

UNE

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THE UNIVERSITY  
OF NEW ENGLAND

# FUNDRAISING GUIDELINES

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## **A. RATIONALE**

The University of New England actively seeks philanthropic gifts and corporate sponsorships. Such benefactions and sponsorships enable the University to supplement its other revenue so that it may improve and increase its functions and become a more useful institution for a greater number of people.

So that UNE may solicit, evaluate, accept and acknowledge gifts, and carry out sponsors' and donors' intentions in a manner that provides the greatest benefit to UNE, it is necessary that all members of the UNE community coordinate their efforts effectively. It is the intention of the University of New England that solicitation, evaluation, acceptance, acknowledgement, and treatment of sponsorships and gifts shall be conducted in accord with the standards and procedures described as follows.

## **B. SCOPE**

These guidelines apply to all gifts and sponsorships undertaken for or on behalf of the University of New England and its entities, and the UNE Foundation.

## **C. OBJECTIVES**

The objectives of these guidelines are:

1. To support the University's intention and obligation to ensure probity in fundraising activities;
2. To ensure funds are applied in accord with donors' and sponsors' wishes;
3. To maximise benefit from fundraising opportunities, donations and sponsorships;
4. To ensure coordination and cooperation across the University and the UNE Foundation;
5. To ensure donors and sponsors receive appropriate stewardship and fulfillment of agreements; and
6. To facilitate compliance with statutory and legal requirements.

## **D. SUMMARY OF PROCESS AND RESPONSIBILITY**

1. Donors and sponsors have rights that must be met by the University and the UNE Foundation if a gift or sponsorship is accepted (see Appendix 2 Donor and Sponsor Rights).
2. All members of the UNE community are required to report fundraising plans to the Development Office in advance of any activity being conducted.
3. All donations are to be made payable to the UNE Foundation Ltd.
4. On behalf of the University and the UNE Foundation, the Development Office approves acceptance, receipts, records and acknowledges all gifts and sponsorships.
5. The UNE Finance Directorate is responsible for reporting income, investment and disbursement information as they relate to the Foundation and the University.
6. The Development Office is responsible for the overall management and development of each and every donor relationship, in cooperation with other stakeholders as appropriate.
7. The Development Office oversees the development of sponsorships and sponsor fulfillment programs in cooperation with other Stakeholders as appropriate.

## **E. GENERAL GUIDELINES**

### **1. Responsibility**

Overall responsibility for assuring compliance with these guidelines is with the Vice-Chancellor, with delegation to the Director of Development. The Director will inform the Vice-Chancellor and appropriate Stakeholder Heads in advance of proposed fundraising efforts. All areas of the University have a responsibility to ensure the Director of Development is notified ahead of fundraising activities.

The setting of institutional fundraising priorities and the approval of spontaneous fundraising proposals requiring organisation-wide cooperation is the responsibility of the Vice-Chancellor with delegation to the Director of Development. With the approval of the Vice-Chancellor, the Director of Development may coordinate a Fundraising Advisory Group or similar entity to facilitate organisational fundraising activities and review other initiatives for recommendation to the Vice-Chancellor.

## **2. Authority To Fundraise**

The UNE Foundation Ltd is authorised to raise funds under the Charitable Fundraising Act 1991, authority number CFN17330. It is a Deductible Gift Recipient and has been endorsed by the ATO as a charitable entity.

The University of New England is endorsed by the Australian Taxation Office as a Deductible Gift Recipient under Sub-division 30-BA (public university) of the Income Tax Assessment Act 1997.

## **3. Funds Management**

The UNE Foundation is a Trust Fund of which the University is the beneficiary. All funds are managed by the Foundation, and all gifts are made in favour of the Foundation. The Foundation is responsible for raising, investing and managing funds for the purposes of supporting the University, in accord with donors' and sponsors' wishes.

The Foundation is supported by the University through the Director of Development, who undertakes the roles of Executive Officer and Company Secretary. The University's Director of Finance facilitates financial and statutory services. The Foundation Board of Directors comprises a number of University officers including the Vice-Chancellor and the Executive Director (Business & Administration).

## **4. Authority To Solicit Gifts**

All stakeholders and all members of the UNE community are encouraged to identify and assist in soliciting gifts from prospective donors and sponsors. However, before making solicitation on behalf of UNE, the individual or stakeholder must bring the proposed effort to the specific attention of the Director of Development so that appropriate coordination is assured.

All members of the UNE community are required to discuss fundraising plans with the Development Office in advance of any activity being conducted. As well, the Director of Development will inform stakeholders of fundraising priorities and plans.

## **5. Authority To Accept Gifts**

Authority to accept gifts is noted in the Financial Delegation of Authority policy as resting with the Chancellor, Vice-Chancellor, Pro Vice-Chancellor (Academic), Executive Director (Business & Administration), Research Services Manager and the Director of Financial Services. The Director of Development has been delegated authority by the Vice-Chancellor to accept gifts.

## **6. Acceptance And Administration Of Restricted Gifts**

Normally, UNE and the UNE Foundation would prefer not to receive restricted or conditional gifts, or sponsorships with extraordinary conditions embedded into agreements.

