

November 21, 2019, 8:30AM  
Chancellor's Ballroom, Carolina Inn

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**OPEN SESSION**

1. Convene Meeting
2. Roll Call
3. Consent Agenda
  - a. Approval of September 25-26, 2019 Minutes (Regular Meeting)
  - b. Ratification of Mail Ballot dated October 1, 2019
4. Chair's Remarks
5. Student Body President's Remarks
6. Chancellor's Remarks
7. Predicting Autism from Infant Brain Scans: Implications for Changing Clinical Practice – Dr. Joseph Piven, Thomas E. Castelloe Distinguished Professor of Psychiatry, Pediatrics and Psychology & Director of the Carolina Institute for Developmental Disabilities
8. Report of the External Relations Committee
9. Report of the Finance, Infrastructure & Audit Committee
10. Report of the University Affairs Committee

**CLOSED SESSION**

11. \*Report of the External Relations Committee
12. \*Report of the University Affairs Committee
13. \*Legal Update

**OPEN SESSION**

14. Report of the University Affairs Committee
15. Adjournment

**BOARD OF TRUSTEES MEETING**  
**The University of North Carolina at Chapel Hill**  
**September 26, 2019**

The Board of Trustees met in regular session on Thursday, September 26, 2019 at The Carolina Inn, Chancellor's Ballroom. Chair Stevens convened the meeting at 8:30 a.m.

**ROLL CALL**

Trustee Artis Neal called the roll and the following members were present:

Teresa Artis Neal, Secretary	Ashton B. Martin
David L. Boliek, Jr.	Allie Ray McCullen
Jefferson W. Brown	Ralph W. Meekins, Sr.
Haywood D. Cochrane, Jr.	John P. Preyer
R. Gene Davis, Jr., Vice Chair	Richard Y. Stevens, Chair
Charles G. Duckett	Dwight D. Stone
Kelly Matthews Hopkins	

Trustee Artis Neal indicated that there was a quorum.

**STATE GOVERNMENT ETHICS ACT**

Chair Stevens read the following statement:

As Chair of the Board of Trustees, it is my responsibility to remind all members of the Board of their duty under the State Government Ethics Act to avoid conflicts of interest and appearances of conflict of interest as required by this Act. Each member has received the agenda and related information for this Board of Trustees' meeting. If any Board member knows of any conflict of interest or appearance of conflict with respect to any matter coming before the Board of Trustees at this meeting, the conflict or appearance of conflict should be identified at this time.

Chairman Stevens and Trustee Brown both indicated a potential conflict of interest for the designer selections for campus wide parking and deck repairs being brought to the board by the Finance, Infrastructure, and Audit Committee.

**CONSENT AGENDA**

**Approval of Minutes**

On motion of Chair Stevens and a second by Vice Chair Davis, the minutes of the following meetings were approved as distributed, as well as the other following actions:

- July 31-August 1, 2019 regular meeting

Ratification of the mail ballots dated:

- June 6<sup>th</sup> – Appointment of Angela Kashuba as Dean of the Eshelman School of Pharmacy
- August 13<sup>th</sup> – Appointment of Charles Marshall as Vice Chancellor and General Counsel
- September 12<sup>th</sup> – EHRA faculty HR actions for August 2019  
(ATTACHMENTS A-D)

**CHAIR'S REMARKS**

- Chair Stevens thanked everyone for attending the meeting.
- The Chair continued and shared recent national rankings.
- Chairman Stevens then thanked Interim Chancellor Guskiewicz for his strong and stable leadership in this time of transition.
- Chairman Stevens provided an update on the Chancellor Search Committee.
- The Chair concluded his remarks by calling upon Trustee Martin.

[A copy of these remarks is in the Office of the Assistant Secretary and at bot.unc.edu.]

### **STUDENT BODY PRESIDENT'S REMARKS**

- Trustee Martin shared remarks on her administration and their work so far this school year.

[A copy of these remarks is in the Office of the Assistant Secretary and at bot.unc.edu.]

### **CHANCELLOR'S REMARKS**

- Interim Chancellor Guskiewicz began his remarks by thanking Chair Stevens, the board, and his administrative team for their support.
- Interim Chancellor Guskiewicz shared highlights and campus updates since the last meeting.
- Interim Chancellor Guskiewicz concluded by introducing the presentation.

[A copy of these remarks is in the Office of the Assistant Secretary and at bot.unc.edu.]

### **ENVIRONMENT, ECOLOGY, AND ENERGY PROGRAM**

Interim Chancellor Guskiewicz introduced Dr. Jaye Cable. Dr. Cable is Senior Associate Dean for Natural Sciences and Mathematics and Professor in the Department of Marine Sciences. Dr. Cable shared with the board an introduction to the Environment, Ecology, and Energy Program (E3P) that was created this year.

To conclude her presentation, she entertained questions from the board. This presentation can be found on bot.unc.edu and on file in the Office of the Assistant Secretary.

### **UNC POLICY COLLABORATORY**

Interim Chancellor Guskiewicz introduced Dr. Jeff Warren, Acting Executive Director. Dr. Warren shared an update on the UNC Policy Collaboratory and the work they have been doing over the last two years. Dr. Warren then introduced Research Assistant Kasia Grzebyk, along with student interns Brooke Bauman, Cory Cook, Cassidy Harding, Mary Claire McCarthy, Bailey McNeil, Olivia Petrocella, and Joseph Womble.

To conclude their presentation, they entertained questions from the board. This presentation can be found on bot.unc.edu and on file in the Office of the Assistant Secretary.

### **REPORT OF THE EXTERNAL RELATIONS COMMITTEE**

Vice Chair Davis presented a review of the External Relations Committee meeting. There was one action item for this committee in open session.

### **WUNC Board Appointment and Ratification**

Section 3.2 of the Operating Agreement of WUNC Public Radio, LLC requires that the Board of Trustees elect certain members of the WUNC Public Radio, LLC's Board of Directors. There is one (1) vacancy. The committee presented a motion to elect Teresa Artis Neal to the Board of Directors of WUNC Public Radio, LLC to fill the unexpired term of Kelly Hopkins pursuant to Section 3.2(b)(v) of the LLC Operating Agreement and ratify the appointments and terms as described in the attached list. Trustee Cochrane seconded, and it passed. Trustee Artis Neal recused herself from the vote.

(ATTACHMENT E)

Vice Chair Davis then shared the items presented for information:

- Communications update given by Joel Curran, Vice Chancellor for Communications

- Public Affairs update given by Clayton Somers, Vice Chancellor for Public Affairs and Secretary of the University, Amy Auth, Director of State Affairs, and Kelly Dockham, Director of Federal Affairs

A full review of the committee meeting is in the committee minutes in the Office of the Assistant Secretary.

### **REPORT OF THE FINANCE, INFRASTRUCTURE & AUDIT COMMITTEE**

Trustee Cochran presented the report from the Finance, Infrastructure and Audit Committee. The following items were presented to the committee for action:

#### **Proposed Revision to the Office of Internal Audit Charter and the Finance, Infrastructure, and Audit Committee Charter**

Dean Weber, Chief Audit Officer, reviewed and requested approval to the proposed revisions of the Internal Audit Charter and the Finance, Infrastructure, and Audit Committee Charter as follows.

- Revisions to the Office of Internal Audit Charter:
  - Recommendations provided in the department's recently completed external quality assessment review providing clarification to the Committee's authority over governance of the University's internal audit function.
  - Charter was last reviewed in May 2018.
- Revisions to the Finance, Infrastructure and Audit Committee Charter:
  - Changes to duties and responsibilities of the Committee affording alignment with recommended changes to the Office of Internal Audit Charter.
  - Language is added reflective of Committee requirements prescribed in The Code and UNC Policy Manual, Chapter 1400, *Information Technology*.
  - Charter was last reviewed in January 2016.

A motion came from committee to approve the revisions to both charters. Vice Chair Davis seconded, and it passed.

