures relating to accounting**

The Corporation shall develop, administer, and install procedures relating to accounting practices, control of expenditures, budgets, audits, and purchase of supplies. The fiscal year of the Corporation shall be July 1 to June 30, and its fiscal biennium shall be the period of two successive fiscal years beginning July 1 of each odd-numbered year. (Added 1961, No. 247, § 1, eff. July 28, 1961.)

- **§ 2177. Controls and audits; financial reports; other reports**

(a) Control of funds appropriated and of the work carried on shall be vested in the Board of Trustees.

(b) The financial statements of the Corporation shall be audited annually as of June 30 by an independent public accounting firm registered in Vermont in accordance with government auditing standards issued by the U.S. Government Accountability Office.

(c), (d) [Repealed.]

(e) With the approval of the Governor, the Secretary of Administration, through the Deputy Secretary of Administration or any departments of the Agency of Administration that the Secretary may designate, shall have:

(1) the authority to allot to the Corporation the appropriation made by the General Assembly for the Corporation, which may be on a monthly basis or as the work of the Corporation may progress;

(2) the keeping of such controlling accounts as may be necessary in order to determine the accuracy and limit of the expenditures made under the allotments; and

(3) access to and the right to copy any records of the Corporation under such regulations as the Governor may prescribe.

(f) The Corporation shall be governed by the allotments made pursuant to this section and shall not at any time exceed the sums allotted; provided, however, that nothing in this section authorizes the Secretary of Administration, the Deputy Secretary, or any department designated pursuant to subsection (e) of this section to decrease any appropriation, except to the extent that actual annual receipts are less than estimated receipts. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 2007, No. 121 (Adj. Sess.), § 3; 2007, No. 154 (Adj. Sess.), §§ 6, 9; 2009, No. 33, § 83(g)(3); 2013, No. 92 (Adj. Sess.), § 181, eff. Feb. 14, 2014; 2019, No. 104 (Adj. Sess.), § 4.)

- **§ 2178. Tax exemption**

All real and personal property owned by the Corporation and used for educational and not commercial purposes shall be exempt from taxation. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 2005, No. 207 (Adj. Sess.), § 8.)

- **§ 2179. Nonapplicability of certain statutes**

Except as expressly provided in this chapter, the Corporation, its officers, and employees shall not be governed by:

(1) 3 V.S.A. chapter 9, dealing with administrative departments;

(2) 3 V.S.A. chapter 13, dealing with classification of State personnel;

(3) 3 V.S.A. chapter 16, dealing with the State Employees Retirement System, except as may be otherwise agreed by the Board of Trustees of the System and the Board of Trustees of the Corporation with respect to those officers and employees of the Corporation transferred to the Corporation from the State institutions replaced by the Corporation;

(4) chapter 55 of this title, dealing with the State Teachers Retirement System, except as may be otherwise agreed by the Board of Trustees of the System and the Board of Trustees of the Corporation with respect to those

officers and employees of the Corporation transferred to the Corporation from the State institutions replaced by the Corporation;

(5) 32 V.S.A. chapter 7, dealing with public monies;

(6) chapters 3 and 5 of this title, dealing with the State Board and the Secretary of Education;

(7) 29 V.S.A. chapter 49, dealing with supplies, duties of the Commissioner of Buildings and General Services as to purchases of material, supplies, or equipment, except upon request of the Corporation;

(8) 29 V.S.A. chapter 5, dealing with the Department of Buildings and General Services, except that any contracts awarded for the construction of buildings by the Corporation shall continue to be subject to the provisions of 29 V.S.A. § 161(b); or

(9) 21 V.S.A. § 342(c), dealing with required written employee authorization before an employer may pay wages through electronic funds transfer or other direct deposit systems to a checking, savings, or other deposit account maintained by the employee within or outside the State. (Added 1961, No. 247, § 1, eff. July 28, 1961; amended 1967, No. 50; 1973, No. 240 (Adj. Sess.), § 2, eff. April 8, 1974; 1983, No. 147 (Adj. Sess.), § 4(a), (b), eff. April 11, 1984; 1995, No. 148 (Adj. Sess.), § 4(c)(2), eff. May 6, 1996; 2003, No. 63, § 47, eff. June 11, 2003; 2009, No. 4, § 87, eff. May 1, 2009; 2013, No. 92 (Adj. Sess.), § 182, eff. Feb. 14, 2014; 2015, No. 48, § 4.)

- **§ 2180. Repealed. 2015, No. 19, § 1, effective July 15, 2015.**
- **§ 2181. Repealed. 1967, No. 8, § 1.**
- **§ 2182. Repealed. 2009, No. 106 (Adj. Sess.), § 2(1), eff. May 13, 2010.**
- **§ 2183. Repealed. 1999, No. 62, § 62.**
- **§ 2184. School of Dental Hygiene**

(a) The Vermont State Colleges shall establish and operate a School of Dental Hygiene for the training of dental hygienists. The Colleges shall have the authority to grant certificates of graduation on the successful completion of a two-year course in dental hygiene.

(b) The General Assembly shall appropriate funds to conduct a curriculum of a recognized School of Dental Hygiene to the State Colleges.

