



Policy Hierarchy link	Register of Delegations, Section 7.8		
Responsible Officer	Vice-President, Advancement Deputy Vice-Chancellor Education and Vice-President		
Contact Officer	Externally funded Prizes: Executive Officer, UNSW Foundation Internally funded Prizes: Manager, Graduations & Prizes		
Superseded Documents	Prizes Procedure v1.1 effective 31 October 2012		
File Number	2016/08699		
Associated Documents	<ul style="list-style-type: none"> Guidelines – Gift Acknowledgement For Documenting And Administering Fundraising Contributions To The University Of New South Wales For A Specific Purpose (UNSW Foundation) Register of Delegations Receipting and Administration of UNSW Fundraising Income Procedure 		
Version	Authorised by	Approval Date	Effective Date
1.2	Administrative update by Head, Governance	18 February 2016	29 February 2016

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1. Purpose and Scope

This Procedure sets out the processes for the initiating, administering and awarding of prizes at UNSW.

This Procedure does not address unofficial prizes which may be handed out by faculties or schools. Unofficial prizes are those which do not appear on official transcripts. This Procedure only addresses official UNSW prizes, which are published on the Prizes website and on official transcripts.

This Procedure does not address specific legal issues which are addressed in the *Receipting and Administration of UNSW Fundraising Income Procedure*.

All staff involved in the management and administration of prizes including development managers, finance managers, general managers, administration managers, general finance staff and staff employed in the Foundation office must comply with these Procedures.

2. Definitions

Award	An Award is a grant of financial aid which is of at least \$2,000 and less than \$5,000 in value and doesn't have to be for the duration of the degree program. Awards are administered by the Scholarships Office
Certificate	Official UNSW Certificate presented to Prize recipients
Contributor	Generic term used for a sponsor, donor or grantor to UNSW
Development Manager	Staff in a Faculty/Division with responsibility for fundraising who either report directly to the Foundation, or who have a dotted line report to the Foundation.
Externally Funded Prize	Externally funded prizes are funded by external contributions, including gifts and sponsorships
FC101 Project	A fund code set up specifically to record how the faculty/division uses fundraising income. See <i>Receipting and Administration of UNSW Fundraising Income Procedure</i>
Gift Acknowledgement	A UNSW document outlining the intended process for the administration of fundraising income (previously known as a Protocol)
In-kind Prizes	In-kind prizes are non-monetary prizes and may include books, journals, vouchers, industry association memberships and other similar rewards
Internally Funded Prizes	Internally funded prizes are funded from University budgets
Monetary Prize	Monetary prizes are those prizes for which the student receives a monetary reward
NSF	New South Financials. The University of New South Wales' financial management system
P3	Print Post Plus (P ³) is a design, printing and mail service offered by UNSW Facilities Management for all UNSW staff and students
Pledge	An assurance or commitment from a donor (either individual or corporate entity) that they will make a gift. It

	is not a legally binding contract and should not be recorded in the general ledger
Pledge Reminder	A letter/document sent to a contributor to remind them of a pledge made for a gift. It is not a tax invoice and so is not generated through a financial system. Pledges are recorded in the Customer Relationship Management system and not the Financial System
Prize	A form of reward to a student on their success/achievement in a given field. Prizes have a minimum value of \$500 for a minimum of three year duration
Raiser's Edge	The Customer Relationship Management database used by the UNSW Foundation
Scholarship	A grant of financial aid with a minimum value of \$5,000 per annum normally for the duration of the degree program. Scholarships are administered by the Scholarships Office
SiMS	UNSW's student system
Student Reimbursement Claim	Student Reimbursement is additional functionality added to the Expenses module in NSF to enable payments to be made to students.

3. Overview

In 2010 it was agreed by the Executive Team that each Faculty/Division appoint an officer to be responsible for the management and administration of prizes, that the Faculty/Division Development Officer be responsible for the donor relationship management including the creation of the actual prize, and that the Faculty Events Officer be responsible for the Prizes ceremonies.

The Prizes Process Review Committee was convened in 2011 to review the prizes process, recommend new prize processes consistent with the *Receipting and Administration of UNSW Fundraising Income Procedure* and ensure the above recommendation was implemented.

A prize is a reward for a student's success/achievement in a given field. A prize should not generally have an application process as this goes against the intent of a prize as a celebration/reward for achievement. There may, however, be exceptions for substantial prizes (e.g. PhD thesis prizes).

The minimum value of a prize should be \$500. An externally funded prize should be for a minimum of three years; internally funded prizes should be ongoing.

The prizes process is a 12 month cycle commencing in July and ending in June of the following year. There are two types of prizes, Internally Funded and Externally Funded Prizes. In accordance with the *Receipting and Administration of UNSW Fundraising Income Procedure* all monies sourced from fundraising income must be handled by the Foundation. However it is out of scope for the Foundation to manage

funds for prizes where the money is part of a University Operating Account. For these reasons there are separate procedures for the management and administration of Internally and Externally Funded Prizes.

