

# ADVANCE DATABASE DATA ACCESS PROCEDURES 2013

**Issued by:** Vice-Chancellor (Acting)

**Date:** 22 May 2013

**Signature:**

**Name:** Professor Stephen Garton

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## 1 Purpose and application

- (1) These procedures are to give effect to the [Privacy Policy 2013](#) (“the **policy**”), in relation to the University’s alumni and donor database, Advance.
- (2) These procedures apply to:
  - (a) the University, staff, students and affiliates (including volunteers); and
  - (b) any access to, or use of, information contained in the Advance database.

## 2 Commencement

These procedures commence on Monday 1 July 2013.

## 3 Interpretation

- (1) Words and phrases used in these procedures and not otherwise defined in this document have the meanings they have in the policy.
- (2) In these procedures:

**Advance database** means the University’s database of record for graduands, alumni and donors.

**annual communications schedule** means the planned list of communications prepared annually by the Director, Alumni Relations and Events.

**Note:** At the date of these procedures, this is available from:  
<http://www.sydney.edu.au/alumni/comms-schedule>

**email data management processes** means the processes set out in the schedule to these procedures.

#### **4 Operation and maintenance of Advance database**

- (1) The Advance database is managed by Advancement Services within the Division of Alumni and Development.
- (2) Advancement Services is responsible for the provision of all data sets derived from the Advance database. Provided that they are consistent with the policy, particular arrangements may be established with the approval of the Director, Advancement Services for the management of specific data sets.
- (3) No duplicate or alternative databases of alumni may be established or maintained, whether by or on behalf of staff, alumni associations, donors, friends of the University, foundations, the Alumni Council or others.
- (4) Alumni and Development staff are responsible for co-ordinating updates and requests for amendments to the recorded status of individuals recorded in the Advance database, including managing notifications from relatives of deceased alumni and direct online updates by alumni themselves.
- (5) Requests for amendments to the Advance database must be forwarded to Advancement Services as soon as possible after receipt.

#### **5 Access to data stored in the Advance database**

- (1) Consistently with the policy and these procedures, the Advance database may be accessed and used by University administration, faculties, volunteers and the University's internal committees, centres and foundations.
- (2) Applications for access to data stored in the Advance database must be made in the form prescribed for this purpose by the Director, Advancement Services and published on the University website.

**Note:** As at the date of these procedures, this form is available at <http://s1.sydney.edu.au/advance/reports/reports.shtml>.

- (3) Applications must be approved by the relevant Dean, or:
  - (a) for communications purposes, by the Director, Alumni Relations and Events;
  - (b) for fundraising purposes, by the Director, Development Office; and
  - (c) for all other purposes, by the Director, Advancement Services.
- (4) Advancement Services will provide Advance data extracts:
  - (a) within the Division of Alumni and Development, by making them available on a shared internal computer drive:
    - (i) in a read-only format; and
    - (ii) for a period of three days only.
  - (b) within the University but outside the Division of Alumni and Development, by making them available on a shared internal computer drive:
    - (i) in a read-only format; and

- (ii) for a period of three days only; or
  - (c) outside the University, by means of zipped, encrypted files.
- (5) All communications from Advancement Services relating to the provision of Advance data extracts will be sent from an appropriate role-based email account.

**Note:** See [University Recordkeeping Policy](#).

## 6 Use of data from Advance database

- (1) The following is personal information protected by legislation and University policy which must be safeguarded from unauthorised use or disclosure:
- (a) name (either full or partial) of any person (e.g. donor, alumni, family member);
  - (b) date of birth;
  - (c) address (either full or partial);
  - (d) phone number (including mobile, landline and fax);
  - (e) email address.
- Note:** See [Privacy Policy 2013](#).
- (2) Data extracted from the Advance database may be used, consistently with these procedures, to support the operations and activities of the University.
- (3) Appropriate uses include:
- (a) Senate and Alumni Council elections;
  - (b) alumni engagement activities;
  - (c) soliciting and recognising donors; and
  - (d) promoting University activities.
- (4) A data set must only be used for the purpose(s) for which it was provided.
- (5) Faculty use and distribution of contact details derived from the Advance database is managed by faculty alumni and development officers, in consultation with staff of the Alumni and Events Office or Development Office, as appropriate.
- (6) Communications using data obtained from the Advance database must be approved in advance by either the Alumni and Events Office or the Development Office, and be consistent with the email data management processes and the annual communications schedule.
- (7) Only members of the University's staff may contact individuals or organisations listed in the Advance database on the University's behalf, except with the prior written approval of:
- (a) the relevant Dean;
  - (b) the Director, Alumni Relations and Events; or
  - (c) the Director of Development.

## 7 Storage of data supplied by Advancement Services

- (1) Advancement Services will not provide data on any form of portable storage device (e.g. USB stick, CD, DVD).
- (2) Data files containing confidential data must not be saved onto laptops, iPads, iPhones, desktops or any other location on a local drive.
- (3) Data files containing confidential data may only be intentionally saved onto a University shared network drive to which access is protected by Unikey login.