(ATTACHMENT F)

Chairman Stevens recused himself and asked Vice Chair Davis to present the next item (campus wide parking lot and deck repairs) for action:

#### **Designer Selection**

##### **1. Campus Wide Parking Lot and Deck Repairs**

The University's extensive parking facilities require routine maintenance, repairs, and modest improvements. This project will assess existing conditions across all ten (10) campus parking decks and all major surface parking lots; establish a budget for maintenance, repairs, and improvement; and develop an implementation strategy. Several known parking facility repairs have an immediate need; this designer will address these repairs and improvements. The project budget is \$3,700,000 and will be funded through the Transportation and Parking Trust Fund.

The project was advertised on August 12, 2019. Fourteen (14) proposals were received. Four (4) firms were interviewed on September 19, 2019. Members of the Board of Trustees did not participate in the interviews. The committee recommended the selection of three (3) firms in the following priority order:

1. Kimley-Horn Raleigh, NC
2. Walter P. Moore Charlotte, NC

3. Bennett & Pless Charlotte, NC

The firms were selected for their past performance on similar projects, the strength of their consultant team, and experience with the State Construction Office.

(ATTACHMENT G)

A motion came from committee to approve the designers in priority order. Trustee Duckett seconded, and it passed. Trustees Brown and Stevens recused themselves from the vote due to a potential conflict of interest.

2. Kenan Stadium – Fire Alarm Upgrades

Upgrade of the existing fire alarm systems in the Football Center, Press Box, and Guest Box which have exceeded their operational life expectancy and for which replacement parts are no longer available. The systems in the Press Box and Guest Box are extremely limited in terms of coverage and need expansion. The scope also includes integration of the public address system and a means of broadcasting real-time messaging from the fire control room in Loudermilk. The project budget is \$1,060,000.00 and is being funded by Athletics department reserves.

The project was advertised on August 12, 2019. Fourteen (14) proposals were received. Four (4) firms were interviewed on September 12, 2019. Members of the Board of Trustees did not participate in the interviews. The committee recommended the selection of three (3) firms in the following priority order:

1. Stanford White Raleigh, NC
2. Dewberry Raleigh, NC
3. Optima Raleigh, NC

The firms were selected for their past performance on similar projects, the strength of their consultant team, and experience with campus projects.

(ATTACHMENT H)

A motion came from committee to approve the designers in priority order. Vice Chair Davis seconded, and it passed.

3. Relocation of Grounds Services Department

The development of the south campus site for the Translational Research Building (TRB) will necessitate relocation of some facilities used by the Grounds Department. The project will abate and demolish two existing buildings on main campus and renovate two existing buildings at Carolina North and includes the construction of a new building for offices, meeting, storage and shop space. In addition, there is an existing fuel station at the future TRB site that will be relocated to another spot on main campus. The project budget is \$3,000,000. As this is an enabling project for the larger TRB project, the self-liquidating debt fund source is the same.

The project was advertised on July 19, 2019. Ten (10) proposals were received. Four (4) firms were interviewed on September 4, 2019. Members of the Board of Trustees did not participate in the interviews. The committee recommended the selection of three (3) firms in the following priority order:

1. Watson Tate Savory Charlotte, NC
2. DWL Architects + Planners Pittsboro, NC
3. Davis Kane Raleigh, NC

The firms were selected for their past performance on similar projects, the strength of their consultant team, and experience with campus projects.

(ATTACHMENT I)

A motion came from committee to approve the designers in priority order. Vice Chair Davis seconded, and it passed.

A copy of this presentation is in the Office of the Assistant Secretary and at bot.unc.edu.

### **Project Authorization**

1. **Carmichael Arena – Women’s Basketball Renovations Phase II**

The project will renovate spaces for the Women’s Basketball program across 7,000 square feet at Carmichael Arena. The scope includes reconfiguration of office spaces and break room, new lockers, lighting, and A/V and will result in a more effective layout and upgraded finishes.

The project budget is \$750,000 and will be funded from Athletic department reserves.

A motion came from committee to approve the authorization. Trustee Martin seconded, and it passed.

(ATTACHMENT J)

A copy of this presentation is in the Office of the Assistant Secretary and at bot.unc.edu.

### **Modifications to Horace Williams Campus Designation**

Jonathan Pruitt, Vice Chancellor for Finance and Operations, recommended for approval the modification of the Centennial Campus, Horace Williams Campus, and Millennial Campuses Financing Act. The expansion includes the following areas:

- **Campus South Hub** – Comprised of 86 acres, the South Campus Hub would leverage the University’s \$1B in annual research funds to support research, entrepreneurship, and commercialization endeavors.
- **Mid-Campus Housing District** – Comprised of 16 acres, the Horace Williams Campus designation would apply to existing on-campus housing stock in need of renovation or redevelopment.
- **Porthole Alley** – Located at the threshold between the Town of Chapel Hill and the University’s main campus, the Master Plan envisions Porthole Alley as a gateway to campus, Carolina arts, and innovation.
- **Other Strategic Parcels** – The University controls several parcels immediately adjacent to campus and scattered across Chapel Hill and parts of Orange County. By placing approximately 79 acres of these parcels within the Horace Williams Campus, the University can create flexible financing and leasing structures to meet the University’s needs to upgrade critical infrastructure and generate additional revenue.

A motion came from committee to approve the modifications. Trustee Duckett seconded and it passed.

(ATTACHMENT K)

A copy of this presentation is in the Office of the Assistant Secretary and at bot.unc.edu.

### **Preliminary Design Review/Approval**

#### 1. S1 Parking Deck and Central Generation Plant

The project includes both a new parking deck intended to be built on the S-1 surface parking lot off Paul Hardin Drive and a new 12,000 GSF Emergency Power Central Generation Plant. The new multi-story parking deck will contain approximately 450 parking spaces. The Generation Plant is being funded, and will be operated, by UNC Health Care.

The budget to develop the parking deck is \$14,443,516 and will be funded through the Transportation and Parking Trust Fund as well as self-liquidating debt.

(ATTACHMENT L)

After discussion yesterday, the committee decided to move this item ahead and approved it unanimously. Approving this now will speed up the project for its necessary completion prior to the UNC Surgical Tower's completion.

A motion came from committee to approve the design. Trustee Duckett seconded, and it passed.

Trustee Cochrane continued and shared the items for information only:

- Preliminary design review given by Evan Yassky, University Architect
- Development report given by David Routh, Vice Chancellor for University Development

A full review of the committee meeting is in the committee minutes in the Office of the Assistant Secretary.

### **REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE**

Trustee Duckett presented the report from the University Affairs Committee. There was one action item for this committee in open session.

#### **Centers and Institutes Update**

Authorization to establish a new center or institute is given by the Board of Trustees. Provost Blouin shared for approval a request to establish the Blood Research Center.

(ATTACHMENT M)

A motion came from committee to approve the Blood Research Center. Trustee Cochrane seconded, and it passed.

Trustee Duckett then shared the items presented for information:

- Provost update, given by Bob Blouin, Executive Vice Chancellor and Provost
- GPSF update given by Chastan Swain, President
- Employee Forum update given by Shayna Hill, Chair
- Faculty update given by Lloyd Kramer, Interim Chair of the Faculty

A full review of the committee meeting is in the committee minutes in the Office of the Assistant Secretary.

### **MOTION TO CONVENE IN CLOSED SESSION**

On motion of Secretary Artis Neal, and seconded by Trustee Cochrane, the Board voted to convene in closed session pursuant to North Carolina General Statutes Section 143-318.11 (a) (1) (to prevent the disclosure of privileged information under Section 126-22 and the following);

and also pursuant to Section 143-318.11 (a) (2), (3), (5), (6), (7), and (9).

**RECONVENE MEETING IN OPEN SESSION**

Secretary Artis Neal made a motion to return to open session. Vice Chair Davis seconded, and it passed.

**OPEN SESSION**

**REPORT OF THE UNIVERSITY AFFAIRS COMMITTEE**

Chair Stevens referred the members to the personnel matters submitted for review. Trustee Duckett made a motion from committee to approve; Trustee Cochrane seconded, and it passed.

Chair Stevens stated that the personnel and salary actions voted on in open session had been distributed.

(ATTACHMENT N)

**ADJOURNMENT**

There being no further business to come before the Board, Chair Stevens called for a motion to adjourn. Trustee Cochrane made the motion; Trustee Duckett seconded, and it passed. Chair Stevens adjourned the meeting at 1:08 pm.

