LANE COLLEGE

INSTITUTIONAL ADVANCEMENT MANUAL

Wesley Cornelious McClure
PRESIDENT

REVISED 2010
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SECTION I

INSTITUTIONAL ADVANCEMENT AT LANE COLLEGE
INSTITUTIONAL ADVANCEMENT

AT

LANE COLLEGE

INTRODUCTION

The Office of Institutional Advancement, headed by the Vice President for Institutional Advancement, is a multi-functioning unit that supports the College's Purpose through a broad array of targeted initiatives in the areas of alumni affairs, fundraising and development, and college relations. The overarching goal of the Office of Institutional advancement is to further the interests and well being of Lane College; and to generate increased support for the College's academic, community service, and other programs.

The purpose of the Institutional Advancement organization at Lane College is directly related to the purpose of Lane College. For reference, the Purpose Statement of Lane College is included in this Institutional Advancement Manual as Section II.
INSTITUTIONAL ADVANCEMENT

FUNCTIONS OF THE OFFICE OF INSTITUTIONAL ADVANCEMENT

Broadly described, Institutional Advancement at Lane College, in accordance with the College's Purpose, involves the systematic process of:

- Establishing and maintaining a responsive and effective development program that generates private financial support at increasing levels that effectively manages and documents gifts/donations made to the College.

- Mobilizing and growing interest, involvement in, and support for Lane College's programs and activities among the College's various constituencies -- with key focus on building and maintaining relationships with the College's alumni.

- Engendering respect and support for the College by creating and actively maintaining a highly visible, persuasive and appealing image to all of its most important audiences, including the facilitation of internal and external communications.
The mission of the Office of Institutional Advancement at Lane College is to facilitate communication, internally and externally, and to enhance the image of Lane College; to provide meaningful programs and service to alumni and friends of the College, and to manage an effective alumni database; to advance the educational opportunities and services of Lane College by generating resources from prospective donors/funders (i.e., alumni, friends, corporations, foundations, parents, employees) to support and enhance the College's revenues; to manage the collection, distribution and documentation of charitable gifts to Lane College.
INSTITUTIONAL ADVANCEMENT

JOB DESCRIPTION OF

VICE PRESIDENT - INSTITUTIONAL ADVANCEMENT

The Vice President for Institutional Advancement reports directly to the President of the College and is responsible for managing activities designed to further enhance the position of the College. Through this office, efforts are made to foster goodwill for the College by keeping the public informed on the works and achievements of the College.

Other responsibilities include exploring ways and means of obtaining increased support for the College. The Vice President for Institutional Advancement provides direct supervision and leadership development for the administrators responsible for the following functions: Alumni Affairs, College Relations, Annual Fund Giving, Church Relations and Development. The College is committed to improving print and electronic publications, news services, sports information, internal communication and marketing for prospective students.

The Vice President for Institutional Advancement works closely with the President, the Board of Trustees, and academic leaders on major individual, corporate, and foundation fund-raising initiatives.

The Vice President for Institutional Advancement serves as a member of the President's Cabinet.

Specific Duties and Responsibilities:

- Coordinates institutional advancement and development functions.
- Prepares timely reports to UNCF and selected external agencies.
- Works with the President in strengthening alumni and outreach programs.
- Serves as staff to the President in preparation of handbooks and legal documents.
- Works with the Business Office in ensuring integrity of financial and programmatic functions related to fund-raising.
- Performs other duties as assigned.
INSTITUTIONAL ADVANCEMENT

JOB DESCRIPTION OF

DIRECTOR OF ALUMNI AFFAIRS

The Director of Alumni Affairs directs and manages programs and initiatives that foster mutually supportive relationships between the College and its 30,000 plus alumni. The Director works closely with the National Alumni Association, and also with regional and local alumni chapters.

Duties and responsibilities:

- Coordinates and supervises traditional programs such as Homecoming, reunions, and recognition events.
- Oversees all alumni publications.

Qualifications:

- Masters Degree and three years experience in alumni relations or related field.
- Demonstrated ability to recruit and work with volunteers.
- Background in team leadership and project coordination.
- Superior written and oral communication skills.
- Excellent organizational skills.
INSTITUTIONAL ADVANCEMENT

JOB DESCRIPTION OF

DIRECTOR OF DEVELOPMENT

The Director of Development researches and secures fund-raising programs and opportunities that develop financial support. This position also enhances relationships between the College Alumni and various constituencies in the interest of procuring additional resources. The Director works closely with the United Negro College Fund among other organizations.

Duties and responsibilities:

- Develops and supervises fund-raising opportunities.
- Coordinates fund-raising programs such as annual giving, major gifts, grants, planned giving and capital campaigns.

Qualifications:

- Masters Degree and three years experience in fund-raising or related field.
- Demonstrated ability to research and secure funds.
- Demonstrated ability to recruit and work with volunteers.
- Background in team leadership and project coordination.
- Strong written and oral communication skills.
- Excellent organizational skills.
- Grant-writing skills
Lane College

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SECTION II

PURPOSE STATEMENT
INSTITUTIONAL ADVANCEMENT

LANE COLLEGE'S PURPOSE STATEMENT

(Adopted by Board of Trustees on February 1, 2001)

Lane College is a small, private, co-educational, church-related institution which provides a liberal arts curriculum leading to baccalaureate degrees in the Arts and Sciences. The College accepts persons regardless of race, color, sex, religion, age, or national origin.

Founded in 1882 by Bishop Isaac Lane, a former slave, Lane College is proud to be one of the nation's oldest Historically Black Colleges, and the first four-year institution established by the Christian Methodist Episcopal Church. Consistent with its tradition of providing educational opportunities for those who may not otherwise have the opportunity to attend college, Lane College is committed to preparing students, through its liberal arts curriculum, to assume meaningful positions in their chosen occupations or professions and/or to pursue graduate studies. The College has a particular interest in preparing professional educators.

Lane College guides students through programs of intellectual experiences which enable them to identify and develop their Power of Potential® to meet the demands of decision-making situations through thoughtful, rational, and creative thinking. Students are encouraged to continuously pursue their potential by becoming lifelong learners.

With strong ties to the Christian Methodist Episcopal Church, the College's mission is to develop the "whole student." In addition to its priority of academic excellence, the College is also concerned about the student's spiritual, social, and ethical development. The College believes
that spiritual growth is an important part of the development of the individual. Spiritual life at the College is viewed as a quality-filled experience rather than a specific and narrow range of separate activities. Spiritual programs of learning, worship, and service have the purpose of illuminating life and making life more meaningful.

Students are encouraged and assisted in developing inner strengths and resources needed to follow through and complete tasks, to fulfill responsibilities, and to live by a workable system of values. The College seeks to help all students achieve self-discipline.

Lane College offers a balanced liberal arts education and seeks to continue adding to the variety of its curricular offerings in order to become even more innovative in organization and methodology and to continue to develop the mature, educated individuals needed in an ever-changing society.

The College encourages students to:

1) develop their communication skills and their use of the English language;
2) participate in campus, civic, and religious activities that broaden their concepts of social awareness;
3) make ethical judgments through counseling and advisement; and
4) improve their learning skills through the developmental programs designed for those who have had limited opportunities.
Lane College is grounded in the belief that improvement is continuous and ongoing. Further, it believes in democratic participation in the American society in an intelligent manner designed to improve the society and its members' opportunities. In a world of continuous change, the College endeavors to offer programs that develop the attitudes and understandings necessary for leadership and effective participation in a democratic society. The College helps its students become open-minded and tolerant individuals while developing sensitivity for and commitment to ways of improving the human condition.

Explicit in the philosophy and purpose of the College are the following desired outcomes for all students:

1) **The Lane graduate will be able to communicate in a variety of modes.**

   **Rationale**
   The graduate will be able to speak effectively in varied situations; the graduate will be able to write effectively for sake of informing, explaining, and creating; and the graduate will have acquired exposure to the use of computers.

2) **The Lane graduate will be able to acquire information.**

   **Rationale**
   The graduate will be able to listen effectively in various situations of life; to read effectively diverse materials at different levels of difficulty with discrimination and pleasure; to observe with reasonable accuracy in all types of environments; to ask pertinent questions; and to utilize the internet and other advanced technology to acquire information.

3) **The Lane graduate will be able to organize, comprehend, and make practical use of a wide variety of materials**

   **Rationale**
   The graduate will be able to distinguish major points from minor ones in a range of materials and disciplines; to identify fallacies in reasoning; to interpret and draw inferences from statistics or other kinds of data; to demonstrate functional skills in mathematics and apply computations to daily life; and to have a deep appreciation of several art forms which grows in part out of participatory experience in at least one of these forms.

4) **The Lane graduate will be able to apply knowledge in different contexts.**
Rationale
The graduate will have a thirst for knowledge that transcends immediately personal concerns and the boundaries of disciplines; the ability to make sound decisions in pursuit of careers that are personally meaningful and socially valuable; and the ability to rely upon imagination and reason in recognizing and addressing issues, in applying their creativity in all endeavors of life, and in utilizing basic principles of the natural and social sciences. The graduate should also be educated to address fundamental problems of life beyond the campus.

5) The Lane graduate will be knowledgeable of scientific principles relating to the health of the individual and the ecological order.

Rationale
The graduate should have an understanding of how the mind and body work and a knowledge of the interrelatedness of all forms of life in the setting of our universe.

6) The Lane graduate will be able to accept and work through ambiguity and diversity while developing strong personal values, social skills, and a sense of ethics.

Rationale
The graduate should recognize that the world is diverse, that there are many cultures, religions, and economic systems as well as unique human beings. This understanding and appreciation of this diversity should lead to good judgment, a sense of empathy, and self-reliance.

7) The Lane graduate will have completed a program of study in a specific area which has equipped the graduate with a basic understanding of the concepts and principles of the area and with skills germane to it.
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SECTION III

FROM THE BYLAWS OF THE LANE COLLEGE

BOARD OF TRUSTEES
INSTITUTIONAL ADVANCEMENT

SELECTED ARTICLES FROM

THE BYLAWS

OF THE BOARD OF TRUSTEES

LANE COLLEGE, JACKSON, TN

Article 1

Authority and Function

By charter of the State of Tennessee granted July 27, 1884 and subsequent amendments and actions of the Christian Methodist Episcopal Church (C.M.E.), Lane College is governed and controlled by a Board of Trustees.

