

GIFT ACCEPTANCE POLICY

1. POLICY STATEMENT

- 1.1 The University of Southampton is committed to seeking philanthropic support that supports its strategy to change the world for the better through its research and education, its innovation and enterprise.
- 1.2 The following policy will apply to all gifts offered to and accepted by the University.

2. OBJECTIVES OF THE POLICY

- 2.1 The University wishes to secure financial and other types of support that enable it to provide an outstanding education and university experience to students from all walks of life; to attract and retain high performing staff; to conduct world class research in excellent facilities; to accelerate and optimise the impact of its research for the benefit of society and the economy. In keeping with these objectives:
 - 2.1.1 a gift shall not be accepted unless it is compatible with the objectives listed above;
 - 2.1.2 a gift shall not be accepted if there are reasonable grounds for believing or there is evidence that the gift may be derived from activity that was or is illegal, fraudulent or arises from the evasion of taxation;
 - 2.1.3 a gift shall not be accepted if it restricts impartial independent research, scholarship or teaching;
 - 2.1.4 a gift shall not be accepted if there is evidence that its acceptance would require the University to undertake any action in contravention of legislation, common law and best practice; and
 - 2.1.5 a gift may not be accepted if, in the reasonable opinion of the Gift Acceptance Committee, an unacceptable conflict of interest would

be created, or acceptance would expose the University to financial or legal liability or to unacceptable adverse publicity or other reputational risk, or require unacceptable levels of additional expenditure or additional University resources.

3. THE POLICY

3.1 The University will accept unrestricted gifts and gifts for specific programmes and purposes provided that such gifts are consistent with the University's strategic aims and initiatives and are compatible with the terms of its Charter, Statutes, Ordinances, Regulations and Policies. Such gifts will be handled by the Office of Development and Alumni Relations as part of their normal activity in accordance with the University Financial Regulations, this Policy, the University Code of Practice for Soliciting Gifts and the Anti-Corruption, Fraud and Bribery Policy.

3.2 Prior to accepting any gift, in addition to considering clause 2.1 above, the Director of Development and Alumni Relations will also consider whether there are any restrictions imposed which

3.2.1 are inconsistent with the University's stated academic purposes and priorities;

3.2.2 may inhibit the University from seeking gifts from other donors

3.2.3 involve unlawful discrimination;

3.2.4 require the University to provide special consideration for admission for the donor or designate; or

3.2.5 require the University to deviate from its usual employment procedures.

3.3 In the case of potential gifts which may conflict with any or all of the above principles and guidelines the Director of Development and Alumni Relations shall refer such gifts to the Gift Acceptance Committee who will make a decision on acceptance, or otherwise, of the gift.

3.4 The Director of Development and Alumni Relations shall refer any other proposed gifts to the Gift Acceptance Committee at his or her discretion and will, in any event, make quarterly reports to the Chair of the Gift

Acceptance Committee on the nature and type of gift offered to, and received by the University in the preceding quarter.

3.5 The University will be transparent regarding the sources and purposes of gifts it receives. Where a donor wishes to remain anonymous, that request for anonymity will be respected.

3.6 The University will not accept any donations where the sources are unknown.

4. GIFT ACCEPTANCE COMMITTEE

4.1 The Gift Acceptance Committee shall consist of:

Vice-Chancellor or nominee (as Chair);

Registrar

Director of Finance;

Director of Development and Alumni Relations;

a member of Senate; and

a lay member of Council.

4.2 The Gift Acceptance Committee may meet in person, by telephone or e-mail.

4.3 Three of the six members of the Gift Acceptance Committee, including the Vice-Chancellor and the Director of Finance, shall constitute a quorum.

4.4 The Director of Development and Alumni Relations shall provide a report, including reasonable due diligence on the donor and/or the source of the funding in advance of any meeting.

February 2012

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CODE OF PRACTICE FOR THE SOLICITATION OF GIFTS

1. SOLICITATION OF GIFTS

1.1 Fundraising solicitations on behalf of the University of Southampton will:

1.1.1 be truthful; and

1.1.2 describe accurately the University's priorities; its strategic aims and the intended use of any gift.

1.2 All fundraising solicitations by or on behalf of the University of Southampton will disclose the University's name and the purpose for which the funds are requested, in whatever format or media they are transmitted.