4. Externally funded Prizes

The establishment of a new prize requires the Dean's approval as stated in the *UNSW Register of Delegations* section 7.8.1(c). Approval is granted by way of the signature of the Dean on the New Prize Form.

Funding of a Prize may be through a gift, a sponsorship, a bequest, a fundraising event or a non-contract grant. Refer to the *Receipting and Administration of UNSW Fundraising Income Procedure* for more information.

In some Faculties/Divisions the prizes process may be decentralised to Schools/Departments and the Development Manager may delegate the completion of Prize forms to those staff. The Development Manager will still be the reference point for Foundation Office communications, and will be responsible for ensuring the relevant paperwork is completed.

It is the responsibility of the Development Managers to ensure all payments are received from the contributor. If the FC101 project is allowed to go into deficit, but funds do not exist in the matching project in Donat_XXXX the Faculty/Division will have to cover the deficit. Refer to *Receipting and Administration of UNSW Fundraising Income Procedure* section 2.7.

4.1 Initiating a new externally funded Prize¹

- All Prizes expire at the end of September in the Foundation database.
- The Development Manager determines the Prize with the contributor. If another staff member is involved, this conversation should be referred to the Development Manager.
- Faculty/Division/School/Department determines the selection criteria.
- The Development Manager completes a New Prize Form. The New Prize Form can be found at <https://my.unsw.edu.au/student/prizes/Prizes.html>
- The Development Manager presents the New Prize Form to the Dean of the Faculty for signature.
- The Development Manager submits the original signed New Prize Form to the UNSW Foundation Office (Foundation Office) and a copy to Student Administration at prizes@unsw.edu.au
- Student Administration creates the prize in SiMS and updates the Prizes website with the new prize details.
- Student Administration sends the prize code to the Foundation Office.
- The Foundation Office converts the New Prize Form to a Gift Acknowledgement (by adding the coversheet and the disbursement signature sheet).
- The Foundation Development Associate reviews the Gift Acknowledgement and approves (or returns to the Development Manager for correction).
- The Foundation Office completes the NSF Chartfield Template to open a project for the funds. For instructions on raising the NSF Chartfield Template

¹ See Appendix B for the process map.

and using a project see *Receipting and Administration of UNSW Fundraising Income Procedure* section 2.2.

- The Foundation Finance Team creates the project in NSF. Refer to *Receipting and Administration of UNSW Fundraising Income Procedure* section 2.2.
- The Foundation Finance Team creates the project in Raiser's Edge and sets up Pledges.

4.2 Administration of a continuing externally funded Prize²

This section outlines the processes to be followed for continuing prizes operating within the term agreed in the Gift Acknowledgement. Once the duration of the prize as detailed in the original Gift Acknowledgement has expired, a new Gift Acknowledgement should be drafted as per section 4.1 of this document.

UNSW Foundation may choose to recognise a contribution through naming rights. If the contributor changes, then the name of the Prize must also change.

- After the previous year's funds have all been disbursed, the Foundation Finance Team prepares and sends pledge reminders to donors and invoices to sponsors for the next year's pledges if those funds were not initially paid upfront.
- Foundation Finance Team receives money from contributor and issues a receipt. Refer to *Receipting and Administration of UNSW Fundraising Income Procedure* section 2.5.
- Foundation Office informs Student Administration that the prize is to continue.
- Student Administration updates prizes on SiMS and website.
- Student Administration informs Faculties, Schools, Departments and Divisions of continuing prizes.
- If the funds are not received the Development Manager must follow up with the contributor. If the funds will not be forthcoming, the Development Manager must notify the Foundation Finance Team and cancel the Prize (see section 4.4).
- If there is not enough available balance to fund the prize the Faculty may agree to fund the balance. The Faculty must transfer its contribution to the FC101 project for disbursement. Refer to *Receipting and Administration of UNSW Fundraising Income Procedure* (section 2.5 for approval process for internal transfers to FC101).

4.3 Variation to an externally funded Prize³

This section is applicable to prizes funded by a gift. Changes to a sponsored prize will need to be renegotiated in line with the Sponsorship Agreement.

A Prize Variation Form should be completed for any changes to a prize, including changing the prize to an internally funded prize. Both the Dean and the Foundation Office are required to sign to approve the changes. Significant variations will require a new Gift Acknowledgement (GA) to be completed (see section 4.1).

UNSW Foundation may choose to recognise a contribution through naming rights. If the contributor changes, then the name of the Prize must also change.

² See Appendix B for the process map.

³ See Appendix B for the process map.

- Development Manager submits a Prize Variation Form signed by the Dean to the Foundation Development Associate.
- The Prize Variation Form can be found at <https://student.unsw.edu.au/prizes-donor-and-staff-information>
- The Development Associate reviews and signs indicating approval.
- The Development Associate files the Variation Form with the GA and marks the GA as having been amended.
- The Development Associate notifies the Foundation Finance and Database teams to ensure all records are updated with the changed information.
- The Development Associate sends a copy of the signed Variation Form to Student Administration.
- Student Administration updates the prize in SiMS and updates the Prizes website with the new prize details.

