



Dr. William L. Roper
President's Board Remarks
November 15, 2019

Good morning, everyone.

Coming to Elizabeth City is a powerful reminder of the value in a change of scenery. Being here has given the members of the Board and all of us a valuable opportunity to see first-hand the impact of what we do.

I assume everyone here today is profoundly moved by this institution's storied history *and* the spectacular turnaround it is experiencing under the leadership of Chancellor Dixon and her top-notch team. There's still work to be done. But, the renewed vitality on campus is unmistakable. The great teaching, research, and talent coming out of this institution make it clear that, truly, ECSU is rising.

Thank you to everyone here who has welcomed us into the campus community. We all understand how much work goes into making an event look effortless. Your dedication has helped to make this Board meeting a productive one.

I would also like to acknowledge the hard work and dedication of everyone on this Board, especially Chair Ramsey, Vice Chair Murphy, and Secretary Pearl Burris-Floyd.

Last week, on November 6th, Chair Ramsey, Vice Chair Murphy, and I met with the senior leadership team at the System Office. For several concentrated hours, we sat *together*, and we talked about up-coming priorities. Without distraction, we dedicated our dialogue to the University's core mission—"to discover, create, transmit, and apply knowledge to address the needs of individuals and society."

Taking this time to focus on how we serve our students and all North Carolinians was truly refreshing. We have a lot on the agenda right now and in the coming months.

We will soon be in the midst of re-evaluating how we have identified our universities' peer institutions across the nation. This is intensive work, but it is all-important. Studying the outcomes at our peer institutes is how we gauge our own performance in terms of research productivity, graduation rates, faculty salaries, and so on.

We are also collaborating with each of our institutions to clarify their missions. This is a critical step toward making sure that each institution is serving its region and its students, and that program offerings and research priorities align with these institutional missions.

I'd like to take a moment to recognize two of our institutions who were honored recently at the Association of Public and Land-Grant University's annual meeting. North Carolina State was given the 2019 Innovation & Economic Prosperity award, while UNC Charlotte received the award for best overall improvement in graduation/completion rates. These highly-coveted awards recognize innovative projects or programs in economic engagement. There were only three awards that were distributed in total, so for the UNC System to receive two of them is pretty remarkable. Congratulations to Chancellors Woodson and Dubois, and their institutions, for these unique honors.

Much of the work ahead of us is critical to the UNC System's push to maintain its competitive advantage in the national higher education landscape.

For example, we are exploring strategies to address demographic trends that are weakening enrollment in universities in other regions and which could potentially impact our institutions in the future. Nationally, the growth rate of the 18 to 24-year-old population is slowing. Our 2019 enrollment was the largest ever. But between 2028 and 2038, the growth rate of the 18 to 24-year-old population will slow dramatically. If we don't take action, our enrollments could start to shrink. So, we are studying ways to address this formidable challenge. We are smoothing pathways into the University System, and we are finding more ways to serve a higher percentage of traditional students, adult learners, and military students.

We aren't just focused on getting students in the door; we are also working hard to ensure that we attract and retain the best faculty and staff to serve them. In the months ahead, we will be conducting an analysis of faculty salaries, revising guidelines for how we utilize the Faculty Recruitment and Retention fund, and assessing the compensation we offer our SHRA employees.

In addition, our budget and finance team is studying the feasibility of consolidating the University System's debt management. By channeling all debt through the UNC System Office, we could potentially help institutions borrow money at a lower rate, streamline the debt issuance process, reduce workload at the institutional level, and take advantage of higher economies of scale.

And we are evaluating new approaches that will make North Carolina's higher education system more robust and more efficient than it already is. Building on our success implementing the 120-credit hour policy, we are exploring new ways to streamline our practices. We are studying how to enhance fiduciary efficiencies and maximize the advantages of our shared services. Our current effort to make summer school the norm rather than an exception is an example of the work we are doing to make more efficient use of our facilities. This work doesn't just save the University System money ... it also promotes retention and improves students' odds of graduating in four years.

These are just a few of the highlights of our meeting. These highlights don't paint a complete picture of all our activity, but they sketch out the vast scope and ambition of the work ahead.

Against this backdrop, chancellor searches are underway at UNC-Chapel Hill, UNC School of the Arts, and UNC Charlotte. Shortly, the search process will also be underway at East Carolina University and Fayetteville State University. The next era of leadership will soon be in place at these institutions, and this will help maintain the critical momentum that has been building in pursuit of our Strategic Plan goals. I would like to thank Lynn Duffy and Scott Murray for their hard work leading these efforts.

APPENDIX A

Following last week's meeting with Chair Ramsey and Vice Chair Murphy, I couldn't help but reflect on all that our Board, our chancellors, and the System Office staff are doing to make the UNC System more productive and also more efficient. We are teaching more students, generating cutting-edge research, and engaging the communities around us ... all while containing or lowering tuition costs for our students.

I am proud to be a part of this effort, and I would like to thank the Board for giving me the opportunity to serve as the interim president. It is a singular honor and privilege.

Walking around the ECSU campus, it's hard not to absorb the excitement that the students, faculty, and administration feel, knowing that ECSU once again has strong wind in its sails. With the Vikings once again on the move, this institution is serving more students and it is serving them better. And, it is having a more significant impact in northeastern North Carolina, across the state, and throughout the region.

As we are all gathered here, it's worth remembering that, collectively, we are a part of this same effort, whether we are in Elizabeth City or from as far away as Cullowhee. That should give us a tremendous sense of pride in the work that we do.

Thank you.



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UNC System Office

On October 22, the UNC System and UNC-TV Public Media NC presented *Focus on the Future: North Carolina's Historically Minority-Serving Institutions*. The hour-long segment highlights the System's commitment to the six HMSI institutions and the impact on the communities and regions they serve.

UNC Board of Governors Chair Randy Ramsey issued the following statement on the resignation of Board member Harry Smith: "Harry Smith has given notice of his resignation from the Board of Governors and he has indicated he is willing to serve up to an additional 90 days (through February 1, 2020) or until a new Board member has been selected by the North Carolina General Assembly. Harry has tirelessly served this Board, University System, and state for the past seven years for the betterment of our students. He worked collaboratively to show that differing views and opinions are healthy for any organization—to ensure all voices are heard and great decisions are made."

UNC System Interim President Bill Roper announced the appointment of Dr. Ron Mitchelson as interim chancellor at East Carolina University, effective October 31, 2019.

Appalachian State University

A long-standing partnership between Appalachian State University and rural K–12 schools that provides mental health services to youth and families in North Carolina communities while deepening students' pre-professional training will be scaled up, thanks to a five-year, \$2.5 million grant the U.S. Department of Education. The grant will support training sites called Assessment, Support and Counseling (ASC) Centers. Dr. Kurt Michael, Appalachian's Stanley R. Aeschleman Distinguished Professor of Psychology and ASC Center co-founder, will serve as principal investigator. The grant is based on a three-way partnership between the Ashe County School District, Appalachian, and RTI International, a nonprofit research institute.

Appalachian State University recently announced its GEAR UP Guarantee program, which guarantees admission to seniors in 11 Western North Carolina high school districts who meet specific academic requirements and submit an application by Nov. 1. The school districts are Ashe, Alleghany, Burke, Clay, Graham, Madison, Rutherford, Swain, Watauga, Wilkes and Yancey counties. Appalachian has collaborated with these districts since 2015, serving over 15,000 middle and high school students through GEAR UP. GEAR UP Guarantee covers all GEAR UP high school students through 2023.

Undergraduate research by 2018 graduate Jake Dorsett is shaking up scientific beliefs about the San Andreas Fault in California. He and faculty mentor Dr. Scott Marshall have shown that the San Andreas Fault is connected to other faults, extending into Mexico. Their research was recently published by the Bulletin of the Seismological Society of America. Findings are based on a physics-based model Dorsett and Marshall developed with collaborators at the Universidade de Brasília's Instituto de Geociências and the University of Massachusetts at Amherst. A double major in geology and physics, Dorsett is now pursuing a master's degree in geophysics at Indiana University.

East Carolina University

Dr. Ron Mitchelson, provost and senior vice chancellor of academic affairs at ECU was appointed interim chancellor on Oct. 31 by President Bill Roper. Mitchelson, who came to ECU in 1999 as a professor and chair of the Department of Geography, has served as provost since 2015. He has also served as interim chair of the English department and interim vice chancellor for research and graduate studies. Over the



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course of each of these appointments, he has chaired numerous committees and been a part of work groups and taskforces. Before coming to Greenville, he held faculty and administrative positions at the University of Georgia and at Morehead State University in Kentucky.

Dr. Karen Litwa describes herself as “a brain builder.” The assistant professor of anatomy and cell biology at ECU’s Brody School of Medicine studies the mechanisms by which the brain cells form connections with one another to share information with each other. “We can take a sample from a tissue bank, usually connective tissue from a skin biopsy, and make it into a pluripotent state, which just means it has the capacity to become any type of cell,” Litwa explained. “Then using different growth factors, we make these into little spheres that contain the neurons that we’re interested in studying.” The mini brains recently grown by Litwa’s team originated with tissue samples from individuals with neurodevelopmental disorders, such as autism spectrum disorders, so the team could explore how their brains develop differently from people who don’t have autism.

Since signing co-admission agreements with 14 schools in a single ceremony last summer, ECU administrators have continued to expand the Pirate Promise program, which now encompasses half of the state’s 58 community colleges. Aimed at improving transfer student access and success, the program allows students to apply to a participating community college and ECU simultaneously. Upon completing an associate degree, they can seamlessly transition into degree-completion programs at ECU. Interim Chancellor Mitchelson said, “The transfer population is 30% of our total student body, and it’s a good way to make college attendance less daunting and more cost effective.”

Elizabeth City State University

Dr. Karrie G. Dixon was officially installed as chancellor of Elizabeth City State University on Friday, Oct. 11. During the ceremony, she was also presented the Old North State Award by NC Secretary of State Elaine Marshall and NC Secretary of Revenue Ron Penny. The packed auditorium was filled by numerous faculty, staff, students, and community members. The day’s festivity included the installation luncheon and the Chancellor’s Installation Ball that evening.

ECSU is directly involved in Hurricane Dorian recovery efforts. During the homecoming game halftime, a representative from Wells Fargo presented the ECSU Foundation with a \$50,000 check to assist the university’s Small Business and Technology Development (SBTD) office with recovery efforts on Ocracoke Island. The Outer Banks island was devastated by flood waters and many businesses were lost during the storm surge caused by the hurricane. SBTD Director Michael Twiddy is working directly with businesses to assist in recovery and with the island community on new business development.

On Oct. 22, Chancellor Dixon hosted an ECSU Strategic Planning forum at the K.E. White Center. The entire campus and surrounding community members were invited to a presentation outlining the work done on the part of the Chancellor’s Strategic Planning Committee, led by ECSU Chief Operating Officer Alyn Goodson. The presentation outlined key areas covering university efforts over the next five years, including revised mission, vision and values statements. ECSU is soliciting online feedback before the strategic plan is submitted to the board of trustees in December.

Fayetteville State University Highlights

Dr. Clarence Lloyd, class of 1965, donated \$500,000 to FSU at its homecoming on October 5. Dr. Lloyd retired this year as a radiologist at the Veteran’s Affairs Medical Center in Winston-Salem. Dr. Lloyd



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earned a bachelor's degree from FSU, a master's degree in molecular biology from NC Central University, and a medical degree from UNC-Chapel Hill. He specialized in radiology at Bowman-Gray School of Medicine, where he was the first minority to finish the program at the school. Dr. Lloyd also served in the United States Army Reserves, where he participated in Operation Desert Storm and Operation Iraqi Freedom. He retired as a colonel after 20 years.

FSU was one of four HBCUs awarded 2019 Research Equipment Awards by the United States Department of Defense (DoD). The DoD awarded \$23.2 million to 59 minority-serving institutions as part of the fiscal year 2019 DoD HBCUs and Minority-Serving Institutions Research and Education Program. The awards range from \$122,786 to \$600,000 and support the acquisition of research equipment at 24 HBCUs, 34 MSIs, and one Tribal College. FSU's proposal, "Integrating Drones into Geospatial Education to Enhance STEM Skillset for Students," was submitted by Dr. Trung Tran, an assistant professor in the Department of Government and History.

Fayetteville State University students Raymond Kimble, Germaine Gregory, and Robert Deal have been awarded on-campus internships from the Defense Threat Reduction Agency (DTRA) and the Office of the Secretary of Defense (OSD). The three students are working on creating Artificial Intelligence (AI) software that can automatically analyze visual data such as pictures and videos acquired by robot cameras to create meaningful descriptions of environments and events. These descriptions must be concise, stated in natural language and transferred over resource-constrained networks for efficient communication between human soldiers and remotely located surveillance robots. The US Army can potentially use the technology developed from this research to support the warfighter.

North Carolina Central University

North Carolina Central Associate Professor Dayami Lopez was awarded a \$1.48 million grant from the National Institute for General Medical Sciences to study new means of treating high cholesterol and preventing heart disease. The four-year grant will advance Lopez's research into regulation of low-density lipoproteins, also known as LDL cholesterol, considered a major risk factor in heart disease. Statins, a class of medicines known to block cholesterol production in the liver, are widely used to treat patients with high LDL. However, not all patients respond well to statins. Some have serious side effects, and others, including those with a genetic marker for high cholesterol, fail to improve.

NCCU's School of Education is working to reverse a national teacher shortage for visually impaired students using a \$1.25 million grant from the U.S. Department of Education's Office of Special Education and Rehabilitative Services to train individuals to work as visual impairment instructors. According to the American Printing House for the Blind, NC has more than 1,900 students with visual disabilities and only 110 educators certified to teach them. There are approximately 568,000 students considered visually impaired across the country.

North Carolina Central University raised \$8.8 million during the 2018-19 academic year, exceeding its fundraising goal by \$1.1 million. This record for fiscal year 2019 includes 7,018 donors and 29 newly established endowments. Alumni donors began new endowments that will fund naming opportunities in the university's new School of Business. Construction is set to begin in early 2020 on the state-of-the-art facility.

Other fundraising highlights include:



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- The university's endowment has increased to \$54 million with 29 new endowments. These dollars are used to support student scholarships, allowing the university to meet its goal to attract and retain more students from low-income and rural communities.
- Received \$2.5 million from 4,100 alumni. Special effort was made to increase the number of first-time donors, as well as Millennials, Baby Boomers and Generation X donors.

NC State University

NC State announced a \$1,064,000 investment from the North Carolina GlaxoSmithKline Foundation to expand its Community College Collaboration (C3) project, which guarantees NC State admission to qualified transfer students from several N.C. community colleges. The grant will allow NC State to expand the program to 150 new students per year from its current level of 120 students per year. It will also increase the number of eligible community college partners from eight to 10.

The world's weirdest little primate has gotten even weirder, thanks to the discovery of a tiny extra digit. A study led by researchers from NC State has found that aye-ayes possess small "pseud thumbs" – complete with their own fingerprints – that may help them grip objects and branches as they move through trees. This is the first accessory digit ever found in a primate.

New NC State research shows that a combination of steel composite metal foam (CMF) and epoxy resin has more desirable characteristics for use as a leading-edge material in airplane wings than the aluminum currently in widespread use.

UNC Asheville

UNC Asheville student Emily Avery recently earned her environmental education certification, offered through NC's Department of Environmental Quality. Already equipped with a degree in biology and a deep appreciation of the outdoors, Avery decided to pursue a degree in environmental studies and her teacher licensure at UNCA with the goal of educating middle school students in the sciences. The certification is in-depth and immersive, requiring 200 hours of workshops, outdoor experiences, teaching, and a community partnership project that connects two organizations.

UNC Asheville hosted the sixth annual African Americans in WNC and Southern Appalachia Conference, a three-day event that brought local and regional leaders together for scholarly talks, panel discussions, concerts, and awards. The event, themed "Existence as Resistance: Expressions of Resilience," aimed to illuminate the African American experience in Southern Appalachia by exploring history, culture, community, and enterprise. The event worked to eradicate incomplete and false narratives about African Americans in this region, while creating new possibilities for the future.

UNC Asheville commemorated the 400th anniversary year of the arrival of the first enslaved Africans to the Jamestown settlement in what was then colonial Virginia with a series of special events, culminating in a keynote address by leading philosopher and scholar of African American studies, Molefi Kete Asante. The commemoration was coordinated by Tiece Ruffin, interim director and associate professor of Africana studies. Programming included The People Not Property Project with UNC Greensboro Fellow for Digital Curation and Scholarship Brian Robinson, which focuses on North Carolina slave deeds and the digitization of materials for the Digital Library on American Slavery; and a master class and faculty roundtable. The commemoration events are part of a nation-wide series of events, as U.S. Congress passed the 400 Years of African-American History Commission Act.



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UNC-Chapel Hill

this fall, 90 UNC-Chapel Hill faculty and campus leaders traveled over 1,600 miles to 26 towns as part of the Tar Heel Bus Tour. Three buses went to the southeastern, eastern, and western regions of the state to listen to partners, see the towns Carolina students call home, and demonstrate Carolina's commitment to serving the state. Participants heard from students working in rural communities, community members devastated by hurricanes, and faculty leading initiatives to address the opioid crisis. Following the tour, faculty and staff look forward to initiatives and continued conversation on how to partner to more effectively to address the needs of communities across our state.

Reuters has ranked UNC-Chapel Hill No. 6 on its list of the Most Innovative Universities in the World. The annual list identifies and ranks educational institutions doing the most to advance science, invent new technologies, and power new markets and industries. Carolina rose three spots from last year's rankings – moving up from number nine in 2018. As examples of the many commercial innovations taking place at Carolina, the study mentions the work of two: the FABRIC project and the UNC Lineberger Comprehensive Cancer Center partnership with IBM Watson.

UNC-Chapel Hill marked its 226th birthday at University Day on October 12. With a theme of service to the state, the program featured student, faculty, and community member speakers on the impact UNC-Chapel Hill is having in the state. On the same day, the Carolina Center for Public Service celebrated its 20th anniversary.

UNC Charlotte

In October, the chancellor search committee, chaired by trustee chair Mike Wilson '93, held its first meeting; the search firm Storbeck/Pimental Associates was selected to assist with the recruitment process; and public listening sessions were held to solicit feedback about the desired qualifications for the next chancellor. The website 49erChancellorSearch.uncc.edu allows the campus and entire community to stay informed about the search progress and provides an online form to provide feedback on the qualifications for the next chancellor. Once input from the listening session and online forum is gathered, a Leadership Statement will be finalized outlining the requirements for the successor to Chancellor Philip L. Dubois, who announced his impending retirement, effective June 30, 2020.

The Association of Public and Land-grant Universities has named UNC Charlotte a finalist for its 2019 Degree Completion Award, which recognizes institutions that apply innovative approaches to improving degree completion while ensuring educational quality. The winner will be announced at the APLU annual meeting, Nov. 10-12. Since 2009, UNC Charlotte has increased its six-year graduation rate by 10 percent and four-year graduation rate by 17 percent. In addition, the university uses technology to identify emerging indicators of academic risk; connects identified students with advisors who guide them to timely graduation; and has created a graduation metrics platform to help departments and colleges identify and address common curricular barriers to completion.

Doug Hague, holder of four U.S. patents and identified last year by Corinium Global Intelligence as one of the top 50 Data and Analytics Professionals in the United States and Canada, has been named interim executive director of UNC Charlotte's Data Science Initiative (DSI). DSI is an interdisciplinary industry-university-state partnership founded in 2015 that focuses on preparing students and industry leader



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partners to apply the power of data to solve problems in business and society. Led collaboratively by the College of Computing and Informatics, the Belk College of Business, the College of Health and Human Services and the College of Liberal Arts and Sciences, it provides the intellectual capital and outreach activities to meet employers' needs for interpreting and applying data. This approach allows DSI to share research through its academic programs: Data Science and Business Analytics and Health Informatics Analytics and several majors of the four colleges, as it helps develop a highly-trained workforce. Among DSI's partners are Bank of America, CISCO, Deloitte, Grant Thornton, Ingersoll Rand, North State, Red Ventures, Sealed Air and Teredata.

UNC Greensboro

UNC Greensboro Chancellor Franklin D. Gilliam, Jr. wrote last fall that UNCG was "poised to become a national model for how a university can blend opportunity, excellence, and impact." Chancellor Gilliam stated the university is at an inflection point -- a moment when UNCG has an opportunity to act, transform, and secure its rightful place among the very best institutions in North Carolina and nationally. One year after Chancellor Gilliam first discussed the institution's inflection point and its path to becoming a national model, *U.S. News & World Report* now ranks UNCG No. 1 statewide and No. 27 nationally for social mobility, demonstrating how UNCG exemplifies the model Chancellor Gilliam described. Social mobility ranking is a new *U.S. News* category, highlighting institutions that are most successful in enrolling and graduating students who come from disadvantaged backgrounds. UNCG is blending opportunity, excellence, and impact to transform the lives of each student while making major contributions to our state's prosperity.

Since FY 2015, there has been a steady annual increase in the total amount of grants and contracts awarded to UNCG faculty from external sponsors. There has been a 28.6 percent increase in the total dollars awarded from FY 2015 to FY 2019. This trend continues into FY 2020 as the YTD totals are compared to previous years for the same time period. There was a 16.6 percent increase over first quarter totals for FY 2019 and the September award totals exceeded the monthly total for any month in previous fiscal years since 2015. This increase was due, in part, to four large and prestigious awards: The \$6.2 million National Technical Assistance Center for the Homeless awarded to the SERVE Center from the U.S. Department of Education; The Regional 6 Comprehensive Center at SERVE awarded by the U.S. Department of Education; \$15.6 million Spartans ADVANCE project, awarded to the university through the Office of the Provost by the National Science Foundation; and the Piedmont Teach Residency Partnership, awarded to the School of Education by the U.S. Department of Education.

This year, UNCG launches a student success program for new Spartans. To ease students' transition to academic life on campus, UNC Greensboro has launched the Kecker Common Experience program, which replaces the "common read" program. Funded in part by the Lucy Spinks Kecker Endowment, the program has four key components: a success guide and academic planner, event series, scholarship, and speaker visit. Every new Spartan received the success guide at NAV1GATE New Student Convocation. More than 2,000 students are actively using the guides as part of the FYE 101: Succeed at the G program and other transition courses. The event series includes workshops on FAFSA, financial literacy, and effective study strategies, as well as career fairs.

UNC Pembroke

Four new Trustees at UNC Pembroke were recently sworn in, including a Raleigh dentist, the VP of Medicaid and CEO of Healthy Blue, a Pembroke attorney, and the new president of the student body.



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The N.C. Department of Transportation spent \$5 million overhauling a mile of North Odom Street/Prospect Road. The improvements make the roadway safer and more bicycle and pedestrian friendly. The department proposed the design after university officials raised concerns with the agency over the safety of the students crossing the intersection every day.

Hannah Jeffries, a junior American Indian Studies major, was selected as part of the Mellon Indigenous Arts Initiative to participate in an eight-week internship at the University of Virginia. The program is designed to train a new generation of curators from backgrounds underrepresented in the museum professions. Jeffries is a member of the Meherrin Tribe.

UNCP's Department of Counseling in the College of Health Sciences recently expanded a wellness initiative in local middle schools offering social and emotional learning opportunities to students. The goal of the program is to increase social skills development, leading to a safer school and community. Middle school students will practice identifying and managing bullying situations as well as building bonds and relationships.

UNC Wilmington

UNCW has enrolled 17,499 students for fall 2019, the largest student body in its history. Overall, the university's enrollment has grown by 35.4 percent since fall 2009. In addition to 2,342 freshmen, more than 2,000 new transfer students enrolled, and a record 1,042 graduate students joined UNCW's ranks.

UNCW ranks among the Top 100 public universities in the nation, according to the *U.S. News & World Report* "Best Colleges 2020" guidebook. The university, tied at 92nd with Ohio University and the University of Houston, was included in the national category for the first time following its elevated designation of "Doctoral Universities: High Research Activity" institution from the Carnegie Classification of Institutions of Higher Education. Overall, UNCW ranked among the top 200 National Universities (public and private) on *U.S. News*' 2020 list, tying for 185th with six institutions.

UNCW excels at meeting the needs of Southeastern North Carolina and the state by providing students with a high-quality education in a cost-effective manner. UNCW's five-year graduation rates (76.6 percent) from any UNC institution (2013 Cohort) rank 3rd in the System while its appropriations, at \$9,081 per student (FTE) in 2017-18, rank 14th in the System.

UNC School of the Arts

Internationally acclaimed mezzo-soprano Tichina Vaughn, who performs in this season's much-acclaimed *Porgy and Bess* at New York's Metropolitan Opera, is artist-in-residence in the UNCSA School of Music this year. Vaughn, a Winston-Salem native who received a Bachelor of Music in voice at UNCSA, has been a principal artist with Dresden Semper Opera and Stuttgart State Opera, both in Germany. During her residency at UNCSA, she is teaching master classes and coaching fellows of the A.J. Fletcher Opera Institute.

Two UNCSA alumni won Emmy Awards this fall. Blair Aycock, a graduate of the UNCSA high school Visual Arts Program, won an Emmy for Outstanding Makeup for "Fosse/Verdon." Michael Brake, who studied in the School of Filmmaking, won as music editor for HBO's "Barry," winner of the Emmy for Outstanding Sound Editing. In addition, Brett Gelman, a 1999 graduate of the School of Drama, appears in Amazon's "Fleabag," which won four Emmys.



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The UNCSA School of Filmmaking has been ranked sixth of *TheWrap's* Top 50 Film Schools, up from No. 10 last year: "It offers its 359 film students a 9-to-1 faculty-student ratio and a hands-on approach to education that emphasizes storytelling. It costs less than half what some of its rivals charge, and for that you get connected with the likes of *Mad Men* auteur Matthew Weiner, who shot his feature film *Are You Here* with UNCSA student talent, and the Sundance Film Festival, which partners with UNCSA."

Jack Waters was one of nine state employees honored with Governor's Awards for Excellence. It is the highest honor a state employee may receive for dedicated service to the state and its people. Seven-year employee Waters, building environmental services supervisor in Facilities Management, was recognized in the Public Service category. He organized a festival for a Lexington military veteran and started "Big Bikes 4 Purple Hearts," an annual motorcycle ride to raise money for veterans.

Western Carolina University

On Thanksgiving morning, Western Carolina University's 535-member Pride of the Mountains Marching Band will appear again in the annual Macy's Thanksgiving Day Parade in New York City. The band previously was selected to lead the 2014 parade. This year's invitation marks a rare return trip for a participant just five years after its original appearance.

The U.S. Department of Education has awarded a \$1.25 million grant to WCU for groundbreaking instruction to prepare professionals for work with children with autism. The grant will be distributed over five years and will be used to train 60 graduate students in psychology, special education, and speech-language pathology programs in addressing the complex needs of children with autism spectrum disorders. The funding will create an instructional program to address communication, behavioral, and academic needs of those on the autism spectrum. Participating graduate students will have one year of graduate school tuition free, at an in-state rate, have access to a travel fund for continuing education and, upon completion of instructional requirements, receive a certificate of training.

Faculty involvement with the University Participant Program has led to Western Carolina University being named recipient of the Engagement Scholarship Consortium's Faculty Community Engagement Award. The award recognizes a higher education institution and its exemplary contribution to engaged scholarship. The UP Program is a fully inclusive, two-year post-secondary education program for college-age people with intellectual disabilities. Its purpose is to facilitate independent, inclusive community living and working for those individuals in their post-UP community. Students live in campus residence halls, attend three or four classes per semester, work at least 10 hours a week in internships or on paid jobs, and participate in a wide range of campus and community social activities.

Leaders of WCU and two Western North Carolina community colleges recently signed memorandums of understanding that guarantee admission to WCU for all graduates of those community colleges who satisfy specific requirements. WCU and Blue Ridge Community College now have the Catamount Blue Ridge Program, while WCU and Southwestern Community College have the Catamount Compass Program. The agreements build upon the existing North Carolina Comprehensive Articulation Agreement governing the transfer of credits between the North Carolina Community College System and the UNC System. WCU previously signed a similar memorandum with Asheville-Buncombe Technical College.



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Western Carolina University's Department of Social Work recently received an Opioid Workforce Expansion Program grant through the U.S. Health Resources and Services Administration. WCU is one of 48 institutions nationally, and among five in North Carolina, to receive the grant. It is a three-year award totaling \$1.35 million. The focus of the grant is to train master's-level students to work with prevention, treatment and recovery from addictive disorders. It also allows for training students, faculty, staff, community members, and current providers on addictive disorder prevention, treatment and recovery.

Winston-Salem State University

With support from the North Carolina Space Grant New Investigators Program, WSSU has established an astrobotany lab to explore which crops might have the potential to grow in Martian soil. This fall, WSSU's Department of Biological Sciences will launch a four-year partnership with NASA that will allow students to conduct research on food production for space exploration and participate in mentorships with NASA scientists. This partnership is unique among HBCUs.

For the second consecutive year, WSSU is a recipient of INSIGHT Into Diversity's Higher Education Excellence in Diversity Award in recognition of its commitment to diversity, equity, and inclusion. WSSU is the only HBCU to receive the award this year. According to the magazine, the oldest and largest diversity-focused publication in higher education, WSSU was selected for its exemplary diversity and inclusion initiatives and for embracing a broad concept of diversity on campus, including gender, ethnicity, veterans, people with disabilities, and members of the LGBT community.

The School of Health Sciences (SOHS) has received a three-year, \$147,000 federal grant, which will create an educational and training program that aims to reduce the risk of falling and safeguard the independence of older adults. Over the next three years, the SOHS aims to reach 400 older adults and adults with disabilities and partner with community agencies in seven Piedmont counties to launch the evidence-based program. The grant is through the Administration for Community Living (ACL)/U.S. Department of Health and Human Services (HHS).

North Carolina School of Science and Mathematics

NCSSM math instructor Cheryl Gann and chemistry instructor Bob Gotwals were honored as state-level finalists for the Presidential Awards for Excellence in Mathematics and Science Teaching. Other past NCSSM winners in mathematics include David Green (1984), John Goebel (1986), Dan Teague (1991) Helen Compton (1993) and Maria Hernandez (2009). Other past winners in science include Myra Halpin (1995), Sam Wheeler (2005) and Jeffrey Milbourne (2013). The Presidential Awards, administered by the National Science Foundation, are the highest honors bestowed by the U.S. government specifically for K-12 science, technology, engineering, mathematics, and/or computer science teaching.

NCSSM alumna Christina Hammock Koch '97 (also an NC State alum), who is a NASA astronaut serving as a flight engineer aboard the International Space Station, took part in the first ever all-female spacewalk. She and colleague Jessica Meir replaced a battery charge/discharge unit. Expected to return to Earth in spring of 2020, Koch is projected to set the record for longest spaceflight by a woman.

