Audit, Compliance, and Enterprise Risk Management Committee Meeting
Wednesday, October 11, 2017, 8:00–9:30 a.m.
Popp Martin Student Union, 3rd Floor, Room 340I

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
   Laura A. Schulte, Chair

2. Approval of the April 20, 2017, Meeting Minutes
   Laura A. Schulte, Chair
   Documents: April 20, 2017, Open Session Meeting Minutes
               April 20, 2017, Closed Session Meeting Minutes

3. Internal Audit Update
   Jennifer Walker, Chief Audit Officer
   Documents: FY 2018 Audit Plan Update
               Summary of Internal Audit Reports Issued Since April 2017
               Active Findings Report
               Revised Internal Audit Charter (redline)
               Revised Internal Audit Charter (clean)
               Organization Chart
               IIA Publication: Tone at the Top

4. Compliance Update
   Susan Burgess, Director of Compliance
   Documents: 2017 Annual Security and Fire Safety Report
               University Ethics and Compliance Programs and Activities
               New and Revised University Policies
               Department of Defense Voluntary Education Institutional Compliance Program
5. Motion to Convene in Closed Session
   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. to consult with and receive advice from counsel pursuant to N.C.G.S. §143-318.11 (a)(3).

   Closed Session

   Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel

7. Title IX Update
   Jennifer Newell, Title IX Coordinator
   Document: Title IX Compliance Program “Snapshot”

8. Motion to Resume in Open Session
   Laura A. Schulte, Chair

   Open Session

9. Other Business
   Laura A. Schulte, Chair

10. Adjourn
    Laura A. Schulte, Chair

Members
Laura A. Schulte, Chair
Mary Ann Rouse
Teross W. Young
Michael L. Wilson
Joe L. Price, ex officio
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 9:30 a.m.
   Joe L. Price, Chair

   Joe L. Price, Chair
   Documents: April 20, 2017, Open Session Meeting Minutes
              April 20, 2017, Closed Session Meeting Minutes
              May 12, 2017, Open Session Meeting Minutes
              May 12, 2017, Closed Session Meeting Minutes

3. 2016 Employee Relations Report 9:33 a.m.
   Presenter: Chancellor Dubois
   Attending: Jeanne Madorin and Gary Stinnett
   Documents: 2016 Annual Employee Relations Report
              Appendix I—Supplemental Data: 2016 SHRA Disciplinary Actions by Department
              Appendix II—Exit Interviews Annual Report

4. Procedure for Resolving Faculty Grievances 9:43 a.m.
   Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel
   Documents: Procedures for Resolving Faculty Grievances (Arising under Section 607(3) of The Code of the University of North Carolina) (redline)
              Procedures for Resolving Faculty Grievances (Arising under Section 607(3) of The Code of the University of North Carolina) (clean)
              Resolution of the Board of Trustees of the University of North Carolina at Charlotte: Approval of Revision to Procedures for Resolving Faculty Grievances (Arising under Section 607(3) of The Code of the University of North Carolina)
5. Bank of America Endowed Chair in Computing and Informatics 9:48 a.m.
   Presenter: Joan Lorden, Provost and Vice Chancellor for Academic Affairs
   Document: September 11, 2017, Letter from Dr. Lorden to Chancellor Dubois

6. Motion to Convene in Closed Session 9:52 a.m.
   Joe L. Price, Chair
   a. 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 pursuant to N.C.G.S. §143-318.11(a)(6); and
   b. to prevent the premature disclosure of an award pursuant to N.C.G.S. §143.318.11(a)(2).

   Closed Session

7. Quarterly Report of Faculty Actions 9:52 a.m.
   Joan Lorden, Provost and Vice Chancellor for Academic Affairs
   Document: Quarterly Report of Faculty Actions

8. Quarterly Report of EHRA Non-Faculty Actions 9:54 a.m.
   Beth Hardin, Vice Chancellor for Business Affairs
   Document: Quarterly Report of EHRA Non-Faculty Actions

9. Amendment to Athletics Employment Agreement 9:56 a.m.
   Judy Rose, Athletics Director
   Document: Second Amendment to Employment Agreement

10. Athletics Employment Agreement 10:00 a.m.
    Judy Rose, Athletics Director
    Document: Employment Agreement: Head Women’s Soccer Coach

11. Petition Regarding Political Activity 10:05 a.m.
    Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel
    Documents: August 2, 2017, Email re: Faculty Member Candidacy for Office
                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

