



RHODES UNIVERSITY

Grahamstown • 6140 • South Africa

Donor Recognition and Stewardship Policy

Policy Volume	
Policy Chapter	
Responsible Committee/Unit/Division/Faculty	Communications and Advancement Division (DCA)
Responsible Chairperson/Director/Manager	Director: Communications & Advancement Division (DCA)
Dates of First and Subsequent Council Approvals	1 st January 2003 1 st January 2013 11 June 2020
Policy Approval Pathways (e.g. committee, Senex, Senate, Council)	Institutional Planning Committee (or as delegated)
Revision History: Approved Reviews	
Review Cycle (e.g. every 2/5/7 years etc)	3 years
Next Review Date	2022

1. POLICY PARTICULARS

1.1. Policy Title	Donor Recognition and Stewardship Policy
1.2. Policy Statement	<p>This policy should be read and implemented in conjunction with the Fundraising Policy, as well as other related Rhodes University (University) policies and governance directives.</p> <p>Rhodes University recognises the importance of acknowledging the generosity of donors for their support of the University.</p> <p>Effective donor relations management through recognition and proper stewardship can also encourage additional gifts and prompt others to contribute or continue their support.</p>
1.3. Reason for Policy	<p>To uphold the values of the University and to protect its integrity in its dealings with the donor communities. This policy contains procedures to ensure a transparent, coordinated and equitable process for accepting current and future gifts, ensuring the wishes of donors are respected.</p> <p>The University reserves the right to not accept any gifts that may include, but are not limited to:</p> <ul style="list-style-type: none"> 1.3.1 Gifts from donors who do not share the vision, mission and the values of the University. 1.3.2 Gifts that hurt or could potentially hurt the reputation of the University including gifts that are inappropriate. 1.3.3 Gifts that are very difficult, impossible or perilous to administer. 1.3.4 Gifts that create risks for beneficiaries, the University, its staff and/or students. 1.3.5 Gifts that have not been approved in accordance with this policy.
1.4. Policy Objective/s	<p>This policy has as its purpose to:</p> <ul style="list-style-type: none"> 1.4.1 Ensure proper management and professional administration of institutional donor relations. 1.4.2 Uphold a standard of accountability that illustrates to donors how their contributions assist the University in achieving its objectives and goals. 1.4.3 Develop consistent approach for donor recognition and stewardship within a co-ordinated and sustained framework. 1.4.4 Ensure that a single clearly stated policy of gift acceptance, donor recognition and stewardship is applied consistently and throughout the institution. 1.4.5 Cultivate existing donors, encourage them to continue their philanthropy or to increase their donations to the institution. 1.4.6 Attract new donors by creating awareness and interest. 1.4.7 Create and nurture a positive relationship with donors.

1.5. People affected by this Policy	This policy has institution-wide application pertaining to any activity aimed to raise funds or to accept gifts on behalf of or using the name and branding of the University.
1.1. Who should read this Policy	All staff and students of the University should read the policy or be informed of policy.
2.1. Implementers of this Policy	Any Rhodes University staff member, student or representative of an associated entity who seeks or receives funding of gift in the name of the University.
3.1. Website address/link for this Policy	www.ru.ac.za/givingtorhodes

