Audit, Compliance, and Enterprise Risk Management Committee Meeting
Wednesday, April 18, 2018, 8:00–9:30 a.m.
Popp Martin Student Union, Multipurpose Room I

Agenda

The Committee Chair will state the following at the beginning of each meeting: In accordance with the State Government Ethics Act (Chapter 138A of the N.C. General Statutes), I remind all members of the committee of their duty to avoid conflicts of interest and appearances of conflicts of interest. If you are aware or become aware of a conflict of interest or any item that may create the appearance of a conflict of interest, please notify me immediately.

1. Call to Order 8:00 a.m.
   Laura A. Schulte, Chair

2. Approval of the February 15, 2018, Meeting Minutes 8:01 a.m.
   Laura A. Schulte, Chair
   Documents: February 15, 2018, Meeting Minutes—Open and Closed

3. Report on IRS Form 990 (Tax Year 2017) for Affiliated Entities 8:02 a.m.
   Greg Verret, Director of Treasury Services
   Documents: IRS Forms 990: Return of Organization Exempt From Income Tax
     Foundation of the University of North Carolina at Charlotte
     Athletic Foundation of the University of North Carolina at Charlotte
     University of North Carolina at Charlotte Investment Fund
     University of North Carolina at Charlotte Facilities Development Corporation
     Ventureprise Inc.

4. Information Security Actions Taken 8:07 a.m.
   Mike Carlin, Vice Chancellor for Information Technology and Chief Information Officer
   Jesse Beauman, Assistant Vice Chancellor for Enterprise Infrastructure
   Document: UNC Charlotte: Information Security Actions Taken

5. Internal Audit Update 8:22 a.m.
   Jennifer Walker, Chief Audit Officer
   Documents: FY 2018 Audit Plan Update
     Summary of Internal Audit Reports Issued
     Internal Audit Findings Exception Report
     Proposed FY 2019 Audit Plan
     Potential Key Performance Indicators
6. Environmental Health and Safety Office Remediation Update 8:37 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  

7. Compliance Update 8:52 a.m.  
Sue Burgess, Chief Compliance Officer (via phone)  
Documents: University Ethics and Compliance Program Summary of Activities—FY 2018  
University Ethics and Compliance Program Proposed Plan of Work—FY 2019

8. Motion to Convene in Closed Session 9:00 a.m.  
Laura A. Schulte, Chair  

   a. Pursuant to N.C.G.S. §143-318.11(a)(1), to prevent the disclosure of information that is privileged or confidential pursuant to the laws of this State or of the United States, or not considered a public record within the meaning of Chapter 132 of the General Statutes, such privilege or confidentiality arising under the Family Educational Rights and Privacy Act (20 U.S.C. §1232g) or N.C.G.S. Ch. 126, Art. 7; and 
   b. N.C.G.S. §143-318.11 (a)(3), to consult with and receive advice from counsel.

Closed Session

9. Report on Litigation and Risk Management Issues 9:00 a.m.  
Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel

10. Title IX Update 9:15 a.m.  
    Michelle Reinken, Title IX Coordinator  
    Document: Title IX Compliance Program “Snapshot”

11. Motion to Resume in Open Session 9:25 a.m.  
    Laura A. Schulte, Chair

Open Session

12. Other Business 9:25 a.m.  
    Laura A. Schulte, Chair

13. Adjourn 9:30 a.m.  
    Laura A. Schulte, Chair

Members  
Laura A. Schulte, Chair  Joe L. Price, ex officio  
Mary Ann Rouse  
Michael L. Wilson  
Teross W. Young Jr.

UNC Charlotte Board of Trustees  
Audit, Compliance, and Enterprise Risk Management Committee Agenda  
April 18, 2018  
Page 2 of 2
The Committee Chair will state the following at the beginning of each meeting: In accordance with the State Government Ethics Act (Chapter 138A of the N.C. General Statutes), I remind all members of the committee of their duty to avoid conflicts of interest and appearances of conflicts of interest. If you are aware or become aware of a conflict of interest or any item that may create the appearance of a conflict of interest, please notify me immediately.