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Clayton Somers, Assistant Secretary



THE UNIVERSITY  
of NORTH CAROLINA  
at CHAPEL HILL

KEVIN M. GUSKIEWICZ  
INTERIM CHANCELLOR

chancellor@unc.edu  
O 919-962-1365 | F 919-962-1647

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL  
OFFICE OF THE CHANCELLOR  
103 South Building | Campus Box 9100  
200 E. Cameron Avenue | Chapel Hill, NC 27599-9100  
chancellor.unc.edu

TO: Board of Trustees of The University of North Carolina at Chapel Hill 

FROM: Kevin Guskiewicz, Interim Chancellor

SUBJECT: Proposed Appointment of Vice Chancellor for Institutional Integrity and Risk Management

DATE: October 1, 2019

I am seeking your approval for the appointment of Mr. George Battle as the University's inaugural Vice Chancellor for Institutional Integrity and Risk Management. This proposed appointment, if approved, would be effective January 6, 2020.

The Vice Chancellor for Institutional Integrity and Risk Management (VCIIRM) will hold responsibility for regulatory compliance, ethics, enterprise risk management and campus safety, serving as the University's chief compliance officer and as a strategic partner and advisor to the Chancellor, the Board of Trustees (BOT), the administration, faculty, staff, and students on matters involving or affecting the University. The VC will analyze laws, regulations, proposed legislation, and policies to facilitate compliance by the University in the areas of export control, privacy, and conflicts of interest, and will advise compliance-focused employees who report to other operational units. The VC will also oversee the University's enterprise risk management process. In that role, the VC will identify and assess risks and opportunities, engage University leaders about significant risks that bear on the institutional mission and strategic objectives of the University, and communicate with the community about risk, risk tolerance, and risk mitigation. In addition to the enterprise risk management and regulatory compliance duties, the VC will oversee the campus safety functions, which include, but are not limited to, Campus Police, Emergency Planning and Management, Environmental Health and Safety, and the Protection of Minors office.

Mr. Battle comes to us with an impressive and extensive legal background which includes a mix of litigation, regulatory compliance, and enterprise risk management. As General Counsel for the Charlotte-Mecklenburg Board of Education, Mr. Battle oversees the entire legal operation of the nation's 16<sup>th</sup> largest public school district, with over 19,000 employees, 148,000 students, and a \$1.3B annual budget.

Since his arrival at the district in 2010, he has elevated the legal department's outcomes, expanded in-house capacity, and supervised the development and implementation of Board policies. He also led a series of organizational risk management efforts and worked to establish an organization-wide compliance program. Prior to his work at Charlotte-Mecklenburg, he served as Senior Associate General Counsel for the Carolinas HealthCare System, where, among other legal and advisory roles, he led a HIPAA compliance program implementation and provided counsel for the Institutional Review Board, the Institutional Ethics Committee and the Administrative Policy Committee.

The recommended salary is \$327,191 per year based on a full-time schedule of 1.0 FTE. All terms of his appointment are standard and apply to all Senior Officers at the level of Vice Chancellor as provided for under the University's EHRA Non-Faculty Employment Policies.

We identified Mr. Battle through another search at the University and recognized that his skillset matched the position requirement we identified for this role. I am confident that Mr. Battle will be a tremendous asset to our University and a valuable addition to my executive leadership team. I look forward to answering any questions you may have regarding Mr. Battle's proposed appointment.



September 26, 2019

George E. Battle  
11516 Fox Hill Drive  
Charlotte, NC 28269

Dear Mr. Battle,

I am pleased to confirm your appointment as Vice Chancellor for Institutional Integrity and Risk Management at the University of North Carolina at Chapel Hill, subject to approval of The University's Board of Trustees. As a vice chancellor, you will be classified as a Tier I Senior Academic and Administrative Officer and subject to all of the relevant human resources policies for employees in this category. The following outlines the specific details of your appointment:

<i>Employment effective date:</i>	January 6, 2020
<i>Employment status:</i>	At-will; subject to continuation or discontinuation at any time at the discretion of the Chancellor.
<i>Compensation:</i>	\$327,191 per year based on a full-time (1.0 FTE) work schedule and subject to annual review. The Office of the Chancellor is responsible for initiating any changes in salary, subject to compensation policies adopted by the Board of Governors and/or Board of Trustees.
<i>Leave Accrual:</i>	26 days (208 hours) per year of annual (vacation) leave and 12 days (96 hours) per year of sick leave for full-time service. Up to 30 days (240 hours) of annual leave may be carried forward each calendar year with any excess balance converted to sick leave at year end. Sick leave does not have a maximum accrual rate.
<i>Leave Payout at Appointment End:</i>	Up to 30 days (240 hours) of annual leave; unused sick leave is not eligible for payout.
<i>University Vehicle:</i>	An annual stipend of \$7,500 will be provided to cover costs, incurred by you while using your personal vehicle to conduct University business. This stipend will be disbursed at a rate of \$625.00 per month and is included in your annual W2 statement as taxable income.
<i>Moving Allowance:</i>	Customary and reasonable expenses related to moving household goods to a maximum amount of \$15,000. Because personal moving expense payments are now considered taxable wages under the 2017 Tax Cuts and Jobs Act, the total amount of the expenses submitted for reimbursement will be increased by 30 percent to assist with the tax impact up to a maximum amount of \$19,500.

Reimbursement of the mover should occur within 6 months of the first date of employment in accordance with the following policy: [Policy on Employee Moving Expense Reimbursement](#)

*House Hunting Trips:*

\$3,000 of reasonable travel and lodging expenses for up to two (2) house hunting trips to Chapel Hill, North Carolina.

*Temporary Housing Allowance:*

\$3,000 per month for a period of up to twelve (12) months in reimbursement of rent, utilities, and other expenses related to temporary housing following relocation. All reimbursements require documentation of actual expenses.

*Athletic Event Tickets:*

You will be provided two tickets to UNC Men's basketball and football games. Please note that you may decline the tickets, pay for them entirely, or receive them at no cost. If you receive the tickets at no cost, the value of the tickets will be reported as taxable income.

*Background Check:*

Your appointment is conditional on satisfactory completion of the University's required criminal conviction and credentials checking processes. In the event these processes have not been fully completed at the time your appointment begins, this appointment may be rescinded if any remaining checks disclose information that in the University's judgement are sufficient to bar continued appointment. Before a final decision is made to rescind any appointment, the appointee will receive a copy of the information used in reaching this decision and will have an opportunity to provide any exculpatory or explanatory information.

*Employee Parking:*

Employee parking is governed by the University's parking regulations and specific parking space allocations made to individual University departments. Employees pay the cost of parking and specific details can be obtained from your appointment Department's HR Representative and also by consulting the UNC Department of Transportation and Parking at <https://move.unc.edu/>

*Employment Policies:*

Your appointment will be subject to the *Employment Policies for Tier I Senior Academic and Administrative Officers of the University of North Carolina at Chapel Hill* as presently defined and as they may be periodically revised. A copy of the policies currently in effect is enclosed with this letter and is also available at any time by consulting the University's Office of Human Resources web site at <http://hr.unc.edu>.

Your appointment is conditional on your acceptance of the terms and conditions stated in this letter and as set out in the "Conditions of Employment Permanent Employee Appointment (COE)", which is enclosed. Please signify your acceptance of these terms and conditions by signing and dating the enclosed copy of this letter and the COE and returning to my office no later than October 3, 2019. A failure to return these signed documents within the indicated timeline may result in cancellation of your offer of appointment.

Accompanying this letter of appointment are "Equal Opportunity Employment Data Forms" which request information regarding gender and race/ethnicity information, Protected Veteran status and Individuals with Disability information. The University of North Carolina at Chapel Hill is an Equal Opportunity Employer. Collection of this information is in compliance with Federal laws and regulations, executive orders, and applicable State laws and regulations. The information that you submit will remain confidential and will be used by the UNC Chapel Hill Equal Opportunity and Compliance Office only for statistical and required reporting purposes. Completion of this data is voluntary; failure to provide this information will not adversely affect your candidacy or employment.