12. Honorary Degree Nominations 10:15 a.m.
    Philip L. Dubois, Chancellor
    Documents: Policy, Criteria, and Procedures for the Awarding of Honorary Degrees
                Honorary Degrees Conferred
                Honorary Degree Pool
13. Distinguished Service Award Nominations 10:20 a.m.
   Philip L. Dubois, Chancellor
   Documents: Policy, Criteria, and Procedure for the Selection
   of the Distinguished Service Award
   Recipients of the Distinguished Service Award

14. Motion to Resume in Open Session 10:25 a.m.
   Joe L. Price, Chair

   Open Session

15. Approval of Amendment to Athletics Employment Agreement 10:25 a.m.
   Joe L. Price, Chair

16. Approval of Athletics Employment Agreement 10:27 a.m.
   Joe L. Price, Chair

17. Approval of Petition Regarding Political Activity 10:28 a.m.
   Joe L. Price, Chair

18. Other Business 10:29 a.m.
   Joe L. Price, Chair

19. Adjourn 10:30 a.m.
   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
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
   Michael L. Wilson, Chair

2. Approval of the April 20, 2017, Meeting Minutes
   Michael L. Wilson, Chair
   Document: April 20, 2017, Meeting Minutes

3. Research Spotlight: Four Decades of Research in American Racial Thought
   Presenter: Bob Wilhelm, Vice Chancellor for Research and Economic Development
   Attending: John David Smith, Charles H. Stone Distinguished Professor of American History

4. Title IX Appeals Training
   Presenter: Jonathan Adams, Associate Dean and Director of Student Conduct
              Sarah Edwards, Associate General Counsel
              Jennifer Newell, Title IX Coordinator
   Documents: An Appellate Officer Primer: Student Conduct and Title IX
              Policy on Minimum Substantive and Procedural Standards for Student
              Disciplinary Proceedings (UNC Policy Manual 700.4.1)

5. Other Business
   Michael L. Wilson, Chair

6. Adjourn
   Michael L. Wilson, Chair

Members
Michael L. Wilson, Chair    Mary Ann Rouse
Sharon A. Decker            Joe L. Price, ex officio
J. Brett Keeter
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
   Laura A. Schulte, Acting Chair

2. Approval of the April 20, 2017, Meeting Minutes
   Laura A. Schulte, Acting Chair
   Document: April 20, 2017, Meeting Minutes

3. Review of Concentration of Classes, Selection of Academic Majors, and Five-Year Overview of Student Athlete Admissions
   Lisa Hibbs, Director of Athletic Academic Center
   Documents: Spring 2017 Majors by College
               Spring 2017 Minors
               Top 10 Majors for Student-Athletes, Spring 2017
               Spring 2017 Majors by Percentage
               Five-Year Overview: Student Athlete Admissions

4. Academic Progress Rate Report
   Scott Byrd, Associate Athletic Director for Compliance and Championships

5. Athletics Financial Indicators Report
   Darin Spease, Deputy Athletic Director
   Document: Student Fee Revenue as a Share of Total Operating Revenue for Athletics

6. Hazing Education Update
   Scott Byrd, Associate Athletic Director for Compliance and Championships
7. Sports Expectations Scorecard  
   Judy Rose, Director of Athletics  
   Document: Sports Expectations Scorecard, Fall 2017

   Scott Byrd, Associate Athletic Director for Compliance and Championships  
   Document: Aegis Sports Testing Services Substance Abuse Program Report Card

9. Athletics Department Update  
   Judy Rose, Director of Athletics

10. Athletics Committee Annual Report Schedule  
    Susan D. DeVore, Chair  
    Document: Athletics Committee Calendar

11. Other Business  
    Laura A. Schulte, Acting Chair

12. Adjourn  
    Laura A. Schulte, Acting Chair

Members  
Susan D. DeVore, Chair  
Tracey B. Allsbrook  
Laura A. Schulte  
Teross W. Young, Jr.  
Joe L. Price, ex officio
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
   Theresa J. Drew, Chair
   10:30 a.m.

2. Approval of Meeting Minutes
   Theresa J. Drew, Chair
   Document: April 20, 2017, Meeting Minutes
   10:31 a.m.

3. Update on Previously Approved Health and Wellness Center and Scott Hall Debt Issuance
   Beth Hardin, Vice Chancellor for Business Affairs
   Anne Brown, Associate Vice Chancellor for Finance
   Greg Verett, Interim Director of Treasury Services
   Document: Summary of Debt Issuance
   10:32 a.m.

4. Request for Capital Project Authorization
   Beth Hardin, Vice Chancellor for Business Affairs
   Phil Jones, Associate Vice Chancellor for Facilities Management
   Document: Energy Projects—Phase I
   10:40 a.m.