1.3 Employees, volunteers or persons hired specifically to solicit funds for the University will

1.3.1 be advised of and adhere to the provisions of the Gift Acceptance Policy, this Code of Practice, the University Financial Regulations and the Anti-Corruption, Fraud and Bribery Policy;

1.3.2 act with transparency, fairness and integrity and in accordance with applicable laws;

1.3.3 adhere to the provision of applicable professional codes of ethics and standards of practice;

1.3.4 cease solicitation of a gift from a prospective donor on request;

1.3.5 disclose immediately to the Director of Development and Alumni Relations any potential, actual, perceived or alleged conflict of interest.

- 1.4 Paid fundraisers, whether staff or consultants will be compensated by a salary, retainer or fee and will not be paid finder's fees, commissions or other payments based on either the number of gifts received or the value of funds raised. Compensation, including performance based compensation, will be consistent with the University's policies and procedures for non-fundraising personnel.
- 1.5 The University will not sell or exchange personal details of donors.
- 1.6 The Director of Development and Alumni Relations will inform the Registrar no less than annually of the number, type and disposition of complaints received from donors or prospective donors

2. DEALINGS WITH DONORS

- 2.1 Gifts are accepted on the following understanding:
 - 2.1.1 **Academic Freedom:** the University of Southampton accepts gifts on the clear understanding that the donor cannot influence the academic freedom or the independence of the University.
 - 2.1.2 **Admissions:** the University of Southampton's selection criteria for admissions are based exclusively on academic achievement and potential and are independent of philanthropic support of the University. No gift will affect the academic record of any current or future student, nor will it have any bearing on any dispute between a student and the University.
- 2.2 Donors and prospective donors can expect:
 - 2.2.1 to be informed about the priorities and strategic aims of the University;
 - 2.2.2 that the University is able to fulfil the intended purpose of a gift;
 - 2.2.3 that a gift given for a specific purpose will be used for that purpose;
 - 2.2.4 that if there is a change in the priorities or needs of the University, or in the case of funding an academic position, a change in personnel, the use of any gift will be discussed with the donor or their representative;
 - 2.2.5 to be informed of the impact of their gift;

- 2.2.6 to have their gift acknowledged in a timely manner, and where appropriate to be recognised publically, in consultation with the University, or to remain anonymous if requested;
 - 2.2.7 to have their right to privacy respected and their personal information treated in compliance with the Data Protection Act 1998;
 - 2.2.8 to have their questions relating to their gift answered in a timely and honest manner; and
 - 2.2.9 to be provided promptly on request with copies of the University's most recent published financial statements.
- 2.2 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 professional fundraiser hired by the University.
- 2.3 Donors will be encouraged to seek independent advice if the University has any reason to believe that a proposed gift might affect the donor's financial position, taxable income, or relationship with other family members in a significant manner.
- 2.4 Donors' requests to remain anonymous will be respected as far as is legally, practically and ethically possible.
- 2.5 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.
- 2.6 Donors and prospective donors will be treated with respect. Every effort will be made to honour their requests to:
- 2.6.1 limit the frequency of solicitations;
 - 2.6.2 not be solicited by telephone or other technology;
 - 2.6.3 receive printed material concerning the University.
- 2.7 Donors accept that the management, and governance of programme and/or activities funded through philanthropy, rests solely with the University. Donors will, however, be provided with appropriate and commensurate opportunities for continuing engagement with the

programmes/activities that they have funded/are funding. The scope for this engagement will, in the case of significant gifts, be enshrined within a Gift Agreement (Value of £10,000+). Any wish by a donor to restrict who can benefit from a donation will be considered by the University in accordance with Charity Commission guidance to ensure compliance with the Equality Act 2010 ("the Act"). Where it is not possible to accommodate such wishes due to the provisions of the Act, the University will work with the donor to agree an alternative basis for the donation.

- 2.8 The University will respond promptly to a complaint by a donor or prospective donor about any matter that is addressed in the Gift Acceptance Policy or this code of practice. A designated member of the Office of Development and Alumni Relations will attempt to satisfy the complainant's concerns in the first instance. A complainant who remains dissatisfied may request in writing a review of their complaint by the Registrar of the University of Southampton, and will be advised of the outcome of this review.

February 2012