The Board of Trustees is the body through which the convenantal relationship is cultivated and maintained between Lane College and the Christian Methodist Church which founded it. In this convenantal relationship, the Board of Trustees strives to operate the College in such a way as to perpetuate the Christian, humanitarian, and educational goals which led the Church to found it, and the C.M.E Church supports the work of Lane College as it does its others boards, agencies, and institutions.

Article II

Power of Trustees

The Board of Trustees shall have the power to manage the property and business of the Corporation (referred to in this and the following articles as "College") and shall have the power to carry out any other functions which are permitted by the articles of incorporation or by these Bylaws except insofar as such powers may be limited by law.

These powers shall include but shall not be limited to the following:

a) Appoint or remove the President and other officers and administrative officials of the College in accordance with these Bylaws. The power to appoint or remove administrative officials, may at the discretion of the Board, be delegated to the President of the College. Removal of administrative officials shall be approved by the Board after such due process as the Board may designate.

b) Approve degrees in courses upon recommendation of the faculty. Honorary degrees shall be approved upon recommendation by the Board Committee on Honorary Degrees.
c) Establish and review the educational programs of the College.

d) Establish annually the budget of the College.

e) Authorized the construction of new buildings, capital improvements, and major renovations of existing buildings.

f) Authorize the sale and purchase of land, buildings, or major equipment for the use of the College.

g) Institute and promote fund-raising efforts of the College.

h) Authorize and approve tuition and fees within the College.

i) Authorize officers or agents by the College and the securing thereof by mortgage and pledge or real and personal property, tangible and intangible.

j) The Board and its Committees shall determine and obtain from College administrative officials that information necessary to proper functioning of the Board and/or its Committees. These requests normally shall be forwarded through the President.

**Article XII, Section 1**

**Standing Committees**

There shall be the following standing committed of the Board of Trustees:

a) Executive Committee

b) Committee on Trustee Membership

c) Committee on Financial Affairs

d) Committee on Development/Investment

e) Committee on Physical Plant

f) Committee on Academic Affairs

g) Committee on Student Affairs
Article XII, Section 4

The Committee on Development and Investment

The Committee on Development/Investment shall consist of seven (7) members of which the President of the College, the Vice President for Institutional Advancement, and the Treasurer of the College, shall be members’ ex-officio.

It shall have authority to invest all funds of the College available for investment, to change investment, to sell and collect securities or investments and to reinvest the proceeds, and in general to keep the endowment and other permanent funds of the College productive.

It shall also have the power to authorize by unanimous agreement the sale, by and with the consent of the Executive Committee, of any real estate of the College not held for present or future use as a part of the campus or physical plant of the College and so direct the Chairman and Secretary of the Board to make, execute, acknowledge and deliver deeds of conveyance or other instruments in proper form to give legal effect to the same.

At least four (4) members of the Committee on Development/Investment must vote affirmatively in the purchase and sale of securities or investments, and in the investment of funds. The Committee shall seek investment counsel or to any officer of the College subject to such limitations as the Committee may impose.

The Committee shall report changes in investments to the Board of Trustees at each Board meeting. It shall make detailed written reports to the Board concerning its actions at the regular meeting of the Board.

The endowment fund shall neither be expended or hypothecated for current expenses, but shall be retained and preserved inviolate, except for those endowment funds designated as quasi endowment. Funds so designated as quasi endowment may be used for whatever purpose the Board chooses.

No loan shall be made to a trustee, officer, or employee of the college. This provision, however, does not apply to any unpaid balance on real estate sold by the College to any of the above persons.

Funds of special purposes, whose principal and/or income may be used shall be expended or invested in accordance with terms of the gift. Endowment funds, funds for special purposes, and building funds, shall not be deposited with or commingled in any way with the future funds of the College.

The Committee on Development/Investment of the Board of Trustees is responsible for directing and supervising the College's endowment funds management practice.
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SECTION IV

FROM THE LONG-RANGE STRATEGIC PLAN
INSTITUTIONAL ADVANCEMENT

LANE COLLEGE INSTITUTIONAL GOALS

1) To develop an outstanding academic and support program that will attract, enroll, and retain a student body committed to the ideals of the College.

2) To attract and retain high-quality and diverse faculty and staff who manifest potential for excellent teaching, scholarship, and service to the College.

3) To develop and maintain a systematic program of faculty and staff educational and professional development.

4) To provide a comprehensive program of student services and programs that will promote the physical and emotional well-being and foster intellectual and personal development.

5) To infuse College programs and operations with appropriate and effective technologies that will measurably improve information access and management, student learning, scholarship, research, and administrative processes.

6) To maintain an effective system of fund-raising and institutional advancement which addresses the long-range goals of the College.

7) To establish a pre-alumni program and strengthen the existing alumni affairs program in a manner that is mutually beneficial to the College and its constituents.

8) To enhance fiscal stability and accountability by securing adequate financial resources for the successful operation of the College, while adhering to sound fiscal policies and practices.

9) To expand and improve physical plant and administrative services which will meet academic and support needs.

10) To establish a comprehensive community outreach component which will address emerging needs and issues of the 21’ Century.

11) To broaden the College community's study and involvement in international activities.

12) To design and implement a broad-based and integrated system of research, evaluation, and planning to assess institutional effectiveness and use the results for institutional improvement.

13) To expand initiatives for more effective management and system evaluation of programs, faculty, and staff.

14) To enhance the effectiveness of the Board of Trustees with respect to its legal and fiduciary responsibilities.
INSTITUTIONAL ADVANCEMENT

LANE COLLEGE

PRIORITIES

Priority #1:
Improve the financial stability of the College through the acquisition of increased donations and investments. Implement a formal program of fundraising through private, federal, foundation, church, and individual support.

Priority #2:
Increase and stabilize enrollment between 2,200 and 2,500 students by expanding student recruitment activities; reducing attrition in the freshmen and sophomore years; expanding counseling and advisement services available to students; expanding and upgrading academic programs to include technological enhancements; implementing a formal alumni recruitment component; developing an articulation program with the local community colleges and other institutions in the state; improving student and teacher performance; and improving the academic atmosphere and image of the College by recruiting and retaining a faculty of high quality and academic distinction.

Priority #3:
Implement a formal student services program through the expansion of counseling and advisement services; enhancement of living/learning environment; enhancement and expansion of student activities and organizations; and providing leadership in development opportunities.

Priority #4:
Expand existing academic services and improve technology through the continued furnishing/equipment of the Academic Center.

Priority #5:
Implement a formal Planning, Management and Evaluation System that involves all constituents of the College.

Priority #6
Improve and expand the academic program to include a component that coordinates all activities within the freshman and sophomore year experiences. Expand existing academic programs and incorporate the expanded use of computers and other technology.

Priority #7:
Implement a formal Institutional Advancement Program that incorporates optimal use of public relations, enhanced College publications, alumni affairs, and development/fundraising. A formal Annual Fund Drive will be implemented that solicits the support of alumni, businesses, corporations, and friends of the College. A formal Capital Campaign will be
developed and implemented to address facilities and endowment goals at such times as determined by the President.

**Priority # 8:**
Develop and implement all phases of the Preventative Maintenance and Campus Master Plan.

**Priority # 9:**
Implement formal Outreach Program that enhances the educational, cultural, economic, and social development of the Jackson-Madison County and West Tennessee area.

**Priority #10:**
Focus greater attention on administrative and academic computing. Develop independent and collaborative proposals for funding, which can provide faculty and staff with more technological expertise. Introduce the use of technology into all classes.

**Priority #11:**
Complete the construction of a first-class theater/performing arts center.

**Priority #12:**
Expand pre-college programs, especially in the math and sciences, so that students will be better prepared as freshmen. Implement Early Admissions Program. This will include community-based programs such as tutoring (including a "homework hotline", seminars on parenting skills, etc.)

**Priority # 13:**
Continue to strengthen the academic program by:

a) offering more competitive salaries to new faculty  
b) implementing the approved program in International studies and Social work  
c) expanding the Teacher Education Program to address the needs of non-traditional students. Including an Early Childhood Education component and  
d) enhancing the programs in music and theater.

**Priority # 14:**
Become more involved in addressing the needs of the larger community. Provide leadership in East Jackson with respect to issues related to crime, teen pregnancy, economic development, the quality of public school education, housing, health care, parenting skills, etc.

**Priority #15:**
Strengthen the relationship between Student Affairs and Academic Affairs in the development of the "whole student". Additional emphasis will be placed on the freshman year experience, and in assisting in the growth and development of all students with respect to ethical and social values.
Priority # 16:
Expand and upgrade the resources of the Library/Learning Resource Center, to include print, non-print, technology, and staffing.

Priority #17:
Expand and improve the default management program to meet the needs of a growing enrollment and increasing number of student loan borrowers by providing enhanced student loan counseling, identifying problem cases early, and improving the management of information relative to students receiving federal student loans.

Priority #18:
Significantly increase the numbers of students who major in the sciences, technology, engineering, and mathematics (STEM) curricula.
INSTITUTIONAL ADVANCEMENT

LANE COLLEGE IMPLEMENTATION PLAN UNIT:

INSTITUTIONAL ADVANCEMENT

INSTITUTIONAL GOAL #6:

*To maintain an effective system of fundraising and institutional advancement which addresses the long-range goals of the College.*

MAJOR AREA GOAL STATEMENT 6.1.

To strengthen the fundraising capabilities of the college to support institutional growth and development.

Objectives:

A. To develop a comprehensive fund-raising and public image capability.

B. To design and implement a Comprehensive Annual Fund Drive Program.

C. To organize a Planned Giving Program for the College.

D. To design a comprehensive Capital Fund Campaign to cover a five-year period.

E. To develop a marketing plan for the College.

MAJOR AREA GOAL STATEMENT 6.2

To secure maximum possible funding from external sources through well-conceived fund-raising plans.

F. Provide guidance and expertise to faculty, staff, and alumni regarding proposal writing, fund-raising, and continuous cultivation of funding sources.
INSTITUTIONAL GOAL #7:

To establish a pre-alumni program and strengthen the existing alumni affairs program in a manner that is mutually beneficial to the College and its constituents.

MAJOR AREA GOAL STATEMENT 7.1.

To enhance the alumni relations and solicitation program.

Objectives:

A. To better inform and strengthen the College's image and services provided to Alumni.

B. To strengthen contacts with and among alumni by maintaining current and up to date alumni records/directory.

C. To publish and maintain attractive publications which inform alumni and supporters on all aspects of the College.

D. To increase alumni participation through the reactivation of Chapters and the establishment of new Chapters.

MAJOR GOAL STATEMENT 7.2

To implement a pre-alumni program that encourages students to support the Mission, goals, and ongoing programs enhance the alumni relations and solicitation program.