NCSSM student Forrest Liu '20 is a national champion in the use of Microsoft Word, and this year marks the third in which he has been named state champion in the use of one of the Office programs, winning this time with PowerPoint. (Last year, he was the Excel state champion.) In addition, he was the third-



UNC Board of Governors
November 15, 2019
Notable News from the UNC System

place finisher at the national level in both Excel last year and PowerPoint this year. He is retiring from competition but planning to coach his younger brother to continue competing.

UNC Press

The UNC Press had a book long-listed for the prestigious National Book Award last month. *Race for Profit: How Banks and the Real Estate Industry Undermined Black Home Ownership* by Keeanga-Yahmatta Taylor was one of ten non-fiction books published this year that were named as finalists.

In August, UNC Press partnered with the North Carolina State University Libraries and Michael Steer of the College of Engineering to publish a six-volume electrical engineering textbook about microwave and RF design. Steer is a leader in the field, and he has published the two previous editions of the textbook with SciTech Publishing. This third edition is the first to be published in low-cost print editions (\$13-\$16 per volume) and as open educational resource (OER/free) digital editions hosted by the library. The book is being used at NC State in a graduate level course this fall, and we have started outreach to more than 100 professors in the field who have taught previous editions.

UNC-TV Public Media North Carolina

On September 11, UNC-TV, along with other local broadcasters, updated its frequency as part of a national channel alignment required by the FCC. This ongoing \$36M initiative required an extensive organization-wide effort across IT, Content, Marketing, Engineering, Finance, and Advancement to meet the FCC deadlines and ensure that audiences continued to receive their favorite UNC-TV channels and programming with minimal to no interruption. Work on this multi-stage project will continue into 2020.

In a continuing effort to inform North Carolinians prior to, during, and after emergencies that affect the state, UNC-TV, along with the NC Department of Public Safety and the Emergency Operations Center, are implementing a plan to provide Spanish language interpretations of the Governor's emergency briefings. The Spanish language audio will be added to broadcasts and will be available via the "Secondary Audio Program" service on viewers' TVs. In addition, UNC-TV is creating a Spanish language web-stream that will be shared with DPS and media outlets across the state and country.

Rootle's Block Party LIVE! traveled to Wilmington in September as part of its partnership with and supported by the funding from the NC Department of Health and Human Services. The music themed event brought in over 4,000 kids and their families for a day full of hands-on activities, live musical performances, meet-and-greets with Read-A-Roo and other PBS Kids Characters and much more.

Acquisition of Property by Deed (Central Crops Research Station) – NC State University

ISSUE OVERVIEW

The Board of Trustees of North Carolina State University requests approval to purchase approximately 41 acres in Wake County to expand the existing Central Crops Research Station. The College of Agriculture and Life Sciences is currently leasing a portion of the property for the study of weed management. The property is located along the north side of U.S. Highway 70 in Wake County, NC and is contiguous to the Central Crops Research Station. The estimated purchase price is \$1.29M, with the final purchase price to be confirmed by appraisal.

The Central Crops Research Station is one of NC State's 18 statewide agricultural research stations that support the research of crops, forestry, livestock, poultry, and aquaculture. The Central Crops Research Station includes approximately 518 acres and is located 20 miles from the main campus in Wake County, NC. The Central Crops Research Station was established in 1953, and it houses research programs that include field crops, horticulture, and swine. The Central Crops Research Station also provides sites for specialized research that includes plant breeding, genetic research, plant disease, insect and weed management.

RECOMMENDATION



It is recommended that the Board of Governors approve this request. This item requires approval by the Council of State.

TRANSMITTAL OF REQUEST FOR ACQUISITION/DISPOSITION OF REAL PROPERTY**Form****Number:** PO-1**Preparation****Date:** 7/31/2019

Request: Acquisition by deed of +/- 40.99 ac. to be added to the exiting Central Crops Research Station located in Wake Co. The College of Agriculture and Life Sciences currently leases the property for the study of weed management.

Institution NORTH CAROLINA STATE UNIVERSITY

RECOMMENDED BY CHANCELLOR, NCSU


(Chancellor's Signature)RECOMMENDED BY COMMITTEE ON
BUILDINGS AND PROPERTY
(Chairman's Signature)RECOMMENDED BY BOARD OF TRUSTEES,
NCSU
(Chairman's Signature)

RECOMMENDED BY BOARD OF GOVERNORS

(Secretary's Signature)

Form PO-1
Original and one copy to
to State Property Office

**STATE OF NORTH CAROLINA
DEPARTMENT OF ADMINISTRATION
RALEIGH**

*** ACQUISITION OF REAL PROPERTY**

Institution or Agency: State of North Carolina

Date: July 31, 2018

The Department of Administration is requested, as provided by GS 146-22 et seq. to acquire the real property herein described by (purchase), (lease), (rental), or (other specify):
40.99 +/- acres located along the north side of U.S. Highway 70 in Wake County, NC.

This Property is needed for the following reasons and purposes: (attach additional sheets if necessary).

The Property would be an addition to the existing Central Crops Research Station. The College of Agriculture and Life Sciences currently leases the property for the study of weed management.

Name and Address of Present Owner:

Ralph L Sorrell (50% interest) and

Glenn L. Sorrell, as Trustee of the GJS Charitable Remainder Unitrust (50% interest)

Description of Property: (attach additional sheets if necessary).

The subject area is located at 3904 Granny Farm Road, Clayton, NC 27520. Further describe as PIN 1740-40-7897 in the Wake Co. Land Records Department. The proposed acquisition will involve +/- 40.99 +/- acres of the property.

See attached exhibit.

Term: Perpetual Use

Rental price (if applicable): Not applicable.

Funds for the acquisition of this property are available in our budget under Code

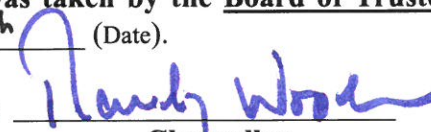
Item: Account No. 762265

Other:

In the event the above described real property is not acquired, is there other real property available, owned by the State or otherwise, that you believe would, if acquired, fulfill the requirement of your agency? If so, give details. No.

Action, recommending the above request, was taken by the Board of Trustees and is recorded in the minutes thereof on Sept. 13th (Date).

Signature


Chancellor

* The term "real property" includes timber rights, mineral rights, etc. (GS 146-64)

**ACQUISITION
OF REAL PROPERTY**

ACQUISITION OF REAL PROPERTY BY PURCHASE

GRANTOR Ralph L. Sorrell (50% Interest)

Glenn L. Sorrell, as Trustee of the GJS Charitable Remainder Unitrust (50% Interest)

GRANTEE The State of North Carolina for and on behalf of North Carolina State University

LOCATION 3904 Granny Farm Road
Clayton, Wake County, NC, 27520

SIZE +/- 40.99 acres

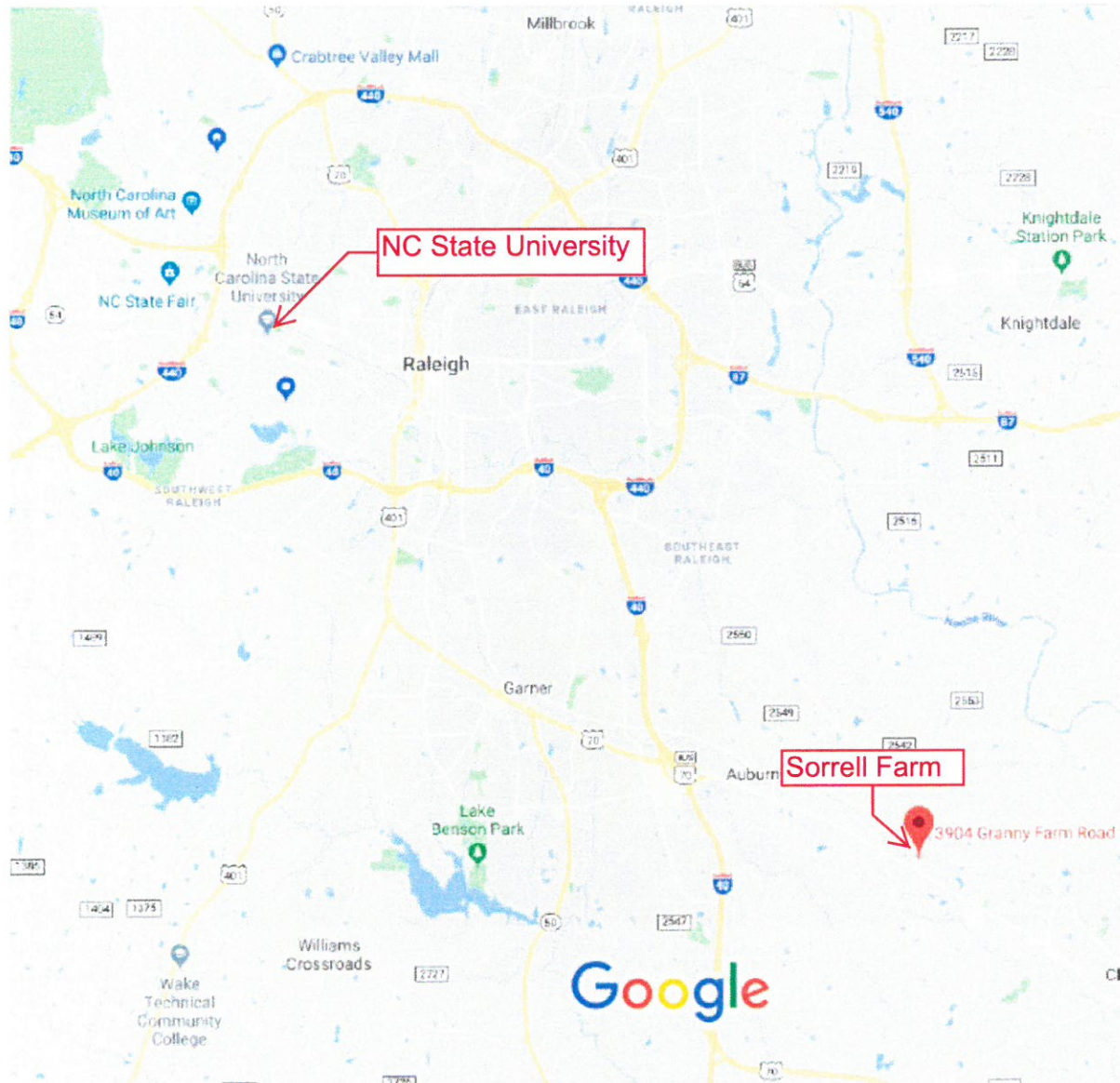
RATE +/- \$1,290,000.00, the final amount to be determined by appraisal

TERM Perpetual Use

USE This property will be an addition to the existing Central Crops Research Station. The College of Agriculture and Life Sciences currently leases this property for the study of weed management.

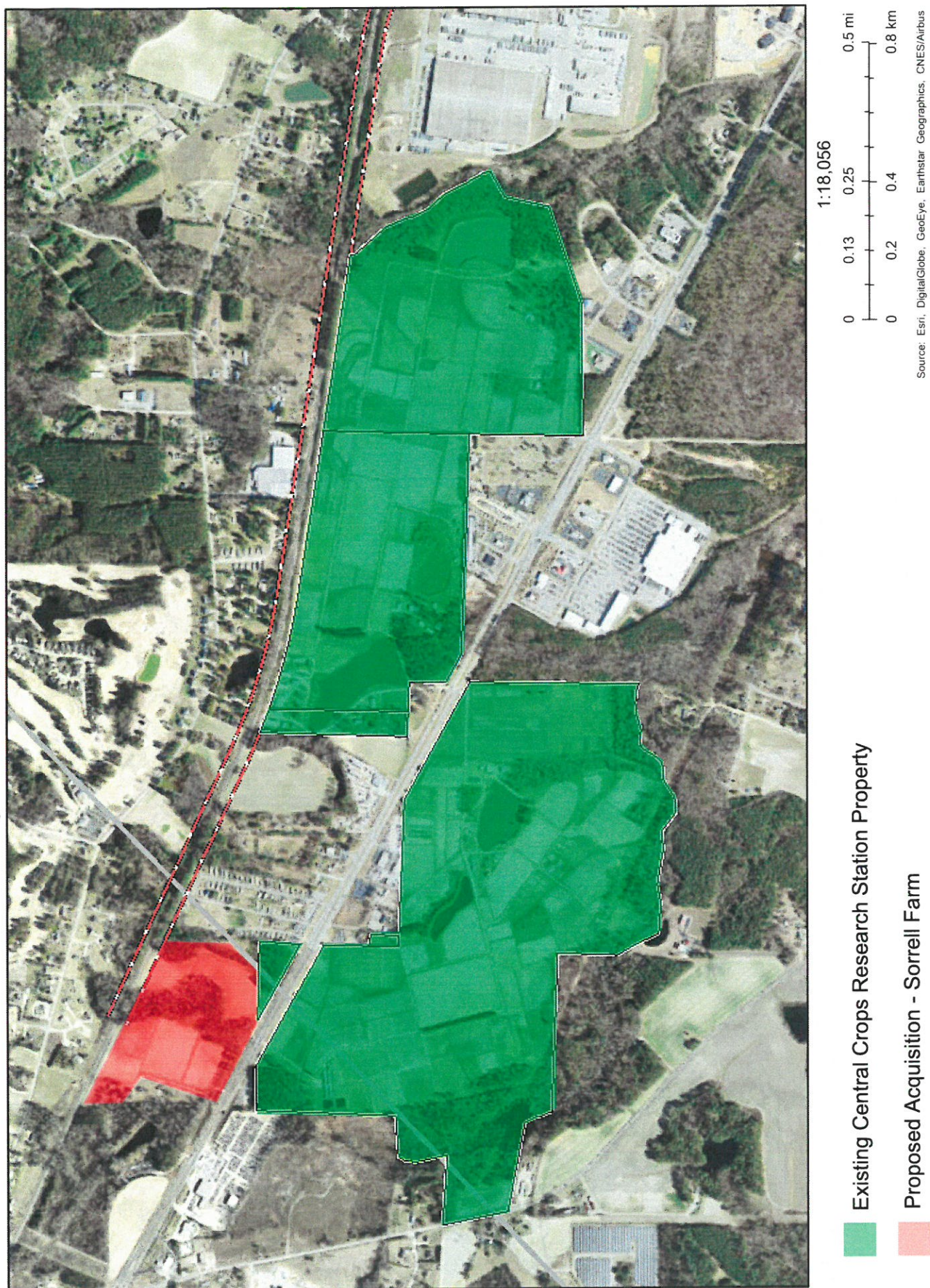
Proposed Acquisition – Sorrell Farm

3904 Granny Farm Road, Clayton, NC



Central Crops Research Station - Proposed Acquisition

APPENDIX B



Acquisition of Property by Deed (Lake Wheeler Field Lab) – NC State University

ISSUE OVERVIEW

The Board of Trustees of North Carolina State University requests approval to purchase approximately 12 acres in Wake County for the purpose of expanding the Lake Wheeler Field Lab. The property is centrally located and contiguous to the Lake Wheeler Field Lab and will be a strategic acquisition. The estimated purchase price is \$1M, with the final purchase price to be confirmed by appraisal.

The Lake Wheeler Field Lab hosts many of the various departments in the College of Agriculture and Life Sciences and includes almost 1,500 acres. Units located at the Lake Wheeler Field Lab include animal science; poultry science; crop and soil sciences; biological and agricultural engineering; food, bioprocessing and nutrition sciences; and entomology and plant pathology. The Lake Wheeler Field Lab also provides sites for agronomy-related research.

RECOMMENDATION

It is recommended that the Board of Governors approve this request. This item requires approval by the Council of State.

TRANSMITTAL OF REQUEST FOR ACQUISITION/DISPOSITION OF REAL PROPERTY

Form

Number: PO-1


Preparation

Date: 7/31/2019

Request: Acquisition by deed of +/- 12 ac. (exact acreage to be determined by survey) to be added to the exiting Lake Wheeler Field Lab located in Wake Co.

Institution NORTH CAROLINA STATE UNIVERSITY

RECOMMENDED BY CHANCELLOR, NCSU


(Chancellor's Signature)RECOMMENDED BY COMMITTEE ON
BUILDINGS AND PROPERTY
(Chairman's Signature)RECOMMENDED BY BOARD OF TRUSTEES,
NCSU
(Chairman's Signature)

RECOMMENDED BY BOARD OF GOVERNORS

(Secretary's Signature)

Form PO-1

Original and one copy to
to State Property Office

**STATE OF NORTH CAROLINA
DEPARTMENT OF ADMINISTRATION
RALEIGH**

*** ACQUISITION OF REAL PROPERTY****Institution or Agency:** State of North Carolina**Date:** July 31, 2018

The Department of Administration is requested, as provided by GS 146-22 et seq. to acquire the real property herein described by (purchase), (lease), (rental), or (other specify):

+/- 12 acres (exact acreage to be determined by survey) located along Lake Wheeler Road in Wake County, NC.

This Property is needed for the following reasons and purposes: (attach additional sheets if necessary).

The Property would be a strategic addition to the Lake Wheeler Field Lab.

Name and Address of Present Owner:

Nancy A. Perry, as trustee of The Perry Family Irrevocable Trust (successors and assigns)
3504 Lake Wheeler Road
Raleigh, NC 27603

Description of Property: (attach additional sheets if necessary).

The subject area is located at 3416 Lake Wheeler Road, Raleigh, NC 27603. Further describe as PIN 0792316933 in the Wake Co. Land Records Department. The proposed acquisition will involve +/- 12 acres of the property currently owned by The Perry Family Irrevocable Trust, as determined by survey.

See attached exhibit.

Term: Perpetual Use

Rental price (if applicable): Not applicable.

Funds for the acquisition of this property are available in our budget under Code

Item: Account No. 762265

Other:

In the event the above described real property is not acquired, is there other real property available, owned by the State or otherwise, that you believe would, if acquired, fulfill the requirement of your agency? If so, give details. No.

Action, recommending the above request, was taken by the Board of Trustees and is recorded in the minutes thereof on 9.13.19 (Date).

Signature


Chancellor

* The term "real property" includes timber rights, mineral rights, etc. (GS 146-64)

**ACQUISITION
OF REAL PROPERTY**

ACQUISITION OF REAL PROPERTY BY PURCHASE

GRANTOR Nancy A. Perry, as Trustee of the Perry Family Irrevocable Trust (successors and assigns).

GRANTEE The State of North Carolina for and on behalf of North Carolina State University

LOCATION 3416 Lake Wheeler Road
Raleigh, Wake County, NC, 27603

SIZE +/- 12 acres (exact acreage to be determined by survey)

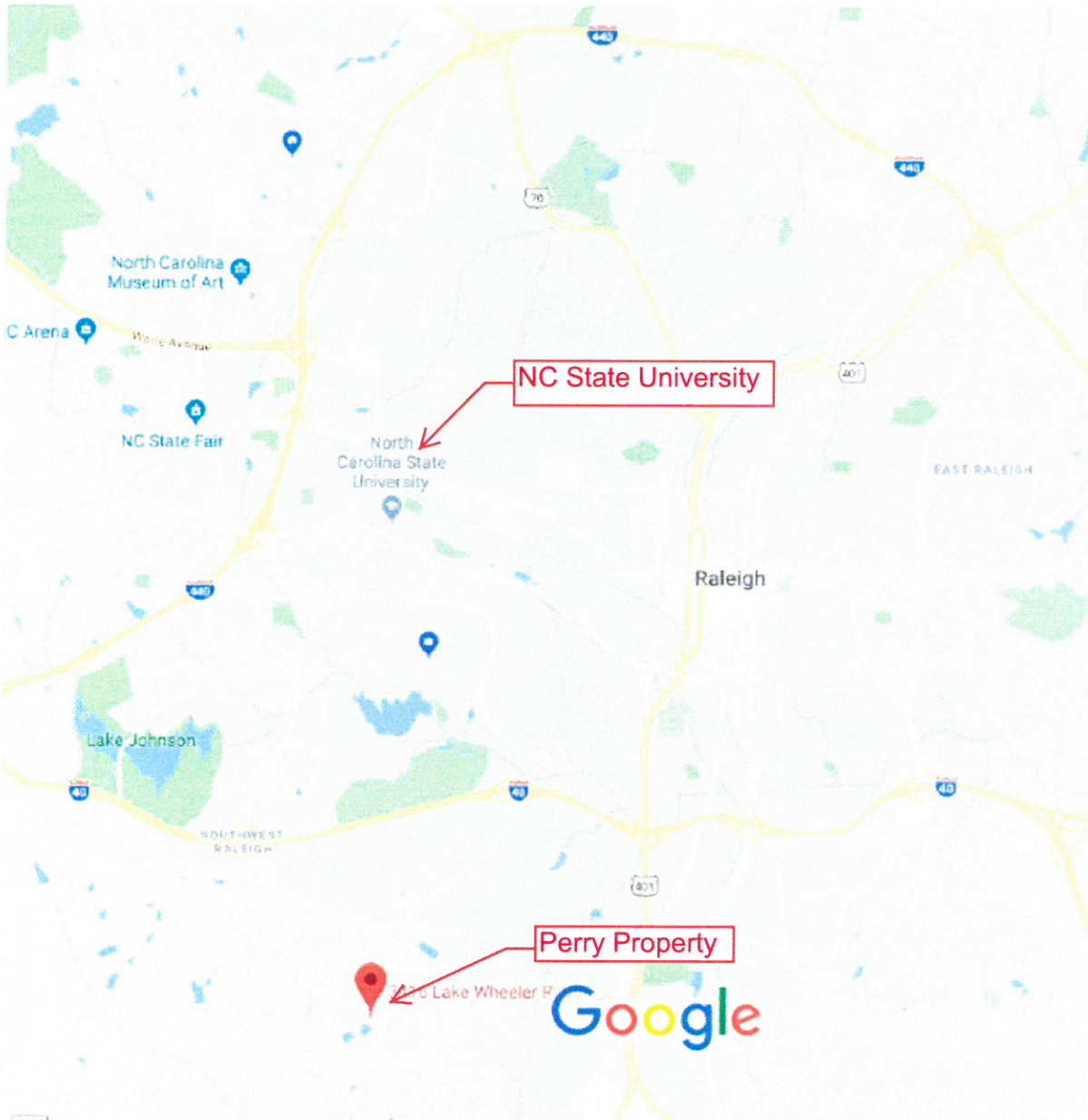
RATE +/- \$1,000,000 (the final amount to be determined by appraisal)

TERM Perpetual Use

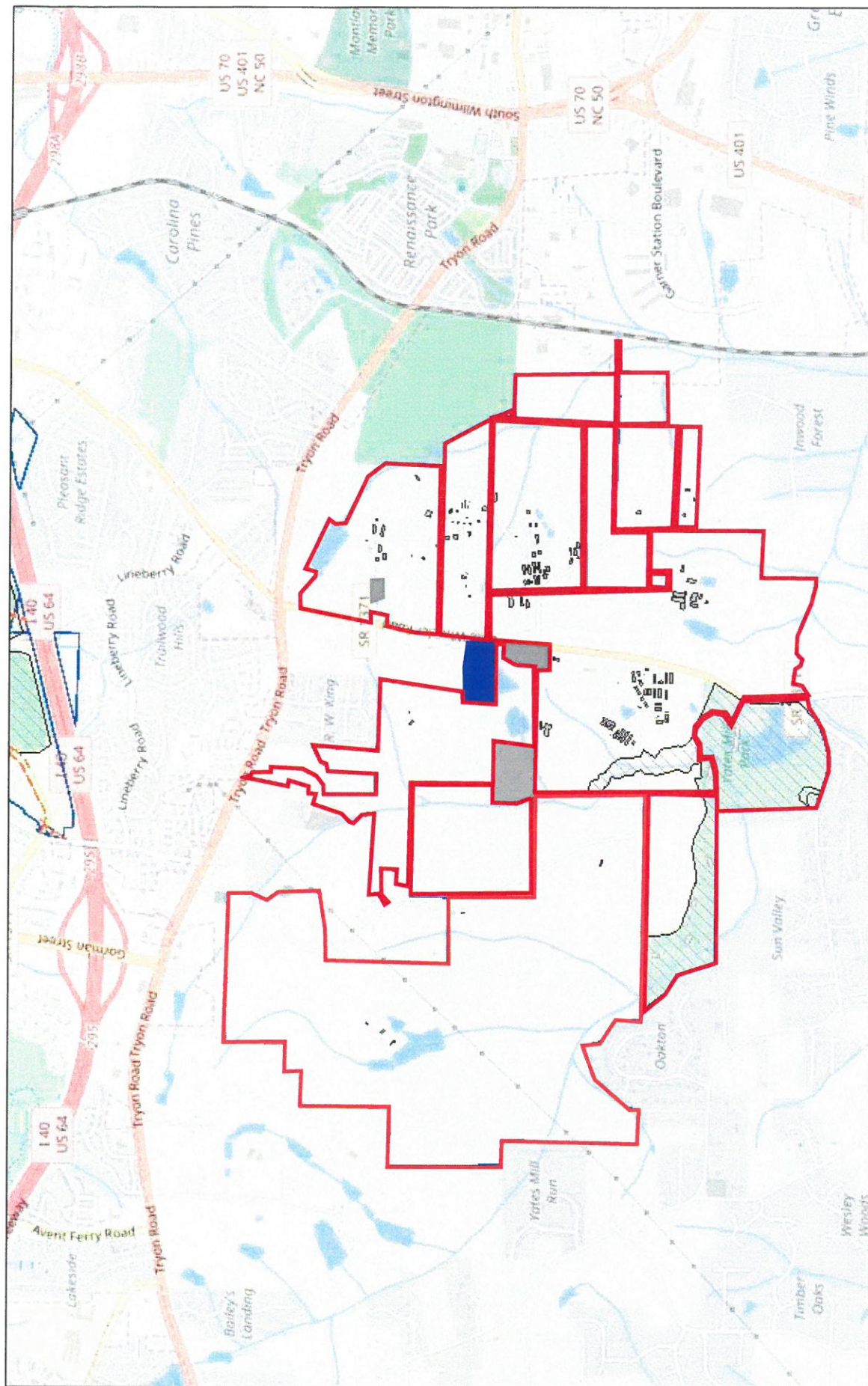
USE This property is centrally located within Lake Wheeler Field Lab and will be a strategic acquisition for the university.

Proposed Acquisition – Perry Property

3416 Lake Wheeler Road, Raleigh, NC

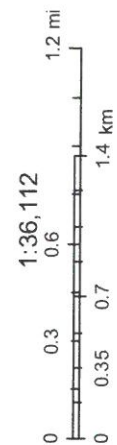


Wolf Tracts Web Map



2/13/2018, 3:30:04 PM

- Existing Lake Wheeler Field Lab Property
- Proposed Acquisition - Perry Property



Map data © OpenStreetMap contributors, CC-BY-SA

Disposition of Property by Demolition – Western Carolina University

ISSUE OVERVIEW

UNC System institutions are required to request authority from the Board of Governors to proceed with certain acquisitions and dispositions of real property.

The Board of Trustees of Western Carolina University requests authorization to demolish two structures located on the main campus:

<u>STRUCTURE</u>	<u>GSF</u>	<u>YEAR BUILT</u>
1. Scott Hall	+/- 142,655	1969
2. Walker Hall	+/- 70,650	1972

The reason for this demolition is to construct the new lower campus residence halls. The lower campus residence halls will be located on the same site and will include approximately ±932 beds. The lower campus residence halls will be funded from a special obligation bond, approved by the General Assembly and signed by the Governor on July 19, 2019. The lower campus residence halls are scheduled to open Fall 2021.

Scott Hall and Walker Hall are both nine-story poured-in-place concrete framed and brick masonry structures. Scott Hall includes 741 traditional-style beds with communal bathrooms. Walker Hall includes 383 semi-suite-style beds with suite-style bathrooms. Both buildings are in poor condition due to deferred maintenance, asbestos-containing materials and lead-based paint, and lack of air-conditioning.

RECOMMENDATION

It is recommended that the Board of Governors approve this request. This item requires approval by the Council of State.

Form PO-2
Rev. 10/01
Original and one copy to State Property Office

**STATE OF NORTH CAROLINA
DEPARTMENT OF ADMINISTRATION
DISPOSITION OF REAL PROPERTY**

Institution or Agency: Western Carolina University

Date: October 11, 2019

The Department of Administration is requested, as provided by GS §146-28 et seq., to dispose of the real property herein described by *purchase, lease, rental, or other (specify)*. Demolition

This disposition is recommended for the following reasons:

Due to physical condition and age; Site is planned for future development.

Description of Property: *(Attach additional pages if needed.)*

Western Carolina University seeks authority to demolish and dispose of Scott Hall (SPO Complex #1-50-5; Asset #40) located on its campus. This nine-story building, originally constructed in 1969, is a poured in place, reinforced concrete frame with brick masonry structure, built up roof, residence hall/dormitory institutional structure of 142,655 gross square feet.

Demolition is required to accommodate site development of the previously authorized Lower Campus Residence Hall, scheduled for a construction start of Summer 2020. Following approval for demolition and disposition, the abatement of asbestos containing materials and lead based paint will be performed so that the building can be razed. This asset will remain in service as a student residence hall until such time that other required authorizations are obtained for the demolition and until the plans for the site development after demolition are complete.

Estimated value: **\$19,300,000**

Where deed is filed, if known: **Jackson County, NC**

If deed is in the name of agency other than applicant, state the name: **Not applicable**

Rental income, if applicable, and suggested terms: **Not applicable**

Funds from the disposal of this property are recommended for the following use: **Not applicable**

(Complete if Agency has a Governing Board.)

Action recommending the above request was taken by the Governing Board of Western Carolina University and is recorded in the minutes thereof on September 7, 2018.

Signature:



Michael T. Byers

Title:

Vice Chancellor for Administration & Finance

Approved by the UNC Board of Governors on November 15, 2019

**STATE OF NORTH CAROLINA
DEPARTMENT OF ADMINISTRATION
DISPOSITION OF REAL PROPERTY**

Institution or Agency: Western Carolina UniversityDate: October 11, 2019

The Department of Administration is requested, as provided by GS §146-28 et seq., to dispose of the real property herein described by *purchase, lease, rental, or other (specify)*. Demolition

This disposition is recommended for the following reasons:

Due to physical condition and age; Site is planned for future development.Description of Property: *(Attach additional pages if needed.)*

Western Carolina University seeks authority to demolish and dispose of Walker Hall (SPO Complex #1-50-5; Asset #46) located on its campus. This nine-story building, originally constructed in 1972, is a poured in place, reinforced concrete frame with brick masonry structure, single ply thermoplastic polyolefin (TPO) roof, residence hall/dormitory institutional structure of 70,658 gross square feet.

Demolition is required to accommodate site development of the previously authorized Lower Campus Residence Hall, scheduled for a construction start of Summer 2020. Following approval for demolition and disposition, the abatement of asbestos containing materials and lead based paint will be performed so that the building can be razed. This asset will remain in service as a student residence hall until such time that other required authorizations are obtained for the demolition and until the plans for the site development after demolition are complete.

