

**Policy AD03 Exception**  
*Process and Instructions*

January 2016

Background Information

The Penn State Conferences & Institutes unit is charged by the University with providing expertise and quality services in support of Penn State educational events, such as conferences, workshops, short courses, and camps for external participants, as well as assuring that all such activities follow Penn State policies and procedures designed to protect the institution.

This document and its attachments are designed to help determine whether a program should be considered for an exception to University Policy AD03, thereby allowing the academic/administrative unit proposing to sponsor the program to take on the functions normally handled by Conferences & Institutes.

Academic/administrative units seeking an exception must:

1. complete the attached application including the self-review of policy checklist
2. obtain appropriate academic/administrative unit signatures
3. obtain a signature from Risk Management
4. obtain the signature of the Youth Compliance representative if children/minors are involved in the program
5. submit the completed application to the director of Conferences & Institutes at 225 The Penn Stater Conference Center Hotel, University Park, PA 16803, for Outreach and Online Education review and signatures.

Special Notes

1. When approved, a complete signed copy will be returned to the financial officer who will be responsible for distribution internally.
  2. This application must be completed **yearly** for repeating programs.
  3. Contact the Director of Conferences & Institutes at 814-863-5100 with any questions regarding the process.
  4. Policy references:
    - a. AD03
    - b. AD02
1. Should the program run through Conferences according to Policy AD03 (<http://guru.psu.edu/policies/ad03.html>)?

- a. Will a registration fee be collected from individuals or groups outside of Penn State? If so, financial policies apply, and the financial officer for the sponsoring unit must be consulted.
  - b. Does the program plan to offer CEUs or other accreditations? If so, a noncredit student record must be maintained for each participant in the official University system.
3. Will the program involve on-campus housing (see Policy AD02)?

Step 2 Self-Review- For completion and consideration by the requesting sponsoring unit

Conferences & Institutes has developed the attached “Are You Ready?” checklist as a planning tool for your unit. It is intended to be used for internal completion and discussion in conjunction with the unit’s financial officer and Outreach associate dean. Such discussion helps to ensure that the proper structural and organizational support is available to the requesting unit for success, University compliance, and limitations on liability of the program. Please feel free to consult with the director of Conferences & Institutes, or others, if you would like clarification or assistance regarding the items on this checklist.

## Policy AD03 Exception Application

### Academic/Administrative Unit:

Contact:

Name:

Phone:

Email

### Program Information:

Name:

Date:

Location:

Description (1-3 sentences):

Audience:

Will children/minors (under age of 18) be involved in any way? If yes, describe their involvement:

### AD 03 Considerations:

1. Will the program charge a fee to anyone outside the University or is the program underwritten?
2. Will CEUs or any other type of professional continuing education unit be awarded?

**Exception justification:** Why should an exception be granted? What makes this program inappropriate to manage through provided channels?

### Self-Review of Policy Checklist

Conferences & Institutes has created this checklist tool for your college’s internal use so that your college is fully aware of the responsibilities and activities that are part of running programs in compliance with University policies and procedures. It is highly recommended that this document be used for detailed discussion in conjunction with the college’s financial officer and associate dean for Outreach prior to obtaining the required signatures. This helps to ensure that the college has the capability and capacity to fulfill the University’s requirements within the timeline required to meet the programmatic needs. The youth addendum is included only for those programs that will involve minors and must be shared with the Youth Compliance Officer.

AREAS FOR REVIEW	Yes	No	NA
<b>Registration and Student Information/Records</b>			
Is a registration fee being charged to participants?			
If yes, is there a University-approved method for taking in and managing funds?			
Will all University financial policies be followed?			
Will people be allowed to register via credit cards?			
If yes, is there an approved system in place to collect and protect credit card and other personal information?			
Is a system in place to meet all PCI DSS (Payment Card Industry Data Security Standards) requirements, including system requirements as well as hard-copy document ones?			
Does the unit have an e-commerce merchant ID account in place? (For assistance, contact the Electronic Payments Coordinator.)			
Will all participant information be secured according to University guidelines and maintained for the appropriate period of time?			
Will participants be enrolled in the University’s official noncredit registration system? If no, please explain below how permanent records will be maintained.			