Objectives:

A. To establish a formal Pre-Alumni Organization on the Campus.

B. To affiliate with the Pre-Alumni Council of the United Negro College Fund (UNCF).
INSTITUTIONAL GOAL #5:  
To develop and integrate state-of-the art techniques and tools of information technology into programs and processes for instruction, research, service, administration and communication.

MAJOR AREA GOAL STATEMENT 5.4  
To provide for timely and accurate records and reports to donors, and supporters of the College on all phases of the Institutional Advancement Program.

Objectives:

A. To implement a computerized system for the receipt, acknowledgment, and reporting of all gifts and grants.

B. To establish a formal program for recognizing annual supporters of the College.

INSTITUTIONAL GOAL #10:  
To establish a comprehensive community outreach component which addresses emerging needs and issues of the 21st Century

10.1 MAJOR AREA GOAL STATEMENT:  
To develop programs and activities that addresses the concerns and needs of the community.

Objectives:

A. To establish a Community Outreach Program that will promote educational training needs, cultural events that support the Community's requirement for professional development, career advancement, and personal enrichment.

B. To establish a public service center for clearinghouse involving faculty, staff, students and local persons to facilitate providing services, technical assistance, training and arts to regional constituencies.

C. To establish a legal clinic to assist indigent persons in the pursuit of their legal rights.
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INSTITUTIONAL ADVANCEMENT MANUAL

SECTION V

PROCEDURES FOR FUND-RAISING

IN THE NAME OF LANE COLLEGE
INSTITUTIONAL ADVANCEMENT

FUND-RAISING IN THE NAME OF LANE COLLEGE

In compliance with the Resolution passed by the Lane College Board of Trustees in October 1992, the following procedure shall be followed with respect to fund-raising in the name of and/or on behalf of Lane College:

1. Any person, department, organization, corporation, or entity shall seek the written approval of the President of the College prior to contacting any individual or entity for the purpose of soliciting funds.

2. Prior to contacting any potential donors, an individual or entity who wishes to solicit funds in the name of or on behalf of the College shall submit to the President of the College a proposal which contains the following elements:
   a) Description of fund-raising event or project
   b) Specific purpose(s) for which funds are being solicited
   c) Detailed budget of anticipated income, expenditures, and profit
   d) Time frame for beginning and ending solicitation
   e) Estimated time frame for when all funds will be received
   f) Date, time, and location of event, if applicable (e.g., banquet, fashion show, or concert)
   g) Names and addresses of lead persons, including coordinator and treasurer
   h) Name, address, and affiliation of each person, group, corporation, etc., from which funds will be solicited, if known
   i) Method(s) of solicitation
   j) If applicable, amount requested from each potential donor
   k) Other pertinent information, if any.

3. Any entity named in #1 above which wishes to use proceeds from a fund-raising event for specified purposes, e.g., scholarships, books and supplies, or support for student travel to and from the college, must include the details of the request in the proposal.

4. All funds collected must be forwarded to the President of Lane College for deposit in an appropriate account in the College's Business Office. Checks should be made out to Lane College.

5. The completed proposal shall be submitted to the President of the College as far in advance as possible, but not less than one month prior to the proposed date for initial contact with potential donors.

6. The President of the College shall respond to the proposal within 10 days of receipt of proposal. The President reserves the right to approve the proposal as submitted; to approve it with modifications; or to reject it.
7. The lead person for proposals that have been approved must assure that the President of the College receives regular statements (at least monthly) which provide an update of income and expenditures, as well, as an overall progress report, including an update on activities, arrangements, acquisitions, etc.

8. At any time during the period when funds are being collected and/or the event is being planned, the President of the College reserves the right to make appropriate modifications which, in his opinion, are in the best interest of the College.

9. The final financial statement and all proceeds from any fund-raising event must be forwarded to the President of the College as soon as possible, but not more than 30 days after the conclusion of the event.
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SECTION VI

INSTITUTIONAL ADVANCEMENT

FUND-RAISING POLICIES AND PROCEDURES
LANE COLLEGE

OFFICE OF INSTITUTIONAL ADVANCEMENT

FUND-RAISING POLICIES AND PROCEDURES

To advance the mission and purpose of Lane College, it is the College's policy to seek external funding from private and public sources. Successful fund-raising requires increased awareness of Lane College's Mission and work. It also requires the cultivation of enthusiastic support among Lane-College's institutional constituencies, among key national and local leaders, and among the general public(s).

This section of the Institutional Advancement Manual provides the general policies and a construct of ethical behavior governing institutional advancement activities (fund-raising, "friends-raising," and communications) at Lane College. These guidelines do not replace the official policies and procedures outlined in "Procedures for Fund-raising in The Name of Lane College." Rather they are designed to complement those policies and procedures in order to assure ethical and effective advancement practices in support of Lane College's mission.

I. Advancement Ethics

Institutional Advancement personnel are expected to observe the general ethical standards expected of all College employees as well as professional ethical guidelines. Lane College adheres to the Statement of Ethics established by the professional organization for higher education advancement, the Council for Advancement and Support of Education (CASE). This statement is provided on the following page.
STATEMENT OF ETHICS

Institutional advancement professionals, by virtue of their special responsibilities within the academic community, represent their colleges, universities, and schools to the larger society. They have, therefore, a special duty to exemplify the best qualities of their institutions, and to observe the highest standards of personal and professional conduct.

In so doing, they promote the merits of their institutions and of education generally, without disparaging other colleges and schools;

- Their words and actions embody respect for truth, fairness, free inquiry, and the opinions of others;
- They respect all individuals without regard to race, color, sex, sexual orientation, creed, ethnic or national identity, handicap, or age; They safeguard privacy rights and confidential information;
- They do not grant or accept favors for personal gain, nor do they solicit or accept favors for their institutions where a higher interest would be violated;
- They avoid actual or apparent conflicts of interest, and, if in doubt, seek guidance from appropriate authorities;
- They follow the letter and spirit of laws and regulations affecting institutional advancement;
- They observe these standards and others that apply to their professions, and actively encourage, colleagues to join them in supporting the highest standards of conduct.
The foregoing Statement of Ethics for advancement personnel is also applicable to all Lane staff and faculty who engage in advancement activities, including contacts and activities publicizing, representing, or seeking funds in support of the College and its educational or other programs.

Advancement and other employees will be informed of the necessity for general ethical conduct during their orientations and in faculty or staff meetings. In addition, employees will be informed that the Lane College Policy for Fundraising and other advancement policies are available to them via the College's web site and in the Office of Institutional Advancement.

Oversight of ethical advancement policies will be the responsibility of the President of the College and the Vice President for Institutional Advancement. Alleged infractions brought to the attention of the Vice President for Institutional Advancement will be reviewed with and handled through appropriate College supervisory officials and through the College's personnel procedures governing faculty, staff, and/or student performance and conduct.

**II. Advancement Effectiveness**

It is Lane College's policy to monitor Institutional Advancement activities for effectiveness through the College's strategic planning and assessment processes. The fundamental policy goal is increased financial support for Lane on the part of current and prospective constituencies. The College also seeks to enhance its image and educational reputation among its constituents.

Fund-raising objectives in support of strategic advancement goals will be established, and reviewed annually in the Advancement planning process under the direction of the Vice President, with advice and counsel from the Director of Institutional Effectiveness and with guidance, verification and oversight by the President and the Development Committee of the Board of Trustees.

Major fund-raising activities such as alumni giving, planned gifts, major gifts, capital and/or special project campaigns, and/or public affairs and communications will be the focus of periodic performance assessment as part of the College's Assessment Process of which the College's Purpose is a focal point. The Advancement staff will also review the effectiveness of specific fundraising and communication initiatives and, continuously, the closeness of the "fit" between these initiatives and the Purpose of Lane College. Results will be reviewed with the President and the Board of Trustees, and resulting approved changes (revisions, reconfigurations, etc.) in practices and plans will be reflected in the College's Planning Documents.

**III. Advancement Accountability**

Lane College's policy is to continuously seek to assure accountability for all advancement activities with special emphasis on three priorities: appropriate solicitations and proposals; accurate and secure donor gift handling and recording; and reporting on and review of fund-raising.

**Proposals, Solicitations, and Grant Implementation**
All requests by faculty, staff, or students for funds from external sources must be consistent with Lane College's Mission and must be approved in advance by designated College officials, including the President or an officer designated by the President to provide such approvals. All should be governed by the "Procedures for Fund-Raising in The Name of Lane College."

**Sponsored Programs Proposals:**

All faculty, staff or student proposals, or proposals from particular departments, offices, or programs, or from groups thereof seeking funds for a program, a project, or related equipment and facilities must comply with the grant clearance and implementation procedures established by the President and administered by the Provost/Vice President for Academic Affairs and/or the appropriate Vice President as designated by the President.

Proposals in cooperation with or to be subcontracted from another institution are also subject to these same procedures. These clearance procedures are intended to assure consistency with the College's Mission, proper quality of proposal form and content, consistency with overall fund-raising strategies, non-duplication of requests to particular sources, and approval by appropriate officials, including a cover letter or application form signed by the President or an authorized designee of the President. The grant implementation procedures are also intended to assure proper grant management and accounting.

All proposals must contain current and accurate institutional data and information secured from or approved by the College official or Vice President with relevant jurisdiction. A general summary of official College facts and figures is prepared annually by the Office for Institutional Effectiveness for use in proposals and other communications. The Lane College Fact Book is available in the Office of Institutional Effectiveness.

A complete copy of any proposal will be kept on file by the submitting office. A copy will also be provided to the Office of the President, the Office of Institutional Advancement, and the Office of Business and Finance. If funding is not received, a copy of the proposal so noted should be sent to the Office of Institutional Advancement. If funding is received, a final copy of the proposal with the award letter must be provided to the Office of Institutional Advancement, the Office of Business and Finance, and the Office of the President.

**Solicitations:**

Any solicitation of contributions in Lane College's name or in the name of a Lane program, organization, or activity by Lane faculty, staff, or students must comply with the "Procedures for Fund Raising in the Name of Lane College."

