

Philanthropy and Recognition Naming Policy and Process

1 Introduction and Scope

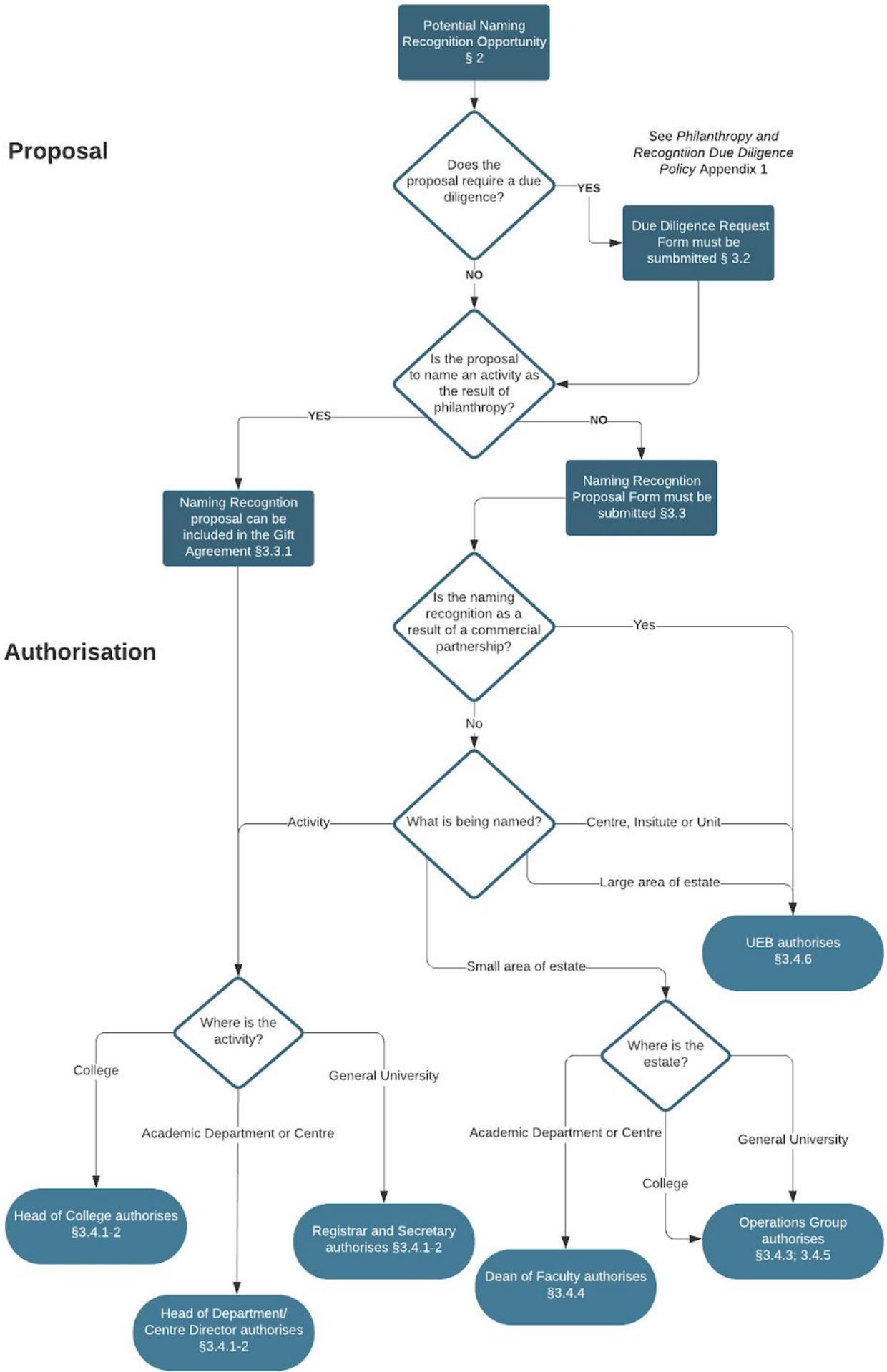
Naming Recognition is the practice of naming an activity, an area of estate, or a teaching or research unit after - or in a manner relating to - an individual, group, or organisation.

Providing opportunities for naming recognition is an important and useful way to recognise contributions made to the University and has the potential to generate beneficial outcomes for the University by encouraging further relationships, as well as publicity and prestige.

This policy is concerned with the processes and principles governing naming recognition across the University of York including types of **Recognised Subject** (individuals or groups which the university may wish to give naming recognition to), the process of proposing and approving plans for naming recognition, and the duration of such honours.

Naming recognition granted by the University, particularly on areas of estate, has the potential to garner significant interest from students and staff and due to its public nature could open the University up to reputational risks. It is therefore necessary that the University has a policy in place governing the practice of granting naming recognition and requires the approval of such proposals to be made at a level commensurate with the potential risk.

