



Policies, Guidelines, and Procedures Related to Donors and Alumni

Updated September 2023

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Introduction

University Advancement has the overall responsibility for overseeing fundraising and charitable giving at Cal Poly Humboldt. The Vice President of University Advancement has been delegated the authority to accept gifts on behalf of the University.

Gifts are accepted through the Cal Poly Humboldt Foundation, which is a separate 501(c)(3). This document covers the unique nature of charitable gifts and how they are different from other sources of revenue at the University. There are numerous legal requirements and processes related to handling donations and protecting private donor information.

Because donations are voluntary and represent both trust and an act of generosity, the stewardship of these relationships is vital. This document details procedures to ensure that the solicitation of donations is coordinated, organized, and successful; and that specific instructions from donors are captured and carried out throughout the lifecycle of each gift.

This document is a summary of the policies, guidelines, and procedures with regards to donor and alumni engagement and charitable giving at Cal Poly Humboldt. It outlines oversight of solicitation and acceptance of donations on behalf of the University as well as stewardship. It also notes the legal requirements for accepting charitable donations supporting Cal Poly Humboldt.

Presidential Memorandum: Gift Acceptance Delegation of Authority

A regularly updated memo from the President delegates the authority to accept gifts in support of Cal Poly Humboldt to the Vice President for University Advancement. The Vice President serves as the Executive Director of the Cal Poly Humboldt Foundation, which is the single entity that accepts charitable donations for Cal Poly Humboldt.

A full version of the memo is found in Appendix A.

The Cal Poly Humboldt Foundation

The Cal Poly Humboldt Foundation provides expertise, fiduciary oversight, and advocacy to increase charitable giving and manage the endowment and other charitable funds. It is the single entity that accepts charitable donations for Cal Poly Humboldt. The Foundation serves the University in several ways:

Steward Assets – ensure that charitable contributions are well invested and used as donors intend.

Deploy Assets – ensure that contributed funds are efficiently distributed and productively used by the University.

Raise New Assets – engage in the fundraising process in order to increase charitable contributions to the University.

Strategic Alignment – stay familiar with the strategies and directions of the University and provide commentary and feedback to University leadership.

Advocacy – serve as spokespersons and ambassadors for the University.

The Foundation is governed by a Board of Directors dedicated to building support for the University across a variety of constituencies who recognize the imperative to expand opportunities for philanthropic success. The Board is primarily volunteers, as well as two ex officio members: The University President and the Vice President for University Advancement. The Cal Poly Humboldt Foundation has its roots in 1927 with the Humboldt Campus Improvement Fund. It was incorporated as the Humboldt State University Advancement Foundation in 2004, and its name was later changed to the Cal Poly Humboldt Foundation.. The Foundation is a dedicated auxiliary of The California State University and a 501(c)(3) California nonprofit corporation (tax ID 94-6077724). Charitable contributions to the Foundation are deductible under Section 170 of the Internal Revenue Code.

University Advancement

University Advancement establishes principles for donor engagement and adheres to strict guidelines set forth by the Internal Revenue Service (IRS), the Office of the Chancellor (CO), CASE, and other governing bodies. The division applies technical solutions to minimize risk and maximize philanthropic investment in Cal Poly Humboldt. Additionally, the division manages the University's database of donors and alumni, provides reports, updates and maintains biographical records, and handles prospect research.

University Advancement manages all internal compliance issues. All fundraising solicitations or fundraising events and materials by any University entity must be submitted for approval by University Advancement, and individual gift solicitations of donors assigned a relationship manager or for gifts of \$5,000 or more must be coordinated with University Advancement.

Donor and Alumni Communications

University Advancement database serves as the communications data source for all Alumni and Donor mass communications. The central database stores all communication preferences and helps to ensure the University is following all laws around charitable solicitations, email communications, and mass mailings. Failing to follow these laws could harm relationships with constituents and result in fines for the University. As such, University Advancement cannot support efforts to maintain separate databases in campus units and departments.

Privacy

Cal Poly Humboldt maintains a donor database of biographical and gift/pledge information about alumni, parents, friends, and other donors/prospects in accordance with the general needs and expectations of the University. The information contained in this database is intended exclusively for purposes related to Cal Poly Humboldt programs. University Advancement works to provide the best possible service to those with legitimate needs for such information, and at the same time maintain the confidentiality of the information entrusted to us by our constituents. We regularly update the contact information of all constituents and maintain legally obligated communication preferences. We do all of this to provide a coordinated and consistent experience for our constituents while meeting all legal requirements.

