



## FUNDRAISING ACTIVITIES

**Authority:** Regents Policy Doc. 19-14: Naming of University Facilities and Lands  
Regents Policy Doc. 22-4: Fundraising Principles and Guidelines  
UWS Admin. Policy 342: Extramural Support Administration

**No:** SAAP 9-1

**Initiator:** Vice Chancellor for Advancement  
Vice Chancellor of Finance & Administrative Affairs

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**Responsible Party:** Vice Chancellor for Advancement

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### I. PURPOSE

This policy governs fundraising activities by or on behalf of UWM in order to maximize philanthropic gifts and effectively steward our donors. It does not cover solicitation and administration of grants, contracts or other extramural funds administered by the Office of Sponsored Programs.

### II. DEFINITIONS

**Capital Project** includes construction or purchase of major capital assets or extensive renovation of existing spaces; examples include construction or renovation of buildings, classrooms, laboratories, performance spaces, galleries, athletic facilities, and major equipment purchases.

**Current Use** funds are those intended to be expended for a charitable purpose. Current Use funds may also be described as operating funds, expendable funds, and income/principal cash funds. Monies available in the spending accounts of Endowments are intended to be expended, and thus may also be considered Current Use funds.

**Endowments** are funds that are intended to last in perpetuity, or that are invested over a substantial period of time. For purposes of this policy, Endowments at the UWM Foundation shall include traditional (permanent) endowments, flexible funds, and intermediate term (modified) funds; Endowments at the UW System Trust Fund shall include “Long Term Funds.”

**Gift** as defined by UW System policy, a gift or gift in-kind is extramural support that meets UW System’s gift criteria in [UWS Admin Policy 342](#).

**Memorandum of Agreement (“MOA”)** is a contract (also known as a gift agreement) between a donor, the UWM Foundation, and the Board of Regents of the UW System on behalf of UWM; it governs the value, purpose and permanence of the gift, any terms of gift administration, any naming recognition provided for the gift, and alternative uses of the gift if its original purpose becomes impossible in the future.

**Naming Recognition** includes:

**Honorific naming:** honoring a person (usually deceased) who made a highly significant (usually non-monetary) contribution to the academic programming or success of UWM; and

**Philanthropic naming:** recognizing a significant gift for UWM.

Naming recognition may include the naming of Endowment funds, faculty or administrative positions, physical spaces, or academic programs.

**Prospect management** provides a process for determining the most advantageous strategy and point(s) of contact to solicit and steward a specific donor. The Vice Chancellor for Advancement (“VC Advancement”) is responsible for establishing and maintaining prospect management practices and assigning prospect managers.

**Stewardship** is the process that occurs *after* a donor has made a philanthropic gift. Effective stewardship includes thanking the donor promptly, administering the gift as the donor intended in a timely way, and informing the donor about the positive impact of the gift.

### III. **POLICY**

#### A. **SUPERVISION OF FUNDRAISING ACTIVITIES BY ADVANCEMENT**

The UWM Office for Advancement & Alumni Relations (“Advancement”) under the leadership of the VC Advancement serves as the primary fundraising unit for UWM. All campus units must work with Advancement in their fundraising activities. Any efforts to raise funds from individuals, alumni, corporations, and/or foundations, or to retain staff or advisors to participate in such activities, must be done in coordination with Advancement. All campus units must observe applicable codes of ethical behavior for fundraising professionals and follow applicable prospect management practices established by the VC Advancement.

The UWM Foundation, Inc., an independent 501(c) (3) charitable organization, invests and manages charitable gifts for the benefit of UWM.

#### B. **ADMINISTRATION AND STEWARDSHIP OF GIFTS**

Campus units must administer gifts consistent with the donors’ wishes and in compliance with UWM policies; this requires expending gifts for the purpose and in the manner intended, and stewarding donors appropriately. If a campus unit demonstrates an inability to administer philanthropic gifts appropriately, the Chancellor, in consultation with the appropriate dean/director, Provost, VC Advancement, and UWM Foundation, may appoint an alternative administrator. All gifts for Endowment, or for which UWM offers naming as recognition, must be memorialized with an MOA. Advancement and Legal Affairs must review criteria for selecting scholarship, fellowship or professorship recipients to ensure compliance with current law and university policy. Donors may not select the recipients of their scholarship, fellowship or professorship gifts.

#### C. **PROHIBITED GIFT TYPES**

UWM will not accept the following as gifts:

- Gifts inconsistent with the standards outlined in [UW System Administrative Policy 342](#);
- Gifts that violate a federal or state law;
- Gifts unreasonably difficult or expensive for UWM to administer;
- Gifts acquired by illegal means;
- Gifts unreasonably restrictive in purpose;
- Gifts donated for a purpose that does not further UWM’s mission;
- Gifts that cause damage to the reputation of UWM or the UWM Foundation (Note: UWM presumes donors will not cause UWM business or reputational harm.);
- Gifts that jeopardize the tax-exempt status of UWM or the UWM Foundation; or,
- Gifts that provide a donor with goods or services of financial value in return for the gift, including a gift from a UWM employee that is restricted to support or directly benefit the employee’s own work or that of their immediate family member at UWM.

