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, January 18, 2024.

The following members, constituting a quorum, were present: Chair de Levie, Vice Chair Kleppinger, Beard, Cairns, and Potts. Also attending were Board Chair Schuyler (Ex Officio), President Bendapudi (Ex Officio), the Governor’s non-voting representative Myers, Emeriti Trustee Doran, and Constituent Representatives Duffey, Egolf, Galloway, Ingram, Levendosky, Miller, Stine, and Wede. Also attending were staff members Harvey, Oman, Oziemblowsky, Pell, Raab, Schwartz, Smith, and Thorndike.

Chair de Levie called the meeting to order at 8:00 a.m. Oziemblowsky confirmed a quorum was present. Chair de Levie welcomed all attendees and reminded those attending via Microsoft Livestream the agenda and supporting materials was available at https://trustees.psu.edu/.

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

The Committee considered proposed annual applications, renewals, and other filings required by the Pennsylvania Liquor Control Board. Tabitha Oman, Vice President and General Counsel, supplied the Committee context and background regarding the annual approval of applications for renewal of the universities various liquor licenses. The university holds several liquor licenses which are specific to location and venue which are unchanged from 2023.

A motion to approve draft resolutions concerning the authorization for the liquor license application process for 2024 was put forward by Trustee Cairns, seconded by Trustee Potts, and unanimously approved.

Oman also provided the Committee an update on Compliance Centers for Excellence. She noted the compliance strategic plan elements included understanding risks and how they are being mitigated today; measuring impact and the continuous improvement; making values, ethics and compliance part of the conversation; and optimizing issue identification and raising and response practices. Center of Excellence number one would address issue response and investigations, including creating investigations best practices and Standard Operating Procedures (SOPs), efforts to simplify reporting, metrics transparency, and retaliation report follow-up processes. Efforts to date in this area include streamlining reporting sites, consolidation of investigation metrics information, developing a metrics information dashboard, and launching investigations best practices in Spring 2024. Center of Excellence number two would deal with regulatory management and risk mitigation, to include designing controls mapping and gap identification process for significant compliance risks, establishing standard “Root Cause Analysis” guidelines, and producing best practices for maintaining awareness of regulatory changes and developments. Updates in this area include finalization of “Control Mapping, Risk Identification, Mitigation, and Regulatory Management Toolkit”, piloting Clery Compliance in February 2024, and focusing on the top 10 “significant” risk areas identified during 2022 Compliance Risk Assessment and via Enterprise Risk Management (ERM) processes. Center of Excellence number three would address values and ethics communications and training and involve cataloguing university ethics and compliance training efforts, identifying topics to be included in future annual trainings and propose opportunities for targeted training by Unit/Function, and supporting Living our Values Survey results follow-ups and action planning. Updates of efforts for this Center of Excellence include driving Living our Values Survey unit result follow-up and action planning, finalizing Annual Values, Ethics & Compliance training modules, and 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 populations.
The meeting is available in its entirety here.

With no other business coming before the Committee, the meeting was adjourned at 8:19 a.m.

Respectfully submitted,

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