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 Companies Act No. 61 of 1973: s 21</p> <p>2.1.3 Financial Services Board Act No. 97 of 1990: s 1, definition "financial institution"</p> <p>2.1.4 Non-Profit Organisation Act No. 71 of 1997: s 13(5)</p> <p>2.1.5 Revenue Laws Amendment Act No. 31 of 2005</p> <p>2.1.6 SARS Interpretation Note No. 24</p> <p>2.1.7 Higher Education Act, 1997 (Act No. 101 of 1997)</p> <p>2.1.8 Property Rights from Publicly Financed Research and Development Act (or IPR Act) 28 of 2013</p> <p>2.1.9 Promotion of Access to Information Act, Act 2 of 2000 (Section 14)</p> <p>2.1.10 Protection of Personal Information (PoPI) Act, No. 4 of 2013</p> <p>2.1.11 Income Tax Act, 1962</p>
2.2 Related Policies
<p>2.2.1 Fundraising Policy,</p> <p>2.2.2 Database Policy</p> <p>2.2.3 Communication and Marketing Policy</p> <p>2.2.4 Policy on Naming and Renaming Buildings, Facilities, Academic Units and Structures</p> <p>2.2.5 Web Policy</p> <p>2.2.6 Acceptable Use Policy Including Network Policy and Password Policy</p> <p>2.2.7 Procurement Policy</p> <p>2.2.8 Guideline to the Rhodes University Purchase Order System,</p> <p>2.2.9 Guidelines for Foreign Payment</p>
2.3 Related Protocols
2.3.1 Brand manual
2.4 Forms and Tools

- 2.4.1 Contracts
- 2.4.2 Donation Reporting Form
- 2.4.3 Donor Recognition Chart.

3. POLICY DEFINITIONS

No	TERM	DEFINITION
3.1	Anonymity	The donor's wish for non-disclosure.
3.2	Tax Deductible donations	Donations where tax certificates in terms of Section 18A of the South African Income Tax Act apply.
3.3	Gift Acceptance Principles	Specified criteria for evaluating proposed gifts as directed by an appropriate governing structure within the University. These might include, but is not limited to: 3.3.1 guidelines to the donations form and practice and, 3.3.2 compliance with institutional governance, financial instruction and directives.
3.4	Public Acknowledgement	Public recognition in printed or digital platforms or in the University's public exterior space as may be mutually agreed upon by the Donor and the University.
3.6	Third Stream Income	'Third stream income' is all income derived from sources other than public subsidies and student fees for tuition or accommodation. Third stream income types include the following: donations, research grants, contracted research, consultancy, technology transfer income, research Chairs, sponsorships, advertising, conferences and vacation accommodation, and interest derived from investments.
3.7	Gift Acceptance and Management	The protocols, policies and processes, which govern the acceptance and correct (in-line with donor's wishes) use of the gift.
3.8	Gift Acknowledgment	Covers the protocols for and execution of accurate, timely, and meaningful expressions of gratitude.
3.9	Donor Recognition	Appropriate donor recognition taking into consideration such factors as donors' preferences (for example, anonymity and the format in which their names are presented) and institutional culture and values. Recognition is the public form of donor acknowledgement.
3.10	Reporting and Compliance	Standards, systems and methods of delivery for demonstrating fiscal accountability—prudent investment and spending in accordance with donors' expectations—to donors, to convey ongoing appreciation, and to report on the impact of philanthropic support.

3.11	Project Leader	Any Rhodes University staff member, student or representative of an associated entity who seeks or receives funding or gift in the name of the University.
3.12	Gift	Refers to any item of value given to the University by a donor who expects nothing significant of value in return, other than recognition and disposition of the gift in accordance with the donor's wishes.
3.13	Gift in Kind	Refers to all gifts that are not monetary or financial, such as the provision of goods or services to an organization, such as office equipment, computers, and software or administrative and financial support.
3.14	Good Practice	A standard procedure of acknowledging and recognizing the donor, disposition of the gift in accordance with the donor's wishes, and reporting back to the donor on how the funds were used.
3.15	Donor interaction	Refers to engagement with a donor across all channels i.e. verbal, email, written, social, mobile, and web channels.
3.16	Donor Reporting Form	A standard form to be filled in and sent to DCA on receiving donor money at Rhodes University.
3.17	Stewardship	Refers to the relationship-building and communication that takes place after the gift has been received. Involves managing gifts, updating donors on the progress and impact of their gifts, and easing donors into the next cultivation process by keeping them involved with your organization.