Naming Recognition Process Overview:



2 Criteria

2.1 Naming recognition opportunities may normally be offered on the following:

- a) **Activities** - posts, lectures or scholarships within academic departments or centres, or colleges.
- b) **Estate** - (in circumstances where the estate is off-campus or offshore, it will be necessary to agree terms with a partner institution).
 - i) Small areas of estate- defined for the purpose of this policy as any indoor or outdoor space or approximately the size of a seminar room, office, or lab or smaller. Small areas of estate also include ornamental features such as statues and fountains.
 - ii) Large areas of estate- defined for the purpose of this policy as any indoor or outdoor space larger than an individual seminar room, office, or lab. This includes, but is not limited to: buildings, wings of buildings and lecture theatres
- c) **Units** - A research or teaching centre, institute, unit, or group which may or may not have a physical presence.

2.1.1 Any doubt regarding the classification of an area of estate in relation to this policy will be decided by the Director of the Office of Philanthropic Partnerships and Alumni (OPPA) in consultation with the Director of Estates and Campus Services taking into account both the material and immaterial prominence of the area.

2.2 Philanthropic gifts, grants and donations (hereafter 'donations') may result in the object of the philanthropy being named in recognition of the donor/gift. For example, a new building may be named after a donor who has contributed a significant sum to its development, or a donor may set up a scholarship fund and name it after themselves.

2.2.1 In instances where naming recognition is considered for new or substantially redeveloped buildings or areas of estate, a guideline of 30-40% of the value of the project is recommended for granting naming recognition to the donor.

2.2.2 Naming recognition on the grounds of direct philanthropic contribution should give due consideration to the level of donation in both the prominence of the recognition and its duration.

2.3 Naming recognition may be used in order to honour significant contributions made by an individual or group to:

- the University of York or the city of York
- an academic subject or field

2.4 Naming recognition may be granted as a result of a commercial or other partnership (including sponsorships) made between the University and a third party.

2.5 The names used for naming recognition may be that of a donor, partner or sponsor, or may be an appropriate name chosen by that individual or group to represent themselves or honour another

individual, group or cause. For example, an individual may donate to the University and choose to use naming recognition to honour the memory of another person.

- 2.6 The authority to name areas of University estate which have been leased out to other organisations should be outlined in the contract governing the lease. In instances where no contractual arrangements have been made, the authority to approve estate renaming remains with the University of York and continues to be governed by this policy.
- 2.7 Naming recognition proposals must not present any conflict with pre-existing relationships or agreements entered by the University.
- 2.8 When approving proposals to grant naming recognition, in particular those relating to naming parts of estate, consideration should be given to the following concerns:
 - any issues found during the course of the due diligence process and the risks associated with giving naming recognition
 - the University's commitment to supporting diversity of representation on campus and in the honours it bestows on individuals and groups
 - whether the proposed name would be considered suitable and appropriate by the University and civic community
 - the compatibility of the proposal with the University's brand and visual identity
 - the durability and long term viability of the naming recognition, taking into account wider University planning and proposed duration.

3 Proposal Process

- 3.1 During the course of planning new campus developments the campus project/development planning group overseeing the development should contact the Director of the Office of Philanthropic Partnerships and Alumni (OPPA) to review potential naming recognition opportunities.
- 3.2 Prior to a naming recognition proposal being considered for approval, the requirements of the *Philanthropy and Recognition Due Diligence Policy* must be met, including a formal due diligence if the Policy's criteria apply. If a formal due diligence report is initiated under the Policy and, as a result of the due diligence process, the naming is not authorised, the naming recognition proposal must not progress.
 - 3.2.1 In cases where the individual, group, or organisation that has been granted naming recognition wishes to use it to honour another subject, the requirements of the Policy must be met for both parties.
- 3.3 In order to propose a naming recognition a Naming Recognition Proposal Form along with, where appropriate, a Due Diligence Request Form must be submitted to the Office of Philanthropic Partnerships and Alumni (OPPA).
 - 3.3.1 In the case of proposals to name an activity in recognition of the philanthropy funding it, a detailed Gift Agreement may replace a Naming Recognition Proposal Form.