Questions regarding whether a gift is prohibited by the above restrictions should be discussed with the immediate supervisor of the UWM employee who is soliciting the gift. The supervisor may consult with the relevant division head, Advancement, and UWM's Office of Legal Affairs, as necessary.

#### **D. DONOR AUTHENTICATION AND SCREENING**

UWM must endeavor to authenticate the identity of a prospective donor, and complete restricted party screening, prior to acceptance of the donor's proposed gift under certain circumstances outlined below.

1. The purpose of donor authentication is to protect the assets and reputation of UWM by ensuring parties are who they purport to be. This authentication requirement applies to all donors, including individual, corporate, foundation, or governmental (domestic or foreign), making a gift **valued at \$50,000 or more** intended for UWM or the UWM Foundation.
2. The purpose of restricted party screening is to ensure that UWM is not accepting funds from any individual or entity who is considered a restricted party by relevant U.S. agencies.
3. Donor authentication and restricted party screening shall be performed as outlined in the attached Donor Authentication and Restricted Party Screening Form by the relevant Advancement personnel and the Compliance Manager in the Office of Research, prior to the first gift from the donor. A completed Form should be kept on file at the UWM Foundation.

#### **E. CONFIDENTIALITY OF DONOR INFORMATION**

Subject to applicable State law, UWM shall maintain the privacy of donor giving information, and shall honor donors' requests for anonymity for their gifts. Prospective donors' names and communications with them should remain strictly confidential. Donor names and details regarding their gifts may only be disclosed publicly with the donor's permission, typically after all parties have signed an MOA, and after a plan for announcing the gift has been created with donor approval.

#### **F. GIFTS REQUIRING FINANCIAL COMMITMENTS OR DONOR BENEFITS**

Gifts may not require UWM to incur additional expenses unless approved by the Chancellor in consultation with the relevant Division head. When a donor receives a financial benefit in conjunction with the proposed gift (a "*quid pro quo*"), or retains a partial interest in the property being donated, the VC Advancement in consultation with the UWM Foundation may determine that the proposed gift is not philanthropic.

#### **G. FUNDRAISING FOR CAPITAL PROJECTS**

Any campus unit proposing to raise funds for a capital project must consult the appropriate dean/director, Provost, VC Advancement, and VC for Finance and Administrative Affairs (VC FAA). The Provost, VC Advancement, and VC FAA must approve a target gift amount for the capital project in the early stages of project development and prior to soliciting donors.

UWM should secure lead gifts for a capital project prior to raising additional gifts. Gifts for major capital projects should include accompanying Endowment to sustain the ongoing operational and programmatic costs of the new capital asset, unless other support has been

identified.

Where completion of a capital project requires raising funds from multiple donors, and/or obtaining financial support or permission for the project from the State of Wisconsin, UW System, or other public entities, the MOA with the donor(s) should include a provision for redirecting the gift if the capital project becomes impossible to complete.

## **H. NAMING RECOGNITION - GENERAL**

### ***1. Support for UWM's Mission***

Naming recognition must support the mission of UWM, and must not detract from UWM's values, integrity, or reputation, create conflicts of interest, or confer special privileges. In the event of changed donor circumstances, UWM reserves the right to revise the form of or withdraw recognition, in consultation with the donor whenever possible.

### ***2. Gift Minimums, Recognition and Documentation***

Advancement, in consultation with the Chancellor and the UWM Foundation, must establish gift minimums needed to create Endowments and to receive other naming recognition. Prior to the donor's execution of the MOA, the relevant dean/director, Advancement, Legal Affairs, and UWM Foundation must approve the agreement.

### ***3. Honorific Naming***

Any campus unit considering an honorific naming must consult the Chancellor and VC Advancement before the naming is discussed with any party external to the university. The Provost and Chancellor must approve any honorific naming. See also [UW System Board of Regents Policy 19-14](#).

## **I. NAMING – FACULTY and ADMINISTRATIVE POSITIONS**

### ***1. Valuation***

Philanthropic gifts to name a faculty or administrative position (“named appointment”) should provide the following levels of support.

For an existing position, the gift should provide a substantial benefit in support of the position. For example, naming may be justified when the value of the gift covers a reasonable portion of the cost (salary and benefits) of the position and/or significantly enhances existing resources for research, teaching, or community engagement.

For a new position, the gift should provide a high percentage of the cost of the position (salary and benefits).

Minimum gift levels for named appointments may vary based on market conditions and academic field. Named appointments may be created with either Endowments or Current Use gifts, except that, because the title of “Chair” confers a greater level of prestige and support than the title of “Professorship,” a gift to create a named Chair position *must* be endowed.

### ***2. Process - Creating a Named Appointment***

Any academic unit proposing to offer a named appointment must consult the appropriate dean/director, Provost, and VC Advancement. The Provost and VC Advancement must approve the target gift amount for the naming prior to any donor solicitation. The Provost must approve the naming, in consultation with the appropriate dean/director and VC Advancement.