4.4 Cancellation of an externally funded Prize⁴

At the completion of the term agreed in the Gift Acknowledgement/Sponsorship Agreement, the Development Manager will contact the contributor to seek to extend the term of the prize. The Development Manager may also use this conversation to renegotiate the conditions of the prize, if appropriate. If the prize is renewed section 4.1 of this document should be followed.

As donors are under no legal obligation to donate their money, a prize may be cancelled by the donor. As a Sponsorship Agreement is a legally binding agreement a sponsor cannot cancel a prize. A Development Manager, in consultation with the Dean, may decide to cancel a prize for a number of reasons, or a prize may not continue when the term expires. In all cases, if a prize will not continue, it must be cancelled.

If the Faculty/Division would like to continue the prize through internal funding, then a Prize Variation form must be completed and the name of the Prize should change if it has been named in recognition of a contributor.

- Development Manager completes Prize Cancellation Form and presents to the Dean for sign off. The Prize Cancellation Form can be found at <https://student.unsw.edu.au/prizes-donor-and-staff-information>
- Development Manager sends signed form to Student Administration and a copy to the Foundation Office.
- Student Administration cancels the prize on SiMS and updates the website.
- Student Administration informs Faculties, Schools, Departments and Divisions of cancelled prizes.
- Foundation Finance Team closes the project in accordance with the guidelines established in *Receipting and Administration of UNSW Fundraising Income Procedure* (section 2.4).

4.5 Generating a prize payment for an externally funded Prize

- Faculties and Schools must establish an FC101 project for the disbursement of prize monies held by Foundation. Refer to *Receipting and Administration of UNSW Fundraising Income Procedure* (section 2.3 *Opening a project in the Faculty/Division* and section 2.7 *Using FC101*).

⁴ See Appendix B for the process map.

- Faculty/Division/School/Department Prizes Officer requests disbursement of funds for all awarded prizes to nominated FC101 project.
- Faculty/Division/School/Department Prizes Officer processes Expense Reimbursement Claims drawing on the FC101. Payment may be by cheque or EFT. Refer to the Expense Reimbursement Quick Reference Guide (under Training Materials on the Finance Website).
- Faculty/Division/School/Department Prizes Officer collects cheques from Treasury to be presented to students on the Prize Night, if applicable.
- All monetary prizes must be paid by UNSW to the student, and cannot be paid directly to the student by the contributor.

5. Internally funded Prizes

A University Faculty/Division/School/Department has decided to establish and commit to funding a new prize. All University funded prizes are assumed to be continuing unless the Faculty submits a variation or cancellation form to Student Administration.

5.1 Initiating a new internally funded Prize⁵

- Faculty/Division/School/Department determines the prize criteria and completes the New Prize Form (Fully Internally Funded).
- The New Prize Form (Fully Internally Funded) can be found at <https://student.unsw.edu.au/prizes-donor-and-staff-information>
- Faculty/Division/School/Department submits the New Prize Form (Fully Internally Funded) to the Dean for signature.
- Faculty/Division/School/Department submits original signed New Prize Form (Fully Internally Funded) to Student Administration and a copy to the Faculty/Division/School/Department Development Manager.
- Student Administration creates the prize in SiMS and updates the Prizes website.

5.2 Administration of an internally funded Prize⁶

- Without the receipt of a Prize Cancellation Form all Internally Funded Prizes will be considered to exist in perpetuity. To cancel an Internally Funded Prize see 5.4. To vary Internally Funded Prizes see 5.3 below.

5.3 Variation to an internally funded Prize⁷

- Faculty/Division/School/Department determines prize criteria and completes Prize Variation Form. Prize Variation Form is available at <https://student.unsw.edu.au/prizes-donor-and-staff-information>
- Faculty/Division/School/Department submits Prize Variation Form to the Dean for signature.
- Faculty/Division/School/Department submits original signed Prize Variation Form to Student Administration and a copy to the Development Manager.
- Student Administration updates the prize in SiMS and updates the Prizes website.
- Student Administration attaches the Prize Variation Form to the original New Prize Form.

⁵ See Appendix B for the process map.

⁶ See Appendix B for the process map.

⁷ See Appendix B for the process map.

5.4 Cancellation of an internally funded Prize⁸

- Faculty/Division/School/Department determines that Prize is to be cancelled and completes the Prize Cancellation Form.
- The Prize Cancellation Form can be found at <https://student.unsw.edu.au/prizes-donor-and-staff-information>
- Faculty/Division/School/Department submits Prize Cancellation Form to the Dean for signature.
- Faculty/Division/School/Department submits original signed Prize Cancellation Form to Student Administration and a copy to the Development Manager.
- Student Administration cancels the prize in SiMS and updates the Prizes website.

5.5 Generating a prize payment for an internally funded Prize

- All monies for Internally Funded Prizes must be drawn from the General Operating Account (OP001) of the year in which the prize is awarded.
- Faculty Prizes Officer processes Expense Reimbursement Claims drawing on these funds to either Cheque or EFT as requested by Faculty/Division/School/Department. Refer to the Expense Reimbursement Quick Reference Guide (under Training Materials on the Finance Website).
- Faculty Prizes Officer collects cheques from Treasury as required to be presented to students on the Prize Night.

