

University of Birmingham – Ethical Guidelines for Fundraising

A. Ethical Guidelines for the Acceptance of Gifts and Donations

1. It is agreed that the basis on which the University of Birmingham will actively seek funding is:
 - That the full cost of the project is identified (i.e. required support staff costs, additional running costs, additional space requirements are all included);
 - That the project is approved by the senior management of the University as being strategically important in enhancing Birmingham's academic standing and/or its income-generating potential;
 - That the project involves no or minimal net cost to Birmingham in terms of financial commitment at the end of the period covered by the gift.
2. The following principles should be considered for all gifts which may, in the opinion of the Development & Alumni Office, have a controversial dimension, but which should in any case be considered in the case of all gifts that may amount to over £1 million in total value:
 - Does the potential gift fit with the University's strategic mission, and is it consistent with the goals outlined in the five-year plan?
 - Is there published or other credible evidence that the proposed gift will be made from a source that arises in whole or in part from an activity that:
 - Evaded taxation or involved fraud?
 - Violated international conventions that bear on human rights?
 - Limited freedom of enquiry, or encroached on academic freedom?
 - Is there evidence that the proposed benefaction, or any of its terms will:
 - Require action that is illegal?
 - Seriously damage the reputation of the University?
 - Create unacceptable conflicts of interest?
 - Harm the University's relationship with other benefactors, partners, potential students or research supporters?
4. In the case of potential gifts which may conflict with any or all of the above principles, it is the responsibility of the Director of Development, *at an early stage in discussions and certainly before an 'ask' has been made*, to alert the Vice Chancellor. The Vice Chancellor may then decide whether or not further discussion should be pursued with the potential benefactor, or may decide to consult the Chairman of Council. The Vice Chancellor and Chairman of Council may at this stage involve other members of Council and other Pro Vice Chancellors as they see fit.
5. In turn, the University undertakes that:
 - All communications made to potential donors concerning a project will be honest, truthful, and comply with the law;
 - The Donor's Rights will be respected.

B. Donor's Rights

1. All fundraising solicitations by or on behalf of the University of Birmingham will disclose the University's name and purpose for which the funds are requested. Printed solicitations (however transmitted) will also include its address or other contact information.
2. Donors and prospective donors are entitled to the following, promptly upon request:
 - The most recent annual report and financial statements;
 - Confirmation of the charitable status of The University of Birmingham;
 - A copy of this ethics code.
3. Donors and prospective donors are entitled to know, upon request, whether an individual soliciting funds on behalf of the University is a volunteer, an employee or a hired solicitor.
4. Donors will be encouraged to seek independent advice if the University has any reason to believe that a proposed gift might significantly affect the donor's financial position, taxable income, or relationship with other family members.
5. Donor's requests to remain anonymous will be respected.
6. The privacy of donors will be respected. Any donor records that are maintained by the University will be kept confidential to the greatest extent possible. Donors have the right to see their own donor record, and to challenge its accuracy.

7. Donors and prospective donors will be treated with respect. Every effort will be made to honour their requests to:

- Limit the frequency of solicitations;
- Not to be solicited by telephone or other technology;
- Receive printed material concerning the University.

8. The University will respond promptly to a complaint by a donor or prospective donor about any matter that is addressed in this ethics policy. A designated member of the Development and Alumni Relations Office or volunteer will attempt to satisfy the complainant's concerns in the first instance. A complainant who remains dissatisfied will be informed that he/she may appeal in writing to the Vice-Chancellor of the University of Birmingham, and will be advised of the disposition of the appeal.

C. Fundraising Practices

1. Fundraising solicitations on behalf of the University of Birmingham will:

- Be truthful;
- Accurately describe the University's activities and the intended use of donated funds;
- Respect the dignity and privacy of those who benefit from the University's activities.

2. Volunteers, employees and hired solicitors who solicit or receive funds on behalf of the University shall:

- Adhere to the provisions of this code;
- Act with fairness, integrity, and in accordance with all applicable laws;
- Adhere to the provisions of applicable professional codes of ethics, standards of practice, etc.
- Cease solicitation of a prospective donor who identifies solicitation as harassment or undue pressure;
- Disclose immediately to the University any actual or apparent conflict of interest;
- Not accept donations for purposes that are inconsistent with the University's objects or mission. See A above.

3. Paid fundraisers, whether staff or consultants, will be compensated by a salary, retainer or fee, and will not be paid finders' fees, commissions or other payments based on either the number of gifts received or the value of funds raised. Compensation policies for fundraisers, including performance-based compensation practices (such as salary increases or bonuses) will be consistent with the University's policies and practices that apply to non-fundraising personnel.

4. The University will not sell either its donor or alumni lists.

5. The Vice-Chancellor will be informed at least annually of the number, type and disposition of complaints received from donors or prospective donors about matters that are addressed in this code.

D. Financial Accountability

1. The University of Birmingham's financial affairs will be conducted in a responsible manner, consistent with the ethical obligations of stewardship and the legal requirements of national regulators.

2. All donations will be used to support the mission of The University of Birmingham.

3. All restricted or designated donations will be used for the purposes for which they are given. If necessary due to programme or organisational changes, alternative uses will be discussed where possible with the donor or the donor's legal designate. If the donor is deceased or legally incompetent, and the University is unable to contact a legal designate, the donation will be used in a manner that is as consistent as possible with the donor's original intent.

4. Annual financial reports will be factual and accurate in all material respects and will disclose:

- The total amount of fundraising revenues;
- The total amount of fundraising expenses;
- Identify government grants and contributions separately from other donations;
- Be prepared in accordance with generally accepted accounting principles and standards.

5. The cost effectiveness of the University's fundraising programme will be reviewed regularly by the Vice-Chancellor.