



Fundraising Policies and Procedures

Department: Institutional Advancement and Development

Contact: Mr. Marc Newman, Vice President, Institutional Advancement and Development

NOTE: *These guidelines are subject to updates, changes and amendments and are an extension of the statements outlined under the “**Acceptance of Monetary and Non-Monetary Gifts, Grants and Pledges**” policy.*

Generating private support for Saint Augustine’s University is one of the major institutional priorities. Planning and coordination are essential to successful fundraising efforts and for avoiding duplication in approaching potential donors in the name of the University.

Policies

I. Statement

Responsibility for the coordination of all fundraising programs and solicitations of private support from individuals, foundations, businesses, corporations and organizations rest with the Office of Institutional Advancement and Development (IAD). Solicitation of private contributions and gifts-in-kind made by anyone for the benefit of Saint Augustine’s University require prior approval from IAD.

The intent of this policy is to maximize the effectiveness and efficiency of fundraising programs and to avoid confusion on the part of donors and prospective donors.

II. Policy for Alumni Fundraising by Department

The University’s fundraising policy limits the circumstances in which units of the University may make appeals for financial support from alumni. All fundraising appeals to alumni must be coordinated with the Director of Alumni Affairs.

Scheduling and Preparation

The scheduling and preparation of departmental appeals to alumni must be coordinated with the Director of Alumni Affairs. Departments may not solicit funds from alumni through departmental newsletters or other communications. Contribution forms and gift reply envelopes should not be included with departmental newsletters or other communications without the approval of the Office of Alumni Affairs. Departments may, however, use newsletters and other communications to generally encourage participation in the Institutional Programs. Any Department or Office that fails to comply with this policy may be



denied use of alumni address information and mailing lists for any purpose in the future.

III. Policy for Restricted Gifts

Acceptance of a gift imposes a legal obligation to comply with the terms established by the donor. Therefore, it is necessary that the nature and extent of this obligation be clearly understood. For this reason, the terms of each restricted gift will be reviewed with the utmost care to ensure that the gift retains its original usefulness and beneficial qualities. If a gift is deemed unacceptable because of the restrictions the donor has placed on its use, the donor will be counseled to remove or modify the restrictions.

Return of Restricted Gifts

Gifts will be refused or returned under the following circumstances:

1. The purpose of the gift is inappropriate or not conducive to the best Interest of the University.
2. The gift obligates the University to undertake responsibilities, financial or otherwise, which it may not be capable of meeting for the period required by the terms of the gift.

IV. Gifts-in-Kind

Saint Augustine's University accepts gifts-in-kind (property, equipment, securities, real estate, artworks, etc.) intended by the donor to benefit the University. Such gifts are reviewed with special care to ensure that acceptance will not involve financial commitments in excess of budgeted items or commit the University to other obligations disproportionate to the gift.

A. Tax Deductions

When gifts-in-kind are given to the University with intent for the donor to receive a tax deduction it shall be the responsibility of the donor and a requirement of the IRS that the donor, not the University, obtain an independent appraisal of the gift for tax purposes. The University shall not become involved in the appraisal process.

B. Solicitation and Acceptance of Gifts-in-Kind

1. A Department chair, faculty member or staff member interested in soliciting equipment or other gifts-in-kind should check with the Office of Institutional Advancement prior to approaching the contributor to ensure University policy is followed. **(See additional details under Guidelines for Staff, Faculty, Administrators Fundraising Initiatives).*
2. Gifts-in-kind are accepted only after it is determined there is a need or desire for the item or items involved.
3. The University may elect not to accept a gift-in-kind for any of the following reasons.



- The equipment is obsolete
- The intended gift would involve a high level of projected Installation costs

C. Acceptance of in-kind-gifts

1. Gifts Valued in excess of \$5,000 will be reviewed by the Vice President and submitted to the Department of Business and Finance.
2. Gifts-in-kind transferred to the University will be recorded and labeled as part of the University's inventory.
3. Any purchase of equipment or supplies with private funds contributed to the University must be approved by both the Vice President of Business and Fiscal Affairs, and the appropriate Vice President or Provost.

