

THE CODE OF PRACTICE FOR A COLLABORATIVE FUNDRAISING MODEL
FOR COLLEGIATE CAMBRIDGE

In Cambridge, the roles of colleges and the University are complementary, intertwined and mutually beneficial in the provision of teaching and research and in promoting the reputation of Collegiate Cambridge locally, nationally and globally. Philanthropy is a key component of fulfilling this shared mission and collaborative fundraising is an essential mechanism for promoting philanthropy of the highest quality and impact.

This document represents a **Code of Practice** to be observed by all those involved in fundraising (professionals, academics, volunteers) for Collegiate Cambridge and all its constituent parts and as such should be understood by as wide an audience as possible within the collegiate University.

Throughout this Code of Practice, the term 'Collegiate Cambridge' is used to mean the entire University and/or any of its constituent parts that use the University's name, including Schools, Faculties and Departments, the University's Non-School Institutions, the Colleges, Cambridge in America, UK and overseas charitable bodies linked to the University.

I. Our Shared Fundraising Objectives

- To maintain the culture of philanthropic giving at Cambridge by engaging as many donors and potential donors to Collegiate Cambridge as possible in a co-ordinated and professional fashion.
- To provide a positive giving experience for donors.
- To maximise giving in support of the mission and objectives of Collegiate Cambridge.
- To establish sustained collaboration between colleges and all aspects of the University in fundraising and alumni relations.

This means:

- Prospective donors should be presented with opportunities that reflect their individual interests and motivations. It is understood that these interests may vary over time.
- Donation agreements should be straightforward and swift to settle.
- Approaches must be coordinated and a positive experience for the donor is paramount.
- Recognition must be proportionate, consistent and meaningful and donors want to understand the impact of their giving.
- Philanthropic giving should be a fulfilling part of a supporter's lifelong relationship with Collegiate Cambridge.

II. The Roles We Play

All those who solicit donations in the name of Collegiate Cambridge or its constituent parts should endeavour:

- To deliver an aligned alumni relations and fundraising programme for all Cambridge alumni and supporters.
- To encourage giving to all parts of Collegiate Cambridge that speak to a donor's interests.
- To ensure effective major gift and legacy solicitation for all prospective major donors.
- To deliver on campaign goals and fundraising targets of Collegiate Cambridge.
- To create and promote an environment in which major gift fundraising can succeed in Collegiate Cambridge.

Colleges

- To solicit major gifts and raise other funds annually from their alumni and other potential donors to meet the key priorities and operating needs of each respective college.
- To foster the habit of life-long regular giving among alumni and thereby develop the longer-term pipeline of major giving on behalf of Collegiate Cambridge.
- To deliver an alumni relations and communications programme to benefit development of a committed supporter base.
- To continue to examine and review opportunities for collaboration with the University in the determination, communication and funding of needs.
- To collaborate with CUDO and CAM regarding those prospective alumni and non-alumni donors whose individual giving capacity is above the agreed threshold (See Section IV.1) and to share information regarding corporate, trust and foundation fundraising activity, whatever the level of intended gift.

CUDO

- To collaborate with the colleges regarding those prospective alumni and non-alumni donors whose individual giving capacity is above the agreed threshold (See Section IV.1) and to share information regarding corporate, trust and foundation fundraising activity, whatever the level of intended gift.
- To work with the Vice-Chancellor and his senior colleagues, staff in Schools, Faculties and Departments and across the University's Non-Schools Institutions (e.g. University Library, Museums) and interest groups (e.g. sports clubs and societies) to represent their interests and raise major gift funds to meet their agreed priorities in line with the requirements of this Code.
- To collaborate with the colleges to develop and deliver the plan for the next major fundraising campaign for Collegiate Cambridge.
- To support major giving by maintaining centrally-based development resources and processes (e.g. due diligence) to the benefit of all Collegiate Cambridge development staff.
- To be the central and confidential source of up-to-date information on major donors and prospects above the threshold thereby minimizing the risk of two or more constituent parts of

the University or any of the colleges making inappropriate approaches to alumni and non-alumni prospects.