Estimated value: **\$11,600,000**Where deed is filed, if known: **Jackson County, NC**If deed is in the name of agency other than applicant, state the name: **Not applicable**Rental income, if applicable, and suggested terms: **Not applicable**Funds from the disposal of this property are recommended for the following use: **Not applicable***(Complete if Agency has a Governing Board.)*

Action recommending the above request was taken by the Governing Board of Western Carolina University and is recorded in the minutes thereof on September 7, 2018.

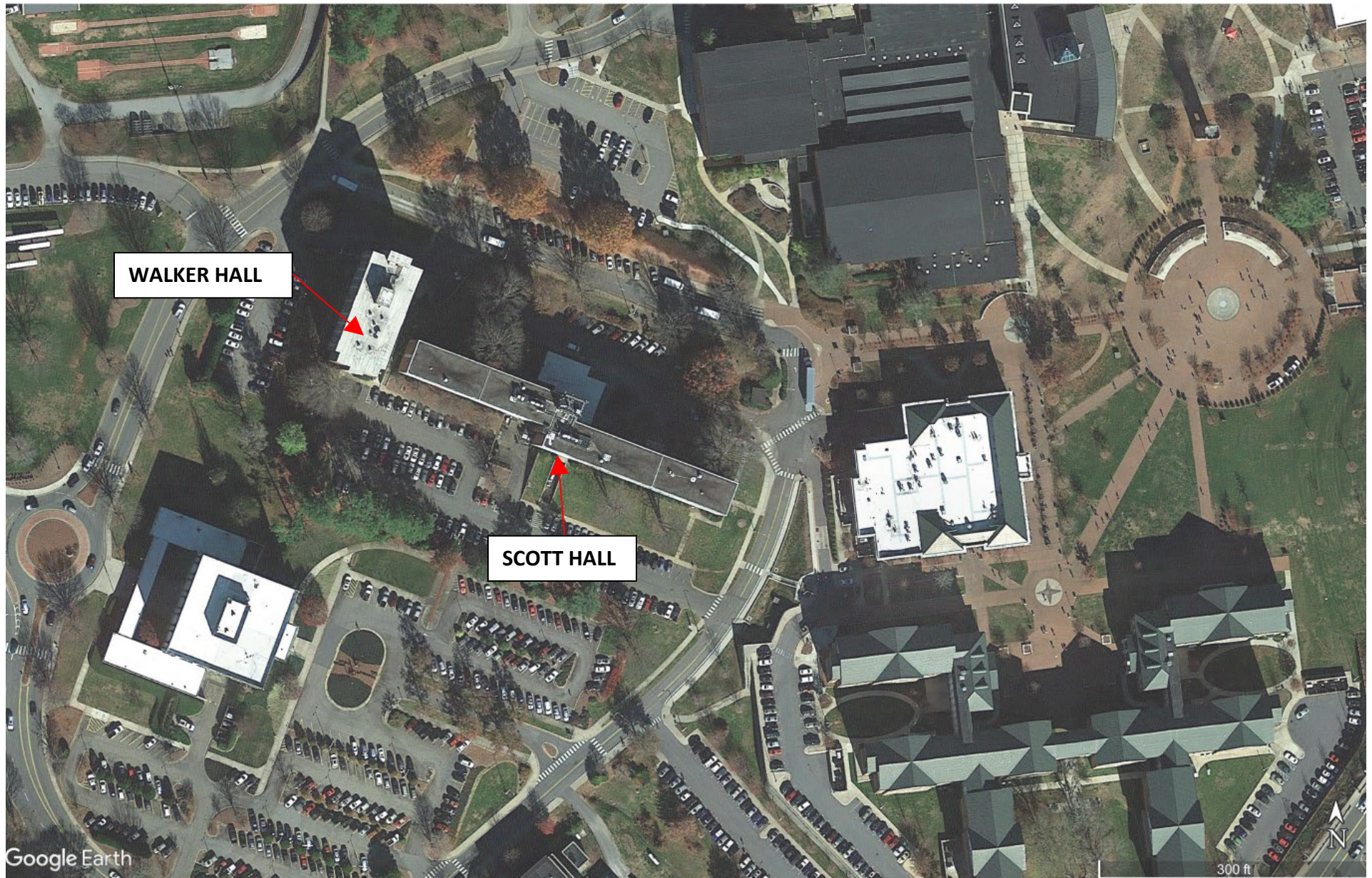
Signature:



Michael T. Byers

Title:

Vice Chancellor for Administration & Finance



**SCOTT HALL AND WALKER HALL
WESTERN CAROLINA UNIVERSITY**

Approved by the UNC Board of Governors on November 15, 2019

Capital Improvement Projects – Appalachian, NC State, UNC-Chapel Hill, UNC Charlotte, and Western Carolina University

ISSUE OVERVIEW

UNC System institutions are required to request authority from the Board of Governors to proceed with non-appropriated projects using available funds (non-general funds). Non-appropriated capital projects are funded by the institution and include the construction, repair, or renovation of facilities such as residence halls, dining facilities, research buildings, athletic facilities, and student health buildings.

There are 5 UNC System institutions that have requested a total of 17 capital improvement projects: 2 for advance planning, 11 new projects for authority, and 4 projects for increased authorization.

I. ADVANCE PLANNING

Institution/Project Title		Total Project Cost (\$)	Previous Authorization (\$)	Requested Authorization (\$)	Funding Source
University of North Carolina at Chapel Hill					
1.	Avery Residence Hall Renovations	\$13,000,000	\$ –	\$1,300,000	Housing Receipts
<i>UNC-Chapel Hill Subtotal</i>		<i>\$13,000,000</i>	<i>\$0</i>	<i>\$1,300,000</i>	
Western Carolina University					
2.	Moore Building	\$23,250,000	\$ –	\$175,000	Carry-forward
<i>WCU Subtotal</i>		<i>\$23,250,000</i>	<i>\$ –</i>	<i>\$175,000</i>	

II. NEW PROJECTS

Institution/Project Title		Total Project Cost (\$)	Previous Authorization (\$)	Requested Authorization (\$)	Funding Source
Appalachian State University					
3.	Career Development Center Relocation	\$1,953,553	\$ –	\$1,953,553	Debt Service Fee
4.	Kidd Brewer Stadium Turf Replacement	\$2,538,880	\$ –	\$2,538,880	Debt Service Fee
<i>Appalachian Subtotal</i>		<i>\$4,492,433</i>	<i>\$ –</i>	<i>\$4,492,433</i>	
North Carolina State University					
5.	Elevator Addition - Tucker & Owen Residence Halls	\$2,400,000	\$140,000	\$2,260,000	Housing Receipts
<i>NC State Subtotal</i>		<i>\$2,400,000</i>	<i>\$140,000</i>	<i>\$2,260,000</i>	

APPENDIX E

II. NEW PROJECTS cont'd

Institution/Project Title		Total Project Cost (\$)	Previous Authorization (\$)	Requested Authorization (\$)	Funding Source
University of North Carolina at Charlotte					
6.	Lot 5A	\$1,000,000	\$ –	\$1,000,000	Parking Receipts
7.	McEniry HVAC Upgrades	\$7,700,000	\$ –	\$7,700,000	Carry-forward (13%)/F&A (37%)/R&R (50%)
8.	New Charlotte Research Institute Entrance Road	\$1,500,000	\$ –	\$1,500,000	Campus Infrastructure Debt Fee
9.	Fretwell Café Renovation	\$900,000	\$ –	\$900,000	Dining Receipts
10.	Popp Martin Student Union Building	\$11,498,950	\$ –	\$11,498,950	Dining Receipts
11.	Science Café	\$1,461,631	\$ –	\$1,461,631	Dining Receipts
<i>UNCC Subtotal</i>		<i>\$24,060,581</i>	<i>\$ –</i>	<i>\$24,060,581</i>	
Western Carolina University					
12.	Demolition of Scott and Walker Residence Halls	\$6,100,000	\$ –	\$6,100,000	Carry-forward (20%)/Housing Receipts (80%)
13.	Whitmire Stadium – Turf Replacement	\$1,096,400	\$ –	\$1,096,400	Donations & Gifts (75%)/Athletic Receipts (25%)
<i>WCU Subtotal</i>		<i>\$7,196,400</i>	<i>\$ –</i>	<i>\$7,196,400</i>	

III. INCREASED AUTHORIZATION

Institution/Project Title		Total Project Cost (\$)	Previous Authorization (\$)	Requested Authorization (\$)	Funding Source
Appalachian State University					
14.	End Zone Facility	\$50,000,000	\$45,000,000	\$5,000,000	Athletic Reserves (60%)/Dining Receipts(40%)
<i>Appalachian Subtotal</i>		<i>\$50,000,000</i>	<i>\$45,000,000</i>	<i>\$5,000,000</i>	
North Carolina State University					
15.	Bureau of Mines Renovations	\$6,500,000	\$6,000,000	\$500,000	F&A
<i>NC State Subtotal</i>		<i>\$6,500,000</i>	<i>\$6,000,000</i>	<i>\$500,000</i>	
University of North Carolina at Chapel Hill					
16.	Morehead Chemistry Teaching Labs	\$1,600,000	\$1,000,000	\$600,000	Education & Technology Fee
<i>UNC-Chapel Hill Subtotal</i>		<i>\$1,600,000</i>	<i>\$1,000,000</i>	<i>\$600,000</i>	

APPENDIX E

III. INCREASED AUTHORIZATION cont'd

Institution/Project Title		Total Project Cost (\$)	Previous Authorization (\$)	Requested Authorization (\$)	Funding Source
Western Carolina University					
17.	Hinds UC 1st Floor Renovations	\$983,000	\$773,000	\$210,000	Trust Funds
<i>WCU Subtotal</i>		<i>\$983,000</i>	<i>\$773,000</i>	<i>\$210,000</i>	
Grand Total		\$133,482,414	\$52,913,000	\$45,794,414	

RECOMMENDATION

All projects and associated funding sources are in compliance with G.S. 143C-8-12 (State Budget Act).

It is recommended that these projects be authorized and reported to the NC Office of State Budget and Management as non-appropriated projects that do not require any additional debt or burden on state appropriations.

Sale of Special Obligation Bonds – University of North Carolina at Charlotte

ISSUE OVERVIEW

The Board of Governors is authorized to issue special obligation bonds for capital improvement projects that have been approved by the General Assembly. Although a specific source of funding is used by a campus when retiring these bonds, special obligation bonds are generally payable from all campus revenues excluding tuition, state appropriations, and restricted reserves.

The Board is authorized to issue special obligation bonds for capital improvement projects that have been approved by the General Assembly. The General Assembly authorized the residence hall project under S.L. 2018-35, (H.B. 1054). The projects financed by bonds to be refinanced were previously approved by the Board and the General Assembly and were also approved for financing. With respect to those projects, this request is to refinance for savings those previously-issued bonds.

The University of North Carolina at Charlotte requests that the Board of Governors issue special obligation bonds in an aggregate principal amount not to exceed (1) \$34,000,000 to finance the demolition of Moore and Sanford Residence Halls and constructing and equipping of a replacement residence hall, (2) \$46,350,000 to refinance certain maturities of the University of North Carolina at Charlotte Taxable General Revenue Refunding Bonds (Build America Bonds), Series 2009B (the “2009 BABs”), (3) \$2,000,000 to refinance portions of certain maturities of The University of North Carolina System Pool Revenue Bonds, Series 2005A (the “2005A Pool Bonds”), (4) \$1,000,000 to refinance portions of certain maturities of The University of North Carolina System Pool Revenue Bonds, Series 2009B (the “2009B Pool Bonds”), (5) \$24,000,000 to refinance certain maturities of the University of North Carolina at Charlotte Taxable General Revenue Bonds, Series 2012B (the “2012B Bonds”), and (6) \$55,000,000 to refinance certain maturities of the University of North Carolina at Charlotte General Revenue Bonds, Series 2014 (the “2014 Bonds”).

Due to the favorable interest rate environment, up to \$128,350,000 of outstanding special obligation bonds issued on behalf of UNC Charlotte may be refinanced for debt service savings. UNC Charlotte estimates, based on indicative interest rates as of October 16, 2019, that it can achieve approximately (1) \$6,990,000 in net present value savings by refunding the 2009 BABs, representing approximately 15% of the aggregate par amount refunded, (2) \$84,000 in net present value savings by refunding the 2005A Pool Bonds, representing approximately 4.6% of the par amount refunded, (3) \$18,350 in net present value savings by refunding the 2009B Pool Bonds, representing approximately 2.0% of the par amount refunded, (4) \$1,440,000 in net present value savings by refunding the 2012B Bonds, representing approximately 6.6% of the par amount refunded, and (5) \$2,340,000 in net present value savings by refunding the 2014 Bonds, representing approximately 4.90% of the par amount refunded. UNC Charlotte is seeking authority to refund the referenced bonds and to finance the residence hall to streamline costs of issuance and provide maximum flexibility to take advantage of prevailing market conditions.

The University of North Carolina at Charlotte currently has an issuer credit rating of “Aa3/A+/NR” with “stable” outlooks. Robinson, Bradshaw & Hinson is bond counsel and disclosure counsel and Hilltop Securities is the financial advisor.

It is recommended that the president of the University, or his designee, be authorized to sell the special obligation bonds through the attached resolution.

RESOLUTION OF THE BOARD OF GOVERNORS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM AUTHORIZING THE ISSUANCE OF SPECIAL OBLIGATION BONDS TO FINANCE AND REFINANCE SPECIAL OBLIGATION BOND PROJECTS FOR THE UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

WHEREAS, by Chapter 116 of the General Statutes of North Carolina, the Board of Governors (the “Board”) of The University of North Carolina System (the “UNC System”) is vested with general control and supervision of Appalachian State University, East Carolina University, Elizabeth City State University, Fayetteville State University, North Carolina Agricultural and Technical State University, North Carolina Central University, North Carolina State University, University of North Carolina at Asheville, University of North Carolina at Chapel Hill, University of North Carolina at Charlotte (“UNC Charlotte”), The University of North Carolina at Greensboro, The University of North Carolina at Pembroke, University of North Carolina Wilmington, University of North Carolina School of the Arts, Western Carolina University, and Winston-Salem State University and other institutions; and

WHEREAS, the Board has determined to issue not to exceed \$34,000,000 (plus any amount necessary for refunding as described below) aggregate principal amount of the University of North Carolina at Charlotte General Revenue Bonds, Series 2020 (with appropriate descriptions and series designations) in one or more series (the “2020 Bonds”) for the purpose of (1) financing (i) the demolition of Moore and Sanford Residence Halls and the construction and equipping of a replacement residence hall (the “Special Obligation Bond Project”), (2) refunding all or a portion of prior revenue bonds or special obligation bonds issued for the benefit of UNC Charlotte that result in sufficient savings to UNC Charlotte as set forth below, (3) if applicable, paying the premium on one or more municipal bond insurance policies to be issued simultaneously with the issuance of some or all of the 2020 Bonds, (4) if applicable, paying interest on a portion of the 2020 Bonds during construction of portions of the Special Obligation Bond Project, and (5) paying the costs incurred in connection with the issuance of the 2020 Bonds; and

WHEREAS, the Board has determined to issue the 2020 Bonds under the General Trust Indenture dated as of July 1, 2006 (the “General Indenture”) between the Board and U.S. Bank National Association, as trustee (the “Trustee”) and Series Indenture, Number 12 dated as of January 1, 2020 (the “Twelfth Series Indenture” and together with the General Indenture, the “Indentures”) between the Board and the Trustee; and

WHEREAS, the 2020 Bonds and other obligations issued under the General Indenture are payable solely from any legally available funds of UNC Charlotte, or of the Board held for UNC Charlotte, in each Fiscal Year remaining after satisfying obligations of UNC Charlotte or the Board under a trust indenture, trust agreement or bond resolution providing for the issuance of debt of the Board with respect to UNC Charlotte existing prior to January 10, 2002, but excluding (1) appropriations by the General Assembly of the State of North Carolina from the State General Fund, (2) tuition payments by UNC Charlotte students, (3) funds whose purpose has been restricted by the gift, grant or payee thereof, and (4) revenues generated by Special Facilities, as defined in the General Indenture (the “Available Funds”);

WHEREAS, it is anticipated that in January 2020, BofA Securities, Inc., J.P. Morgan Securities LLC and Fifth Third Securities, Inc. (the “Underwriters”) will agree to purchase all of the 2020 Bonds pursuant to the terms of a bond purchase agreement (the “Purchase Agreement”) between the Board and the Underwriters; and

WHEREAS, there have been made available to the Board forms of the following documents (the “*Board Documents*”), which the Board proposes to approve, execute and deliver, as applicable, to effectuate the financing:

1. the Twelfth Series Indenture;
2. the Purchase Agreement;
3. the Preliminary Official Statement (the “*Preliminary Official Statement*”) relating to the 2020 Bonds, which after the inclusion of certain pricing and other information will become the final Official Statement (the “*Official Statement*”) relating to the 2020 Bonds; and
4. the 2020 Bonds as set forth in the Twelfth Series Indenture; and

WHEREAS, the 2020 Bonds will be payable from Available Funds designated by the Board in the General Indenture as obligated resources; and

WHEREAS, the issuance of the 2020 Bonds does not directly or indirectly or contingently obligate the State or any agency or political subdivision of the State to levy or to pledge any taxes to pay the cost, in whole or in part, of the Special Obligation Bond Project in compliance with Section 116D-23 of the Act;

NOW, THEREFORE, BE IT RESOLVED by the Board of Governors of The University of North Carolina System as follows:

Section 1. **Authorization of 2020 Bonds.** That the Board hereby authorizes the issuance of the 2020 Bonds in an aggregate principal amount not to exceed \$34,000,000 (plus any amount necessary for refunding as described below) for the purposes recited above. The 2020 Bonds may be issued in one or more series of bonds, including any combination of tax-exempt bonds and taxable bonds as the Senior Vice President for Finance & Administration and Chief Financial Officer the UNC System (the “SVP-Finance”), or his designee, in consultation with the appropriate officers at UNC Charlotte, determine to be in the best interest of UNC Charlotte to achieve debt service savings.

Section 2. **Sufficiency of Available Funds.** That the Board hereby finds that sufficient Available Funds are reasonably expected to be available to pay the principal of and interest on the 2020 Bonds.

Section 3. **Authorization of Refundings.** That the Board authorizes each of the President (or Interim President) and the SVP-Finance and Chief Financial Officer of the UNC System to include with the purpose for which the 2020 Bonds are issued the refunding of all or a portion of prior revenue bonds or special obligation bonds issued for the benefit of UNC Charlotte which produce sufficient savings to UNC Charlotte as determined by the SVP-Finance and Chief Financial Officer of the UNC System or his designee, in consultation with the appropriate officers at UNC Charlotte. The principal amount of such refunding bonds shall not exceed \$128,350,000. To the extent any such refinancing or refunding requires one or more escrow agreements to hold and invest proceeds of the 2020 Bonds, each of the President (or Interim President) and the SVP-Finance and Chief Financial Officer of the UNC System hereby are authorized, empowered and directed to execute and deliver such escrow agreements for and on behalf of the Board.

Section 4. ***Authorization of Board Documents.*** That the form and content of the Board Documents be and the same hereby are in all respects authorized, approved and confirmed, and the Chair of the Board, the President (or Interim President) and the SVP-Finance and Chief Financial Officer of the UNC System, the Secretary and the Assistant Secretary of the Board and the Secretary of the UNC System individually and collectively (the “Authorized Officers”) be and they hereby are authorized, empowered and directed to execute and deliver the Board Documents for and on behalf of the Board, including necessary counterparts, in substantially the form and content presented to the Board, but with such changes, modifications, additions or deletions therein as shall to them seem necessary, desirable or appropriate, their execution thereof to constitute conclusive evidence of the Board’s approval of any and all such changes, modifications, additions or deletions therein, and that from and after the execution and delivery of the Board Documents the Authorized Officers are each hereby authorized, empowered and directed to do all such acts and things and to execute all such documents as may be necessary to carry out and comply with the provisions of the Board Documents as executed.

Section 5. ***Authorization of Preliminary Official Statement and Official Statement.*** That the form, terms and content of the Preliminary Official Statement be and the same hereby are in all respects authorized, approved and confirmed, and the use of the Preliminary Official Statement by the Underwriters in connection with the sale of the 2020 Bonds is hereby in all respects authorized, approved, ratified and confirmed. The Chair of the Board, the President (or Interim President) and the SVP-Finance and Chief Financial Officer of the UNC System, individually or collectively, be and they hereby are each authorized, empowered and directed to deliver the Official Statement for and on behalf of the Board in substantially the form and content of the Preliminary Official Statement presented to the Board, but with such changes, modifications, additions or deletions therein as shall to them seem necessary, desirable or appropriate, their execution of the Purchase Agreement to constitute conclusive evidence of the Board’s approval of any and all such changes, modifications, additions or deletions therein, and the use of the Official Statement by the Underwriters in connection with the sale of the 2020 Bonds is hereby authorized, approved and confirmed.

Section 6. ***General Authority.*** From and after the execution and delivery of the documents hereinabove authorized, the Authorized Officers are each hereby authorized, empowered and directed to do all such acts and things and to execute all such documents as may be necessary to carry out and comply with the provisions of said documents as executed, and are further authorized to take any and all further actions to execute and deliver any and all other documents as may be necessary to the issuance and on-going administration of the 2020 Bonds. Any provision in this Resolution that authorizes more than one Authorized Officer to take certain actions shall be read to permit such Authorized Officers to take the authorized actions either individually or collectively. The Chancellor and the Vice Chancellor for Business Affairs at UNC Charlotte, or their respective designees, individually or collectively, are hereby authorized to execute and deliver all documents as may be necessary to the issuance and on-going administration of the 2020 Bonds on behalf of UNC Charlotte.

Section 7. ***Conflicting Provisions.*** All resolutions or parts thereof of the Board in conflict with the provisions herein contained are, to the extent of such conflict, hereby superseded and repealed.

Section 8. ***Effective Date.*** This Resolution is effective immediately on the date of its adoption.

The foregoing Resolution was duly adopted by the Board at a regular meeting of the Board held on November 15, 2019 and that the same was passed and adopted.

Medical Students Entering Primary Care: Are NC Medical School Graduates Staying in NC to Practice?

October 15, 2019

**Julie Spero, MSPH
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Submitted by the University of
North Carolina Board Of Governors in response to General Statute 143-613 as
amended by Chapter 507 of the 1995 Session Laws (House Bill 230) of the
North Carolina General Assembly

Medical Students Entering Primary Care: Are NC Medical School Graduates Staying in NC to Practice?

EXECUTIVE SUMMARY

In 1993, the General Assembly mandated an annual report on the progress of medical school graduates going into primary care. North Carolina AHEC and the Sheps Center produce this report each year using state licensure databases as well as national databases.

North Carolina is a national model for tracking annual workforce outcomes of its medical school graduates. Increasingly, the North Carolina General Assembly has been interested in knowing the workforce outcomes of medical schools and residency programs to better evaluate return on investment of state funds.

The data show:

- Of the 449 NC medical school graduates from the class of 2013, 61 (14%) were in practice in primary care in NC in 2018, 6 (1%) of whom practice in a rural NC county.
- Five-year outcome data have been consistent for the cohorts from 2008-2013, with ECU retaining the most graduates in practice in NC, followed by UNC, Wake Forest, and Duke.
- For the class of 2013, a greater percentage of public medical school graduates were practicing in primary care in-state five years after graduating (ECU: 35%, n=24; UNC: 17%, n=25), compared to private medical school graduates (Wake Forest: 6%, n=8; Duke: 4%, n=4).
- For the graduating cohorts of 2008-2013, in-state primary care retention was highest for family medicine physicians, with 61% (n=154/252) of family medicine graduates practicing in state five years later. Family medicine physicians are less likely than other physicians to subspecialize.
- In response to questions from UNC Board of Governors Education Subcommittee members, we examined the extent to which physicians with a primary practice location in an urban county practice in a secondary location in a rural county. For the 2013 cohort, the impact of these situations was minimal overall, as it only applied to three physicians: two emergency medicine physicians who practiced roughly one day per week in a rural county, and one family medicine physician who practiced roughly one day per month in a rural county.

With a new school of medicine (Campbell) now graduating students annually, increased attention to GME expansion in rural areas, and the implementation of the Medicaid 1115 waiver, it will be important to continue collecting and tracking data on NC medical education outcomes so that the state can monitor trends and identify best practices. The Sheps Center and the NC AHEC Program are collaborating to revise the methodology of this annual study to make the results more useful for workforce planning.

Introduction

In 1993, the North Carolina General Assembly expressed interest in expanding the pool of generalist physicians for the state. In N.C.S.L.1993-321, the General Assembly required each of the state's four medical schools to develop a plan to expand the percent of medical school graduates choosing residency positions in primary care. Primary care was defined as family practice, general internal medicine, general pediatric medicine, internal medicine-pediatrics and obstetrics-gynecology. It set the goal for the East Carolina University (ECU) and UNC Schools of Medicine at 60% of graduates entering primary care. For the Wake Forest University and Duke University Schools of Medicine, it set the goal at 50%. Campbell University School of Osteopathic Medicine graduated its first class in 2017 and was therefore not included. Since 1994, the Cecil G. Sheps Center for Health Services Research at the University of North Carolina at Chapel Hill ("Sheps Center") and the NC Area Health Education Centers program (AHEC) have collaborated to produce this report.

ECU has met the NCGA's goal five times since the inception of the report, most recently for the class of 2005 (when 59% of that year's graduates reported practicing in primary care specialties in 2010). Since then, no medical school has reached the legislated benchmark. Given the national trend of increasing physician specialization, it is unrealistic to expect that the schools will meet the goals set in 1993. Furthermore, the legislation required medical school graduates to enter primary care but made no mention of practice in North Carolina or in underserved areas.

The legislation had important consequences in that it ensured workforce outcomes for NC medical schools were tracked each year. North Carolina became a national model in this regard. John Iglehart, National Correspondent for the New England Journal of Medicine, featured data from NC's annual medical student tracking report as an example of how to track these outcomes in his 2018 article on "The challenging quest to improve rural health care."¹

In recent years, the NC General Assembly has expressed increased interest in the outcomes of NC medical schools and graduate medical education (GME) programs, also known as residencies. The state invests public dollars in both education settings and increasingly seeks information on the return on investment (ROI) of those funds. Data from prior cohorts of the medical student tracking report were highlighted in a report to the Joint Legislative Oversight Committee on Health and Human Services and the Joint Legislative Education Oversight Committee.² That report, and a report on the workforce outcomes of GME in NC,³ were mandated by N.C.S.L. 2017-57, the Appropriations Act of 2017.

¹ Iglehart J. The challenging quest to improve rural health care. NEJM, 2018. 378(5):473-479.

<https://www.nejm.org/doi/full/10.1056/NEJMp1707176>

² Spero JC, Fraher EP. Workforce Outcomes of North Carolina Medical School Graduates: A Report to the Joint Legislative Oversight Committee on Health and Human Services and the Joint Legislative Education Oversight Committee. Program on Health Workforce Research and Policy, Cecil G. Sheps Center for Health Services Research, University of North Carolina at Chapel Hill. January 2018. <http://www.shepscenter.unc.edu/product/evaluating-workforce-outcomes-north-carolinas-medical-education-programs/>

³ Fraher EP, Spero JC, Galloway E, Terry J. The Workforce Outcomes of Physicians Completing Residency Programs in North Carolina. Program on Health Workforce Research and Policy, Cecil G. Sheps Center for Health Services Research, University of North Carolina at Chapel Hill. January 2018. <http://www.shepscenter.unc.edu/product/evaluating-workforce-outcomes-north-carolinas-medical-education-programs/>

Because residency placement is correlated with eventual practice location, interest in tracking NC residency outcomes has grown, especially given financial support to GME programs via Medicaid and AHEC. AHEC and its partner hospitals have begun to measure the outcomes of residency programs supported by AHEC. In the 2018 legislative session, a Medical Education and Residency Study bill (H1002/S773) was introduced. That bill did not pass but would have required further tracking of medical school and GME outcomes for the purposes of better informing the legislature on what the outcomes are so state funds can be most effectively targeted. The Sheps Center, in collaboration with AHEC, is a national leader in tracking the workforce outcomes for medical schools and GME programs at the program level. Thus, there are resources within the state that can accomplish this work if a similar bill is passed in future sessions.

The Data

Data included in this report come from several sources: A) the North Carolina Medical Board's annual licensure file, maintained by the NC Health Professions Data System, B) the graduate medical education tracking file of Association of American Medical Colleges (AAMC), C) the physician Masterfile of the American Medical Association (AMA), and D) data from the alumni and student affairs offices from Duke University School of Medicine, the Brody School of Medicine at East Carolina University, the University of North Carolina at Chapel Hill School of Medicine, and Wake Forest University School of Medicine, and E) the Federal Office of Management and Budget (for population and core based statistical area data). The format for the information on medical students is consistent with and comparable to the baseline information provided in the May 1994 report "Expanding the Pool of Generalist Physicians for North Carolina."

Campbell University School of Osteopathic Medicine (Campbell) is not mandated to provide data for this report, as the school did not exist when the 1993 legislation was passed. Campbell's first class graduated in 2017. In prior years this report has not emphasized initial residency match data, as some physicians change residency specialties or locations over the course of their GME training. Outcomes are better measured after graduation from residency. However, given that workforce outcomes five years following graduation will only be available for Campbell starting in 2022, we began reporting initial match data in the 2017 report.

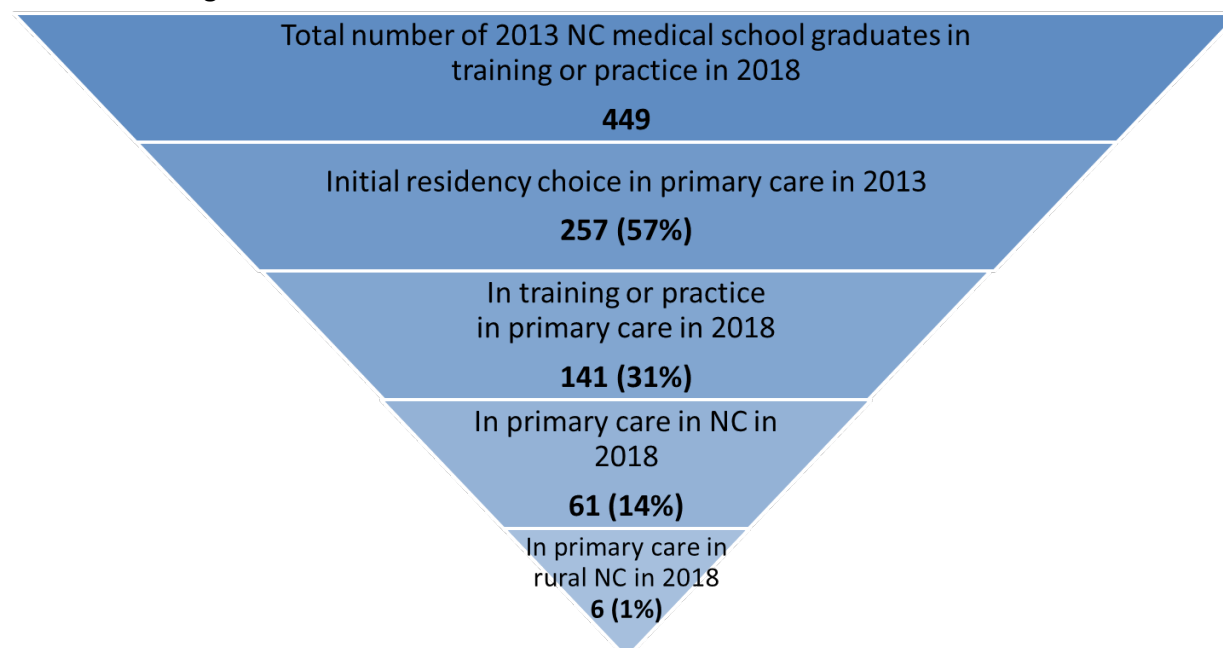
While we have historically examined NC medical school graduates at five years following graduation per legislative requirements, physicians in psychiatry, obstetrics & gynecology (ob/gyn), surgery, medicine/pediatrics are just completing residency or fellowship/specialty training at this point in their career trajectory and may not have settled in a permanent practice location. This is the case for general surgeons, whose standard training period is 5 years, and for ob/gyns, psychiatrists and medicine/pediatrics residents who often do a fellowship after a four-year residency. Ten years following graduation from medical school would be a more appropriate time-frame to allow for fellowship training following residency. The Sheps Center has tracked ten-year outcomes in the past. However, the ten-year analysis has not been routinely conducted due to a lack of resources and staff capacity.

