

POLICY ON COMMUNITY FUNDRAISING EVENTS

Policy Owner:	Office of Alumni Relations
Category:	Alumni Relations and Events
Applies to:	All staff
Approved by:	Management
Effective Date:	Approved by Management on June 7, 2018
Contact:	Senior Director of Alumni and Donor Event Strategy
Official Website:	
Revision History:	August 12, 2013

I. Purpose of Policy

This is the Policy on Community Fundraising Events (“Policy”). The purpose of this Policy is to provide standards for Community Entities, defined below, regarding their fundraising efforts in support of the University, and to identify, if, how, when, and in what form the Foundation will offer support to and receive donations from events sponsored by such Community Entities.

II. Policy

The Foundation operates and raises funds for the benefit of the University under federal, state, and local laws and regulations that govern charitable solicitation. The Foundation assumes no responsibility or liability for the planning or execution of Community Fundraising Events. Foundation Fundraising Events are not governed by this Policy, but instead are defined and governed under the Foundation’s separate *Policy on Foundation Fundraising Events*.

III. Applicability

This Policy applies to all Foundation directors, officers and employees, volunteers, and students including temporary and contract employees at all locations and all volunteers or other Community Entities involved in conducting a Community Fundraising Event.

IV. Definitions

Community Entities: A Community Entity(ies) is defined as any individual, group, or organization not affiliated with the UConn Foundation or the University of Connecticut. (Ex: Lions Club, Chamber of Commerce, Friends of Colt Park, etc.).

Community Fundraising Event: A Community Fundraising Event is any party, outing, celebration, auction, raffle, social gathering, or similar such activity held by a Community Entity for the purpose of raising funds for the benefit of the University to be deposited at a fund held at the Foundation.

V. Roles of Foundation Staff

Foundation staff members are responsible for matters relating to Community Fundraising Events as follows:

1. **Development Officers:** Development Officers (“DO’s”) are responsible for educating Community Entities about this Policy and the requirements for holding a Community Fundraising Event. DOs will ensure Community Entities complete the Community Fundraising Event application form. Upon notice of a potential Community Fundraising Event the DO will inform their supervising Vice President or Assistant/Associate Vice President and the Senior Director of Alumni and Donor Events of the potential Community Fundraising Event.
2. **Foundation Event Staff:** The Senior Director of Alumni and Donor Events or his/her designee will serve as the Foundation contact person and review the Community Fundraising Event application form to ensure it is complete. Completed applications will be forwarded to the Senior Vice President of Development by Foundation Event Staff with a recommendation for approval or denial.

If the Community Fundraising Event is approved by the Senior Vice President of Development the Foundation Event Staff will send a copy of completed application to the Data Services and Stewardship.

Foundation Event Staff will serve as the liaison with Community Entities for all Community Fundraising Events. Foundation Event Staff may provide limited assistance in the coordination of the Community Fundraising Event, as described in Section VII below.

3. **General Counsel:** The General Counsel is responsible for advising on Foundation legal concerns related to Community Fundraising Events. Legal must be consulted on all Community Fundraising Events involving for profit partners, out of state solicitations, and new named endowed accounts.

VI. Requirements for Community Fundraising Events

1. **Notice and Approval:** The Foundation requires that Community Entities complete and submit a Community Fundraising Events application at least ninety (90) days prior to the event date. An application for a Community Fundraising Event is available at www.foundation.uconn.edu or upon request.

Community Fundraising Events are approved in consideration of factors including, without limitation: consistency of the event with the Foundation’s mission and goals of the University, expected amount of funds to be raised, significance of the relationships with the parties involved, reputational risks to the Foundation and University, and

Foundation resources necessary to conduct the event. Allow ten (10) working days from the receipt of application for a written response.

The Foundation may in its sole discretion refuse to approve and/or refuse to accept funds associated with a Community Fundraising Event. Alternatively, the Foundation may determine, under criteria established in its *Policy on Foundation Fundraising Events*, that an event warrants significant Foundation involvement and, therefore, should be approved as a Foundation Fundraising Event to be conducted in accordance with that policy.

Until written approval is received Community Entities are not to solicit contributions for the Community Fundraising Event or use the name/logos of the University or Foundation.

2. **Event Name:** Community Fundraising Events are not held directly by the Foundation. Therefore, the event name should only refer to the University and/or the Foundation as beneficiaries. For example, an event should not be named, "The University of Connecticut Golf Outing." Instead, the event can be named the "Golf Outing to Benefit the University of Connecticut."
3. **Logos/Names:** The name or logos of the University of Connecticut, UConn Health, UConn Athletics, or UConn Foundation may only be reproduced on print or electronic fundraising promotional materials, including, but not limited to invitations, fliers, mailings, emails, newspaper, TV, radio advertisements, and/or websites, with approval from the Foundation.

If approval is granted the name/logo must only be used on the same page in physical proximity or in the same sentence with the following statement: "Net proceeds from the event will be directed to The University of Connecticut Foundation, Inc. to benefit [INSERT PURPOSE]." Use of the University, Athletics and UConn Health name and logo are subject to approval by the University, Athletics and/or UConn Health.

4. **Donor Intent:** In order for the Foundation to accept proceeds from Community Fundraising Events, the event's promotional materials/solicitations must clearly indicate the donors' intentions. The Foundation requires that all hard copy and electronic promotional materials and solicitations include the following statement "Net proceeds from the event will be directed to The University of Connecticut Foundation, Inc. to benefit [INSERT PURPOSE]." Fundraising promotional materials/solicitations must also indicate a specific University program, department, college, or a specific Foundation fund toward which donations from the Community Fundraising Event will be directed and any potential alternative use of the gifts. Solicitations for support to establish any new funds and all out-of-state solicitations must be reviewed by the Foundation General Counsel's Office for compliance matters.
5. **Publicity:** Community Entities are responsible for independently generating publicity related to their Community Fundraising Event.