1. Call to Order  
   Joe L. Price, Chair  
   9:30 a.m.

2. Approval of the February 15, 2018, and March 19, 2018, Meeting Minutes  
   Joe L. Price, Chair  
   9:31 a.m.  
   Documents: February 15, 2018, Meeting Minutes—Open and Closed  
   March 19, 2018, Meeting Minutes—Open and Closed

3. Statements of Economic Interest  
   Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel  
   9:31 a.m.  
   Documents: Statement of Economic Interest Biennial Evaluation—Calendar Year 2016— 
   Chancellor and Vice Chancellors and Board of Trustees

4. Faculty and Staff Representation on the Board of Trustees  
   Philip L. Dubois, Chancellor  
   9:34 a.m.

5. Governance Authorities Discussion  
   Philip L. Dubois, Chancellor  
   9:42 a.m.  
   Documents: February 8, 2018, Memo to UNC System Boards of Trustees’ Chairs 
   and Chancellors  
   Summary of Duties and Authorities of the Board of Trustees  
   Examples of UNC Board of Governors’ Institution-Specific Actions 
   by Committee of Jurisdiction  
   April 19, 2018, Response to Steven B. Long
6. Motion to Convene in Closed Session 9:50 a.m.  
Joe L. Price, Chair  
Pursuant to N.C.G.S. §143-318.11(a)(6), to consider the qualifications, competence, performance, character, fitness, conditions of appointment, or conditions of initial employment of an individual public officer or employee or prospective public officer or employee.

Closed Session

7. Management Flexibility Report 9:50 a.m.  
Joan Lorden, Provost and Vice Chancellor for Academic Affairs  
Documents: January 10, 2018 Memo re: Fiscal Year 2016-2017 Annual Human Resources Compliance Report  
Annual Summary Human Resources Report

8. Annual Concurrent Employment Report 9:52 a.m.  
Joan Lorden, Provost and Vice Chancellor for Academic Affairs  
Document: University Policy 101.4—Concurrent Employment of Related Persons

9. Faculty Tenure Actions 9:55 a.m.  
Joan Lorden, Provost and Vice Chancellor for Academic Affairs  
Documents: Summary of Faculty Tenure Actions  
Personnel Actions Requiring Approval of the Board of Trustees

10. Quarterly Reports of Faculty Actions and Salary Adjustments 10:00 a.m.  
Joan Lorden, Provost and Vice Chancellor for Academic Affairs  
Documents: Quarterly Report of Faculty Actions  
Quarterly Report of Faculty Salary Adjustments

11. Quarterly Reports of EHRA Non-Faculty Actions and Salary Adjustments 10:03 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Documents: Quarterly Report of EHRA Non-Faculty Actions  
Quarterly Report of EHRA Non-Faculty Salary Adjustments

12. Appointments to the Board of Trustees of the Endowment Fund 10:07 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Document: Board of Trustees of the Endowment Fund

13. Petition Regarding Political Activity 10:10 a.m.  
Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel  
Documents: UNC General Administration Petition Regarding Political Activity  
Guidelines Concerning Use of University of North Carolina Resources for Political Campaign Activities  
Candidacy for Elective Office; Officeholding (Elective and Appointive Public Office), UNC Policy Manual 300.5.2
14. Athletics Employment Agreement  
   Philip L. Dubois, Chancellor  
   Document: Athletics Employment Agreement

15. Update on Student Matter  
   Philip L. Dubois, Chancellor

16. Motion to Resume in Open Session  
   Joe L. Price, Chair

**Open Session**

17. Action on Faculty Tenure Actions  
   Joe L. Price, Chair

18. Action on Reappointments to the Board of Trustees of the Endowment Fund  
   Joe L. Price, Chair

19. Action on Petition Regarding Political Activity  
   Joe L. Price, Chair

20. Action on Athletics Employment Agreement  
   Joe L. Price, Chair

21. Other Business  
   Joe L. Price, Chair

22. Adjourn  
   Joe L. Price, Chair

**Members**

Joe L. Price, Chair  
Susan D. DeVore  
Theresa J. Drew  
Dhiaa Jamil  
Mary Ann Rouse  
Laura A. Schulte  
Michael L. Wilson
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1. Approval of the February 15, 2018, Meeting Minutes
   Michael L. Wilson, Chair
   Document: February 15, 2018, Open Session Meeting Minutes

