

AU Fundraising Policy and Guidelines

Policy Owner	Director of Office of Development and Alumni Affairs	Responsible Office	Office of Advancement
Approved By	Chancellor	Effective Date	July 2024
		Next Review Date	July 2027

Section 1.01 Rationale:

Ajman University (AU) prioritizes fund diversification in its strategic development as it transitions to a non-profit status, particularly lessening its dependence on tuition revenues through generating alternative revenue stream through fundraising. The Fundraising Policy establishes standards and guidelines for all fundraising activities, ensuring they align with the University's educational mission, and donor requirements. It outlines appropriate methods to recognize and celebrate donor generosity while ensuring that all funds are properly credited, deposited, and administered. Donations will be promptly acknowledged, and all activities will be regulated to uphold the University's values. This demonstrates a commitment to transparency and accountability in fundraising efforts.

Section 1.02 Objectives:

This Policy ensures that all fundraising activities at Ajman University (AU) are executed appropriately and sustainably, with consultation and authorization from the relevant constituencies. It supports AU's mission and strategic goals by enhancing the University's status among its stakeholders, including faculty, staff, students, alumni, and partners. The Policy aims to coordinate fundraising efforts to align donor interests with AU's priorities, maximizing giving potential and preserving AU's credibility. The generosity of the Board of Trustees, alumni, parents, students, friends, corporations, foundations, and other supporters is vital to AU's mission and strategic development.

Core values:

All fundraising activities at AU are in line with its core values:

- Integrity: all fundraising will adhere to a strict code of ethics that ensures full transparency of processes, endeavors and activities.
- Innovation: fundraising activities will use innovative methods and processes.
- Inclusiveness: embracing and overcoming the complexity of fundraising and donor diversity through high resilience.
- Excellence: our belief in the value of what we do will be an inexhaustible source of our determination to achieve our desired goals and meet our targets in line with best practices and high quality standards.

Section 1.03 Authority and Responsibilities

The Chancellor

The Chancellor is the principal fundraiser for the University.

The office of Advancement and Alumni Affairs

The Office of Advancement and Alumni Affairs (OAAA) oversees all fundraising activities at Ajman University. Led by the Director for Advancement and Alumni Affairs, who directly reports to the Chancellor, the Office develops and executes plans to meet the University's donation goals. The Director coordinates fundraising efforts across the University with various stakeholders, including deans, faculty staff, students, alumni, and partners, ensuring all development activities are unified and effectively managed. University-wide cooperation is essential to maximize fundraising potential. Efforts must be collaborative to prioritize fundraising efforts to achieve the University's strategic fundraising goals.

The OAAA will:

1. Support University employees in recognizing, cultivating, soliciting, and stewarding contributions.
2. Coordinate fundraising efforts to align with University priorities and take advantage of opportunities, in consultation with administration and academic units.
3. Identify funding sources and strategies for high-priority goals and keep all relevant parties informed of progress.
4. Record and acknowledge gifts promptly and notify the Office of the Director of Finance and pertinent academic units.
5. Assist donors in reallocating their contributions if their initial purpose has already been funded and evaluate potential gifts-in-kind appropriately.

When a major financial goal is identified as a priority, the OAAA, in consultation with the Chancellor, can designate it as such. A campus-wide fundraising agenda incorporating these priorities fosters seamless collaboration between the OAAA and academic units. This strategic alignment ensures a cohesive approach, driving the institution toward its advancement goals through strong, collective efforts and clear coordination.

Donor Relations:

Ajman University ensures that all donations are promptly and accurately acknowledged, reassuring donors that their contributions are appreciated and utilized as intended. Donors are honored through various personalized recognitions, such as campus visits, personalized thank-you letters, and special invitations, demonstrating the University's gratitude and appreciation of their support. To maintain transparency and trust, regular updates on fund performance and the impact of donations are provided to donors. Annual endowment reports are sent to those with endowed accounts, while contributors to financial aid and scholarships receive information about the students who have benefited from their generosity.

Deans/Directors/Managers (when applicable)

Deans, Directors, and Managers are essential in building strong relationships with stakeholders, playing a crucial role in introducing potential donors to the Office of Advancement and Alumni Affairs.

Approaching donors is not allowed unless approved by the Chancellor and must be coordinated with the OAAA.

