



# Fundraising Policy

Policy Volume	Support Services
Policy Chapter	Development & Alumni Policies
Responsible Division	Division of Communications and Advancement (DCA)
Responsible Director	Division of Communications and Advancement
Dates of First and Subsequent Council Approvals	1 January 2011 1 January 2013
Policy Approval Pathways (e.g. committee, Senex, Senate, Council)	Approval: Institutional Planning Committee (IPC), Budget Executive Committee (BEC), Finance and General Purposes Committee (F&GP), and Council. Noting: Faculty Boards, Senex, and Senate.
Revision History: Approved Reviews	1 January 2013; 19 September 2024
Review Cycle	3 years
Next Review Date	2027

## 1. POLICY PARTICULARS

1.1. Policy Title	Fundraising Policy
1.2. Policy Statement	At Rhodes University, fundraising is an institution-wide endeavour. Students, staff, and affiliated entities are encouraged to participate in facilitating support for the University. However, the DCA is the custodian for all University fundraising and coordinates the institutional fundraising effort. The Fundraising Policy guides fundraising activities to achieve success across the University.

1.3. Reason for Policy	Third-stream or donor-sourced funding is important to support the university's growth and activities. Institutional fundraising activities must be managed in a coordinated, professional, and responsible manner. This policy is designed to guide the University's fundraising activities by ensuring that prescribed, uniform standards apply to all official fundraising initiatives.
1.4. Policy Objective/s	<p>The Fundraising Policy provides a framework for coordinating all activities to obtain and increase third-stream income for the University, its project needs, and its strategic goals. Equally important is the need to ensure compliance with institutional standards for resource mobilisation. This policy has the following components as key objectives:</p> <p>1.4.1 All University fundraising is consistent and of a consistently high standard.</p> <p>1.4.2 Duplication of approaches and submissions is eliminated.</p> <p>1.4.3 Donors and sponsors are correctly recorded and acknowledged.</p> <p>1.4.4 A high level of coordination exists between all University and affiliated entities to ensure that the University appears and operates like one institution.</p> <p>1.4.5 All campaigns and appeals receive the support and endorsement of the University.</p> <p>1.4.6 That regular evaluation and reporting of fundraising activities takes place.</p> <p>1.4.7 Effective communication about the principles and protocols on which the University's fundraising activities are founded is enhanced.</p>
1.5. People affected by this Policy	This policy applies institution-wide to any activity raising funds on behalf of or using the University's name and brand identity.
1.6. Who should read this Policy	All staff, students, and affiliated entities of the University should read or be informed of this policy.
1.7. Custodian of this Policy	DCA
1.8. Website address/link for this Policy	<a href="https://www.ru.ac.za/media/rhodesuniversity/content/institutionalplanning/documents/policies/Fundraising_Policy.pdf">https://www.ru.ac.za/media/rhodesuniversity/content/institutionalplanning/documents/policies/Fundraising_Policy.pdf</a>

## 2. RELATED DOCUMENTS FORMS AND TOOLS

### 2.1 Relevant Legislation

<p>2.1.1 Rhodes University Statute (As published under Government Notice 15 March 2005)</p> <p>2.1.2 Income Tax Act, 1962</p> <p>2.1.3 Companies Act No. 71 of 2008</p> <p>2.1.4 Financial Sector Regulation Act No. 9 of 2017</p> <p>2.1.5 Non-Profit Organisation Act No. 71 of 1997: s 13(5)</p> <p>2.1.6 Tax Administration Act No. 28 of 2011</p> <p>2.1.7 SARS Interpretation Note No. 113 (dated March 2021)</p> <p>2.1.8 Higher Education Act, 1997 (Act No. 101 of 1997)</p> <p>2.1.9 Property Rights from Publicly Financed Research and Development Act (or IPR Act) 28 of 2013</p> <p>2.1.10 Promotion of Access to Information Act, Act 2 of 2000 (Section 14)</p> <p>2.1.11 Protection of Personal Information (PoPI) Act, No. 4 of 2013</p>
2.2 Related Policies
<p>2.2.1 Donor Recognition and Stewardship Policy</p> <p>2.2.2 <a href="#">Database Management Policy</a>,</p> <p>2.2.3 <a href="#">Guideline to the Rhodes University Purchase Order System</a>,</p> <p>2.2.4 <a href="#">Guidelines for Foreign Payment</a></p> <p>2.2.5 <a href="#">Policy on Naming Renaming Buildings, Facilities, Academic Units and Structures</a></p> <p>2.2.6 <a href="#">Web Policy</a></p> <p>2.2.7 <a href="#">Acceptable Use Policy Including Network Policy and Password Policy</a></p> <p>2.2.8 <a href="#">Procurement Policy</a></p>
2.3 Related Protocols
Activations, Marketing, Communication, and advertising regulations/protocols
2.4 Forms and Tools
<p>2.4.1 Project Authorization Form</p> <p>2.4.2 Fundraising Process Chart</p> <p>2.4.3 Student Fundraising Form</p>