Statement of Data Use and Release Policies

Campus organizations may request information from the donor and alumni database in support of approved activities. The following information may be released from the donor and alumni database:

Public information, which is limited to:

- Full Name
- Degree(s) and date of degree(s) awarded
- Major
- Class Year

In addition to public information, campus organizations can request in-depth information such as:

- Gift and Pledge Data
- Employment
- Alumni Activities
- Student Activities
- Other Relationships

Contact information for larger lists of individuals is rarely shared in full with campus departments. Those departments wishing to communicate with larger lists or specific groups of donors or alumni should coordinate with Alumni Relations.

The following are acceptable uses of information from the database by campus organizations:

- Alumni Relations
- Fundraising
- Public Relations
- Government Relations/Advocacy
- Departmental Communications
- University Research
- Continuing Education Programs

- Student Recruitment

Information in the donor database is not available for release for non-related commercial or political purposes.

Any entity/organization/individual requesting information that includes more than the public information must sign a confidentiality form and work in partnership with University Advancement.

If the information provided will result in the preparation of lists or directories that are published in a book, magazine, newsletter, or other forms for general distribution among our constituent groups, each individual who might be included must be provided the opportunity to indicate whether they wish to be excluded (opt-out).

Access to Donor Records

- Biographical and financial records stored in the University Advancement records system must be treated as confidential.
- In order to have access, individuals must first receive authorization clearance by University Advancement. Upon approval, each user will be provided with a personal login for access into the system.
- The University does not authorize the use of “shadow” databases that would contain sensitive donor record information. Files produced for all mailings to groups of donors and Alumni should be generated by University Advancement to ensure University-wide coordination of solicitations, the enforcement and stewardship of communication opt outs, and the greatest accuracy of mailing addresses.

Managing Donor Expectations of Confidentiality

Certain records are not subject to disclosure and can either be withheld from production or redacted from a record. California Education Code §89916(a)(1)-(4); California Government Code §6255.

- Information that would disclose the identity of a donor, prospective donor or volunteer (doesn't apply if the information has already been disclosed publicly).
- Personal financial information, estate planning information, and gift planning information of a donor, prospective donor, or volunteer.
- Personal information related to a donor's private trusts or a donor's private annuities administered by an auxiliary organization
- Information related to fundraising plans, fundraising research, and solicitation strategies to the extent these activities are not already protected under other statutes.

Instructions for Making a Gift

Via Check by Mail:

Make your check or money order payable to "Cal Poly Humboldt Foundation", write the department, program, or fund you wish to donate to on the memo line.

Cal Poly Humboldt Foundation
Gift Processing Center, SBS 285
Cal Poly Humboldt
1 Harpst Street
Arcata, CA 95521

Giving Online

Visit giving.humboldt.edu and search for your favorite program or opportunity to support. Giving online is safe and convenient.

Via Phone

Donors can call (707) 826-5200 if they have any questions.

Fundraising Clearance Procedures

University Advancement bears overall responsibility for all philanthropic solicitations and stewardship activities of individuals, corporations, foundations, and other entities. In addition, the University Advancement office is charged with adhering to strict guidelines set forth by the Internal Revenue Service (IRS), the Office of the Chancellor (CO), the Council for Advancement and Support of Education (CASE), and other governing bodies. All fundraising and fundraising material, including brochures, pamphlets, websites, and the like by any individual, department, or organization should be vetted and approved by University Advancement.

In addition to fundraising clearance procedures, any individual, entity, program, department, college, or other organizations on campus must vet all charitable requests or solicitations through University Advancement.

All on-campus entities should consult with University Advancement before conducting any fundraising programming. The University Advancement Office has knowledge of appropriate tools and strategies to approach individuals and funders. In addition, the University Advancement Office can provide assistance to increase the impact of fundraising initiatives.

This includes:

- Annual solicitation of alumni, parents, faculty, staff, friends, and other community members
- Personal Solicitations for gifts greater than \$5,000 or of any amount from individuals who are assigned a relationship manager.

- Special fundraising appeals to various University constituencies regarding scholarships, memorial funds, fellowships, financial aid programs, professorships, endowed scholarships, etc.
- All University-sponsored fundraisers greater than \$5,000 in proceeds.

Fundraising and Event Administration

It is the responsibility of University Advancement to act as the managing and coordinating agency for all Cal Poly Humboldt fundraising activities. As such, all solicitations of funds from private individuals, foundations, businesses, corporations, and organizations must be coordinated through University Advancement. This includes all literature, brochures, booklets, newsletters, websites, and solicitation materials used to attract private funds.

California Government code 13402 and 13404 require that a system of internal administrative and accounting control be implemented so that reasonable assurances can be given that measures to secure assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies be followed. A satisfactory system of internal controls includes authorizations and record keeping procedures which are adequate to provide effective oversight of assets.

Fundraising Event Defined

Events conducted for the sole or primary purpose of raising charitable funds where participants make a charitable contribution and or make a purchase above the fair market value of goods or services.

