



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

**Audit, Compliance, and Enterprise Risk Management Committee Meeting**

Friday, February 19, 2016, 8:00-9:30 a.m.

Student Union, Room 263

**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. At this time, I will ask whether any member of this committee is aware of any conflict of interest or any appearance of a conflict of interest with respect to any matters coming before the committee during this meeting. Should you become aware of a conflict of interest or the appearance of a conflict of interest later in this meeting, please notify me immediately.*

1. Approval of the December 3, 2015, Meeting Minutes 8:00 a.m.  
Catherine P. Bessant, Chair  
*Document:* December 3, 2015, Meeting Minutes
  
2. Internal Audit Update 8:00-8:20 a.m.  
Tom York, Director of Internal Audit  
Raheel Qureshi, Staff Auditor  
Paul Forte, Associate Vice Chancellor for Finance  
Laura Williams, University Controller  
Jane Johansen, Director of Treasury Services  
*Via conference call:*  
Donna Allen, Audit Supervisor, Office of the State Auditor  
Cathy Clark, Audit Manager, Office of the State Auditor  
*Documents:* Results of External Audits  
December 4, 2015, Letter from Chancellor Dubois to State Auditor  
December 10, 2015, Letter from the Office of the State Auditor to the Chair of the Audit, Compliance, and Enterprise Risk Management Committee  
The University of North Carolina at Charlotte Financial Statement Audit Report for the Year Ended June 30, 2015  
The University of North Carolina at Charlotte Foundation Consolidated Financial Statements for the Years Ended June 30, 2015, and 2014, and Independent Auditor's Report  
The University of North Carolina at Charlotte Athletic Foundation Financial Statements for the Years Ended June 30, 2015, and 2014, and Independent Auditor's Report

The University of North Carolina at Charlotte Facilities Development Corporation, Inc. Financial Statements for the Years Ended June 30, 2015, and 2014, and Independent Auditor’s Report  
The University of North Carolina at Charlotte Investment Fund, Inc. Financial Statements for the Years Ended June 30, 2015, and 2014  
Ventureprise Financial Statements for the Years Ended June 30, 2015, and 2014  
FY 2016 Annual Audit Plan Update  
Summary of Internal Audit Reports Issued Since December 2015  
Internal Audit Active Findings Report  
FY 2016 Balanced Scorecard  
“To Audit Emerging Risks, We May Have to Leave Our Comfort Zone,”  
*Internal Auditor*, Aug. 2015.

3. Compliance Update 8:20-8:30 a.m.  
Susan Burgess, Director of Compliance

4. StormReady Presentation 8:30-8:40 a.m.  
Jeff Baker, Chief of Police  
Tony Sturey, Warning Coordination Meteorologist, National Weather Service  
*Document:* The National Weather Service StormReady Program

5. Motion to Convene in Closed Session 8:40 a.m.  
Catherine P. Bessant, 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); and
- c. 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).

**Closed Session**

6. Proposed Division of Institutional Integrity 8:40-9:00 a.m.  
Philip L. Dubois, Chancellor  
*Document:* Creation of a New Division of Institutional Integrity

7. Report on Litigation and Risk Management Issues 9:00-9:10 a.m.  
David Broome, Vice Chancellor and General Counsel

8. Title IX Reports 9:10-9:15 a.m.  
Sue Burgess, Interim Title IX Coordinator

9. Motion to Resume in Open Session 9:15 a.m.  
Catherine P. Bessant, Chair

**Open Session**

10. Internal Audit and Compliance Executive Session 9:15-9:30 a.m.  
(with Trustees and Assistant Secretary)  
Tom York, Director of Audit  
Susan Burgess, Director of Compliance  
Raheel Qureshi, Staff Auditor  
*Document:* UNC Charlotte Internal Audit Department, Internal Procedures Manual,  
Chapter 1300: Quality Assurance and Improvement Program

11. Adjourn 9:30 a.m.  
Catherine P. Bessant, Chair

Members

Catherine P. Bessant, Chair  
Mary Ann Rouse  
Laura A. Schulte  
Michael L. Wilson  
Karen A. Popp, *Ex Officio*



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

**Executive Committee Meeting**  
Friday, February 19, 2016, 9:30-10:30 a.m.  
Student Union, Room 263

**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. At this time, I will ask whether any member of this committee is aware of any conflict of interest or any appearance of a conflict of interest with respect to any matters coming before the committee during this meeting. Should you become aware of a conflict of interest or the appearance of a conflict of interest later in this meeting, please notify me immediately.*