Another issue over the past decade has been the dramatic increase of physicians choosing full time hospitalist practice, which decreases the proportion of primary care physicians in general internal medicine and, increasingly, other specialties. Hospitalists are included in primary care counts in the findings presented in this report because we do not have a way to systematically identify them in the dataset; this is likely a substantial issue for counts of internal medicine physicians.

Retention of Graduates in Primary Care: Class of 2013

The most valuable measure of the choice of primary care careers is retention of graduates in clinical primary care after residency. **Table 1 (page 13)** shows the graduates and the percentage that remained in primary care five years (in 2018) after graduation.

Figure 1: 2013 NC Medical School Graduates: Retention in Primary Care in NC's Rural Areas Five Years After Graduating

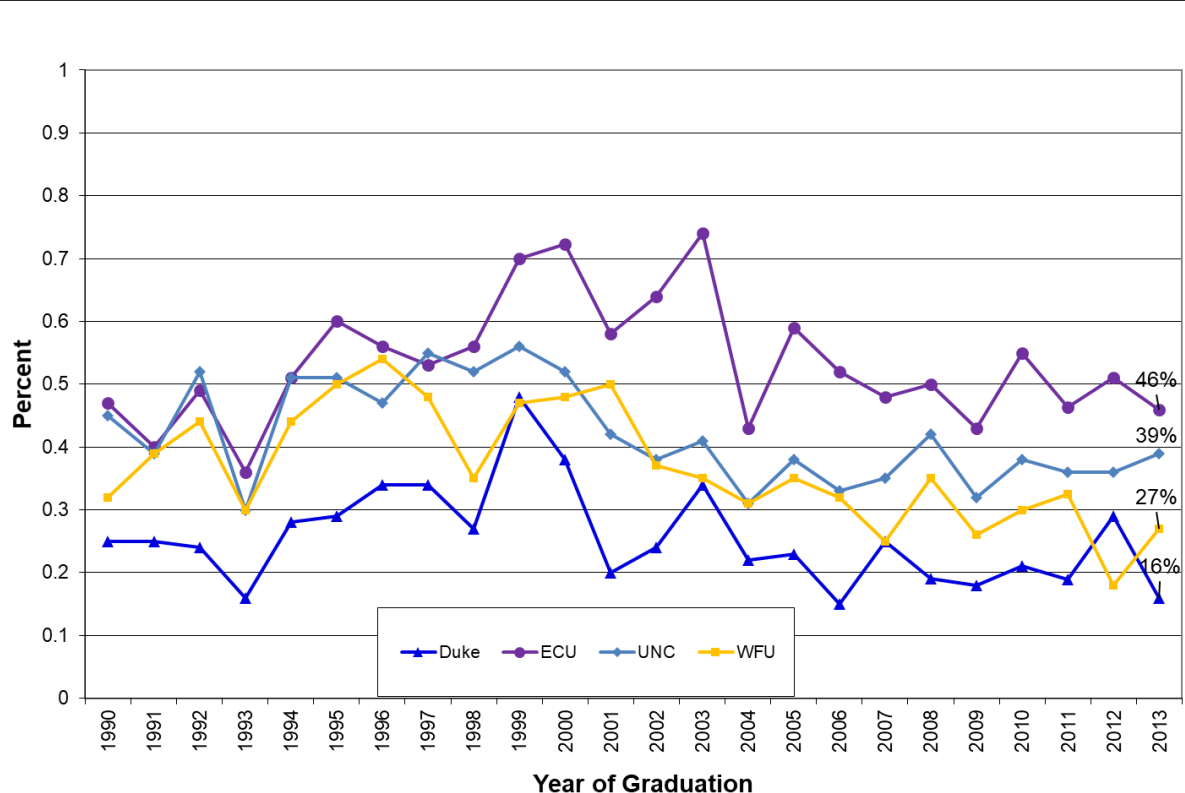


Produced by the Program on Health Workforce Research and Policy, Sheps Center for Health Services Research, University of North Carolina at Chapel Hill. Source: North Carolina Health Professions Data System with data derived from the Association of American Medical Colleges, and the NC Medical Board, 2018. Rural source: US Census Bureau and Office of Management and Budget, July 2017. "Core Based Statistical Area" (CBSA) is the OMB's collective term for Metropolitan and Micropolitan Statistical areas. Here, nonmetropolitan counties include micropolitan and counties outside of CBSAs.

Out of the 454 medical school graduates in 2013, 449 are still in training or practice as of 2018 (**Figure 1**). From this number, 141 (or 31%) remained in one of the five primary care specialties (per the 1993 legislation mandating this analysis, these specialties include family medicine, general internal medicine, general pediatrics, obstetrics & gynecology, and internal medicine-pediatrics). Sixty-one (14%) were in primary care in NC, with six (1%) in primary care in a rural NC county. Five graduated from ECU and one graduated from UNC.

Figure 2 shows the trend in the percentage of physicians who graduated from NC medical schools practicing in primary care five years after graduation from 1990 - 2013. This graph shows that graduates from each school tend to fall into a relatively stable range of percentages, with ECU tending to have the highest percentage of graduates practicing in primary care five years after graduation, followed by UNC, Wake Forest, and Duke.

Figure 2: Percentage of North Carolina Medical Graduates (Classes 1990-2013) Practicing in Primary Care Five Years After Graduating



Sources: NC Health Professions Data System and NC AHEC with data derived from Duke, UNC-CH, ECU, Wake Forest, NC Medical Board, and AAMC.

Note: Primary Care = Family Medicine, General Pediatric Medicine, General Internal Medicine, Internal Medicine/Pediatrics, and Obstetrics/Gynecology.

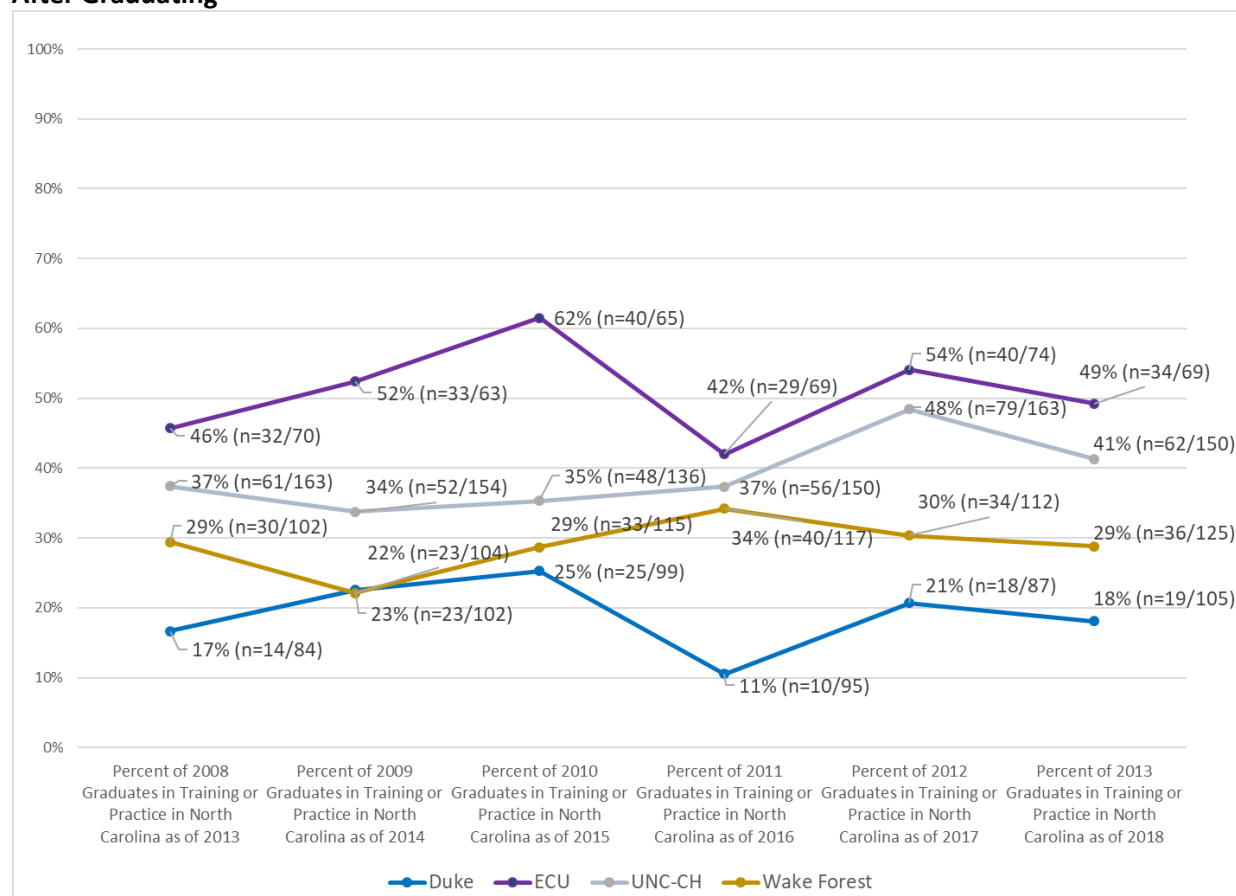
The NC Medical Board changed the way the collect specialties, and these specialty data are used for physicians practicing within the state. This may partially explain the drop in primary care.

Note: Primary Care = Family Medicine, General Pediatric Medicine, General Internal Medicine, Internal Medicine/Pediatrics, and Obstetrics/Gynecology. The NC Medical Board changed the way specialty data are collected in 2010, which may affect primary care counts. Sources: NC Health Professions Data System and NC AHEC with data derived from Duke, UNC-CH, ECU, Wake Forest, NC Medical Board, and AAMC.

Retention of Graduates in North Carolina

A greater percentage of graduates from the state's public medical schools are retained in NC five years after graduating, compared to the state's private medical schools (**Figure 3**). ECU has consistently retained the greatest percentage of its graduates from the 2008-2013 cohorts in state five years post-graduation, followed by UNC, Wake Forest, and Duke.

Figure 3: Percent of NC Medical School Graduates in Training or Practice in North Carolina Five Years After Graduating



Produced by the Program on Health Workforce Research and Policy, Sheps Center for Health Services Research, University of North Carolina at Chapel Hill. Source: North Carolina Health Professions Data System with data derived from the Association of American Medical Colleges, and the NC Medical Board, 2018.

Table 2 (page 15) describes medical school graduates remaining in North Carolina. The number of 2013 graduates from all four medical schools remaining in NC five years later is 151 or 34%, at the average for the past five years, as the prior five cohorts ranged from 31% to 39%. ECU's Brody School of Medicine graduates continue to show the highest rate of retention in North Carolina at 49% (n=34), and in primary care in the state (35%, n=24).

Retention in Rural Areas

Table 3 (page 17) shows the retention of 2013 graduates in rural counties nationally, in NC, and in primary care as of 2018. Out of 61 graduates practicing in primary care in NC in 2018, 6 (1%) practiced in rural counties. The percent practicing in primary care in rural has fluctuated between 1% and 3% over the past five years. NC has 54 rural (or non-metropolitan) counties based on the 2017 Office of Management and Budget Core Based Statistical Area definition.

In response to questions raised by education subcommittee members at the UNC Board of Governor's meeting on November 8, 2018, we examined hours worked by week for physicians who reported a secondary practice location in a rural county and primary location in a metropolitan county. We have not previously examined this question in the past. For the 2013 cohort, this scenario only applied to

three physicians (see **Table A**, below). In two cases, the physicians were in emergency medicine specialties and spent roughly one day per week at the rural practice site. The third instance was a family medicine physician who spent roughly one day per month in a rural county location.

Only one physician in the 2013 cohort, an ECU graduate who practiced family medicine, reported a primary practice location in a rural county and a secondary practice location in an urban county. The physician reported an average of two hours per week (roughly one day per month) in the urban practice setting.

Table A: Hours Worked Per Week in a Secondary Practice Location in a Rural NC County for Physicians Who Graduated from an NC Medical School in 2013 and Reported a Primary Practice Location in a Metropolitan NC County in 2018

Medical School	Primary Area of Practice	Secondary Location Hours Per Week
UNC		
	Family Medicine	2
UNC		
	Pediatric Emergency Medicine	8
Wake Forest	Emergency Medicine	8

Retention in Psychiatry

Table 4 (page 19) shows the retention of the 2013 graduates in psychiatry. There were eight graduates who graduated from NC medical schools in 2013 in practice in psychiatry in North Carolina in 2018, six from UNC, one from ECU, and one from Wake Forest. One graduate from UNC practiced in a rural county.

Differences in Retention by Practice Specialty

To determine overall retention by practice specialty, we consolidated data for all NC medical schools in **Table 5 (page 20)**. For the 2013 cohort, 60% (n=26) of physicians who initially matched to family medicine (n=43) remained in clinical family medicine in NC five years post-graduation, with 5% (n=3) practicing in rural NC counties. Comparatively, 5-year retention of general internal medicine physicians was lowest of all five primary care specialties, with 7% (n=8) of 2013 NC med school grads who initially matched to categorical Internal Medicine programs (n=119) remaining in generalist practice in NC, and zero retained in rural counties. It is important to understand that initial internal medicine match numbers are imprecise, both inflated since they include physicians who do a preliminary year before moving on to a different residency specialty and deflated because they include a sizable percentage of hospitalists. Some graduates who completed an internal medicine residency and later specialized remained in NC but are not included in this count of general internal medicine physicians.

Specialty analyses

Looking across NC medical schools by initial match specialty over time, some specialties result in a greater percent of graduates practicing in NC five years later than others do (see **Table B**, below). Family medicine leads in this category, with 61% (n=154/252) of family medicine graduates practicing in state five years later for the graduating classes of 2008-2013. In some cases, the lack of retention is

because physicians tend to subspecialize, which is one explanation for why the overall retention for general internal medicine physicians in NC was lower than other specialties, (10%, n=64/661).

Table B: NC Medical School Graduates in Primary Care or Psychiatry in North Carolina Five Years After Graduating by Initial Residency Specialty, Graduating Classes of 2008-2013

Initial Residency Specialty	Number Initially Matched to Specialty	Number in Practice in Specialty Five Years After Graduating	Percent in Practice in Specialty Five Years After Graduating
Family Medicine	252	154	61%
Internal Medicine	661	64	10%
Pediatrics	326	81	25%
IM/ Peds	74	32	43%
OBGYN	164	58	35%
Psychiatry	98	37	38%

Source: Program on Health Workforce Research and Policy at the Cecil G. Sheps Center for Health Services Research, with data derived from annual medical student tracking reports, 2009-2019.

Initial Match Data: 2019 Graduating Cohort

As mentioned earlier, we do not emphasize initial match data from the NC medical schools. As is clear in the data presented above, residents sometimes switch specialties or residency programs throughout the course of their training, and many subspecialize. However, Campbell has graduated three classes of medical students and initial match counts are the only data available thus far on Campbell's workforce outcomes. We offer a note of caution when interpreting these data and a reminder that the five-year outcome data are more accurate in estimating the workforce outcomes for each medical school.

Matches to "primary care" specialties (Family Medicine, Internal Medicine, Pediatrics, Internal Medicine-Pediatrics, and Obstetrics & Gynecology) are inflated compared to the number of graduates eventually expected to practice in those fields. We also track two other needed specialties in NC: psychiatry and general surgery. Prior trends indicate that many NC graduates, including most of those who match to Internal Medicine and General Surgery, will go on to complete fellowship training and eventually practice in a sub-specialty field. Family Medicine is an exception to this trend.

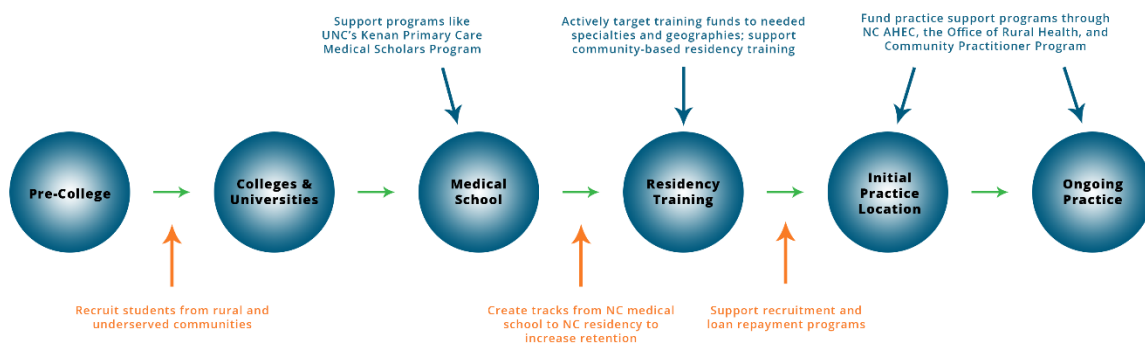
Table 6 (page 21) shows that in 2019, UNC had the highest percentage of graduates matched to an NC residency (40%, n=67/166), followed by Duke (27%, n=32/118), ECU (n=25%, n=18/73), Campbell (24%, n=38/157), and Wake Forest (19%, n=22/117). Similarly, the highest percent of matches to a primary care, psychiatry, or general surgery residency in NC were for UNC (27%, n=44/166), followed by ECU (22%, n=16/73), Duke (19%, n=23/118), Campbell (17%, n=27/157), and Wake Forest (8%, n=9/117).

Discussion

While most people interact with the health system at some point in their lives and have a general understanding of the work physicians do, the majority are unaware of the specifics related to physician

training—for example, the difference between a medical student and a resident. Legislators⁴ and other influential stakeholders, many of whom may be able to directly influence the health system, often come from career paths outside of healthcare. When concerns about the availability of physicians to meet the demand for healthcare arise, expanding medical education is a logical first impulse for those unfamiliar with physician training pathways. However, medical school is only one of multiple points along a physician's career trajectory where stakeholders can intervene to encourage practice in needed specialties and geographies. Recruiting students from rural and under-resourced areas into pre-college health careers programs, providing clinical training sites in those same communities, supporting them after graduation with loan repayment opportunities, professional development and the chance to practice in robust Interprofessional team-settings are just as crucial (**Figure 4**).

Figure 4: Intervention Points in a Physician's Career Trajectory



It is at this point that the long history of NC's medical student tracking project becomes valuable. The annual reports show consistently the low percentage of NC medical graduates that go into primary care practice in rural areas—typically between 1% and 3% annually. Knowing that this is the starting point, the state can then look to other strategies if it seeks to boost the physician supply in these areas. There is no question that all of NC's medical schools bring substantial benefits to the state in terms of nationally lauded healthcare, jobs, research dollars, etc. However, this project has shown that public medical school graduates, particularly graduates from ECU, are more likely to practice both in state and in primary care specialties than are private medical school graduates. This finding is not surprising, as ECU: A) only admits NC residents, and B) producing physicians to serve state needs is part of its mission.⁵ This project has also demonstrated that NC graduates who match to Family Medicine are more likely to be in practice in NC in their initial match specialty compared to those who match to other specialties.

The Role of AHEC Residencies in Primary Care

A key driver of retention of primary care physicians in North Carolina is the availability of community based primary care residencies in the state. Medical students must go through at least three years of

⁴ Spero JC, Fraher EP, Ricketts TC, Rockey PH. GME in the United States: A Review of State Initiatives. Cecil G. Sheps Center for Health Services Research, The University of North Carolina at Chapel Hill. September 2013.

⁵ UNC and Campbell also have a mission to serve the state.

training before being able to practice independently, and many physicians practice close to their residencies for the remainder of their careers.⁶⁷⁸

AHEC primary care residencies have a better track record of keeping physicians in the state. Data from the American Medical Association physician master file demonstrate that 53% of active physicians who completed an NC AHEC residency between 1997-2017 remained in practice in NC, compared to 41% who completed a non-AHEC residency.⁹ AHEC residencies, however, have grown only minimally over the last decade, and most new residency positions have been devoted to subspecialty physicians in large hospitals—often because these positions are self-funded by the hospitals themselves. In recent years, federal and philanthropic support has focused on building primary care capacity, with support for new residencies or expansions of residencies in community health center settings (Hendersonville, Greensboro, Prospect Hill and New Hanover). The legislature has supported new residencies at MAHEC and Cape Fear and has planned for residencies in the East associated with Brody School of Medicine. The Department of Health and Human Services has developed a plan for a substantial expansion of rural residencies in needed specialties and included an emphasis on creating the workforce for Medicaid in the 1115 Medicaid reform waiver.

Changes in the NC Health Care Landscape

Several contextual issues in North Carolina are important to underscore. First, hospitals and health care systems have increasingly consolidated over the last several years. Second, in terms of the pipeline of primary care providers, the Campbell School of Medicine and many new Nurse Practitioner and Physician Assistant programs have opened over the last decade. Many of these graduates are potentially available for primary care or other needed specialties. Third, the past few years have seen a lack of certainty about the Affordable Care Act, while at the same time NC is implementing changes to the Medicaid program with the 1115 waiver. The health policy environment within the state is shifting and it is unclear what the ultimate effect will be on the supply of physicians and other health professionals.

Data from this annual report points to the stabilization of practice patterns in primary care and in rural settings at a level that is much lower than the 50% targets set by the NC legislature. There are 14 counties in the state¹⁰ where the entire county is identified as persistent primary care health professional shortage areas, meaning they have met Federal criteria as a health professional shortage area in at least 6 of the last 7 designation periods. Furthermore, there are additional counties that meet these criteria but do not apply for the designation. Getting more primary care generalists for high needs communities will require new strategies to care for these populations.

The focus of this report is on the graduates of NC medical schools, but other types of healthcare professionals on the healthcare team provide primary care services. One of the questions raised by the

⁶ Dorner FH, Burr RM, Tucker SL. The geographic relationships between physicians' residency sites and the locations of their first practices. *Acad Med.* 1991;66(9):540-4

⁷ Seifer SD, Vranizan K, Grumbach K. Graduate medical education and physician practice location. *JAMA.* 1995;274(9):685-91.

⁸ Fagan EB, et. al. Family medicine graduate proximity to their site of training: policy options for improving the distribution of primary care access. *Fam Med.* 2015;47(2):124-30.

⁹ Spero J. Compared to Non-AHEC Residents, a Higher Percentage of NC AHEC Residents are Practicing in NC. Sheps Health Workforce NC Blog, 18 March 2019. Accessed 10/8/19 at: https://nchealthworkforce.unc.edu/ahec_resident_outcomes_2017/

¹⁰ Beaufort, Clay, Currituck, Dare, Gates, Graham, Hoke, Hyde, Montgomery, Northampton, Robeson, Stokes, Tyrrell, Washington.

education subcommittee members at the UNC Board of Governor's meeting on November 8, 2018, was whether NC should be concerned about increasing the supply of nurse practitioners (NPs) and physician assistants (PAs). Combined, the NP and PA workforces are roughly half the size of NC's physician workforce.¹¹ There is no concern about overall supply of these clinicians in NC, as both the NP and PA workforces are growing rapidly both in urban and rural counties. NC currently has 12 PA programs and nine NP programs, the expansion of which is primarily limited by the availability of preceptors.

Limitations and Future Directions

The limitations of this project are in large part due to its history. The legislative mandate focused on a timeframe five years after graduation from medical school, but a ten-year post-graduation timeframe would allow for better tracking. Some residencies, such as general surgery, are five years long, so the five-year post-graduation time point is not ideal for tracking surgeon practice locations. Furthermore, many physicians complete specialty fellowships after residency training, and therefore are still in training rather than at a permanent practice location at five-years post medical school graduation. In addition, this analysis has been focused on rural primary care practice and has not emphasized practice in other high needs settings, such as Federally Qualified Health Centers or Public Health Departments. The Sheps Center is currently working in collaboration with AHEC to redesign this annual study to include additional information about NC medical school graduates that primarily practice in safety net settings.

¹¹ Spero JC, Galloway EM. Running the numbers: The rapid expansion of nurse practitioners and physician assistants in North Carolina. NCMJ, 2019. 80(3):186-190.

TABLE 1
APPENDIX G
North Carolina Medical Students - Retention in Primary Care Five Years After Graduation
2013 Graduates

School <i>Primary Care* Residency Specialty</i>	Number of 2013 Graduates in Training or Practice as of 2018	Number of 2012 Graduates in Training or Practice with an Initial Residency Choice of Primary Care*	Percent of 2013 Graduates in Training or Practice with an Initial Residency Choice of Primary Care*	Number of 2013 Graduates in Training or Practice in Primary Care** as of 2018	Percent of 2013 Graduates in Training or Practice in Primary Care** as of 2018
Duke	105	64	61%	17	16%
Family Medicine		3	3%	3	3%
Internal Medicine		45	43%	7	7%
Pediatrics		10	10%	5	5%
IM/ Peds		1	1%	1	1%
OBGYN		5	5%	1	1%
ECU	69	41	59%	32	46%
Family Medicine		9	13%	9	13%
Internal Medicine		8	12%	4	6%
Pediatrics		15	22%	11	16%
IM/ Peds		3	4%	3	4%
OBGYN		6	9%	5	7%
UNC-CH	150	88	59%	58	39%
Family Medicine		19	13%	19	13%
Internal Medicine		32	21%	12	8%
Pediatrics		15	10%	10	7%
IM/ Peds		4	3%	4	3%
OBGYN		18	12%	13	9%
Wake Forest	125	64	51%	34	27%
Family Medicine		12	10%	14	11%
Internal Medicine		34	27%	11	9%
Pediatrics		15	12%	8	6%
IM/ Peds		1	1%	1	1%
OBGYN		2	2%	0	0%
Total	449	257	57%	141	31%
Family Medicine		43	10%	45	10%
Internal Medicine		119	27%	34	8%
Pediatrics		55	12%	34	8%
IM/ Peds		9	2%	9	2%
OBGYN		31	7%	19	4%

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*2013 Primary Care Residency Specialty includes Family Medicine, General Pediatric Medicine, General Internal Medicine, Internal Medicine/Pediatrics, and Obstetrics/Gynecology. Source: Association of American Medical Colleges (AAMC). Internal medicine in this case also includes "medicine - preliminary," which likely overestimates the initial primary care figures.

** As of 2017, primary care definitions are based on NC Medical Board licensure data (for NC physicians) and AAMC data (for non-NC physicians) and include Family Medicine (Family Medicine, Family Medicine-Adolescent Medicine, Family Medicine-Geriatric, Family Medicine-Sports Medicine, General Practice; Internal Medicine (Internal Medicine, Internal Medicine-Geriatric); Pediatrics (Pediatrics, Pediatrics-Adolescent, Pediatric-Sports Medicine); Internal Medicine-Pediatrics (Internal Medicine-Pediatrics, Internal Medicine-Adolescent Medicine); OBGYN (Obstetrics & Gynecology, Obstetrics, Gynecology).

Note: In all cases, 2018 counts include physicians who branched in from other specialties, even if those physicians are not included in counts of initial residency matches. In the class of 2013, one UNC graduate initially matched to anesthesiology and switched to an internal medicine residency, and three Wake Forest graduates initially matched to a general surgery residency and transferred to a family medicine residency.

Sources:				
	Association of American Medical Colleges		NC Medical Board	
Compiled by:				
NC AHEC Program				
Cecil G. Sheps Center for Health Services Research				

TABLE 2:
APPENDIX G
North Carolina Medical Students-Primary Care Retention in NC
2013 Graduates

School <i>Primary Care*</i> <i>Residency Specialty</i>	Number of 2013 Graduates in Training or Practice as of 2018	Number of 2013 Graduates in Training or Practice in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in North Carolina as of 2018	Number of 2013 Graduates in Training or Practice in Primary Care** in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in Primary Care** in North Carolina as of 2018	Number of 2013 Graduates in Training or Practice in Primary Care** in Rural*** Counties in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in Primary Care** in Rural*** Counties North Carolina as of 2018
Duke	105	19	18%	4	4%	0	0%
Family Medicine				2	2%	0	0%
Internal Medicine				0	0%	0	0%
Pediatrics				2	2%	0	0%
IM/ Peds				0	0%	0	0%
OBGYN				0	0%	0	0%
ECU	69	34	49%	24	35%	5	7%
Family Medicine				9	13%	2	3%
Internal Medicine				2	3%	0	0%
Pediatrics				7	10%	2	3%
IM/ Peds				3	4%	0	0%
OBGYN				3	4%	1	1%
UNC-CH	150	62	41%	25	17%	1	1%
Family Medicine				9	6%	0	0%
Internal Medicine				5	3%	0	0%
Pediatrics				3	2%	1	1%
IM/ Peds				2	1%	0	0%
OBGYN				6	4%	0	0%
Wake Forest	125	36	29%	8	6%	0	0%
Family Medicine				6	5%	0	0%
Internal Medicine				1	1%	0	0%
Pediatrics				0	0%	0	0%
IM/ Peds				1	1%	0	0%
OBGYN				0	0%	0	0%
Total	449	151	34%	61	14%	6	1%
Family Medicine				26	6%	2	0%
Internal Medicine				8	2%	0	0%
Pediatrics				12	3%	3	1%
IM/ Peds				6	1%	0	0%
OBGYN				9	2%	1	0%

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*2013 Primary Care Residency Specialty includes Family Medicine, General Pediatric Medicine, General Internal Medicine, Internal Medicine/Pediatrics, and Obstetrics/Gynecology. Source: Association of American Medical Colleges (AAMC). Internal medicine in this case also includes "medicine - preliminary," which likely overestimates the initial primary care figures.