Examples of common fundraising events:

- Auctions
- Raffles
- Dinners
- Golf tournaments

Examples of occasions not considered fundraising events:

- (Most) Alumni Relations events
- Sport camps
- Trade or business activities that generate fees for service

Plans for fundraising events must be reviewed and approved by University Advancement prior to the commencement of promotion for the event. The following are specific guidelines for specific types of fundraising events.

Raffles

The State of California authorizes raffles to be conducted for charitable purposes by certain eligible organizations. The Cal Poly Humboldt Foundation is the only organization authorized to

conduct raffles at Cal Poly Humboldt. Operators of raffles on campus must register with the Cal Poly Humboldt Foundation prior to any promotion for the raffle.

The elements of a raffle are:

- One or more prizes will be distributed
- Prize winners are selected by chance
- A person who has paid money receives a paper ticket with a detachable coupon or stub, both of which have a unique identifier
- The winner is determined by a draw from among the detached coupons or stubs
- At least 90% of the gross receipts from the sale of raffle tickets for a single draw must be used by the organization conducting the raffle for charitable purposes within the State of California.

Any raffle prize which is a contributed item must be received and receipted by the Cal Poly Humboldt Foundation as an irrevocable charitable contribution prior to the commencement of promotion for the raffle. This is done using a Gift-in-Kind reporting form, which establishes the Foundation as the owner of the item and sets forth the value of the item and the basis for determination of that value.

Raffle tickets may not be offered or sold over the Internet, although the organization's website may announce the raffle.

Promptly following the conclusion of the raffle, the operator of the raffle must report to the Cal Poly Humboldt Foundation the following information:

- The aggregate gross receipts from the operation of the raffle
- The aggregate direct costs incurred in the operation of the raffle
- The charitable purposes for which proceeds of the raffle will be used

Contests

A contest is any game, puzzle, scheme, or plan in which participants pay for an opportunity to receive or compete for gifts or prizes on the basis of skill or skill and chance. In order to avoid being classified as gambling, which is prohibited by State law, contests must be carefully conducted in accordance with the California Business and Professions Code. The key requirements are:

- The opportunity to win must require some element of personal skill in addition to chance. One individual may not win based upon another individual's performance or skill.
- No prizes can be awarded unless there has been a real contest in which at least a majority of the participants have failed to win.
- All prizes of the value and type represented before the contest must be awarded and distributed as a result of the contest. The opportunity to win a prize cannot be conditioned on a minimum number of entries or contest participants.

Any contest prize which is a contributed item must be received and receipted by the Cal Poly Humboldt Foundation as an irrevocable charitable contribution prior to the commencement of promotion. This is done using a Gift-in-Kind reporting form, which establishes the Foundation as

the owner of the item and sets forth the value of the item and the basis for determination of that value.

Contest and promotional materials must clearly and conspicuously disclose the following:

- All the rules, regulations, terms, and conditions of the contest.
- The total number of contestants anticipated and the percentage of contestants correctly solving each puzzle (based on prior experience) must be disclosed with the first solicitation and whenever payment of money is required to become or remain a participant.
- The exact nature and approximate value of the prizes must be disclosed clearly and conspicuously whenever prizes are offered.
- The method of determining prize-winners if a tie remains after completion of the last tie-breaker. Whether future contests or tie-breakers, if any, will be significantly more difficult than the initial contest.

There must be no representation that anyone has won any prize or item of value without an accompanying disclosure of the exact nature and approximate value of the prize.

Auctions and Sales

Auctions and sales are subject to California State Sales tax and must be registered with the Cal Poly Humboldt Foundation prior to commencement of promotion for the event. The key elements of auctions and sales are the full and accurate reporting of sales and the payment of sales tax, proper documentation of ownership and transfer to the buyer, and accounting for those occasions when a purchaser voluntarily pays more than the value of the item (thus making a partial charitable contribution).

- Any item offered for sale must be received and receipted by the Cal Poly Humboldt Foundation as an irrevocable charitable contribution prior to commencement of the auction or sale. The items sold are accepted using a Gift-in-Kind reporting form which establishes the Foundation as the owner of the item and sets forth the value of the item and the basis for determination of that value.
- If purchasing an item to sell at an auction it must be purchased with the associated foundation operations fund. (Please contact giving@humboldt.edu for more information)
- Any catalog, table cards, or other materials that set forth a suggested price for an item must also indicate the estimated value of the item.
- If a participant voluntarily pays more than the posted value of the item, a split gift will be recorded with the estimated value of the item recorded as non-charitable revenue and the excess recorded as a charitable contribution.
- Under no circumstances should purchases at a sale or auction be described as an exchange or a reward for making a charitable contribution. Such characterization would jeopardize the donor's income tax deduction.