1. Approval of the December 3, 2015, Meeting Minutes  
Karen A. Popp, Chair  
*Document:* December 3, 2015, Executive Committee Meeting Minutes
  
2. Naming Policy (Orientation)  
Niles Sorensen, Vice Chancellor for Advancement  
*Document:* University Policy 602.9, Naming Opportunities
  
3. Revision of Board of Trustees Bylaws  
Krista Newkirk, Chief of Staff  
*Documents:* Bylaws of the Board of Trustees of the University of North Carolina at Charlotte (redline)  
Bylaws of the Board of Trustees of the University of North Carolina at Charlotte (clean)  
Resolution to Amend the Bylaws of the Board of Trustees of the University of North Carolina at Charlotte
  
4. Board of Trustees Quadrennial Self-Assessment  
Karen A. Popp, Chair  
*Document:* UNC Charlotte Board of Trustees Self-Evaluation (2012)

5. Motion to Convene in Closed Session

Karen A. Popp, 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).*

**Closed Session**

6. Faculty Tenure Action

Joan Lorden, Provost and Vice Chancellor for Academic Affairs

*Document:* Personnel Action Requiring Approval of the Board of Trustees

7. Quarterly Report of EPA Non-Faculty Actions

Beth Hardin, Vice Chancellor for Business Affairs

*Document:* Quarterly Report of EPA Non-Faculty Actions

8. Proposed Division of Institutional Integrity

Philip L. Dubois, Chancellor

*Document:* Creation of a New Division of Institutional Integrity

9. Motion to Resume in Open Session

Karen A. Popp, Chair

**Open Session**

10. Faculty Tenure Action

Karen A. Popp, Chair

11. Other Business

Karen A. Popp, Chair

12. Adjourn

Karen A. Popp, Chair

Members

Karen A. Popp, Chair

Catherine P. Bessant

Theresa J. Drew

Dhiaa Jamil

Joe L. Price

Laura A. Schulte

Michael L. Wilson



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

**Academic and Student Affairs Committee Meeting**  
Friday, February 19, 2016, 10:30–11:30 a.m.  
Student Union, Room 263

**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. At this time, I will ask whether any member of this committee is aware of any conflict of interest or any appearance of a conflict of interest with respect to any matters coming before the committee during this meeting. Should you become aware of a conflict of interest or the appearance of a conflict of interest later in this meeting, please notify me immediately.*

1. Approval of the December 3 and December 14, 2015, Meeting Minutes  
Laura A. Schulte, Chair  
*Documents:* December 3, 2015, Meeting Minutes  
December 14, 2015, Meeting Minutes
2. ITS: Meeting the ISO Standards and Ensuring Security and Access (Orientation)  
Mike Carlin, Vice Chancellor for Information Technology and Chief Information Officer  
Rowanne Joyner, Chief Information Security Officer  
*Documents:* UNC Charlotte Information Security Program: Managing Security Incidents  
UNC Charlotte Reference Indexing ISO 27002 Framework to University  
Policies, Standards, and Guidelines
3. Research and Economic Development Spotlight  
Bob Wilhelm, Vice Chancellor for Research and Economic Development  
Mary Lou Maher, Chair, Software and Information Systems, College of Computing and Informatics  
*Document:* Research and Economic Development Spotlight  
Design, Computing, and Creative Cognition
4. Adjourn  
Laura A. Schulte, Chair

Members

Laura A. Schulte, Chair  
Susan D. DeVore  
Mary Ann Rouse

Michael L. Wilson  
Karen A. Popp, *ex officio*



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

**Athletics Committee Meeting**

Friday, February 19, 2016, 10:30–11:30 a.m.  
Student Union, Room 264

**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. At this time, I will ask whether any member of this committee is aware of any conflict of interest or any appearance of a conflict of interest with respect to any matters coming before the committee during this meeting. Should you become aware of a conflict of interest or the appearance of a conflict of interest later in this meeting, please notify me immediately.*

