(a) CASE Statement of Ethics

The CASE Board of Trustees adopted this Statement of Ethics in 1982.

Institutional advancement professionals, by virtue of their 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, marital status, creed, ethnic or national identity, handicap, or age.

They uphold the professional reputation of other advancement officers and give credit for ideas, words, or images originated by others.

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 public 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.

Principles of Practice for Fund-Raising Professionals at Educational Institutions

Approved by the CASE Board of Trustees in November 2005

Philanthropy is a voluntary exchange in which the values and aspirations of donors are matched with the values and aspirations of those they benefit.

Educational fund-raising professionals work on behalf of those served by their institutions during this exchange of values and represent their universities, colleges and schools to donors, volunteers, and the larger public. In doing so, they also represent the integrity of the institution and of the fund-raising profession. They must, in discharging responsibilities, observe and promote the highest standards of personal and professional conduct and continually strive to increase their knowledge of the profession.

The following principles are consistent with CASE’s position on commission-based compensation developed by the Commission on Educational Fund Raising (now the Commission on Philanthropy) in 1991 and reaffirmed in 2005, and the Donor Bill of Rights. They are intended to provide guidance and direction to educational fund-raisers and volunteers as they make ethical choices during the philanthropic exchange of values. The principles are not, and cannot be, an exhaustive list of rules to be applied to every decision in which ethical principles may be involved.

These ethical principles go hand-in-hand with the expectation that educational fund raising professionals are expected to comply with the letter and the spirit of all laws relevant to charitable giving.
Ethical Principles

Personal Integrity
Individuals will:

- be fair and honest and conduct themselves with integrity;
- not maintain any vested interest in a professionally related activity that could result in personal gain without prior full disclosure and approval;
- respect that their relationships with prospective donors, donors, volunteers, and employees are professional relationships and may not be exploited.

Confidentiality
Individuals will:

- safeguard and respect donor and prospective donor information;
- honor the wishes of an individual and/or organizational constituent with regard to how directory information and/or giving history is used;
- record and keep only information relevant to cultivation, solicitation, and stewardship;
- identify the source of retained information;
- safeguard prospective donor, donor, and other constituent lists compiled by the institution as the property of the institution; these lists may not be distributed or used for unauthorized purposes or for personal gain;
- make every effort to ensure that volunteers, vendors, and external entities with access to constituent information understand and agree to comply with the organization's confidentiality and public disclosure policies.

Public Trust
Individuals will:

- ensure donated funds are used in accordance with donors’ intentions;
- obtain specific instructions from a donor before altering conditions of a restricted gift (consistent with applicable law);
- provide prompt, responsive and truthful replies to donor and public inquiry in accordance with the organization’s stated policies;
- place the mission and interest of the institution and its donors above personal gain;
- pursue only gifts that fall within, or advance, the institution’s mission and/or approved priorities.

Disclosure
Individuals will:

- be truthful about the institution’s mission, intended use of funds, and capacity of the institution to use donations effectively for the intended purpose;
- be truthful and specific about the identification of the organization they represent and their employment or volunteer status;
- understand and disclose their areas of expertise and will give appropriate advice regarding the involvement of the donors’ legal, accounting, financial and tax advisors;
- help ensure appropriate and consistent accounting, budgeting, and reporting methodologies.

Compensation
Individuals will
The University at Albany Foundation
Policies, Procedures and Guidelines

- not accept commission-based compensation or compensation based on a percentage of funds raised;
- not accept external compensation for the receipt of a gift or information leading to a gift;
- not agree to pay compensation to individuals in respect of a gift or information leading to a gift.