6. Awarding Prizes

6.1 Nominating the winner of a Prize

- Following the release of results in December, academic staff members select winners for those prizes that are continuing.
- Faculty Administrative Staff enters prize winners into SiMS before the last operating day of the calendar year.
- Senior Faculty Administrative Staff approves prize winners in SiMS.
- When the student graduates, it is the responsibility of Student Administration to ensure that all prizes won by the student are accurately recorded on their official UNSW Transcript and Australian Higher Education Graduation Statement.

6.2 Communicating the winning of a Prize

- In early January Student Administration runs the Prize Winners Report and sends it to the Development Managers and Faculty staff member responsible for prizes to ensure all prizes have recipients.
- Student Administration uses the Prize Winners Report to create copy for the Sydney Morning Herald UNSW Prize Winners Advertisement, due at the end of January.
- Student Administration sends the report to Marketing to be used in the mid February advertisement.
- Student Administration updates the list of winners on the Prizes website.
- Faculty Administrative Staff send letters or emails to students advising them that they have been successful.

⁸ See Appendix B for the process map.

- UNSW Marketing sends finalised Sydney Morning Herald data to the Foundation Office.
- The Foundation Office enters information into Raiser’s Edge.
- The Foundation Office in consultation with the Development Manager sends letters to donors of Externally Funded Prizes advising them that the Prize has been awarded.

6.3 Generating an official UNSW Prize Certificate

- Faculty/Division/School/Department Prizes Officer prepares spreadsheet of winners.
- Faculty/Division/School/Department Prizes Officer submits spreadsheet of winners and a signed copy of the “Requisition Form Certificates” to P3 Design Studio.
- P3 Design Studio prints official UNSW Certificates.

6.4 Generating an official UNSW Prize Medal

- Faculty/Division/School/Department Prizes Officer prepares list of winners.

6.5 Presenting a Prize Certificate

- Faculty/Division/School/Department Prizes Officer collects certificates.
- If cheques are being issued, Faculty Prizes Officer collates cheques and certificates.
- Prize Certificates and cheques are distributed at Faculty or School Prize Nights.
- If students are unable to attend, the Prize Certificate and cheque can be mailed.

7. Key dates

August	<i>All pledges need to be sent at the beginning of August Finance Team will send report to DMs on what endowed Prizes can be offered</i>
September	<i>Foundation database records all Prizes as expiring at the end of September</i>
October	<i>All Prizes need to be opened on SiMS by the end of October</i>
November	<i>Prizes close on SiMS at the end of November</i>
December	<i>Academic results released Enter and approve Prize winners in SiMS by last work day</i>
January	<i>Prize winner report generated</i>
February	<i>Winners published in SMH in second week</i>

8. Review & History

See Appendix A: History.