I look forward with great enthusiasm to our working together and in your leadership as the University's new Vice Chancellor for Institutional Integrity and Risk Management. Welcome you to The University of North Carolina at Chapel Hill.

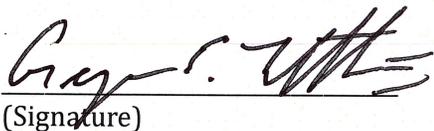
Sincerely,



Interim Chancellor

Enclosure: Employment Policies for EHRA Non-Faculty Employees  
Conditions of Employment Permanent Employee Appointment  
Equal Opportunity Employment Data Forms

Acknowledgment and Acceptance by Appointee:

  
(Signature)

Date: 9/28/19

cc: Departmental Personnel File  
EHRA Non-Faculty Human Resources (uploaded with hire action)

# George E. Battle III

11516 Fox Hill Drive | Charlotte, NC 28269 | 980.333.1006 | [georgebattle3@gmail.com](mailto:georgebattle3@gmail.com) | [www.linkedin.com/in/gb3gc](http://www.linkedin.com/in/gb3gc)

## PROFESSIONAL EXPERIENCE

**CHARLOTTE-MECKLENBURG BOARD OF EDUCATION** – Charlotte, NC  
**General Counsel**

July 2010 – Present

Oversees entire legal operation of the nation's 16<sup>th</sup> largest public school district with over 19,000 employees, 148,000 students, and \$1.3B annual budget.

- ♦ **Elevated legal department to its most successful performance in its history** across all operations, including outcomes, budgets, outside counsel spend, lawyer credentials, staff training, and critical case valuation.
- ♦ **Expanded in-house capacity to provide legal services** by increasing number of lawyers and focusing on recruitment, development, and retention of highly accomplished personnel.
- ♦ **Lowered overall legal operations budget by 17%** over nine years to lowest amount (both in percentage and absolute dollars) in the history of the organization, while the organization's overall budget increased by 13%.
- ♦ **Led organizational risk management efforts**, including development of risk mitigation policies, development and implementation of enterprise risk assessment, oversight of claims management processes, serving as one of two decision makers authorized to settle claims not requiring full Board of Education approval, serving as one of two Board of Education representatives on the joint Mecklenburg County-City of Charlotte-Charlotte-Mecklenburg Board of Education risk management steering committee.
- ♦ **Supervised development and implementation of Board of Education policies**, including selecting and managing the Board of Education's Policy Administrator, led successful effort resulting in complete overhaul of the organization's board governance policies, and implementing a systematic, multi-year on-going review of all of policies.
- ♦ **Currently leading effort establish an organization wide compliance program**, including policy development and establishment of a comprehensive compliance office.

**CAROLINAS HEALTHCARE SYSTEM** – Charlotte, NC  
**Senior Associate General Counsel**

August 1999 – July 2010

Provided legal counsel and advisory services for one of the nation's largest public health care systems, second only to Veterans Administration, with 60K employees in three states and \$8B in annual revenue. Served as Lead Counsel for clinical research program, procurement, administrative policy committee, political action committee, and the largest subsidiary at that time, Cleveland County HealthCare System.

- ♦ **Led multi-year initiative to implement legal component of HIPAA compliance program** that met all regulatory requirements and deadlines, as well as gaining recognition as a national model.
- ♦ **Met demands of massive growth in clinical research program's scope and substance** by leveraging existing in-house and outside counsel resources, creating standardized contract review and negotiation processes, and providing professional development to clinical research program staff.
- ♦ **Provided counsel and oversaw the delivery of legal services for the Institutional Review Board, Institutional Ethics Committee, and Administrative Policy Committee**

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## EDUCATION

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UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL, SCHOOL OF LAW (AUGUST 1996- MAY 1999)

**Juris Doctor**, Chancellor's Scholar

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL (AUGUST 1991 – MAY 1995)

**Bachelor of Arts in Political Science**, Pogue Scholar, Student Body President, and Member, Pi Sigma Alpha (National Political Science Academic Honor Society)

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## BAR ADMISSIONS

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North Carolina (1999)

Federal District Court, Western District of North Carolina (1999)

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## AFFILIATIONS & BOARD LEADERSHIP

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- ◆ North Carolina Council of School Attorneys
  - Chairman, 2017-2018
- ◆ National School Board Association, Council of School Attorneys
- ◆ North Carolina Bar Association
- ◆ Mecklenburg County Bar
- ◆ Charlotte Rescue Mission, Board of Directors
- ◆ Good Fellows, Board of Directors
- ◆ Past Board Chair, Community Building Initiative
- ◆ Past Board Member, Carolina College of Health Sciences
- ◆ Past Board Member, North Carolina State Board of Community Colleges



**Mail Ballot**  
**Board of Trustees**  
**October 1, 2019**

Interim Chancellor Kevin Guskiewicz submits for your review and approval the terms of appointment and compensation for George Battle as the new Vice Chancellor for Institutional Integrity and Risk Management. This mail ballot will be approved as part of the consent agenda at the Full Board meeting on Thursday, November 21, 2019.

The undersigned votes as follows with recommendation to these proposed actions as presented by the Chancellor.

	<b>Approve</b>	<b>Disapprove</b>
Appointment and compensation for George Battle as Vice Chancellor for Institutional Integrity and Risk Management	<input type="checkbox"/>	<input type="checkbox"/>

Signature \_\_\_\_\_

Printed Name \_\_\_\_\_

Date \_\_\_\_\_

Please fax to TJ Scott at (919) 962-1647 or email at [tj\\_scott@unc.edu](mailto:tj_scott@unc.edu)

This ballot was approved by majority vote on October 1, 2019 by the following: Teresa Artis Neal, Jeff Brown, Haywood Cochrane, Gene Davis, Chuck Duckett, Kelly Hopkins, Ralph Meekins, Richard Stevens, Dwight Stone, and Ashton Martin. David Boliek, Allie Ray McCullen, and John Preyer voted to disapprove.

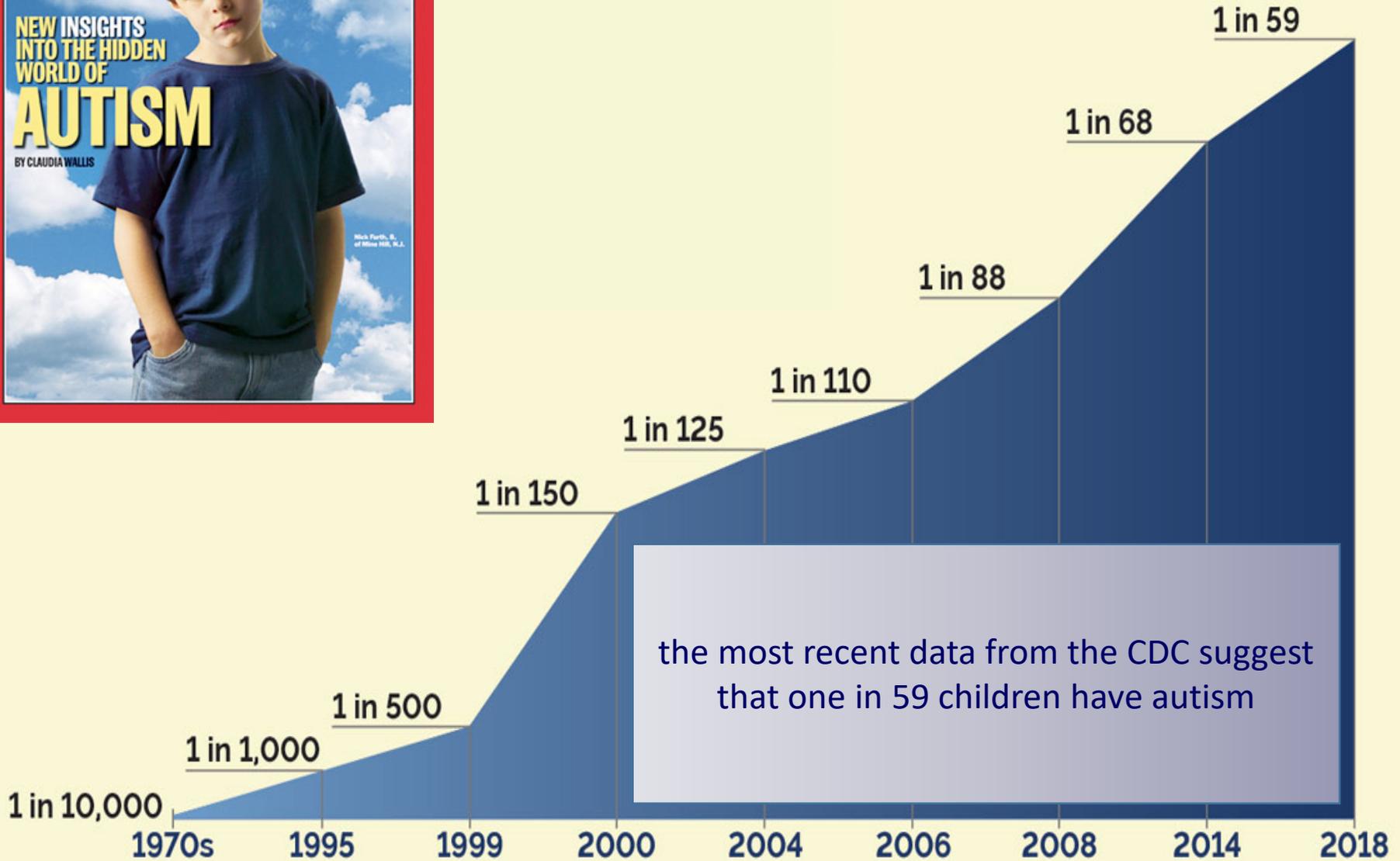
# Predicting Autism from Infant Brain Scans: Implications for Changing Clinical Practice