## 8 Distribution of data by recipients

- (1) Data files containing confidential data must not be forwarded to an external party other than a mailing house with which the University has a contract.
  - (a) If data is supplied to a mailing house with which the University has a contract, the file provided must not contain confidential data fields other than those specifically required for the mailing task being undertaken;
  - (b) all outgoing email to the mailing house must be copied to the [Advancement-Services.Reports@sydney.edu.au](mailto:Advancement-Services.Reports@sydney.edu.au) email account; and
  - (c) all data must be provided in a zipped, encrypted form.
- (2) Data files containing confidential data must not be forwarded to an internal party outside of the recipient's business unit. If there is a need for a file to be forwarded onto another business unit, this must be coordinated through Advancement Services by contacting [Advancement-Services.Reports@sydney.edu.au](mailto:Advancement-Services.Reports@sydney.edu.au).

## NOTES

### Advance Database Data Access Procedures 2013

Date adopted: 22 May 2013

Date commenced: 1 July 2013

Administrator: Director, Advancement Services

Review date: 22 May 2018

Related documents: *Spam Act 2003 (Cth)*

*Privacy and Personal Information Protection Act 1998 (NSW)*

*Privacy Policy 2013*

*Privacy Management Plan*

*Recordkeeping Manual*

*University Recordkeeping Policy*

## AMENDMENT HISTORY

Provision    Amendment

Commencing

## SCHEDULE

### DIVISION OF ALUMNI AND DEVELOPMENT Email Data Management Processes

#### Security and privacy

- (1) The University has an obligation to ensure the protection of personal information from improper or unauthorised use or disclosure. In communicating with alumni:
  - (a) excessive emailing should be avoided;
  - (b) appropriate opt-in or opt-out provisions should be made;
  - (c) the annual communications schedule should be adhered to; and
  - (d) clashes with other communications campaigns should be avoided.
- (2) The following processes apply to email distributions.
  - (a) If data is to be sent to an external mailing house, a confidentiality agreement is required. The Alumni and Events Office can assist with this, or can organise a mailing house. Any agreement must be in a form approved by the Office of General Counsel.
  - (b) If a file is to be provided to a mailing house by email, it must be zipped and encrypted, and the password must be provided to the mailing house separately.
  - (c) Targeted emails to specific groups must be done by the Alumni and Events Office, to ensure use of a secure gateway.
  - (d) Blind copying (BCC) alumni must not be used, as there is too great a danger of people pasting the addressees in the wrong field.

**Note:** See [Privacy Management Plan](#).
  - (e) Emails to alumni, donors, and friends of the University should only be sent individually unless through a secure gateway or by the Alumni and Events Office.

**Note:** MailMerge sends one message to one person and can be set up in all Microsoft Office suites.
- (3) Confidentiality encompasses the information and data itself, not just the documentary form. Data should not be shown to other people, talked about, or copied in any form.

#### Targeted emails

- (1) All emails sent on behalf of the University which provide information must be accompanied by the following statement.

Any information attached or contained within this email has been provided under the authorisation of the Alumni and Events Office, in accordance with the privacy laws that apply to the University. You are reminded that address and contact details contained herein must not be stored in electronic or hard copy form, or passed on or made

available to any other person(s) or used for any purpose other than the specific authorised purpose for which they were provided.

- (2) All emails sent on behalf of the University which solicit information must be accompanied by the following statement.

The information you provide may be used to maintain contact and keep you up-to-date with information about the University, its services, events and achievements. It may be passed on to groups affiliated with the University, such as alumni organisations and foundations (local and overseas), SU Sport and residential colleges. If you do not wish to receive this information or wish to access or correct any information held about you by the University, please contact Advancement Services (fax +61 2 8627 8819, or email [alumni.updates@sydney.edu.au](mailto:alumni.updates@sydney.edu.au)).

- (3) Appropriate opt-in and opt-out provisions must be provided and adhered to in all emails, otherwise the *Spam Act 2003 (Cth)* may be breached. The *Spam Act 2003* requires any emails sent to external stakeholders (i.e. people other than students, staff and alumni of the University of Sydney) to include a functional 'unsubscribe' facility.

**Note:** See [sydney.edu.au/antispam](http://sydney.edu.au/antispam) for more details.

### Email communication options

- (1) The Alumni and Events Office receives requests from many different sectors of the University and external sources to disseminate broadcast emails to alumni groups. However there is a danger of over-emailing alumni to the point that the emails become a deterrent rather than an incentive to alumni.
- (2) Currently, 25 per cent of alumni open their personalised emails from the University – this is high compared to industry standards, but it is indicative of the low response rates to email communications.
- (3) There are three main methods for units or chapters wishing to promote their message to alumni.
- (a) Content can be included as editorial in the monthly alumni e-newsletter, *eSydney*. This is a highly effective means of delivering items of interest to all alumni groups and has been proven to generate a high response rate.
  - (b) Many faculties or units produce their own specific e-newsletters. The Alumni and Events Office can provide guidance about how to submit copy for these. All faculties or units which produce their own e-newsletters must be included in the Alumni and Events Communications Schedule.
  - (c) One-off emails can be sent for specific purposes but they must:
    - (i) adhere to the Alumni and Events Communications Schedule; and
    - (ii) be approved by the Director, Alumni Relations and Events.

### Email timing

- (1) Broadcast emails must not be undertaken within one week of any other communication to the relevant cohort without the prior approval of the Director, Alumni Relations and Events.

- (2) Units or faculties wanting an email sent or to submit copy for *eSydney* or a faculty e-newsletter should contact the Alumni and Events Office at least three weeks in advance to discuss scheduling options.
- (3) Emails promoting events would ordinarily be sent two to three weeks prior to the event to ensure enough time for RSVPs. This should be considered in planning.