Immediately following the end of the auction or sale the operator must provide University Advancement an accounting of the items sold, the sales price, and an inventory of any items left unsold.

Planning

Departments wishing to conduct fundraising events should start by considering various aspects related to the event such as:

- Purpose, plans, and goals of the event
- Date, time, and location of the event
- Number of individuals needed to run the event
- Preparation of a profit and loss budget for the event
- Number of participants and participant fee, if applicable
- Outside agencies/sponsors expected to be utilized in event
- Preparation of literature to be distributed in connection with the event
- Facility rental and food catering agreements

Approval of Event and Materials

Prior to any solicitation of funds, contractual commitments, sponsorships, literature distribution, spending, or other fundraising activities, the departmental unit must obtain approval by University Advancement.

Fundraising events with gross receipts greater than \$5,000 must be approved in writing by a delegated authority when the fundraising event utilizes the University name, logo, or trademarks or in any way represents that the University will benefit from the proceeds. Prior to the event, the delegated authority reviews the fundraising event's budget, drafts of solicitation materials, and action plan to comply with federal, state, and local regulations.

The event budgets, drafts of solicitation materials, and action plans for compliance with federal, state, and local regulations must be reviewed by a delegated authority prior to the event.

Any literature, including brochures, booklets, and letters used to solicit funds to the University shall be reviewed and approved through University Advancement so that the most accurate information appropriate to a particular fundraising effort is reflected.

University Advancement will be responsible for establishing and maintaining a master calendar that incorporates the schedule of all fundraising mailings and solicitations.

Fundraising Event Authorization – requires University Advancement's approval. California State University policy requires fundraising events that have budgeted revenue of \$5,000 or more be approved by the University's designated person. The Vice President for University Advancement has been designated as Cal Poly Humboldt's approving officer. For the approval purposes, the following items should be provided to University Advancement three months prior to the event:

- The budget for the event (an Excel spreadsheet is preferred)
- All contracts or agreements (if applicable)
- The flier and other promotional materials
- A description of the event and its fundraising purpose
- Revenue received, broken out by ticket sales, sponsorships, auction items, raffles, merchandise, etc.

Required Information for reporting:

- Date and location of the event
- Total funds received
- Total expenses for conducting the event
- Charitable or beneficial purpose for which proceeds will be used

Accounting for fundraising expenses and cash receipts must be recorded and readily available for reporting on the Cal Poly Humboldt Foundation's 990 form. Expenses and revenues of an event should all be recorded in the same unit. Expenses should not be recorded in one business unit and revenues in another business unit.

Donor Relations

It is essential that the University is coordinated in outreach and engagement of donors, and particularly in solicitation of all major gifts. Each gift has unique circumstances and requires strong coordination and communication.

Donors with significant capacity and interest in supporting Cal Poly Humboldt are assigned a representative by University Advancement called a relationship manager. The relationship manager is responsible for cultivating the relationship between the donor and their area of interest on campus to best structure a major gift to the Cal Poly Humboldt Foundation. The relationship manager also works to engage others on campus to meet with the donor, provide expertise on the donor's area of interest, and more.

Each interaction between a prospective major gift donor and the University is documented with a Contact Report. All University employees, volunteers, and others working on behalf of the University are expected to follow the Contact Report Guidelines for documenting contact with donors and prospective donors. These Contact Reports provide an important institutional history and help continue the relationship over many years.

A Contact Report is filed after an interaction with a prospect or donor when significant or strategic information is obtained or for internal strategy discussion with key stakeholders. They can be about visits, phone calls, emails, texts, letters, and events for the purposes of cultivation, solicitation, stewardship, or discovery .

What information should be included in a Contact Report?

Category of contact (meeting, phone call, email, etc.)

Type of contact (Qualification, Cultivation, Solicitation, etc.)

- Prospect's name
- Date of contact
- Participants' names
- A summary of activity
- Next steps and follow up actions needed

What information should NOT be included?

While all Contact Reports are considered confidential, highly sensitive and personal information should NOT be included and is generally not critical to the nature of the fundraising process.

Additionally:

- As a public institution, be cautious of what we include in contact reports as they may become public in certain circumstances.
- Nothing should be included in the Contact Report that would be embarrassing to the prospect.
- Nothing about the prospect's medical history should be included (per HIPAA privacy regulations).
- While Social Security Numbers may be involved in the receipt of a major gift, they are never to be documented nor stored.

Foundation Funds

The following details gifts from donors that establish new funds in the Foundation Accounting system. It defines minimum amounts to create a fund as well as the different types and how they operate.

Definitions

Current Use Funds:

Funds that may be expensed immediately.