The primary responsibility of the deans in fundraising is to create an environment within their colleges that attracts significant philanthropic investments and to assist in solicitation efforts. The Chancellor supports the Deans throughout this process, helping to define compelling cases for support and identifying programs and projects that align with AU's and the College's strategic goals.

The Chancellor's guidance also includes clarifying the deans' roles in various fundraising activities, such as cultivation, solicitation, major gift initiatives, and exploring innovative models for fundraising and volunteer management. This collaborative approach ensures that fundraising efforts are coordinated, effective, and aligned with the University's mission and core values.

Section 1.04 Gift Policies and Procedures

AU will accept gifts of various kinds, solicited and unsolicited, and will aim to apply its core value of integrity in the solicitation, acceptance and handling of all gifts made to the University.

Fundraising Campaigns

Fundraising campaigns, in line with AU strategic priorities, will be undertaken by the Office of Advancement and Alumni Affairs, as authorized by the Chancellor. The campaigns can mobilize any other College/Office to assist at any stage.

Major campaigns that align with AU strategic priorities require support from AU Cabinet. These will require mobilization at the highest level, depending on the size of the campaign and on the fundraising target.

Gift Solicitation

Ajman University (AU) encourages faculty, staff, and administrators to propose innovative projects and identify potential donors. Faculty members should discuss their ideas with their respective deans, while staff should consult with their line manager. These ideas, once endorsed by the administration, will be forwarded to the Office of Advancement and Alumni Affairs (OAAA) for further discussion with the Chancellor.

The OAAA serves as the central hub for evaluating and processing such proposals. It plays a crucial role in assessing the feasibility of proposed projects, coordinating the proposal-writing efforts, researching potential funding sources, and managing the solicitation of funds. This structured approach ensures that all initiatives align with AU's strategic objectives and have the best chance of securing the necessary support.

Gift solicitation at Ajman University (AU) is managed through the Office of Advancement and Alumni Affairs, which undertakes the following key functions:

1. Define Priorities: Establish and promote AU's fundraising priorities.
2. Set Fundraising Strategy: Develop an overarching strategy to identify prospective donors, understand their interests, and assess cultivation opportunities.
3. Collaborate with Leadership: Work closely with Board of Trustees members and AU officers to cultivate and solicit both current and prospective donors.

4. **Ensure Policy Adherence:** Ensure that all AU officers support the fundraising process appropriately and comply with established policies.
5. **Steward Donors:** Oversee the responsible use and impact of charitable gifts and maintain strong relationships with donors.

The Advancement Office and Alumni Affairs develops a general fundraising strategy in consultation with relevant stakeholders. All members of the AU community are expected to provide logistical, consultative, and personal network support to accurately assess potential donors and tailor solicitation approaches to their individual interests and aspirations.

Gift Acceptance

To ensure successful fundraising at Ajman University (AU) with individuals, corporations, foundations, and occasionally governments, all members of the University must adhere to the following gift acceptance procedure:

1. **Approval of Gift Requests:** The Chancellor must approve all requests, submitted in writing, for monetary donations for unrestricted or restricted gifts or gifts-in-kind from individuals, corporations, or foundations.
2. **Written Gift Agreements:** All written gift agreements with donors must be approved by the Chancellor in consultation with the OAAA.
3. **Solicitation Letters:** All letters soliciting funding must be reviewed and approved by the Chancellor.
4. **Documentation of Correspondence:** Copies of all correspondence or reports from meetings or conversations with potential donors or institutional funders must be filed with the OAAA before initiating formal gift requests (Faculty research funds secured independently through appropriate foundations and agencies are exempted from this requirement and are addressed separately in the External Funded Research Grants Policy).
5. **Directing Donation Leads:** Any information or leads about potential donations should be forwarded to the OAAA.
6. **Donor Anonymity:** If a donor requests anonymity and it is approved by the Chancellor, it will be honored.
7. **Gift Notification:** Notification of all gifts for University programs and projects must be sent to the OAAA for documentation and acknowledgment. (Faculty research grant funds secured independently through appropriate foundations and agencies are exempted from this requirement).

Ajman University follows strict guidelines for accepting new commitments, which can only be authorized by the Chancellor. To protect the interests of the University and its donors, the following key points must be observed:

- **Alignment with Mission:** Contributions must support AU's mission and comply with UAE laws and public policies.
- **Ethical Standards:** AU will only accept gifts that are ethical and consistent with its mission, goals, core values and applicable laws, policies, rules, and regulations.