Joe Piven, M.D.

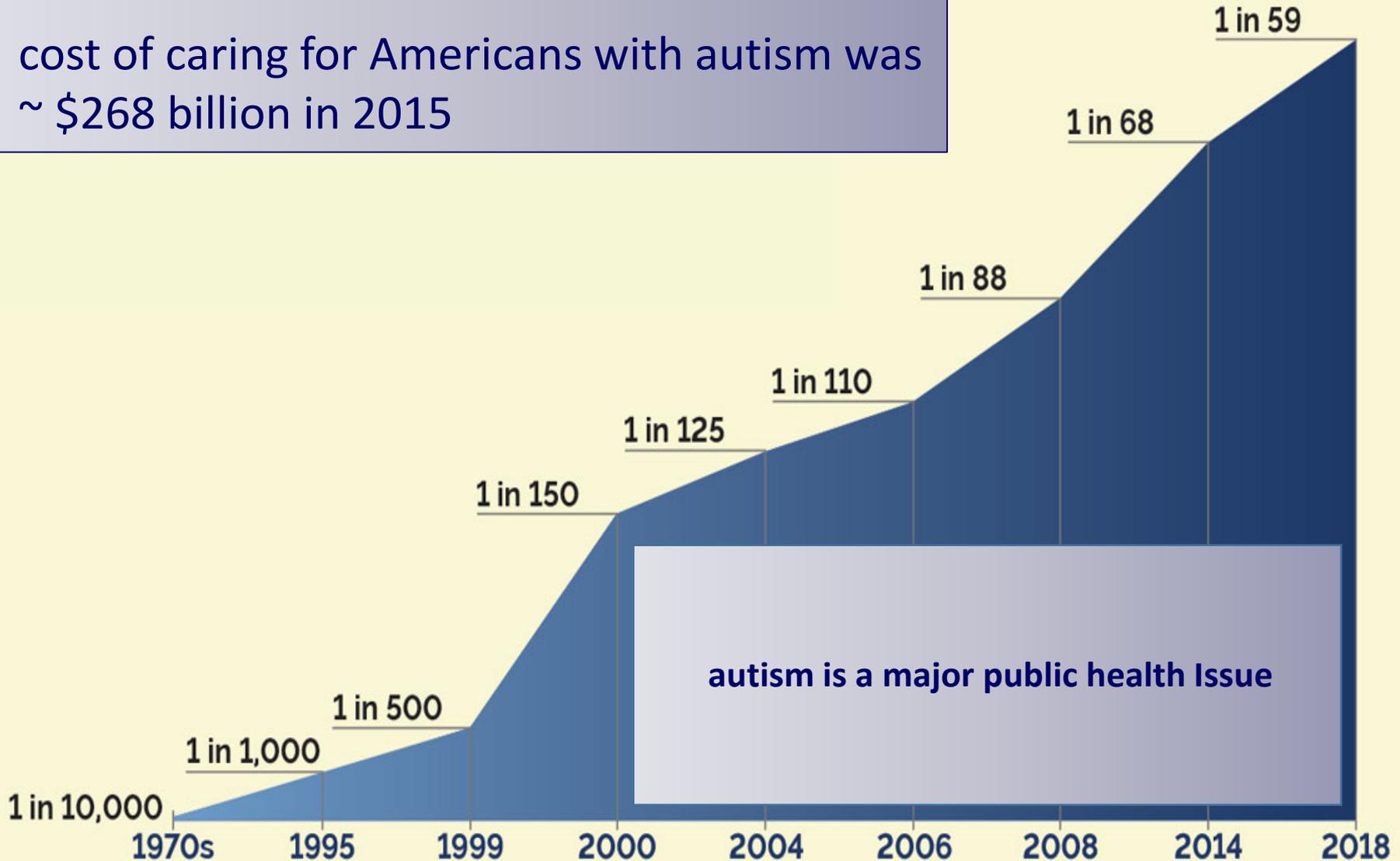
Thomas E. Castelloe Distinguished  
Professor of Psychiatry and Pediatrics

Director, Carolina Institute for  
Developmental Disabilities





- lifetime per capital cost to society is \$3.2M (M. Ganz 2007)
- cost of caring for Americans with autism was ~ \$268 billion in 2015



# The Earliest Age of Detection/Diagnosis of Autism is at 2-3 Years Old

birth

2-3 years

## **DIAGNOSIS/TREATMENT**

**autism spectrum disorder**

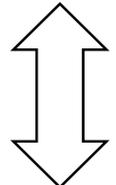
social-communication deficits  
ritualistic-repetitive behavior



# Earliest Detection/Diagnosis of Autism is at 2-3 Years of Age

## RISK

environmental



genetic

## DEVELOPMENT



birth

2-3 years

## DIAGNOSIS/TREATMENT

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ritualistic-repetitive behavior



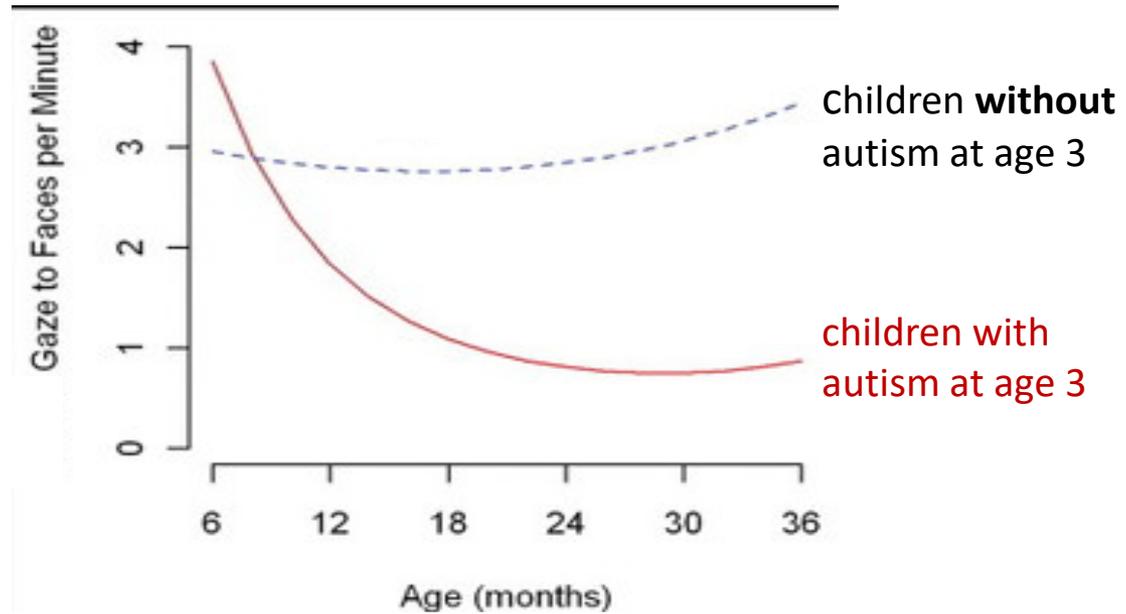


**'Infant Sibling' Studies: A New Research Paradigm  
to Study the Very Early Development of Autism**

- **The risk of having a 2<sup>nd</sup> child with autism is ~ 20%**
- **~ 20 fold greater than risk in the general population.**

