

Policy AD03 Exception for University Park

March 2024

Process and Instructions

Background Information

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

Noncredit 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 and Institutes (at University Park) or the Chancellor designee (at other campuses). Online noncredit 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 and 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. The AD03 Exception Application must be completed. If granted, the academic/administrative unit assumes all responsibility for adhering to University policy and procedure.

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 Penn State Outreach at 315 Outreach Building or by emailing ljmiller@psu.edu, for Outreach review and signatures.

When approved, an emailed signed copy will be returned to the originating contact.

Special Notes

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.

This application must be completed yearly for repeating programs.

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.

Please contact Conferences and Institutes at 814-863-5100 with questions.

Please refer to University Policies AD03 and AD02 (if on-campus housing is used).

Consider whether the program should run through Conferences according to Policy AD03 (<https://policy.psu.edu/policies/ad03>).

- Will a registration fee be collected from individuals or groups outside of Penn State?
- 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

In one short paragraph, describe the activities and expectations of this program:

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

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

AD03 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 and 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	N/A
Registration and Student Records			
Is a registration fee being charged to participants?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, is there a University-approved method for taking in and managing funds?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will all University financial policies be followed?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will people be allowed to register via credit cards?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, is there an approved system in place to collect and protect credit card and other personal information?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the unit have an e-commerce merchant ID account in place? (For assistance, contact the Electronic Payments Coordinator.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will all participant information be secured according to University guidelines and maintained for the appropriate period of time?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will participants be enrolled in the University's official noncredit registration system? (Current acceptable systems include Destiny, CVENT, Doubleknot, and Proclass.) If no, please explain how permanent records will be maintained and migrated when a new University system is identified. (MANDATORY - If not complete, the form will be returned.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Financial Management and Budget			
Will someone with experience in program budgeting be involved with development and oversight of the program budget?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will alcohol be included in the event?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Areas for Review	YES	NO	N/A
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will the appropriate alcohol form be filed and all University guidelines followed (AD18)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will invoicing be required?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, does the unit have an account with the University in which to record accounts receivable?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If not, does the unit have permission from the University to invoice outside of an IBIS-based receivable account?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will faculty/speakers be paid?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
For outside speakers, is there a written contract using the Scholars Agreement template or Speaker template? (for speakers paid less than \$10,000)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
For speakers paid \$10,000 or more, is the speaker/agency agreement used and reviewed by Risk Management?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will international speakers be used in the event?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, is a qualified person available to handle payroll paperwork and to oversee the eligibility of internationals to work in the United States?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is there a procedure for processing refunds?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the unit have a way to pursue collections in the case of unpaid bills?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Has the unit agreed to assume the financial risk for the program in the event of cancellation or financial losses?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If the program involves working with an external agency, is that agency tax exempt?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If not, have the tax implications been discussed with the unit's financial officer?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Has the college financial officer reviewed all of the above program processes to assure that they are in compliance with University policy?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Risk Management Issues			
Is there a hotel contract?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Areas for Review	YES	NO	N/A
If yes, is there an agreed-upon internal entity that will assume this financial risk?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will Risk Management and/or Purchasing be involved in the review of any contracts or memorandum of agreements?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Indemnifying Penn State?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Liability Insurance - \$1,000,000 per incident listing Penn State as additional insured? Including required child molestation insurance?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Correct legal language including Penn State policies?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Risk Management approval?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Program Marketing			
Will the name of the University be used in program marketing or other materials, including posting on a Penn State website?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, will a University editor review the marketing tools and provide a U.Ed. number?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will someone with marketing expertise oversee the development of the marketing materials, including any websites?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will the University's statement on affirmative action, equal opportunity, and diversity be included on the promotional materials?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Program Quality			
Is there a mechanism in place for assessing content and instructor quality?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will evaluation data about the program be collected from participants and used in future programs?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the planning staff have the appropriate background and experience to carry out those responsibilities?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Delivery Modes			
Will technology be used as the primary delivery method?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Areas for Review	YES	NO	N/A
If yes, has World Campus been consulted per AD55?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will events be catered?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, will University-approved caterers be used for all catered events?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If alcohol is being served at any events, will undergraduate students be attending those activities?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, is Risk Management aware of the event?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Have procedures been established to ensure that underage individuals do not have access to alcohol?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will University Housing be used?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If so, is there a program contact individual available 24 hours a day to address problems that may arise?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Have security and transportation needs been addressed according to University policy?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will hotel facilities be used?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, is someone designated to review banquet event orders?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will there be a contact on-site with the authority to make appropriate decisions regarding hotel arrangements?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will there be a hotel room block?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, is there an appropriate contact to monitor that block with the authority to make decisions regarding increasing/decreasing/cancelling the block?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is the unit prepared to cover costs associated with room block attrition or other cancellation/attrition fees?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will entertainers be paid?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, will the University entertainment contract be used?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will copyright issues be addressed for all materials used by presenters?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will awards, gifts, or door prizes be given?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
If yes, will University policies be followed? (FN10)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Youth Addendum

Required for any program involving minors.

Risk management and other issues for youth events	YES	NO	N/A
AD39 Requirements			
Has a procedure been established and documented for notification of the minor's parent/legal guardian in case of an emergency?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will Authorized Adults, participants, and their parents/legal guardians be advised of this procedure in writing prior to their participation in the program?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is this program a residential camp and will the appropriate Information, as required in AD39, be provided to Housing and University Police?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will you provide information to parents/legal guardians detailing the manner in which the participant can be contacted during the program?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is there a process to secure medications in a locked box/cabinet with a person responsible to monitor when participants self-administer medications?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will you follow guidance from University Health Services concerning communicable diseases?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will you arrange access to emergency medical services at all locations pursuant to ADG04?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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 SY01?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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 AD39 based upon gender, age, and type of camp/program?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Have rules and discipline measures in accordance to AD39 been developed and will they be distributed to participants, staff, and parents/guardians?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will you obtain media and liability releases as part of the program registration process and is all held confidential?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Risk management and other issues for youth events	YES	NO	N/A
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Have rules and regulations for proper supervision of minors in University housing been developed?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will you provide training for counselors that meets the minimum requirements as stated in AD39 and outlines the responsibilities of the counselors?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is there a clearly identified program director who can be informed by an Authorized Adult of any suspected or disclosed assault or abuse?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will all Authorized Adults be provided those items specifically prohibited in AD39?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Additional Items to Consider			
Will the following parental releases be obtained as pertinent to the program?			
Medical information, permission to treat, and HIPPA?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Permission to reside in campus housing?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Photo for program promotion purposes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Liability releases?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Property damages?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Field trips?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Will you contact Risk Management to assure adherence to the policies and procedures addressed above?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are the proposed faculty and instructors experienced in working with this age group?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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:

- AD02 Non-University Groups Using University Facilities
- AD18 Possession, Use, and Distribution of Alcoholic Beverages
- AD55 Role of the Department of Distance Education/World Campus
- HR99 Background Check Process
- FN10 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:

- AD39 Minors Involved in University-Sponsored Programs or Programs Held at the University and/or Housed in University Facilities
- AD72 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 agrees to grant an exception to AD03 for the program listed above through _____.

(Signature of Lindsay Miller, Penn State Outreach)

Signed copies will reside with Penn State Outreach, 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; 9/13/19 pad; 5/23/24 ljm