### 3. POLICY DEFINITIONS

No	TERM	DEFINITION
3.1	Donors	Individuals, corporations, philanthropic foundations and Trusts, associations or any other entities that provide support for University projects and programmes. Specifically excluded for the purposes of this policy is income received from statutory bodies, fee-payers, and research grant-makers, e.g. NRF.
3.2	Fundraising	Actions to obtain donations and mobilise resources for stated fundraising needs of Rhodes University, undertaken either by the DCA or by employees, students or stakeholders of the University under this policy

3.3	Third Stream Income	Third-stream income encompasses all funds derived from sources other than public subsidies and student fees, including donations, research grants, consultancy, technology transfer income, research chairs, sponsorships, advertising, conferences, vacation accommodation, and investment interest. This income comprises two types: Council-controlled/unencumbered funds, which are freely available for the institution to allocate at its discretion (e.g., investment interest, vacation accommodation income), and Earmarked/ring-fenced, which is designated for specific purposes or projects and must be used according to donor or contract conditions (e.g., research grants, project-specific donations).
3.4	Donations	Donations may take several forms, including: 3.4.1 Bequests 3.4.2 Bonds, shares, and other securities 3.4.3 Cash 3.4.4 Gifts in Kind 3.4.5 Proceeds from life insurance policies 3.4.6 Real estate
3.5	Stewardship	The ongoing cultivation and maintenance of the relationship between the University and the donor or potential donor.
3.6	Stewardship Policy	Acknowledgement of contributions made by donors to the University according to institutional standards defined in the Donor Recognition and Stewardship Policy.
3.7	Sponsorships	Sponsorships are funds received from corporate sources that attract advertising and publicity rights in return. They originate from companies' marketing budgets and may not form part of their Corporate Social Investment (CSI) programmes. As a marketing return is often expected from sponsorship contributions, the DCA manages the relationship between sponsors and the University.
3.8	Priority Projects	Priority projects are essential institutional fundraising initiatives identified based on the Institutional Development Plan 2023-2028. The DCA will coordinate, plan, and facilitate these projects and fundraising initiatives, ensuring they receive focused attention.
3.9	Projects	Projects that support the academic functions within a faculty, institute, or under CHERTL or SARChI Chairs that may be ongoing or identified as such from time to time as part of the entity's programme.
3.10	Project leader	Grant recipient or any person who is responsible for fundraising activity within a faculty, affiliated institute, CHERTL and SARChI

3.10	Tax Deductibility	<p>Where applicable, tax certificates may be issued as follows:</p> <p>3.10.1 Donations originating from South Africa that qualify for tax deductibility will be issued a tax certificate by the DCA in terms of Section 18A of the Income Tax Act.</p> <p>3.10.2 Donations originating from South Africa may be subject to the Value Added Tax Act, and as such, at the commencement of discussions and before the finalisation of negotiations, the CFO may be consulted to allow for the determination of tax and VAT implications.</p> <p>3.10.3 Donations originating in foreign countries will be routed through a registered organisation with the necessary expertise. That organisation issues tax certificates.</p>
3.11	Excluded Gifts and Revenue	<p>3.11.1 Token gifts, such as small, branded items like pens or notepads, with a total value under R1000.</p> <p>3.11.2 Non-strategic gifts and revenue, such as sponsorships and advertisement revenue or gifts with no strategic institutional benefit, do not contribute to the university's fundraising goals.</p> <p>3.11.3 Symbolic gifts such as certificates or awards providing no practical financial or operational benefits or resources for the University.</p>

