

JOINT COMMITTEE OF THE COUNCIL AND THE COLLEGES ON DEVELOPMENT

EXCEPTIONS POLICY AND PROCEDURE

Introduction

The Code of Practice for a Collaborative Fundraising Model for Collegiate Cambridge codifies the standards to be observed by all those involved in fundraising (professionals, academics and volunteers) for Collegiate Cambridge and all its constituent parts. The Code, which was endorsed by the University Council and the Colleges Committee at their meetings on 20 May 2013 and 6 July 2013 respectively, replaces the 2004 Memorandum of Understanding on Fundraising (MoU). Accordingly all provisions for an exception contained within the MoU cease to apply and, under the terms of the Code, applications for an exception from the Code of Practice are to be submitted to the Joint Committee of the Council and the Colleges on Development (JCD) in accordance with the procedure detailed below.

Guiding Principles

The exceptions policy applies to all institutions in the collegiate University. Applications for an exception should normally be project specific. Particular attention is drawn to Section II of the Code of Practice, concerning the Roles we play, which states that the colleges should be charged with soliciting major gifts and raising funds annually from their alumni and other potential donors to meet the key priorities and operating needs of each respective college. For the Schools, Faculties and Departments, it is understood that regular mass fundraising solicitations to alumni will normally be undertaken only by the colleges, and that exceptional cases must first be agreed by the JCD.

Exceptions Procedure

Section IV.2.d of the Code of Practice, concerning Governance, assigns to the JCD responsibility for considering and deciding upon potential exceptions to whom the Code applies, and requires a responsive decision-making process to consider potential exceptions to be devised by the JCD. The Committee expects very few applications for an exception to be submitted. Any successful application will have demonstrated that serious consideration has been undertaken by the institution of what it is seeking to achieve, with evidence of consultation with other interested parties. The outcome of all applications for an exception will be received by the JCD.

The arrangements for submitting and deciding on a case for an exception are set out below:

- An application may be received from any institution in Collegiate Cambridge that wishes to apply for an exception from the Code of Practice. It is assumed that the majority of applications for exceptions will be received from University School or Non-School institutions.

- The exceptions process will allow the JCD to determine whether the institution has sufficient resource to have success in fundraising terms without impeding the fundraising success of either the colleges or the wider University.
- In reaching their decision the JCD will take account of the objectives for seeking an exception, the target audience, the justification for seeking to make an approach in this way, and the timeframe requested for the exception.
- For School institutions any application must be prepared in consultation with Development and Alumni Relations' officer in the School, and have the approval of the relevant Head of School. Any application from a non-School Institution should be routed through the Registry or Academic Secretary (depending on whether they are a Council or General Board institution). Applications from a college should be signed by the relevant Head of House.
- Applications should be submitted to the Secretariat of the JCD, who will advise on the timetable for decision making.
- The JCD will have authority to determine exceptions to whom the Code applies.
- The JCD will appoint a Standing Committee from within its membership, comprising two college and two university representatives, to receive and consider applications as required, and to make a recommendation to the JCD for approval by electronic circulation. Members of the Standing Committee will not normally have an executive role in development matters. The Standing Committee will be supported by the JCD Secretariat.
- The JCD will determine the Limit of Tenure for an exception and any conditions that will apply to an exception that is granted.
- All exceptions will be subject to regular review by the JCD.
- The JCD Secretariat will be responsible for holding and maintaining a list of applications for exceptions, for arranging for the review of any cases approved by the JCD, and communicating the outcome of an application.

**Joint Committee of the Council and the Colleges on Development
December 2013**

Code of Practice on Fundraising: Exception application form

Institution:

Head of institution signature:

Head of School signature:

(University institutions only)

Date:

Please provide the case for an exception below. The case should detail the resource available to the institution to undertake mass fundraising solicitations to alumni, and should be no longer than one side of A4. The following points should be addressed in making a submission:

- *Objectives*
- *How the purpose fits with any current fundraising campaign in the Collegiate University*
- *Target group*
- *An explanation of why approaches with other interested parties have been ruled out*
- *Managing negative impact of seeking an exception*
- *Whose data to be used*
- *Timeframe*

Any questions on completing a submission may be addressed to the JCD Secretariat (Elle.Bateman@admin.cam.ac.uk)