

APR 23 2015

Susan M. Kies

SECRETARY OF THE BOARD

MEETING OF THE GOVERNANCE, PERSONNEL, AND ETHICS COMMITTEE

OF THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ILLINOIS

FEBRUARY 26, 2015

This meeting of the Governance, Personnel, and Ethics Committee of the Board of Trustees of the University of Illinois was held in Room 270, College of Pharmacy, 833 South Wood Street, Chicago campus, Chicago, Illinois, on Thursday, February 26, 2015, beginning at 1:03 p.m. Attendance via videoconference was also available in Room 1030, National Center for Supercomputing Applications, 1205 West Clark Street, Urbana campus, Urbana, Illinois; the Hatmaker Room, Room 550, Public Affairs Center, One University Plaza, Springfield campus, Springfield, Illinois; and Dean's Conference Room, 1601 Parkview Avenue, College of Medicine, Rockford, Illinois.

Trustee Patrick J. Fitzgerald, chair of the committee, convened the meeting and asked the clerk to call the roll. The following members of the committee were present: Mr. Patrick J. Fitzgerald, Dr. Timothy N. Koritz, Mr. James D. Montgomery. Ms. Hannah Cave, student trustee from the Springfield campus, was absent.

Also present were Dr. Eric A. Gislason, interim chancellor, Chicago campus, and vice president, University of Illinois; and Dr. Susan M. Kies, secretary of the Board of Trustees and of the University. Dr. Christophe Pierre, vice president for academic affairs, joined the meeting telephonically. Attached is a listing of other staff members in attendance at this meeting, as well as some members of the media.

Mr. Fitzgerald welcomed all who were present. Mr. Fitzgerald then asked if there were any comments or questions regarding the minutes from the meeting that was held on October 30, 2014, and there were none. He requested a motion to approve the minutes, and on motion of Mr. Montgomery, seconded by Dr. Koritz, the minutes were approved. There were no “nay” votes.

REVIEW OF RECOMMENDED BOARD ITEMS
FOR THE MEETING OF THE BOARD OF TRUSTEES
OF THE UNIVERSITY OF ILLINOIS ON MARCH 12, 2015

Mr. Fitzgerald introduced the items within the purview of this committee on the Board’s agenda at its meeting on March 12, 2015. All recommended items discussed at the meeting are on file with the clerk.

Appointments to the Faculty, Administrative/Professional Staff,
and Intercollegiate Athletic Staff

Dr. Kies explained that the appointments of faculty, administrative and professional staff, and intercollegiate athletic staff that are recommended in this item are thoroughly reviewed at the appropriate levels within the college, department, or unit, and that this item appears regularly on the Board’s agenda. She then described changes in the item’s format and invited Dr. Pierre to comment. Dr. Pierre said that he and Ms. Maureen M. Parks, associate vice president, University Office of Human Resources, and others have worked to ensure that the campuses put faculty appointments before the Board prior to the effective date of employment. Dr. Pierre said he was pleased to report nearly 100

percent compliance with the changes prior to the March meeting of the Board, and he expected full compliance by the May meeting. Mr. Fitzgerald expressed appreciation for the effort of everyone involved. Dr. Kies noted that she would send demographic information on the new hires in this item to the committee members electronically.

PRESENTATIONS

Calendar Year 2014 Ethics Annual Report

Mr. Fitzgerald asked Ms. Donna McNeely, executive director of ethics and compliance, to provide the annual ethics report (materials on file with the clerk). Ms. McNeely began by providing background information on the report and stated that 2014 was a busy but positive year. She discussed the changes in the office, including a renaming to University Ethics and Compliance Office, increased staff size, a new logo and website design, and the “Inspire Integrity” awareness campaign. Ms. McNeely then reviewed the organizational chart for the office. She discussed the compliance function of the office and detailed the development of a risk-based focus to identify compliance gaps and implement mitigation strategies and best practices. Ms. McNeely stated that the office is currently identifying compliance populations and owners of compliance issues. She described the new associate director of compliance position and its initial focus areas. Ms. McNeely then reviewed ethics training statistics, stating that the University’s current compliance rate is 99.9 percent. She also described the office’s efforts to provide eight other public institutions with training via a fee-based structure. Ms. McNeely detailed

the process behind the Statements of Economic Interests declarations and anticipated changes tied to Illinois Executive Order 15-09. She reviewed the office's caseload, stating that there were 120 active cases in 2014, which marked a 41 percent increase when compared to 2013, and she provided statistics on the cases' backgrounds and outcomes, as well as information on data requests from the Office of the Executive Inspector General. Ms. McNeely said she believed the increase in the caseload is attributed to the awareness campaign launched in the fall. She also provided information on daily calls and emails sent to the office and detailed common advisory areas. Ms. McNeely reviewed the committees that the ethics staff are involved in and displayed the graphics used in the awareness campaign.

