UNIVERSITY OF GHANA

OFFICE OF RESEARCH, INNOVATION AND DEVELOPMENT (ORID)

GUIDELINE FOR RESEARCH FUND RAISING

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1.0   Purpose

The purpose of this guideline is to establish a framework that promotes coordination, collaboration and management of research fundraising activities across the University, its Colleges, Faculties, Research Institutes, Centers and all other units.

The guideline seeks to

a) Help unleash the unexploited potential of donors for funding research;
b) Promote ethical practices in research fund raising;
c) Protect the rights of donors in funding research;
d) Raise funds to augment current fund raising efforts at the University;

A Report on Engaging Philanthropy for University research published by the European Union, a document on Developing Fundraising Policies and Procedures: Best Practices for Accountability and Transparency published by the Association of Fundraising Professionals, Donor Recognition Policies and Procedures of the University of Northern British Columbia, Idaho State University Foundation Naming Opportunities and Donor Recognition Policy, fund raising policies of Bond University and University of Technology Sydney as well as related policies from the University of Ghana were referred to in the development of this policy.

Any related enquiries on the policy should be directed to the Pro Vice-Chancellor; Research, Innovation and Development.

2.0   Scope

This guideline shall apply to all staff, students, volunteers and associates who engage in research fund raising activities for and on behalf of the University of Ghana. Fund raising activities include the identification, cultivation, solicitation and stewardship of prospective sponsors of the University.

3.0   Definitions

Word / Term	Meaning or Definition
Associate	A person with a professional or friendly relationship with the University.
Confidential Information	Refers to information that UG has a legitimate interest in protecting from unauthorised access or disclosure, except as may be required by law. Such information include knowledge, records or data, in any form (written, electronic, or oral), contents of project files, strategic plans, terms, and conditions of gift agreements (completed or under negotiation), donor information (for example, appraisals, giving histories, personally identifiable information such as social security numbers, bank accounts, credit or debit card numbers, contents of official personnel files, and sensitive scientific data.
Confidentiality Agreement	A standard written agreement between two or more parties used to signify a confidential relationship between the parties. Any individual that may have access to sensitive information is often required to sign a confidentiality agreement and it is often a clear indication that the information is private. This type of agreement is used as an incentive to build trust between the parties and it is often used as clarification in the event of a legal battle.
Conflict of Interest	An overlap between an individual's professional obligations and his or her private interests. Such conflicts may not be unethical and do not constitute or imply any wrong-doing, but they may lead to actual misconduct when considerations of personal gain, influence or compromise an individual's judgment and actions in the performance of his or her primary responsibilities.
Donation	A voluntary transfer of money, property or other resources to the University

Word / Term	Meaning or Definition
	for research where no material benefit is received by the donor from the University in return.
Donor	A person or organisation that provides funds to support research. A donor may be an **active donor** (*currently provides funding for research to UG or supported UG in the past)*; or a **prospective donor** *(i.e., institutions, organizations or individuals with a potential to offer research funds to the University).*
Evaluation	The assessment or appraisal of fund raising activities.
Fund Raiser	A staff, student, faculty, volunteer, agent, alumni or associate who engages in or conducts research fund raising activities for and on behalf of the University.
Research Fundraising	All activities undertaken on behalf of the University with the aim of soliciting and receiving funds or other resources from individuals, government organisation, businesses, etc. for research. Activities include responding to calls for proposal, use of networking, referrals, etc.
Gift	Property or money transferred to the University of Ghana voluntarily where no material benefit is received by the donor. The money or property would be owned in full by the University once received.
Grant	Financial assistance received from grant-making entities to the university. Grants may be treated as donations if the grant does not involve the return of any material benefit to the grant maker.
Monitoring	The systematic and continuous process of checking to ensure the objectives of the policy is being achieved. It includes the collection and analysis of information regarding the progress of implementing the policy.
O(RID)	Office of (Research, Innovation and Development)
Recognition	All actions taken by the University to recognize or acknowledge the generosity of donors.
Staff	A person employed by the University. It includes professional, academic, administrative, assistantships, full time, part time, paid, support staff, etc.
Student	A part-time or full-time student enrolled in an undergraduate or post graduate programme.
University or UG	University of Ghana
Volunteer	A person who willingly offers to raise funds for research without pay.

4.0   Principles

4.1 Registration of UG with Donor Agencies

The University shall take practical steps to ensure that it is registered with all its donor agencies and prospective donor agencies. Registration will be done by ORID in order to avoid duplication and also assist in the effective management of all donor relations. Thus all units are required to furnish ORID with the required information on registration.

4.2 Gift Solicitation and Acceptance

The University would solicit for gifts/grants as a means of raising funds for research. Only gifts/grants that are ethically acceptable and given by donors not in dispute would be accepted by the University. The University would also develop modalities for soliciting and accepting gifts. Persons who intend to or are engaged in fundraising are required to notify ORID of their activities in order for solicitation to be conducted in a coordinated manner.

4.3 Database development and management

4.3.1 Donor Database

The University shall develop and maintain a database of all donors or funders of research. The database is expected to help in identifying donors / research funders and aid the University in planning its fund raising activities to coincide with donor funding cycles. Additionally, it will serve as a guide to researchers at the University by making readily available donor requirements so as to increase the University's success rate in grant applications.

