

Ethical Fundraising Policy

January 2019

Ethical Guidelines

In order to achieve its vision, mission and values, the University of Hull actively seeks philanthropic income from a range of sources both at home and internationally. This activity supplements the core income of the University and is a vital and legitimate component of a mixed fundraising economy.

To ensure that institutional integrity is maintained, the University will adhere to the following guidelines for the solicitation and acceptance of donations and the treatment of its donors.

The University will only seek funding when:

- The scope of the project has been fully understood and the full cost of the project has been identified (including all associated support staff, capital resources, space requirements and additional running costs)
- The project is approved by the Vice-Chancellor or Deputy Vice-Chancellor
- The project is aligned with the ethical standards set out in the University's Ethics Framework

Acceptable Sources of Funding

The University of Hull accepts funding from a wide variety of public and private sector partners that are willing to support it to accomplish its mission.

In seeking funding, the source and intended purpose for all gifts must be consistent with the guiding principles and values of the university as set out in the 'University of Hull Strategic Plan (2016-2020)'.

The University will not accept philanthropic funding in cases where it considers that to do so would:

- Compromise its status as an independent institution

- Result in a demonstrable net decline in the assets of the University
- Impede the implementation of the University's Strategic Plan
- Be directly inimical to the University's Vision, Mission and Values
- Limit academic autonomy and freedom
- Suppress or falsify academic research
- Limit the freedom of enquiry
- Create unacceptable conflicts of interest
- Damage the University's reputation or harm the University's relationship with other benefactors, partners, potential students, research supporters or other stakeholders
- Require the University to deviate from its normal hiring, promotion and contracting procedures
- Involve unlawful discrimination by race, religion, sex, sexual orientation, age, national origin, colour, disability or any other basis prohibited by law
- Require the University to provide special consideration for admission to its courses to the donor or designate
- Require any other direct benefits (including financial or non-financial) to the donor as a condition of the donation (e.g. honorary degrees, discounted courses, training etc).

Nor will the University accept any gift that:

- Helps to evade taxation
- Arises from funds that have been obtained through illegal activity, the violation of international conventions relating to Human Rights, or any activity that might be viewed as controversial
- Might cause any other harm, including financial, to the University
- Would in any other way be in conflict with the values and aims of the University

The test of compliance with this policy should be undertaken prior to solicitation wherever possible rather than at the point of acceptance. There will be unavoidable exceptions to this general approach, for example where DARO is in receipt of an unsolicited bequest.

The Director of Development, Alumni and External Affairs (hereafter the 'Director of Development') will apply the procedure as set out in detail in the 'Ethical Fundraising Policy – Procedure Note and Screening Form'

In brief, if a gift exceeds £10,000 (including gifts-in-kind) and raises a red flag (See Procedure Note) the gift will be subjected to a formal test of compliance by the Development and Alumni Office (DARO). Under the supervision of the Director of Development, the Prospect Research Officer will carry out a due diligence process which will involve seeking guidance and additional information as appropriate. The

Director of Development may also choose to engage external support as part of the due diligence process. The Director of Development will then make a recommendation to the Chair of the Ethics Committee who will respond by Chair's Action or refer the matter to members of the Ethics Committee for consideration by meeting, phone or e-mail.

Note – There will be an underlying expectation that, in most cases, decisions will be made at this stage (see Step 4 – Procedure Note)

In exceptional cases, the Chair may refer to the Deputy-Vice-Chancellor (hereafter DVC) for a decision under delegated authority. The DVC may refer the decision to the Executive who, in turn, may make a decision under delegated authority or refer the matter to Council for a final decision.

Responsibility for the acceptance and refusal of gifts rests ultimately with the Council of the University even where decision-making has been delegated.

Where concerns are raised under these ethical guidelines about a gift that has already been accepted by the University, a similar process of consideration and scrutiny will be followed to that set out above. This should help to determine whether it is appropriate to retain the gift, to return it to the donor or to take any other action in relation to the gift.