1. Approval of the December 3, 2015, Meeting Minutes  
Dhiaa Jamil, Chair  
*Document:* December 3, 2015, Athletics Committee Meeting Minutes
2. Women's Golf Update  
Judy Rose, Director of Athletics  
Holly Clark, Head Women's Golf Coach
3. Football Game Attendance: Requirements for FBS and Audit (Orientation)  
Chris Thomasson, Associate Athletic Director for Football  
*Document:* A2016-8 Football Attendance Certification
4. Athletic Foundation Audit  
Mike Hummer, Athletic Foundation Executive Director  
*Document:* 2014-2015 Athletic Foundation of the University of North Carolina at Charlotte  
Financial Audit (Summary)  
The Athletic Foundation of the University of North Carolina at Charlotte  
Financial Statements for the Years Ended June 30, 2015 and 2014, and  
Independent Auditor's Report
5. NCAA Agreed-Upon Procedures  
Darin Spease, Senior Associate Athletic Director  
*Document:* RSM: Independent Accountant's Report on Applying Agreed-Upon Procedures

6. Minority Issues Committee Report  
Sam Lopez, Director of Multicultural Academic Services
7. Degree Completion  
Marlon Thomas, Former Student Athlete
8. Athletic Director's Update  
Judy Rose, Director of Athletics
9. Athletics Committee Annual Report Schedule  
Dhiala Jamil, Chair  
*Document:* Athletics Committee Calendar
10. Other Business  
Dhiala Jamil, Chair

Members

Dhiala Jamil, Chair

Catherine P. Bessant

Mitchell J. Daratony

David L. Hauser

Karen A. Popp, *ex officio*





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

**Facilities and Physical Properties Committee Meeting**

Friday, February 19, 2016  
Student Union, Room 262

**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. At this time, I will ask whether any member of this committee is aware of any conflict of interest or any appearance of a conflict of interest with respect to any matters coming before the committee during this meeting. Should you become aware of a conflict of interest or the appearance of a conflict of interest later in this meeting, please notify me immediately.*

1. Approval of December 3, 2015, Meeting Minutes 10:30-10:32 a.m.  
Theresa Drew, Chair  
*Document:* December 3, 2015, Meeting Minutes
2. Belk Plaza Redesign Committee Update 10:32-10:45 a.m.  
Philip L. Dubois, Chancellor  
Peter Franz, Chair, Belk Plaza Redesign Committee  
Phil Jones, Associate Vice Chancellor for Facilities Management
3. Requests for Capital Project Authorization 10:45-10:50 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Phil Jones, Associate Vice Chancellor for Facilities Management  
*Documents:* Campus Circulation Improvements  
West Substation
4. Request for Ratification of Increase in Authorization 10:50-10:55 a.m.  
Beth Hardin, Vice Chancellor for Business Affairs  
Phil Jones, Associate Vice Chancellor for Facilities Management  
*Document:* Admissions and Visitors Center

5. Request for Ratification of Capital Project Designer Selection 10:55-11:00 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor for Facilities Management  
*Document:* Admissions and Visitors Center
  
6. Request for Approval of Construction Manager at Risk Selection 11:00-11:05 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor for Facilities Management  
*Documents:* Academic Complex  
 Health and Wellness Center
  
7. Request for Approval of Lease Agreement 11:05-11:10 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor for Facilities Management  
*Document:* Student Union Campus Salon Lease
  
8. Charlotte Research Institute Entrance Project Update 11:10-11:15 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor for Facilities Management  
*Document:* Charlotte Research Institute (CRI) Entrance Improvements Update
  
9. Five-Year Capital Plan Update 11:15-11:20 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor for Facilities Management  
*Documents:* Five-Year Capital Plan Update  
 Five-Year Capital Plan
  
10. Capital Improvement Projects Update 11:20-11:30 a.m.  
 Beth Hardin, Vice Chancellor for Business Affairs  
 Phil Jones, Associate Vice Chancellor for Facilities Management  
*Document:* Capital Improvement Projects Update

Members

Theresa Drew, Chair

Sharon Decker

Fred Klein

Joe Price

Karen A. Popp, *Ex Officio*



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

Friday, February 19, 2016, 12:00–3:30 p.m.  
Student Union, Room 200

**Schedule**

- 8:00-9:30 a.m. Audit, Compliance, and Enterprise Risk Management Committee Meeting  
Student Union, Room 263
- 9:30-10:30 a.m. Executive Committee Meeting  
Student Union, Room 263
- 10:30-11:30 a.m. Academic and Student Affairs Committee Meeting  
Student Union, Room 263
- 10:30-11:30 a.m. Athletics Committee Meeting  
Student Union, Room 264
- 10:30-11:30 a.m. Facilities and Physical Properties Committee Meeting  
Student Union, Room 262
- 11:30 a.m.-12:00 p.m. Lunch  
Student Union, Room 261
- 12:00-3:30 p.m. Board of Trustees Meeting  
Student Union, Room 200