4.3.2 Database of University's Research Strengths

The University would develop and maintain a database of its identified research strengths. This would provide firsthand information to donors on the capabilities of the University with regard to research. This database is expected to provoke donor interest.

4.4 Donor Privacy/Confidentiality

The University is committed to respecting the privacy of its donors and the sensitivity and security of personal information. The University shall comply with all laws in Ghana and other relevant laws relating to the confidentiality and rights of donors.

As such, all information concerning donors or prospective donors, including;

i. Contact information: name, address, telephone number and email address;
ii. Giving information: Names of their beneficiaries, the amount of their gift, donation, etc.,
iii. Information provided by the donor in the form of comments and suggestions
iv. Information on events attended, publications received and special requests for program information etc. shall be kept strictly confidential by the University, its staff and agents, unless it is to further the activities and purposes of donors and permission is explicitly obtained from donors to release such information or when required by law. Use of donor information will be limited to the internal purposes of the University.

A fund raiser working for and on behalf of the University shall read and sign a Confidentiality Agreement. Violation of such a policy would be grounds for discipline and/or removal of the offending people from their positions with the university.

4.5 Donor Recognition

The University will recognize the generosity and commitment of individuals, corporations, foundations, trusts and other organizations that support its research goals. This would provide the mechanism for ORID to maintain a positive and mutually beneficial relationship with donors in order to generate future and potentially greater levels of donor support.

Every donation/grant shall be properly recognized and acknowledged promptly. The University will promptly acknowledge the receipt of all grants made to it and thank the donor in the form of a letter. Letters of appreciation will be normally issued by the Vice Chancellor but may be issued by the Pro-VC (RID) or by Provosts, Deans and Heads of Academic Units if more appropriate.

4.6   Donor Relationship Management

The University will manage its relationships with donors and prospective donors in a consistent and mutual fashion. The University will adopt a donor-centred approach to request for research grants, based on an understanding of the donor's interests as well as the needs of UG.

Donor relations will consist of three distinct elements:

1. *Acknowledgement* — All donations to the University will be promptly and properly receipted. ORID will provide such acknowledgement on behalf of the University.
2. *Recognition* — The University may publicly demonstrate its appreciation for the support given by donors through donations and grants in a number of ways.
3. *Stewardship* — The University accepts responsibility for advising donors on the use of funds donated and the impact of their giving.

4.7   Special Donor Events

Special donor events for research shall play a particularly unique and essential role in the University of Ghana's calendar. As such the University shall assign a day for Special Donor event for an interaction between key personalities of the University and donors to identify research interests of donors and that of UG. This is expected to increase gift support for the University and to help build and expand relationships vital to its future.

4.8   Conflict of Interest

A fundraiser must always reflect the highest standards of ethical behavior, integrity and public responsibility during the cause of research fundraising. Fund raisers are therefore, expected to conduct their fund raising activities in ways that will avoid potential conflicts of interest or allow conflicts to be managed. Where the activity cannot be managed to avoid the conflict, the fundraiser must refrain from participating in that activity. Situations that might entail or create a conflict of interest may include but not limited to the following;

i. Grants that might subordinate the direction and control of the University's research and other activities to any outside authorities.
ii. Entering into consulting agreements that purport to transfer the University's intellectual property to a private entity.
iii. Participation in research that is funded by an entity in which the fundraiser or the faculty member's family is involved or holds a significant financial interest.
iv. Having significant involvement and/or financial interest in an entity that does business with the University.
v. Use of one's professional expertise to provide services that compete with services provided by an academic entity within the university.

Disclosure statements must be filled a) before final acceptance of a contract, grant or gift and (b) when funding is renewed.

4.9   Roles and Responsibilities

The task of research fundraising is a collective responsibility of all UG staff. However, the under listed office holders are expected to perform the designated responsibilities.

i.   **Accountable Officer:**
        Pro Vice Chancellor (Research, Innovation and Development)

ii.   **Implementation Officers:**
        Director (Research Services), Director (Development/Innovation) and Director (Public Affairs).

iii.   **Research Development Officers are responsible for:**
   a. Working in partnership with UG staff to implement strategy for donor and prospect engagement
   b. Managing donor relations for the University
   c. Developing and implementing strategies for donor prospect engagement

iv.   **ORID** is responsible for:
   a. Maintaining a list of approved fundraising priorities;
   b. Facilitating a process to govern relationship management and solicitation of donations
   c. Maintaining an external Relations database
   d. Managing the acceptance, processing and disbursement of donations to UG.

4.10   Dispute Resolution

Any dispute or difference between the parties in connection with this policy shall be referred to mediation in the first instance and subsequently to arbitration under the Alternative Dispute Resolution Act 2010, Act 798. Any challenge to an arbitration award shall first be to the University of Ghana Appeals Board and then to the High Court if necessary.

4.11   Non Compliance

Violations of the requirements of this guideline by any employee may subject the employee to University sanctions.

5.0   Version Control and Change History

Version Control	Effective Date	Approved By	Amendment
1. Version 1	**May 2014**	**ORID Management Board**	