<b>AREAS FOR REVIEW</b>	Yes	No	NA
<b>Financial Management and Budget</b>			
Will someone with experience in program budgeting be involved with development and oversight of the program budget?			
Will alcohol be included in the event?			
If yes, does the chair have either nonrestricted donor funds to absorb the cost or an exception from the Penn State Corporate Controller's office to charge alcohol to general funds?			
Will the appropriate alcohol form be filed and all University guidelines followed? AD18			
Will invoicing be required?			
If yes, does the unit have an account with the University in which to record accounts receivable?			
If not, does the unit have permission from the University to invoice outside of an IBIS-based receivable account?			
Will faculty/speakers be paid?			
If yes, is there a system in place for managing this process within University guidelines, including background checks, emergency rehires, and E-Verify, if required? HR99			
Will international speakers be used in the event?			
If yes, is a qualified person available to handle payroll paperwork and to oversee the eligibility of internationals to work in the United States?			
Is there a procedure for processing refunds?			
Does the unit have a way to pursue collections in the case of unpaid bills?			
Has the unit agreed to assume the financial risk for the program in the event of cancellation or financial losses?			
If the program involves working with an external agency, is that agency tax exempt?			
If not, have the tax implications been discussed with the unit's financial officer?			
Has the college financial officer reviewed all of the above program processes to assure that they are in compliance with university policy?			
<b>Risk Management Issues</b>			
Is there a hotel contract?			
If yes, is there an agreed-upon internal entity that will assume this financial risk?			

<b>AREAS FOR REVIEW</b>	Yes	No	NA
Will Risk Management and/or Purchasing be involved in the review of any contracts or memorandum of agreements?			
Indemnifying Penn State?			
Liability Insurance - \$1,000,000 per incident listing Penn State as additional insured? Including required child molestation insurance?			
Correct legal language including Penn State policies?			
Risk Management approval?			
<b>Program Marketing</b>			
Will the name of the University be used in program marketing or other materials, including posting on a Penn State website?			
If yes, will a University editor review the marketing tools and provide a U.Ed. number?			
Will someone with marketing expertise oversee the development of the marketing materials, including any websites?			
Will the University's statement on affirmative action, equal opportunity, and diversity be included on the promotional materials?			

<b>AREAS FOR REVIEW</b>	Yes	No	NA
<b>Program Quality</b>			
Is there a mechanism in place for assessing content and instructor quality?			
Will evaluation data about the program be collected from participants and used in future programs?			
Is the associate dean for Outreach, or the individual with those responsibilities in the college, aware and supportive of the program and the use of college personnel to support and manage it?			
<b>Staffing</b>			
Are the program-planning personnel at the appropriate job level for the responsibilities they are being asked to assume? (Note: This may vary depending on the nature and complexity of the program.)			
Does the planning staff have the appropriate background and experience to carry out those responsibilities?			
Is there agreement within the work unit that staff support for this program will not affect the ability of those individuals to meet their primary job responsibilities?			
<b>Delivery Modes</b>			
Will events be catered?			
If yes, will University-approved caterers be used for all catered events?			
If alcohol is being served at any events, will undergraduate students be attending those activities?			
If yes, is Risk Management aware of the event?			
Have procedures been established to ensure that underage individuals do not have access to alcohol?			
Will University Housing be used?			
If so, is there a program contact individual available 24 hours a day to address problems that may arise?			
Does the program adhere to Housing & Food Services (H&FS) policies and procedures as described in the H&FS Conferences Memorandum of Agreement Terms and Conditions, including property damage issues?			
Have security and transportation needs been addressed according to University policy?			
Will hotel facilities be used?			
If yes, is someone designated to review banquet event orders?			

<b>AREAS FOR REVIEW</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
Will there be a contact on-site with the authority to make appropriate decisions regarding hotel arrangements?			
Will there be a hotel room block?			
If yes, is there an appropriate contact to monitor that block with the authority to make decisions regarding increasing/decreasing/cancelling the block?			
Is the unit prepared to cover costs associated with room block attrition or other cancellation/attrition fees?			
Will entertainers be paid?			
If yes, will the University entertainment contract be used?			
Will copyright issues be addressed for all materials used by presenters?			
Will awards, gifts, or door prizes be given?			
If yes, will University policies be followed? FN10			