2. Research Spotlight: Duke Energy Smart Grid Laboratory
   Bob Wilhelm, Vice Chancellor for Research and Economic Development
   Mike Mazzola, Duke Energy Distinguished Professor of Electrical and Computer Engineering, and Director of the Energy Production & Infrastructure Center (EPIC)

3. Student Affairs and the Student Experience
   Kevin Bailey, Vice Chancellor for Student Affairs
   Document: The Student Affairs Organization and Enhancing the Student Experience

4. Request for Exemption from Credit Hour Limitation
   Joan Lorden, Provost and Vice Chancellor for Academic Affairs
   Jose Gamez, Associate Professor and Associate Director, School of Architecture
   Chris Jarrett, Professor and Director, School of Architecture
   Document: Fostering Undergraduate Student Success (400.1.5) Exemption from Board of Trustees

5. Other Business
   Michael L. Wilson, Chair

6. Adjourn
   Michael L. Wilson, Chair
Members
Michael L. Wilson, Chair
Sharon A. Decker
J. Brett Keeter
Mary Ann Rouse
Joe L. Price, ex officio
The University of North Carolina at Charlotte
Board of Trustees

Athletics Committee Meeting
Wednesday, April 18, 2018, 10:30-11:30 a.m.
Popp Martin Student Union, Multipurpose Room C

Agenda

The Committee Chair will state the following at the beginning of each meeting: In accordance with the State Government Ethics Act (Chapter 138A of the N.C. General Statutes), I remind all members of the committee of their duty to avoid conflicts of interest and appearances of conflicts of interest. If you are aware or become aware of a conflict of interest or any item that may create the appearance of a conflict of interest, please notify me immediately.

1. Call to Order
   Susan D. DeVore, Chair

2. Approval of the February 15, 2018, Meeting Minutes
   Susan D. DeVore, Chair
   Document: February 15, 2018, Meeting Minutes

3. Athletics Budget Annual Report
   Darin Spease, Deputy Athletic Director
   Documents: Athletics Budget
   2017-2018 Conference USA Comparison—Operational Budgets
   2017-2018 Conference USA Comparison—Operations/Recruiting

4. NCAA Compliance Report
   Scott Byrd, Associate Athletic Director for Compliance and Championships
   Documents: Executive Summary: Audit Report, A2018-17 NCAA Compliance Rules Education
   Charlotte 49ers Athletics: Institutional Control
   Violation Report, 2017-2018 Academic Year

5. Athletics Department Update
   Mike Hill, Director of Athletics

6. Other Business
   Susan D. DeVore, Chair

Members
Susan D. DeVore, Chair          Laura A. Schulte          Joe L. Price, ex officio
Tracey B. Allsbrook            Teross W. Young, Jr.
The Committee Chair will state the following at the beginning of each meeting: *In accordance with the State Government Ethics Act (Chapter 138A of the N.C. General Statutes), I remind all members of the committee of their duty to avoid conflicts of interest and appearances of conflicts of interest. If you are aware or become aware of a conflict of interest or any item that may create the appearance of a conflict of interest, please notify me immediately.*

1. Call to Order  10:30 a.m.  
   Theresa J. Drew, Chair

2. Approval of Meeting Minutes  10:31 a.m.  
   Theresa J. Drew, Chair
   Documents: February 15, 2018, Meeting Minutes—Open and Closed

3. Request for Authorization of Capital Projects  10:40 a.m.  
   Beth Hardin, Vice Chancellor for Business Affairs  
   Phil Jones, Associate Vice Chancellor for Facilities Management  
   Documents: Intercollegiate Swimming Upfit  
   Bioinformatics Fourth Floor Upfit  
   Miltimore -Wallis Roof Replacement

