

Advancement Procedures

Section 1 - Overview

(1) This Procedure Document is to be read in conjunction with the Advancement Policy and:

- a. provides guidance in relation to gift acceptance and administration;
- b. ensures appropriate donor recognition procedures are followed at all times and for every donation received across the University, inclusive of gifts and services in kind; and
- c. maximises the accuracy and effectiveness of alumni and donor management records and databases through cooperation and centralisation of relevant data management.

Section 2 - Scope

(2) In relation to the Advancement Policy and these procedures, this document applies to:

- a. all UNE staff members, schools, faculties, colleges, groups, research centres, administrative units, directorates and divisions;
- b. all advancement related activities and events held by the university;
- c. all gifts, donations and sponsorships, by corporate and individual philanthropy, accepted for or on behalf of the University of New England and its entities including donations for scholarships and prizes but excluding:
 - i. human anatomy donations;
 - ii. sponsorships and scholarships related to Higher Degree Research students;
 - iii. donations to the Dixon Library; Archives and Heritage Centre; Art Collection, and other UNE museum and specialist collections such as the NCW Beadle Herbarium, geological and zoological collections, where such bodies, in consultation with the Office of Advancement, have efficient processes and procedures for management of gifts and donations and provide regular reporting of donor information to the Advancement, Communications, and Events Directorate; and
 - iv. gifts and benefits to employees that do, may, or could be perceived to affect the performance of an employee's duties as detailed in the UNE Gifts and Benefits Policy.

Section 3 - Procedures

Advancement

(3) The University of New England and the UNE Foundation are registered as deductible gift recipients by the Australian Taxation Office.

(4) No Fundraisers or Alumni Officers outside of the Office of Advancement can be hired without the prior approval of the Vice-Chancellor and Chief Executive Officer. No schools, faculties, colleges, groups, research centres, administrative units, directorates or divisions must set up a separate trust fund for the purposes of fundraising or accepting donations without prior Vice-Chancellor and Chief Executive Officer approval.

(5) No solicitation on behalf of the University should be undertaken without the knowledge and prior approval of the Director of Advancement and Alumni.

(6) The Director Advancement, Communication and Events will convene and chair an Advancement Committee to coordinate, develop, monitor and provide feedback on UNE advancement policies and activities and provide guidance to the Vice-Chancellor and Chief Executive Officer on the University's advancement strategies. The Advancement Committee will provide the opportunity and the forum for all stakeholders at the University interested in, or involved in, philanthropic activity to coordinate their activity.

Alumni

(7) The Advancement, Communications, and Events Directorate should be made aware of any activity or strategy to engage with prospective donors prior to any activity being conducted. This will ensure that activities are coordinated appropriately, activities are efficiently maintained and aligned with donor expectations to the Office of Advancement.

(8) Permission by third parties such as alumni chapters to use UNE brand icons must be obtained from the Brand Manager, Marketing and Public Affairs, UNE.

(9) On behalf of the University, the Advancement, Communications, and Events Directorate is responsible for maintaining, using and managing alumni (and wider convocation) records in accordance with UNE's Privacy Policy.

(10) It is the responsibility of all UNE staff members, schools, faculties, colleges, groups, research centres, administrative units and divisions to assist the Advancement, Communications, and Events Directorate in maintaining and updating the centralised alumni and/or donor records. Alumni and donor records held elsewhere in the University must be provided to the Advancement, Communications, and Events Directorate regularly, but at least annually. No alternate records such as peripheral data bases of alumni records should be maintained outside the Advancement, Communications, and Events Directorate except where provided for in statutory, legal or other Acts requiring such a record to be held and maintained separately.

(11) The Advancement, Communications, and Events Directorate will facilitate the University's access to Alumni records for the purposes of marketing, alumni and donor relations.

Gifts and Donations

(12) Generally, all donations to the University of New England are to be made payable/transferred to the UNE Foundation, where practicable.

(13) On behalf of the University the Advancement, Communications, and Events Directorate oversees acceptance, receipts, records and acknowledges gifts and sponsorships and will ensure that:

- a. potential donors are encouraged to seek independent professional advice about the taxation status and any other business or legal implications of their gifts or potential gifts. University staff may work with such advisers to assist with gift arrangements;
- b. non-cash gifts and gifts in kind are evaluated having regard to the University's capacity to use the gift effectively, the benefits they may bring and any on-going costs associated with their use and maintenance;
- c. all gifts are treated in accordance with the donor's wishes, to the extent consistent with the letter and spirit of the law;
- d. Donors receive prompt, truthful and complete answers to their inquiries;
- e. Donors receive appropriate acknowledgment and recognition (refer to the Donor Recognition Table) being mindful of the donor's wishes.

(14) All enquiries made to any person(s) within the University regarding a donation should be initially communicated

to the Office of Advancement. All UNE staff members, schools, faculties, colleges, groups, research centres, administrative units, directorates and divisions are responsible for ensuring timely and accurate information is communicated to the Office of Advancement with regard to donors and donations.