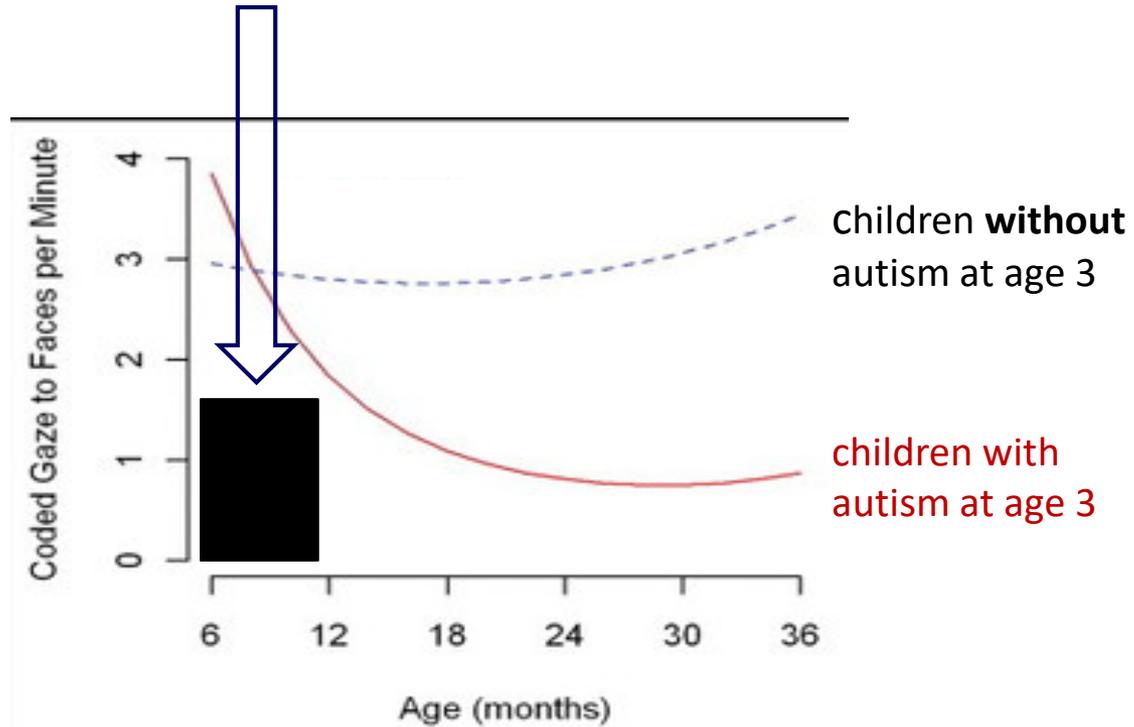
# Emergence of Social Deficits in a Child with Autism

Compared to a Child without Autism



Ozonoff et al (2010)

## A Pre-Symptomatic Period in the Development of Autism



High risk infant sibling studies have demonstrated that the defining social deficits in autism emerge in the latter part of the first and second years of life

## Social Behavior at 6, 12, 18 and 24 Months



Courtesy of Lonnie Zwaigenbaum, M.D.



## Infant Brain Imaging Study (IBIS) Network

### Study Sites



Philadelphia

Children's Hospital  
of Philadelphia



Seattle

U Washington



St. Louis

Washington U  
in St Louis



Chapel Hill

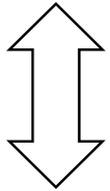
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N > 600 high and low risk infants assessed at 6-12-24 months of age

# Dramatic Changes Take Place in the Brain of a Child Developing Autism

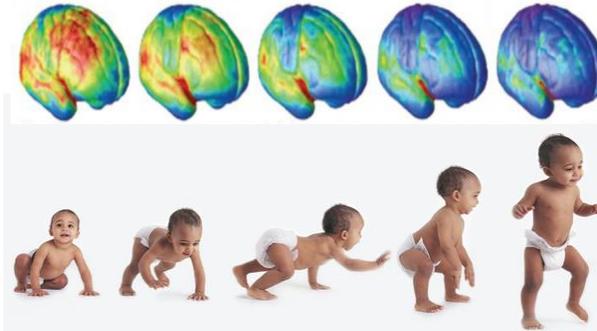
## RISK

environmental



genetic

## DEVELOPMENT



birth

2-3 years

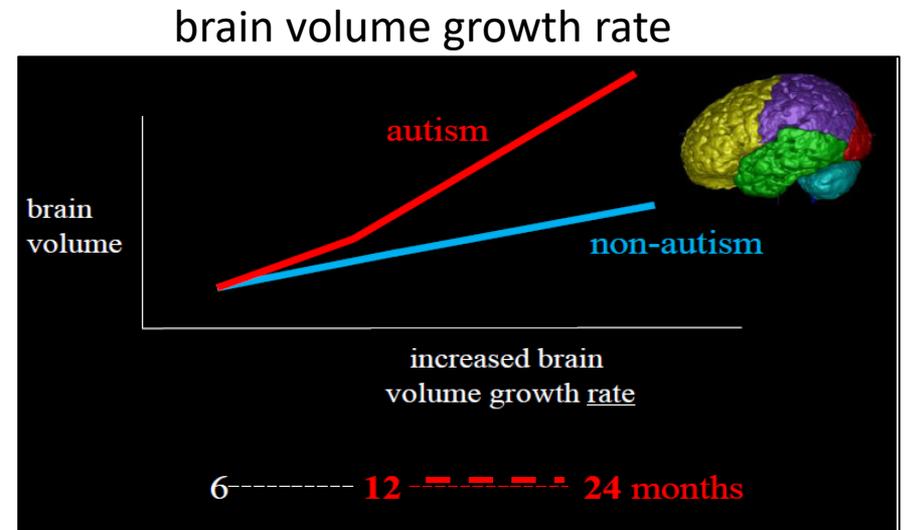
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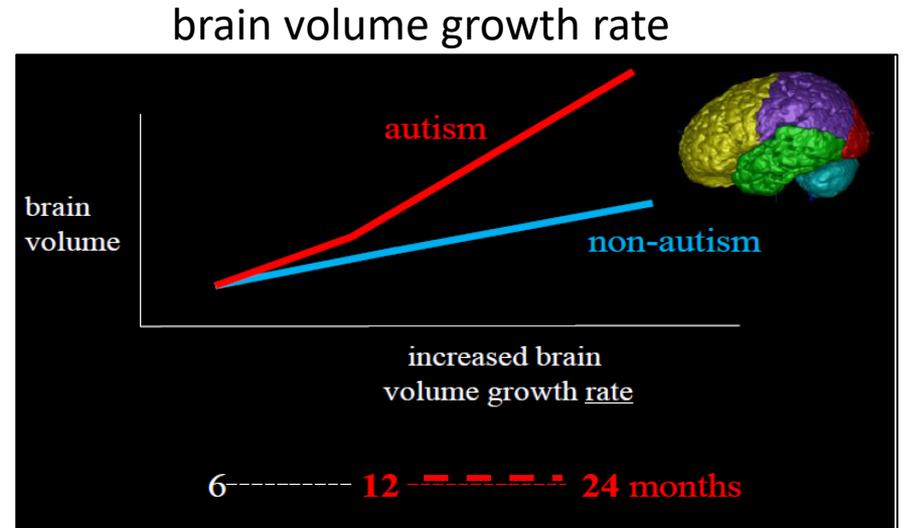
## One Example: Brain Overgrowth Between 12-24 Months of Age