Endowed Funds:

Gifts that are invested with the Foundation to grow and provide annual distributions. These investment earnings are placed in a Current Use Fund to be spent by designated Cal Poly Humboldt employees.

Creating Funds

The Foundation may create a new fund for any specific need. There is no minimum donation requirement. These often include funds for new Academic or Student Support departments or programs.

Creating Funds with Specific Donor Restrictions

The minimum donation to have a new fund created and stewarded at the Foundation is \$10,000. At this level the donor may suggest a name and provide specific restrictions for the use of the donated funds. This agreement will be made in writing and signed by the Vice President of University Advancement.

For gifts less than \$10,000, a donor may give general restrictions and the Foundation and University Advancement will steward these restrictions within the Foundation's existing fund structure. *Example: A donor gives \$1,000 to the Biology Department for lab equipment. The specific restriction would be noted and the gift would be placed in the Biology Department Fund*

Creating an Endowment

With a minimum \$25,000 gift, the donor may create an endowed fund within the Foundation's overall Endowment, which provides a perpetual distribution of revenue for a specific purpose. A Current Use Fund is commonly also created that can receive the annual distribution from the endowed funds and additional donations as well.

Example: A donor Provides \$25,000 to Endow a Biology Department Equipment Fund, and the fund is named in recognition of the donor or to honor another individual. The new endowed Fund will track investment performance alongside other endowed funds and make perpetual distributions annually to the new current use fund. The new current use fund spending is limited to the agreed-upon uses.

Additional donations may be made to either the Endowment or the Current Use fund. A gift to the Endowment increases the invested amount to make future distributions larger. A gift to the Current Use Fund increases the amount available to spend immediately.

Gift Acknowledgment

Every charitable gift to the Cal Poly Humboldt Foundation receives a gift acknowledgement letter, and may receive various types of recognition based on the type and amount of the gift. The acknowledgement letter includes the gift amount, designation, and any other pertinent detail or IRS required language. Gifts are recorded in the donor and alumni database.

In acknowledging these gifts, for income tax purposes donors are notified that no goods or services were received for gifts of cash. Benefits received will be noted at the fair market value.

Foundation Fees

Each donation to the Foundation is assessed a one-time administrative fee equal to 5% of the donation, and endowments are assessed an annual 1.5% fee. The fees are used to help defray some of the expenses of administering charitable contributions, as well as engaging and stewarding donors. The University also provides a significant subsidy to help with these expenses. This is relatively typical of university foundations, and allows fully 95% of each charitable contribution to be used directly for the intended philanthropic purpose, which is significantly higher than most charities can promise. For an FAQ about Foundation Fees, see Appendix B.

Donor Gift Reconciliation

At the end of each month, summary reports detailing all gifts posted to the donor database for the month are generated. These reports are reconciled to the posted transactions in the General Ledger to assure each gift is properly recorded into the Cal Poly Humboldt Foundation accounts. Any discrepancies are researched and corrected.

Each cash translation is reviewed to verify:

- Account name and number
- Transaction Date
- Donor or payee name
- Gift amount
- Gift type
- Receipt number
- Acknowledgement letter

To meet the requirements for document retention, University Advancement is tasked with adequately safeguarding donor information. Each gift file is scanned and saved on the centralized server for record keeping purposes.

No Personal and Off-Campus Bank Accounts

Donations to Colleges and Departments must be deposited in a Cal Poly Humboldt Foundation account.

Whenever University resources are utilized or the name of the University is used, no outside bank accounts may be established, nor may the name of the University or program associated with the University be identified with an account held off campus. Under no circumstance it is permissible to establish or maintain an off campus account when any of the above described conditions prevail.

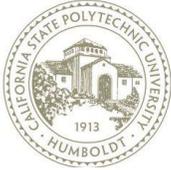
Deans, directors, department chairs, and department heads are responsible for enforcement of these policies within their respective areas of responsibility. Questions concerning this may be addressed to the Cal Poly Humboldt Foundation.

Fundraising Response to a Crisis

Cal Poly Humboldt is occasionally called upon to be involved in raising funds to support those affected by a crisis. The type of fundraising that may be appropriate varies by the type of crisis.

University Advancement and the Cal Poly Humboldt Foundation utilize a set of key principles to make a determination about this, which may be found in Appendix C.