** As of 2017, primary care definitions are based on NC Medical Board licensure data (for NC physicians) and AAMC data (for non-NC physicians) and include Family Medicine (Family Medicine, Family Medicine-Adolescent Medicine, Family Medicine-Geriatric, Family Medicine-Sports Medicine, General Practice; Internal Medicine (Internal Medicine, Internal Medicine-Geriatric); Pediatrics (Pediatrics, Pediatrics-Adolescent, Pediatric-Sports Medicine); Internal Medicine-Pediatrics (Internal Medicine-Pediatrics, Internal Medicine-Adolescent Medicine); OBGYN (Obstetrics & Gynecology, Obstetrics, Gynecology).

***"Rural" is based on 2017 Core-Based Statistical Area (CBSA) definitions, and includes counties that are "micropolitan" and "outside of CBSAs." Using this definition, NC has 54 rural counties.

Note: In all cases, 2018 counts include physicians who branched in from other specialties, even if those physicians are not included in counts of initial residency matches. In the class of 2013, one UNC graduate initially matched to anesthesiology and switched to an internal medicine residency, and three Wake Forest graduates initially matched to a general surgery residency and transferred to a family medicine residency.

Sources:

	Association of American Medical Colleges			NC Medical Board		

Compiled by:

NC AHEC Program

Cecil G. Sheps Center for Health Services Research

APPENDIX C
TABLE C3
North Carolina Medical Students-Retention in Rural Practice
2013 Graduates

School <i>Primary Care*</i> <i>Residency Specialty</i>	Number of 2013 Graduates in Training or Practice as of 2018	Number of 2013 Graduates in Training or Practice in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in North Carolina as of 2018	Number of 2013 Graduates in Training or Practice in Rural*** Counties as of 2018	Percent of 2013 Graduates in Training or Practice in Rural*** Counties as of 2018	Number of 2013 Graduates in Training or Practice in Rural*** Counties in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in Rural*** Counties in North Carolina as of 2018	Number of 2013 Graduates in Training or Practice in Primary Care** in Rural*** Counties in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in Primary Care** in Rural*** Counties North Carolina as of 2018
Duke	105	19	18%	1	1%	0	0%	0	0%
Family Medicine								0	0%
Internal Medicine								0	0%
Pediatrics								0	0%
IM/ Peds								0	0%
OBGYN								0	0%
ECU	69	34	49%	7	10%	6	9%	5	7%
Family Medicine								2	3%
Internal Medicine								0	0%
Pediatrics								2	3%
IM/ Peds								0	0%
OBGYN								1	1%
UNC-CH	150	62	41%	4	3%	3	2%	1	1%
Family Medicine								0	0%
Internal Medicine								0	0%
Pediatrics								1	1%
IM/ Peds								0	0%
OBGYN								0	0%
Wake Forest	125	36	29%	4	3%	2	2%	0	0%
Family Medicine								0	0%
Internal Medicine								0	0%
Pediatrics								0	0%
IM/ Peds								0	0%
OBGYN								0	0%
Total	449	151	34%	16	4%	11	2%	6	1%
Family Medicine								2	0.4%
Internal Medicine								0	0%
Pediatrics								3	1%
IM/ Peds								0	0%
OBGYN								1	0.2%

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*2013 Primary Care Residency Specialty includes Family Medicine, General Pediatric Medicine, General Internal Medicine, Internal Medicine/Pediatrics, and Obstetrics/Gynecology. Source: Association of American Medical Colleges (AAMC). Internal medicine in this case also includes "medicine - preliminary," which likely overestimates the initial primary care figures.

* As of 2017, primary care definitions are based on NC Medical Board licensure data (for NC physicians) and AAMC data (for non-NC physicians) and include Family Medicine (Family Medicine, Family Medicine-Adolescent Medicine, Family Medicine-Geriatric, Family Medicine-Sports Medicine, General Practice); Internal Medicine (Internal Medicine, Internal Medicine-Geriatric); Pediatrics (Pediatrics, Pediatrics-Adolescent, Pediatric-Sports Medicine); Internal Medicine-Pediatrics (Internal Medicine-Pediatrics, Internal Medicine-Adolescent Medicine); OBGYN (Obstetrics & Gynecology, Obstetrics, Gynecology).

****"Rural" is based on 2017 Core-Based Statistical Area (CBSA) definitions, and includes counties that are "micropolitan" and "outside of CBSAs." Using this definition, NC has 54 rural counties.

					Sources:				
	Association of American Medical Colleges				NC Medical Board				
Compiled by: NC AHEC Program Cecil G. Sheps Center for Health Services Research									

APPENDIX G
TABLE 4
North Carolina Medical Students – Retention in Psychiatry
2013 Graduates

School	Number of 2013 Graduates in Training or Practice as of 2018	Number of 2013 Graduates in Training or Practice in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in North Carolina as of 2018	Number of 2013 Graduates in Training or Practice in Psychiatry* in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in Psychiatry* in North Carolina as of 2018	Number of 2013 Graduates in Training or Practice in Psychiatry* in Rural** Counties in North Carolina as of 2018	Percent of 2013 Graduates in Training or Practice in Psychiatry* in Rural** Counties North Carolina as of 2018
Duke	105	19	18%	0	0%	0	0%
<i>Psychiatry</i>				0	0%	0	0%
ECU	69	34	49%	1	1%	0	0%
<i>Psychiatry</i>				1	1%	0	0%
<i>Internal Medicine-Psychiatry</i>				0	0%	0	0%
UNC-CH	150	62	41%	6	4%	1	1%
<i>Psychiatry</i>				2	1%	0	0%
<i>Child & Adolescent Psychiatry</i>				2	1%	0	0%
<i>Geriatric Psychiatry</i>				1	1%	1	1%
<i>Psychosomatic Medicine</i>				1	1%	0	0%
Wake Forest	125	36	29%	1	1%	0	0%
<i>Child & Adolescent Psychiatry</i>				1	1%	0	0%
Total	449	151	34%	8	2%	1	0.2%
<i>Psychiatry</i>				3	1%	0	0%
<i>Child & Adolescent Psychiatry</i>				3	1%	0	0%
<i>Geriatric Psychiatry</i>				1	0%	1	
<i>Internal Medicine-Psychiatry</i>				0	0%	0	0%
<i>Psychosomatic Medicine</i>				1	0%	0	0%
<p>*As of 2017, Psychiatry definitions are based on NC Medical Board licensure data (for NC physicians) and AAMC data (for non-NC physicians) and include Psychiatry, Child and Adolescent Psychiatry, Psychoanalysis, Forensic Psychiatry, Psychosomatic Medicine, Psychiatry/Geriatric, Family Medicine-Psychiatry, Internal Medicine-Psychiatry, and Pediatrics-Psychiatry.</p> <p>**"Rural" is based on 2017 Core-Based Statistical Area (CBSA) definitions, and includes counties that are "micropolitan" and "outside of CBSAs." Using this definition, NC has 54 rural counties.</p>							
Sources:							
	Association of American Medical Colleges			NC Medical Board			
Compiled by:							
NC AHEC Program							
Cecil G. Sheps Center for Health Services Research							

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TABLE 5
North Carolina Medical Students – Retention by Medical Specialty in NC
2013 Graduates

	Physician Specialty					
	Family Medicine	Internal Medicine	Pediatrics	IM/ Peds	OBGYN	Psychiatry
Number of 2013 Graduates by Initial Specialty Match*	43	119	55	9	31	17
Number (Percent) of 2013 Graduates in Training or Practice as Generalist** in Specialty as of 2018	45 (100%)	34 (29%)	34 (62%)	9 (100%)	19 (62%)	16 (94%)
Number (Percent) of 2013 Graduates in Training or Practice as Generalist** in Specialty in North Carolina as of 2018	26 (60%)	8 (7%)	12 (22%)	6 (66%)	9 (29%)	8 (50%)
Number (Percent) of 2013 Graduates in Training or Practice As Generalist** in Specialty in Rural*** Counties in North Carolina as of 2018	3 (5%)	0 (0%)	3 (5%)	0 (0%)	1 (3%)	1 (6%)

Note: In all cases, 2018 counts include physicians who branched in from other specialties, even though those physicians are not included in counts of initial residency matches.

*2013 Data Source: Association of American Medical Colleges (AAMC). Internal medicine in this case also includes "medicine - preliminary," which likely overestimates the initial match to Internal Medicine.

**Physicians who branch from primary care or general surgery specialties into subspecialty fields are not included in these counts, even if they remain in practice in NC. Practice specialty definitions are based on NC Medical Board licensure data (for NC physicians) and AAMC data (for non-NC physicians) and include Family Medicine (Family Medicine, Family Medicine-Adolescent Medicine, Family Medicine-Geriatric, Family Medicine-Sports Medicine, General Practice; Internal Medicine (Internal Medicine, Internal Medicine-Geriatric); Pediatrics (Pediatrics, Pediatrics-Adolescent, Pediatric-Sports Medicine); Internal Medicine-Pediatrics (Internal Medicine-Pediatrics, Internal Medicine-Adolescent Medicine); OBGYN (Obstetrics & Gynecology, Obstetrics, Gynecology); General Surgery (General Surgery, Abdominal Surgery, Colon & Rectal Surgery, Critical Care Surgery, Head and Neck Surgery, Oncology Surgery, Pediatric Surgery, Transplant Surgery, Trauma Surgery, and Vascular Surgery); and Psychiatry (Psychiatry, Child and Adolescent Psychiatry, Psychoanalysis, Forensic Psychiatry, Psychosomatic Medicine, Psychiatry/Geriatric, Family Medicine-Psychiatry, Internal Medicine-Psychiatry, and Pediatrics-Psychiatry.)

***"Rural" is based on 2017 Core-Based Statistical Area (CBSA) definitions, and includes counties that are "micropolitan" and "outside of CBSAs." Using this definition, NC has 54 rural counties.

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TABLE 6
NC Medical School Graduates - Initial Residency Matches
Class of 2019

School Residency Specialty	Total Number of 2019 Graduates	Number of 2019 Graduates not in Training or Practice	Number of 2019 Graduates with an Initial Residency Match	Number of 2019 Graduates with an Initial Residency Match in NC (All Specialties)	Percent of 2019 Graduates with an Initial Residency Match in NC (All Specialties)	Number of 2019 Graduates with an Initial Residency Choice of Primary Care, Psychiatry, or General Surgery	Percent of 2019 Graduates with an Initial Residency Choice of Primary Care, Psychiatry, or General Surgery	Number of 2019 Graduates with an Initial Residency Choice of Primary Care, Psychiatry, or General Surgery in NC	Percent of 2019 Graduates with an Initial Residency Choice of Primary Care, Psychiatry, or General Surgery in NC
Campbell	157	0	157	38	24%	113	72%	27	17%
Family Medicine						37	24%	15	10%
Internal Medicine						40	25%	3	2%
Pediatrics						14	9%	3	2%
IM/ Peds						1	1%	1	1%
OBGYN						8	5%	2	1%
Psychiatry						6	4%	1	1%
General Surgery						7	4%	2	1%
Duke	120	2	118	32	27%	61	52%	23	19%
Family Medicine						1	1%	1	1%
Internal Medicine						34	29%	14	12%
Pediatrics						8	7%	1	1%
IM/ Peds						2	2%	1	1%
OBGYN						5	4%	2	2%
Psychiatry						2	2%	1	1%
General Surgery						9	8%	3	3%
ECU	73	0	73	18	25%	54	74%	16	22%
Family Medicine						9	12%	5	7%
Internal Medicine						12	16%	2	3%
Pediatrics						12	16%	5	7%
IM/ Peds						1	1%	1	1%
OBGYN						8	11%	0	0%
Psychiatry*						5	7%	2	3%
General Surgery						7	10%	1	1%
UNC-CH	171	5	166	67	40%	106	64%	44	27%
Family Medicine						12	7%	10	6%
Internal Medicine						31	19%	7	4%
Pediatrics						17	10%	5	3%
IM/ Peds						9	5%	3	2%
OBGYN						15	9%	9	5%
Psychiatry						9	5%	6	4%
General Surgery						13	8%	4	2%
Wake Forest	121	4	117	22	19%	62	53%	9	8%
Family Medicine						8	7%	1	1%
Internal Medicine						19	16%	3	3%
Pediatrics						9	8%	1	1%
IM/ Peds						1	1%	0	0%
OBGYN						11	9%	1	1%
Psychiatry						4	3%	0	0%
General Surgery						10	9%	3	3%

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Total	642	11	631	177	28%	396	63%	119	19%
<i>Family Medicine</i>						67	11%	32	5%
<i>Internal Medicine</i>						136	22%	29	5%
<i>Pediatrics</i>						60	10%	15	2%
<i>IM/ Peds</i>						14	2%	6	1%
<i>OBGYN</i>						47	7%	14	2%
<i>Psychiatry</i>						26	4%	10	2%
<i>General Surgery</i>						46	7%	13	2%
Sources: Nicole Allen, Associate Director of Student Affairs, Bowman Gray Center for Medical Education, Wake Forest University; Bailey Dunn-Phillips, Director of Student Affairs, Brody School of Medicine, East Carolina University; Sheba Hall, Staff Assistant, Office of Student Affairs, Duke University School of Medicine; Robin King-Thiele, Associate Dean for Postgraduate Affairs and DIO, Campbell University Jerry M. Wallace School of Osteopathic Medicine; Elizabeth Steadman, Director, Office of Medical Education Student Affairs, University of North Carolina School of Medicine.									
* Includes one student matched to a "triple certification" specialty in pediatrics/psychiatry/child psychiatry									

Notes

Limitations: The information used in this analysis to determine a medical graduate's initial specialty choice for residency and to determine retention in primary care comes from different sources. When calculating retention in primary care five years after graduation, data from the AAMC are used to determine initial choice of residency. AAMC does not differentiate between internal medicine and medicine-preliminary, so the data may appear to be inflated for initial residency choice of primary care. Two data sources are used to determine current practice or training area. For physicians practicing in North Carolina, NC Medical Board (NCMB) data are used to determine the physician's current self-reported primary area of practice. For physicians practicing outside of North Carolina, AAMC data are used to determine current practice or training area. AAMC data are based on the AMA Physician Masterfile.

Beginning with the class of 2006 all MDs graduating in a year, regardless of month, are counted with that year's graduates.

Primary Care Tables: Primary care coding was revised in 2014 to reflect more accurate aggregation of AMA minor codes to AMA major codes. Primary care residency specialties are defined by legislation passed by the NC General Assembly in 1993 (Senate Bill 27/ House Bill 729) and include family medicine, general internal medicine, general pediatric medicine, internal medicine-pediatrics, and obstetrics and gynecology. Specialties included under the definitions of current practice specialties for primary care, psychiatry, and general surgery were revised in 2014 and reviewed by practicing clinicians for accuracy.

"Primary Care" is defined for both initial specialty of residency training (identified using AAMC data and denoted by the use of one asterisk) and for current practice or training area (identified using either NCMB data for physicians in NC and AAMC data for physicians practicing out of state and denoted by the use of two asterisks). More specialties are included under the definition of "primary care" for current practice or training area than for specialty of residency training because physicians may specialize within their primary care area of practice following training. For example, a physician who entered residency training in "pediatrics," and following completion of training reported a current practice area of "adolescent medicine" would be counted as a primary care physician.

General Surgery Tables: For tables calculating retention in general surgery five years after graduation, it is important to note that surgical residencies are currently a minimum of five years, and students who select an initial specialty of general surgery often transition to more specialized surgical training.

State-Supported Students at Duke and Wake Forest Medical Schools: Prior analysis tracked outcomes just for the subgroup of students that received the state IMEO funds (roughly 35% of the Wake Forest Students and 20% of the Duke students). Students were identified using data from NCSEAA. The IMEO grant program was repealed in 2009 legislation (see Senate Bill 202) and tracking for those students is no longer a component of this analysis.

**COMPREHENSIVE ARTICULATION AGREEMENT
BETWEEN
THE UNIVERSITY OF NORTH CAROLINA
AND
LOUISBURG COLLEGE**

**Approved by the Board of Governors of The University of North Carolina and
the Board of Trustees of Louisburg College**

May 10, 2019

**COMPREHENSIVE ARTICULATION AGREEMENT (CAA)
BETWEEN THE UNIVERSITY OF NORTH CAROLINA
AND LOUISBURG COLLEGE**

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This document contains the articulation agreement in sections I-IV. Supporting documentation is provided in the appendices.

I. Overview

This agreement reflects, in every material instance, the Comprehensive Articulation Agreement between The University of North Carolina System and the North Carolina Community College System, and is intended to extend that agreement to students who transfer to a University of North Carolina institution from Louisburg College, North Carolina's sole two-year independent non-profit institution of higher education.

Louisburg College, founded in 1787, is accredited by the Southern Association of Colleges and Schools Commission on Colleges. It is a two-year, primarily residential college affiliated with the United Methodist Church. Louisburg College is situated in the Town of Louisburg, Franklin County, North Carolina. Its graduates historically transfer to senior institutions in significant numbers, both to other independent colleges and to campuses of the University of North Carolina System. The purpose of this agreement is to extend to students transferring from Louisburg College the identical articulation policies that apply to those transferring to a University of North Carolina institution from a campus of the North Carolina Community College System. All courses offered by Louisburg College are named, numbered, and described as they are in the North Carolina Community College System, which means that no new mapping of courses is required in this agreement.

II. Assumptions and Intent

The Comprehensive Articulation Agreement between The University of North Carolina and Louisburg College rests upon several assumptions common to successful statewide comprehensive articulation agreements. The primary assumption is that institutions recognize the professional integrity of other post-secondary institutions that are regionally accredited for college transfer programs. All courses designated as approved for college transfer under this agreement will be taught by faculty who meet Southern Association of Colleges and Schools Commission on Colleges (SACS) credential requirements. Another assumption is that substantial commonality exists in the lower-division general education requirements and courses currently offered at all universities and this two year college for the purpose of transfer.

The general education courses and pre-major courses offered at the institutions that comprise The University of North Carolina and the Louisburg College are similar in intended outcomes and competencies, and so, transferable between institutions. The general education requirements of the receiving institutions remain in effect for all students not participating in this comprehensive articulation agreement; any upper-division general education requirements and graduation requirements remain unaffected by this agreement. Institution-wide, lower-division general education requirements serve as the starting point for determining specific general education courses in each baccalaureate major. The specific lower-level courses required for each major are the subject of the pre-majors developed by joint discipline committees. The purpose and history are provided in Appendix B.

III. Policies

The Comprehensive Articulation Agreement (CAA) applying to all fifty-eight North Carolina community colleges and all sixteen constituent institutions of The University of North Carolina is by this agreement made applicable to Louisburg College. Students at Louisburg College who successfully complete a course designated as transferable or graduate with an Associate in Arts or Associate in Science degree and transfer to a constituent institution of The University of North Carolina are protected under the CAA.

The regulations for implementation of the CAA were originally approved by the Board of Governors and the State Board of Community Colleges. The Transfer Advisory Committee (TAC) oversees refinements of the regulations and minor changes. Louisburg College will abide by such changes as they are made by the TAC.

Significant changes will be brought to the Board of Governors and the State Board of Community Colleges for review at the discretion of the respective Presidents of The University of North Carolina and the North Carolina Community College System. The TAC Procedures are provided in Appendix C. Louisburg College will follow decisions made by the TAC and the Board of Governors as changes are made in the future.

Since the CAA was first established, the state of North Carolina has encouraged high school students to maximize their time by taking college coursework under various initiatives. The CAA policies extend to high school students taking college coursework through the North Carolina Community College System, Louisburg College and/or the constituent universities of the University of North Carolina.

A. Transfer Advisory Committee (TAC)

Authority to interpret CAA policy rests with the TAC. The TAC is an eight-member committee appointed by the Presidents of the North Carolina Community College System and The University of North Carolina.

- **NCCCS Members:**

Four representatives from the North Carolina Community College System (NCCCS). These members will be appointed by the CAO of the NCCCS.

- **UNC Members**

Four representatives from the UNC System. These members will be appointed by the CAO of UNC System.

Questions concerning CAA policy interpretations should be directed to the appropriate system's chief academic officer with an explanation of the institutional policy that may (appear to) be in conflict with CAA policy. The chief academic officer will forward unresolved questions to the TAC for interpretation. Each system will appoint one ex-officio nonvoting member to support the work of the TAC.

Questions about the transferability of course work under the CAA or any proposed changes to the policies, general education courses, or pre-majors must be addressed by the TAC. Changes to the curriculum standards for the Associate in Arts and Associate in Science degree programs are the authority of the State Board of Community Colleges. The TAC will be notified of any changes. The University of North Carolina will notify Louisburg College of any changes that have substantive impact upon this agreement.

The TAC will also provide general counsel and recommendations to the North Carolina Community College System, Louisburg College and the UNC System in matters leading to optimal transfer between the two systems.

B. Transfer Assured Admissions Policy (TAAP)

The TAAP assures admission to one of the 16 UNC institutions under the following conditions:

- Admission is not assured to a specific campus or specific program or major.
- Students must have graduated from Louisburg College with an Associate in Arts or Associate in Science degree.
- Students must meet all requirements of the CAA.
- Students must have an overall GPA of at least 2.0 on a 4.0 scale, as calculated by Louisburg College, and a grade of "C" or better in all CAA courses.
- Students must be academically eligible for re-admission to the last institution attended.
- Students must meet judicial requirements of the institution to which they apply.
- Students must meet all application requirements at the receiving institution, including the submission of all required documentation by stated deadlines.

If a student is denied admission to a UNC institution, then he or she will be notified in writing by the institution. In this notification, the student will be directed to the College Foundation of North Carolina (CFNC) website (www.cfnc.org) where the student will be given information regarding space availability and contacts in the respective UNC Admissions offices. It is the student's responsibility to contact each institution's admissions office to get specific information about admissions and available majors.

If the previous steps do not result in admission to a UNC institution, then the student should contact the CFNC Resource Center at 1-866-866-CFNC.

C. Transfer Credit Appeal

If a transfer student perceives that the terms of the CAA have not been honored, he or she may follow the Transfer Credit Appeal Procedure as outlined in Appendix E. Each UNC institution and Louisburg College will provide a link to the Transfer Credit Appeal Procedure on its website.

IV. Regulations

A. Transfer of Credits

The CAA establishes the procedures governing the transfer of credits for students who transfer from Louisburg College to a constituent institution of The University of North Carolina. The CAA does not address admission to a specific institution or to a specific major within an institution.

1. Eligibility

To be eligible for the transfer of credits under the CAA, the student must graduate from Louisburg College with an Associate in Arts (AA) or Associate in Science (AS) degree and have an overall Grade Point Average (GPA) of at least 2.0 on a 4.0 scale and a grade of "C" or better in all CAA courses. Students who do not complete the degree are eligible to transfer credits on a course-by-course basis.

2. Definition of General Education Courses and Pre-major Courses

The Associate in Arts (AA) and Associate in Science (AS) degree programs at Louisburg College require a total of sixty or sixty-one semester hours credit for graduation (see Appendix F) and are transferable to any UNC institution. The overall total is comprised of both lower-division general education and pre-major courses. This curriculum reflects the distribution of discipline areas commonly included in institution-wide, lower-division general education requirements for the baccalaureate degree.

The Associate in Arts (AA) and Associate in Science (AS) degree programs include general education requirements that represent the fundamental foundation for success and include study in the areas of English composition, communications, humanities and fine arts, natural sciences and mathematics, and social and behavioral sciences. Within these discipline areas, Louisburg College must include opportunities for the achievement of competence in reading, writing, oral communication, fundamental mathematical skills, and basic computer use. Students must meet the receiving university's foreign language and/or health and physical education requirements, if applicable, prior to or after transfer to the senior institution.

The AA and AS degree programs of study are structured to include two components:

–**Universal General Education Transfer Component** comprises a minimum of 30 semester hours of credit, and

–**Additional general education, pre-major, and elective courses** that prepare students for successful transfer into selected majors at UNC institutions and bring the total number of hours in the degree programs to 60-61 semester hours.

To ensure maximum transferability of credits, students should select a transfer major and preferred transfer university before completing 30 semester hours of credit. Additional general education, pre-major, and elective courses should be selected based on a student's intended major and transfer institution.

Each receiving institution will identify Louisburg College course equivalencies and publicize an equivalency course crosswalk to ensure transfer of credit uniformity and transparency.

The specific number and distribution of courses used to fulfill the requirement in each of these areas will be identified by Louisburg College as meeting its own general education requirements. The Universal General Education Transfer Component and Other Required General Education courses will be drawn from those courses designated in the North Carolina Community College Combined Course Library as being transferable general education. This will preserve the autonomy of Louisburg College to develop its own general education program, including those aspects that make its program unique. Students are directed to the pre-majors for specifics regarding courses and distribution.

3. Transfer of Associate in Arts and Associate in Science degree programs

- a. The CAA enables Louisburg College graduates of two-year Associate in Arts (AA) and Associate in Science (AS) degree programs who are admitted to constituent institutions of The University of North Carolina to transfer with junior status.
- b. Universities cannot place requirements on students transferring under the CAA that are not required of their native students.

APPENDIX H

- c. A student who completes the Associate in Arts or Associate in Science degree prior to transfer to a UNC institution will have fulfilled the UNC institution's lower-division general education requirements.
- d. Each UNC campus will establish and publish a campus policy/guideline outlining the campus decision whether a student who receives an Associate in Arts or Associate in Science degree through reverse transfer will have fulfilled the UNC institution's lower-division general education requirements. Louisburg College courses are identical to those of the North Carolina Community College System. As such, it will follow institution policies.
- e. Due to degree requirements in some majors, additional courses at the UNC institution may be required beyond the general education courses and pre-major courses taken at Louisburg College.
- f. Louisburg College graduates of the Associate in Arts or Associate in Science degree programs who have earned 60 semester hours in approved transfer courses with a grade of "C" or better and an overall GPA of at least 2.0 on a 4.0 scale will receive at least 60 or 61 semester hours of academic credit upon admission to a UNC institution.
- g. Requirements for admission to some major programs may require additional pre-specialty courses beyond the pre-major taken at the Louisburg College. Students entering such programs may need more than two academic years of course work to complete the baccalaureate degree, depending on requirements of the program.
- h. All courses approved for transfer in the CAA are designated as fulfilling general education or pre-major/elective requirements (see Appendix G). While general education and pre-major courses may also be used as electives, elective courses may not be used to fulfill general education requirements.
- i. CAA courses taken beyond the 60-61 SHC of credit in which the student received less than a "C" will not negate the provisions of the CAA.

4. UNC Minimum Admission Requirements (MAR) and Minimum Course Requirements (MCR)

- a. Students who complete the Associate in Arts or the Associate in Science degree will satisfy UNC's minimum admission requirements (MAR) and minimum course requirements (MCR).
- b. Transfer students who are at least 21 years old are exempt from both MAR and MCR.
- c. Transfer students will also be considered to have satisfied (MAR) and (MCR) if they have:
 - 1. received the baccalaureate, or any higher degree, or
 - 2. earned at least twenty-four (24) transferrable undergraduate credits from a regionally accredited postsecondary institution. Transferrable undergraduate credit counted as part of these 24 hours shall also include:
 - a. credit earned at foreign institutions deemed to have the equivalence of regional accreditation; equivalence of regional accreditation generally refers to recognition by the foreign country's Ministry of Education and/or recognition by a credible organization offering credential evaluation services; and

- b. credit awarded for prior learning as part of military service, with the military branch designated as the transfer institution.

Undergraduate credits awarded for AP (Advanced Placement), IB (International Baccalaureate), or other credit by exam shall not be included as part of these 24 hours.

5. Students not completing the Associate in Arts or Associate in Science degrees

A Louisburg College student who satisfactorily completes, with a grade of “C” or better, courses identified in the Universal General Education Transfer Component will receive credit applied toward the university’s lower-division general education course requirements, subject to the following distribution limit: maximum of 6 hours in English Composition, 9 hours in Humanities/Fine Arts/Communications, 9 hours in Social/Behavioral Sciences, 8 hours in Mathematics, and 8 hours in the Natural Sciences.

A Louisburg College student who satisfactorily completes a transfer course that is not designated as a Universal General Education Transfer Component course will receive transfer credit for the course. The receiving institution will determine whether the course will count as general education, pre-major, or elective credit.

6. Certification of Universal General Education Transfer Component Courses, Associate in Arts Degree, or Associate in Science Degree Completion

Certification of completion of the Associate in Arts or Associate in Science degree is the responsibility of Louisburg College. Transcript identification of Universal General Education Transfer Component courses is also the responsibility of the Louisburg College. The transcripts of students who transfer before completing the degree will be evaluated on a course-by-course basis by the receiving university. The transferring student who has not completed the degree must meet the receiving institution's general education requirements.

7. Baccalaureate Degree Plan (BDP) Four-Year Degree Plan for Community College Transfer Students

Beyond the Universal General Education Transfer Component courses, a program of study leading to the associate degree contains courses related to a student's major or program emphasis. Pre-major course tracks prepare students to succeed in their chosen field and provide students with clear pathways to completion. Each UNC institution will develop, publish, and maintain a Baccalaureate Degree Plan (BDP) four-year degree plans identifying courses that provide pathways leading to associate degree completion, admission into the major, and baccalaureate completion. Students who complete the AA or AS degree and the degree plan tracks published by a UNC institution, and who are accepted into that institution and into that major within four years of initial enrollment at Louisburg College, will continue into that major at the UNC institution with all courses fulfilling lower-division general education and other degree requirements.

8. Bi-lateral Articulation Agreements

The TAC encourages the development of new bilateral articulation agreements among institutions; However, TAC will not maintain a current inventory of bilateral articulation agreements.

9. Transfer of courses not originated at Louisburg College

Transfer courses that do not originate at Louisburg College, a North Carolina community college, or UNC institution may be used under the CAA with the following stipulations:

- a. Courses must be completed at a regionally accredited (e.g., SACSCOC) institution of higher education;
- b. Courses must meet general education requirements; and
- c. Courses may total no more than 14 semester hours of general education course credit.
- d. For courses not originating at Louisburg College, if the courses are used to complete the AA or AS, the courses will transfer as part of the degree. Otherwise, if 14 hours or less are presented without completion of the AA or AS, then the receiving institution will consider the courses on a course-by-course basis.

10. Transfer of Advanced Placement (AP) course credit

Advanced Placement (AP) course credits, awarded for a score of three or higher, are acceptable as part of a student's successfully completed Associate in Arts or Associate in Science degree under the CAA. Students who receive AP course credit at Louisburg College but do not complete the Associate in Arts or Associate in Science degree will have AP credit awarded on the basis of the receiving institution's AP policy.

B. Impact of the CAA on other articulation agreements

The CAA takes precedence over bilateral articulation agreements established between constituent institutions of the University of North Carolina and Louisburg College but does not necessarily preclude such agreements. Institution-to-institution articulation agreements that fall within the parameters of the CAA and enhance transferability of students from Louisburg College to senior institutions are encouraged. Institutional articulation agreements conflicting with the CAA are not permitted.