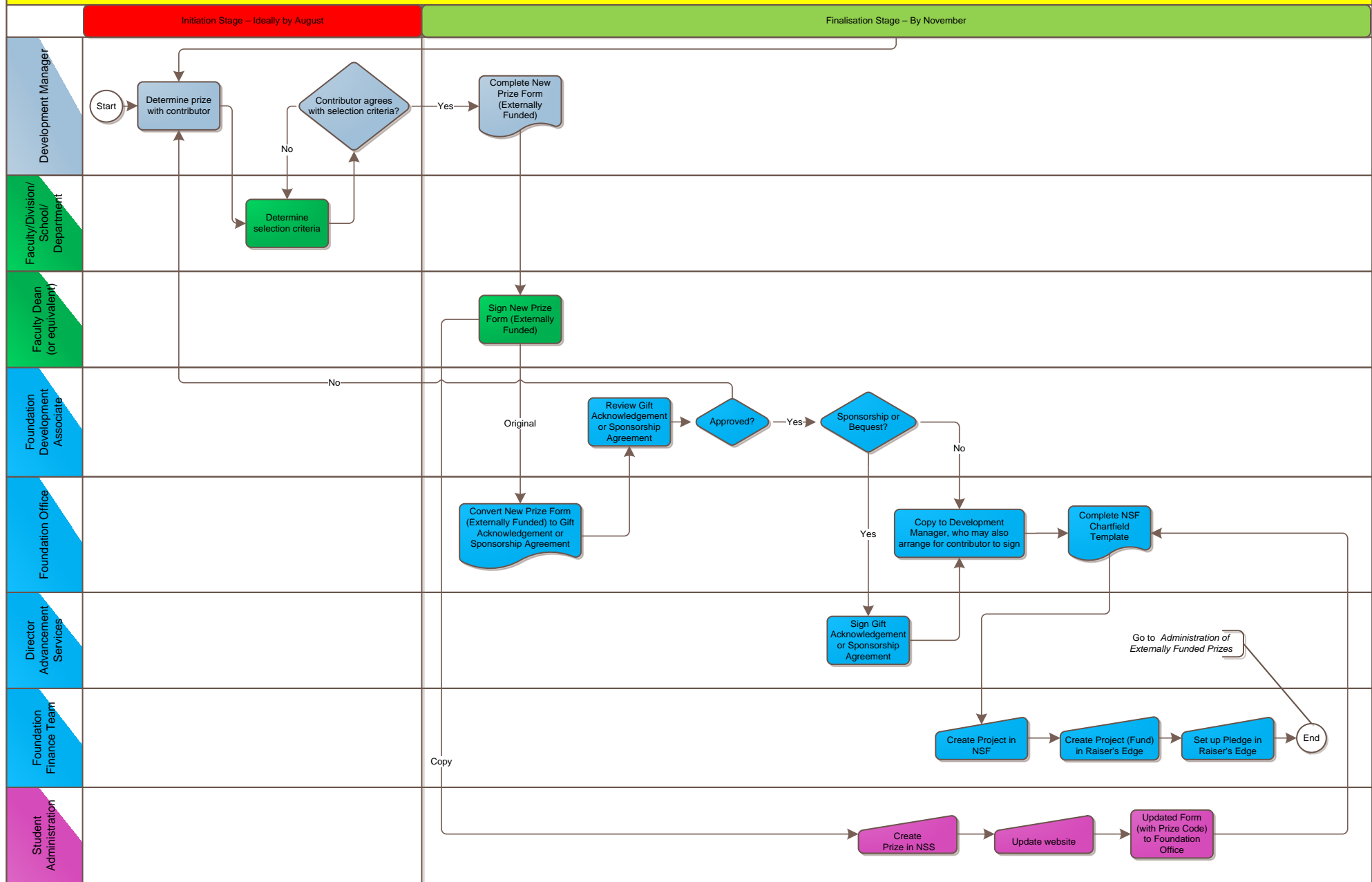
Appendix A: History

Version	Authorised by	Approval Date	Effective Date	Sections modified
1.0	Pro-Vice-Chancellor (Students) and Registrar	16 July 2012	16 July 2012	This is a new procedure.
1.1	Administrative update by Head, Governance Support	31 October 2012	31 October 2012	Responsible Officer updated from the Chief Executive, UNSW Foundation.
1.2	Administrative update by Deputy Head of Governance	18 February 2016	29 February 2016	Administrative updates to senior team roles, update of links.