**Policy AD03 Exception  
Youth Addendum**

**Required for any program involving minors**

<b>Risk Management and Other Issues for Youth Events</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
<b>AD 39 Requirements</b>			
Has a procedure been established and documented for notification of the minor's parent/legal guardian in case of an emergency?			
Will Authorized Adults, participants, and their parents/legal guardians be advised of this procedure in writing prior to their participation in the program?			
Is this program a residential camp and will the appropriate Information, as required in AD39, be provided to Housing and University Police?			
Will you provide information to parents/legal guardians detailing the manner in which the participant can be contacted during the program?			
Will the University Health Services Form/Medical Treatment Authorization form with parent/legal guardian signatures be required that includes all elements as outlined in this policy?			
Is there a process to secure medications in a locked box/cabinet with a person responsible to monitor when participants self-administer medications?			
Will you follow guidance from University Health Services concerning communicable diseases?			
Will you arrange access to emergency medical services at all locations pursuant to ADG04			
Do all elements of the program follow appropriate safety measures as approved by the Office of Environmental Health & Safety for laboratory and research work as outlined in SY 01?			
Will the program have designated Authorized Adults and will all activities involving minors be supervised by at least two or more Authorized Adults or by minor's parent(s)/legal guardian(s) at all times?			
Will the ratio of trained counselors (also considered Authorized Adults) who are at least 18 years of age be in accordance with the requirements in AD 39 based upon gender, age, and type of camp/program?			
Have rules and discipline measures in accordance to AD 39			

been developed and will they be distributed to participants, staff, and parents/guardians?			
Will you obtain media and liability releases as part of the program registration process and is all held confidential?			
Is there at least one staff member who is at least 21 years of age accessible to participants and residing in the housing unit, if applicable?			
Will all Authorized Adults, paid or volunteer, who have direct contact with minors have the required current background check on record with the University at the time of hire and/or beginning work with minors?			
Have rules and regulations for proper supervision of minors in University housing been developed?			
Will you provide training for counselors that meets the minimum requirements as stated in AD 39 and outlines the responsibilities of the counselors?			
Do all Authorized Adults have documentation of their successful completion of the University's Mandated Reporter Training completed within the calendar year prior to the program?			
Is there a clearly identified program director who can be informed by an Authorized Adult of any suspected or disclosed assault or abuse?			
Will all Authorized Adults be provided those items specifically prohibited in AD 39?			
Is there a plan for proper action, including providing appropriate coverage, in the event that an allegation of inappropriate conduct is made against an Authorized Adult?			
<b>Additional Items to Consider</b>			
Will the following parental releases be obtained as pertinent to the program?			
Medical information, permission to treat, and HIPPA?			
Permission to reside in campus housing?			
Photo for program promotion purposes?			
Liability releases?			
Property damages?			
Field trips?			
Does the program adhere to Housing & Food Services (H&FS) policies and procedures as described in the H&FS Conferences Memorandum of Agreement Terms and Conditions, including property damage issues?			
Will you contact Risk Management to assure adherence to the policies and procedures addressed above?			

Are the proposed faculty and instructors experienced in working with this age group?			
--	--	--	--

**Policy AD03 Exception**  
***Signatory Page***

I have reviewed and affirm that this program can and will comply with University policies, procedures, and accepted standards. This includes but is not limited to the following:

- AD 02 Non-University Groups Using University Facilities
- AD 18 Possession, Use, and Distribution of Alcoholic Beverages
- HR 99 Background Check Process
- FN 10 Other Business Expenses and Activities
- SY05 Persons, Other than Students or Employees, Who Are Injured or Become Ill on University Property
- ADA Compliance
- Health Insurance Portability and Accountability Act (HIPAA)
- Payment Card Industry Data Security Standards (PCI DSS)
- FN07 Electronic Payments – Credit Cards
- Family Educational Rights and Privacy Act (FERPA)

*and if minors are involved:*

- AD 39 Minors Involved in University-Sponsored Programs or Programs Held at the University and/or Housed in University Facilities
- AD 72 Reporting Suspected Child Abuse

I agree to abide by University policies and procedures including those as identified above, as well as to assume such responsibilities in all other administrative areas related to this program.

---

(Signature of Program Chair)

I have reviewed the items described above pertinent to my areas of responsibility and agree that they have been adequately addressed by the program chair.

Sponsoring and Delivery Areas: \_\_\_\_\_  
(Signature of College Associate Dean for Outreach)

Registration and Financial Areas: \_\_\_\_\_  
(Signature of College Financial Officer)

Risk Management Areas: \_\_\_\_\_  
(Signature of Risk Management Representative)

Youth Compliance Areas: \_\_\_\_\_  
(Signature of Youth Compliance Representative)

On the basis of the above endorsements, Outreach and Online Education agrees to grant an exception to AD-03 for the program listed above through

\_\_\_\_\_.  
(date)

\_\_\_\_\_  
(Signature of Pamela A. Driftmier, Penn State Professional Education)

Signed copies will reside with Professional Education, the Sponsoring College's financial officer, and Risk Management. The Sponsoring College's financial officer should provide a copy to the program chair.

AD03 Exceptions Final 11.6.09.docx 11/1/10; 11/17/10; 11/18/10; 12/17/10rcs; 1/11/11rcs; 10/23/12 pad;3/12/13 pad; 4/18/13 pad; 5/2/13 jlp; 1/19/16 pad