C. Compliance Procedures

The Transfer Advisory Committee (TAC) is charged with ensuring compliance of institutional policies and practices regarding the CAA. To that end, a TAC Review Team, comprised of one UNC representative and one community college representative, will survey and review the institutional transfer credit policies and procedures of two UNC institutions per quarter. The TAC will report the findings to UNC-System and the North Carolina Community College System Office. Louisburg College will be granted the report if requested.

APPENDICES

Appendix A **Legislation**

HB 739, SB 1161, HB 903

GENERAL ASSEMBLY OF NORTH CAROLINA
1995 SESSION
RATIFIED BILL

CHAPTER 287
HOUSE BILL 739

AN ACT TO SIMPLIFY THE TRANSFER OF CREDIT BETWEEN NORTH CAROLINA INSTITUTIONS OF HIGHER EDUCATION.

Section 1. The Board of Governors of The University of North Carolina and the State Board of Community Colleges shall develop a plan for the transfer of credits between the institutions of the North Carolina Community College System and between the institutions of the North Carolina Community College System and the constituent institutions of The University of North Carolina. The Board of Governors and the State Board of Community Colleges shall make a preliminary report to the Joint Legislative Oversight Committee on Education prior to March 1, 1996. The preliminary report shall include a timetable for the implementation of the plan for the transfer of credits.

Sec. 2. It is the intent of the General Assembly to review the plan developed by the Board of Governors and the State Board of Community Colleges pursuant to Section 1 of this act and to adopt a plan prior to July 1, 1996, for the transfer of credits between the institutions of the North Carolina Community College System and between the institutions of the North Carolina Community College System and the constituent institutions of The University of North Carolina.

Sec. 3. The State Board of Community Colleges shall implement a common course numbering system, to include common course descriptions, for all community college programs by June 1, 1997. A progress report on the development of the common course numbering system shall be made to the Joint Legislative Oversight Committee on Education by March 1, 1996.

Sec. 4. This act is effective upon ratification.

In the General Assembly read three times and ratified this the 19th day of June, 1995.

Dennis A. Wicker
President of the Senate

Harold J. Brubaker
Speaker of the House of Representatives

APPENDIX H

GENERAL ASSEMBLY OF NORTH CAROLINA
1995 SESSION
RATIFIED BILL

CHAPTER 625
SENATE BILL 1161

AN ACT TO IMPLEMENT THE RECOMMENDATION OF THE JOINT LEGISLATIVE EDUCATION OVERSIGHT COMMITTEE TO IMPLEMENT AND MONITOR THE PLAN FOR THE TRANSFER OF CREDITS BETWEEN NORTH CAROLINA INSTITUTIONS OF HIGHER EDUCATION.

Whereas, it is in the public interest that the North Carolina institutions of higher education have a uniform procedure for the transfer of credits from one community college to another community college and from the community colleges to the constituent institutions of The University of North Carolina; and

Whereas, the Board of Governors of The University of North Carolina and the State Board of Community Colleges have developed a plan for the transfer of credits between the North Carolina institutions of higher education; and

Whereas, the General Assembly continues to be interested in the progress being made towards increasing the number of credits that will transfer and improving the quality of academic advising available to students regarding the transfer of credits; Now, therefore,

Section 1. The Board of Governors of The University of North Carolina and the State Board of Community Colleges shall develop a plan to provide students with accurate and understandable information regarding the transfer of credits between community colleges and between community colleges and the constituent institutions of The University of North Carolina. The plan shall include provisions to increase the adequacy and availability of academic counseling for students who are considering a college transfer program. The Board of Governors and the State Board of Community Colleges shall report on the implementation of this plan to the General Assembly and the Joint Legislative Education Oversight Committee by January 15, 1997.

Sec. 2. The Board of Governors and the State Board of Community Colleges shall establish a timetable for the development of guidelines and transfer agreements for program majors, professional specializations, and associate in applied science degrees. The Board of Governors and the State Board of Community Colleges shall submit the timetable and report on its implementation to the General Assembly and the Joint Legislative Education Oversight Committee by January 15, 1997.

Sec. 3. The State Board of Community Colleges shall review its policies and rules and make any changes in them that are necessary to implement the plan for the transfer of credits, including policies and rules regarding the common course numbering system, Combined Course Library, reengineering initiative, and the system wide conversion to a semester-based academic year. The necessary changes shall be made in order to ensure full implementation by September 1, 1997.

Sec. 4. This act is effective upon ratification.

In the General Assembly read three times and ratified this the 21st day of June, 1996.

Dennis A. Wicker
President of the Senate

Harold J. Brubaker
Speaker of the House of Representatives

APPENDIX H

GENERAL ASSEMBLY OF NORTH CAROLINA SESSION 2013

SESSION LAW 2013-72 HOUSE BILL 903

AN ACT TO REQUIRE ALL CONSTITUENT INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA TO FULLY ADHERE TO THE COMPREHENSIVE ARTICULATION AGREEMENT WITH THE NORTH CAROLINA COMMUNITY COLLEGE SYSTEM REGARDING THE TRANSFER OF COURSES AND ACADEMIC CREDITS BETWEEN THE TWO SYSTEMS AND THE ADMISSION OF TRANSFER STUDENTS AND TO DIRECT THE UNIVERSITY OF NORTH CAROLINA AND THE NORTH CAROLINA COMMUNITY COLLEGE SYSTEM TO REPORT BIANNUALLY REGARDING THE AGREEMENT TO THE JOINT LEGISLATIVE EDUCATION OVERSIGHT COMMITTEE.

The General Assembly of North Carolina enacts:

Section 1. G.S. 116-11 is amended by adding a new subdivision to read:

"(10c) The Board of Governors shall require each constituent institution to adhere fully to the Comprehensive Articulation Agreement between The University of North Carolina and the North Carolina Community College System that addresses the transfer of courses and academic credits between the two systems and the admission of transfer students. The Board of Governors shall further ensure that the agreement is applied consistently among the constituent institutions. The University of North Carolina and the North Carolina Community College System shall conduct biannual joint reviews of the Comprehensive Articulation Agreement to ensure that the agreement is fair, current, and relevant for all students and institutions and shall report their findings to the Joint Legislative Education Oversight Committee, including all revisions to the Comprehensive Articulation Agreement and reports of noncompliance by November 1 of each year. The University of North Carolina and the North Carolina Community College System shall also jointly develop an articulation agreement advising tool for students, parents, and faculty to simplify the course transfer and admissions process."

Section 2. This act is effective when it becomes law.

In the General Assembly read three times and ratified this the 5th day of June, 2013.

Daniel J. Forest
President of the Senate
Representatives

Thom Tillis
Speaker of the House of

Pat McCrory
Governor

Appendix B

Purpose and History (1997-2014)

I. Purpose

The CAA was developed jointly by faculty and administrators of the North Carolina Community College System and The University of North Carolina based on the proposed transfer plan approved by both governing boards in February 1996.

The provisions of the originating legislation are consistent with the strategic directions adopted by The University of North Carolina Board of Governors, the first of which is to "expand access to higher education for both traditional and non-traditional students through...uniform policies for the transfer of credit from community colleges to constituent institutions...development of electronic information systems on transfer policies, off-campus instruction, and distance education...[and] increased collaboration with other education sectors...." Similarly, the State Board of Community Colleges has established the education continuum as one of seven critical success factors used to measure the performance of programs consistent with the workforce development mission of the North Carolina Community College System. College-level academic courses and programs have been a part of the mission and programming of the North Carolina Community College System from its inception in 1963.

The Board of Governors and the State Board of Community Colleges are committed to further simplifying the transfer of credits for students and thus facilitating their educational progress as they pursue associate or baccalaureate degrees within and among public post-secondary institutions in North Carolina.

II. History

The two Boards approved a "Proposed Plan to Further Simplify and Facilitate Transfer of Credit Between Institutions" at their meetings in February 1996. This plan was submitted as a preliminary report to the Joint Legislative Education Oversight Committee in March 1996. Since that time, significant steps have been taken toward implementation of the transfer plan. At their April 1996 meetings, the Boards appointed their respective sector representatives to the Transfer Advisory Committee to direct, coordinate, and monitor the implementation of the proposed transfer plan. The Transfer Advisory Committee membership is listed in Appendix D.

Basic to the work of the Transfer Advisory Committee in refining transfer policies and implementing the transfer plan has been the re-engineering project accomplished by the North Carolina Community College System, especially common course names, numbers, credits, and descriptions. The Community College Combined Course Library includes approximately 3,800 semester-credit courses written for the associate degree, diploma, and certificate programs offered in the system. Colleges select courses from the Combined Course Library to design all curriculum programs.

Of approximately 700 arts and sciences courses within the Combined Course Library, the faculty and administrators of the community colleges recommended approximately 170 courses as appropriate for the general education transfer core. The Transfer Advisory Committee then convened a meeting on May 28, 1996, at which six University of North Carolina faculty in each of ten general education discipline areas met with six of their professional counterparts from the community colleges.

Through a very useful and collegial dialog, these committees were able to reach consensus on which community college courses in each discipline were acceptable for transfer to University of North Carolina institutions as a part of the general education core. This list of courses was distributed to all University of North Carolina and community college institutions for their review and comments. Considering the recommendations of the general education discipline committees and the comments

from the campuses, the Transfer Advisory Committee established the list of courses that constitutes the general education transfer core. This general education core, if completed successfully by a community college student, is portable and transferable as a block across the community college system and to all University of North Carolina institutions.

With the establishment of the general education core as a foundation, joint academic disciplinary committees were appointed to draw up guidelines for community college curricula that will prepare students for intended majors at University of North Carolina institutions. Each committee consisted of representatives from each UNC institution offering such major programs and eight to ten representatives from community colleges. The Transfer Advisory Committee distributed the pre-majors recommended by the faculty committees to all University of North Carolina and community college institutions for their review and comments. Considering the faculty committee recommendations and the campus comments, the Transfer Advisory Committee established pre-majors which have significant numbers of transfers from the community colleges to the University of North Carolina institutions.

The special circumstances surrounding transfer agreements for associate in applied science programs, which are not designed for transfer, require bilateral rather than statewide articulation. Special circumstances include the different accreditation criteria for faculty in transfer and non-transfer programs, the different general education requirements for transfer and non-transfer programs, and the workforce preparedness mission of the technical/community college AAS programs.

A major element in the proposed transfer plan adopted by the two boards in February 1996 is the transfer information system. Simultaneously with the work being done on the general education and professional specialization (major) components of the transfer curriculum, the joint committee on the transfer information system laid out a plan, approved by the Boards of The University of North Carolina and the North Carolina Community College System, "to provide students with accurate and understandable information regarding the transfer of credits...[and] to increase the adequacy and availability of academic counseling for students who are considering a college transfer program." In addition to the printed publications currently being distributed to students, transfer counselors, admissions directors, and others, an electronic information network provides (1) electronic access to the articulation database which will include current transfer policies, guidelines, and on-line catalogs for public post-secondary institutions; (2) computerized common application forms, which can be completed and transmitted electronically along with transcripts and other education records; and (3) an electronic mail network for transfer counselors and prospective transfer students. Access to the e-mail network is available in the transfer counselors' offices and other selected sites on campuses.

The final element of the transfer information system is the Transfer Student Academic Performance Report. This report, recently refined with suggestions from community college administrators, is sent annually to each community college and to the State Board of Community Colleges. These data permit the rational analysis of transfer issues and are beneficial to students and to educational and governmental decision-makers. This performance report provides the important assessment component necessary for evaluating and improving the transfer process.

Appendix C

Transfer Advisory Committee Procedures

Articulation between the North Carolina Community College System and The University of North Carolina is a dynamic process. To ensure the currency of the Comprehensive Articulation Agreement (CAA), occasional modifications to the CAA may be necessary. These modifications may include the addition, deletion, and revision of courses on the transfer list, development and/or revision of pre-majors, and changes in course designation (i.e. additions to UGETC list or changing a course from general education to elective). The TAC will receive requests for modification only upon the recommendation of the chief academic officer of the NCCCS or UNC. Additions, deletions, and modifications may be subject to faculty review under the direction of the TAC. Because the modification process involves faculty and administrative review, this process may require up to 12 months for final action.

For purposes of this Comprehensive Articulation Agreement between the University of North Carolina and Louisburg College, Louisburg College agrees to follow those changes made by the TAC for the agreement between the University of North Carolina and the North Carolina Community College System. The University of North Carolina will communicate any changes made to Louisburg College in a timely manner.

Additions to the Universal General Education Transfer Component

(See Form CAA-02)

Courses currently included on the approved transfer course list may be considered for inclusion as a Universal General Education Transfer Component (UGETC) course through the following procedures:

1. The Chief Academic Officer (CAO) of any subscribing institution submits a written request for a change in course status to the CAO of the respective system. The request should include the rationale for the revised status.
2. The system CAO then submits the request to the Director of Community College Partnerships at UNC System.
3. The Director of Community College Partnerships will send the request to the Chief Academic Officers of the universities. If all the universities approve of the addition, the recommendation will be sent to the TAC and the CAOs of the two systems.
4. If all universities do not approve the request, the Director of Community College Partnerships may assemble a discipline team comprised of university and community college faculty to see if the course can be revised in a manner that will be acceptable for inclusion in the UGETC. If so, the revised course will be sent to the university CAOs for consideration.
5. If all the universities approve of the addition of the revised course, the recommendation will be sent to the TAC and the CAOs of the two systems. If the addition request is not approved by the universities, this will be submitted to the TAC and the CAOs of the two systems for information.

6. After the TAC has taken action on the request, the North Carolina Community College System Office will distribute notification of action taken to the requesting college or to the entire North Carolina Community College System, if applicable. The UNC System will distribute notice of actions as appropriate to its campuses.
7. Louisburg College agrees to follow the policies and decisions of the TAC.

Addition of Courses to the Transfer List

(See Form CAA-01)

Courses in the Combined Course Library that are not on the CAA transfer list may be recommended for inclusion by a participating institution through the following process:

1. For community colleges, the CAO of the college submits a written request for inclusion on the transfer list either as a general education, a pre-major or elective course to the CAO of one of the UNC institutions. If the university will accept the course, and believes it should be recommended for statewide consideration, the CAO will endorse the request, indicating the transfer designation (General Education, Pre-major, or Elective) and forward it to the Director of Community College Partnerships and the CAOs of the two systems.
2. For universities, the CAO of the university will partner with the CAO of a community college and send the request to the Director of Community College Partnerships and the CAOs of the two systems.
3. The NCCCS Office will solicit a response from all community colleges approved to offer the course, and a two-thirds favorable response is required for the change to be pursued. The CAO at UNC may seek input from its respective campuses as he/she deems appropriate.
4. The CAO of either system may submit the request for action to the TAC a minimum of thirty days prior to the next TAC meeting.
5. The TAC reviews the request. Any member of the TAC may request that a course be referred to the Faculty Review Committee. For all courses that are approved, the committee records their action and rationale of action.
6. The NCCCS Office will distribute notification of action taken to the requesting college or to the entire North Carolina Community College System, if applicable. The UNC System will distribute notice of actions as appropriate to its campuses.
7. Louisburg College agrees to follow the policies and decisions of the TAC.

Deletion of a Course from the Transfer List

(See Form CAA-01)

The CAO of any participating community college or university may request that a course be removed from the CAA transfer list by following similar procedures as outlined in items 1-6 in the **Addition of Courses to the Transfer List** above. The NCCCS Office will review and recommend annually to the TAC courses on the CAA transfer list that are not taught at any community college for at least two years to be considered for removal from the transfer list. Louisburg College agrees to follow the policies and decisions of the TAC.

Change in the CAA Designation of a Course

(See Form CAA-03)

The CAO of any participating community college or university may request a change in the designation of a course in the CAA (i.e. Elective to General Education or Pre-Major) by sending the request and rationale to the CAOs of the two systems. Either of the system CAOs may submit the request to the TAC for action. Louisburg College agrees to follow the policies and decisions of the TAC.

Louisburg College, for purposes of the three items above (addition, deletion, change to CAA designations) will be treated as though it were a North Carolina Community College.

The Faculty Review Process

Any member of the TAC may request that a course under consideration be forwarded to the Faculty Review Committee. The Faculty Review Committee will be asked to review the course and the proposed action.

1. The Faculty Review Committee will consist of the following representatives:
 - a. 3 UNC faculty members
 - b. 3 NCCCS faculty members
2. Appointments to the committee will be for three years but may be renewed.
3. The Faculty Review Committee will receive a request to review a course(s) from the assigned representative(s) of the TAC within one week of the TAC meeting where the request was made.
4. Faculty will be asked to forward their comments, suggestions, and recommendations to one faculty representative from each sector. These three faculty members will then forward a composite report and recommendation to the assigned representative(s) of the TAC prior to the next scheduled TAC meeting.

The assigned representative(s) of the TAC will report the results of the Faculty Review Committee at the next TAC scheduled meeting for action.

Approval of the requested action will require a majority of the TAC members.

Comprehensive Articulation Agreement (CAA) Transfer Course List Course Addition/Deletion Form CAA-01

Occasional modifications to the CAA may be necessary to ensure currency. These modifications may include the addition or deletion of courses on the transfer list. The Transfer Advisory Committee (TAC) will receive requests for additions and deletions only upon the recommendation of the Vice President of the North Carolina Community College System or University of North Carolina System. Course additions and deletions may be subject to faculty review under the direction of the TAC. Because modification of the CAA involves faculty and administrative review, this process may require up to 12 months for final action. If the request is approved, notification will be distributed to the entire North Carolina Community College System and UNC institutions. If the request is denied, the requesting party(s) will be informed.

Course Information:

Three-Letter Prefix: _____ Three-Letter Number: _____

Course Title: _____

Hours: _____ Classroom: _____ Lab _____ Clinical _____ Work Experience _____ Total _____

Prerequisites: _____ Corequisites: _____

Course Description:

The Chief Academic Officer of **any** participating community college or university may request that a course be **removed** from the CAA transfer list. **Both** a community college and a university must partner to request the **addition** of a course to the transfer list. The university endorsement signifies that the university accepts the course and believes the course should be recommended for statewide consideration.

Name of the Community College: _____

Name of UNC Senior Institution: _____

____ would like for the above course to be **added to** the CAA transfer course list with a status of:

____ Pre-Major/Elective

____ General Education or ____ UGETC for the following discipline:

____ Communications ____ Humanities/Fine Arts ____ Math

____ Social/Behavioral Science ____ Science

____ would like for the above course to be **deleted** from the CAA transfer course list

Please provide rationale for the course addition or deletion: *(additional page may be utilized)*

APPENDIX H

Signature of Chief Academic Officer NCCCS College

Date

Signature of Chief Academic Officer UNC Senior Institution

Date

Please submit the completed and signed request to all of the following three representatives:

Kimberly Gold, Ed.D.
Senior Vice President, Programs
Academic and Student Services
North Carolina Community College System
5016 Mail Service Center
Raleigh, NC 27699-5016

Kimberly van Noort, Ph. D.
Senior Vice President for
Academic Affairs
UNC System
Post Office Box 2688
Chapel Hill, NC 27514

Laura Bilbro-Berry, Ed.D
Director of Community College Partnerships
UNC System Office
P.O. Box 2688
Chapel Hill, NC 27515

Upon receipt of the form, either Vice President may indicate endorsement of the request and send the request to the Transfer Advisory Committee for action a minimum of thirty days prior to the TAC meeting. The NC Community College System Office will solicit a response from all community colleges approved to offer the course and include the results of the vote along with their endorsement. The CAO at UNC *may* seek input from its respective campuses as deemed appropriate.

Please Note: New, proposed courses that are not currently in the NC Community College Combined Course Library must first be submitted to the NCCCS Curriculum Review Committee, by a community college, accompanied by a request for addition to the Combined Course Library. Please see Section 15 of the Curriculum Procedures Reference Manual at: <http://www.nccommunitycolleges.edu/academic-programs/curriculum-procedures-reference-manual-cprm>

Page 2 of 2- CAA01 Form

**Comprehensive Articulation Agreement Transfer Course List
Change of Course Status to Universal General Education Transfer Component (UGETC)
Form CAA02**

Occasional modifications to the CAA may be necessary to ensure currency. These modifications may include a change in a transfer course designation from general education or pre-major/elective to Universal General Education Transfer Component (UGETC). The Transfer Advisory (TAC) will receive requests for modification only upon the recommendation of the Vice President of the North Carolina Community College System or University of North Carolina-General Administration. Modifications may be subject to faculty review under the direction of the TAC. Because modification of the CAA involves faculty and administrative review, this process may require up to 12 months for final action. If the request is approved notification will be distributed to the entire NC Community College System and UNC institutions. If the request is denied, the requesting party(s) will be informed.

Course Information:

Three-Letter Prefix: _____ Three-Letter Number: _____

Course Title: _____

Hours: Classroom: _____ Lab _____ Clinical _____ Work Experience _____ Total _____

Prerequisites: _____ Corequisites: _____

Course Description:

Name of the Community College: _____
and

Name of UNC Senior Institution: _____

would like for the above course to receive the UGETC status. The course is currently on the CAA transfer course list and is designated as:

_____ pre-major/elective

_____ General Education under the following discipline:

_____ Communications

_____ Humanities/Fine Arts

_____ Social/Behavioral Science

_____ Mathematics

_____ Natural Science

Please provide rationale for the UGETC classification: *(additional page may be utilized)*

Signature of Chief Academic Officer NCCCS College

Date

and

Signature of Chief Academic Officer UNC Senior Institution

Date

The completed and signed form should be sent to:

Laura Bilbro-Berry, Ed.D
Director of Community College Partnerships
UNC System Office
P.O. Box 2688
Chapel Hill, NC 27515

The NC Community College System Office will solicit a response from all community colleges approved to offer the course. The Director of Community College Partnerships will send the request to the Chief Academic Officers of the universities. If all of the universities approve of the UGETC designation, the recommendation will be sent to the Transfer Advisory Committee and the Vice Presidents of the two systems.

If all universities do not approve the request, the Director of Community College Partnerships may assemble a discipline team comprised of university and community college faculty to see if the course can be revised in a manner that will be acceptable for inclusion in the UGETC. If so, the revised course will be sent to the university CAOs for UGETC consideration.

If all the universities approve of the UGETC designation of the revised course, the recommendation will be sent to the TAC and the Vice Presidents of the two systems. If the request is not approved by the universities, this will be submitted to the TAC and the Vice Presidents of the two systems for information.

**Comprehensive Articulation Agreement (CAA) Transfer Course List
Change of Course Designation to Pre-Major/Elective or General Education
Form CAA03**

Occasional modifications to the CAA may be necessary to ensure currency. These modifications may include a change in the transfer course designation to general education or pre-major/elective. The Transfer Advisory (TAC) will receive requests for modification only upon the recommendation of the Vice President of the North Carolina Community College System or University of North Carolina-General Administration. Modifications may be subject to faculty review under the direction of the TAC. Because modification of the CAA involves faculty and administrative review, this process may require up to 12 months for final action. If the request is approved, notification will be distributed to the entire NC Community College System and UNC institutions. If the request is denied, the requesting party(s) will be informed.

Course Information:

Three-Letter Prefix: _____ Three-Letter Number: _____

Course Title: _____

Hours: Classroom: _____ Lab _____ Clinical _____ Work Experience _____ Total _____

Prerequisites: _____ Corequisites: _____

Course Description:

The above course is currently designated on the CAA transfer course list as:

_____ Pre-major/Elective

_____ General Education or _____ UGETC under the following discipline:

_____ Communications _____ Humanities/Fine Arts

_____ Social/Behavioral Science _____ Mathematics _____ Natural Science

We would like to request that the designation of the course be changed to:

_____ Pre-major/Elective

_____ General Education under the following discipline:

_____ Communications _____ Humanities/Fine Arts

_____ Social/Behavioral Science _____ Math _____ Natural Science

Please note that a UGETC form (CAA02) is required for a UGETC designation request.

Name of the:

Community College making request: _____

or

UNC Senior Institution making request: _____

Please provide rationale for the course designation change and any indications of support from partnering institution(s): (additional page may be utilized)

Signature of Chief Academic Officer NCCCS College

Date

or

Signature of Chief Academic Officer UNC Senior Institution

Date

Change in the CAA Designation of a Course

The Chief Academic Officer of **any** participating community college **or** university may request a change in the designation of a course in the CAA by sending the completed and signed request to the Vice Presidents of both systems. **Please submit the signed request to both:**

Kimberly Gold, Ed.D.
Senior Vice President, Programs
Academic and Student Services
North Carolina Community College System
5016 Mail Service Center
Raleigh, NC 27699-5016

Kimberly van Noort, Ph. D.
Senior Vice President for
Academic Affairs
UNC System
Post Office Box 2688
Chapel Hill, NC 27514

Upon receipt of the form, either Vice President may indicate endorsement of the request and send the form to the Director of Community College Partnerships at UNC System. The NC Community College System Office will solicit a response from all community colleges approved to offer the course and include the results of the vote along with their endorsement. The CAO at UNC *may* seek input from its respective campuses as deemed appropriate.

Appendix D
Transfer Advisory Committee 2019-2020

NCCCS Members

Tracy Mancini, Co-Chair

Vice President of Instruction and Student Support
Carteret Community College
3505 Arendell Street
Morehead City, NC 28557
Phone: 252-222-6144
Email: mancinit@carteret.edu

Jonathan Loss, Member

Mathematics Department Head
Catawba Valley Community College
2550 Highway 70 SE
Hickory, NC 28602
Phone: 828-327-7000, x4526
Fax: 828-324-5130
Email: jloss@cvcc.edu

Jewel Cherry, Member

Vice President, Student Services
Forsyth Tech Community College
2100 Silas Creek Parkway
Winston-Salem, NC 27103
Phone: 336-734-7520
Email: jcherry@forsythtech.edu

Harry Starnes, Member

Vice President of Instruction
Edgecombe Community College
2009 W. Wilson Street
Tarboro, NC 27886
(252)-823-5251
Email: starnesh@edgecombe.edu

North Carolina Community College System Representative

Wesley Beddard, Representative

Associate Vice President for Programs
NC Community College System Office
5016 Mail Service Center
Raleigh, NC 27699-5016
Phone: 919-807-7098, Fax: 919-807-7173
Email: beddardw@nccommunitycolleges.edu

University of North Carolina System Members:
TBD, Co-chair (elected August 2019)

Angela Anderson, Member

Assistant Vice Chancellor and University Registrar
East Carolina University
Uptown 207
Greenville, N.C. 27858
Phone: (252) 737-5118, Fax: (252) 328-1505
Email: andersona@ecu.edu

Philip Cauley, Member

Assistant Vice Chancellor for Undergraduate Enrollment
Western Carolina University
102 Cordelia Camp Building
Cullowhee, NC 28723
Phone: 828-227-2923, Fax: 828-227-7319
Email: cauley@email.wcu.edu

Jane Rex, Member

Director, Office of Transfer Services
Appalachian State University
ASU Box 32166, Boone, NC 28698
Phone: 828-262-7465, Fax: 828-262-7462
Email: rexjm@appstate.edu

Denettia Shaw, Member

Director of Transfer Services
North Carolina Central University
1801 Fayetteville St.
Durham, NC 27707
Phone: (919) 530-6687, Fax: (919) 530-5550
Email: dshaw9@nccu.edu

Laura Bilbro-Berry, UNC System Office Representative

Director of Community College Partnerships
Division of Academic Affairs
910 Raleigh Road | Chapel Hill, NC 27514
Phone: 919-962-4934
lbilbroberry@northcarolina.edu

Appendix E

Comprehensive Articulation Agreement Transfer Credit Appeal Procedure

University of North Carolina/North Carolina Community College System

Guiding Principle: If a student from Louisburg College believes the terms of the Comprehensive Articulation Agreement (CAA) have not been honored by a University of North Carolina (UNC) institution to which the student has been admitted, the student may invoke the CAA Transfer Credit Appeal Procedure.

Steps in Filing an Appeal

Step #1:

- **By the last day of classes of the first semester for which admission is offered**, the student must submit a CAA Transfer Credit Appeal Form along with any supporting documentation to the director of admission at the UNC campus to which the student has been admitted. Students first enrolling at the senior institution in a summer session must submit their appeal by the end of the subsequent fall semester.
- **The student must specify on the appeal form the specific CAA language that is in contention. Appeals that lack this information will not be considered.**
- The Director of Admission will review the appeal and respond in writing (email or letter) to the student within 15 business days.

Step #2:

- If the student is not satisfied with the decision of the Director of Admission, he/she may appeal on the same form to the **Chief Academic Officer (Provost)** of the University within 15 days of written notice of the director's decision.
- The Provost will review the appeal and respond in writing (email or letter) to the student within 15 business days of receiving the student's appeal.

Step #3

- If the student is not satisfied with the decision of the Provost, he/she may appeal to the Transfer Advisory Committee (TAC) subcommittee, composed of the Co-chairs, a representative from the UNC General Administration, and a representative from the NCCCS. The student must submit the appeal to the subcommittee within 15 days of the receipt of the Provost's decision. The appeal to the TAC subcommittee should be sent to:

UNC System Transfer Advisory Committee Member CAA Appeal
PO Box 2688
Chapel Hill, NC 27515

If a consensus is reached by the subcommittee, the student will be notified within 15 business days; if a consensus resolution is not reached, the appeal will be forwarded by the subcommittee to the full TAC within 10 business days. The TAC will review the appeal and notify the student of the final decision within 10 business days of receiving the appeal.

Comprehensive Articulation Agreement Transfer Credit Appeal Procedure

University of North Carolina/Louisburg College

Section 1: Student Information *(to be completed by the student submitting the form)*

- The completed form and any supporting documentation **must be submitted to the UNC institution's Director of Admission by the last day of classes of the first semester for which admission is offered.**
- You must specify the nature of the appeal and cite the specific CAA language that is in contention. Appeals that do not include this information cannot be considered.

Last Name: _____ First: _____ MI: _____
(Please print or type)

Address: _____
(Number and Street) (City) (State) (Zip)

Telephone: _____ Email: _____
(Area code/Number)

Date of Louisburg College Graduation: _____

UNC institution offering admission: _____ beginning (semester/yr) _____

Section 2: Basis for your appeal

- State your concern(s), citing specific language in the CAA that is applicable to your contention. Attach supporting documents.
- The CAA may be found at the North Carolina Community Colleges System website:
<http://www.nccommunitycolleges.edu/academic-programs/college-transferarticulation-agreements>.

Student Signature: _____ Date: _____

Appendix F

Associate in Arts and Associate in Science Curriculum Standards

Associate in Arts (A10100) Curriculum Standard

Effective Term:
Summer 2016

The Associate in Arts degree shall be granted for a planned program of study consisting of a minimum of 60 semester hours of credit (SHC) of college transfer courses. Within the degree program, the institution shall include opportunities for the achievement of competence in reading, writing, oral communication, fundamental mathematical skills, and basic computer use.

Courses are approved for transfer through the Comprehensive Articulation Agreement (CAA). The CAA enables Louisburg College graduates of two-year associate in arts programs who are admitted to constituent institutions of The University of North Carolina to transfer with junior status.

