



**The University of North Carolina at Charlotte  
Board of Trustees**

**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  
Document: Environmental Health and Safety (EHSO) Internal Audit Update: Internal Audit  
Recommendations, Chancellor's Guidance, and Status of New  
Environmental Health and Safety Office Staff Positions

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.



**The University of North Carolina at Charlotte  
Board of Trustees**

**Executive Committee Meeting**

Wednesday, April 18, 2018, 9:30-10:30 a.m.  
Popp Martin Student Union, Multipurpose Room F

**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 9:30 a.m.  
Joe L. Price, Chair
  
2. Approval of the February 15, 2018, and March 19, 2018, Meeting Minutes 9:31 a.m.  
Joe L. Price, Chair  
Documents: February 15, 2018, Meeting Minutes—Open and Closed  
March 19, 2018, Meeting Minutes—Open and Closed
  
3. Statements of Economic Interest 9:31 a.m.  
Jesh Humphrey, Vice Chancellor for Institutional Integrity and General Counsel  
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 9:34 a.m.  
Philip L. Dubois, Chancellor
  
5. Governance Authorities Discussion 9:42 a.m.  
Philip L. Dubois, Chancellor  
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

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| 14. Athletics Employment Agreement<br>Philip L. Dubois, Chancellor<br>Document: Athletics Employment Agreement | 10:15 a.m. |
| 15. Update on Student Matter<br>Philip L. Dubois, Chancellor   | 10:20 a.m. |
| 16. Motion to Resume in Open Session<br>Joe L. Price, Chair  | 10:24 a.m. |

**Open Session**

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| 17. Action on Faculty Tenure Actions<br>Joe L. Price, Chair  | 10:24 a.m. |
| 18. Action on Reappointments to the Board of Trustees of the Endowment Fund<br>Joe L. Price, Chair | 10:25 a.m. |
| 19. Action on Petition Regarding Political Activity<br>Joe L. Price, Chair                         | 10:26 a.m. |
| 20. Action on Athletics Employment Agreement<br>Joe L. Price, Chair                                | 10:27 a.m. |
| 21. Other Business<br>Joe L. Price, Chair  | 10:28 a.m. |
| 22. Adjourn<br>Joe L. Price, Chair   | 10:30 a.m. |

Members

Joe L. Price, Chair  
Susan D. DeVore  
Theresa J. Drew  
Dhiala Jamil  
Mary Ann Rouse  
Laura A. Schulte  
Michael L. Wilson



**The University of North Carolina at Charlotte  
Board of Trustees**

**Academic and Student Affairs Committee Meeting**  
Wednesday, April 18, 2018  
Popp Martin Student Union, Multipurpose Room F

**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. 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)  
Document: The Day of Reckoning with Solar Power—What Did We Learn from the 2017 Solar Eclipse That Is Shaping Future Research at 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  
Tracey B. Allsbrook

Laura A. Schulte  
Teross W. Young, Jr.

Joe L. Price, *ex officio*





**The University of North Carolina at Charlotte  
Board of Trustees**

**Facilities and Physical Properties Committee Meeting**  
Wednesday, April 18, 2018, 10:30 a.m.–11:30 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 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 11:00 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Keith Wassum, Associate Vice Chancellor for Business Services  
 Douglas Lape, Director of 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 11:10 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Keith Wassum, Associate Vice Chancellor for Business Services  
 Douglas Lape, Director of 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 11:15 a.m.  
 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 11:20 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor Facilities Management  
 Document: Capital Improvement Projects Update
10. Other Business 11:25 a.m.  
 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
20. Report of the Student Government Association
  - 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