6. Sponsorship/Expenses: Community Entities are responsible for finding sources of funding for the Community Fundraising Event, if necessary. Any monetary or in-kind donation to a Community Entities for an event does not constitute a tax-deductible gift to the Foundation. Community Entities will be liable for all Community Fundraising Event expenses. If the event expenses exceed revenue, the UConn Foundation and University will not be liable for the expenses.

When approaching businesses and corporations for assistance with events, please keep in mind that many local organizations are already donors to the Foundation and University and may not wish to make additional donations. It is recommended that the Community Entity provide a list of potential sponsors, including potential in-kind sponsors, to avoid duplication of efforts and excessive requests to any one potential donor. The Foundation reserves the right to limit Community Event corporate sponsorship solicitations in its discretion (e.g., if such support might interfere with the Foundation's or University's fundraising strategy).

7. Gift Funds Collection and Proceeds: Community Entities are responsible for collecting gift funds generated by or for their event through acceptance of checks made payable to them. Net proceeds from the event should then be transferred in the form of a single check made payable to the UConn Foundation, Inc. no later than ninety (90) days from the date of the event. The Foundation requires that Community Entities not keep any portion of the event proceeds as profit or compensation for organizing the Community Fundraising Event.
8. Event Planning: Community Entities are responsible for planning, executing all aspects of the Community Fundraising Event as well as securing and contracting for the appropriate venue, staff, and/or volunteers, and services including, but not limited to, food, drinks, and entertainment desired for the Community Fundraising Event. The Foundation will not provide Community Entities with funding or reimbursement for event expenses, staff, students, or volunteers to support a Community Fundraising Event. Foundation staff with a legitimate business need to be present at a Community Fundraising Event may be eligible for expense reimbursement in accordance with Foundation policies.
9. Insurance, Permits and Licenses: The Community Entities are responsible for independently obtaining any state or local permits, licenses, and insurance for the Community Fundraising Event. This includes, but is not limited to, liquor licenses and gambling licenses (e.g., for raffles where a person pays for a chance to win).
10. Event Taxes: Community Entities must pay all applicable federal, state, and/or local taxes incurred during the planning and execution of the Community Fundraising Event. Community Entities may not use the UConn Foundation's tax identification number or sales tax exemption for any purpose.

VII. Foundation Assistance for Community Fundraising Events

The Foundation may provide the following limited assistance for Community Fundraising Events, so long as such events are approved in advance and consistent with the purpose and mission of the Foundation. This assistance may include:

1. Logos/graphics: Approval to use Foundation logos and other graphics to help illustrate the purpose that the Community Fundraising Event. The Foundation must approve the use and placement of all logos/graphics on hard copy and electronic event materials before they are distributed or posted online.
2. Recognition: Even though donations to the Community Entity in its fundraising efforts are not tax deductible by the Foundation, the Foundation will provide gift recognition to the Community Entity and may provide recognition to other individuals or entities, at the discretion of the Foundation. Such recognition or acknowledgment may include, without limitation, signage, plaques, newsletter articles, or announcements.
3. Mailing Lists: The Foundation will not provide Community Entities with Foundation mailing lists of current, former and/or prospective donors, alumni, employees, or students. In rare circumstances, with the approval of the Foundation President, mailing lists may be made available provided the use and release is consistent with the Foundation's mission and purposes, the Community Entity signs a confidentiality agreement and the Community Entity agrees to use the mailing list(s) solely for the event in question. The Foundation Event Staff will submit any requests for mailing list(s) to the Advancement Services department for review and approval for release in accordance with the Foundation's *Policy for the Release of Confidential Information to University Employees, Volunteers and Service Providers* and *Email Policies, Process, and Best Practices*. Foundation letterhead cannot be used for any Community Fundraising Event.
4. Speakers/Representatives: Upon request the Foundation may work with the Community Entity to provide University or Foundation representatives to speak at or attend Community Fundraising Events. The Foundation cannot guarantee that alumni, students, donors, volunteers, or employees of the University or the Foundation will attend the event.
5. Donation Purposes: The Foundation may provide assistance to the Community Entity in determining how to direct proceeds from the Community Fundraising Event to an appropriate fund within the Foundation.
6. Tax Treatment of Donations and Receipts: Payments made to a Community Fundraising Event will not be accepted directly by the Foundation and will not be treated as gifts to the Foundation. Donations, registration fees, or other payments made to a Community Entity to participate in a Community Fundraising Event are not tax-deductible gifts to the Foundation or University. The Foundation will not provide receipts for items or services donated to, or event fees collected by, a Community Entity for a Community

Fundraising Event regardless of whether any portion of those donations are used to defray the event expenses. Upon approval of the SVP of Finance and Administration or his/her designee, the Foundation may accept charitable contributions and provide receipts to donors who forego the event activities or who otherwise wish to make fully deductible charitable contribution payable directly to the Foundation.

VIII. Exceptions

Exceptions to this Policy must be approved by the President of the Foundation.

IX. Enforcement and Interpretation

It is the responsibility of all directors, officers and employees, including temporary and contract employees and students, at all locations and all volunteers or other Community Entities to uphold this Policy. Any violation of this Policy by an employee may result in disciplinary action up to and including termination of employment. Any violation of this Policy by a Community Fundraising may result in denial of access or use of Foundation information, property and resources. Questions regarding interpretation of this Policy should be directed to the Foundation's Senior Director of Alumni and Donor Events.

X. Effective Date

This Policy is effective immediately and replaces and supersedes any preceding policy concerning this subject matter. This Policy is subject to review every five years or sooner as determined in the discretion of the Foundation.