

**THE PENNSYLVANIA STATE UNIVERSITY
BOARD OF TRUSTEES**

**COMMITTEE ON LEGAL AND COMPLIANCE
MINUTES OF MEETING
VOLUME LC 7**

November 13, 2014

A meeting of the Committee on Legal and Compliance was held in Room 218 of the Penn Stater Conference Center Hotel, University Park, Pennsylvania, at 2:30 p.m. on Thursday, November 13, 2014.

The following committee members, constituting a quorum, were present: Richard Dandrea, Kenneth Frazier (telephonically), George Greig, Keith Masser, and Paul Silvis. The following staff members were also present: Eric Barron, Regis Becker, Julie Del Giorno, Steve Dunham, David Gray, Frank Guadagnino, Nick Jones, Gary Langsdale, and Tom Poole.

The meeting was called to order by Chairman Frazier, who announced that Vice Chairman Dandrea would chair the meeting. The minutes of the September 18, 2014 meeting were approved.

The Committee reviewed and unanimously approved the following items for action by the full Board:

Proposed Renewal of The Nittany Lion Inn Liquor License, Liquor Permit for Sunday Sales and Amusement Permit

WHEREAS, It is the desire of The Pennsylvania State University to be granted a renewal Hotel Liquor License; and

WHEREAS, It is the desire of The Pennsylvania State University to be granted a renewal of Sunday Sales Permit for the sale of alcoholic beverages at The Nittany Lion Inn; and

WHEREAS, It is the desire of The Pennsylvania State University to be granted a renewal of Amusement Permit,

THEREFORE BE IT RESOLVED, That applications of License and Permits to expire January 31, 2016, be filed with The Pennsylvania Liquor Control Board and that Joseph J. Doncsecz, Associate Vice President for Finance and Corporate Controller, and David J. Gray, Senior Vice President for Finance and Business/Treasurer, be authorized and any and all are authorized to execute the necessary applications and bond, and any other papers required by the Pennsylvania Liquor Control Board.

Proposed Application for a Wine Auction Permit for WPSU

WHEREAS The Pennsylvania Liquor Code authorizes the Pennsylvania Liquor Control Board to issue various permits related to liquor sales, subject to a well-defined set of regulations; and

WHEREAS The Pennsylvania State University desires to file an application for a Wine Auction Permit issued by the Pennsylvania Liquor Control Board, on behalf of WPSU as part of its fund raising efforts;

HEREBY BE IT RESOLVED, That an application for a Wine Auction Permit be submitted to the Pennsylvania Liquor Control Board as part of WPSU's fund raising efforts.

FURTHER BE IT RESOLVED, That David J. Gray, Senior Vice President for Finance and Business/Treasurer, and/or Joseph J. Doncsecz, Associate Vice President for Finance and Corporate Controller, is/are authorized to execute the applications and any other papers required by the Pennsylvania Liquor Control Board, and to take such other actions as may be required in connection with the application.

Regis Becker, Director of University Ethics and Compliance, provided an overview of the Ethics and Compliance Policy development timeline for the University. Included were policies that have been adopted or enhanced during the past eighteen months, and projections for policy amendments in 2015. Also provided were data which reflected 2013-14 employee compliance figures for mandatory Reporting Child Abuse Training. Finally, Regis shared a review of six University programs which were assessed by the Ethics and Compliance Council during 2014; included in the presentation were suggestions for Board standing committee oversight of individual programs, regulatory information; and steps that have been taken to mitigate the unique risks associated with each program.

Julie Del Giorno, Athletics Integrity Officer, provided an update on the Athletics Integrity Agreement. She noted that she continues to provide Ethics Awareness training and has expanded that effort to provide a Team Core Values Workshop that was piloted with the Baseball team. Additionally, her office has accepted invitations to assist other Universities in the development of best practices related to integrity programs and youth programs compliance as they intersect with athletics.

Steve Dunham, University General Counsel, noted that he would provide his legal update in closed session as they are protected by attorney-client privilege. The committee then entered into privileged executive session, with non-Committee trustees invited to stay for the executive session.

Respectfully submitted,

Ann M. Zirkle
Administrative Support Coordinator
Office of the Board of Trustees