In the event that the proposed gift creates a new position and does not provide 100% of the

cost of the position (salary and benefits), the Provost must approve using other university funds to supplement the cost of the position prior to entering into the gift agreement.

Any non-academic unit proposing to offer a named appointment must consult the relevant Division head, the Chancellor, and VC Advancement. The Chancellor and VC Advancement must approve the target gift amount for the naming prior to any donor solicitation. The Chancellor must approve the naming, in consultation with the relevant Division head and VC Advancement.

### ***3. Process - Appointment to a Named Appointment***

The appointment of a person to a named academic appointment requires input from the department executive committee, the recommendation of the appropriate dean/director, and approval by the Provost. The appointment of a person to a named non-academic appointment requires the approval of the Chancellor.

While UWM may consult with the donor during the recruitment and appointment process, UWM is solely responsible for the final appointment.

A named appointment may be renewable and/or may rotate among eligible faculty and/or staff. All appointments are subject to all applicable UW System and UWM rules, budgetary and approval processes, and other policies related to employment. Contracts awarding named appointments should state the alternative terms of the appointment in the event that the person no longer holds the *named* appointment.

## **J. NAMING - PHYSICAL SPACES**

### ***1. Valuation***

Philanthropic gifts to name a physical space must provide a substantial portion of the actual cost of the creation or improvement of the space, and/or substantial support for the ongoing operational or programmatic expenses of the space, and/or substantial support for programming occurring in close proximity to the space.

Valuation of space naming opportunities requires consideration of multiple factors, including size, location, public visibility, and unique qualities of the space; market for comparable naming opportunities at peer/aspirant or geographically close institutions; capital project expenses or other urgent needs of the unit; duration of the naming; reputation and resources of the prospective donor(s), and/or of the person(s) being honored or memorialized by the naming; and likelihood of future opportunities to consider a naming gift for the space.

Valuations of space naming opportunities must be approved by the VC Advancement and the VC FAA prior to any donor solicitation.

### ***2. Location of Naming Recognition***

When providing a gift to name a building, the donor's name may appear on external building walls. In all other cases, the name should not be exhibited on external building walls.

### ***3. Duration of Naming, and Renaming of Spaces***

The MOA must address the duration of the naming opportunity. UWM may agree to name a space for the life of the space, for the period prior to its need for extensive renovation, or for a specific term of years. UWM also may agree to withhold naming from a space for a term of years.

### ***4. Process - Naming (and Renaming) a Physical Space***

Any campus unit proposing to offer naming recognition on university property must consult in advance with the relevant Division head, VC Advancement, and VC FAA. Upon tentative agreement with a donor for a space naming opportunity, the person(s) primarily responsible for managing the gift and naming must seek the advice of UWM Physical Environment

Committee (PEC). The PEC makes a recommendation to the Chancellor. The PEC considers such proposals in closed session when the identity of the prospective donor remains confidential, or when the sensitive nature of gift negotiations requires confidentiality.

In all cases other than the naming of a building, the Chancellor makes the final decision regarding naming a physical space. When naming a building, the Regents make the final decision, following the Chancellor's recommendation. UWM must not publicly announce its request to name a building prior to Regent approval.

Over time, UWM or the UW System may relocate, substantially alter, or reallocate a named space or building. The Chancellor, in consultation with VC Advancement and VC FAA, must review such changes, and determine whether to continue using the existing name, subject to Regent approval where needed. When a space is proposed for renaming, the VC Advancement will make reasonable efforts to inform the original donors, honorees, or their designated representatives in advance. Legal Affairs must be consulted on all proposals to rename spaces.

## **K. NAMING - ACADEMIC UNITS**

### ***1. Valuation***

Philanthropic gifts to name an academic unit (*e.g.*, a school, college, center, or institute) must provide *significant operating support* for the unit. Valuation of such naming opportunities requires consideration of multiple factors, including longevity and academic reputation of the unit, and factors similar to those listed in G.1. above, regarding valuation of physical spaces.

### ***2. Process - Naming an Academic Unit***

Any campus unit proposing to offer naming recognition for an academic unit must consult the appropriate dean/director, Provost, and VC Advancement. The Provost, VC Advancement and Chancellor must approve the target gift amount for the naming of an academic unit prior to any donor solicitation. Approvals for naming an academic unit are found in UWM Selected Academic & Administrative Policy No. 1-1.

## **L. FUNDRAISING FOR ATHLETICS**

UWM is committed to the philosophy of firm institutional control of athletics, to the unquestioned financial integrity of athletic programs, and to the accountability of the athletic department. Fundraising efforts for intercollegiate athletics shall be in strict compliance with applicable rules and regulations of any intercollegiate athletic association or conference of which UWM is a member.

## **IV. FORMS AND ATTACHMENTS**

- A. Donor Authentication and Restricted Party Screening Form.** Please contact University Advancement to request a copy of the form.