- To deliver a varied alumni relations and communications programme to benefit the development of an engaged alumni base.
- To encourage interaction and professional development of Collegiate Cambridge's alumni relations and fundraising community by organising regular training and information-sharing events, and by providing support, by agreement, to enhance the fundraising capabilities of those colleges with limited means (see Section III.7).

Schools, Faculties, and Departments

- To define fundraising priorities across Schools, Faculties and Departments in line with the University's overall strategy.
- To develop positive alumni relations, e.g. through regular, high-quality, communications.
- It is understood by the Schools, Faculties and Departments that regular mass fundraising solicitations to alumni will normally be undertaken only by the colleges - exceptional cases must first be agreed by the Joint Committee on Development (Section IV).
- To work through CUDO, and in accordance with this Code's governance guidelines, to identify and cultivate key prospective supporters, and conduct major gift solicitations of key prospective donors in collaboration with CUDO and colleges.
- To continue to examine and review opportunities for collaboration with the colleges in the determination, communication and funding of needs.

Non-School Institutions (e.g. the University Library, Museums) and Interest Groups (e.g. sports, clubs and societies)

- To define priorities across Non-School institutions and University-wide resources in line with the University's priorities.
- To develop positive relations with all those (including alumni) who have an interest or affiliation with those non Schools/University-wide resources for example, through regular, high-quality communications.
- To identify and cultivate key prospective supporters, and conduct major gift solicitation of key prospective donors in collaboration with the colleges and CUDO and in accordance with the governance provisions of this Code.

Cambridge in America (CAM)

- To access philanthropic sources of funding in the United States to the benefit of Collegiate Cambridge within the context of prioritised University and college needs.
- To ensure a coordinated and informed approach to US-based donors that meets their expectations and that emphasises Collegiate Cambridge as a world-class academic institution.

- To identify, cultivate and solicit, as agreed with the colleges, US-based potential major gift supporters of Collegiate Cambridge.
- To collaborate with CUDO and the colleges regarding all major and planned gift activity concerning their alumni and with non-alumni, corporations, trusts and foundations.
- To deliver a varied alumni relations, fundraising and communications programme for US-based supporters to develop a committed supporter base. In each case, these programmes must respond to the needs, priorities and messages of Collegiate Cambridge as well as to the individual interests and motivations of prospective donors.

III. How to Make this Work: Potential Areas of Collaboration

- 1) Determination and funding of needs, for example:
 - a. Linked posts: research and teaching
 - b. Graduate support
 - c. Potential role of individual colleges in supporting delivery of University strategic priorities
 - d. Postdoctoral opportunities
 - e. New collegiate entities

- 2) Setting of and delivering against targets
 - a. Joint planning/feasibility/management of priorities
 - b. Joint monitoring of fundraising progress/ key performance indicators to measure and highlight success

- 3) Managing Major Gift Prospects in accordance with an agreed approach to prospect management
 - a. Developing strategy for prospects
 - b. Proposal development
 - c. Key Volunteer management
 - d. Reporting of shared fundraising effort and success

- 4) Recognizing donors and stewardship
 - a. Stewardship reporting
 - b. Giving reports
 - c. Giving Societies/Clubs
 - d. Events: cultivation, recognition and stewardship

- 5) Processes and Procedures
 - a. Research and wealth screening
 - b. Due diligence and ethical considerations
 - c. Gift acknowledgement
 - d. Information sharing

- 6) Alumni / Constituent Communications
 - a. Promotion of philanthropy through a strategic approach to communications
 - b. Alumni Festival and events

- 7) Training & Development
 - a. A Development Forum for development professionals from across Collegiate Cambridge to support all day-to-day activity.
 - b. CCDG and CUDO should, where possible, work together to plan training activities in all areas of the development profession. Inevitably, there will be sessions that are more appropriate for one type of institution than another.
 - c. A standing conference, convened by CUDO, co-chaired by the University's Executive Director of Development and the Chairman of the CDDC, to promote the importance of philanthropy and collaboration in fundraising at highest levels across Collegiate Cambridge. Attendance would be expected by relevant staff in colleges, CUDO, CAM and by other fundraising and related staff in the University. Invitations would also be issued to other key personnel in Collegiate Cambridge to provide a well-informed forum for sharing experience and seizing opportunities.
 - d. CUDO will work, by agreement, with those colleges with limited means to enhance their fundraising capabilities.