- 3.3.2 Proposals to grant naming recognition on an activity, area of estate, or unit as a result of the philanthropy supporting its creation or development will normally be submitted by the donor's Relationship Manager.
- 3.3.3 Proposals to name activities or areas of estate after individuals or groups of distinction or individuals who have made a contribution to the University or City of York may be submitted either by a Relationship Manager or a senior member of staff from the relevant department or college in which the activity or estate is to be located.
- 3.3.4 Naming recognition proposals to recognise individuals/groups of distinction or individuals who have made a contribution to the University or City of York by naming a centre, institute or unit after them should be submitted by the Dean of the faculty which will house the unit.
- 3.3.5 Proposals to grant naming recognition as part of a commercial partnership or sponsorship should be submitted by the lead contact in the University (e.g. the project manager or sponsor) coordinating the agreement. A draft of the proposed contract governing the relationship must also be submitted to OPPA along with the Naming Recognition Proposal Form and a Due Diligence Request Form.
- 3.4 Once the due diligence requirements are fulfilled, the proposal can be submitted for authorisation. The authoriser(s) should be provided with the completed Naming Recognition Proposal Form, and where appropriate, the Due Diligence Document.
- 3.4.1 In the case of naming recognition proposals for activities funded by philanthropy the completion of the gift acceptance process as outlined in §6 of the Philanthropic Gifts, Grants and Donations Policy will serve as an acceptance of the proposal to grant naming recognition.
- 3.4.2 Naming recognition proposals for activities which are neither funded by philanthropy nor the result of a commercial partnerships must be authorised by one of the following individuals depending on where the activity will be based:
- for college activities - the relevant Head of College
 - for activities in academic departments or centres - the relevant Head of Department or Centre Director
 - for general university activities - the Registrar and Secretary
- 3.4.3 Naming recognition proposals for small areas of college estate should be endorsed by the relevant College Principal and then submitted to the Operations Group for approval.
- 3.4.4 Naming recognition proposals for small areas of departmental or academic centre estate should be submitted to the relevant Head of Department or Centre Director for endorsement. Authority to approve the proposal lies with the relevant Dean of Faculty.
- 3.4.5 Proposals to grant naming recognition on small areas of general University estate must be approved by the Operations Group.

- 3.4.6 Naming Recognition Proposals which fulfill the following conditions require the approval of the University Executive Board:
- the area to be named is a large area of estate
 - the proposal is to name a centre, institute or other unit
 - it is recognition being granted as a result of a commercial partnership or sponsorship
- 3.4.7 A draft of the proposed contract governing the relationship must be submitted to the authorising group along with the Naming Recognition Proposal Form and Due Diligence Document.
- 3.4.8 In all cases of naming recognition, if the authoriser named in the policy does not feel able to either approve or reject a proposal, for instance where there is an actual or perceived conflict of interest, then the responsibility may be transferred to the University Executive Board.
- 3.5 Naming recognition opportunities should not usually be discussed with potential recognised subjects until the proposal has been authorised at the appropriate level as set out in § 3.4 of this policy.
- 3.5.1 In the case of naming recognition as a result of a specific philanthropic donation, once the naming recognition proposal has been approved it can be discussed with the donor and included in the Gift Agreement. The donation can then be accepted following §6 of the *Philanthropic Gifts, Grants and Donations Policy*.

4 Duration and Termination

- 4.1 All proposals to grant naming recognition should include a planned duration for it to remain in effect and a justification for that duration. This should take into account the feasibility of the University being able to fulfill the commitment to the duration being proposed.
- 4.2 When a naming recognition is included in any gift agreements or contracts agreed between the University and the Recognised Subject(s), the duration of the naming recognition should also be stated.
- 4.3 Naming recognition will never be granted in perpetuity . The University and the recognised subject reserve the right to revoke naming recognition at any point, for any reason, not limited to those described in this policy. Within the University the authority to revoke a Naming Recognition lies with the University Executive Board. Reasons for revoking or altering naming recognition include, but are not limited to, the following:
- The discovery of **new risks posed** to the University as a result of a naming recognition.
 - Naming recognition has been rendered inappropriate or unsustainable due to **changes in the organisational structure of the University or changes made to space allocation**.
 - A donor or commercial partner is **unable or unwilling to fulfil the terms of a funding agreement** which has resulted in a naming recognition.

- The revocation is **requested by the Vice Chancellor** in light of new or emerging risks posed by the naming, or where we have received a petition of major lobbying.

4.4 In instances when a named activity which is still being philanthropically funded must be revoked or altered, redirecting the focus of the philanthropic activity and alternative recognition opportunities should be discussed by the OPPA Relationship Manager with the donor.

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4.5 Should a decision be made to revoke a naming recognition, a reasonable time must be allowed before it is enacted to enable a new name to be found and to allow operational processes to be undertaken, for example: signage changes, documentation updates etc.

4.6 In circumstances where naming recognition is revoked the University has no obligation to return any contributions made by the recognised subject to the University (*\$4.10 Philanthropic Gifts, Grants and Donations Policy*).

Appendix 1-Relevant Links

1. Naming Recognition Proposal form
https://uni_york.formstack.com/forms/naming_recognition_proposal
2. *Philanthropy and Recognition Due Diligence Policy*
www.yorkspace.net/duediligence
3. Due Diligence Request Form
https://uni_york.formstack.com/forms/due_diligence_request
4. *Philanthropic Gifts Grants and Donations Policy*
www.yorkspace.net/gifts-policy

Document status

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