Before accepting any gift, Ajman University evaluates potential donations based on the following criteria to ensure alignment with its mission and core values:

- **Resource Requirements:** Assess whether the gift necessitates expenditures of AU resources that are unacceptable, unavailable, or inadequately allocated, or that might be needed for other institutional purposes.
- **Reputational Risk:** Evaluate if the gift exposes AU to undue adverse publicity, reputational risk, or significant controversy that could undermine the University's educational mission.
- **Impact on Other Donations:** Determine whether accepting the gift inhibits AU from seeking additional gifts from other donors.
- **Unlawful Discrimination:** Ensure that the gift does not involve any form of unlawful discrimination.
- **Binding Terms:** Review if the gift includes binding terms that unethically influence hiring, promotion, contracting, or admission processes at AU.
- **Peripheral Purposes:** Consider if the donation is restricted to purposes or programs that are not central to AU's core objectives or that would divert resources and focus from primary initiatives.
- **Academic Freedom:** Confirm that the gift does not impose conditions limiting the University's academic freedom.

AU has the right to decline any donation if any of the above criteria is not met.

Gift Types and Ways to Utilize

Ajman University accepts various types of donations from donors, adhering to this Policy and applicable procedures:

- **Cash Donations:** Contributions can be made in the form of currency, checks, bank transfers, or credit card payments.
- **Gifts-in-Kind:** These include real estate, contingent upon a site visit and approval by the Chancellor or their designee. AU also accepts personal property such as artwork, collections, and equipment, with an independent expert's valuation serving as the official value of the gift.
- **Securities:** Securities can be accepted, provided they are reviewed by the Chancellor and the Vice Chancellor for Financial and Administrative Affairs to ensure they do not pose undue risk to AU.
- **Pledges:** Commitments to donate a specified amount within a fixed schedule. Pledges with naming opportunities must be fulfilled within five years, with exceptions requiring the Chancellor's approval after consulting with the Chancellor's Cabinet.

Note:

- Real property and securities may be accepted with the intent to sell them for AU's benefit, or they may be retained if deemed useful.
- Some gifts or unique circumstances may require individual review by the Chancellor and might not be covered by this Policy.

Donors can specify how their contributions should be used to best support AU's mission. Donations are categorized as:

1. **Unrestricted Gifts:** These are allocated by donors for general purposes without creating a legal obligation, or left to AU's discretion. These funds are used where needed most and must be spent within the fiscal year they are received.
2. **Restricted Gifts:** Contributions with specific donor-imposed conditions, creating a legal obligation to use the funds as specified. These terms must be clearly documented and reviewed by the Office of Advancement and Alumni Affairs (OAAA) to ensure they do not diminish the gift's utility. Complex restrictions are referred to the Chancellor for approval. If a gift's conditions are deemed unsuitable, the donor will be asked to amend them; otherwise, the gift will be declined.

Restricted gifts are further divided into:

- **Annual Restricted Gifts:** Contributions with donor-imposed restrictions to be used within the same fiscal year they are received.
- **Endowed Restricted Gifts:** Donations to establish permanent funds, where the principal remains intact and only the investment proceeds are distributed annually according to donor restrictions. For endowed scholarships, AU will match the proceeds as part of its contribution to society and future generations.

Gift Acknowledgement

Ajman University ensures that all donations are promptly and accurately processed and acknowledged in writing in a manner that aligns with this policy, promoting transparency regarding the source and purpose

of received gifts. The Chancellor and the Office of Advancement and Alumni Affairs (OAAA) are responsible for sending timely thank-you letters on behalf of the University. When a donation is received by any department, it must immediately forward all relevant information to OAAA for processing. This information should include:

- Donor's name and address
- Description of the donation, including any restrictions
- Date of the donation
- Exact value of the donation

To maintain proper records and acknowledgments, OAAA must be notified of any gift as soon as it is received. All donations, regardless of their source and value, must be recorded and processed by OAAA.

Key Points:

- Receipting donations: OAAA is the only office authorized to issue gift receipts in collaboration with the Office of Finance.
- Written Acknowledgment: OAAA handles all acknowledgment letters. Donations of AED 300,000 or more are acknowledged by the Chancellor, while smaller gifts are acknowledged by OAAA.
- If additional appreciation notes are deemed necessary by Cabinet members, Deans, or others, they must coordinate with OAAA to send them following the official acknowledgment letter.