**Institutional Proposals:**

Institutional proposals are those which solicit support for major facilities, comprehensive programs, endowment funds, general scholarship funds and other institution-wide purposes. Concept papers for institutional proposals and their proposed funding sources must be cleared at their inception by the College President, by the Vice President for Institutional Advancement,
and as appropriate, by the Vice Presidents for Finance and Administration, Academic Affairs, or Student Affairs. Any College officer may also request an opportunity to review or offer input on the final draft of a proposal.

The final version of institutional proposals must be approved by the President or his designee and by the Vice President for Institutional Advancement, and must include a cover letter and/or application signed by the President or his authorized designee. Practices and procedures for file and archival copies of institutional proposals are the same as those for department or program proposals.

**Documenting, Processing, and Protecting Privacy of Gifts and Grants**

Original documents and/or copies of all letters of award, pledges, and checks for private gifts and grants, for public institution-wide grants, and for public funding of specific projects or programs must be provided to the Institutional Advancement Office, the Office of the President, and the Office of Business and Finance.

Cash, checks, stocks, bonds, or other non-cash-gifts received in the Advancement or other offices must be kept secure, copied for Advancement and other relevant offices, recorded promptly in the Office of Institutional Advancement, and submitted to the Office of Business and Finance for receipt and/or deposit.

Upon receipt of a gift and/or grant, the Offices of Advancement and Business & Finance will carefully record the amount, the source, the date, the purpose of the gift or grant and all other relevant donor information, taking care to ensure the accuracy and privacy of donor records. The Office of Institutional Advancement may also establish guidelines for creating scholarship funds, endowment, and other special giving arrangements.

Each private donor or private grantor will receive a letter of thanks and gift acknowledgment signed by the President or other appropriate College official, and a receipt suitable for record keeping and tax purposes. Such acknowledgment letters should be sent as soon as possible after notice of or actual receipt of a grant or gift, and never more than two weeks later. (In extenuating circumstances, an interim letter or note of thanks should be sent within two weeks and should indicate that a definitive acknowledgment will follow.)

Grants from public sources must also be acknowledged in a manner appropriate to the circumstances of a grant. Letters of thanks will be sent if relevant/appropriate.

The confidentiality of private donor records and requests for anonymity will be strictly respected by staff in the Offices of Institutional Advancement, the President, and Business and Finance, and all other personnel at all times. Only authorized personnel will have permission to access the giving histories and donor records of Lane contributors.

**Reports and Reviews of Giving**
The Vice President for Institutional Advancement reports on private gifts and grants to the President and the Board of Trustees.

Institutional Advancement files and donor records have been and are subject to review in conjunction with Lane College's annual audit by an independent firm. The Institutional Advancement and Business and Finance Offices reconcile records to assure consistency in the classification of gifts by donors.

Funding from public sources (e.g., federal, state) is reported to the President and the Board of Trustees by the Office of Business and Finance in its regular reports which include the purposes, amounts, and sources of all public and private grants for sponsored projects and/or programs.

**Public Affairs and Communications**

Subject to the review and approval of the President and the Publications Committee, the Vice President for Institutional Advancement will develop internal procedures for conducting specific informational activities. The primary objective is to assure observance of professional standards in the design and content of Lane College' institutional publications and electronic media and in the performance and practices of communications employees and other Lanites in their dealings with the news media, the public, and the Lane College community.

Public information activities will be strategically conceived to tell Lane College's story in a way that is both accurate and consistent with its Mission/Purpose, and motivational. Lane College communications should both inform and stimulate support (and even excitement about) Lane College's purpose, mission, achievements, and need for financial support.
Lane College

INSTITUTIONAL ADVANCEMENT MANUAL

SECTION VII

PROCEDURES FOR ESTABLISHING AN ENDOWED SCHOLARSHIP AT LANE COLLEGE
INSTITUTIONAL ADVANCEMENT

PROCEDURES FOR ESTABLISHING

AN ENDOWED SCHOLARSHIP

AT LANE COLLEGE

The essence of the meaning of the word endowment is "to enrich," and educational institutions are all in the society-advancing business of enriching the lives of students. Since such enrichment cannot happen without ever-increasing levels of financial support, endowment is a critical part of the fabric of every educational institution.

Private schools like Lane College which are not primarily supported by state and federal government funding, are particularly in need of endowment support. Accordingly, alumni and friends of the College are encouraged to create endowed scholarships — scholarships which not only assist potential-rich students, but which also can be used memorialize a loved one, honor someone special, or leave a personal legacy.

Establishing an endowed scholarship at Lane College is a very simple, individualized process designed to ensure that donor preferences are honored within the context of institutional requirements. The scholarship minimum is $5,000.00, payable over three years. When the minimum is reached, donors are allowed to name the scholarship and to work with the Lane College Scholarship Committee to establish award criteria within the parameters of the College's admissions requirements. This program provides a permanent funding base from which scholarships can be awarded. Once the account principal has reached an agreed-upon level, annual awards are made from the interest earned.

A call or letter of interest or inquiry to the President and/or the Office of Institutional Advancement is all that is required to initiate the establishment of an endowed scholarship at Lane College.
INSTITUTIONAL ADVANCEMENT PROCEDURES FOR MAKING

GIFTS OF SECURITIES TO LANE COLLEGE

Lane College gratefully accepts gifts of securities.

Donating Stock Certificates

One way of making a gift of securities is to actually deliver or mail stock certificates directly to Lane College. The process for donating stock certificates is as follows:

1. First, formally notify us of your intent to make a gift of securities by sending a Letter of Authorization to the college. This letter should clearly specify:
   - The donor’s(s’) name(s)
   - Stock (a description) to be transferred
   - The date of the transfer
   - The number of shares being gifted to Lane College

2. Additionally, notification to BancorpSouth Investment Services, Inc. by providing a Letter of Relinquishment. Please address the letter to:

   BancorpSouth Investment Services, Inc.
   Attn: John W. New, Jr.
   Union University Drive
   Jackson, TN 38305

   This letter of Relinquishment should clearly specify:
   - Include wording in letter, “gifting to Lane College”
   - The donor’s(s’) name(s)
   - Stock (a description, example: Exxon/Mobil) to be transferred
   - CUSIP number (found on stock certificate)
   - Number of shares

3. Next, date and endorse the stock certificate(s) on the signature line EXACTLY as issued. PLEASE DO NOT WRITE ANYTHING ELSE ON THE CERTIFICATE(S).

4. Both the Letter of Authorization and the Letter of Relinquishment should be sent, along with the actual stock certificates via REGISTERED MAIL to Lane College, Attn: Dr. Wesley Cornelious McClure, President. The address is 545 Lane Avenue, Jackson, TN 38301.

5. Lane College will provide an acknowledgement of your gift based on the information provided and confirmation of receipt.
Donating by Transferring - Account to Account

The process for transferring securities from the donor’s account directly into Lane College’s account is as follows:

1. First, formally notify the college of your intent to make a gift of securities by sending a Letter of Authorization to: Lane College, Attn: Dr. Wesley Cornelious McClure, President. The address is 545 Lane Avenue, Jackson, TN 38301.

   This Letter of Authorization should clearly specify the following:
   
   - donor(s) name,
   - the stock (a description) to be transferred
   - date of transfer
   - name, address and phone number of donor’s Broker/Dealer
   - the following exact wording with appropriate donor-specific information filled in where indicated:

   “Please deliver free through DTCC from my account #________________ (insert donor account number here) _______________shares (insert number of shares to be donated here) of _________________ stock (insert name of company here)

   To: Pershing, LLC; DTCC # 0443, into the account for Lane College Endowment Account, Account # AQ4-001378.

2. Lane College’s account (AQ4-001378) is located at BancorpSouth Investment Services, Inc, Jackson, TN 38305. An agent of Lane College will contact our broker at BancorpSouth Investment Services, Inc.

3. The transfer usually is completed within 10 business days once the authorization letter has been received by the broker from Lane College.

   After the gift is received, Lane College will provide an acknowledgement of the charitable gift and provide a statement of value based on the confirmation we receive from BancorpSouth Investment Services, Inc.

General Information Related to Making a Gift of Securities

Information regarding details of the transaction or the account can be obtained by contacting Mr. Melvin Hamlett, Vice President of Business and Finance at Lane College.

For tax purposes, you should value your gift based on the value provided you by Lane College.
The date of the transfer is when the transfer is effectively made. In some cases, this is when the transfer of certificates is noted on the books of the company issuing the stock. Although decisions sometimes are made to hold securities, Lane College retains the right to sell all securities received as charitable contributions. If the securities are sold, BancorpSouth Investment Services, Inc notifies Lane College by mailing a confirmation of the sale.

Transferring Securities to Lane College can assist in avoiding capital gains taxes.

Always consult your tax advisor before making any investment changes that will affect your tax plan.
Lane College

INSTITUTIONAL ADVANCEMENT MANUAL

SECTION IX

UNCF SOLICITATION POLICY
INSTITUTIONAL ADVANCEMENT

SOLICITATION POLICY

(As Revised and Adopted March 8, 2000) of the

UNITED NEGRO COLLEGE FUND, INC.

PREAMBLE

This Solicitation Policy embodies the provision under which the member institutions of the United Negro College Fund will solicit funds for current operating purposes. It is the purpose of this Policy to support and affirm the principle of strength through unity, loyalty, and commitment avowed by the Founders of UNCF in 1944 and sustained by UNCF members since that time. No member institution may solicit funds for current operating purposes except as provided for by this policy.

EXPLANATION

From the outset in 1944 there were conflicts, but some basic understandings and oral agreements on fund-raising between UNCF and its member colleges. As time passed and circumstances warranted, these verbal agreements became more numerous and were expressed in writing. The document was referred to as the ‘solicitation Policy. “The member Presidents has attempted to keep the Policy current by updating it from time to time. For example, the Solicitation Policy adopted in 1967 was amended in 1969, 1971, 1976, 1988, 1991, 1992, 1996 and 2009. The 2009 version is currently in effect.

Major fund-raising prospects for both the UNCF and the member colleges have been and are the major corporations, large foundations, and wealthy individuals. Churches, schools and
colleges, organizations, unions, national organizations, individuals, alumni, middle-level industries and large foundations become good secondary prospects. It was the intent of the Solicitation Policy to regulate the solicitations of these prospects in order for both the UNCF and the member institutions to experience minimum conflict and maximum returns from the overall efforts. When key prospects are identified by a member institution for a capital campaign, there should be close coordination between the institution and the UNCF area office so that one "ask" is made which would include the UNCF annual campaign.

