

Fundraising Policy

Abstract

This Policy governs University fundraising. This includes all activities undertaken by or on behalf of the University with the aim of seeking or receiving donations of money or property.

| | | |
|------------------------|---|------------|
| Dates | Policy approved | 19/08/2009 |
| | Policy takes effect | 02/09/2009 |
| | Policy is due for review (up to 5 years) | 09/2014 |
| | Policy amendments approved | 11/12/2014 |
| | Policy amendment takes effect | 11/05/2016 |
| Approved by | Council Meeting 09/4 (19 August 2009) Resolution COU/09-4/85 | |
| | Latest amendment: Director, Governance Support Unit (see change history for details) | |
| Implementation Officer | Director, Alumni and Development Director, External Engagement | |
| Relevant to | All staff | |
| Related documents | Charter of the University of Technology, Sydney Foundation (access restricted to UTS staff) Donation Acceptance Procedures (access restricted to UTS staff) Donation Processing and Disbursement Procedures (access restricted to UTS staff) External Relations Communications Management Procedures External Relations Relationship Management Procedures Fundraising Approval Procedures (access restricted to UTS staff) Privacy Management Plan (PDF) Privacy Policy Recognition Naming Policy Standing Delegations of Authority Available from UTS Development: <ul style="list-style-type: none"> • Donor Relations Matrix | |
| Legislation | Charitable Fundraising Act 1991 (NSW) Privacy and Personal Information Protection Act 1998 (NSW) University of Technology Sydney Act 1989 (NSW) | |
| File number | UR09/555 | |

Contents

1. Purpose
2. Scope
3. Definitions
4. Policy principles
5. Policy statements
6. Roles and responsibilities
7. Acknowledgements
8. Version control and change history

1. Purpose

The purpose of this Policy is to establish a framework which will enhance coordination and management of fundraising activities across the University, its faculties and all other units.

2. Scope

This Policy governs University fundraising. This includes all activities undertaken by or on behalf of the University with the aim of seeking or receiving donations of money or property.

The following activities are excluded from this Policy:

- [University honours \(honour naming\)](#)
- [University consulting](#)
- [outside work by academic staff](#)
- [UTS commercial activities.](#)

In this Policy and subsidiary procedures, 'gift' or 'donation' means a gift or donation made to the University, not gifts offered to individual UTS staff. For guidance on gifts made to UTS staff, see the [UTS Gifts and Benefits Vice Chancellor's Directive](#).

Statements on acceptance of donations (5.4 below), relate to donations, not sponsorships. The University may establish a policy on sponsorships in due course. Grants to UTS by the Australian Government, state and local governments, are not covered by this Policy.

This Policy applies to all UTS staff, all members of UTS Council and the UTS Foundation Advisory Board, and any other body that is constituted by UTS with responsibility to solicit donations and sponsorship.

3. Definitions

Beneficiary means the recipient area (eg University/faculty/department) which will receive the benefits from a donation.

Bequest means a donation of property by will. See 'Will'.

Development Office is the University office responsible for managing the University's relationships with donors and prospective donors. Development Managers within this office have responsibilities for developing and implementing strategies for relationship management, in partnership with other University staff.

Donation means a voluntary transfer of money or property to the University by way of benefaction where no material benefit is received by the donor from the University in return.

Donation in-kind means a donation other than a donation of money – eg goods, services, or property. Donation as defined here is understood to include the terms 'gift, bequest or devise' as used in section 18 of the [University of Technology Sydney Act 1989 \(NSW\)](#).

Donor means any person or organisation making a donation to the University.

Endowment is a donation made with the intention that funds are invested to ensure ongoing support for beneficiaries from the investment earnings.

External Relations Office is defined as the University office including Alumni Relations, Development, and External Engagement.

Fundraising Activity means all activities undertaken by or on behalf of the University with the aim of soliciting or receiving donations.

Gift — see 'Donation'.

Grant is the provision of financial assistance from a grant-making entity (such as a charitable foundation) to the University. As the University is a non-profit body, grants may be treated as donations if the grant does not involve the return of any material benefit to the grant maker.

Pledge means a documented commitment to make a donation within a specified period of time.