IV. Governance

1) Collaboration

Collegiate Cambridge has reached agreement on a 'threshold' at which point alumni and non-alumni donors become the subject of regular management discussion and reported action.

- a. The proposed threshold is an individual giving capacity of £1 million and above, based on the jointly-agreed net worth/wealth rating methodology. For the purposes of this Code, individuals above the threshold are referred to as 'top prospects'. This is as distinct from "major gifts", which are defined for the purposes of this Code as donations of six figures and above.

- b. Structured semi-annual meetings between CUDO and each college will take place to monitor progress with regard to top prospects and agree courses of action. These will be attended by the Development Director (or equivalent) of the appropriate college and CUDO's Director of University Development Relations or Chief Operating Officer. They will be supported in their discussion by CUDO's Manager, Prospect Management Analytics who will prepare the necessary reports, update the database according to joint decisions made, and ensure an accurate information trail exists for follow up. Additional invitees may attend as agreed by both college and CUDO.

- c. In cases where the aforementioned group cannot agree on a course of action, the issue(s) at hand will be referred to the Executive Director of Development and Alumni Relations for resolution and subsequently, if necessary, to the Vice-Chancellor and Head of House.

In the unlikely instance that there is still no agreement, each party who wishes to approach a constituent must commit to full disclosure of progress to the other interested party. Uncoordinated multiple approaches risk complete failure.

- d.** These formal top prospect review meetings should encourage significant informal, prospect-specific dialogue between major gift fundraising staff in CUDO and the colleges in the intervening six-month periods. As opportunities for appropriate, substantive dialogue with top prospects arise, those involved in major gift fundraising in colleges and CUDO (on behalf of Schools, Faculties, Departments and Non-School Institutions) must inform each other accordingly. No reasonable plan for contact will be refused. However, in the event of disagreement, the procedure articulated above (IV.1.c.) will take effect.
- e.** Below the agreed threshold, and where the potential donor is an alumnus or alumna, the colleges will take the lead in the approach. CUDO will not pursue prospective alumni donors with an individual giving capacity of six figures unless the individual has previously donated at this level to the University and/or has self-identified their interest in supporting the University. In these instances, CUDO will consult with the relevant college to ensure coordination.
- f.** Exceptions to the above may be made through application to, and subject to agreement by, the Joint Committee on Development (see below IV.2).
- g.** In line with its mission to increase major giving from trusts, foundations and companies, CUDO will keep a register of progress with constituents that are subject to approaches and potential approaches by any part of Collegiate Cambridge for reference by fundraisers throughout the institutions of the University and colleges. Approaches by colleges to such bodies will be subject to the same procedure as for top prospects, whatever the level of intended gift.
- h.** Information on top prospects discussed by CUDO and the colleges is held and updated on a shared resource.

2) The Joint-Committee on Development (JCD)

- a.** The JCD is co-chaired by the Vice-Chancellor and the Chairman of the Colleges' Committee. Membership will reflect the various constituents of Collegiate Cambridge to whom this Code of Practice applies. As necessary and appropriate, attendance at the JCD will be open to invited participants who are not formally members under its constitution.
- b.** The JCD will consider reports on general fundraising progress, with regular assessment of key indicators of performance (new business, cash received, participation rates, opportunities for and experience of collaborative fundraising approaches) by the University and colleges.

- c. The JCD will keep the effectiveness of the implementation of this Code of Practice under review and consider representations and recommendations about it. The Code will be formally reviewed each year by the JCD.

- d. The JCD considers and decides upon potential exceptions to whom the Code applies. Upon review, the JCD may find that an applicant School, Faculty, Department or Non-School Institution has sufficient potential to have success in fundraising terms without impeding the fundraising success of either Colleges or the wider University. The JCD may grant exception status. This may be time bounded and will be subject to regular review by the JCD. A responsive decision-making process to consider potential exceptions must be determined and articulated by the JCD.

- e. The JCD is the body to which serious cases of breach of conduct should be referred. Depending on the outcome of the JCD's scrutiny, it can make recommendations to the Colleges' Committee or to the University's Council as appropriate. CUDO or the colleges, as appropriate, must take responsibility for the remedial action that may be regarded as necessary.