The underlying philosophy of the Solicitation Policy since 1944 has been that member institutions would solicit general operating funds (including scholarship funds) through UNCF and that all such solicited gifts received directly by the members would be reported to the UNCF for proper accounting treatment. It was believed that a vigorous effort by the member presidents and their staff would result in far greater sums for the members than would their individual efforts. This quickly became a demonstrated fact and remains so in the view of virtually all current UNCF members. Complete acceptance of and fidelity to this collective concept; however, continued to be a challenge to the organization.

The last line of the Preamble provides a flat prohibition against soliciting funds for current operating purposes. The remainder of the Solicitation Policy is built on this prohibition and is to be understood against this backdrop. A member institution which directly or indirectly solicits and receives a gift for general operating purposes is duty bound to report the amount to UNCF proper accounting treatment. The Solicitation Policy requires that such gifts be counted as prepayments of the regular UNCF formula distribution, unless one of the following conditions exits:
1. There is a joint campaign agreement in effect between the institution and UNCF, and the gift is from within the geographical area of joint campaign. In this case, the gift must be reported as part of the joint campaign funds.

2. The payment of the gift for general operating purposes is made through UNCF, is new money (i.e., not previously received in UNCF annual campaigns), and the donor of his own volition stipulates that the gift is for the specific member institution and is not to affect UNCF’s regular distribution to that institution.

The last sentence of the Preamble does not affect capital campaign gifts or restricted (special project) gifts, whether made to members directly or through UNCF as a conduit.

It is clear from the history of the Solicitation Policy that scholarship funds are general operating funds. The prohibition applies to the solicitation of gifts from private, i.e., non-governmental, sources. Later provisions of the Policy make certain exceptions, e.g., alumni, trustees, and certain church bodies.
ARTICLE I

Definitions

Section 1. CURRENT OPERATING PURPOSES - Those activities engaged in by colleges and universities in achieving the primary objectives for which they are established: instruction, research, and public service. The term also includes the supporting service necessary to achieve the primary objectives. It does not include activities related to capital programs, special projects or endowment building.

Section 2. CURRENT FUNDS - Those resources of an institution, which are available for operating purposes.

Section 3. ANNUAL UNCF CAMPAIGN - A formally organized fund-raising effort utilizing the procedures in the UNCF Campaign Manual.

Section 4. SPECIAL PROJECT MONEY - Any monies not categorized as operational or capital.

EXPLANATION

The definitions set forth is designed to clarify which funds received from sources are for current operating purposes. Through the years some members have contended unsuccessfully that scholarship funds are restricted special purpose funds. At the meeting of UNCF members on June 15, 1970, the body adopted a policy providing that no member could solicit funds "or current purposes "in the following areas: A) Scholarship funds and B) Contributions for "living endowment."

The Annual UNCF Campaign was first defined in June 1976 to counter the historical view that the UNCF campaign was a limited effort in scope and time of the year. The UNCF campaign manual, which was distributed to all members, was incorporated by reference. It sets
forth the numerous components of a UNCF campaign. All UNCF campaigns, whether conducted by members, UNCF staff or under joint campaign agreements, are expected to conduct a "manual campaign."

Current operating funds should be construed as parallel to the definition of Education and General Expenses (E&G) contained in the handbook "College and University Business and Administration, American Council on Education, 1976, 'except that outside sponsored research and public service programs are viewed by UNCF as restricted projects.

Since general operating budgets contain many items which can be shifted, and money for a specific line item will free up funds for other general purposes, the members have felt that the broad definition of general operating interpretations takes into consideration whether a gift for a specific function within an institution's general operation meets a need which the institution would probably have funded out of its own unrestricted funds.
ARTICLE II

Procedures

Section 1.

a) Each member institution shall be required to conduct an Annual UNCF Campaign for operating funds. This campaign shall utilize the UNCF member - college president as organizer or enabler. The campaign shall be conducted in accordance with procedures outlined in the UNCF Campaign Manual.

b) If an institution fails to participate in or conduct an Annual campaign (inclusive of a campus campaign), the institution will forfeit the fall annual campaign distribution of funds, beginning fall 1998, and such funds will be put in UNCF's reserve fund. This sanction shall be reflected in each individual joint campaign agreement entered into by and between UNCF and the participating institution(s).

EXPLANATION

The requirement that the member institutions conduct an annual UNCF campaign is as old as UNCF itself in the early years of UNCF the member institutions were assigned responsibility for geographical area fund-raising. This usually consisted of major urban centers. The requirement embraced the solicitation of faculty and students in the surrounding community of the member institution. In the current policy this requirement, with respect to faculty, staff, and the UNCF campaign manual, which was added in June 1976, is an effort to assure that the annual campaign conducted by a member institution be a comprehensive campaign which utilizes the successful fundraising techniques used by UNCF through the years. The annual campaign requires an action plan, which enhances the possibility of a successful campaign and which allows the member institution and UNCF to monitor the progress of the campaign. The
only exception ever made to the requirement that an annual campaign be conducted is in the situation where a joint campaign agreement has been signed by UNCF campaign and the member institution. The proceeds from the member's institution's UNCF campaign are transmitted in their entirety to UNCF for distribution under the formula to all member institutions. There are special audit and accounting requirements for institutions, which conduct annual UNCF campaigns. The failure of a member institution to adhere to the accounting requirements could result in UNCF failing to receive a clean audit with a consequence of its being suspended from authorized fund-raising under its tax-exemption status. In contrast to an annual UNCF campaign, a member institution is entitled to receive from UNCF 75% of the net proceeds from a UNCF joint campaign.

Article V, Section 9 of the UNCF Bylaws states that the UNCF Board of Directors has the responsibility for the management for UNCF campaigns. Accordingly, while each member institution has an obligation to conduct an annual UNCF campaign for operating funds, the ultimate responsibility for the management of the campaign, including joint campaigns, is vested in the UNCF Board of Directors. This is, of course, consistent with the legal; requirement that funds raised in the name of an organization are the responsibility of that organization.
Section 2. A member institution or a group of member institutions may elect, with the concurrence of the President of UNCF, to conduct a joint campaign which allocates twenty-five percent (25%) of the net proceeds and an amount equal to the best year of the three-year period, immediately prior to entering the joint campaign. Seventy-five percent (75%) of the net proceeds (gross-expense-base-net) shall be allocated to the member institution(s). Costs not to exceed twenty percent (20%) of the gross receipts shall be shared in exact relation to the amount received by the national campaign and the member institution(s) conducting the joint campaign. In the event that costs exceed twenty percent (20%) of the gross receipts, the member institution agrees to pay this amount.

EXPLANATION

The first joint campaign was conducted in Dallas, Texas by Bishop College in the 1960's. The 1967 provisions for joint campaigns were adopted by UNCF and have been evolving ever since. The necessity for joint campaigns resulted from the underdevelopment of fund-raising potential in the localities in which the UNCF member institutions are located. It was believed that providing 75% of the net proceeds to a member institution conducting a joint campaign would be a sufficient incentive to assure a vigorous campaign effort. Later, member institutions located in the same state were encouraged to have statewide joint campaigns. In June of 1976, the Solicitation Policy was expanded to contain the present detailed wording.

A joint campaign effort is construed by UNCF as being a total full-year campaign effort embracing all gifts for general operating purposes, which originate in the geographical area of the authorized joint campaign area. The kickoff of a campaign shall be in the line with or close to the beginning of the UNCF fiscal year (April 1- March 31). The campaign shall be a 12-month operation. It is the position of the UNCF administration that in a joint campaign all funds
raised in the geographical area for general operating purposes are included as part of the joint campaign proceeds. Implicit in the word joint " is the fact that UNCF is including in joint proceeds funds which headquarters would otherwise be entitled to outright and that the member institution is also including funds, which it-might otherwise be entitled to receive outright. The nature of the joint campaign is such that certain funds, such as contributions from alumni and trustees, must be included in the joint campaign proceeds where they emanate from the geographical area. It is not practical for such funds to be separated, nor is it feasible for the member institutions to profit from identifying whether the contributors to the joint campaign are members of the public, alumni, or trustees. A member institution, before entering into a joint campaign agreement, should determine whether it is to its financial advantage to receive 75% of the total net proceeds of all funds received from the geographical area for general purposes or to conduct an annual UNCF campaign in which it is entitled to keep 100% of the local contributions coming from trustees and alumni.

Seventy-five percent of the net proceeds of a joint campaign are allocated to the member institution, but only to the extent that the (base) best-year requirement, which guarantees UNCF on loss in revenue, has been met. The present joint campaign formula requires that UNCF receive the established base amount and 25% of net proceeds. The net proceeds are determined by subtracting expense and base from gross income.

The costs incurred by member institutions conducting joint campaigns do not include the time of regularly employed institutional personnel, or on-campus costs, e.g., for overhead and space. Acceptable costs are those paid to outside vendors, contractors, and consultants.
Section 3. With regard to special campaigns, said funds shall be distributed to the Member Institutions via a 60/40 formula. Sixty (60%) percent to be divided equally among the schools and forty (40%) percent distributed according to enrollment. The distribution formula shall be: (a) Sixty (60%) percent divided equally among the Members; (b) Fifteen (15%) based on enrollment; and, (c) Twenty-five (25%) percent based on fundraising.

Section 4.

a) A joint campaign will require the execution of a formal joint campaign agreement prior to the opening date of the campaign. The agreement shall be signed by the President of UNCF and the President (s) of the affected member institution (s), and shall include the geographical area of the campaign, the goal, action plan, and specific agreed-upon restrictions. The plan of action, established with the Area Development Director, must accompany the joint campaign agreement (due June 30). The joint campaign agreements should not be signed if the plan of action is not attached. The joint campaign agreements shall be valid for one year only and shall be renewed at the discretion of the UNCF President.

b) UNCF must be included on the joint campaign bank account. An officer of UNCF (Chief Financial Officer or Secretary of the Corporation) must be authorized to sign on any account for which checks are made payable to UNCF. Additionally, a minimum of two signatures from the member institution is required on the account. If an institution fails to include UNCF on the joint bank account, staff will notify the Solicitation Policy Committee of non-compliance and a reminder notification from the Committee will be sent. If there is further non-compliance, the member institution will be required to appear before the Committee for the purpose of clarifying its position and seeking assistance if needed. This policy shall be reflected in each individual
joint campaign agreement entered into by and between UNCF and the participating institution (s).

c) If any institution fails to conduct a joint campaign after signing an argument, staff will notify the Solicitation Policy Committee of non-compliance and a reminder notification from the Committee would be sent to the member institution. If there is further noncompliance, the member institution will be required to appear before the Solicitation Policy Committee for the purpose of clarifying its position and seeking assistance if needed. These sanctions shall be reflected in each individual joint campaign agreement entered into by and between UNCF and the participating institution (s).