Gift Entry and Recording

Monetary Donations/Pledges:

All new monetary donations or pledges must be promptly reported by the Office of Advancement and Alumni Affairs to the Director of the Office of Finance.

In-Kind Donations:

In-kind donations, including tangible and intangible items such as real estate, equipment, art, antiques, rare books, and copyrights, must be immediately reported by the Office of Advancement and Alumni Affairs to the Director of Finance. These donations must be accurately recorded in the University's accounting system.

Disposing of In-Kind Donations

Occasionally, items donated to Ajman University may lose their utility. In such cases, these items might be sold, traded, or otherwise disposed of to acquire assets that better serve the original donation's purpose and intent.

AU is legally obligated to adhere to the terms and conditions set by the donor before disposing of any donated property. Thus, it is essential to review the original donation terms to ensure there are no explicit or implied restrictions against disposing of the property. If no such restrictions exist, the disposal can proceed in accordance with the University's established asset disposal policy. Real property donations can only be disposed of through direct action by the Board of Trustees.

Section 1.05 Donor Policies and Procedures

Donor Recognition

AU shows appreciation for contributions through a structured donor recognition program, which includes both formal and informal, personal and public acknowledgments.

Unified Donor Recognition:

- Contributions from individuals, corporations, foundations, and selected government entities are acknowledged as coming from a single donor.
- When a donation is received from a corporation or government agency made up of multiple individuals, recognition is attributed to the organization rather than the individuals, unless otherwise specified in the gift agreement.
- Donations received in full are acknowledged for the total amount received, while pledges over time are recognized according to an agreement between the donor and the University.

Methods of Recognition:

1. Donor Recognition Events:

- Agreement Signing/Cheque delivery Ceremonies: These events, typically hosted by the Chancellor, involve signing the gift agreement and presenting the cheque. Internal stakeholders and guests from the donor's side are invited.
- Dedication Ceremonies for Naming Opportunities: These ceremonies honor donors who contribute towards naming opportunities. They include signing an agreement and presenting the cheque, followed by a dedication ceremony attended by internal stakeholders and guests from the donor's side.

2. Donor Recognition in AU Publications/Media:

- Profiling Donors: Major and annual donors are recognized through articles or quotes in AU brochures, on the AU website, and the OAAA giving website if donor accepts.
- Listing Donors: Donors are listed in the AU Contributors Report, further acknowledging their support.

Donor Anonymity: Recognition Internal Procedures

Respecting donor anonymity within Ajman University is crucial for maintaining trust and honoring donor preferences. To uphold confidentiality throughout the process, AU adheres to the following procedures: a specific individual is designated to manage anonymous donations, ensuring a consistent point of contact. Secure protocols are established for handling these donations, protecting donor anonymity at all stages. Access to donor information is restricted to select officers within the Office of Advancement and Alumni Affairs, all of whom must sign non-disclosure agreements to ensure confidentiality. Donor records are maintained securely and confidentially, and AU strictly adheres to all relevant legal requirements to protect donor information and uphold the highest standards of confidentiality.

Named Gift Opportunities Recognition

Naming opportunities at Ajman University represent the highest form of public acknowledgment, celebrating the generosity of donors who significantly contribute to the University's mission. The background, character,

and reputation of the person or entity for whom a facility is to be named must align with AU's values and mission.

The Chancellor, often upon recommendation from the Office of Advancement and Alumni Affairs (OAAA) and with the final approval of the Board of Trustees, is the only authorized to approve named gift opportunities, such as endowed funds and physical entities. Discussions to secure such gifts are to be conducted exclusively by the Chancellor or his designee, along with OAAA. Internal AU stakeholders approached by potential donors must consult with OAAA before making any commitments on behalf of AU.

OAAA is responsible for keeping donors informed about the use of their named gifts. No AU officer, employee, or volunteer may promise or imply that a gift will result in favorable treatment. At least 50% of the total gift amount must be received before the naming takes effect.

Named gift opportunities include, but are not limited to:

1. Naming a Physical Entity on Campus:

- This involves recognizing donors who provide financial support meeting AU's minimum gift requirements. Such entities include buildings, classrooms, laboratories, lounges, and conference rooms. Requests must be submitted by OAAA to the Chancellor for approval.

