Committee on Legal & Compliance (LC)
2021-2022 Plan

2021-2022 Committee Priorities:

1. Vice President & General Counsel reports to Board on current, significant legal/litigation matters at each Board Meeting facilitating proper Board oversight.
2. Facilitate Board Member inquiries regarding legal/compliance matters beyond the Vice President & General Counsel’s regular reports by direction to Legal & Compliance Committee Chair for presentation to VP & General Counsel.
3. Provide oversight of legal risks through a comprehensive review and prioritization.
4. Provide oversight of compliance risks (including athletics) through a comprehensive review and prioritization.
5. Update and approve Office of Ethics & Compliance Strategic Plan and Compliance Plan.
7. Deep dive with Committee engagement on one substantive legal/compliance topic per meeting.
8. Carry over 2020-2021 unfinished items for consideration, but not necessarily inclusion in 2021-2022 Plan:
   (a) Provide Board with understanding of legal bases and foundations associated with obtaining, retaining, and revoking tenure.
   (b) Office of General Counsel composition and future including interplay with Penn State Health Counsel’s Office.
   (c) Contract and procurement process with third parties.

Risk Oversight Responsibilities:

1. Risks related to the development, implementation, and ongoing assessment of internal compliance policies, procedure, and guidelines to manage and mitigate risk related to Big Ten, NCAA, federal, state, local, and/or international legal and regulatory obligation of the institution under applicable laws to ensure adequacy and efficacy.
2. Risks related to the responsible conduct of research, the integrity of research activities, and related issues arising in regulated research areas.
2021-2022 Committee on Legal & Compliance Agendas

September 16, 2021 Meeting

- 2021-2022 Committee Plan and Priorities. (Houston)
- Distribution of Comprehensive Litigation List/Report. (Dunham)
- Generative Topic - Foreign influence, including section 117, Chinese students and scholars, law enforcement and increased legal and compliance obligations. (Dunham)

November 11, 2021 Meeting

- COVID-19 Legal/Compliance Risks and Experience to date. (Dunham)
- Clery Act Legal/Compliance Update. (Nelson)
- Generative Topic - Legal Issues at Penn State Relating to Anti-Racism and Racial Justice. (Dunham)

February 17, 2022

- Liquor Renewals. (Guadagnino)
- Top 10 Legal Risks. (Dunham)
- Review of Ethics & Compliance Strategic Plan and Compliance Plan. (Chief Ethics and Compliance Officer)

May 5, 2022 Meeting

- Title IX Legal/Compliance Update. (Adair, Harris, Lewis)
- Annual Integrity/Compliance Training Program. (Chief Ethics & Compliance Officer)
- Contract and Procurement Process with Third Parties. (Elmore)

July 21, 2022 Meeting (York Campus)

- Compliance Risk Assessment/Top 10 Compliance Risks. (Chief Ethics & Compliance Officer)
- Coverage of one or more of the carry-over items from the 2020/2021 plan.