Appendix A



Cal Poly
Humboldt.
Office of the President

August 3, 2023

Frank Whitlatch
Vice President, University Advancement
Cal Poly Humboldt

Dear Vice President Frank Whitlatch,

This letter delegates to you, as Vice President for University Advancement, the authority to execute, either electronically or manually, transactions and documents associated with the following gift acceptance activity at Cal Poly Humboldt:

- Evaluation and acceptance of gifts, bequests, and donations of personal propertyⁱ
- Evaluation and acceptance of gifts, bequests, and donations of interests in real property on behalf of the Board of Trustees when acceptance has been authorized by a resolution of the Board of Trustees or is part of an approved campus master plan (Standing Orders, Chapter III, Section 7-b)ⁱⁱ
- Evaluation, acceptance, and designation of who may use gifts providing a personal benefit to an official of the university as required by California Fair Political Practices Commission regulation of [Gifts to Agency](#)ⁱⁱⁱ
- Evaluation and approval of matching gift certifications
- Contemporaneous acknowledgement of gifts for IRS purposes^{iv}
- Authority to make further gift acceptance delegations

H.

1 Harpst Street, Arcata, CA 95521-8299 • Siemens Hall, Room 224 • 707-826-3311 • HSUpres@humboldt.edu • President.Humboldt.edu

THE CALIFORNIA STATE UNIVERSITY • Bakersfield • Channel Islands • Chico • Dominguez Hills • East Bay
Fresno • Fullerton • Humboldt • Long Beach • Los Angeles • Maritime Academy • Monterey Bay • Northridge • Pomona
Sacramento • San Bernardino • San Diego • San Francisco • San Jose • San Luis Obispo • San Marcos • Sonoma • Stanislaus

In acting pursuant to this delegation, due diligence must be performed to ensure that all gifts accepted will aid in carrying out the primary functions of the California State University as specified in Education Code sections 89720^v and 66010.4(b)^{vi}. Further, all gifts, bequests, devises, and donations which are accepted must be used in accordance with restrictions specified by the donor. In the performance of these activities, designees shall adhere to the spirit as well as the letter of all applicable laws and regulations. All advancement programs and activities shall adhere to the Code of Ethics and Standards of Practice set forth by the Council for Advancement and Support of Education, the National Association of College and University Business Officers, and the Association of Fundraising Professionals.

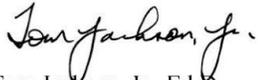
By signing this form, I understand that this authorization may be rescinded at any time, without notice, at the discretion of management.

Designee's Name: Frank Whitlatch, Vice President for University Advancement

Designee's Signature: 

The person named above, as the Vice President for University Advancement is designated to act on behalf of the California State University for the gift acceptance authorizations noted above and is hereby authorized to submit documents associated with such activity.

Sincerely,



Tom Jackson, Jr., Ed.D.
President, Cal Poly Humboldt

cc: Chrissy Holliday, Vice President, Enrollment Management & Student Success
Jenn Capps, Provost and Vice President, Academic Affairs
Sherie Cornish Gordon, CFO and Vice President, Administration & Finance
Anthony Casas, Associate Vice President and Chief Human Resources Officer, Human Resources

ⁱ An individual delegated gift acceptance authority should be a director level or above. An exception can be made for members of a gift acceptance committee. Any conditions or limitations to the authority should be noted in the narrative section.

ⁱⁱ This authority may only be delegated by the chancellor or president. Note that this authority relates to gifts of real property to the state university. Generally, real property should be accepted to an auxiliary where the asset could be sold without legislative approval.

ⁱⁱⁱ This authority may only be delegated by the chancellor or president.

^{iv} Gifts received by an auxiliary must be acknowledged by an official representative of the auxiliary.

^v Education Code section 89720. The trustees may accept on behalf of the state any gift, bequest, devise, or donation of real or personal property whenever the gift and the terms and conditions thereof will aid in carrying out the prime functions of the California State University as specified in Section 66010.4(b). Neither 11005 of the Government Code nor any other law requiring approval by the state officer of gifts, bequests, devises, or donations shall apply to these gifts, bequests, devises, or donations. These gifts, bequests, devises, or donations, and the disposition thereof, shall be annually reported to the California Postsecondary Education Committee, the Joint Legislative Budget Committee, and the Department of Finance by January 5 of each year.

^{vi} Education Code 60010.4(b) The California State University shall offer undergraduate and graduate instruction through the master's degree in the liberal arts and sciences and professional education, including teacher education. Presently established two-year programs in agriculture are authorized, but other two-year programs shall be permitted only when mutually agreed upon by the Trustees of the California State University and the Board of Governors of the California Community Colleges. The doctoral degree may be awarded jointly with the University of California, as provided in subdivision (c) and pursuant to Section 66904. The doctoral degree may also be awarded jointly with one or more independent institutions of higher education, provided that the proposed doctoral program is approved by the California Postsecondary Education Commission. Research, scholarship, and creative activity in support of its undergraduate and graduate instructional mission is authorized in the California State University and shall be supported by the state. The primary mission of the California State University is undergraduate and graduate instruction through the master's degree.