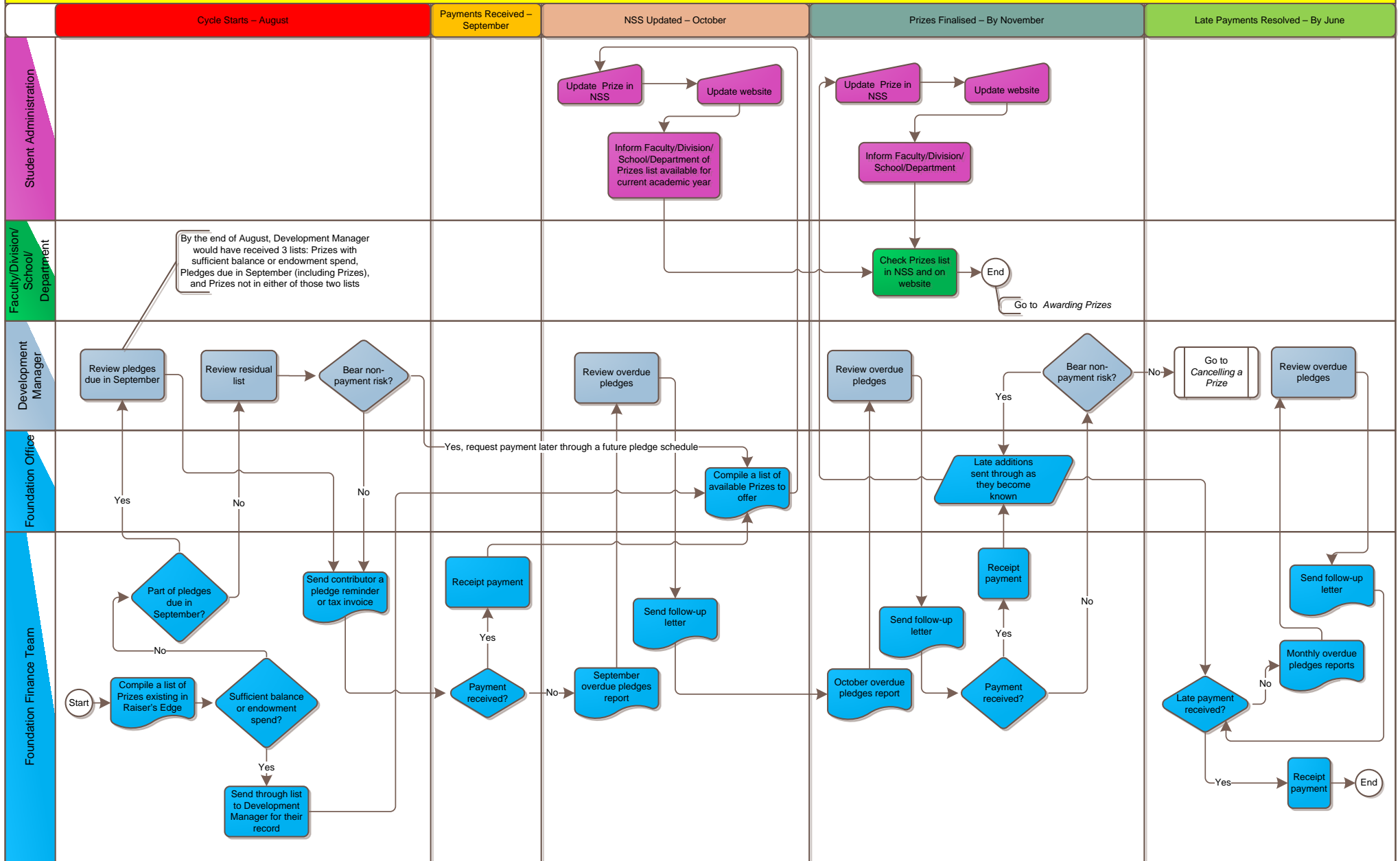
Appendix B: Process Maps

- Initiating a New Externally Funded Prize
- Administration of Externally Funded Prizes
- Initiating a New Internally Funded Prize
- Administration of Internally Funded Prizes
- Awarding Prizes
- Varying a Prize
- Cancelling a Prize

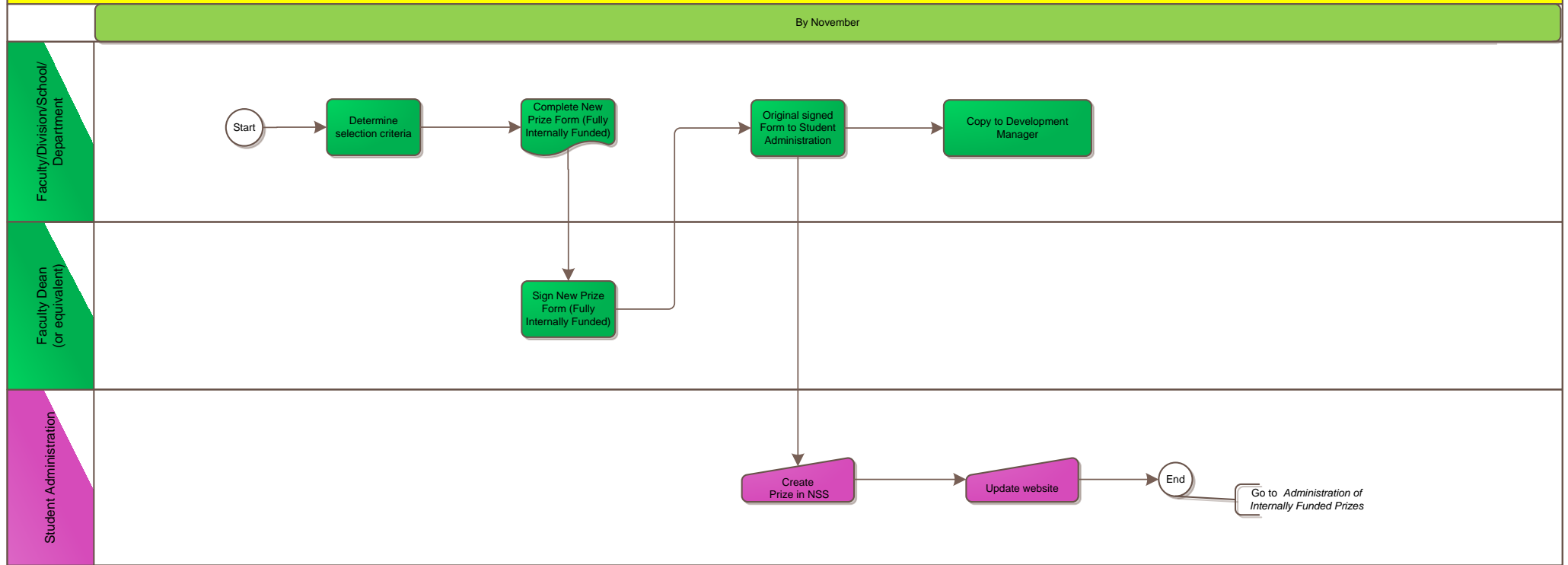
UNSW Prizes Process Map – Initiating a New Externally Funded Prize