5. Request for Approval of Capital Project Designer Selection
   Beth Hardin, Vice Chancellor for Business Affairs
   Phil Jones, Associate Vice Chancellor for Facilities Management
   Document: Moore Hall Renovation
   10:45 a.m.

6. Requests for Ratification of Capital Project Designer Selection
   Beth Hardin, Vice Chancellor for Business Affairs
   Phil Jones, Associate Vice Chancellor for Facilities Management
   Documents: Career Center Renovation
              Reclaimed Water Project
   10:55 a.m.
7. Request for Authorization to Acquire by Lease  11:00 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Phil Jones, Associate Vice Chancellor for Facilities Management  
Documents: Warehouse Storage Lease: Surplus Storage  
Kannapolis Core Lab: Research Office Expansion

8. Motion to Convene in Closed Session  11:05 a.m.  
Theresa J. Drew, Chair

_Pursuant to N.C.G.S. §143-318.11(a)(5), to establish, or to instruct the public body's staff or negotiating agents concerning the position to be taken by or on behalf of the public body in negotiating (i) the price and other material terms of a contract or proposed contract for the acquisition of real property by purchase, option, exchange, or lease; or (ii) the amount of compensation and other material terms of an employment contract or proposed employment contract._

**Closed Session**

9. Real Estate Opportunity  11:05 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Phil Jones, Associate Vice Chancellor for Facilities Management  
Richard LaLiberté, Real Estate Manager  
Document: Real Estate Opportunity

10. Motion to Resume in Open Session  11:25 a.m.  
Theresa J. Drew, Chair

**Open Session**

11. Capital Improvement Projects Update  11:25 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Phil Jones, Associate Vice Chancellor for Facilities Management  
Document: Capital Improvement Projects

12. Other Business  11:28 a.m.  
Theresa J. Drew, Chair

13. Adjourn  11:30 a.m.  
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 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 of New Board of Governors Liaison
   Phil Byers, Member of the Board of Governors

4. Remarks from Board of Governors Liaison
   Rob Bryan, Member of the Board of Governors

5. Approval of the April 20, 2017, and July 26, 2017, Meeting Minutes
   Joe L. Price, Chair
   Documents: April 20, 2017, Open Session Meeting Minutes
     April 20, 2017, Closed Session Meeting Minutes
     July 26, 2017, Open Session Meeting Minutes
     July 26, 2017, Closed Session Meeting Minutes

6. Remarks by the Chancellor
   Philip L. Dubois, Chancellor

7. Campaign Update
   Niles Sorensen, Vice Chancellor for University Advancement
   Beth Fischer, Executive Director of University Development

8. Hotel and Conference Center Update
   Niles Sorensen, Vice Chancellor for University Advancement

9. Alcohol Education, Treatment, and Enforcement Programs
   Kevin Bailey, Vice Chancellor for Student Affairs
   Jeff Baker, Chief of Police
   Christine Reed Davis, Dean of Students
   David Spano, Associate Vice Chancellor for Health Programs and Counseling Center Director
   Document: Alcohol Education, Treatment, and Enforcement

10. Free Speech
    Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel
    Sam Sears, Deputy General Counsel
    Document: Overview of Free Speech at UNC Charlotte

11. Report of the Executive Committee
    Joe L. Price, Chair
12. Procedure for Resolving Faculty Grievances
   Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel
   Documents: Procedures for Resolving Faculty Grievances (redline)
   Procedures for Resolving Faculty Grievances (clean)
   Resolution of the Board of Trustees of the University of North Carolina at Charlotte:
   Approval of Revision to Procedures for Resolving Faculty Grievances (Arising
   under Section 607(3) of The Code of the University of North Carolina)

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

14. Report of the Athletics Committee
   Laura A. Schulte, Acting Chair

15. Report of the Facilities and Physical Properties Committee
   Theresa J. Drew, Chair
   Documents: Energy Projects—Phase I
   Moore Hall Renovation
   Warehouse Storage Lease: Surplus Storage
   Kannapolis Core Lab: Research Office Expansion

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

17. Report of the Student Government Association
   Tracey B. Allsbrook, Student Body President and Trustee

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

19. Report of the University Staff Council
   Celeste Corpening, Vice Chair
   Document: Staff Council Report

20. Other Business
    Joe L. Price, Chair

21. 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;
   b. to consult with and receive advice from counsel pursuant to N.C.G.S. §143-318.11(a)(3);
Closed Session

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

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

24. Report of the Facilities and Physical Properties Committee
   Theresa J. Drew, Chair

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

Open Session

26. Adjourn
   Joe L. Price, Chair