#### 4. PRINCIPLES GOVERNING THIS POLICY

4.1. SCOPE
<p>University community members must follow the rules and guidelines in this document to ensure a robust Rhodes University fundraising programme consistent with the University's sustainability strategy. The guidelines outlined in this policy apply to the activities of any Dean, CHERTL, SARChI Chair, Director, Chairperson, Faculty or staff member, student group, and affiliated entities who undertake any fundraising or solicitation of contributions in the name of the University from alumni, businesses, organisations, associations, foundations, parents and friends of the University, or who seeks to establish a fundraising programme or campaign.</p>
4.2. PRINCIPLES
<p>4.2.1 All contractual obligations (contracts, agreements, etc.) relating to donor funds must be signed by the Vice-Chancellor or his/her nominee.</p> <p>4.2.2 Fundraising activities on campus by faculties, departments, divisions, units, centres and affiliated entities trading in Rhodes University's name should be done by completing the 'Project Authorization Form' for approval of the Director of the DCA.</p> <p>4.2.3 Student organisations, societies, clubs, and halls that are fundraising on campus should obtain the approval of the Director of the Division of Student Services and Development.</p> <p>4.2.4 Heads of responsible entities must inform the DCA of the solicitation of individuals, corporations, foundations, government agencies, or constituent groups through the customer relationship management system (CRM) to ensure the effective coordination of the University's fundraising efforts.</p> <p>4.2.5 Compliance with donor requirements must always be adhered to by donation recipients according to the Gift Acceptance and Stewardship Policy of Rhodes University.</p> <p>4.2.6 Entity heads must assess the impact of discounts on the policy and procurement process, as applicable. The designated Delegated Authority will consider discounts as part of the exempted categories and must review them to ensure no conflicts of interest arise.</p>

## 5. DIRECTIVES FOR IMPLEMENTING THIS POLICY

### 5.1 OVERVIEW

5.1.1 The DCA must provide advice and support as necessary and applicable on issues such as proposal writing, prospect research, sponsorship ideas, and fundraising activity coordination.

5.1.2 All fundraising activities shall conform to established University rules and policies, including the Donor recognition and Stewardship Policy, and within the University's vision and mission.

5.1.3 All plans to solicit financial support or in-kind gifts for student programmes or to conduct fundraising for student organisations must first receive approval from the Director of the Division of Student Services and Development.

5.1.4 This applies to solicitations from alumni, parents, friends, foundations, businesses, corporations, organisations, and associations and includes raffles, the sale of products and services, and similar fundraising activities. Plans approved at this level must be submitted to the DCA for final approval.

5.1.5 Any literature, including brochures, booklets, proposals and letters used to attract private funds to Rhodes University, shall comply with the institutional brand guidelines and maintain a quality standard on all solicitation materials.

5.1.6

All interactions with donors must be captured on the CRM for up-to-date management of each donor. In addition, all ongoing negotiations or discussions between the prospective donor and the project leader must be reported on the CRM.

5.1.7

All gifts shall be processed and acknowledged in writing promptly and appropriately as prescribed in the Stewardship Policy.

5.1.8

All gifts from alumni, businesses, organisations, associations, foundations, parents or friends must be processed and recorded on the CRM.

## 6. ROLES AND RESPONSIBILITIES

The Vice-Chancellor (VC) delegates the mandate for coordination and management of all third-stream income of the University to the Division of Communications and Advancement (DCA), except for research funding. The VC delegates the mandate for coordination and management of all University research funding activities to the Deputy Vice-Chancellor: Research, Innovation, and Strategic Partnerships. The DCA and the Research Office must work closely at an operational level to ensure the coordination of activities. Grant recipients are responsible for administering their grants, including compliance with donor requirements and institutional policies. At a structured level, both offices will report on fundraising activities to the VC/IPC.

