

**THE PENNSYLVANIA STATE UNIVERSITY  
BOARD OF TRUSTEES**

**COMMITTEE ON LEGAL AND COMPLIANCE  
MINUTES OF MEETING  
VOLUME LC 34**

**May 6, 2021**

A hybrid meeting of the Committee on Legal and Compliance (the Committee) of the Board of Trustees was held in Dean's Hall of The Penn Stater Hotel and Conference Center, State College, PA, and via video conference, at 4:30 p.m. on Thursday, May 6, 2021.

The following members, constituting a quorum, were present: Chair Tribeck, Vice Chair Kleppinger, President Barron (*Ex Officio*), Schuyler (*Ex Officio*), Dandrea, Oldsey, and Potts. Also attending were Faculty Representative Mangel, and staff members Adair, Boland, Dunham, Guadagnino, Harris, Harvey, Holleran, Jones, Lewis, Lokman, Meixner, Santiago, and Thorndike.

Chair Tribeck called the meeting to order at 4:30 p.m. and called for a motion for the Committee to approve the *Minutes* of the February 18, 2021 committee meeting. A motion was put forward, seconded and 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 Acquisition of an Off-Premise Catering Permit for the Bryce Jordan Center. Guadagnino stated that in February the Board approved the renewal of the University's existing liquor licenses at several University locations, including the Nittany Lion Inn, The Penn Stater Hotel and Conference Center, the Bryce Jordan Center, and others. These locations hold Off-Premise catering permits issued through the Pennsylvania Liquor Control Board. These permits grant permission to conduct Off-Premise catering in which alcohol may be sold to guests of the event, such as weddings and receptions at University buildings and locations. Each permit allows for 52 individual Off-Premise catered events during the calendar year. With the current repurposing of the Nittany Lion Inn to student housing, its liquor license and its associated Off-Premise catering permit were put into safe keeping mode with the PLCB, resulting in a loss of 52 event permits. Having a permit to conduct 52 events through the Bryce Jordan Center license would aid auxiliary and business services in providing full-service Off-Premise catering events. Guadagnino stated the resolution before the committee was to recommend the authorization of the submission of an application required by the PLCB for an Off-Premise catering permit through the existing Bryce Jordan Center license. A motion was put forward, seconded and was unanimously approved.

Chair Tribeck called on Guadagnino to give the Annual Integrity/Compliance Training Program Update. Guadagnino stated he has been serving at President Barron's request as the Acting Chief Ethics and Compliance Officer since March, with the resignation of Kenya Faulkner from that position. He will continue in that role until a successor has been identified and on board. Guadagnino reported that as part of the University's ongoing efforts to augment its compliance program, the Office of Ethics and Compliance launched a separate additional training module for all employees identified by the University as federal procurement employees. The training provided an overview of procurement laws, conflicts of interest and gift giving policies among other areas appropriate to their duties. As of April 29<sup>th</sup>, 100% of active employees who had been assigned the training had successfully completed it. Guadagnino also reported that as of the end of April, over 34,000 faculty and staff had completed the mandatory annual compliance training. Guadagnino noted the University hired Mauricio Jimenez in January as an Investigations Compliance Specialist. He will develop, implement, and support programs and policies involving investigation of non-compliant activity across the University.

The public meeting was adjourned at 4:39 p.m. with the Committee going into Executive Session.

Respectfully submitted,

Susan Stevens  
Administrative Support Coordinator  
Office of the Board of Trustees