Hazlett et al, *Nature*, 2017

## The Emergence of Social Deficits are Associated with Brain Overgrowth

*The emergence of deficits in social interaction, a defining features of autism, are linked to brain overgrowth and emerge in the second year of life.*

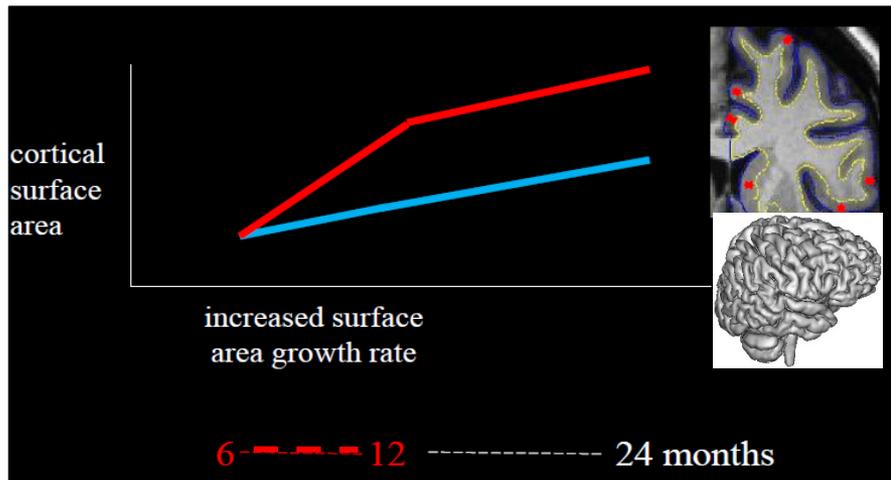


Hazlett et al, *Nature*, 2017

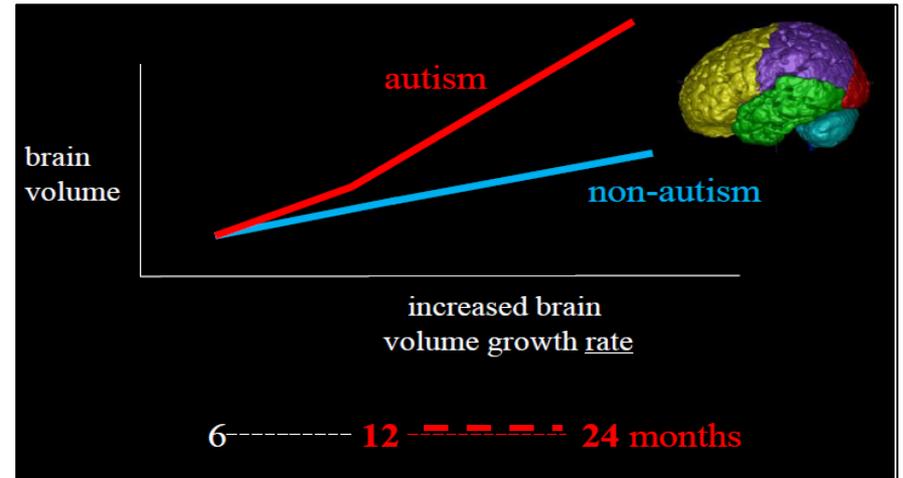
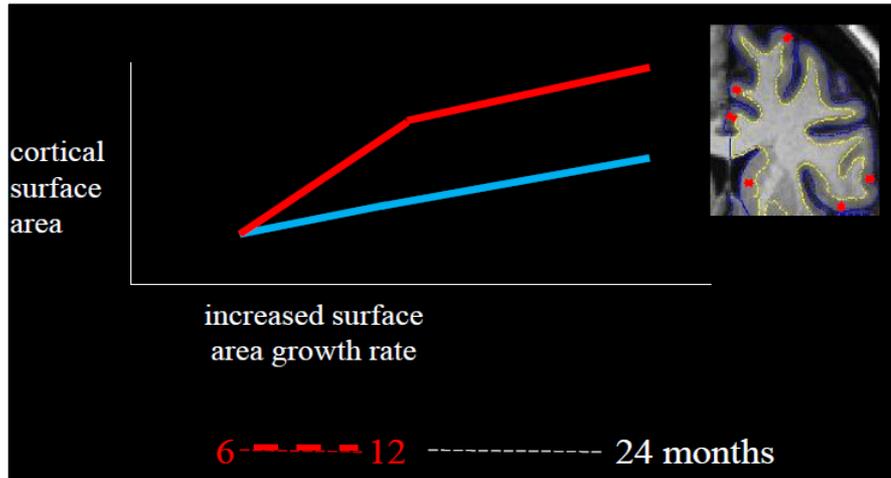
# Overgrowth is **Preceded by Hyper-Expansion of Cortical Surface Area**

from 6-12 Months of Age

↑ cortical surface area growth rate



# Sequential Changes in Brain Structure from 6-12 and 12-24 Months of Age



# Cascading Series of Brain and Behavior Changes Leading to Autism



expansion of cortical surface area



disruption of sensory experiences \ attention



altered experience dependent development ?



cortical overgrowth



emergence of autistic social deficits



## Cascading Changes: **Implications for Intervention**



expansion of cortical surface area



disruption of sensory experiences \ attention



altered experience dependent development ?



cortical overgrowth



emergence of autistic social deficits



Treatment for autism is critically important but,  
at best,  
has only a modest impact on symptoms



- behavioral modification
- educational strategies
- speech therapy
- medications: symptomatic treatment



## earlier and earlier identification

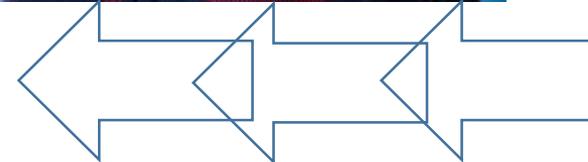
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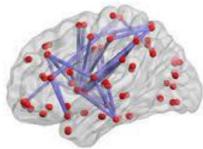
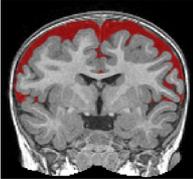
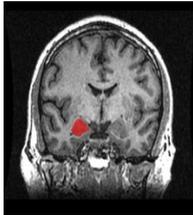
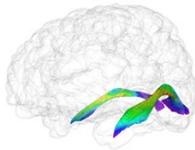
2 years



# Brain Changes in the First Year: Presymptomatic Detection ?



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birth

6  
months

1

2 years

## DIAGNOSIS/TREATMENT

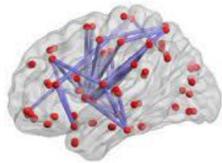
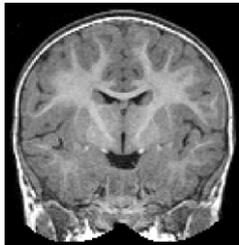
**autism spectrum disorder**

social-communication deficits  
ritualistic-repetitive behavior



in the first year of life we can accurately predict who will develop autism.