(c) The Colleges shall grant special tuition rates to residents of the State who agree to practice dental hygiene in the State for two years following graduation. The Colleges shall give preference in admissions to eligible students who are residents of the State.

(d) The Vermont State Colleges are authorized and empowered to receive from any source sums donated for scholarships or general improvements and may cooperate with the federal government or any agency thereof in securing federal funds for dental hygiene education in the State. (Added 2003, No. 107 (Adj. Sess.), § 11.)

- **§ 2185. Determination of residency for tuition purposes**

(a) The Board of Trustees shall adopt policies related to residency for tuition purposes, consistent with State and federal requirements.

(b) Any member of the U.S. Armed Forces on active duty who is transferred to Vermont for duty other than for the purpose of education shall, upon transfer and for the period of active duty served in Vermont, be considered a resident for in-state tuition purposes at the start of the next semester or academic period. (Added 2003, No. 127 (Adj. Sess.), § 2; amended 2015, No. 19, § 1, eff. July 15, 2015.)

- **§ 2186. Reserve funds**

(a) The Vermont State Colleges may create and establish one or more special funds, referred to in this section as "debt service reserve funds," and shall pay into each debt service reserve fund:

(1) any monies appropriated and made available by the State for the purpose of the fund;

(2) any proceeds of the sale of notes or bonds, to the extent provided in the resolution or resolutions of the Vermont State Colleges authorizing the issuance thereof; and

(3) any other monies that may be made available to the Vermont State Colleges for the purpose of the fund from any other source or sources.

(b) All monies held in any debt service reserve fund, except as provided in this section, shall be used, as required, solely for the payment of the principal or purchase or redemption price of or interest or redemption premium on bonds or notes secured in whole or in part by the fund or of sinking fund payments with respect to the bonds or notes; provided, however, that monies in any fund shall not be withdrawn from the fund at any time in an amount as

would reduce the amount of the fund to less than the debt service reserve requirement established by resolution of the Vermont State Colleges for the fund as hereafter provided, except for the purpose of making payments, when due, of principal, interest, redemption premiums, and sinking fund payments with respect to bonds and notes secured in whole or in part by the fund for the payment of which other monies of the Vermont State Colleges are not available. Any income or interest earned by any debt service reserve fund may be transferred to other funds or accounts of the Vermont State Colleges to the extent that it does not reduce the amount of the fund below the requirement for the fund.

(c) The Vermont State Colleges shall not at any time issue bonds or notes secured in whole or in part by a debt service reserve fund if upon the issuance of the bonds or notes the amount in the debt service reserve fund will be less than the debt service reserve requirement established by resolution of the Vermont State Colleges for the fund, unless the Vermont State Colleges at the time of issuance of the bonds or notes shall deposit in the fund from the proceeds of the bonds or notes so to be issued, or from other sources, an amount that, together with the amount then in the fund, will not be less than the debt service reserve requirement established for the fund. The debt service reserve requirement for any debt service reserve fund shall be established by resolution of the Vermont State Colleges prior to the issuance of any bonds or notes secured in whole or in part by the fund and shall not be required to exceed "maximum debt service," which shall mean, as of any particular date of computation, an amount equal to the greatest of the respective amounts, for the then-current or any future fiscal year of the Vermont State Colleges, of annual debt service on the bonds and notes of the Vermont State Colleges secured or to be secured in whole or in part by the debt service reserve fund.

(d) In the computation of the amount of the debt service reserve funds for the purpose of this section, securities in which any of the funds shall be invested shall be valued at par if purchased at par or at amortized value, as the term is defined by resolution of the Vermont State Colleges, if purchased at other than par.

(e) In order to ensure the maintenance of the debt service reserve requirement in each debt service reserve fund established by the Vermont State Colleges, there may be appropriated annually and paid to the Vermont State Colleges for deposit in each fund the sum as shall be certified by the Chair of the Board of Trustees of the Vermont State Colleges to the Governor, the President of the Senate, and the Speaker of the House as is necessary to

restore each such debt service reserve fund to an amount equal to the debt service reserve requirement for the fund. The Chair shall annually, on or about February 1, make and deliver to the Governor, the President of the Senate, and the Speaker of the House his or her certificate stating the sum required to restore each debt service reserve fund to the amount equal to the debt service reserve requirement for the fund, and the sum so certified may be appropriated, and if appropriated, shall be paid to the Vermont State Colleges during the then-current State fiscal year. The principal amount of bonds or notes outstanding at any one time and secured in whole or in part by a debt service reserve fund to which State funds may be appropriated pursuant to this subsection shall not exceed \$34,000,000.00, provided that the foregoing shall not impair the obligation of any contract or contracts entered into by the Vermont State Colleges in contravention of the Constitution of the United States of America.

(f) The proceeds of any bonds or notes secured by a debt service reserve fund to which State funds may be appropriated pursuant to this section shall be applied solely to costs of reconstruction, rehabilitation, or improvement of existing facilities or property of the Vermont State Colleges. (Added 2007, No. 200 (Adj. Sess.), § 48; amended 2019, No. 131 (Adj. Sess.), § 94.)