4. Request for Authorization Increase of Capital Projects  10:45 a.m.  
   Beth Hardin, Vice Chancellor for Business Affairs  
   Phil Jones, Associate Vice Chancellor for Facilities Management  
   Documents: Scott Hall Renovation  
   Parking Lot 8 Expansion  
   Campus Circulation Improvements

5. Request for Approval of Open-End Professional Service Agreements List  10:50 a.m.  
   Beth Hardin, Vice Chancellor for Business Affairs  
   Phil Jones, Associate Vice Chancellor for Facilities Management  
   Document: Open-End Professional Service Agreements—One Year Extension FY2019
6. Approval of Parking Systems/Rates Regulations
Beth Hardin, Vice Chancellor for Business Affair
Keith Wassum, Associate Vice Chancellor for Business Services
Douglas Lape, Director or Parking and Transportation Services
Documents: Approval of Parking Ordinance for 2018-2019
  Summary of Ordinance Revisions 2018-2019
  Ordinance Governing Parking, Traffic and the Registration of Motor Vehicles for the University of North Carolina at Charlotte (Redline)
  Ordinance Governing Parking, Traffic and the Registration of Motor Vehicles for the University of North Carolina at Charlotte (Clean)
  2018-2019 Benchmarking
    Parking Benchmark 2018-2019
    2018-2019 Citation Benchmark
    Parking Rate Benchmark – Uptown Charlotte
  UNC Charlotte Financial Projections

7. Approval of the Campus Transportation Policies Manual for UNC Charlotte
Beth Hardin, Vice Chancellor for Business Affair
Keith Wassum, Associate Vice Chancellor for Business Services
Douglas Lape, Director or Parking and Transportation Services
Documents: Approval of Transportation Policies for UNC Charlotte 2018/2019
  Campus Transportation Policies for the University of North Carolina at Charlotte

8. Request to Dispose of Real Estate by Gift
Beth Hardin, Vice Chancellor for Business Affairs
Phil Jones, Associate Vice Chancellor Facilities Management
Richard LaLiberte, Real Estate Manager
Document: Hotel/Conference Center - Land Gift

9. Capital Improvement Projects Update
Beth Hardin, Vice Chancellor for Business Affairs
Phil Jones, Associate Vice Chancellor Facilities Management
Document: Capital Improvement Projects Update

10. Other Business
Theresa J. Drew, Chair

11. Adjourn
Theresa J. Drew, Chair

Members
Theresa J. Drew, Chair
Dennis N. Bunker III
Dhiaa Jamil
Fred W. Klein Jr.
Joe L. Price, ex officio
The University of North Carolina at Charlotte
Board of Trustees

Wednesday, April 18, 2018
Popp Martin Student Union

Schedule

8:00–9:30 a.m.  Audit, Compliance, and Enterprise Risk Management Committee Meeting
Popp Martin Student Union, Multipurpose Room I

9:30–10:30 a.m.  Executive Committee Meeting
Popp Martin Student Union, Multipurpose Room F

10:30–11:30 a.m.  Academic and Student Affairs Committee Meeting
Popp Martin Student Union, Multipurpose Room F

10:30–11:30 a.m.  Athletics Committee Meeting
Popp Martin Student Union, Multipurpose Room C

10:30–11:30 a.m.  Facilities and Physical Properties Committee Meeting
Popp Martin Student Union, Multipurpose Room I

11:45–12:05 p.m.  Board Will Convene in the Committee of the Whole
Popp Martin Student Union, Multipurpose Room ABDE

12:10–1:10 p.m.  Lunch with the UNC Charlotte Foundation Board
Popp Martin Student Union, Multipurpose Room GH

1:25–3:30 p.m.  Board Will Convene in the Committee of the Whole
Popp Martin Student Union, Multipurpose Room ABDE

Board of Trustees Agenda

The Board Chair will state the following at the beginning of each meeting: In accordance with the State Government Ethics Act (Chapter 138A of the N.C. General Statutes), I remind all members of the Board of Trustees of their duty to avoid conflicts of interest and appearances of conflicts of interest. If you are aware or become aware of a conflict of interest or any item that may create the appearance of a conflict of interest, please notify me immediately.