Appendix B

Contribution Administration Fee FAQ

Q. How much is the fee?

A. Each donation to the Foundation is assessed a one-time administrative fee equal to 5% of the donation.

Q. Why does the Cal Poly Humboldt Foundation have a Contribution Administration Fee?

A. The Foundation's work administering charitable contributions, as well as engaging and stewarding donors, is significantly subsidized by the University. The fee is used to help defray some of the expenses.

Q. How are operations of the Cal Poly Humboldt Foundation funded?

A. In addition to stateside funding from the University, Foundation operations are funded through a combination of investment earnings on short-term funds, endowment management fees, and contribution administration fees.

Q. Do other colleges and universities charge gift fees? Nationally? In California?

A. A gift fee of 5% is not uncommon at university foundations throughout the country. In fact, 5% is a relatively low rate, allowing 95% of each charitable contribution to be used directly for the intended philanthropic purpose, which is significantly higher than most charities can promise.

Q. Can the gift fee be waived?

A. If a gift is made by a private foundation that has a written policy stating it will not pay contribution administration fees, the Cal Poly Humboldt Foundation will consider waiving the fee in order to be able to accept the gift. Other requests for waiver may be considered on a case-by-case basis.

Q. Can donors increase their gifts to cover the cost of the fee?

Many donors are willing to increase their contributions to cover the 5% Contribution Administration Fee. If you have any questions about this, please contact the Foundation at 707-826-5200 or email giving@humboldt.edu.

Q. Does the Cal Poly Humboldt Foundation charge other fees on donations?

A. No, the Contribution Administration Fee is the only fee charged directly on donations.

Q. What other fees are involved in the operation of the Cal Poly Humboldt Foundation?

A. In addition to the Contribution Administration Fee, the Foundation assesses a 1.5% fee annually on endowed funds to help defray operational costs. The Foundation's investment advisor is paid an annual fee, while the different fund managers charge varying percentage rates, and this is reflected in overall investment returns that are reported "net of fees." The Foundation covers the fees charged by third-party vendors for use of credit cards.

Appendix C

Fundraising Response to a Crisis

Cal Poly Humboldt is occasionally called upon to be involved in raising funds to support those affected by a crisis. The type of fundraising that may be appropriate varies by the type of crisis. Decisions about the type of fundraising are guided by University Advancement and the Cal Poly Humboldt Foundation, utilizing the key principles described below.

For the purposes of this procedure a crisis is differentiated from systematic and ongoing needs through which a student support program already exists or programmatic resources are available. Examples include: hunger, homelessness, pandemic, etc.

Assessing the Nature and Scope of a Crisis Situation

The decision whether to mobilize a fundraising response to a crisis situation is nuanced. To help guide the decision making and responses, below are five incident types to consider:

TYPE A: Incident Beyond California

The world experiences many disasters and other traumatic events. It can be challenging to identify when, if ever, to engage in campus fundraising efforts to help. However, there may be times when an incident rises to such a level that the campus joins with others to provide support. Examples include: Hurricanes, International Crisis

TYPE B: Incident within California

An acute regional crisis, happening outside Cal Poly Humboldt's property and main population centers, but may have a secondary effect on students and staff members. Examples include: fires, earthquakes, floods, community violence, etc.

TYPE C: Incident Affecting up to 10 Campus Community Members

A regional crisis) happening within Cal Poly Humboldt's property or population center and directly affecting a relatively small number of Cal Poly Humboldt constituents. Examples include: Major fire 50-100 miles from campus

TYPE D: Incident Affecting Large Numbers of Campus Community Members

A direct campus crisis affecting a large number of campus community members. Examples include: Regional Crises up to 50 miles from campus

TYPE E: Incident Directly Affecting Campus and Campus Community Members

Incidents that affect both the campus and a significant number of campus community members are the most obvious candidates for a philanthropic effort. These efforts can be difficult, due to the campus resources being deployed to respond to the incident itself. Consider seeking support from other CSU campus Development Offices, similar to the mutual aid response in other areas.

Fundraising Response

There are four tiers of Fundraising response that can be triggered, depending on the type of incident. The response to the incident is guided by the tier of involvement. For example, an incident type within Northern California that has a secondary effect on students and staff members, such as a distant wildfire that closes roads to Humboldt County, may need a Tier 2 response in which campus acknowledges the incident and provides links to resources for those affected or those wanting to donate. However, the same incident may eventually result in air quality issues that directly affect much of the campus community.

When considering a fundraising response to a crisis, the Foundation is not the best organization to collect funds when one or more of these apply:

- Resources collected are not going directly to students or other members of the campus community.
- Physical goods are being collected.
- Another reputable organization is more connected to those being served and has the pathways for collecting funds.
- Another campus group/reputable organization has more technical expertise in, and bandwidth for, collecting resources.
- It is a more efficient use of resources to give directly to another reputable organization.