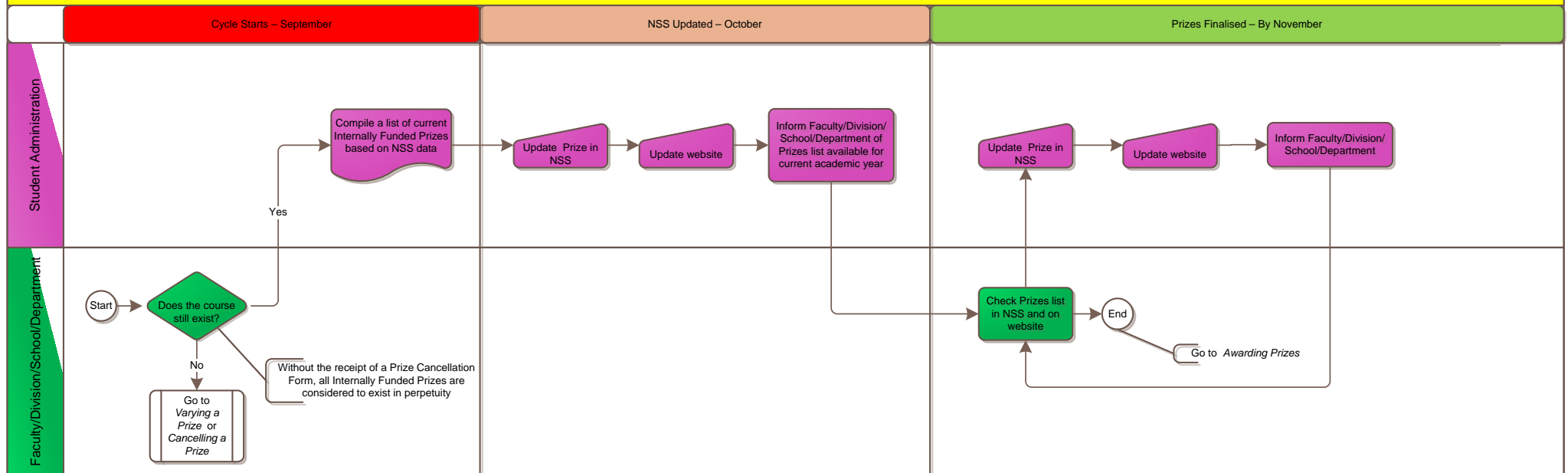
UNSW Prizes Process Map – Administration of Externally Funded Prizes



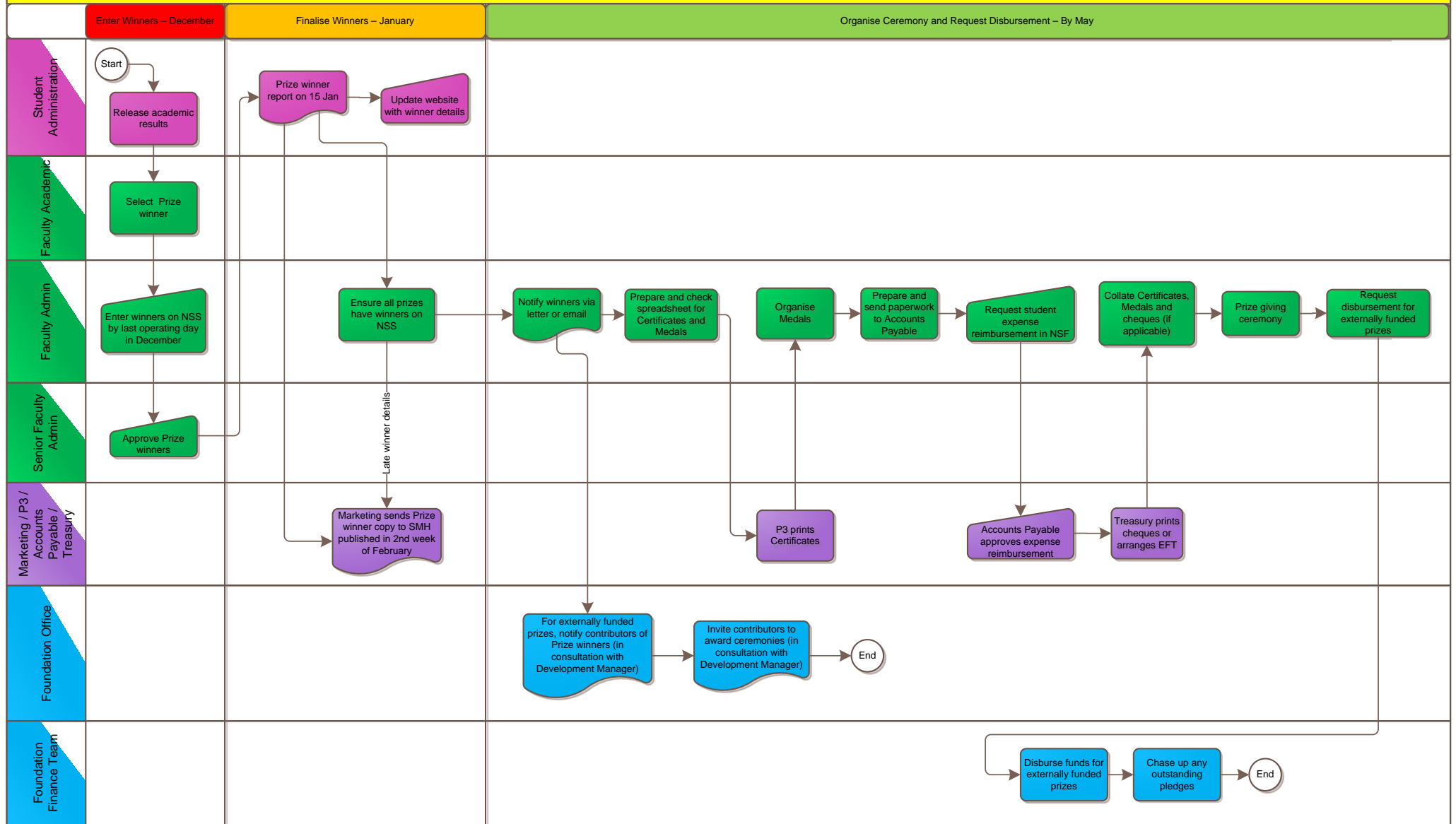
UNSW Prizes Process Map – Initiating a New Internally Funded Prize