2. Naming an Academic Opportunity:

- This involves recognizing donors who support colleges, departments/programs, research centers, or chairs/professorships, meeting AU's minimum gift requirements. Requests must be submitted by OAAA to the Chancellor for approval.

3. Naming an Annual Scholarship Fund:

- This involves providing annual financial assistance to AU students through donations that meet AU's minimum gift requirements. OAAA is responsible for establishing these funds and agreeing with the donor on clear distribution restrictions.

4. Naming an Endowed Scholarship Fund:

- This involves creating sustainable financial assistance for AU students through donations that meet AU's minimum gift requirements. OAAA pursues the establishment of these funds and agrees with the donor on clear distribution restrictions.

Terms for Named Gift Opportunities

Named gift opportunities at Ajman University (AU) are subject to the following conditions:

1. **University Review:** Each naming opportunity undergoes a comprehensive due diligence review of the donor and the honoree to assess any implications for AU.
2. **Permanence of Name:** The naming of spaces and facilities is intended to last for the lifetime of the specific entity or facility. If the purpose of the physical space changes significantly, or if the space is no longer needed or habitable, the Chancellor, in consultation with the donor if possible, will find a suitable way to continue recognizing the donor's contribution.
3. **Name Removal:** Naming opportunities are reserved for individuals, corporations, foundations, or associations that demonstrate integrity, character, and leadership in line with AU's values. AU reserves the right to remove a donor's name if these attributes are not maintained or if the donor fails to fulfill their pledge.

4. Name Selection: Donors have the privilege of choosing the name associated with the space or entity, subject to AU's approval. Named gifts may honor the donor, their family members, colleagues, favorite professors, firms, or other deserving individuals or organizations.
5. Honorific Naming: Spaces or facilities will not be named strictly for honorific purposes without fundraising, unless otherwise decided by the Board of Trustees.

Stewardship

The OAAA at Ajman University is tasked with ensuring proper stewardship of donors. Stewardship activities aim to connect donors with the outcomes of their philanthropic contributions, showcasing AU's fiscal accountability in using gifts as intended by donors. This is primarily achieved through narrative and financial reports detailing the impact and usage of the donations.

Stewardship involves providing donors with comprehensive reports on their endowment fund contributions. These reports include information on the performance of the AU fund, the fund's establishment date, disbursement amounts, distribution criteria, date of the last payment, the fund's financial status, and details about the beneficiaries.

OAAA is responsible for ensuring donors receive these reports through diligent follow-up and communication. This process helps maintain transparency and reinforces the donor's trust in the University's management of their contributions.

Donor Bill of Rights

AU has adopted and adapted the AFP, Association of Fundraising Professionals, Donor Bill of Rights, as follows:

Donors have the right:

- To be informed of AU's mission, and to be reassured of the University's capacity to use donations effectively for the declared intended purposes.
- To be assured their gifts will be used for the purposes for which they were given.
- To receive appropriate acknowledgement and recognition.
- To be assured that information about their donation is handled with respect and with confidentiality, as per any prior agreement.
- To expect that all relationships with individuals representing AU with the donor will be professional.
- To have the opportunity for their names to be deleted from shared databases.
- To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

Special Situation

If, at any point, the Endowment cannot be effectively or practically utilized for its intended purposes as outlined in the Agreement, or if those purposes cannot be reasonably achieved, Ajman University may redirect the Endowment towards another purpose that closely aligns with the Contributor's original objectives.

Should the purposes of the Endowment become illegal or present a reputational risk to AU, the University reserves the right to discontinue the Endowment, amend the terms of the Agreement, or terminate the Agreement altogether.

AU will make every effort to inform the Contributor or their heirs or representatives of any such changes before they are implemented, ensuring clear communication and transparency.

Section 1.06 Compliance

Fundraising at Ajman University shall apply the highest level of compliance to the legal framework for fundraising activity as applicable to UAE organizations and, in particular, higher education institutions.

UAE Legal Framework

All gifts or donations made to the University will be processed by the Office of Advancement and Alumni Affairs and shall be submitted by the Chancellor to the Chairman of the Executive Committee of the Board of Trustees for ratification.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	11/10/2017	Initial policy draft	Development Director
V 1.1	07/02/2018	Final Approved Policy	VCAC
V1.2	05/09/2021	General updates approved by the Chancellor	Executive Director, Office of Development and Alumni Affairs
V1.3	22/5/2024	General updates to reflect AU's new status as a non-profit institution.	Acting Director