1. Call to Order
   Joe L. Price, Chair
2. Introductions and Announcements
   Joe L. Price, Chair

3. Introduction and Swearing-In of New Student Body President
   Joe L. Price, Chair
   Niayai Lavien, Student Body President and Trustee
   Tracey B. Allsbrook, Former Student Body President and Trustee
   Anna Clark, Assistant to the Chief of Staff, Notary Public, Office of the Chancellor

   **The Board will join the Foundation Board for lunch in Multipurpose Room GH.**

4. Chancellor’s Remarks
   Philip L. Dubois, Chancellor

5. Remarks from Board of Governors’ Liaison
   Rob Bryan, Board of Governors’ Liaison

6. Remarks from UNC Charlotte Foundation Board Chair
   Karen Popp, Chair, UNC Charlotte Foundation

   **The Board will return to Multipurpose Room ABDE.**

7. Approval of the February 15, 2018, Meeting Minutes
   Joe L. Price, Chair
   Documents: February 15, 2018, Meeting Minutes—Open and Closed
               February 28, 2018, Meeting Minutes—Open and Closed

8. Hotel/Conference Center Update
   Niles Sorensen, Vice Chancellor for Advancement
   Document: Marriott Hotel and University Conference Center at UNC Charlotte

9. Legislative Update
   Betty Doster, Special Assistant to the Chancellor for Constituent Affairs

10. Light Rail
    Betty Doster, Special Assistant to the Chancellor for Constituent Affairs
     Stephen Ward, Executive Director of University Communications
     Document: Light Rail Connects Us
11. Civic Action Plan
   Joan Lorden, Provost and Vice Chancellor for Academic Affairs
   Susan Harden, Assistant Professor of Education
   Tamara Johnson, Research Associate for Academic Planning and Analysis, Academic Affairs
   Jenny Matz, Operations Director, University Communications
   Documents: UNC Charlotte Civic Action Plan
               Civic Action Plan 2017

12. Report of the University Faculty Council
    Richard Leeman, Faculty President
    Document: Faculty Council Report

13. Report of the University Staff Council
    Penny Stevens, Chair
    Document: Staff Council Report

14. Report of the Executive Committee
    Joe L. Price, Chair

15. Report of the Officer Nominating Committee
    Mary Ann Rouse, Chair

16. Report of the Academic and Student Affairs Committee
    Michael L. Wilson, Chair

17. Report of the Athletics Committee
    Susan D. DeVore, Chair

18. Report of the Facilities and Physical Properties Committee
    Fred W. Klein Jr., Trustee
    Documents: Intercollegiate Swimming Upfit
               Bioinformatics Fourth Floor Upfit
               Miltimore -Wallis Center Roof Replacement
               Scott Hall Renovation
               Parking Lot 8 Expansion
               Campus Circulation Improvements
               Hotel/Conference Center—Land Gift

19. Report of the Audit, Compliance, and Enterprise Risk Management Committee
    Laura A. Schulte, Chair

    Niayai Lavien, Student Body President and Trustee

21. Other Business
    Joe L. Price, Chair
22. Motion to Convene in Closed Session  
   Joe L. Price, Chair  
   
a. Pursuant to N.C.G.S. §143-318.11(a)(1), to prevent the disclosure of information that is privileged or confidential pursuant to the laws of this State or of the United States, or not considered a public record within the meaning of Chapter 132 of the General Statutes, such privilege or confidentiality arising under the Family Educational Rights and Privacy Act (20 U.S.C. §1232g) or N.C.G.S. Ch. 126, Art. 7; and  
b. N.C.G.S. §143-318.11(a)(3), to consult with and receive advice from counsel.

Closed Session

23. Report of the Audit, Compliance, and Enterprise Risk Management Committee  
   Laura A. Schulte, Chair  

24. Report of the Executive Committee  
   Joe L. Price, Chair  

25. Motion to Resume in Open Session  
   Joe L. Price, Chair  

Open Session

26. Adjourn  
   Joe L. Price, Chair