**EXPLANATION**

The opening date of the campaign is interpreted by the UNCF administration to mean the kickoff of the public campaign. In many jurisdictions the period of the public campaign is regulated by ordinances and licenses. As between UNCF and a member institution, the period of a joint campaign is the entire fiscal year, and joint agreements signed will in all instances cover all proceeds for the entire fiscal year involved.

Section 3 grants discretionary responsibilities to the UNCF President. This discretion is exercised in the light of the best interests for all UNCF member institutions. There has been no instance in which the UNCF President had failed to enter into a joint agreement with a member institution upon request, except in one instance where there was disagreement as to the geographical limits of the joint campaign territory. It is the view of the UNCF administration that a member institution would be permitted to conduct a joint campaign in an area far removed from the locale of the institution provided it served the best interests of UNCF member
institutions. This might be the case in states and cities where there is currently no active UNCF campaign.

The requirements of goals, action plans, and agreed-upon restrictions were added to the Solicitation Policy in June 1976 in order to pinpoint the responsibilities that a member institution undertakes upon signing a joint campaign agreement.

**Section 4.** A complete review of joint campaigns will be made by the UNCF staff after the first year of the campaign to determine whether basic campaign standards, as agreed upon, have been followed. Multiple joint campaigns must be re-evaluated each year to determine if each entity (university or college and President) is carrying out its share of the responsibilities (costs and solicitations) of the campaign. A renewal of joint campaigns shall not be agreed to by the UNCF President if campaign standards have not been maintained.

**Section 5.**

a) Payment of campaign obligations through a contribution from the member institution's general operating funds or by withholding funds from that institution's distribution violates the spirit of the Solicitation Policy.

b) If an institution fails to conduct the required campaign and remits a check equivalent to the approved goal or requests that the amount be withheld from its distribution, that institution may receive its fall annual campaign distribution but will be encouraged to conduct the required campaign for the following year. Failure to conduct the required campaign for two consecutive years, even if the financial obligation has been fulfilled, will result in forfeiture of the next fall distribution, and such funds will be put in the UNCF reserve fund.
c) An institution that fails to conduct the required campaign or meet its campaign or meet its campaign goal in two consecutive years will be required to appear before the Solicitation Policy Committee for the purpose of clarifying its position and seeking assistance if needed. These sanctions shall be reflected in each individual joint campaign agreement entered into by and between UNCF and the participating institution(s).

**EXPLANATION**

_It will be noted that Section 5 precludes a member institution from satisfying campaign obligations through a contribution from the institution's general operating funds or by withholding funds from that institution's distribution. While UNCF would have the projected distributable amount from this campaign, it violates the spirit of the Solicitation Policy and/or the joint campaign agreement when the institution fails or refuses to take the actions contemplated in the conduct of a campaign. Specifically, a campaign is designed to cultivate constituents and foster growth in fund-raising; neither goal is accomplished when the institution simply writes a check to satisfy the applicable campaign goal._

_Each member institution is required to conduct an annual campaign on behalf of UNCF. Conducting a campaign is defined as active solicitation in accordance with the Solicitation Policy. Simply writing a check or withholding funds from the distribution does not meet the requirement._
ARTICLE III

Reporting

Section 1. An institutional audit report by a certified public accounting firm must be submitted by all member institutions. The audit provides information for computing the formula distribution. The report is due April 15 and must cover the prior fiscal year of the institution.

Section 2. A campaign financial audit report on official school letterhead signed by the member president and chief financial officer of the institution is required for all UNCF campaigns conducted by member institutions.

Section 3.

a) Quarterly reporting is required for all UNCF annual campaigns, regardless of whether or not there is income. The quarterly report to the Chief Financial Officer of UNCF should include campaign proceeds and a listing of donors on the official UNCF transmittal form. The reporting schedule is as follows:

- July 15
- October 15
- January 15
- March 31 (the final year-end report)

b) Failure to comply with quarterly reporting will result in distributions being withheld, until the report is submitted.

Section 4. All campaign reports for a current campaign year must be submitted to UNCF headquarters by March 31 if income is to be credited to that year's campaign. (See ARTICLE VII, Section 5)
EXPLANATION

National accounting standards applicable to UNCF require that UNCF receive an unqualified audit report to maintain its tax-exemption status and to obtain the necessary licenses across the country for conducting UNCF campaigns. The auditing standards applicable to UNCF have been revised in recent years and are much more stringent than earlier requirements. Failure by an institution to submit an institutional audit report will in every instance cause delays in the distributions to all member institutions. It is necessary that UNCF funds received in a campaign be identified and an acceptable audit trail be maintained at all times. Some institutions have found that current transmittals of campaign funds to UNCF on a daily or weekly basis simplify its bookkeeping and relieve them of some of the more onerous requirements for audit reports.

Member institutions are responsible for reporting income from the annual campaign, including payroll deductions, to UNCF’s Chief Financial Officer on a quarterly basis. Pledges are not to be reported. The report is to include an income and expense statement and the format will be provided by UNCF. In some instances, member institutions have persisted in a practice of forwarding the proceeds of UNCF campaigns at the end of the year. This is a violation of the Policy.

Failure to submit an institutional audit for a current campaign year has been the subject of several discussions by the members. The members have indicated a willingness to impose the severest sanctions against violating member institutions. Such penalties could include suspension from membership or a large fine. It should be underscored that UNCF as audit cannot be completed until it has received audit reports on all UNCF campaigns conducted by member institutions. It is the responsibility of the ember institution to make certain that there is
no delay in the transmission of funds to UNCF or the audit of its UNCF campaign where such audit is required. It should be emphasized that the requirement of Section 3 in regard to "all reports "refers to campaign proceeds and the identification of the donors.

Where joint campaigns are conducted on a statewide basis by the several UNCF member institutions located within the state, the responsibilities of the individual institutions to UNCF remain. The joint campaign agreements made with two or more schools become the joint campaign obligations of each.

In those instances where the member institutions engaged in a statewide joint campaign create a non-profit entity to serve as the collective fund-raising arm of their UNCF joint campaign effort, the member institutions continue to be jointly and severally liable to UNCF for an accounting of the funds raised and remain jointly responsible to UNCF for their individual institutional responsibilities under the general Solicitation Policy. Under no circumstances will the existence of a nonprofit arm of one or more member institutions give rise to rights and vested interests for that institution which differ from those set forth in the Solicitation Policy and applicable to individual member institutions. The failure of a nonprofit or other fund-raising arm of two or more member institutions conducting a joint campaign collectively within a state to comply with the reporting requirements applicable to the individual member institution under the Solicitation Policy, will be acted upon as a violation of the Solicitation Policy by the individual member institutions involved.
ARTICLE IV

Special Solicitations

Section 1. Church-supported member institutions may solicit at any time and for any purpose the constituency of their denominations as an organized group in the state in which the member institution is located, or from any organized district, state, regional, or national body of the denomination. The total of such receipts must be reported as information to UNCF.

EXPLANATION

It will be noted that Section 1 permits the solicitation of all church bodies, which have a historic relationship to the member institution except for a local or individual church. The solicitation of a specific church is prohibited general solicitation unless it is part of a regular UNCF campaign or a UNCF joint campaign. The prohibition against the soliciting of churches relates to general operating funds and not to capital funds campaigns or special project funds. The requirement for a report of receipts to UNCF is to avoid possible conflict where UNCF campaign workers approach an organized church body without adequate information about support being provided by the organized church body in ways other than a UNCF campaign.

Section 2. A member institution may solicit its trustees and alumni for any purpose and at any time. Receipts are to be retained by the member institution, but totals must be reported to UNCF by category, for information purposes.

EXPLANATION

Gifts made by trustees and alumni in response to an annual UNCF campaign or to a joint campaign are treated as ordinary gifts. The UNCF administration has refused to permit member institutions to separate out alumni and trustee gifts made to an annual or joint UNCF campaign. Efforts by member institution to separate out such funds have occurred primarily in joint
campaign situations. There would appear to be very little justification for making such a
distinction for trustee and alumni gifts to a joint campaign, since the member institutions receive
75% of the net proceeds. The retention of receipts is required in the event of a dispute between
the member institution and UNCF about such gifts.

Section 3. Each member institution will solicit faculty, staff, and students as a part of the
annual or joint UNCF Campaign. Receipts are to be transmitted to headquarters on properly
completed transmittal forms.

EXPLANATION

The total campus solicitation required by Section 3 has long been a central part of the
required annual UNCF campaign. Unfortunately, some institutions have considered the campus
effort alone as meeting the mandatory requirement for an annual UNCF campaign. This is not
the case. The annual campaign must also be conducted in the geographical area in which the
school is situated and in accordance with procedures outlined in the UNCF campaign manuals
as required by Section 1 of Article 11.
ARTICLE V

Special Consideration

Section 1. Corporation or foundation gifts, defined as national gifts with a giving-history basis, will not be included in joint campaign distribution formulas.

EXPLANATION

In earlier versions of the Solicitation Policy certain size gifts, e.g., gifts over $5,000, were excluded from the campaign total for local distribution purposes. Section 1 now provides that corporate and foundation gifts regardless of size will be treated the same as any other receipts unless the UNCF giving history reveals that the gift is a recurring gift to UNCF and has been made to UNCF before the inception of the joint campaign. This provision would exclude an old gift being captured as part of a local joint campaign, as a result of a corporation or foundation moving its plant or headquarters to the joint campaign area from another part of the country. The purpose of the joint campaign is to develop new donors rather than a reallocation of safe UNCF gifts.

A solicited gift from a corporation or foundation for general operation purposes, where no joint campaign exists, is by definition UNCF proceeds and must be reported to UNCF headquarters and credited as a pre-payment to the member institution involved. An unsolicited gift, however, is treated differently, and the member institution may retain such unsolicited gifts. This results from the fact that the Solicitation Party regulates solicitations and is not applicable where an actual solicitation is not involved.