V. Deposit of Private Funds

It is official University policy that private funds contributed to any unit of the University must be forwarded to the Department of Business and Finance with copies of all documentation forwarded to IAD no more than ten (10) days of receipt of monies or conclusion of event. Deposits of such funds in private bank accounts in the name of the unit, faculty or staff are prohibited under State fiscal policy and University policy. Restricted contributions for Scholarships or other purposes must adhere to this same policy.

Procedures

VI. Fundraising Appeals

It is the responsibility of IAD, under the direction of the Vice President, to serve as the planning/coordinating/ and approval agency for all fundraising appeals and solicitations made on behalf of the University. Faculty and staff members with ideas for the solicitation of funds or gifts-in-kind to benefit programs and activities at the University should review and coordinate such plans with IAD or a designee before any action is taken.

I. Acknowledgment and Recording of Gifts

It shall be the responsibility of IAD to record and acknowledge receipt of gifts made to the University, including cash, pledges, securities, real estate, and other gifts in-kind. The Office of the President will acknowledge major gifts.

II. Preparation of Fundraising Literature

All brochures, booklets and letters designated to solicit private funds shall be coordinated through IAD to ensure the most accurate information regarding each individual fundraising project is conveyed. Approval of the Vice President of Institutional Advancement or a designee is required prior to mailing any solicitation to donors on behalf of University Programs.



III. Recruitment and Training of Volunteers

The recruitment and training of volunteers interested in assisting the fundraising efforts conducted on behalf of the University shall be the responsibility of IAD.

IV. Public Statements on Gifts to the University

IAD, with the assistance of the Finance Department, is responsible for all public statements regarding Gifts to the university.

V. Fundraising by Students and Student Organizations

Students and student organizations are required to adhere to the rules and regulations of institutional fundraising policies. Organizations are to receive approval from the Vice President of Student Affairs and coordinate the intake of income with the Finance Department.

- All student fund-raising activities, whether originating from a club or department-sponsored organization, or a campus service area must be approved prior to scheduling facilities, advertising, or contracting for services.
- A fund-raising activity is one where revenue is generated, other than organization dues, whether or not a profit is made. Such activities should allow clubs or groups to earn operating monies to meet reasonable expenses during the year but not build up excessive reserves. Limited fund raising can also be done in support of charitable or humanitarian causes.

Soliciting local businesses, national corporations, or individuals (alumni, friends of the University, etc.) by any student group for donations (money, sponsorships, gifts, premiums) to support campus fund raising must be approved by IAD before any contact can be made.

- Fund raising should be for the benefit of the collective organization or an approved charitable cause. Monies raised should not be for the specific benefit of individuals (within or outside the organization) and cannot be used to support student travel or scholarships.
- The review of fund raising requests will be based on the following principles:
 1. The activity is of benefit to the campus community. The nature and location of the activity must also be appropriate for involvement by students at Saint Augustine's University.



2. Permission to raise funds on campus may be withheld if the proposal is deemed to be insufficiently related to broader University objectives, or if difficult precedents might be established.

Guidelines for Staff, Faculty, Administration Fundraising Initiatives

Statement of Purpose: In order to provide continuity and consistency regarding fundraising or the solicitation of financial support for the purpose of scholarships, programs and other such activities by staff, faculty, administrators or other SAU affiliated personnel, IAD has outlined the following guidelines:

It is the policy of SAU that all of the aforementioned revenue generating activities shall be processed and coordinated by IAD. It is acknowledged that the benefits and rationale of this policy include:

- Transparency and alignment of appeals for funds, resource development and prospective donor solicitation.
- Minimization/elimination of potential duplication of appeals and solicitation of prospect donors.
- Implementation of targeted donor strategy in order to maximize contributions of prospect donors.
- Ensure that the priorities of SAU related to all fundraising and donor campaign initiatives are driven by and from IAD.