Prospect means a prospective donor, ie an individual or organisation with both the financial capacity and the likely inclination to support the University via a major gift (as may be defined by the University from time to time) or a bequest.

Recognition means actions taken by the University to recognise the generosity of donors, individually or collectively.

Relationship lead is a role for UTS staff members who are not professional fundraising staff or for friends of UTS who act as advocates for the University. In this role, individuals may act as the University's lead point of contact with one or more prospective donors, working in partnership with a Development Manager.

Sponsorship means a transfer of money or property to the University in a transaction where the sponsor receives certain specified material benefits in return.

UTS Foundation is the University body charged with the active promotion of philanthropy and management of donated resources for the advancement of the University. The financial accounts of the UTS Foundation will be managed by the UTS Development Office; the advisory board of the UTS Foundation works with University staff in actively promoting donations to the University.

Will refers to a legal declaration of a person's wishes regarding the disposition of their property after death.

4. Policy principles

The following principles underpin this Fundraising Policy:

- A strategic approach to fundraising will be implemented across the entire University
- Fundraising activities will be conducted in a highly ethical and collaborative spirit
- UTS staff engaged in fundraising activities will conduct themselves as ambassadors for the entire University
- Relationships with the University's supporters will be appropriately managed for the long term
- There will be a University-wide understanding of a donor-centric fundraising philosophy
- Multiple, conflicting, or inappropriate solicitations will be avoided.

5. Policy statements

5.1 Approved fundraising projects

The Development Office will create and maintain a list of approved fundraising priorities for the University. Any additional projects must be approved as a fundraising priority before fundraising takes place. The Standing Delegations of Authority list those members of UTS staff authorised to approve fundraising projects. The UTS Fundraising Approval Procedures outline the process for gaining approval.

Approval to raise funds for activities, and approval to seek gifts from specific individuals, corporations, foundations, etc., are separate processes. See 5.3 below on the process for soliciting donations to the University.

5.2 Relationship management

The University will manage its relationships with its supporters and prospective supporters in a coherent and collaborative fashion.

Donors or prospective donors may have multiple affiliations and interactions with different parts of UTS, and the University's management of such relationships should seek to acknowledge this. Institutional collaboration and dialogue are essential for a coherent and coordinated approach to maximising donor support.

A decision to make a philanthropic donation to an area of UTS will be dictated by the donor's decisions and interests. The University will therefore adopt a donor-centric approach to requests for philanthropic support, based on an understanding of the donor's interests as well as the institution's needs.

Working in partnership with other UTS staff and volunteers (including, where appropriate, members of the UTS Foundation Advisory Board) who may act as relationship leads, individual Development Managers within the Development Office have responsibility for developing and implementing strategy for engaging donors and potential donors.

The [External Relations Relationship Management Procedures](#) and [External Relations Communications Management Procedures](#) outline the University's process for engaging potential donors.

5.3 Asking for donations

The University will ask for donations (including major gifts and bequests) in a planned and coordinated way, to maximise potential success and to discourage inappropriate, ill-considered, or multiple approaches to potential donors.

Donations should be sought for the project(s) and area judged most likely to receive a donation from a prospective donor, based on an understanding of the prospective donor's interests.

The Standing Delegations of Authority list those members of UTS staff authorised to approve solicitation of donations.

Authorisation to solicit a donation on the University's behalf should be sought in the first instance from the appropriate Development Manager. Differences of view will be referred to the Deputy Vice-Chancellor (International and Advancement) for decision.

The [External Relations Relationship Management Procedures](#) and [External Relations Communications Management Procedures](#) outline the University's process for seeking donations.

5.4 Acceptance of donations

Only those authorised to do so under the Standing Delegations of Authority may accept donations to the University. This includes donations made in cash, in-kind, by bequest, or in any other way.

All donations to UTS will be accepted via the UTS Foundation, and in accordance with the University's Donation Acceptance Procedures.

Donations accepted via the UTS Foundation will be disbursed in accordance with the University's Donation Processing and Disbursement Procedures.

The University may decide at its absolute discretion to decline a donation or to return a donation previously accepted. Any decision to decline or return a donation will be made by the Deputy Vice-Chancellor (International and Advancement) in consultation with the beneficiary.