4. PRINCIPLES GOVERNING THIS POLICY

OVERVIEW
This policy regulates the University's Third Stream Income environment. It provides a framework for the acceptance and administration of all Third Stream Income to Rhodes University in all forms, including monetary gifts, donations and donations in-kind. All gifts should be accurately recorded and administered in accordance with this policy. In addition, donor information is essential in ensuring donations are acknowledged and donors are stewarded accordingly. The policy outlines issues such as fundraising related ethics and stewardship at the University, in accordance with its mission and vision and good governance practice. It aims to:
4.1 Assign responsibilities to various persons or structures within the University
4.2 Clarify when gifts are to be reviewed before acceptance
4.3 Outline how donors are / or should be acknowledged for their gifts
4.4 Prohibit acceptance by Project leader/s of any gift, hospitality or other inducement that may influence them in their decision-making responsibilities, or that may be seen to influence them in the performance of their duties and responsibilities

5. DIRECTIVES FOR IMPLEMENTING THIS POLICY

5.1 OVERVIEW

The Division of Communication and Advancement (DCA) as the custodian of this policy. Relationship Management and Stewardship of donors and acknowledgement is primarily the responsibility of the DCA.

- 5.1.1 The DCA provides advice and support as may be necessary on issues such as gift acceptance and management, gift acknowledgment, donor recognition, and reporting.
- 5.1.2 The DCA monitors and reports on the implementation of this policy and institutional compliance in the exercise of donor recognition and stewardship activities
- 5.1.3 Project leaders, (including students and affiliated entities) must ensure that all interactions with donors, including donor contracts and agreements are captured on DevMan - a central Client Relationship Management system (CRM) within seven (7) working days after each donor interaction.
- 5.1.4 All gifts shall be processed and acknowledged in writing within 7 days of the relevant gift being received, on the appropriate Rhodes University letterhead. The University may grant appropriate donor recognition in relation to programmes, physical spaces, naming opportunities, and the style and form of donor recognition to be granted. Project Leader must inform the DCA of such request in writing within 7 days of it being received. The University has final approval over design, colour, décor, and function of named physical space(s).
- 5.1.5 Donations made to support a naming opportunity involving a building or the interior space of existing buildings on campus (for example academic classrooms, faculty offices, library space, lecture halls and departmental auditoriums), must be contained in an official contract or memorandum of understanding and may only be signed by the Registrar and / or Vice Chancellor.
- 5.1.6 Unforeseen circumstances in the future may require the University to alter an original naming agreement with a donor or honouree. If alterations are necessary, the University will seek to honour the original agreement as far as possible and find acceptable alternatives and negotiate naming designations.
- 5.1.7 The Finance Division will produce a report for the DCA once a month which details all of the gifts that have been received (by all third stream income streams), the allocated cost centre and the overall balance of the accounts.

5.2 DONOR RECOGNITION AND STEWARDSHIP PROCEDURE

5.2.1 Gift Acceptance and Administration

On receipt of a gift of any size the person receiving the donation must complete Donor Reporting Form containing details of both the gift and the donor within 7 days of such gift being received. . This should then be passed to DCA who will log the details of the gift onto Devman.

5.2.2 Gift Acknowledgement and Stewardship

DCA is responsible for all oversight in respect to reporting and compliance in line with the specified requirements in the gift agreement or contract. In the absence of either an agreement or contract the minimum compliance requirement will be determined on the bases of good practice. Where a member of staff other than the DCA is better placed to be the point of contact for the donor, Project Leaders must inform the DCA within seven days of the gift having been

received and all contact reports must be captured on Devman within seven working days of such contact.

5.2.3 Stewardship packages

The University categorises gifts from donors and donors groups of donors below are currently recognised and stewarded according to their annual contribution of the donor.

These generic stewardship packages are set out in the 'Donor recognition Chart'.

5.2.4 Gift Agreements and Contracts

All donations/gifts must be formalised in an agreement to be signed by the donor and the University. All agreements must be captured on Devman.

6. ROLES AND RESPONSIBILITIES

The coordination and management of donor recognition and stewardship of University's Third Stream Income is as per this policy delegated to the Division of Communication and Advancement.