Donors and sponsors may ask or require that gifts be used by UNE in particular ways. It is the responsibility of UNE to comply with such requirements if the gift is accepted. If the gift or sponsorship is accepted, the Director of Development is responsible for ensuring that arrangements are made to meet the wishes of donors, and to ensure compliance with sponsor requirements in consultation with other Stakeholders as appropriate.

All sponsorship agreements, and where restrictions imposed by a donor must be in writing and require agreement by an official, as in the case of trust agreements, are to be signed on behalf of UNE only by the Vice-Chancellor or delegate.

## **7. Authority To Approve Sponsorship Agreements**

This authority rests with the Vice-Chancellor or delegate.

## **8. Acknowledgement**

All donors and sponsors are to be furnished gift acknowledgement and appreciation letters and a receipt within two weeks of UNE receiving the funds. Assuring compliance with the requirements regarding acknowledgement and receipting is the responsibility of the Director of Development. State and Federal grants are not private gifts and as such have different procedural requirements, which are not part of the scope of this document.

## **9. Ownership Of Gifts**

Gifts or sponsorships donated to UNE are not held by a single stakeholder or other administrative unit, but by the University or the UNE Foundation.

## **10. Appraisals**

Legal and ethical requirements designed to protect donors, sponsors and UNE prohibit UNE, as an interested party, from appraising gifts. Such appraisals, if required by law or particular circumstances, are to be independently conducted. Generally, the cost of such appraisals will be the donor's or sponsor's responsibility. If particular circumstances warrant, the Vice-Chancellor or delegate may approve payment of the cost of an outside appraisal.

## **11. Evaluation Of Costs Associated With Acceptance Of Certain Gifts**

Proposed gifts of property must be evaluated to determine whether the costs to UNE associated with receiving the gift can prudently be accommodated using other UNE resources. For example, accepting real estate may require payment of closing costs, payoff of debt secured by the property, and physical changes to the property necessary to assure safety or control environmental hazards.

The cost to assign space and utilities to make a proposed gift of equipment usable for UNE purposes may exceed the capacity to respond. In certain circumstances, associated costs may mitigate against acceptance of the gift.

The responsibility for arranging evaluation of such costs is for the Director of Development, who shall, after conferring with the Executive Director and other Stakeholders as appropriate, make a recommendation to the Vice-Chancellor for approval of acceptance.

## **12. Agreements And Contracts**

The Development Office has authority to draft agreements and contracts with sponsors for approval by the Vice-Chancellor. Coordination of the fulfillment of the agreement is the responsibility of the Development Office in cooperation with relevant Stakeholders.

## **F. SPECIFIC ADMINISTRATIVE RESPONSIBILITIES**

### **Development Office**

1. Overall responsibility for proper implementation of these guidelines.
2. Coordinate and schedule priority fundraising programs for UNE and obtain approval from the Vice-Chancellor and Foundation Board for these efforts. Keep stakeholders or other administrative units apprised.
3. Receive reports from the campus community identifying potential donors and provide support for development of priority projects (as approved by the Vice-Chancellor); affect administrative coordination with all areas necessary for fundraising including solicitation, evaluation, acceptance, acknowledgement and treatment of gifts.
4. Facilitation of privacy law implementation as it relates to fundraising.
5. Develop specific terms of the gift or sponsorship for presentation to the donor prior to acceptance of the gift.
6. After acceptance, promptly issue acknowledgements of gifts, bequests and sponsorships.
7. Stewardship and development of donors and sponsors in cooperation with relevant Stakeholders.
8. Coordination of any Fundraising Advisory Group or similar entity.

## **UNE Representative, Faculty, College or Business entity**

1. Complete Notification of Fundraising Intention or Activity form (Appendix 1).
2. Report all contacts (phone, letter, email, in person) with donors, prospective donors and sponsors to the Development Office.
3. Report in advance all approaches (solicitations) and negotiations (agreement or contract) with prospective donors and sponsors to the Development Office.
4. Report in writing all private gifts received to the Development Office.

## **G. PROCESSING**

Personnel in the Development Office are responsible for coordination of processing all gifts and sponsorships, in cooperation with relevant Stakeholders.

The following is a linear representation of the process from prospective donor contact through to receiving a donation and responding. There are numerous secondary steps and collaborations to this process that are not represented here.

**Donor→UNE representative→Development Office→  
Donor→Gift→Foundation→ Development Office→  
Accept, receipt, acknowledge, record→Donor→  
Relationship development (overseen by Development Office)**

## **H. CATEGORIES OF GIFTS**

1. Cash gifts (currency, cheque, or credit cards)
2. Personal Property
3. Real Estate
4. Securities (shares, stocks and bonds)
5. Royalties or distribution rights
6. Insurance (policies where UNE is named a beneficiary)
7. Bequests
8. Goods or gifts-in-kind

## I. APPLICATION OF ICAC SPONSORSHIP PRINCIPLES

The Independent Commission Against Corruption has produced a policy covering sponsorship principles relating to private and public sector activities. Below are points that apply to the University and the UNE Foundation. The University and the UNE Foundation currently comply with these requirements.

