

**THE PENNSYLVANIA STATE UNIVERSITY  
BOARD OF TRUSTEES**

**COMMITTEE ON LEGAL AND COMPLIANCE  
MINUTES OF MEETING  
VOLUME LC 43**

**October 19, 2023**

A meeting of the Committee on Legal and Compliance (the Committee) of the Board of Trustees was held via video conference, at 8:00 a.m. on Thursday, October 19, 2023.

The following members, constituting a quorum, were present: Chair de Levie, Vice Chair Kleppinger, Beard, Cairns, Onorato, Potts, Rapp, and Redding. Also attending were Board Chair Schuyler (*Ex Officio*), President Bendapudi (*Ex Officio*), the Governor's non-voting representative Myers, Emeriti Trustees Henning and Pope, and Constituent Representatives Egolf, Ingram, Kerr, Levendosky, Miller, and Seymour. Also attending were staff members Harlow, Harvey, Lewis, Melvin, Oman, Oziemblowsky, Pell, Raab, Smith, Thorndike, and Wilkes.

Chair de Levie called the meeting to order at 8:00 a.m. Oziemblowsky confirmed a quorum was present. Chair de Levie welcomed panelists and members of the public to the committee meeting. He noted for the public attending via Microsoft Livestream, the agenda and supporting materials would be available at [www.trustees.psu.edu](http://www.trustees.psu.edu). He also mentioned the Committee's goals and agenda may be amended from time to time to reflect matters and issues for Board review and discussion.

Chair de Levie welcomed Trustee Beard and Vice President of the Graduate and Professional Student Association Jillian Kerr to the Committee.

Chair de Levie called for a motion for the Committee to approve the Minutes of the January 19, 2023 committee meeting, which was forwarded by Trustee Potts, seconded by Trustee Beard, and unanimously approved.

The Committee received a legal and compliance update from Tabitha Oman, Vice President & General Counsel, including an overview of the new Compliance and Ethics Centers of Excellence framework, to include compliance program design, strategic plan elements, and centers of excellence (issue response and investigations; regulatory management and risk mitigation; and values and ethics communications and training). Chair de Levie noted the Legal and Compliance goal and agenda plan for 2023-2024 could be found in Diligent as well as the Board of Trustees website for review.

The meeting is available in its entirety [here](#).

With no other business coming before the Committee, the meeting was adjourned at 8:17 a.m.

Respectfully submitted,

Thomas J. Oziemblowsky  
Associated Director  
Office of the Board of Trustees

1/18/2024

**Proposed Annual Applications, Renewals and Other Filings Required by the Pennsylvania Liquor Control Board**

The Pennsylvania State University holds licenses and permits through the Pennsylvania Liquor Control Board (PLCB) for the following purposes, venues, and properties, as previously approved by the Board of Trustees:

- Wine Auction Permits in connection with fundraising activities of WPSU, the Palmer Museum of Art, and such other academic or administrative units as may be approved by the Senior Vice President for Finance and Business/Treasurer, in consultation with the Vice President for Development and Alumni Relations
- Bryce Jordan Center – Public Venue Liquor License and Off-Premise Catering Permit
- Beaver Stadium – Public Venue Liquor License
- Recreation Hall – Public Venue Liquor License
- Pegula Ice Arena – Public Venue Liquor License
- Medlar Field at Lubrano Park – Public Venue Liquor License
- Penn State Golf Courses – Public Venue Liquor License

Each license or permit requires either an application process, a biennial application renewal process, or an annual validation process.

Will the Board of Trustees adopt the following resolutions:

WHEREAS, The Pennsylvania Liquor Code authorizes the Pennsylvania Liquor Control Board to issue various licenses and permits related to the sale and service of alcoholic beverages, subject to a well-defined set of regulations; and

WHEREAS, It is the desire of The Pennsylvania State University to sell and serve alcoholic beverages under the conditions previously approved by the Board of Trustees; and

WHEREAS, It is the desire of The Pennsylvania State University to file appropriate applications for licensures and permits either through an application processes, biennial application renewal processes, or a validation process, as applicable; and

THEREFORE BE IT RESOLVED, That Sara F. Thorndike, Senior Vice President for Finance and Business/Treasurer or any appropriate designee(s), is/are authorized to execute applications, renewal forms, and any other documents or instruments required by the Pennsylvania Liquor Control Board, and to take such other actions as may be required in connection with any such applications, renewals or validations; and

RESOLVED FURTHER, That material changes to the terms and conditions previously approved by the Board of Trustees with respect to such licenses and permits shall be submitted to the Board of Trustees for its consideration and approval.

# Legal and Compliance Committee Update

January 2024



**PennState**

OFFICE OF ETHICS AND COMPLIANCE

# Compliance Strategic Plan Elements

**Goal 1:** Understand the Risks and How They are Being Mitigated Today

- *2022 Risk Assessment to be updated in 2025, continue to partner with Risk*

**Goal 2:** Measure our Impact and the Continuous Improvement

- *Regulatory Management and Risk Mitigation COE*

**Goal 3:** Make Values, Ethics and Compliance Part of the Conversation

- *Values & Ethics Communications/Training COE*

**Goal 4:** Optimize Issue Identification/Raising and Response Practices

- *Issue Response and Investigations COE*



# Center of Excellence #1: Issue Response and Investigations

## Initial Remit:

- Create investigations best practices and SOPs, and drive their adoption
- Support efforts to simplify reporting
- Metrics transparency
- Retaliation report follow up process

## January 2024 Updates:

- Streamlined reporting site
- Investigation metrics information consolidated
- Developing Investigation metrics dashboard
- Investigations Best Practices to launch Spring 2024



# Center of Excellence #2: Regulatory Management & Risk Mitigation

## Initial Remit:

- Design controls mapping and gap identification process for significant compliance risks
- Establish standard “Root Cause Analysis” guidelines
- Create best practices for maintaining awareness of regulatory changes/developments

## January 2024 Updates:

- “Control Mapping, Risk Identification, Mitigation, and Regulatory Management Toolkit” finalized
- Pilot: Clery Compliance in February 2024
- Focus on the top 10 “significant” risk areas identified during 2022 Compliance Risk Assessment and via ERM process



# Centers of Excellence #3: Values & Ethics Communications/Training

## Initial Remit:

- Catalogue PSU ethics and compliance training efforts, identify topics to be included in future annual trainings and propose opportunities for targeted training by Unit/Function
- Support Living our Values Survey results follow ups and action planning

## January 2024 Updates:

- Driving Living our Values Survey unit result follow-up and action planning
- Finalizing Annual Values, Ethics & Compliance Training module
- Investigating other tools, modalities, and platforms can be used to socialize and promote the Penn State Values – in particular those that would connect with student population



# Thank You



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