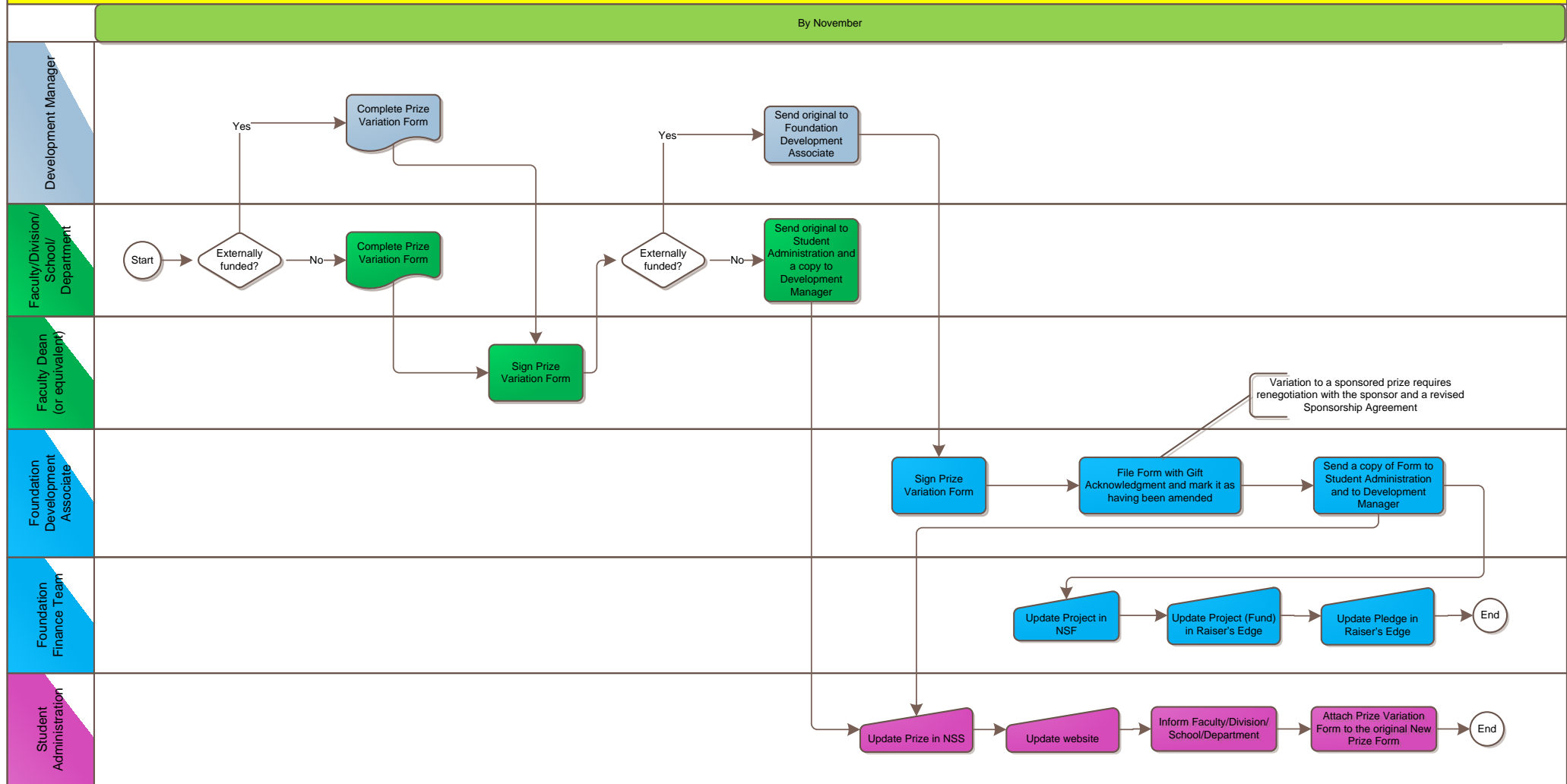
UNSW Prizes Process Map – Administration of Internally Funded Prizes



UNSW Prizes Process Map – Awarding Prizes



UNSW Prizes Process Map – Varying a Prize



UNSW Prizes Process Map – Cancelling a Prize