Section 2. Funds for special projects (as defined) may be solicited by member institutions at any time except during the concentrated phase of the local UNCF campaign. The President of UNCF shall be notified prior to a solicitation of special project funds.
Section 3. Notification of an impending capital campaign is required. The notification letter must be sent to the President of the UNCF at least six (6) months prior to the initial solicitation period. Notification must include goal, geography of the campaign, duration and the intended use of funds. The president of UNCF will acknowledge the proposed campaign in writing offering any suggestions deemed appropriate. Such a letter must be received by the institution prior to the public announcement of a campaign. Results of the campaign must be reported semiannually and a final report must be submitted at the close of the campaign.

Section 4. After UNCF makes a public announcement of a capital campaign, no member institution shall make a public announcement of a capital campaign for its institution for a period of twenty-four (24) months.

Section 5. During the time that UNCF is soliciting national corporations, foundations, and individuals for a capital campaign, the member institutions will refrain from soliciting those entities. UNCF will promptly and expeditiously inform the member institutions when it has completed solicitation of these entities.

Section 6. During the period when UNCF is in the region of a member institution, for a period not to exceed six months, the institution will refrain from soliciting for its capital campaign, "silent" or otherwise.

Section 7. Neither alumni nor trustees nor any other constituent group of the member institutions may organize campaigns for operating purposes from corporations, foundations, or individuals without prior clearance from the UNCF President.

EXPLANATION

Section 4 was added in 1976 to prohibit a member institution from raising funds from the public for general operating purposes through closely affiliated constituent groups. The intent of
this section is to prohibit a member institution from doing indirectly what it is prohibited from
doing itself or directly by the Solicitation Policy. The provision suggests that organized
campaigns in behalf of the member institution by its alumni or trustees for the purpose of raising
general operating funds are not permissible. Flexibility is provided in the event that a possible
plan or idea for fund-raising might someday be devised which would be deemed outside the
intended prohibition being sought by Section 4.
ARTICLE VI

Independent Fund-Raising Organizations

Section 1. No member institution will engage in any activity or join any organization that is or may become competitive with UNCF in raising operating funds except as herein provided.

EXPLANATION

The Solicitation Policy prohibits any member institution from belonging to and receiving funds from a fund-raising organization which is in competition for general operating dollars, which might be solicited for UNCF. This Policy has been reaffirmed by the membership on numerous occasions over the years.

No member institution may belong to the fund-raising entity of a foundation or association. Member institutions may and should hold memberships in state foundations for independent colleges, but may not participate in any fund-raising activities of the state foundations for independent colleges. These interactions and shared experiences enhance collegiate and collegial alliances and promote common causes.

A member institution which elects to affiliate with the non-fund-raising activity of a state foundation of independent colleges must be identified, by asterisk, or other prominently displayed appropriate language in all of its literature where recipients are listed, as a member institution that neither participates in fund-raising nor receives general operating funds from the foundation or the association. A member institution may receive designated restricted funds for non-general operating purposes.

A member institution, upon affiliation with a state foundation or an association of independent colleges and universities, must certify by letter of the President of the UNCF that
the member institution is not taking part in the fund-raising entity of the foundation and/or association, and that it has not received general operating funds from this affiliation.

Section 2. Any current or future memberships by member institutions in independent consortia will be examined by the Solicitation Policy Committee to assure adherence to the principle stated in Section 1 above.
ARTICLE VII

Violations

Section 1. A Solicitation Policy Committee, composed of members and directors, shall have the responsibility and authority to administer this policy. Alleged violations shall be reported to the Committee. The Committee will meet and report findings and recommendations to the Executive Committee of the Members, which will take or recommend appropriate actions.

Section 2. Any member of the Solicitation Policy Committee whose institution is alleged to be in violation of the Solicitation Policy shall not participate as a Committee member in any decisions pertaining to the alleged charges. The chairman of the Presidents of the Member Institutions and Individual Members shall appoint a substitute.

Section 3. Each member institution shall be required to conduct an Annual UNCF Campaign for operating funds. If an institution fails to participate in or conduct an Annual Campaign, (inclusive of a campus campaign), the institution will forfeit the fall annual campaign distribution of funds, beginning fall 1998, and such will be put in UNCF reserve fund. This sanction shall be reflected in each individual joint campaign agreement entered into by and between UNCF and the participating institution (s).

Section 4.

a) If an institution fails to conduct a joint campaign after signing an agreement, staff will notify the Solicitation Policy Committee of non-compliance and a reminder notification from the Committee will be sent to the member institution. If there is further non-compliance, the member institution will be required to appear before the Solicitation Policy Committee for the purpose of clarifying its position and seeking assistance if needed. These sanctions shall be reflected in each individual joint.
b) If an institution fails to conduct the required campaign and remits a check equivalent to the approved goal or requests that the amount be withheld from its distribution, that institution may receive its fall annual campaign distribution but will be required to conduct a campus campaign the following year. Failure to conduct the required campaign for two consecutive years, even if the financial obligation has been fulfilled, will result in forfeiture of the next fall distribution, and such funds will be put in UNCF reserve fund.

c) An institution that fails to conduct the required campaign or meet its campaign goal in two consecutive years will be required to appear before the Solicitation Policy Committee for the purpose of clarifying its position and seeking assistance if needed. These sanctions shall be reflected in each individual joint campaign agreement entered into by and between UNCF and the participating institution(s).

Section 5.

a) Quarterly reporting is required for all UNCF annual campaigns, regardless of whether or not there is income. Failure to comply with quarterly reporting will result in distributions being withheld, until the report is submitted. The quarterly report to the Chief Financial Officer of UNCF shall include campaign proceeds and a listing of donors on the official UNCF transmittal form. The reporting schedule is as follows:

   July 15
   October 15
   January 15
   March 31 (the final year-end report)

b) The June distribution will be withheld from any institution that does not submit its certified audit report for the prior fiscal year and its final year end campaign report for the
current campaign year to the Chief Financial Officer of UNCF by March 31. A letter from the institution's independent auditor, stating that the audit is in progress and will be completed before June 30, will prevent the withholding of the June distribution of the institution provided that the campaign report has been submitted. Any campaign report received after the March 31 deadline is delinquent and no distribution will be made to the institution until the report is received by the Chief Financial Officer.

**Section 6.** UNCF must be included on the joint campaign bank account. An officer of UNCF (Chief Financial Officer or Secretary of the Corporation) must be authorized to sign on any account for which checks are made payable to UNCF. Additionally, a minimum of two signatures from the member institution is required on the account. If an institution fails to include UNCF on the joint campaign bank account staff will notify the Solicitation Policy Committee of non-compliance and a reminder notification from the Committee will be sent. If there is further non-compliance, the member institution will be required to appear before the Committee for the purpose of clarifying its position and seeking assistance if needed. This policy shall be reflected in each individual joint campaign agreement entered into by and between UNCF and the participating institution(s).

**Section 7.** The Semi-Annual Survey Report shall be submitted to the Senior Executive Vice President of UNCF on or before July 15th and January 15th. Failure to submit either report will result in the withholding of the June distribution, until the report is received.
Lane College

INSTITUTIONAL ADVANCEMENT MANUAL

SECTION X

PRE-ALUMNI COUNCIL
Your Pre-Alumni Council

The Lane College Pre-Alumni Council is a student organization which holds distinguished membership in the National Pre-Alumni Council of the United Negro College Fund (UNCF).

As a member of this sisterhood comprised of the 39 United Negro College Fund schools, our primary objective is to stimulate the interest and participation of our student body in the Mission and activities of the UNCF and to lay a solid infrastructure for a strong and involved continuing relationship with Lane College post-graduation. A second objective is to preserve and further loyalty and fellowship between Lane College and other UNCF Member Institutions, their students and alumni.

Lane College is held in high esteem among the UNCF colleges and universities. Our President serves as the Chair of the UNCF’s Committee of Member Presidents and is Vice-Chair of the Executive Committee. Many of our alumni hold national offices with the UNCF, and are the recipients of national recognitions for the level of support they have generated as alumni.

Lane College's involvement is dynamic, and will only grow in force and magnitude with your participation.

Why You Should Join!

1. Your participation as a member of the Pre-Alumni Council gives you the opportunity to join forces with alumni of the College in helping ensure and build Lane College's future.

2. You will have the opportunity to develop leadership skills and build potential lifelong friendships through your involvement in events sponsored by Lane's Pre-Alumni Council and the national Pre-Alumni Council of the UNCF.

3. Your involvement in your local Pre-Alumni Council will generate Lane support, recruitment of new students, and spread the good news about Lane College.

4. You will be able to participate in "Life Growth" workshops for the student body of our college that will assist students in setting individual goals, selecting a career, choosing a spouse, and maximizing personal income, etc.

5. You will enjoy the satisfaction of helping preserve the quality of education and the tradition of service that have become legendary at Lane College since its founding in 1882. Join today and share your talents and enthusiasm to keep Lane's flame of accomplishment and service burning brightly for generations to come.
How to Become an Active Member of the Pre-Alumni Council

If you are a registered student at Lane College, you are already a member of the Pre-Alumni Council (PAC). However, to become active, you will complete a registration form, attend the bi-monthly PAC meetings, and become active in PAC activities of your choice.

The Registration form may be obtained in the Office of Institutional Advancement located in room 206 of the J. L. Daniels Conference Center. This building is located near the Lane Avenue entrance to the campus.

What Programs are Designed for Active Members?

Presently, your Pre-Alumni Council is quite active and continues to configure itself to plan and implement a number of programs and events in support of the College. We sponsor creative fund-raising programs in support of student scholarships and other needs. We explore service-learning opportunities and implement methods to use our time and talents to assist the elderly and sick in our community. During the holiday season, we assist children and other vulnerable members of the community — e.g. providing toys for children who otherwise would have a disappointing Christmas. We also participate in community tutorial programs for elementary school students.

The offices of the Lane College Pre-Alumni Council (PAC) are as follows:

President: The President shall give supervision to the Council and its officers, and see that the Council's obligations and duties are fulfilled. S/He shall preside over all meetings of the PAC and is an official member of all committees. S/He shall handle all monies that are given by contestants which will be quickly transferred to the Business Manager and Advisor. The President will perform such other duties as office may require.

Vice President: The Vice President shall perform all presidential functions in the absence of the President. S/He shall act as an assistant to the President attending all meetings, and carrying out such other assignments as the President shall prescribe.

Secretary: The Secretary shall keep an accurate written record of all important dates and issues at the meetings. S/He shall maintain a file of all important documents and copies of all mail sent to PAC. S/He shall assist the President in all secretarial needs such as typing, keeping a file, and mailing.