**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 their duty to avoid conflicts of interest and appearances of conflicts of interest. At this time, I will ask whether any member of this Board is aware of any conflict of interest or any appearance of a conflict of interest with respect to any matters coming before the Board during this meeting. Should you become aware of a conflict of interest or the appearance of a conflict of interest later in this meeting, please notify me immediately.*

1. Call to Order  
Karen A. Popp, Chair
2. Introductions and Announcements  
Karen A. Popp, Chair
3. Approval of the December 3, 2015, Meeting Minutes  
Karen A. Popp, Chair  
*Documents:* December 3, 2015, Meeting Minutes
4. Remarks by the Chancellor  
Philip L. Dubois, Chancellor
5. Fee Structure for Health and Wellness Center  
Philip L. Dubois, Chancellor  
*Document:* Health and Wellness Center Debt and Operational Fees
6. UNC Charlotte Retention and Graduation Data (Orientation)  
Joan Lorden, Provost and Vice Chancellor for Academic Affairs  
*Document:* Student Success
7. Institutional Plan Assumptions  
Philip L. Dubois, Chancellor  
*Document:* Institutional Plan Assumptions 2016-2021
8. Approval of Naming Policy and Revision of Board of Trustees Bylaws  
Niles Sorensen, Vice Chancellor for Advancement  
Krista Newkirk, Chief of Staff  
*Documents:* University Policy 602.9, Naming Opportunities  
Bylaws of the Board of Trustees of the University of North Carolina at Charlotte  
(redline)  
Bylaws of the Board of Trustees of the University of North Carolina at Charlotte  
(final)  
Resolution to Amend the Bylaws of the Board of Trustees of the University of  
North Carolina at Charlotte
9. Connect NC Bond Referendum Update  
Betty Doster, Special Assistant for Constituent Relations
10. Facility Funding, Design, and Construction Process (Orientation)  
Beth Hardin, Vice Chancellor for Business Affairs  
Phil Jones, Associate Vice Chancellor for Facilities Management  
*Document:* Facility Funding, Design, and Construction Process

11. Delegated Authority (Orientation)  
Sarah Edwards, Assistant General Counsel  
*Documents:* The Powers and Duties of the UNC Charlotte Board of Trustees  
UNC Charlotte Board of Trustees Delegations and Duties
12. Report of the Executive Committee  
Karen A. Popp, Chair
13. Report of the Academic and Student Affairs Committee  
Laura Schulte, Chair
14. Report of the Athletics Committee  
Dhiaa Jamil, Chair
15. Report of the Facilities and Physical Properties Committee  
Theresa J. Drew, Chair  
*Documents:* Request for Authorization of Capital Project: Campus Circulation Improvements  
Request for Authorization of Capital Project: West Substation  
Ratification of Increase in Capital Project Authorization: Admissions and Visitors Center  
Request for Approval of Construction Manager at Risk: Academic Complex Renovation  
Request for Approval of Construction Manager at Risk: Health and Wellness Center  
Request for Authorization to Dispose of Real Estate by Lease
16. Report of the Audit, Compliance, and Enterprise Risk Management Committee  
Catherine P. Bessant, Chair
17. Report of the Student Government Association  
Mitchell J. Daratony, Student Body President and Trustee
18. Report of the University Faculty Council  
Jeff Leak, Faculty President  
*Document:* Faculty Council Report
19. Report of the University Staff Council  
Jim Kay, Chair  
*Documents:* Staff Council Report  
Staff Council Resolution in Support of 2015 Connect NC Bond Act and Referendum  
January 10, 2016, Letter to UNC Board of Governors
20. Other Business  
Karen A. Popp, Chair

21. Motion to Convene in Closed Session

Karen A. Popp, 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); and*
- c. *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).*

**Closed Session**

22. Report of the Audit, Compliance, and Enterprise Risk Management Committee

Catherine P. Bessant, Chair

23. Report of the Executive Committee

Karen A. Popp, Chair

24. Report of the Academic and Student Affairs Committee (Hazing Issue)

Laura Schulte, Chair, Academic and Student Affairs Committee

Dave Broome, Vice Chancellor and General Counsel

25. Comprehensive Evaluation of the Vice Chancellor for Advancement

Philip L. Dubois, Chancellor

*Document:* Comprehensive Assessment of Vice Chancellor Niles Sorensen

26. Motion to Resume in Open Session

Karen A. Popp, Chair

**Open Session**

27. Adjourn

Karen A. Popp, Chair