*Process and Instructions*

April 1, 2011 Background Information

The Penn State Conferences 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 unit to take on the functions normally handled by Conferences. This determination is a four-step process, involving 1) an initial discussion of elements which might preclude an exception but may be modifiable, 2) the submission of the rationale requesting an exception, 3) a voluntary self-review of a policy checklist to assist the academic unit in meeting the key elements required by the University, and 4) the completion of the exception signatory page.

Process

Step 1 Initial Discussion - A discussion should take place between the academic unit and the Director of Project Management at Penn State Conferences regarding the following questions:

1. Should the program run through Conferences according to [Policy AD03](http://guru.psu.edu/policies/ad03.html%29) *(If no, it is not necessary to pursue an exception.)*
2. Does the program plan to offer CEU’s or other accreditations? If so, a non- credit student record must be maintained for each participant in the official University system, which requires the registration process to run through Conferences. Such programs should not be considered for an exception, though other options may be available.
3. Will the program involve on-campus housing (see Policy AD02)?

Step 2 Rationale - For completion by the requesting unit and submission to Conferences

Provide a short written rationale for the request for an exception to the Director of Project Management, or as otherwise instructed. Please be specific about the unique program elements that you believe require services beyond those that can be reasonably provided by the Conferences unit. The rationale may be limited to one or more paragraphs and is not meant to be time consuming.

Step 3 Voluntary Self Review- For recommended completion and consideration by the requesting academic unit; official submission to Conferences is not required

Conferences has developed the attached “Is Your College Ready?” checklist as a planning tool for your College. It is intended to be used for internal completion and discussion in conjunction with the College’s financial officer and outreach associate dean. Such discussion helps to ensure 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 Project Management or others if you would like clarification or assistance regarding the items on this checklist.

The official listing of college financial officers can be found at: [http://www.controller.psu.edu/Divisions/FinancialOfficers/Public/Staff-](http://www.controller.psu.edu/Divisions/FinancialOfficers/Public/Staff-Contact/staffcontact.html)  [Contact/staffcontact.html](http://www.controller.psu.edu/Divisions/FinancialOfficers/Public/Staff-Contact/staffcontact.html) ).

Step 4 – Signatory Page For completion by requesting academic unit and submission to Conferences

Complete the attached AD 03 Exception Signatory Page in triplicate and return to Pam Driftmier, or as otherwise instructed.

The Assistant Vice President for Outreach, to which Conferences reports, should then sign off to approve the exception. A signed original copy will be retained by Conferences and additional originals sent to the requesting program sponsor’s financial officer and to Risk Management. Final supervision of the program will reside between the program’s sponsoring college and Risk Management.

*Questions?* Contact: Pamela A. Driftmier, M.Ed.

Director of Project Management, Conferences 225 Penn Stater

University Park, PA 16802 (814) 863-5118

(814) 863-5190 (fax)

***Is Your College Ready?***

Conferences has created this checklist tool for your College’s internal use so that your College is fully aware of the responsibilities and activities which 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 the College has the capability and capacity to fulfill the University’s requirements within the timeline required to meet the programmatic needs. This document need not be returned to Conferences.

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| **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? |  |  |  |
| Will all participant information be secured according to University guidelines and maintained for the appropriate period of time? |  |  |  |
| **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 non-restricted donor funds to absorb the cost or an exception from the PSU 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 |  |  |  |

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| **AREAS FOR REVIEW** | Yes | No | NA |
| 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 eVerify if required? |  |  |  |
| 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 U.S.? |  |  |  |
| 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? |  |  |  |
| Will Risk Management and/or Purchasing be involved in the review of any contracts? |  |  |  |
| Indemnifying Penn State? |  |  |  |
| Liability Insurance - $1,000,000 per incident listing Penn State as additional insured? |  |  |  |
| 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? |  |  |  |

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| **AREAS FOR REVIEW** | Yes | No | NA |
| 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? |  |  |  |
| **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 Service (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? |  |  |  |

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| **AREAS FOR REVIEW** | Yes | No | NA |
| 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 |  |  |  |
| **Risk Management and Other Issues for Youth Events** |  |  |  |
| Does the program adhere to Penn State Policy AD39? |  |  |  |
| Age of counselors and responsibilities? |  |  |  |
| Adult/youth/gender ratios? |  |  |  |
| Training of counselors? |  |  |  |
| Emergency procedures? |  |  |  |
| Behavior rules? |  |  |  |
| Parental communication? |  |  |  |
| Working with Penn State Housing & Food Services and Police Services? |  |  |  |
| Does the program adhere to background clearance policies described in HR96 as well as procedures for individuals working with minors as approved by Human Resources and Risk Management? |  |  |  |
| Does the program adhere to the following safety procedures? |  |  |  |
| First aid – SY21? |  |  |  |
| Medical forms and permission to treat? |  |  |  |
| Reporting of health and safety incidents – SY05? |  |  |  |
| Communicable disease procedures – University Health Services/Risk Management? |  |  |  |
| University ADA policies – HR09? |  |  |  |
| 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? |  |  |  |

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| **AREAS FOR REVIEW** | Yes | No | NA |
| Liability releases? |  |  |  |
| Property damages? |  |  |  |
| Field trips? |  |  |  |
| Does the program adhere to Housing & Food Service (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***

Program Name: Program Dates: Dates of Requested Exception: Offering Unit and College: Program Chair: Program Chair Contact Information:

The program chair is responsible for obtaining the following signatures affirming that the program can and will comply with University policies, procedures, and accepted standards. In particular, those most widely used and overlooked with programs falling under AD 03 are:

* AD 02 Non-University Groups Using University Facilities
* AD 18 Possession, Use and Distribution of Alcoholic Beverages
* HR96 Reference and Background Checking for Other-than-Academic Appointments
* 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 (HIPPA)
* Payment Card Industry Data Security Standards (PCI DSS)

*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

Additional detailed information regarding considerations for the policies may be found in the “Is Your College Ready?” checklist planning tool previously provided to the program chair.

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.

Academic 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)

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

(date)

(Signature of Jeff Hand, Assistant Vice President for Outreach)

Original signed copies will reside with Conferences, the Sponsoring College’s financial officer, and Risk Management. An executed photocopy will be provided to the program chair for his/her records.

AD03 Exceptions Final 11.6.09.docx 11/1/10; 11/17/10; 11/18/10; 12/17/10rcs; 1/11/11rcs