Louisburg College graduates must obtain a grade of "C" or better in each course and an overall GPA of at least 2.0 on a 4.0 scale in order to transfer with a junior status. Courses may also transfer through bilateral agreements between institutions.

GENERAL EDUCATION (45 SHC) The general education common course pathway includes study in the areas of English composition; humanities and fine arts; social and behavioral sciences; natural sciences and mathematics.

UNIVERSAL GENERAL EDUCATION TRANSFER COMPONENT

(All Universal General Education Transfer Component courses will transfer for equivalency credit.)

English Composition (6 SHC)

The following two English composition courses are required.

ENG 111	Writing & Inquiry	(3 SHC)
ENG 112	Writing/Research in the Disciplines	(3 SHC)

Select three courses from the following from at least two different disciplines (9 SHC)

Communications

COM 231	Public Speaking	(3 SHC)
---------	-----------------	---------

Humanities/Fine Arts

ART 111	Art Appreciation	(3 SHC)
ART 114	Art History Survey I	(3 SHC)
ART 115	Art History Survey II	(3 SHC)
ENG 231	American Literature I	(3 SHC)
ENG 232	American Literature II	(3 SHC)
ENG 241	British Literature I	(3 SHC)
ENG 242	British Literature II	(3 SHC)
MUS 110	Music Appreciation	(3 SHC)
MUS 112	Introduction to Jazz	(3 SHC)
PHI 215	Philosophical Issues	(3 SHC)
PHI 240	Introduction to Ethics	(3 SHC)

Social/Behavioral Sciences

Select three courses from the following from at least two different disciplines (9 SHC):

ECO 251	Principles of Microeconomics	(3 SHC)
ECO 252	Principles of Macroeconomics	(3 SHC)
HIS 111	World Civilizations I	(3 SHC)
HIS 112	World Civilizations II	(3 SHC)
HIS 131	American History I	(3 SHC)
HIS 132	American History II	(3 SHC)
POL 120	American Government	(3 SHC)
PSY 150	General Psychology	(3 SHC)
SOC 210	Introduction to Sociology	(3 SHC)

Math (3-4 SHC)*Select one course from the following:*

MAT 143	Quantitative Literacy	(3 SHC)
MAT 152	Statistical Methods I	(4 SHC)
MAT 171	Pre-calculus Algebra	(4 SHC)

Natural Sciences (4 SHC)*Select 4 SHC from the following course(s):*

AST 111	Descriptive Astronomy (3 SHC)	and	AST 111A Descriptive Astronomy Lab (1SHC)
AST 151	General Astronomy I (3 SHC)	and	AST 151A General Astronomy Lab I (1SHC)
BIO 110	Principles of Biology		(4 SHC)
BIO 111	General Biology I		(4 SHC)
CHM 151	General Chemistry I		(4 SHC)
GEL 111	Introductory Geology		(4 SHC)
PHY 110	Conceptual Physics (3 SHC)	and	PHY 110A Conceptual Physics Lab (1 SHC)

ADDITIONAL GENERAL EDUCATION HOURS (13-14 SHC)

An additional 13-14 SHC of courses should be selected from courses classified as general education within the Comprehensive Articulation Agreement. Students should select these courses based on their intended major and transfer university.

Total General Education Hours Required: 45

OTHER REQUIRED HOURS (15 SHC)**Academic Transition (1 SHC)***The following course is required:*

ACA 122	College Transfer Success	(1 SHC)
---------	--------------------------	---------

An additional 14 SHC of courses should be selected from courses classified as pre-major, elective or general education courses within the Comprehensive Articulation Agreement. Students should select these courses based on their intended major and transfer university.

****One semester hour of credit may be included in a 61 SHC associate in arts program of study. The transfer of this hour is not guaranteed.***

Total Semester Hours Credit (SHC) in Program: 60-61*

Students must meet the receiving university's foreign language and/or health and physical education requirements, if applicable, prior to or after transfer to the senior institution.

SBCC and BOG approved 02/21/14; Revised by TAC on 12/02/15.

Associate in Science (A10400)
Curriculum Standard

Effective Term:
 Summer 2016

The Associate in Science degree shall be granted for a planned program of study consisting of a minimum of 60 semester hours of credit (SHC) of college transfer courses. Within the degree program, the institution shall include opportunities for the achievement of competence in reading, writing, oral communication, fundamental mathematical skills, and the basic computer use.

Courses are approved for transfer through the Comprehensive Articulation Agreement (CAA). The CAA enables Louisburg College graduates of two-year associate in science programs who are admitted to constituent institutions of The University of North Carolina to transfer with junior status.

Louisburg College graduates must obtain a grade of "C" or better in each course and an overall GPA of at least 2.0 on a 4.0 scale in order to transfer with a junior status. Courses may also transfer through bilateral agreements between institutions.

GENERAL EDUCATION (45 SHC) The general education common course pathway includes study in the areas of English composition; humanities and fine arts; social and behavioral sciences; natural sciences and mathematics.

UNIVERSAL GENERAL EDUCATION TRANSFER COMPONENT

(All Universal General Education Transfer Component courses will transfer for equivalency credit.)

English Composition (6 SHC) *The following two English composition courses are required.*

ENG 111	Writing & Inquiry	(3 SHC)
ENG 112	Writing/Research in the Disciplines	(3 SHC)

Select two courses from the following from at least two different disciplines (6 SHC)

Communications

COM 231	Public Speaking	(3 SHC)
---------	-----------------	---------

Humanities/Fine Arts

ART 111	Art Appreciation	(3 SHC)
ART 114	Art History Survey I	(3 SHC)
ART 115	Art History Survey II	(3 SHC)
ENG 231	American Literature I	(3 SHC)
ENG 232	American Literature II	(3 SHC)
ENG 241	British Literature I	(3 SHC)
ENG 242	British Literature II	(3 SHC)
MUS 110	Music Appreciation	(3 SHC)
MUS 112	Introduction to Jazz	(3 SHC)
PHI 215	Philosophical Issues	(3 SHC)
PHI 240	Introduction to Ethics	(3 SHC)

Social/Behavioral Sciences (6 SHC)

Select two courses from the following from at least two different disciplines:

ECO 251	Principles of Microeconomics	(3 SHC)
ECO 252	Principles of Macroeconomics	(3 SHC)
HIS 111	World Civilizations I	(3 SHC)
HIS 112	World Civilizations II	(3 SHC)
HIS 131	American History I	(3 SHC)
HIS 132	American History II	(3 SHC)
POL 120	American Government	(3 SHC)
PSY 150	General Psychology	(3 SHC)
SOC 210	Introduction to Sociology	(3 SHC)

Math (8 SHC)

Select two courses from the following:

MAT 171	Precalculus Algebra	(4 SHC)
---------	---------------------	---------

APPENDIX H

MAT 172	Pre-calculus Trigonometry	(4 SHC)
MAT 263	Brief Calculus	(4 SHC)
MAT 271	Calculus I	(4 SHC)
MAT 272	Calculus II	(4 SHC)
Natural Sciences (8 SHC)		
<i>Select 8 SHC from the following course(s):</i>		
AST 151 General Astronomy I (3 SHC)	and	AST 151A General Astronomy Lab I (1SHC)
BIO 110 Principles of Biology		(4 SHC)
BIO 111 General Biology I (4 SHC)	and	BIO 112 General Biology II (4 SHC)
CHM 151 General Chemistry I (4 SHC)	and	CHM 152 General Chemistry II (4 SHC)
GEL 111 Introductory Geology		(4 SHC)
PHY 110 Conceptual Physics (3 SHC)	and	PHY 110A Conceptual Physics Lab (1 SHC)
PHY 151 College Physics I (4 SHC)	and	PHY 152 College Physics II (4 SHC)
PHY 251 General Physics I (4 SHC)	and	PHY 252 General Physics II (4 SHC)
ADDITIONAL GENERAL EDUCATION HOURS (11 SHC)		
An additional 11 SHC of courses should be selected from courses classified as general education within the Comprehensive Articulation Agreement. Students should select these courses based on their intended major and transfer university.		
Total General Education Hours Required: 45		
OTHER REQUIRED HOURS (15 SHC)		
Academic Transition (1 SHC)		
<i>The following course is required:</i>		
ACA 122 College Transfer Success		(1 SHC)
An additional 14 SHC of courses should be selected from courses classified as pre-major, elective or general education courses within the Comprehensive Articulation Agreement. Students should select these courses based on their intended major and transfer university.		
*One semester hour of credit may be included in a 61 SHC associate in science program of study. The transfer of this hour is not guaranteed.		
Total Semester Hours Credit (SHC) in Program: 60-61*		

Students must meet the receiving university's foreign language and/or health and physical education requirements, if applicable, prior to or after transfer to the senior institution.

SBCC and BOG approved 02/21/14; Revised by TAC on 12/02/15.

Appendix G

Transfer Course List

The Transfer Course List is located at:

[Transfer Course List](#)

**Policy on Awarding Undergraduate Credit on the
Basis of Advanced Course Examination Scores**

I. Purpose. N.C. Gen. Stat. § 115C-174.26 (hereinafter G.S.), establishes the intent of the state to enhance accessibility and encourage students to complete rigorous advanced courses at the secondary level. The state has defined advanced courses as Advanced Placement (AP), International Baccalaureate (IB) Diploma Programme, and Cambridge International Advanced Subsidiary (AS) Level and Cambridge International Advanced (A) Level. Students enrolled in North Carolina public schools are exempt from paying any fees for the administration or registration of examinations for these Advanced Courses. With this substantial support from the state of North Carolina, students in the state's high schools have the opportunity to earn credit toward a postsecondary degree via AP, IB, and Cambridge A Level and AS Level examinations.

It is therefore in the best interest of North Carolina's students that the University of North Carolina's (UNC) System constituent institutions award undergraduate credit on the basis of Advanced Course examination scores in a uniform manner, and that potential students and their families receive clear and consistent information regarding this awarding of undergraduate credit. Furthermore, it is in the best interest of students and the state that UNC System undergraduate students who prove that they have completed college-level work via one of these state-supported Advanced Course examinations receive credit so that they might complete a degree in a timelier manner.

Accordingly, the constituent institutions shall adopt policies governing the awarding of undergraduate credit on the basis of Advanced Course examination scores not inconsistent with this policy.

II. Awarding Credit for Advanced Course Examination Scores. UNC System constituent institutions shall award appropriate credit to undergraduates who have earned a Qualified Advanced Course Examination Score, as defined in the Regulation on Awarding Undergraduate Credit on the Basis of Advanced Course Examination Scores, Section 700.10.1[R] of the UNC Policy Manual. Any exceptions to this policy must be approved by the institution's board of trustees in accordance with the guidance described in Section 700.10.1[R] of the UNC Policy Manual.

III. Report on Exceptions Granted. An institution must report any exceptions granted by its board of trustees, and the reasons and evidence for those exceptions, to the president annually no later than July 1.

IV. Relationship to Other Credit Programs. The purpose of this policy is to provide a standard minimum consideration of college credit for Advanced Courses, as defined by G.S. 115C-174.26. This policy does not preclude UNC System constituent institutions from electing to award additional college credit for other scores on the AP, IB, Cambridge A-Level, or Cambridge AS-Level exams, or for acceptable performance in other programs as identified by the constituent institution.

V. Other Matters

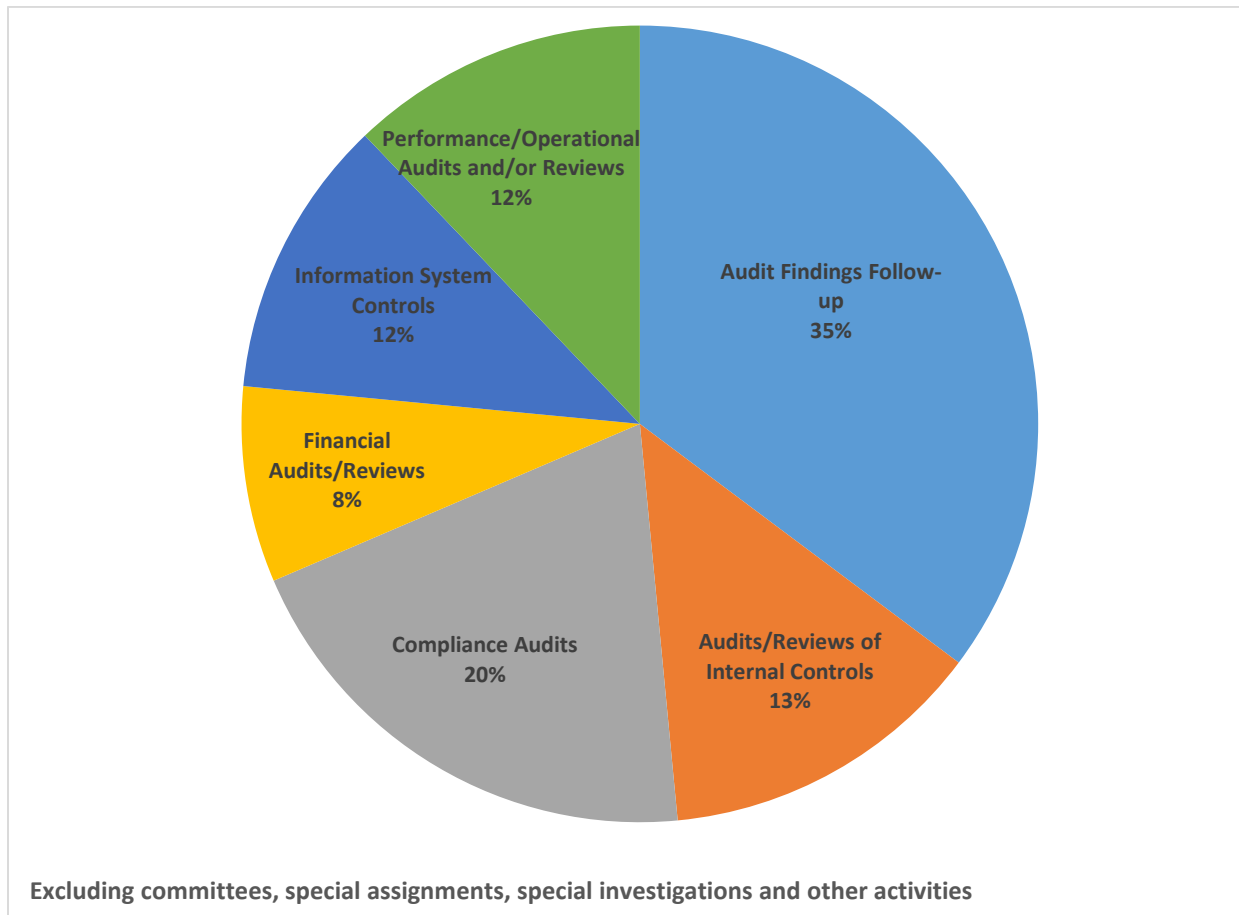
A. Effective Date. The requirements of this policy with regard to AP examinations shall be effective as of the 2019-20 academic year and thereafter; the requirements of this policy with regard to IB and Cambridge AS-Level and A-Level examinations shall be effective as of the 2020-21 academic year and thereafter. Requirements are stipulated further in Section 700.10.1[R] of the UNC Policy Manual.

B. Relation to Federal and State Laws. The foregoing policy as adopted by the Board of Governors is meant to supplement, and does not purport to supplant or modify, those statutory enactments which may govern or relate to the subject matter of this policy.

C. Regulations and Guidelines. This policy shall be implemented and applied in accordance with such regulations and guidelines as may be adopted from time to time by the president.

Planned Internal Audit Work for Fiscal Year 2019-2020

Planned assignments range from financial, compliance, and operational audits, to reviews of general internal controls as well as information system controls. Based on the chart presented below, most of the planned internal audit hours will be devoted to audit finding follow-up, compliance audits, and audits/reviews of internal controls.



Annual internal audit plans are developed at each institution and result from a comprehensive risk-based analysis of specific operations in relation to the institutions' operations as a whole. Once a plan is drafted by the internal audit department, it is forwarded to management for review and approval. Ultimately, the plan is presented to and approved by the institutions' board of trustees. As per the Board of Governors CARMC charter, these institutions' plans are forwarded to the UNC System Office for CARMC review and approval. The details of planned internal audit projects are listed by institution in the following pages.

APPENDIX J
Appalachian State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Petty Cash/Change Fund Counts/Receipt Books - 6/30/19
Petty Cash/Change Fund Counts/Receipt Books - 6/30/20
Inventory Testing - 6/30/19
Inventory Testing - 6/30/20
New River Light & Power- 12/31/2019
Athletics - 6/30/2019
New River Light & Power- 12/31/2019
Information System Controls
Access Controls
Information Security - Confidential Data
IT Security Risk Assessment - Annual (12/19) completion and approval
Audits/Reviews of Internal Controls
Departmental Budget Reconciliations
Educational and Technology (E&T) Disbursement Testing
Campus Wide Asset Control
Travel Disbursements
Procurement Card Expenditures Review (to include BOA Works Access testing)
P3: Public/Private Partnerships - Oversight and Controls
Performance/Operational Audits and/or Reviews
Housing
Compliance Audits
NCAA - Paid Attendance Ticket Audit - 2019 Season
GEAR UP Grant - Year 5
Audit Findings Follow-up
Follow-Up - Boys Basketball Camp
Follow-Up - ADA
Follow-Up - Bookstore
Follow-Up - GLBA
Follow-Up - Housing Employee Timecards (2nd Follow-up)
Follow-Up - Controls Over Fund 226104
Follow-up - Volleyball Camp Store (2nd Follow-Up)
Follow-up - HSOM - Marching Band Fees and Merch Sales
Follow-up - Forest Products
Follow-Up - OT Comp to Exempt Employees (2nd Follow-up)
Follow-up - State Financial Audit
Follow-up - State Financial Audit: Single Audit
Follow-up - State IT Audit
Special Investigations
As Occur

APPENDIX J
Appalachian State University
Audit Plan
Year Ending June 30, 2020

Specific Audits	
Special Assignments	
Identity Management Committee	
UNCAA - Office Held: Association Auditor (One Year Term)	
Payment Card Oversight Committee	
QAR - Assessment team	
Pcard Review Committee	
Information Security Advisory Council	
Administrative Institutional Effectiveness Council	
Internal Control Assessments Committee	
Other	
Quality Assurance and Improvement Program (QAIP)	
Auto Audit Implementation	
2018-19 Periodic Comprehensive Review (PCR)	
Data Analytics Implementation Program	

APPENDIX J
East Carolina University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Information System Controls
Technology Security Assessment Process
IT Asset Management (ITCS and non-ITCS)
Controls over Privileged Accounts
Audits/Reviews of Internal Controls
Kronos and Timekeeping (F18032/A16038) (Data Analytics)
PeopleAdmin Position Approval Processes
SoDM Revenue Cycle (Data Analytics)
University Advancement (Gift Valuation and Accounting)
Sponsored Programs Time and Effort Reporting
Data Analytics Review of Payroll, Travel, Athletics, other (TBD)
Unpaid Adjunct Faculty Members
Automated Journal Vouchers Process
Performance/Operational Audits and/or Reviews
ERM Maturity Assessment
Research Compliance Staffing and Funding Model
Compliance Audits
Third Party Service Provider Controls
ADA/504 Compliance
Audit Findings Follow-up
Action Plan Tracking and Follow-Up (this project is used to account for hours following up on recommendations for which a full follow-up engagement will not be completed)
University Youth Programs (A18008)
Student Transit (L18021)
Americorps Grant (2nd Follow-Up) (F19022)
Security Camera Controls (A18017)
Student Conduct Process (A19021)
SoDM CSLCs (A18024)
Special Investigations
Specific engagements not listed here - we have budgeted 2520 hours (15% of the audit plan hours) to this category; as of 7/15/19, three (3) engagements are in process
Special Assignments
Routine/Other Consultations
Routine Data Analytics Support for Clients
University Committees Participation
ProCard Analytics for Chrome River
Assist with AICFR
Student Athlete Course Clustering
University Orientation Materials
Coordinate and Assist with External Audits, SBI Reports, Routine Tasks
Audit Software Admin and Maintenance
Student Intern Program
Required IIA QAIP/Self-Assessment
Develop Assurance Map
Risk Assessment/Audit Planning 2020-2021
Risk Assessment/Audit Planning 2019-2020

APPENDIX J
Elizabeth City State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Information System Controls
Banner Access
Performance/Operational Audits and/or Reviews
Athletic Operations
Student Health Services
Compliance Audits
Student Judicial Process
Audit Findings Follow-up
Admissions Operations
Financial Aid Operations
Office of State Auditor Reviews
Travel Process
Pro Card
Contracts and Grants
Associated Entity
Special Investigations
Pending
Special Assignments
Consultations and Advisory Services/Committees
Outreach-Training (Internal Control)
Risk Assessment/Audit Planning

APPENDIX J
Fayetteville State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Information System Controls
Implementation of UNC System Policy 1400.1 (IT Governance) and 1400.3 (User Identity and Access Control)
Audits/Reviews of Internal Controls
Internal Control Questionnaire
Performance/Operational Audits and/or Reviews
Departmental Budget Procedures
Departmental Asset Inventories
Quarterly Cash Counts
Compliance Audits
Compliance with the Clery Act
PCI Data Security Compliance
Title IX Compliance
Banner Payroll Operations
Selected Aspects of the Athletic Department
Contracts and Purchase Card Review
Admissions Office
Special Investigations
UNC System Hotline Referral - International Education
Hotline Referral OSBM
Special Assignments
Banner Steering Committee
Internal Control Committee
Monitor University Helpline
Controller Search Committee

APPENDIX J
North Carolina A&T State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Information System Controls
BDM Xtender
Audits/Reviews of Internal Controls
Tuition Surcharge Process
Assessment of Internal Controls over Financial Reporting
Performance/Operational Audits and/or Reviews
University Travel Card
Compliance Audits
NCAA Compliance Phase II
Review of Selected Research Grants/Post Award
Audit Findings Follow-up
Review of Selected University Policies and Practices
US Department of Education - Student Financial Aid
4th Quarter Review Conflict of Interest Form Submission Process Follow-up
Review of Student Organization's Financial Records
Special Investigations
Investigation - In Progress 1
Investigation - In Progress 2
Investigation - In Progress 3
Investigation - Pending
Special Assignments
Committee Assignments - IT Security Advisory Committee, Clery, Internal Control Committee, etc.
Routine Consultations
NC State Ethics Commission Liaison
OSA Investigative Liaison
UNCAA Fall Conference - Triad Region Host
Other
Risk Assessment/Audit Plan
Required Internal Self Assessment (Quality Assurance Review
Quality Assurance Review - Team Member (Reciprocation)

APPENDIX J
North Carolina Central University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Health & Safety Audit
Sports Performance Audit
Advancement Services
Information System Controls
ITS- Disaster Recovery Plan
Performance/Operational Audits and/or Reviews
University Police Operations
Compliance Audits
Purchasing
Athletics Compliance- Academics
Financial Aid
Audit Findings Follow-up
University College
Unidentified Follow-ups
Special Investigations
Unidentified Investigations
Special Assignments
Brite- A Financial Review

APPENDIX J
North Carolina School of Science and Mathematics
Audit Plan
Year Ending June 30, 2020

Specific Audits
Compliance Audits
Review of Construction and Repair & Renovation Activity
Review of Additional Pay Policies and Procedures
Audit Findings Follow-up
Develop new Follow-up Tracking, Monitoring, and Reporting Process
Special Investigations
Unplanned / Various: Hold for unexpected investigations of internal or external hotline reports and other similar reported incidents.
Special Assignments
Advisory Services: ERM Working Group
Advisory Services: NCSSM-Morganton Planning
Advisory Services: Finance & Human Resources Policy/Procedures
Advisory Services: Foundation & Advancement Policies/Procedures
Advisory Services: Information Technology Policies/Procedures
Other Routine Projects: NCSSM Annual Self-Assessment of Internal Controls over Financial Reporting; Charter Updates; Annual Certification Letters; External Auditor Assistance; Other Unplanned Projects
Other
Risk Assessment/FY2020 Audit Plan Development
Risk Assessment/FY2021 Audit Plan Development
Board & Management Meetings
Unit Oversight, Marketing, Quality Assurance Improvement

APPENDIX J
North Carolina State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Poole College of Management - Financial Business Processes
Information System Controls
Office of Finance and Administration - Environmental Health and Public Safety - Security Applications and Technologies - Physical Access Services
Office of Finance and Administration - Facilities - Energy Management Systems - Cyber Security for University Power and Water Systems
Performance/Operational Audits and/or Reviews
College of Agriculture and Life Sciences - Prestage Department of Poultry Science
College of Humanities and Social Sciences - Institute for Nonprofits - Business Processes
College Information Technology Maturity Assessment
Title IX Governance Processes
Wilson College of Textiles - Nonwovens Institute - Business Processes
Compliance Audits
Administration and Compliance Over Salary Supplements
Office of Finance and Administration - Facilities - Informal Construction Contracts Award Process
Audit Findings Follow-up
Audit of Expenditures from Special Academic Program Resources
Campus Enterprises - NC State Dining - Vendor Processes Fraud Risk Assessment
Campus Enterprises - NC State Stores - Vendor Processes Fraud Risk Assessment
College of Agriculture and Life Sciences - Cooperative Extension Services - Business Process Governance
College of Agriculture and Life Sciences - Prestage Department of Poultry Science - Feed Mill Education Unit Investigation [Phase 2]
College of Engineering - Materials Science and Engineering - Investigation of a Faculty Member's Research Administration Activities
College of Engineering - Materials Science and Engineering - Purchasing Investigation
College of Engineering - Materials Science and Engineering - Vendor Management Investigation
College of Sciences - General Information Technology Controls
Non-Salary Year End Transfer of Expenses
User Controls Over Ultra-Sensitive Data
Special Investigations
As Occur
Special Assignments
Health Insurance Portability and Accountability Act (HIPAA) Security Implementation Project
Research Administration System Replacement - ERA (Enterprise Research Administration)
University Information Technology (IT) Governance Committees

APPENDIX J
University of North Carolina at Asheville
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Construction Payment Process and Funding Model
Information System Controls
Banner IT Reporting of System Changes
Campus Security Training
Audits/Reviews of Internal Controls
Assessment of Internal Controls over Financial Reporting
Performance/Operational Audits and/or Reviews
Athletics Box Office
Audit Findings Follow-up
Follow up on prior recommendations
Special Investigations
As Occur
Special Assignments
Enterprise Risk Management
Information Security and Governance
KPI Reporting
Athletics Peripheral Systems
Routine Consultations (Employee Offboarding, Purchasing Review Thresholds, System Implementations)
Risk Assessment
Other
Internal Audit Intern
Quality Improvement Program Activities

APPENDIX J
University of North Carolina at Charlotte
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Athletic Ticket Revenue Audit
Information System Controls
Data Security Plans Verification
IT Network/Cyber Security Review
General Computer Controls Review
IT Risk Assessment
Audits/Reviews of Internal Controls
Internal Control Testing
Performance/Operational Audits and/or Reviews
Emergency Response/Crisis Communications Review
EHSO - Radiation Safety Program
SACSCOC Accreditation Review
Admin Review - Student Affairs
Admin Review - Business Affairs
Compliance Audits
NCAA Compliance - Football Attendance Verification
ADA Compliance - Disability Services
I-9 Verification
Audit Findings Follow-up
Building Access Audit
Others
Special Investigations
As needed
Special Assignments
TeamMate Implementation
Complete Audits Started in FY 2019
Aux Services (Bookstore/Food Services)
Admin Review - Online/Distance Education

APPENDIX J
University of North Carolina at Chapel Hill
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Clinical Trials - Participant Remuneration
Revenue Recognition School of Pharmacy
Information System Controls
People Soft User Access Management
IT General Control Review
Audits/Reviews of Internal Controls
Donor Intent - Fundraising Restrictions
Undergraduate Admissions
Performance/Operational Audits and/or Reviews
Grant Closeout Controls
Campus Safety and Risk Management
Distance Education
New Hire Onboarding
Compliance Audits
Higher Education Opportunity Act
Athletics - Financial Aid Administration
Athletics - Student Athlete Employment
Athletics - Extra Benefits - Team Travel
Athletics - Extra Benefits Student Athlete Vehicles
Athletics - Eligibility Certification
Audit Findings Follow-up
EPAP & Leave of Absence - report # 499a - Special Project
Law School Faculty Course Load Report 502 - Special Project
National Joint Powers Alliance 503 - Special Project
Orthodontics to Report 504 - Special Project
Vendor Maintenance - Report 505 - Special Project
Nutrition Research Institute Report 508 - Special Project
Follow-up to Prior Internal Audit Findings Report #511 - Special Project
Lineberger Comprehensive Cancer Center - Cameras Report 515 - Special Project
UNC Protein Core Report 518 - Special Project
Electrical Distribution Services Report 521 - Special Project
Auxiliary Services Report 463 - Follow-up 519 - Special Project
Special Investigations
To be determined as needs arise
Special Assignments
To be determined as needs arise

APPENDIX J
University of North Carolina at Greensboro
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Departmental Reconciliations
Self-Assessment of Internal Controls
Weatherspoon Arts Foundation (inventory observation)
Compliance Audits
Child Care Program (regulatory compliance)
Clery Act (compliance)
Intercollegiate Athletics Program (assistance with Agreed-Upon Procedures review)
Misuse or Theft of State Property (reporting)
Purchasing Cards
Travel
Audit Findings Follow-up
Follow-up Resolution of Audit Findings (of external auditors)
Special Investigations
As Occur
Special Assignments
Risk Assessment (for development of internal audit plans)
Other
Quality Assurance Review

APPENDIX J
University of North Carolina at Pembroke
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Annual Inventory Observation and Surprise Cash Counts
Audits/Reviews of Internal Controls
Approval of Interdepartmental Fees
Advancement
Service Awards
Collection of Accounts Receivable
Performance/Operational Audits and/or Reviews
Lean Process Committees
Financial Aid
Compliance Audits
Student Holds
Title IX/Clery
Serious Illness and Disability Leave for Faculty
Audit Findings Follow-up
Financial Aid - Federal Compliance Audit
Miscellaneous Follow-up as determined necessary
Special Investigations
As Occur
Special Assignments
Committee Assignments
Routine Consultations
Enterprise Risk Management Implementation Assistance
Other
Quality Assurance and Improvement Program
Continuing Professional Education (CPE)
Risk Assessment/Audit Plan
Tableau Training/Implementation

APPENDIX J
University of North Carolina School of the Arts
Audit Plan
Year Ending June 30, 2020