1. In most circumstances, the public interest is best served by making sponsorship opportunities widely known. To this end, sponsorships should generally be sought by calling expressions of interest or using other broadly based mechanisms not limited solely to invited sponsors.
2. A sponsorship arrangement should be described in a written agreement - an exchange of letters could suffice - which clearly sets out:
  - a. The benefits, including economic benefits, available to the sponsored agency and to the sponsor;
  - b. Any personal benefits available to staff of the sponsor and their relatives;
  - c. The form or forms of sponsorship acknowledgment that will be available;
  - d. The term of the sponsorship and any conditions regarding renewal;
  - e. Consequences of changes, which may occur over time (for example, a shift in the relationship, new policies);
  - f. Financial accountability requirements; and
  - g. Any special conditions that apply.
3. It is inappropriate for an employee of a public sector agency to receive any personal benefit from a sponsorship.
4. There should be no real or perceived conflict between the objectives and mission of the sponsored agency and those of the sponsor.
5. A sponsorship arrangement should not impose or imply conditions that would limit, or appear to limit, a public sector agency's ability to carry out its functions fully and impartially.
6. Sponsorship of a public sector agency or activity should not involve explicit endorsement of the sponsor or the sponsor's products.
7. A sponsored agency must ensure that sufficient resources are available to enable the promised sponsor benefits to be delivered. The sponsored agency should provide sufficient information on progress for the sponsor to evaluate the outcomes of the sponsorship.
8. The CEO should approve all sponsorship arrangements or another designated senior officer of the agency and described in the agency's annual report, in a form commensurate with the significance of the sponsorship.

## J. CONFIDENTIALITY, PRIVACY AND CODE OF CONDUCT

The University and the UNE Foundation accept the Australian Vice-Chancellor's Committee Code of Practice for Australian University Philanthropy. Various University codes of ethics and conduct are recognised and adhered to. The University and the UNE Foundation abide by Federal Privacy Laws.

## K. DEFINITIONS IN THIS DOCUMENT

**Donor:** donor means an individual person, group of people or organisation making a gift to the University.

**Gift:** a gift is generally a philanthropic gesture and may take the form of cash (including cheque or credit), pledge, bequest or planned donation, shares, property (real estate, assets), goods-in-kind, or interest in a business entity. Gifts cannot result in a benefit to the donor, in compliance with the Australian Tax Office. Philanthropic gifts are fully tax deductible.

**Sponsor:** a sponsor is an individual person, group of people or organisation making a financial contribution to the University with the expectation of measurable benefit in return for such sponsorship.

**Sponsorship:** sponsorship has an expectation of benefit to the sponsor, such as naming rights, promotion and public recognition. Acknowledgement of sponsorship carries measurable outcomes and benefits. Sponsorship is not tax deductible under the same rules as philanthropic gifts. Sponsorship means a contribution in money or kind, generally by the corporate sector or private individuals, in support of a public sector activity. It does not include the selling of advertising space, joint ventures, consultancies and gifts or donations when the reciprocal benefit provided by the government agency does not extend beyond some modest acknowledgment.

**Stakeholder:** means any UNE internal or external cohort, organisation or individual with a claim to any fundraising activity or relationship.

## L. APPENDIX 1: NOTIFICATION OF FUNDRAISING INTENTION OR ACTIVITY

Please complete this form or a facsimile in advance of any proposed fundraising activity, and return it to the Director, Development Office, University of New England.

Today's date	
Name of Stakeholder, Faculty, School, College or other entity	
Name of person completing this form	
Phone	
Email	
Name and/or purpose of fundraising project	
Fundraising project leader	
Names of other UNE personnel involved and their roles	
Names and details of individuals, groups and organisations to be approached for funds (Please attach separate list if necessary)	
Fundraising or solicitation timeline, plan and targets (Please attach documents if necessary)	
Other comments	

## **M.APPENDIX 2: DONOR AND SPONSOR RIGHTS**

PHILANTHROPY is based on voluntary action for the common good. It is a tradition of giving and sharing that is primary to the quality of life. To assure that philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the nonprofit organisations and causes that they are asked to support, the University and the UNE Foundation declare that all donors have these rights.

SPONSORSHIP, where there is an expectation of measurable benefit for sponsors who support the University, also assumes these rights.

- I.** To be informed of the organisation's mission, of the way the organisation intends to use donated or sponsored resources, and of its capacity to use these effectively for the intended purposes.
- II.** To be informed of the identity of those serving on the organisation's governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.
- III.** To have access to the most recent financial statements.
- IV.** To be assured their gifts and support will be used for the purposes for which they were given.
- V.** To receive appropriate acknowledgment and recognition.
- VI.** To be assured that information about their donations and support is handled with respect and with confidentiality to the extent provided by law.
- VII.** To expect that all relationships will be professional in nature.
- VIII.** To be informed whether those seeking donations are volunteers, employees of the organisation or hired professional fundraisers.
- IX.** To have the opportunity for their names to be deleted from mailing lists.
- X.** To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.