6.1 Division of Communication and Advancement	Responsibility
	<p>6.1.1 Coordination of donor recognition and stewardship processes on behalf of the University.</p> <p>6.1.2 Provision of support to Project Leaders</p> <p>6.1.3 Reporting to relevant committees and/or governance structures.</p> <p>6.1.4 Providing assistance, guidance and appropriate systems to support stewardship activities.</p> <p>6.1.5 Facilitation and management of donor relationships including preparation, implementation and review of the Stewardship Policy.</p> <p>6.1.6 Recording all engagements with university donors on the central database.</p>
6.2 Project Leader	Responsibility
	<p>Project leader shall ensure that approaches to donors and / or requests for support by any / or Project Leader (s) shall strictly adhere to the following ethical guidelines:</p> <p>6.2.1 Honesty: Project Leaders shall at all times act honestly and truthfully so that the University is protected and donors and beneficiaries are not misled.</p> <p>6.2.2 Respect: Project Leaders shall at all times act with respect for the dignity of the University, their profession, their project and with respect for the dignity of donors and beneficiaries.</p>

	<p>6.2.3 Integrity: Project Leaders will act transparently and with regard to their responsibility for the University. They shall disclose all actual or potential conflicts of interest and avoid any appearance of personal or professional misconduct.</p> <p>6.2.4 Ethical: Project leaders will work in a way that promotes their purpose and encourage others to use the same professional standards and engagement. They shall value individual privacy, freedom of choice, and diversity in all forms.</p> <p>6.2.5 Transparency: Fundraisers provide clear reports about the work they do, the way gifts are disbursed, costs and expenses are accounted for in an accurate and comprehensible manner; as directed by University governing directives.</p>
6.3 Finance Office	Responsibility
	<p>6.3.1 Provision and management of appropriate financial controls</p> <p>6.3.2 Central repository of all donor funding to Rhodes University</p> <p>6.3.3 Reporting for all Third Stream Income through the accounting information system (AIS).</p> <p>6.3.4 Prepare Monthly Third stream income report for DCA</p>
6.4 Institutional Planning Committee (IPC)	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 Referral of recommendations to DCA</p> <p>6.4.6 Taking into account ethical issues relating to the acceptance and use of donations Institutional Planning Committee</p>
6.5 Registrar	Responsibility
<ul style="list-style-type: none"> • Signing contracts/agreements for all funds received in support of the University. • Ensuring compliance requirements of each to DCA? of the 	<p>6.5.1 Signing contracts/agreements for all funds received in support of the University.</p> <p>6.5.2 Ensuring compliance requirements of each to DCA?</p>

7. CONTACTS

Area of Concern	Division Faculty Department	Telephone	Email
The DCA aligns all of its activities to in terms of the Institutional Development Plan (IDP), based on the principals?? of Advancement and Project Management, within the Funding Cycle and Effective Communication	Director: Communications & Advancement Rather use title	046 603 8514	t.yawa@ru.ac.za
The <u>Development Unit</u> facilitates third stream income generation from all donors; (individual, Government, Corporate, Foundations, Trusts and other).	Title Manager: Development & Fundraising	046 603 7015	g.sompondo@ru.ac.za
The <u>Alumni Relations & Stakeholder Unit</u> facilitates all stakeholder engagement and third stream income generation from all individual donors; including Alumni and Old Rhodians. This includes Reunions and related events.	VACANT Manager: Alumni Relations & Stakeholders		

8. POLICY REVIEW PROCEDURE

Rhodes University acknowledges that a policy of this nature may not anticipate every possible issue that may arise with respect to stewardship activities. As a result, the University reserves the right to modify this policy at any time. The next review of this policy is set for the year 2022.

The review process shall be as follows:

1. The Director of Communication and Advancement will send a notice to the IPC notifying them of the upcoming policy review
2. Notice sent to the University Community calling for policy amendments submissions
3. Proposed amendments are tabled to IPC for considerations.
4. Amendments sent to Senate
5. Then to Council for final approval.

9. LIST OF APPENDICES