Mr. Fitzgerald thanked Ms. McNeely for her presentation. He then welcomed Dr. Koritz, who had recently joined the committee, and asked if he had questions for Ms. McNeely. Dr. Koritz and Ms. McNeely discussed ethics training for students and its impact on the ethics and compliance office. Mr. Fitzgerald and Ms. McNeely discussed the validity of cases amid the larger caseload, as well as the office's work on cybersecurity concerns.

Freedom of Information Act Update

At 1:40 p.m., Mr. Fitzgerald asked Mr. Thomas P. Hardy, executive director for University relations, to provide information on the Freedom of Information Act (FOIA) year-end review for 2014 (materials on file with the clerk). Mr. Hardy provided

background information on the Office for University Relations, which handles FOIA requests. He stated that 2014 was a record year for the number of FOIA requests received and processed, with 857 requests received, representing a 38 percent increase from the previous year, and he stated that the office provided more than 100,000 pages of public documents to requestors. Mr. Hardy added that 2015 was forecasted to be a record year as well. He gave statistics on the types of requestors and information requested, and reviewed the University's FOIA website. He noted that of the requests fulfilled in 2014, only 18 were sent to the Public Access Counselor for review, and he gave details on the outcome of those cases. He added that this reflected positively on the University's response to requests. Mr. Hardy reviewed activities at the University that stimulated requests. He detailed legislation that serves to assist public bodies in managing requests, including laws addressing recurrent requesters and voluminous requests. Mr. Fitzgerald thanked Mr. Hardy and his team for their work. Dr. Koritz asked Mr. Hardy to discuss categories that could account for the majority of yearly increases. Mr. Hardy said there has been an increase in private and commercial requests, and he described those requests.

OLD BUSINESS

Governing Documents Review

At 1:48 p.m., Mr. Fitzgerald invited Dr. Nicholas C. Burbules, professor of education policy, organization and leadership at Urbana, to update the committee on the governing documents review. Dr. Burbules provided background information on the documents and

the process to date. He stated that the *General Rules* have been reviewed by the University Senates Conference and have been sent on to the president's office, with the exception of the intellectual property section, which requires review from the campus senates, who are currently conducting a review. Dr. Burbules then discussed a proposal to remove the intellectual property section from the *General Rules* and place it in the *University of Illinois Statutes*. Dr. Burbules stated that the *University of Illinois Statutes*, which require review and approval by the senates, have been examined by the Chicago Senate and Springfield Senate. He said that he hopes the Urbana Senate will complete their analysis in the near future. Dr. Burbules said that the process has gone smoothly so far, and he believes they are approaching the end. He added that suggested changes are not controversial and are aimed at updating policies and practices of the University and fit the evolving nature of the institution. Mr. Fitzgerald thanked Dr. Burbules for his patience and leadership in this task.

NEW BUSINESS

At 1:53 p.m., Mr. Montgomery discussed a proposed State statute that would change the naming process for members of the State Universities Civil Service Merit Board, and he felt the issue was one the committee should review. Mr. Fitzgerald said he would look into the matter with Dr. Kies. Mr. Fitzgerald also asked the trustees to consider topics the committee should be briefed on, and added that cyber preparedness was an issue he felt should be discussed at an upcoming meeting.

Mr. Fitzgerald then announced that the next meeting is scheduled for
Thursday, April 23, 2015, at 1:00 p.m.

MEETING ADJOURNED

On motion of Mr. Montgomery, seconded by Dr. Koritz, the meeting adjourned at 1:55
p.m. There were no "nay" votes.

Respectfully submitted,



SUSAN M. KIES
Clerk



PATRICK J. FITZGERALD
Chair



AUBRIE L. WILLIAMS
Assistant Clerk