5.5 Donations to endowment

Donations to endowment are donations made with the intention that funds are invested to ensure ongoing support for beneficiaries from the investment earnings.

Donations to endowment will be accepted by the University in the same way as other donations, in accordance with the University's Donation Acceptance Procedures.

While donations other than donations to endowment are distributed to faculties and divisions as per the Donation Processing and Disbursement Procedures, endowment funds will be managed within the UTS Foundation accounts.

The University will establish procedures for the management of endowed funds in due course.

5.6 Donor relations

Once a donation or pledge has been received, effective management of donor relations encourages donor loyalty and provides a compelling case for the donor's continued support. Donor relations consists of three distinct elements:

- **Acknowledgement** — All donations to the University will be promptly and properly receipted with a charitable tax receipt. The UTS Advancement Services office is the only unit of the University authorised to provide such a receipt.
- **Recognition** — The University may publicly demonstrate its appreciation for the support given by donors through donations and pledges in a number of ways. [Australian Taxation Office Goods and Services Tax Ruling GSTR 2000/11](#) par. 67 (under review) indicates that mere public recognition does not constitute a material benefit to the donor.
- **Stewardship** — The University accepts responsibility for advising donors on the use of funds donated and the impact of their giving.

The UTS Development Office will oversee an institution-wide donor relations program on behalf of the University, in partnership with other units of the University where appropriate. The specific details of the University's donor relations program are documented in the UTS Donor Relations Matrix.

5.7 Recognition through naming

The University may, at its sole discretion, choose to recognise substantial support of the University, by persons or organisations, through naming a physical or academic entity in recognition of their contribution.

The Standing Delegations of Authority list those with the authority to approve naming of University entities in this way.

The UTS Recognition Naming Policy outlines the process for recognising supporters of UTS through naming.

5.8 Information sharing and privacy

The University will maintain records of its interactions for fundraising purposes with individuals, corporations, foundations and associations.

The UTS Development Office will manage and maintain an appropriate database as the designated sole repository of information relating to University fundraising. Appropriate access to this database will be granted to relevant University staff using the database to support their approved fundraising activities. The Deputy Vice-Chancellor (International and Advancement) has final authority on granting access to the database, and may from time to time authorise business rules governing access to and use of data from this database, subject to compliance with the UTS [Privacy Management Plan](#) (PDF).

The Privacy Management Plan and the [Privacy Policy](#) set out the principles, policies and practices which are applicable to the University under NSW legislation ([Privacy and Personal Information Protection Act 1998](#)). Collection, management, use and disclosure of personal information by University employees must be in accordance with the legislation.

6. Roles and responsibilities

Accountable Officer: Deputy Vice-Chancellor (International and Advancement)

Implementation Officers:

- Director, Alumni and Development

- Director, External Engagement

The UTS Development Office is responsible for:

- Maintaining a list of approved fundraising priorities
- Facilitating a process to govern relationship management and solicitation of donations.

The UTS Advancement Services Office is responsible for:

- Maintaining an External Relations database which is the sole repository of information relating to University fundraising
- Managing the acceptance, processing, and disbursement of donations to UTS.

Development Managers are responsible for:

- Developing and implementing strategies for donor and prospect engagement
- Working in partnership with other UTS staff across the University to implement strategy for donor and prospect engagement
- Authorising the solicitation of donations to the University
- Managing donor relations for the University.

All UTS staff are accountable for ensuring that their conduct complies with the University's commitments as outlined in this Policy as well as state and federal legislation.

7. Acknowledgements

Not applicable.

8. Version control and change history

| Effective date | Version | Approved by, resolution no. (date) | Amendment |
|----------------|---------|--|--|
| 02/09/2009 | 1 | Council, COU/09-4/85 (19/08/2009) | New policy. |
| 10/02/2011 | 1.1 | DVC (International and Development) (21/01/2011) | Minor changes to references to implementation officer for currency. |
| 11/05/2016 | 1.2 | Director, Governance Support Unit (GSU) (11/12/2014) | Changes (approved under Delegation 3.17) to implement 2014 Senior Executive restructure. |