Due Diligence and Data Protection

When undertaking further research into potential donors the Development and Alumni Relations Office will ensure it is in compliance with the General Data Protection Regulations (2018) Data Protection Act (1998) and the Privacy and Electronic Communications Regulations (2003). We follow the advice given by the University Registrar and Secretary's Office to uphold these principles and ensure that DARO does not obtain, process, store or pass on data unlawfully.

DARO or any third party researcher commissioned by DARO for this purpose will:

- Have a clear understanding of what information is fair and relevant to the purpose it is being used for. For more guidance on the University's policies in this area please refer to the [Privacy Notice \(Students\)](#), [Data Protection Policy](#) and [Data Protection Guidelines](#).
- Inform people that we are processing their data at the point of collection (e.g. telephone), or within a reasonable period following collection depending on the circumstances (e.g. prospect research).
- Be honest and transparent with regard to our identity and the purpose for which we are requesting and recording information.

- Only record factual information, and avoid opinion except so far as it is necessary to document decision making. Be careful not to rely on personal prejudice and bias.
- Take into account the reliability of the sources of information used; and ensure that research when presented is accurate, relevant to its purpose and takes into account the age of the information.
- Only keep information for as long as is necessary.

Donor's Rights

1. All fundraising solicitations by, or on behalf of, the University of Hull 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 Hull
 - a copy of this Code of Practice
3. A donor's request to remain anonymous will be respected as far as is legally, practically and ethically possible.
4. The privacy of donors will be respected. Any donor records that are maintained by the University will be kept in accordance with the requirements of the Data Protection Act 1998. Donors have the right to see their own donor record, and to challenge its accuracy.
5. Donors and prospective donors will be treated with respect. Every effort will be made to honour their requests particularly in relation to solicitation.
6. 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 will attempt to satisfy the complainant's concerns in the first instance. A complainant who remains dissatisfied will be informed that he/she may refer their complaint in writing to the Vice-Chancellor of the University of Hull, who will arrange for it to be considered further.

Treatment of Donors – General Principles

Fundraising Practices

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

- be truthful
 - accurately describe the University's activities and the intended use of donated funds; and
 - respect the dignity and privacy of those who benefit from the University's activities
2. Volunteers, employees and others 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 all applicable professional codes of ethics and standards of practice
 - 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; and
 - not accept donations for purposes that are inconsistent with the University's objects or mission.
 3. Fundraising on behalf of the University may only be performed by people (staff, contractors, agents and volunteers) who have been specifically designated as such by the DVC who may delegate to Development and Alumni Relations on these matters.
 4. The University will not sell its donor list.

Accountability for Donations

1. 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.
2. A list of donors is available on request.

Legislation/ Regulation

The [Code of Fundraising Practice](#) developed by the [Fundraising Regulator](#) outlines the standards expected of all charitable fundraising organisations across the UK. The standards were originally developed by the fundraising community through the work of the Institute of Fundraising (IoF) and Public Fundraising Association (PFRA).

In 2015, a Review of Fundraising Regulation chaired by Sir Stuart Etherington recommended that responsibility for the Code be transferred to a new Fundraising

Regulator to safeguard the independence of fundraising regulation. The Code was transferred to the Fundraising Regulator at its launch on 7th July 2016. Decisions on changes to the Code are made by the Fundraising Regulator's Standards Committee in consultation with the fundraising community.

This policy takes into account the Code of Fundraising Practice and relevant legislation and regulation including

- The Charities Act 1992
- The Charities Act 2011
- The Data Protection Act 1998
- The General Data Protection Regulations 2018
- The Freedom of Information Act 2000
- The Bribery Act 2010
- The Finance Act 2011
- The Proceeds of Crime Act 2002
- The Terrorism Act 2000

This is not an exhaustive list, and different legal issues may apply depending on individual circumstances.