(15) The University reserves the right to decline a gift for any reason. A gift may be refused with the approval of the Vice-Chancellor and Chief Executive Officer or their delegate. Acceptance of a gift should be on the basis that it is consistent with the strategic objectives and responsibilities of the University. If there is any doubt as to the ability of the University to utilise a gift or meet any requirements or associations that acceptance may impose upon it, the matter should be referred to the Vice-Chancellor and Chief Executive Officer through the Office of Advancement.

(16) In relation to the social responsibilities of the University, a number of areas have been identified to guide the Vice-Chancellor and Chief Executive Officer in a decision not to accept a gift or donation. Generally the University would not accept gifts or donations from:

- a. Areas of business of corporations, and individuals who are their principal owners or former owners: arms manufacture, tobacco, alcohol, gambling, criminal activities, illicit drugs and pornography;
- b. Companies, organisations or states which have attracted widespread public criticism of their conduct in specific areas and individuals who have held high office in such companies, organisations or states: breaches in human rights, use of child labour, anti-competitive practices, or lack of environmental responsibility;
- c. Countries or states listed on the [Autonomous Sanctions Act](#).

(17) The list is not exhaustive and staff are expected to adopt a prudent approach, referring any gift or prospective gift to the Director of Advancement which might be expected to attract special interest, attention or adverse comment, or a conflict of interest. Staff are not expected routinely to screen individual gifts below \$10,000 for compliance, but will nevertheless bring such gifts to the attention of the Director Advancement, Communication and Events if they become aware of potential compliance issues.

(18) The Advancement, Communications, and Events Directorate is responsible for ensuring regular communications of donations held by the UNE Foundation on behalf of beneficiary bodies throughout the University.

(19) The UNE Financial Performance and Analytical Services is responsible for reporting income, investment and disbursement information as they relate to the UNE Foundation and the University.

Bequests

(20) All members of the UNE community are required to report and/or direct in the first instance, all enquiries regarding bequests for the benefit of the University to the Director Advancement, Communication and Events.

(21) The Office of Advancement will ensure that all publications associated with the promotion of wills and bequests in favour of the University are regularly updated and accurate. On the advice of the University's Legal Office, the Advancement, Communications, and Events Directorate will ensure that relevant documents including suggested wording for bequests are readily available for forwarding to solicitors and general inquirers.

(22) The Advancement, Communications, and Events Directorate will be responsible for ensuring appropriate donor recognition during the benefactor's lifetime including membership of the Heritage Circle, following notification of an intended bequest.

(23) The Director Advancement, Communication and Events will attend to any necessary matters with regard to the benefactor's family. It should be understood that very sensitive issues might be involved. No solicitation on behalf of the University should be undertaken without the prior knowledge and approval of the Director Advancement, Communication and Events. The question of any contact with the benefactor's family should be discussed with the Director Advancement, Communication and Events before any such contact is initiated in liaison with the University's

Legal office.

Donor Recognition Structure

(24) This Donor Recognition Structure establishes clear and defined recognition to donors at varying levels and is based on their cumulative gifts to the University, regardless of time lapses in their giving history.

(25) Any tokens of recognition are to be easily distinguishable from any other UNE memorabilia or merchandise readily available.

(26) Donors will be acknowledged during the year in which they qualify for a new donor recognition level.

(27) Donations of goods or services in kind (non-financial donations) will be assessed by the Director Advancement, Communication and Events, on a case by case basis and the appropriate donor recognition level determined by the market value of such goods and services.

(28) The Advancement, Communications, and Events Directorate will oversee and coordinate donor acknowledgement and stewardship functions.

(29) Donors will be acknowledged according to the Donor Recognition Structure outlined below.

a. General Supporters:

- i. Gift Required: \$2- \$999
- ii. Donor Recognition: Receipt and a Thank You letter.
- iii. Naming Recognition: With the contribution of \$400 to support the UNE Country Scholarships, a named paver on the Graduates' Walk.

b. Trevenna Club:

- i. Gift Required: \$1000- \$4,999
- ii. Donor Recognition: As with General Supporters, plus: inclusion on UNE List of Donors; Invitations to annual supporter's function; Christmas Card; receipt of prize recipient information, if appropriate.
- iii. Naming Recognition: As with General Supporters, plus in relation to prize donations, a Named Prize.

c. Booloominbah Club:

- i. Gift Required: \$5000- \$49,999
- ii. Donor Recognition: As with Trevenna Club, plus: Certificate of Appreciation; invitations to events hosted by UNE Foundation; scholarship or prize recipient information, if appropriate.
- iii. Naming Recognition: As with Trevenna Club, plus in relation to:
 - Research grant donations of greater than \$25,000: a Named Research Grant;
 - Scholarship donations of greater than \$15,000: a Named Undergraduate Scholarship.

d. Vice-Chancellor and Chief Executive Officer's Circle:

- i. Gift Required: \$50,000- \$199,999
- ii. Donor Recognition: As with Booloominbah Club, plus: Thank You letter from the Vice-Chancellor and Chancellor; Priority Invitations to annual supporter's function; invitations to events hosted by the Chancellor, Vice-Chancellor; Reserved Priority Seating at public events; Christmas Card from the Vice-Chancellor.
- iii. Naming Recognition: As with Booloominbah Club, plus in relation to:
 - Research position grants of greater than \$100,000: a Named Research Position, eg. Post-doctoral fellow;
 - Higher Degree Research scholarship donations of greater than \$100,000: A Named HDR Domestic/International Scholarship;

- Contributions from individuals towards the cost of a building of at least \$100,000: naming of part of a building, for example, a Lecture Theatre, Laboratory, Garden, Walk, Equipment or other facilities;
- Contributions from corporates or trusts, towards the cost of a building of at least \$500,000: naming of part of a building, for example, a Lecture Theatre, Laboratory, Garden, Walk, Equipment or other facilities.

e. Chancellor's Circle:

- i. Gift Required: Greater than \$200,000
- ii. Donor Recognition: As with the Vice-Chancellor and Chief Executive Officer's Circle, with letters/invites from the Chancellor where appropriate, plus a personal invitation to Chancellor's Circle events hosted by the Chancellor.
- iii. Naming Recognition: As with the Vice-Chancellor and Chief Executive Officer's Circle, plus in relation to:
 - Endowments of more than \$5m: Named Endowed Chair;
 - Contributions from individuals towards the cost of a building of at least 25% of the cost of the building, or greater than \$1m: naming of the building;
 - Contributions from corporates or trusts, towards the cost cost of a building of at least 50% of the cost of the building, or greater than \$5m: naming of the building.

f. Heritage Circle:

- i. Gift Required: Confirmations of intention to make a bequest to the University;
- ii. Donor and Naming Recognition: Dependent upon the amount of the bequest, as detailed in the Donor Recognition Structure, plus a Unique Heritage Circle pin, and a personal invitation to Heritage Circle and Benefactor events hosted by the Chancellor and/or Vice-Chancellor and Chief Executive Officer.
- iii. A donor may be a Heritage Circle member and also be recognised at another level of this structure based on other donations made.

g. Naming of Facilities:

- i. Naming of buildings, rooms and spaces in recognition of a benefactor are undertaken in accordance with the Donor Recognition Structure and at the discretion of the Vice-Chancellor and Chief Executive Officer and in accordance with the Authorities Retained by Council Rule.
- ii. Proposals for naming of buildings, rooms and spaces are to be submitted through the Advancement, Communications, and Events Directorate to the Vice-Chancellor and Chief Executive Officer. Upon endorsement by the Vice-Chancellor and Chief Executive Officer, a recommendation will be provided to Council for consideration.
- iii. Items funded may be named directly after the benefactor, in accordance with the Donor Recognition Structure, or be given a functional name after which the benefactor will be recorded as its sponsor.
- iv. Proposals in relation to naming of buildings, rooms and spaces in recognition of service or achievement, (or for transactional agreements that may be entered into in relation to the construction of buildings), are also to be submitted to the Vice-Chancellor and Chief Executive Officer through the Advancement, Communications, and Events Directorate.
- v. In the absence of a donor acknowledgement, other recognition or transaction naming proposal, a generic name is to be used for buildings, rooms and spaces, allowing for later renaming for recognition purposes.
- vi. Naming rights will normally not extend beyond the life of the building.
- vii. Naming rights for parts of buildings would normally remain in place for no longer than 10 years.
- viii. Style of naming facilities will be consistent with the University's Visual Identity Guidelines currently in force at the University

Section 4 - Definitions

(30) Advancement includes all alumni relations, philanthropic and fundraising activities and initiatives across the University

(31) Alumni means graduates or diplomats of the University of New England and its antecedent institutions: New England University College (NEUC), University of New England (Northern Rivers), Armidale Teachers' College (ATC) and Armidale College of Advanced Education (ACAE) and includes other members of Convocation.

(32) Bequest means the act of giving or bequeathing property both real and personal and including cash and funds, by way of testament or will.

(33) Convocation consists of graduates (alumni) of the University; members and past members of UNE Council (or antecedent governing bodies); present and past full time academic members of the University, and other members admitted under the by-laws.

(34) Employee means a person who is employed by the University on a continuing, fixed term, casual, contract or other basis.

(35) Gift means any grant or transfer of property or funds to the University where there is:

- a. an intention to give (evidenced in writing or by another act);
- b. a transfer of all right, title, and interest in the property or funds to the University

(36) If there is consideration by money or other benefit to the donor by the University, then the transfer or grant cannot be considered a gift. It includes Bequests.

(37) Record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means under the [NSW State Records Act \(1998\)](#).

(38) Student - means an Admitted Student or an Enrolled Student, at the relevant time.

- a. Admitted Student means a student who has been admitted to a UNE course of study and who is entitled to enrol in a unit of study.
- b. Enrolled Student means a student who has been admitted to a UNE course of study at UNE or elsewhere and who is enrolled in a unit at UNE.

(39) UNE Act means the [University of New England Act 1993 \(NSW\)](#).

(40) UNE By-law means the [University of New England By-law 2005 \(NSW\)](#).

Status and Details

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