Role	Responsibility
6.1. Division of Communications and Advancement	<p>6.1.1 Coordination of the fundraising process on behalf of the University</p> <p>6.1.2 Preparation and presentation of fundraising strategies for key projects.</p> <p>6.1.3 Securing donor support for key priority and core projects.</p> <p>6.1.4 Reporting to relevant committees.</p> <p>6.1.5 Providing assistance, guidance and appropriate systems to support fundraising activities.</p> <p>6.1.6 Facilitation and management of donor relationships, including preparation, implementation, and review of the stewardship practices.</p> <p>6.1.7 Facilitate the recording of all engagements with University donors on the CRM.</p>
6.2 Research Office	Responsibility
	<p>6.2.1 Coordination of research funding needs for the University</p> <p>6.2.2 Maintaining a current database of donors.</p> <p>6.2.3 Managing a comprehensive national and international database of potential donors.</p> <p>6.2.4 Providing appropriate recognition to donors.</p> <p>6.2.5 Securing funding support for research needs.</p>
	<p>6.2.6 Facilitation and management of grantor relationships</p> <p>6.2.7 Reporting to identify specifically to ensure uniformity, coordination and sharing.</p> <p>6.2.8 Recording all engagements with research donors on the central database.</p>
6.3 Finance Division	Responsibility
	<p>6.3.1 Provision and management of appropriate financial controls.</p> <p>6.3.2 Developing customised accounting instruments for all donor funding to Rhodes University</p> <p>6.3.3 Reporting for all third-stream income through the accounting information system (AIS) monthly and quarterly.</p>
6.4 Institutional Planning Committee	Responsibility
	<p>6.4.1 Review of all projects requiring funding support</p> <p>6.4.2 Grading of projects (assignment of priority to each project)</p> <p>6.4.3 Review of fundraising plans and resource requests</p> <p>6.4.4 Review of progress</p> <p>6.4.5 Considering ethical issues relating to the acceptance and use of donations</p>
6.5 Deans/ Directors of affiliated entities/CHERTL HOD/SARChI Chairs	<p>6.5.1 Coordinating fundraising activities within their respective faculties and institutes in alignment with the University's overall fundraising strategy.</p> <p>6.5.2 Ensuring that all fundraising initiatives comply with the Fundraising Policy.</p> <p>6.5.3 Facilitating communication between their faculties/institutes and the DCA to avoid duplication of efforts and ensure consistency.</p>

## 7. CONTACTS

Area of Concern	Division Faculty Department	Telephone	Email
The DCA aligns all its activities to the Institutional Development Plan (IDP), based on the principles of Advancement and Project Management, within the Funding Cycle and Effective Communication	Director: DCA	0466038514	DCADirector@ru.ac.za
The Development Unit facilitates third-stream income generation from all donors (individual, Government, Corporate, Foundations, Trusts and others).	Manager: Development & Fundraising	0466037022	development@ru.ac.za
The Alumni Relations & Stakeholder Unit facilitates all stakeholder engagement and third-stream income generation from all individual donors, including Alumni and Old Rhodians. This includes Reunions and related events.	Manager: Alumni Relations & Stakeholders	0466038516	alumni@ru.ac.za

## 8. POLICY REVIEW PROCEDURE

Rhodes University acknowledges that a policy of this nature may not anticipate every possible issue that may arise regarding fundraising activities. As a result, the University reserves the right to modify this policy as deemed fit from time to time. The next ordinary review of this policy is set for 2027. The review process shall be as follows:

The Director of Communication and Advancement will send a notice to the IPC notifying them of the upcoming policy review.

A notice will be sent to the University Community for policy amendment submissions.

Proposed amendments are tabled to the IPC for consideration.

Amendments are then sent to the Faculty Boards for noting.

Amendments are forwarded to the Budget Executive for review.

After the Budget Executive review, amendments are sent to the Finance and General Purposes committee.

Proposed amendments are then sent to the Senate.

Finally, the amendments are presented to Council for approval.

Note: The approval pathway includes the Institutional Planning Committee (IPC), Budget Executive Committee (BEC), Finance and General Purposes Committee (F&GP), and Council. For noting, amendments will be served at Faculty Boards, Senex, and Senate.



## 9. POLICY CONTEXT: RELEVANT DOCUMENTS CITED/CONSULTED/ADOPTED

1	Rhodes University Statute (As published under Government Notice 15 March 2005)
2	SARS Interpretation Note No. 113 (dated March 2021)
3	Institutional Development Plan 2023-2028

## LIST OF APPENDICES

1. Appendix A: Donor Recognition Chart
2. Appendix B: Student Fundraising Form
3. Appendix C: Project Authorization Form
4. Appendix D: Fundraising Process Chart