The tier of fundraising response will need to be determined with each incident type that arises, taking into consideration the known and potential impact to the campus and community populations, the resources necessary to mitigate harm, and the capacity for the University to meet the need through existing channels. The decision regarding University Advancement's level of involvement will depend on the specifics of the situation. This decision will be made by the Vice President for University Advancement after necessary consultation on campus. Key questions to ask when considering tier level include: Will the Foundation be collecting funds? If so, will it do so passively or actively?

TIER 1: No Fundraising Response

A crisis has been communicated to the VP of University Advancement and, using the guide above, the scope of the crisis is beyond Cal Poly Humboldt's ability to appropriately and efficiently help.

Fundraising Response for Tier 1: No action is needed.

Steps to be taken:

- Craft a statement to be ready to be shared if needed, such as response to individual email inquiries on why no action is being taken or inquiries about other ways to help.

TIER 2: Point to Other Resources Available

A crisis has been communicated to the VP of University Advancement and, using the guide above, the scope of the crisis is beyond University Advancement's ability to help philanthropically (by collecting funds or resources) or active fundraising may deter or compete with the ongoing response. However, the incident warrants a statement of support from Cal Poly Humboldt.

University Advancement Response for Tier 2: Work with another campus group/reputable organization to help list resources of how to help and where interested parties can best direct their gifts.

Steps to be taken:

- Gather list of reputable organizations responding to Crisis.
- Craft a statement to be ready to be shared if needed, such as response to individual emails inquiries, email communications to campus community, or press release.

TIER 3: Fundraising for Operational Support

A crisis has been communicated to the VP of University Advancement and, using the guide above, the scope of the crisis directly affects a sector of the campus community, is within our ability to help philanthropically (by collecting funds), active fundraising does not deter or compete with the ongoing response, and the incident warrants more than a statement of support from Cal Poly Humboldt.

Advancement Response for Tier 3: Once it is decided a Tier 3 response is appropriate, the Foundation collects monetary gifts on behalf of another campus group/reputable organization (including other CSU campuses) using the [Campus Emergency Fund](#) or other crowdfunding platform and promotes the response spearheaded by the identified campus group/reputable organization.

Steps to be taken:

- Generate creative briefs for the crisis and action to be taken.
- Craft a statement to be ready to be shared if needed, such as response to individual emails inquiries, email communications to campus community, or press release.
- Activate the [Campus Emergency Fund](#) page or create a crowdfunding page with a specific story on why it's necessary to raise funds.
- Update giving website banner with link to [Campus Emergency Fund](#) or crowdfunding page.
- Update the humboldt homepage with an easy to find button linking to the [Campus Emergency Fund](#) or crowdfunding page.
- Press release with information about the crisis and how to give.

- Optional: social media posts/share posts from campus group/reputable organization
- Send tax receipts and gift acknowledgement letters.
- If applicable, follow-up press release to report impact of gifts and thank you to donors.

In Tier 3, active Fundraising Priorities are not put on hold. Crisis Support is alongside the current fundraising calendar.

TIER 4: Full Fundraising Effort Launched and Priority is Actively Soliciting Support

A crisis has been communicated to the VP of University Advancement and, using the guide above, the scope of the crisis is within our ability to help philanthropically and affects a relatively large portion of our campus population or campus and surrounding community populations. This would halt current fundraising efforts to specifically focus on the crisis at hand.

Advancement Response for Tier 4: Once it is decided a Tier 4 response is appropriate, the Foundation collects monetary gifts using the [Campus Emergency Fund](#). Advancement begins mass solicitations, major gift asks and crowdfunding campaigns. The Emergency Operations Center and MarCom take the lead on communications. Once cleared, the Foundation promotes the University's response by circulating press releases, social media posts, etc. If called upon, the Foundation may collect non-monetary resources (only when called on by EOC). Depending on the projected length of the crisis, short and long term communications plans may need to be created.

Steps to be taken:

- Generate a creative brief for the crisis and actions to be taken.
- Craft a statement to be ready to be shared if needed, such as response to individual emails inquiries, email communications to campus community, or press release.
- Create a web page with information and links to the full fundraising campaign.
- Update giving website banner and or homepage with link to fundraising campaign.
- Update the humboldt homepage with an easy to find button linking to the crowdfunding page.
- Full file solicitation to go out as soon as fundraising materials are prepared.
- Consider major gift asks as appropriate.
- Press release with information about the crisis and how to give.
- Optional: social media posts/share posts from campus group/reputable organization
- Send tax receipts and gift acknowledgement letters.
- Press release to report impact of gifts and thank you to donors.

In Tier 4, active Fundraising Priorities are put on hold. Crisis support is the priority over the current fundraising calendar.