Public Relations: The Public Relations Director shall perform all necessary duties to publicize various activities given by PAC. Those duties include, but are not limited to the creation and distribution of announcements flyers, and posters. S/He must get all forms of advertisement approved by the Advisor and President before proceeding.

General Duties: All officers must assist in major activities of the PAC. The purpose of this council is to stimulate the interest and participation of the undergraduates in the United Negro College Fund.
**Advisor:** The Advisor is the overall director of the Lane College Pre-Alumni Council of the United Negro College Fund. S/He will supervise, manage, and assist the PAC as a whole in its endeavors to raise money.
LANE COLLEGE PRE-ALUMNI COUNCIL

LETTER OF AGREEMENT

I, _____________________________, do hereby acknowledge and agree to abide by all of the rules and regulations as promulgated by Lane College as contained in the Lane College Student’s Handbook. I also do acknowledge the fact that I may be subject to penalties that may be imposed by the College and the Council for any infraction or deliberate violation of any such stated rules or regulations.

Student Signature _____________________________ Date ___________________________
Lane College

INSTITUTIONAL ADVANCEMENT MANUAL

SECTION XI

GLOSSARY
501(c) (3) - The section of the U.S. tax code that defines nonprofit, charitable (as broadly defined), tax-exempt organizations; 501(c) (3) organizations are further defined as public as public charities, private operating foundations, and private non-operating foundations.

A

Annual Report - Voluntary report issued by a foundation, non-profit organization or corporation to provide financial data and descriptions of its activities. Annual reports vary in format from simple typewritten documents to detailed publications that provide substantial information about the organization's programs.

Assets - The amount of capital or principal—money, stocks, bond, real estate, or other resources—controlled by a foundation or corporate giving program. Generally, assets are invested and the resulting income is used to make grants.

B

Beneficiary - in philanthropic terms, the donee or grantee receiving funds from a foundation or corporate giving program is the beneficiary, although society benefits as well.

Business Proposal Writing - The act of preparing an application (proposal) in a business-related context.

C

Capital Support - Funds provided for endowment purposes, buildings, construction, or equipment.

Challenge Grants - Grants paid only if the donee organization is able to raise additional funds from other sources. Challenge grants are often used to stimulate giving from other donors.

Community Foundations - In the U.S., 501(c) (3) organizations that make grants for charitable purposes in a specific community or region. The funds available to a community foundation are usually derived from many donors and held in an endowment that is independently administered; income earned by the endowment is then used to make grants. Although a community foundation may be classified by the IRS as a private foundation, most are classified as public charities and are thus eligible for maximum tax-deductible contributions from the general public.

Community Funds - Organized community programs which make annual appeals to the general public for funds that are usually not retained in an endowment but are instead used for the ongoing operational support of local agencies.

Company-Sponsored Foundations - Private foundations whose assets are derived primarily from the contributions of a for-profit business. While a company-sponsored foundation may maintain close ties with its parent company, it is an independent organization with its own endowment and as such is subject to the same rules and regulations as other private foundations.

Cooperative Ventures - Joint efforts between or among two or more grant makers. Cooperative venture partners may share in funding responsibilities or contribute information and technical resources.

Corporate Foundations - Private foundations whose assets are derived primarily from the contributions of a for-profit business. While a company-sponsored foundation may maintain close ties with its parent company, it is an independent organization with its own endowment and as such is subject to the same rules and regulations as other private foundations.
Corporate Giving Programs - Grant making programs established and administered within a for-profit corporation. Because corporate giving programs do not have separate endowments, their annual grant totals generally are directly related to company profits. Corporate giving programs are not subject to the same reporting requirements as corporate Foundations.

**Donees** - Recipients of grants. Also known as grantees or beneficiaries. Lane College is generally the Donee.

**Donors** - individual or organizations that make grants or contributions to donees. Also known as grantors.

**Employee Matching Grants** - Contribution to charitable organizations by employees that are matched by similar contributions from employers. Many corporations have employee matching gift programs in higher education that encourage their employees to give to the college or university their choice.

**Endowments** - Funds intended to be invested in perpetuity to provide income for continued support of a non-profit organization.

Expenditure Responsibility - In general, when a private foundation makes a grant to an organization that is not classified by the IRS as a "public charity," the foundation is required by law to provide some assurance that the funds will be used for the intended charitable purposes. Special reports on such grants must be filed with the IRS. Most grantee organizations are public charities and many foundations do not make "expenditure responsibility" grants.

**Family Foundations** - independent private foundations whose funds are derived from members of a single family. Family members often serve as officers or board members of family foundations and have a significant role in their grant making decisions.

**Federated Giving Programs** - Joint fund-raising efforts usually administered by a nonprofit "umbrella" organization that in turn distributes the contributed funds to several nonprofit agencies. United Way and community chests or funds, the United Jewish Appeal and other religious appeals, the United Negro College Fund, and joint arts councils are examples of federated giving programs.

Form 990-PF - The public record information return that all private foundations are required by law to submit annually to the Internal Revenue Service.

**General/Operating Support** - A grant made to further the general purpose or work of an organization, rather than for a specific purpose or project; also called an unrestricted grant.

**General Purpose Foundations** - Independent private foundations that award grants in many different fields of interest.

**Grant Application** - Form that is filled out by one requesting a grant.

**Grant Proposal Writing** - The act of preparing an application (proposal) for a grant.

**Grant Writing** - The act of preparing an application for a grant. Better said as proposal writing.

**Grantee Financial Reports** - Reports detailing how grant funds were used by an organization. Many corporate grant makers require this kind of report from grantees. A financial report generally includes a listing of all expenditures from grant funds as well as an overall organizational financial report covering revenue and expenses, assets and liabilities.
Grassroots Fund-raising - Efforts to raise money from individuals or groups from the local community on a broad basis. Usually an organization's own constituents- people who live in the neighborhood served or clients of an agency's services- are the sources of these funds. Grassroots fund-raising activities include membership drives, raffles, auctions, benefits, and a range of other activities.

Guidelines - Procedures set forth by a funder that grant seekers should follow when approaching a grant maker.

Independent Foundations – Grant making organizations usually classified by the IRS as private foundations. independent foundations may also be known as family foundations, general purpose foundations, special purpose foundations, or private non-operating foundations.

In Kind Contributions - Contributions of equipment, supplies, or other tangible resources, as distinguished from a monetary grant. Some organizations may also donate the use of space or staff-time as an in-kind contribution.

Matching Grants - Grants made to match funds provided other donors.

Offer of Services - A document proposing the services of a consultant in any context: business, lobbying, sales, grants, subsidies, loans, employment.

Operating Foundations - 501(c) (3) organizations classified by the IRS as private foundations whose primary purpose is to conduct research, social welfare, or other programs determined by its governing body or establishment charter. An operating foundation may make grants, but the sum generally is small relative to the funds used for the foundation's own programs.

Operating Support Grants - Grants to cover the regular personnel, administrative, and miscellaneous expenses of an existing program or project.

Payout Requirements - The minimum amounts that private foundations are required to expend for charitable purposes (including grants, and within certain limits, the administrative cost of making grants). In general, a private foundation must meet or exceed an annual payout requirement of five percent of the average market value of its total assets.

Private Foundations - Nongovernmental, nonprofit organizations with funds (usually from a single source, such as an individual, family, or corporation) and program managed by its own trustees or directors. Private foundations are established to maintain or aid social, educational, religious, or other charitable activities serving the common welfare, primarily through the making of grants.

Program Amounts - Funds that are expended to support a particular program administered internally by a foundation or corporate giving program.

Program Officers - Staff members of foundations who review grant proposals and process applications for the board of trustees. Only a small percentage of foundations have program officers.

Program-Related investments- Loans or other investments (as distinguished from grants) made by a foundation to another organization for a project related to the foundation's philanthropic purposes and interest.

Proposals- Written applications, often accompanied by supporting documents, submitted to foundations or corporate giving programs to request grants. Most foundations and corporations do not use printed application forms but instead require written proposals; others prefer preliminary letters of inquiry prior to a formal proposal. Consult published guidelines.

Proposal Writing - The act of preparing an application (proposal) in any context: business, lobbying, sales, grants, subsidies, loans, employment.
Public Charity - Nonprofit organizations that qualify for tax-exempt status under section 501(c)(3) of the IRS code of the U.S. Public charities are the recipients of most foundation and corporate grants. Some public charities also make grants.

Qualifying Distributions - Expenditures of a private foundation made to satisfy its annual payout requirement. These can include grants, reasonable administrative expenses, set-asides, loans, and program-related investments, and amounts paid to acquire assets used directly in carrying out tax-exempt purposes.

Query Letter - A brief letter outlining an organization's activities and its request for funding that is sent to a potential grant maker in order to determine whether it would be appropriate to submit a full grant proposal. Many grant makers prefer to be contacted in this way before receiving a full proposal.

RFP - An acronym for Request for Proposal. When the government issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures. While a few foundations occasionally use RFPs in specific fields, most prefer to consider proposals that are initiated by applicants.

Seed Money - A grant or contribution used to start a new project or organization. Seed grants may cover salaries and other operating expenses of a new project.

Set-Asides - Funds set aside by a foundation for a specific purpose or project that are counted as qualifying distributions toward the foundation’s annual payout requirement. Amounts for the project must be paid within five years of the first set-aside.

Special Purpose Foundations - Private foundations that focus their grant making activities in one or a few areas of interest.

Sponsorships - Affiliations with existing nonprofit organizations for the purpose of receiving grants. Grant seekers may either apply for federal tax-exempt status or affiliate with a nonprofit sponsor.

Tax-Exempt - Refers to organizations that do not have to pay taxes such as federal or state corporate tax or state sales tax. Individuals who make donations to such organizations may be able to deduct these contributions from their income tax.

Technical Assistance - Operational or management assistance given to nonprofit Organizations. It can include fundraising assistance, budgeting and financial planning, legal advice, marketing, and other aids to management. Assistance may be offered directly by the staff of a foundation or corporation, or it may be provided in the form of a grant to pay for the services of an outside consultant.

Foundation Trustees - Board members or officers who help make decisions about how grant monies are spent. Depending on whether the foundation has paid staff, trustees may take a more or less active role in running its affairs.

Writing Business Proposals - The act of writing proposals in a business context.

Writing Grant Proposals - The act of writing proposals to apply for grants.

Writing Proposals - The act of writing a proposal in any context: business, lobbying, sales, grants, subsidies, loans, employment.