Policy AD03 Exception for University Park
Process and Instructions
June 2018

Background Information

Penn State Conferences & Institutes within Outreach is charged by the University with providing expertise and quality services in support of Penn State educational events at University Park, 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.

University Policy AD03

Non-credit programs originating at or through any campus or Penn State location, or through a faculty or staff member, using the name of the University, at which external audiences are expected, and either 1) a program registration fee is charged or underwritten, or 2) educational value measures, or continuing education units (CEUs or other profession-specific credits) are offered, must be offered through Conferences & Institutes (at University Park) or the Chancellor designee (at other campuses). Online non-credit programs must also adhere to University Policy AD55. Blended programs must adhere to both AD03 and AD55.

Process

In the event that it is in the interest of the University for a program offered through University Park to be supported outside of Conferences & Institutes, an exception may be pursued by the unit seeking to manage its own program. An exception requires the approval and support of the College Associate Dean/Chancellor, the Financial Officer, Risk Management Office, and Youth Programs Compliance Specialist (if applicable). Exceptions must have a valid rationale. This AD03 Exception Application must be completed. If granted, the academic/administrative unit assumes all responsibility for adhering to University policy and procedure. The process to request an exception is:

Academic/administrative units seeking an exception must:
1. complete the 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 minors are involved in the program
5. submit the completed application to the executive director of Professional and Community Education (PACE) at 314 E The 329 Building, for Outreach review and signatures.
6. When approved, an emailed signed copy will be returned to the originating contact.

Special Notes

1. All fully executed AD03 Exceptions will be maintained in college/unit folders on BOX. The associate dean for outreach or designee and financial officer will have access to this folder.
2. This application must be completed yearly for repeating programs.
3. If the unit offers multiple programs within one portfolio, then one application is required with a list of all names, dates, and locations of programs in that portfolio.
4. Please contact Conferences & Institutes at 814-863-5100 with questions.
5. Please refer to University Policies AD03 and AD02 (if on-campus housing is used).
6. Consider if the program should the program run through Conferences according to [Policy AD03](#).
   a. Will a registration fee be collected from individuals or groups outside of Penn State?
   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. (NOTE: The University's official noncredit record system, NCRR, was decommissioned with the advent of LionPath. Each academic/administrative unit obtaining an exception will be responsible for maintaining participant records and entering/importing them into the new University noncredit record system when identified.)

Policy AD03 Exception Application

Academic/Administrative Unit Contact:

    Name:

    Phone: Email:

Program Information:

    Name:

    Date: Location:

    Audience:

    Number of Participants:

Program Details:
1. In one short paragraph, describe the activities and expectations of this program:

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

3. Does this program include overnight housing or are attendees expected to commute each day?

_____

_____

_____

_____

AD 03 Considerations (check all that apply):
☐ Program/registration fee charged to individual or group
☐ CEUs or any other professional continuing education unit 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
Registration and Student Information/Records			
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? Current acceptable systems include Destiny, CVENT, Doubleknot, Proclass. **If no, please explain below how permanent records will be maintained and migrated when a new University system is identified.**			

AREAS FOR REVIEW	Yes	No	NA
Financial Management and Budget			
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?			
Risk Management Issues			
Is there a hotel contract?			
If yes, is there an agreed-upon internal entity that will assume this financial risk?			

AREAS FOR REVIEW	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?			
Program Marketing			
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?			
Program Quality			
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?			
Staffing			
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?			

AREAS FOR REVIEW	Yes	No	NA
Delivery Modes			
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?			
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			

Youth Addendum
Required for any program involving minors

Risk Management and Other Issues for Youth Events	Yes	No	N/A
AD 39 Requirements			
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?			

Risk Management and Other Issues for Youth Events	Yes	No	N/A
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?			
Additional Items to Consider			
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

☐ 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 Registration and Financial Areas:_____

<div align="right">Signature of College Financial Officer</div>

☐ 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 Risk Management Areas:_____

<div align="right">Signature of Risk Management Representative</div>

☐ 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 Youth Compliance Areas_____

<div align="right">Signature of Youth Compliance Representative</div>

☐ 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 On the basis of the above endorsements, Outreach agrees to grant an exception to AD-03 for the program listed above through_____.

<div align="right">Date</div>

_____

<div align="center">Signature of Pamela A. Driftmier, Penn State Professional Education</div>

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; 7/11/18 pad