Specific Audits
Audits/Reviews of Internal Controls
Minors on Campus
Campus Safety & Security
Compliance Audits
Environmental Health and Safety - Life Safety
Clery Act Compliance
Audit Findings Follow-up
Student Life - Mental Health Counseling
Housekeeping Survey
10-month Employee Pay
Housekeeping Investigation
IT Performance & Operations
IT Conflict of Interest
Human Resources - Control Environment
CDI - Post Investigative Review of Controls
Special Investigations
As Occur
Special Assignments
Audit, Risk, and Compliance Committee
Assisting External Auditors and Oversight Agencies
Search Committees - Various
Meetings/Consults - University-Wide
Chancellor's Cabinet - Chief Audit, Risk, & Compliance Officer only
Enterprise Risk Management facilitation and committees - Chief Audit, Risk and Compliance Officer only
UNCAA Committees - Conference Planning, etc.
Other
Annual Risk Assessment and Audit Planning
Internal Audit Strategy Development and Implementation
Quality Assurance and Improvement Program Activities
Quality Assurance Review Preparation
Annual Risk Monitoring Memos
CPE

APPENDIX J
University of North Carolina System Office
Audit Plan
Year Ending June 30, 2020

Specific Audits	
Information System Controls	
Security Review of the Data Mart Database (with external audit firm)	
Audits/Reviews of Internal Controls	
UNC System Office: Review of the Contracting Process	
Compliance Audits	
UNC-TV: Review of Compliance with Payment Card Industry Data Security Standards (for security of donor card data)	
Audit Findings Follow-up	
Develop a new Follow-up Tracking, Monitoring, and Reporting Process	
Follow-up on IT audits: OSA 2017 IT Audit of Banner Hosted Services and 2018 Internal Audit of End User Data Storage and Security Awareness	
Special Investigations	
Unplanned/Various as occurs: Investigations of internal/external hotline reports and similar types of investigations.	
Investigation of Questionable Travel (SAA)	
Special Assignments	
Consult: Design of UNC-TV Procurement/Purchasing Process	
Assist a Quality Assurance Review Team (assisting OIA)	
Advisory Services to Information Technology: Policy and Procedure Updates	
Advisory Services to Human Resources: Updates to Onboarding Procedures and Learning Management Implementation	
Advisory Services to Strategy and Policy: Innovation Lab Internal Procedures	
Advisory Services to UNC-TV: Repair and Renovation Budgeting Process	
Other Services/Committees: Other routine advisory services to UNC-TV and the System Office; assist external auditors; charter updates; annual certifications; CAO/OIA committee meetings; QAIP work; and other projects to be determined.	
Other	
Annual Risk Assessment/FY2020 Audit Plan Development	
Annual Risk Assessment/FY2021 Audit Plan Development	
Board Meetings, Unit Oversight, Staff Hiring, MOUs, and Marketing	
Professional Development (and related travel)	
Internal Audit Services to NCSSM and NCSEAA	

APPENDIX J
University of North Carolina Wilmington
Audit Plan
Year Ending June 30, 2020

Specific Audits
Financial Audits/Reviews
Friends of UNCW Financial Audit
Information System Controls
IT Security
Audits/Reviews of Internal Controls
Assessment of Internal Controls for Financial Report (AICFR) Control Testing
Performance/Operational Audits and/or Reviews
Center for Marine Sciences/MARBIONC
Facilities - Phase 2 (Architecture and Construction Services)
Human Resources
One Card
Payroll
Compliance Audits
Title IX
Audit Findings Follow-up
Various Follow Ups
Special Investigations
Free Speech
Various Investigations
Special Assignments
Information System Compliance Consultation
Testing Services Consultation
Various Micro Reviews
Committee Assignments
Routine Consultations
Campus Engagement
Data Analytics Enhancements
Other
Quality Assurance Activities
Other Routine Tasks (i.e. Reporting, Audit Team Collaboration, IIA/UNCAA)
FY20 Risk Assessment/Audit Plan
FY21 Risk Assessment/Audit Plan
Fraud Risk Assessment
Campus Training

APPENDIX J
Western Carolina University
Audit Plan
Years Ending June 30, 2020 and June 30, 2021 (Two-year plan)

Specific Audits
Financial Audits/Reviews
Audit of Deposits Process, University Wide
Information System Controls
Examination of the Number of User Accounts with Domain Administrator Privileges
Audit of Timely Removal of Disabled and Privileged Accounts.
Examination of Number of Users with the Ability to Change Passwords.
Continued Recertification of File Shares Files Harboring Sensitive Data, In Partnership with the Information Security Officer
Continued Recertification of Accounts with Elevated Permissions in Applications Harboring Sensitive Data, In Partnership with the Information Security Officer
Certification of Banner Modules, In Partnership with the Information Security Officer
Examination of SOC II Reports and Contracts Associated with Applications the Harbor Sensitive Data
Audits/Reviews of Internal Controls
Continued Review of Deposits Process. This is to prepare the University for a University Wide Audit of Deposits. (See Financial Audits/Reviews Above)
Continued Commitment to Review of Processes, New process not selected as of yet.
Compliance Audits
Student Wellness
Clery Act
Communication Sciences & Disorders, (Could include reviews of processes and operations)
Nursing, (Could include reviews of processes and operations)
Campus Activities, (Could include reviews of processes and operations)
Bookstore, (Could include reviews of processes and operations)
Continued audit of Laboratory Safety & Training, School of Nursing
Review of Business Continuity Plans in Partnership with the Director of Emergency Services
Audit Findings Follow-up
Prior Year, Laboratory Safety & Training, School of Nursing
Special Investigations
Two Hotlines
Two Investigations
Special Assignments
University of North Carolina Auditor's Association
Association of College and University Auditors
Information Technology Council
Institutional Effectiveness Council
Computer Security Incident Response Team
Export Control Committee
Data Security and Stewardship Committee
Enterprise Risk Management Council
University Safety Committee
Other
Risk Assessment
Quality Assurance Review Volunteer
Assisting the Purchasing Department with Tableau
Peer to Peer Collaboration with Chief Audit Officer at UNC Asheville

APPENDIX J
Winston-Salem State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Information System Controls
IT - Strategy, Operations & Performance
Audits/Reviews of Internal Controls
Worker's Compensation
Minors on Campus
Budget Office - Budgetary Controls
P-Card Monitoring
Compliance Audits
NCAA Compliance - Health and Safety
EHS - Fire Safety
Audit Findings Follow-up
Business Continuity Management
P-Card Fraud Investigation
Computer Accountability
Athletics' Fundraising
Travel Payments - Post-Follow-up
Human Resources - Employee Relations
Men's Basketball Coach - Recruitment Process
Information Technology - Post-Follow-up Review
Homecoming Parade
Athletics - Missing Receipts
Enrollment Management
Call Campaigns
CPR Class
Admissions
CDI Controls Review
Immunization Records
Temp Employee Overtime
Federal Compliance - Title III
Overtime Payments - Facilities
Special Investigations
Counseling Center
Housing
SAP

APPENDIX J
Winston-Salem State University
Audit Plan
Year Ending June 30, 2020

Specific Audits
Special Assignments
Audit, Risk, and Compliance Committee
Assisting External Auditors and Oversight Agencies
Search Committees - Various
University's Strategic Planning Process
Chancellor's Executive Staff - Chief Audit, Risk, and Compliance Officer only
Compliance Calendar and Monitoring - Chief Audit, Risk, and Compliance Officer & RCPS only
Enterprise Risk Management facilitation and committees - Chief Audit, Risk, and Compliance Officer & RCPS only
SACSOS Committees
University's Administrative Assessment
Meetings/Consults - University-Wide
UNCAA Committees - Conference Planning, etc.
Other
Audit Planning & Assessment
Internal Audit Strategy Development and Implementation
Quality Assurance and Improvement Activities
Quality Assurance Review Preparation
Annual Risk Monitoring Memos
CPE



**RESOLUTION OF THE BOARD OF GOVERNORS
THE UNIVERSITY OF NORTH CAROLINA**

LABORATORY SCHOOLS COMPLIANCE RESOLUTION

WHEREAS, the Board of Governors, through its Subcommittee on Laboratory Schools, is responsible for the oversight of the operations of laboratory schools created and operated under Article 29A of the North Carolina General Statutes; and

WHEREAS, the chancellors of those UNC institutions housing laboratory schools are designated by statute as the administrative heads of those laboratory schools, charged with providing the general direction of the school and adopting policies and operating procedures to govern their respective laboratory schools, in consultation with their advisory boards; and

WHEREAS, the Board of Governors and the chancellors of the UNC constituent institutions share an unwavering commitment to the highest standards of ethics, integrity and compliance with all applicable federal and state laws and regulations; and

WHEREAS, this Subcommittee has determined that it is in the best interest of the students and families served by the laboratory schools, the Board of Governors, the constituent institutions with laboratory schools, and the laboratory schools for the chancellors to establish robust and comprehensive compliance monitoring and reporting programs for their respective laboratory schools,

THEREFORE, BE IT RESOLVED that the Subcommittee hereby directs the chancellors of the constituent institutions housing laboratory schools and their respective staffs to work collaboratively with UNC System Office and others to design and implement comprehensive compliance programs which identify compliance gaps, address identified gaps, and submit annual reports to the Subcommittee on the compliance efforts at the schools, with the reporting timeline to be defined by the System Office in consultation with this subcommittee;

BE IT FURTHER RESOLVED that the System Office shall, at the request of the laboratory schools and through the Division of Strategy and Policy, assist the chancellors in the development and implementation of their respective compliance programs by convening representatives of the laboratory schools to collaborate, share best practices, and learn from experts in public school law, finance, and policy.

Adopted this 20th day of September, 2019

C. Philip Byers, Chair

Meredith M. Steadman, Secretary



MEETING OF THE BOARD OF GOVERNORS
Board of Governors
November 15, 2019

Closed Session Motion

Motion to go into closed session to:

- Prevent the disclosure of information that is privileged or confidential under Article 7 of Chapter 126 of the North Carolina General Statutes, or not considered a public record within the meaning of Chapter 132 of the General Statutes.
- Consult with our attorney to protect attorney-client privilege; and

To consider and give instructions concerning a potential or actual claim, administrative procedure, or judicial action for the following cases:

- *Benjamin Durant v. NCCU and Johnson Akinleye*
 - *Linda L. Eddy v. UNC Greensboro*
 - *Bobby Strickland Johnson v. Deshawn Dewayne McCain*
- Consider the qualifications, competence, performance, or condition of appointment of a public officer or employee or prospective public officer or employee.

Pursuant to: G.S. 143-318.11(a)(1), (3), and (6).



ANNUAL REPORT TO THE UNC BOARD OF GOVERNORS

Committee on Personnel and Tenure

July 1, 2018 through June 30, 2019

DUTIES AND MEMBERSHIP

The major responsibilities of the Committee on Personnel and Tenure are: (1) to make recommendations to the UNC Board of Governors on all personnel actions under the jurisdiction of the Board; (2) to review *The Code* and institutional policies and regulations regarding tenure and dismissal; (3) to review appeals from faculty members that involve tenure denial, non-reappointment, or the imposition of a serious sanction (suspension, demotion, or discharge); (4) to act on compensation matters that exceed prescribed thresholds; (5) to act on compensation matters for the president's direct reports, chancellors, and the CEOs of UNC Health Care and UNC-TV/North Carolina Public Media; and (6) to act on new or modified policies regarding human resources-related matters.

Board members who served on the committee during the fiscal year July 1, 2018, through June 30, 2019 were Wendy Floyd Murphy, Kellie Hunt Blue, H. Frank Grainger, W. Louis Bissette, Jr., N. Leo Daughtry, Thomas C. Goolsby, and R. Doyle Parrish. The committee officers were Ms. Murphy as chair, Ms. Blue as vice chair, and Mr. Grainger as secretary. Chancellors Carol Folt (until January 2019), Kevin Guskiewicz (beginning March 2019), Jose Sartarelli, and Alison Morrison-Shetlar served as chancellor representatives to the committee.

ACTIONS

The committee met in eleven (11) regular or special meetings between July 1, 2018 and June 30, 2019. The major actions of the committee and matters presented to the committee are summarized below.

Human Resources Actions

Salary Pre-Authorizations: The committee reviewed and pre-authorized 35 EHRA salary requests.

Delegated Salary Actions: The committee also received reports on 104 EHRA Faculty and 155 EHRA Non-Faculty salary requests approved by the UNC System Office.

Consultation Actions: The committee also received reports on 558 EHRA Faculty, 340 EHRA Non-Faculty, and 21 SHRA salary requests that required legislatively mandated consultation with the chair and vice chair of the committee.

Annual Raise Process: In July 2018, the president operationalized a 2% across the board legislative increase for SHRA employees and the opportunity for discretionary increases, based primarily on performance, for SHRA, EHRA non-faculty, and faculty employees, not to exceed an overall cap of 4.99%.

Minimum State Employee Salary Increase: In July 2018, the System Office implemented state legislation to raise the minimum state employee salary to \$31,200 following the Annual Raise Process (ARP).

One-Time Bonus Payments: In September 2018, the board passed a resolution to allow the president to amend the 2018-2019 ARP to permit one-time bonus payments. These bonus payments would be in lieu of or in addition

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to permanent base salary increases for the 2018 ARP, provided, however, that the combination of base salary and one-time bonus compensation awarded under the 2018 ARP for any individual employee shall meet all previously approved ARP eligibility criteria and maximum increase limits as described in the July 2018 Resolution.

Benefits Plan Administration Insurance: In September 2018, the Board passed a resolution to allow the president to purchase fiduciary liability insurance related to employee benefits plan administration.

Chancellor Incentive Compensation: The committee received periodic updates from System Office staff on plans for the development of a chancellor incentive compensation plan. Specific recommendations for the plan will come before the committee in fall 2019 for formal consideration.

Chancellor Salary and Term Increases: In November 2018, the Board voted to accept proposed salary adjustments for each of the UNC System chancellors. Additionally, the Board voted to approve a four year extension to the employment contract for Chancellor Woodson.

Chancellor/Senior System Officer Search (Western Carolina University, Elizabeth City State University, UNC-TV CEO): The committee was periodically apprised of the chancellor search process for WCU and ECSU, as well as the UNC-TV CEO. In December 2018, Dr. Karrie Dixon was selected as the chancellor of ECSU. Also in December 2018, Dr. Wesley Burks was appointed as the CEO of UNC Health Care. In April 2019, Dr. Kelli Brown was selected as the chancellor of WCU. In May 2019, Mr. Lindsay Bierman was selected as the CEO of UNC-TV/Public Media North Carolina.

Chancellor Search Process: As a result of interviews and benchmarking, the System Office identified several areas of possible process improvement in the chancellor search process. In October 2018, the Board approved a resolution to adopt the proposed changes to UNC Policy 200.8. Appendix I was also reviewed and changes were approved to bring it into alignment with the new policy. System Office staff is also finalizing development of a tutorial on the chancellor search process and procedures for use by search committees and boards of trustees.

Chancellor Severance Agreements: In January 2019, the Board voted to grant full authority to the president to negotiate and enter into severance agreements with chancellors who may be separating from the University.

Consultation: Section 35.24 of the Appropriations Act of 2017 established a requirement that, as of July 1, 2017, the UNC Board of Governors monitor certain human resource transactions and be consulted prior to actions taking effect. The committee discussed a statement supporting the repeal of the statutory requirement. In December 2018, after additional relevant metrics were provided by the System Office, the statement was approved and passed along to the Committee on Public Affairs for inclusion in the System's legislative priorities for 2019.

Delegation of Faculty Appeals: After consultation with Chief Academic Officers, attorneys, chairs of the institutional faculty councils, and members of the faculty assembly, in March 2019, the Board approved revisions to Sections 603, 604, and 609 of *The Code* that (1) made appeals to the boards of trustees the final level of appeal within the University for institutions' decisions involving faculty nonreappointment and imposition of discharge or serious sanctions; (2) clarified that, in the case of faculty discharge, faculty pay shall cease upon issuance of the chancellor's decision; and (3) clarified when discretionary review by the Board of Governors is appropriate.

Diversity and Inclusion: The System Office worked with campus diversity officers to develop a new System-wide policy on diversity and inclusion. In September 2019, the Board voted via consent agenda on the proposed new section of the UNC Policy Manual (300.8.5 "Policy on Diversity and Inclusion within the University of North

APPENDIX M

Carolina”), which establishes a framework for the oversight of diversity and inclusion activities and provides for collaboration on such activities across the System’s constituent institutions.

Employee Engagement Survey: The committee was updated on the System-wide Employee Engagement Survey, an effort that resulted from the UNC System Strategic Plan. Detailed results were presented to the committee at the October 2018 meeting. The results were promising and, in some areas, demonstrated positive employee engagement within the UNC System as compared to public higher education benchmarks. The next engagement survey is planned for January 2020.

Joint Committee Meeting with Committee on Historically Minority-Serving Institutions: During a joint meeting with the Committee on Historically Minority-Serving Institutions in January 2019, the committee members discussed human capital challenges these institutions face.

Minors on Campus Policy: In May 2019, the Board approved a policy requiring constituent institutions to adopt policies addressing how to ensure the safety of minors who are participating in events on campus.

President’s Executive Performance Incentive Program: In December 2018, the Board approved a proposed amendment to the President’s Executive Performance Incentive Program that will make any bonus payments that are deferred immediately vested.

Senior Athletic Employee Retirement Program: The committee voted to approve participation in the Senior Athletic Employee Retirement Program for NC State Men’s Basketball Coach Kevin Keatts (December 2018), Men’s Football Coach Dave Doeren (December 2018), and Women’s Basketball Coach Frank West Moore (May 2019) in amounts to be determined by the chancellor, subject to prescribed annual caps.

Tutorials: The committee was presented with periodic tutorials on matters such as athletic contracts, Carnegie classifications, the peer setting process, and employee compensation.

Academic Affairs Actions

Excellence in Teaching Awards: The committee is responsible for annually coordinating the UNC Board of Governors Excellence in Teaching Awards program. Dr. Kimberly van Noort presented the Annual “Use of Funds” report for the awards program in July 2018.

Faculty Recruitment and Retention Fund: This fund was established by the General Assembly in 2006 to be used to recruit and retain key tenured and tenure-track faculty. Dr. Kimberly van Noort, senior vice president of Academic Affairs, reported that the Faculty Recruitment and Retention Fund received \$500,000 in recurring funds and \$500,000 in non-recurring funding this fiscal year. At committee meetings throughout the year, Dr. Kimberly van Noort apprised committee members on the state of the fund.

Tenure Conferrals: Academic Affairs reported on 22 tenure conferrals or promotions from campuses without management flexibility.



INCENTIVE COMPENSATION PROGRAM FOR CHANCELLORS

****SUBJECT TO BOARD OF GOVERNOR'S APPROVAL****

November, 2019

I. OVERVIEW

The Board of Governors (“Board” or “BOG”) has established an incentive compensation program (“Incentive Program” or “Program”) to provide an opportunity to award performance-based compensation to the chancellors (“chancellor” or “participants”) of the constituent institutions of the University of North Carolina System (each, constituent institution a “University” and collectively, the “Universities” and the University of North Carolina System, the “System”).

II. PROGRAM OBJECTIVES

The Program is intended to support the following specific outcomes:

- a. Focusing the efforts of the chancellors on maximizing the effectiveness of the key operational functions of their constituent institutions and the competency of functional senior leaders;
- b. Recognizing demonstrated progress on selected key performance indicators in areas such as student success, finance, facilities, human resources, and compliance;
- c. Encouraging the chancellors to engage in cooperation and collaboration among and between constituent institutions on System-wide goals and priorities;
- d. Provide incentive compensation opportunities to provide chancellors with a total compensation opportunity that is generally within the University’s established compensation market ranges, with consideration of a chancellor’s overall level of experience as a serving chief executive or a substantially equivalent role, and;
- e. Financially rewarding chancellors who demonstrate the highest levels of performance in greater proportion than to those who demonstrate average performance.

III. GENERAL ELIGIBILITY

- a. The chancellors of the Universities will be participants in the Incentive Program so long as the individual has been elected by the Board and has no less than twenty-four (24) months of service as a chancellor and remain actively employed in this capacity. Acting and interim chancellor appointments may be counted toward the attainment of the twenty (24) months at the discretion of the president.
- b. Chancellors will cease to be a participant in the Incentive Program on the earliest to occur of:
 - i. The date the chancellor is no longer employed by a University as the chancellor;
 - ii. the date of termination of the Incentive Program;
 - iii. the date of commencement of an unpaid leave of absence;
 - iv. the date the president determines that the chancellor is no longer a participant in the Incentive Program, which is determined at the president’s discretion.
- c. A chancellor may, at the discretion of the president, be deemed ineligible for some or all of the described incentive awards in this Program under the following specific circumstances:
 - i. A significant structural budget deficit or other adverse financial condition relevant to institutional oversight or management under the chancellor’s control;

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- ii. a significant negative institutional accreditation finding;
 - iii. a significant audit, compliance, or legal finding, and;
 - iv. any other occurrence under the general authority or oversight of the chancellor that significantly and negatively impacts institutional integrity or reputation.
- d. Participation in this Program is also subject to availability of funding by the applicable University to support any eligible awards. In the event of any funding limitation, partial awards can be accomplished at the discretion of the president.

IV. INDIVIDUAL PERFORMANCE INCENTIVE AWARD

This category will be based on the president's annual assessment of the chancellor, with an emphasis on input from System Office functional leaders on institutional effectiveness and demonstrated progress on key performance indicators ("KPIs") in areas such as student success, finance, facilities, human resources, and compliance. This category comprises **50% of the total annual incentive award**, which is equivalent to **10% of base salary**, and is assigned based on the following criteria:

- When functional assessments and KPIs demonstrate overwhelmingly high levels of institutional performance, 100% of the category award will be assigned.
- When functional assessments and KPIs demonstrate fully acceptable levels of institutional performance with no significant observed performance gaps, 50% of the category award will be assigned.
- When functional assessments and KPIs demonstrate significant areas of improvement and positive trends from the prior annual period, 25% of the category award may be awarded at the president's discretion.

All other levels of performance are ineligible for a category award.

V. SYSTEM-WIDE STRATEGIC INCENTIVE AWARD

This category will be based on how much progress the UNC System as a whole makes toward a small number of System-level goals. In other words, a portion of each chancellor's compensation and accountability to the president will depend on the System's overall success, encouraging cooperation and collaboration among and between the Universities on common challenges.

Every 3-5 years, the president will, in consultation with the Board, identify three System-level goals, each of which will have an established baseline (i.e., starting point) as well as associated annual targets to enable measuring annual progress toward goal achievement. These goals must be specific, time-limited, measurable with readily available data, and focused on an outcome that the chancellors can reasonably affect within the time frame. This category comprises **50% of the total annual incentive award**, which is equivalent to **10% of base salary** utilizing the following methodology:

- In order to encourage all Universities to contribute to System-level progress, performance on annual benchmarks should be assessed incrementally--granting "partial credit" on the basis of how much progress has been made toward a System-level goal--rather than "all or nothing." In other words, every increment of progress should increase the amount of incentive compensation earned.

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- Goal progress is measured using the ratio of the actual performance achieved over a baseline to the projected performance over a baseline. This is calculated as:

$$(Actual\ performance - baseline) / (Projected\ performance - baseline) = \textbf{Annual Progress \%}$$

- The amount of total progress the System makes across the three established goals is calculated as follows:

$$\begin{aligned} &Annual\ Progress\ \% \text{ toward Goal 1 achieved} + \\ &Annual\ Progress\ \% \text{ toward Goal 2 achieved} + \\ &\underline{Annual\ Progress\ \% \text{ toward Goal 3 achieved}} \\ &= \textbf{Total progress \%} \end{aligned}$$

- The final incentive award for all eligible chancellors in this category is calculated as the average of the annual progress accomplished across all three goals, as follows:

$$\textbf{Total Progress \%} / 3 = \% \text{ of total incentive compensation awarded (capped at 100\% of the incentive opportunity for this award category, which would not exceed 10\% of a chancellor's base salary).}$$

VI. PAYMENT SCHEDULE AND MECHANISMS

- a. The incentive awards shall be paid in a cash lump sum payment following the end of the applicable academic year, but no later than December 31 of each calendar year in which the applicable academic year ends in recognition of performance for the prior academic year.
- b. The awards will be paid directly to the chancellor in cash via a separate payroll transaction.
- c. All incentive awards paid to the chancellor via a payroll transaction will be subject to applicable deductions as noted for tax withholding required by federal, state, or local law at the time such tax and withholding is due.

VII. TERMINATION OF EMPLOYMENT OR LEAVE

- a. If during or after the applicable performance period a chancellor is terminated for cause, the participant will not be eligible to receive payment of any incentive awards under the Program, even if due.
- b. If during or after the applicable performance period a chancellor is terminated without cause, voluntarily resigns, takes a leave of absence, retires, or dies in office, the president has the discretion, but is not required, to reward a pro-rata share and/or full share (as applicable) of any annual incentive award based on a good faith assessment of the participant's performance to-date.
- c. In the event of death, any award eligible under this program and/or awarded at the discretion of the president shall be paid to the estate of the participant.

VIII. PROGRAM AUTHORITY AND RESPONSIBILITY

a. Authority -

- i. Except as otherwise specifically provided, this Incentive Program will be administered by the president or the president's designee.

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- ii. The System-wide strategic goal set and associated metrics will be established on the recommendation of the president and approved by the Committee on Personnel and Tenure (“Committee”) and then the Board. These goals will be reviewed and updated as deemed necessary every three years.
- iii. The president shall consult with the Committee on any proposed awards under this Plan prior to payment and shall report all incentive payments made for information to the full Board, which shall also be a matter of public record.
- iv. The Board has all powers specifically vested herein and all powers necessary or advisable to administer or direct administration of the Incentive Program as it determines in its discretion, including without limitation, the authority to:
 - 1. Establish the conditions for the determination and payment of compensation by establishing the provisions of the Incentive Program,
 - 2. Designate to any other person, committee, or entity any of its ministerial powers and/or duties under the Incentive Program, as long as any such delegation is in writing and complies with the Board’s Rules.

b. Responsibility/Rights –

- i. The Board has the right in its discretion to amend the Incentive Program or any portion thereof from time to time, to suspend it for a specified period or to terminate it entirely, or any portion thereof, including for reasons of lack of funding at one or more constituent institutions.
- ii. If the Incentive Program is suspended or terminated during a performance period, the participant may, at the discretion of the president, receive a prorated incentive award based on performance achieved through the performance measurement date immediately preceding such suspension or termination. The Incentive Program will be in effect until suspension or termination by the Board.
- iii. Each University shall be responsible for covering the cost of any incentive awards paid under the Program from eligible sources of funds, which may be state or non-state appropriations, as long as the funding source permits an expenditure for this purpose.
- iv. All records for the Incentive Program will be maintained by University of North Carolina System Office.

c. Interpretation -

- i. Consistent with the provisions of the Incentive Program, the Board has the discretion to interpret the Incentive Program and may from time to time adopt such rules and regulations that it may deem advisable to carry out the Incentive Program.
- ii. All decisions made by the Board in selecting the participants approved to receive incentive awards, including the amount thereof, and in construing the provisions of the Incentive Program, including without limitation the terms of any incentive awards, are final.

IX. PROGRAM IMPLEMENTATION

- a. The Chair of the Board shall have the authority to direct the preparation of any documents and instruments necessary to implement the provisions of the Incentive Program, and to execute such documents on behalf of the Board.
- b. In order to facilitate a transition to a System-wide strategic goal set, this Program will be phased in and implemented during Academic Year 2020-2021. From this point forward, Program awards will be accomplished on an academic year basis.
- c. For Fiscal Year 2019-2020, the president will focus principally on utilizing one-time bonus payments under the provisions of the University System's annual raise process rather than base salary adjustments to recognize demonstrated performance. Base salary adjustments may be considered for chancellors who are not yet compensated within their Board approved market salary range.

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Chancellor Incentive Compensation Program: Example System-Level Goals and Scenarios Supporting the System-Wide Strategic Incentive Award

**** The goals and metrics described in this document are for illustrative purposes only. These are not intended as the final goals and metrics for the incentive compensation program, which are subject to separate review and approval by the Board of Governors. ****

Basic Framework

Goal-setting:

- Every 3-5 years, the president and System Office senior leadership will, in consultation with the Board of Governors, identify three System-level goals, associated metrics, and targets, along with appropriate annual benchmarks that track yearly progress toward those long-term goals.
- These goals must be specific, time-limited, measurable with readily available data, and focused on an outcome that a chancellor can reasonably affect within the time frame.

Example goals

- Example Goal: Increase on-time graduation
 - Metric: The number of first-time and transfer students graduating on-time
 - Target: Increase the number of first-time and transfer students graduating on-time from 16,950 to 20,350 by 2025 (20% increase).¹
- Example Goal: Increase the number of graduates prepared to enter high-demand fields
 - Metric: The number of credentials produced in high-demand fields (e.g.: STEM, health sciences, educator preparation).
 - Target: Increase the number of credentials produced in high-demand fields (STEM, health sciences, and educator preparation) from 25,313 to 32,908 by 2025 (30% increase).
- Example Goal: Increase research productivity
 - Metric: sponsored research and licensing income
 - Target Increase sponsored research and licensing income from \$1.51 billion to \$1.81 billion by 2025.

Calculation

1. For each goal, an annual progress is calculated as the ratio of actual to expected improvement:

- $(\text{Actual annual performance} - \text{baseline}) / (\text{Expected annual performance} - \text{baseline}) = \text{Annual Progress toward Goal 1}$

¹ In this sample goal, “on-time” refers to first-time students graduating within four years and to community college transfer students with an AA or AS degree graduating within two years of transferring to a UNC.

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2. Annual Progress measures are averaged together and multiplied by 100 to produce a percentage of overall progress made:

- *Annual Progress toward Goal 1 + Annual Progress toward Goal 2 + Annual Progress toward Goal 3 = Total progress*
- *((Total progress) / 3) * 100 = Percentage of total incentive compensation awarded*

Sample Scenarios

1. Number of Students Graduating On-time					
Baseline (2018) 16,950	2020-21	2021-22	2022-23	2023-24	2024-25
Expected Annual Performance	17,630	18,310	18,990	19,670	20,350
Actual Annual Performance	17,290	17,970	18,310	18,700	19,330
Annual Progress	50% ²	75%	67%	64%	70%
2. Number of Graduates Prepared to Enter High-Demand Fields					
Baseline (2017-18) 25,313	2020-21	2021-22	2022-23	2023-24	2024-25
Expected Annual Performance	26,832	28,351	29,870	31,389	32,908
Actual Annual Performance	25,600	27,250	28,300	29,100	29,800
Annual Progress	19%	64%	66%	62%	59%
3. Increases in Research Productivity					
Baseline (2018) \$1.51 billion	2020-21	2021-22	2022-23	2023-24	2024-25
Goal	\$1.57 bn	\$1.63 bn	\$1.69 bn	\$1.75 bn	\$1.81 bn
Actual	\$1.50 bn	\$1.55 bn	\$1.60 bn	\$1.58 bn	\$1.65 bn
Score	0%	33%	50%	29%	47%
Amount of Incentive Compensation Awarded as of % of Maximum Opportunity for System-Wide Strategic Incentive Award					
Annual Award	22.9%	57.3%	60.7%	51.7%	58.6%

² Calculation: $(17,290 - 16,950) / (17,630 - 16,950) = 340 / 680 = 50\%$