PROCESS

SECTION I:

All staff, faculty, administrators or other SAU affiliated personnel shall acknowledge that IAD shall have primary responsibility for coordination of fundraising; solicitation of funds or in kind items for the purpose of scholarships, recognition programs or departmental initiatives for the benefit of SAU and its students.

- A. Any faculty or staff member who seeks to establish any type of fundraising program in the name of the university from individuals, business, industry, foundations or community organizations shall follow the guidelines outlined in this document prior to any solicitation taking place.
 - A1. Before pursuing formal discussions with any potential donor there should be conversations with the appropriate supervisor, dean, department head, or vice president. An additional conversation outlining broad goals and objectives of the prospect solicitation should then be conducted with a designated representative from IAD.
 - A2. All formal requests to undertake fundraising initiatives or to solicit contributions shall be in writing and submitted at least 30 days prior to the actual



event. Request shall be submitted on the **SAU PROSPECT DONOR-FUNDRAISER REVIEW** form. Requests will follow a review process beginning with the appropriate faculty or student advisor; division head, dean or vice president before submission to IAD.

- A3. Upon review and approval from IAD, it is understood that prior to submission of formal written request to potential donor(s), all supporting materials including mailing list; letter of request; and other related documents shall be reviewed and shared with IAD. IAD will assist with development and coordination of fundraising/solicitation strategy, plan and related activities where necessary.
- B. Events such as car washes, bake sales, and the like (where outside solicitation is not required or necessary) the hosting department or student group is asked to notify IAD as a courtesy at least 30 days prior to the event. Hosting group for such activities shall follow already established SAU policies and procedures. Monies raised from such events will be handled expeditiously in accord with established SAU policies and procedures.
- C. Request involving the planning, construction or expansion of a building to be funded by private sector gifts shall be submitted to the appropriate dean and vice president, then to IAD before final presentation to the president and SAU Board of Trustees.

GIFT ACKNOWLEDGEMENT and RECEIPT

- A. All donations, gifts and pledges shall be received, processed and acknowledged first by IAD. Faculty, staff, departmental notes of thanks and acknowledgment are encouraged after acknowledgement by IAD. IAD will copy appropriate SAU personnel on notes of thanks and acknowledgement and request the same of department/personnel wishing to do so at the appropriate time.
- B. Gifts and pledges include cash, securities, trusts, insurance policies, real estate and in kind donations. In kind gifts (non cash) with a value of \$5000.00 and over require an itemized list of items donated, name and address of the donor to IAD. Donated in kind services, e.g., consulting services, shall require an itemized invoice indicating the fair market value for service(s) provided. Again, a thank you /acknowledgment note will be issued. IAD will not assign a monetary value to the items donated. That responsibility will fall with the donor.
- C. Programs and initiatives tied to the generation of monetary gifts/awards which may require some up front expenditures by SAU shall be processed in a manner



whereby monies expended by SAU shall first be deducted from gift amount before final processing.

- D. Primary responsibility for maintaining complete and accurate records of gifts and donations shall rest with the IAD. Records shall be made available in accord with SAU policies of confidentiality.
- E. Gifts will be refused or returned when the purpose is:
- Deemed inappropriate or not conducive to the best interest of SAU.
 - Deemed to be a venture that might obligate the university to assume risk and responsibilities financial or otherwise, which it may not be capable of meeting for the defined period of the gift.
 - Obligates SAU or its officers to unrealistic expectations or demands.



SAU Faculty, Staff, Administrator Prospect Donor – Fundraiser Review Form

Supervisor/Department Head

Initiative Contact

Phone

Proposed Activity and Date

Activity Purpose (Fundraising, Scholarship, etc)

Prospect Donor(s)/Sponsor(s)