

**THE PENNSYLVANIA STATE UNIVERSITY
BOARD OF TRUSTEES**

**COMMITTEE ON LEGAL AND COMPLIANCE
MINUTES OF MEETING
VOLUME LC 33**

February 18, 2021

A meeting of the Committee on Legal and Compliance (the Committee) of the Board of Trustees was held via Zoom at 1:45 p.m. on Thursday, February 18, 2021.

The following members, constituting a quorum, were present: Chair Rob Tribeck, Vice Chair David Kleppinger, President Eric Barron (*Ex Officio*), Matt Schuyler (*Ex Officio*), Rick Dandrea, Alex Hartzler, Bill Oldsey, Julie Anna Potts, and Stan Rapp. Also attending were Student Representative Julia Kelliher and Faculty Representative Lisa Mangel, and staff members Robert Boland, Emme Devonish, Stephen Dunham, Kenya Faulkner, Frank Guadagnino, Shannon Harvey, Lynn Holleran, Nicholas Jones, Jennifer Santiago, Sara Thorndike, and Sandy Weaver.

Chair Tribeck called the meeting to order at 1:47 p.m. and called for a motion for the Committee to approve the *Minutes* of the November 12, 2020 committee meeting. The motion to approve came from Trustee Oldsey, and Trustee Kleppinger then seconded the motion. The motion was unanimously approved.

For the next action item, Chair Tribeck called on Frank Guadagnino, Secretary of the Board, to provide background and context for the Proposed Annual Applications, Renewals and Other Filings Required by the Pennsylvania Liquor Control Board. Guadagnino stated the University either directly or through one of its subsidiaries holds a number of liquor licenses that are specific to the various facilities, such as The Nittany Lion Inn, The Penn Stater, hospitality services, the Bryce Jordan Center and others. Annual and bi-annual filings and registrations need to be made with respect to the liquor license approvals and this Committee of the Board has the authority to approve them on a regular basis. Guadagnino stated this is a routine approval of renewal of the annual licenses with no changes from the authorizations requested in previous years. A motion to approve came from Trustee Oldsey, and Trustee Schuyler seconded the motion. The motion was unanimously approved.

Chair Tribeck introduced Kenya Faulkner, Chief Ethics and Compliance Officer, and Sandy Weaver, Manager, Youth Program Compliance, for a status update on the University's Ethics and Compliance Strategic Plan. Faulkner shared the process of updating the Compliance Plan. She also stated that the Department of Justice strongly encourages effective compliance plans to include the eight pillars found in the United States Sentencing Commission's Sentencing Guidelines, all of which will be included in the Compliance Plan update. Faulkner shared the Compliance Plan Revision Timeline, with the final plan to be presented to the Board in July.

Weaver shared the four overarching goals of the Compliance Plan: 1) to create a horizontal ethics and compliance management structure, 2) to develop processes and system infrastructure, 3) to develop and implement a consistent University-wide communication approach, and 4) to conduct proactive environmental analysis and awareness. Weaver then shared work is continuing on the Strategic Plan, stating that they have mapped each of the Plan's goals and objectives back to the overall University plan and thematic goals.

Faulkner and Weaver answered questions posed by Committee members. The public meeting was adjourned at 2:17 p.m. with the Committee going into Executive Session.

Respectfully submitted,

Susan Stevens
Administrative Coordinator
Office of the Board of Trustees