Hazlett et al., Nature (2017)  
Emerson et al., Science Transl Med (2017)



6 - 12 months



DIAGNOSIS/TREATMENT

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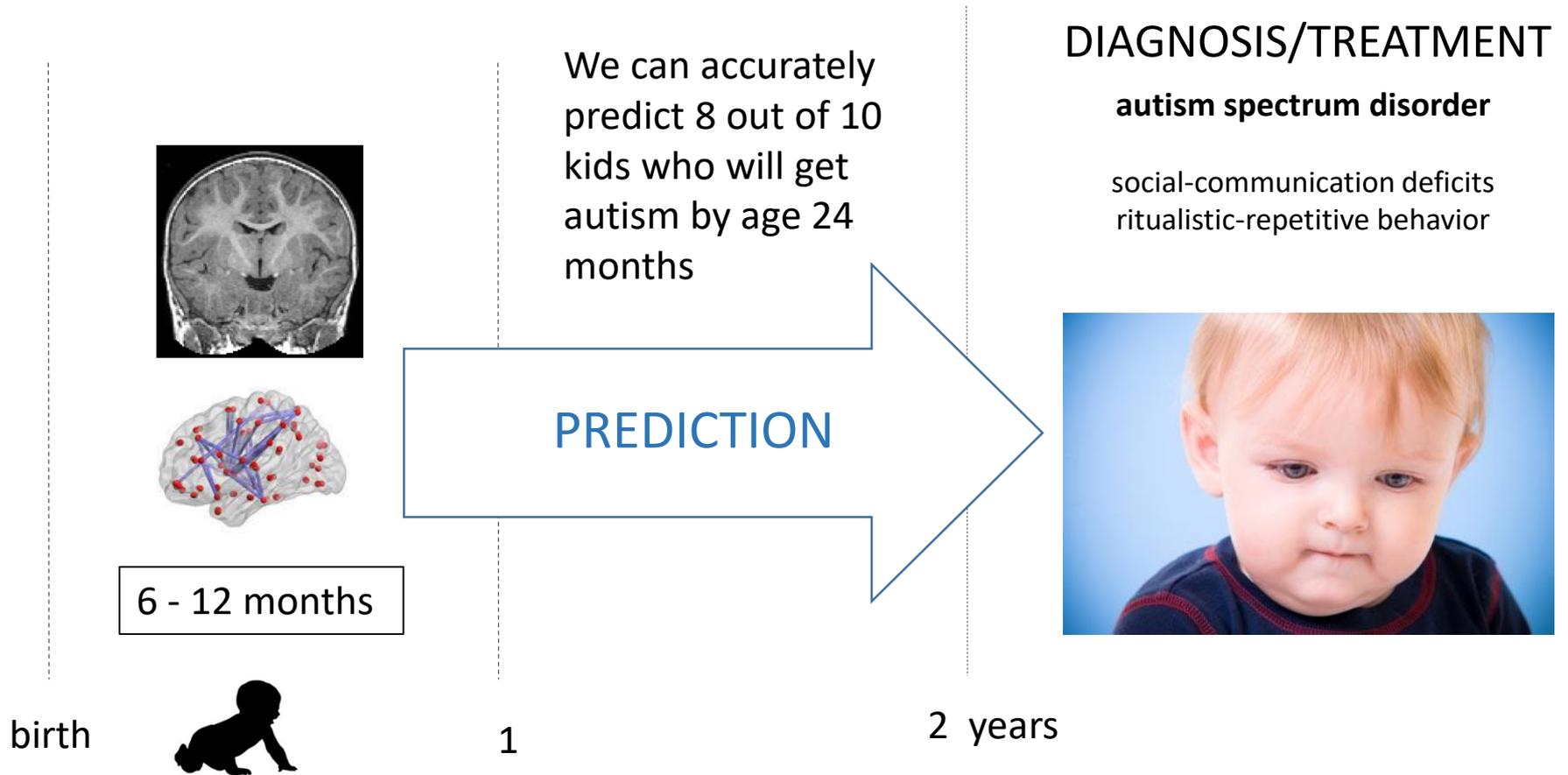
birth



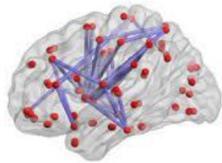
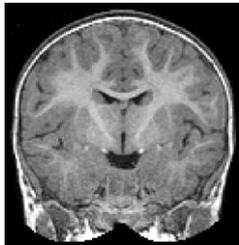
1

2 years

in the first year of life we can accurately predict who will develop autism.



in the first year of life we can accurately predict who will develop autism.



We can accurately predict 8 out of 10 kids who will get autism by age 24 months

PREDICTION

## DIAGNOSIS/TREATMENT

**autism spectrum disorder**

social-communication deficits  
ritualistic-repetitive behavior



birth



## Current Practice: Treatment after Diagnosis



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### DIAGNOSIS/TREATMENT

**autism spectrum disorder**

social-communication deficits  
ritualistic-repetitive behavior



birth

1

2 years

# Pre-symptomatic Detection and Treatment

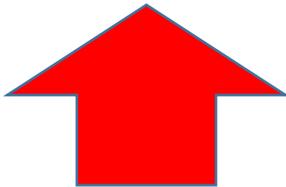


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- earlier is better



birth



1



## Pre-symptomatic Detection and Treatment

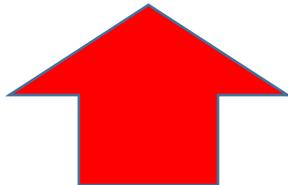


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- earlier is better
- presymptomatic period
  - brain/behavior plasticity
  - before brain/behavior changes are consolidated

birth



1

## Pre-symptomatic Detection and Treatment



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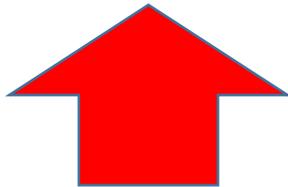


- earlier is better
- presymptomatic period
- proof of principle

infant brain features predict autism dx.

replication study started summer 2019

birth



1

## Pre-symptomatic Detection and Treatment



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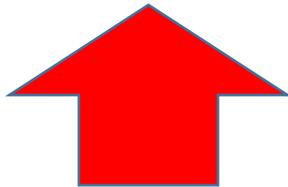
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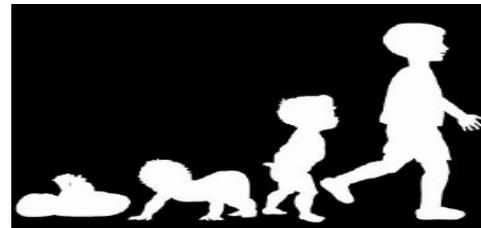
replication study started summer 2019

follow up original infants into school age

birth



1



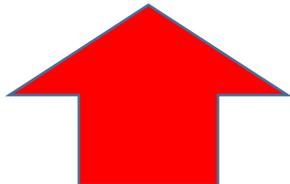
## Intervention in at 6-12 Months of Age ?



- training attention ?
- medication ?



birth



1



**UNC Autism  
Research Center**



# Infant Brain Imaging Study (IBIS)

## University of North Carolina

Heather Cody Hazlett  
Martin Styner  
Mahmoud Mostapha  
Robert Emerson  
Mark Shen  
Jessica Girault  
Shoba Meera  
Jason Stein

## Univ of Washington

Annette Estes  
Stephen Dager  
Tanya St John  
Kate MacDuffie

## Wash Univ. in St Louis

Kelly Botteron  
John Constantino  
Bob McKinstry  
John Pruett  
Claire MacKinnon  
Natasha Marrus  
Zoe Hawks

Annual IBIS Meeting; NYC, 2017



## Johns Hopkins

Heather Volk  
Dani Fallin  
Mary Beth Nebel  
Brad Schlaggar

## UT Dallas

Meghan Swanson

## Children's Hospital of Phila

Bob Schultz  
Juhi Pandey  
Julia Parish-Morris  
Lisa Yankowitz

## University of Minn

Jed Elison,  
Jason Wolff

## University of Alberta

Lonnie Zwaigenbaum

## New York University

Guido Gerig

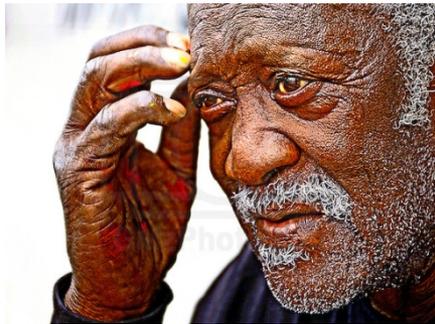
## McGill University

Alan Evans  
John Lewis  
Leigh MacIntyre

# Autism Spectrum Disorders in Older Adults: Toward Defining a Research Agenda

*Joseph Piven, MD,<sup>\*</sup> and Peter Rabins, MD,<sup>†</sup> on behalf of the Autism-in-Older Adults Working Group*

Journal of the American Gerontological Society (2011)



## RESEARCH

# High rates of parkinsonism in adults with autism

Sergio Starkstein<sup>1,2,3</sup>, Scott Gellar<sup>1</sup>, Morgan Parlier<sup>4</sup>, Leslie Payne<sup>4</sup> and Joseph Piven<sup>1,4\*</sup>

- 200-fold increase in prevalence
- rated one of the top ten articles of 2015 (by Autism Speaks)



