
UCLA Policy 191: Mass Gift and Membership Solicitations

Issuing Officer: Vice Chancellor, External Affairs
Responsible Dept: Gift Services
Effective Date: January 20, 2006
Supersedes: UCLA Policy 191 dated 11/16/2004

I. REFERENCES
II. INTRODUCTION AND PURPOSE
III. DEFINITIONS
IV. STATEMENT
V. ATTACHMENTS

I. REFERENCES

1. UC Policy on Support Groups, Campus Foundations, and Alumni Associations;
2. UC Administrative Guidelines for Support Groups;
3. UC Administrative Guidelines for Campus Foundations;
4. UC Administrative Guidelines for Campus Alumni Associations and Constituency Alumni Groups;
5. UCLA Policy 347, Recovery of Operating Costs from Private Gifts.

II. INTRODUCTION AND PURPOSE

To further UCLA's fund raising, membership, and outreach missions, the University utilizes electronic and printed mass solicitations to individuals and other entities. Mass solicitations are undertaken for the benefit of UCLA and are directed to The UCLA Foundation and the UCLA Alumni Association. This policy is intended to ensure accurate accounting, timely acknowledgement and consistency of mass solicitation communications and donor remittance processing. This policy is applicable to all such solicitations of the UCLA Alumni Association, UCLA Development Office, including those of the UCLA Fund, the College, the professional schools and campus departments or units, and other UCLA Support Groups. This policy is not applicable to solicitations involving the sales of calendars or T-shirts, subscribed events without a gift component, dues for Support Groups or personalized gift appeals.

III. DEFINITIONS

Appeal Code: A unique identifier used to track a subset of a solicitation for the purpose of performance reporting on the appeal and individual giving. There may be one or more Appeal Codes per solicitation.

Benefits: A recognition product/service/opportunity given to a donor/member to acknowledge a donation or membership dues received for certain donor/membership levels.

Gift: For purposes of this policy, a generic term that includes various types of assets including cash, securities, real property, tangible personal property or other non-monetary assets. In general, funds are classified as a Gift if the following characteristics are present: Disinterested generosity; donor does not impose contractual requirements; funds are awarded irrevocably.

Giving Level: Predefined Gift-range category assigned to each donor in a solicitation strategy.

Mass Solicitation: Any standardized appeal, communicated electronically or sent as printed material, for the purpose of soliciting Gifts, donations, or membership, to a large number of individuals, groups, corporations, or foundations, and carried out on behalf of various UCLA activities or programs by the UCLA Foundation, the UCLA Alumni Association, UCLA Support Groups qualified as Internal Revenue Code 501(c)(3) entities, or other UCLA affiliated entities.

Premium: A one-time recognition/product/service offered to members in response to a specific membership solicitation.

Premium Code: A system code to categorize and define various Premiums offered to donors/members.

Remittance: An instrument that a donor or member returns to UCLA along with a Gift or alumni membership dues that provides key donor and member information such as name, Advance ID, address, phone number, amount of Gift Appeal Code, desired fund name or number, etc. An example of a Remittance would be the tear-off coupon on a solicitation letter. Also known as a Remittance Device or a Remit. (See Attachment D)

For additional definitions of terms related to Gift and membership solicitation and processing, see the Definition of Terms: Gift/Membership Process <https://island.fim.ucla.edu/EABusiness/GiftMembership/Docs/project_documents/Glossary.htm>.

IV. STATEMENT

A. Authorization for a Mass Solicitation

For the purpose of ensuring compliance with applicable University policy and Internal Revenue Service regulations and to facilitate coordination of all UCLA solicitation activity, all proposed Mass Solicitation communications, as defined above, must be reviewed, authorized, and signed-off by the appropriate UCLA External Affairs officer. In addition, a Mass Solicitation soliciting any Gift must be authorized and signed-off by the senior Development staff member responsible for the campus entity that is to benefit from the solicitation. For example, such a Mass Solicitation to benefit a unit of the Health Sciences must be authorized by the Assistant Vice Chancellor of Development for the Health Sciences; such a Mass Solicitation to benefit the College of Letters and Science (The College) must be authorized by the Assistant Vice Chancellor, UCLA College Development. The senior Development staff member may delegate all or some portion of the authorization and sign-off responsibility to specific individuals under his/her direction.

UCLA Alumni Association Mass Solicitations require the authorization and mail house sample sign-off by both the Associate Executive Director, Membership and Marketing, and the Director, Membership, UCLA Alumni Association.

The authorization of a Mass Solicitation is based on a review of the text of the Mass Solicitation communication which must contain the required data elements as specified in paragraph B, below as applicable for Gift solicitations or membership solicitations. In addition, each Mass Solicitation communication must be accompanied by a Remittance Device that includes specific data elements.

Exceptions to the requirement that each Mass Solicitation must be separately authorized, to the required Mass Solicitation communication data elements, or to other requirements will be considered in accordance with section C, below.

B. Mass Solicitation Communication Data and Remittance Device Elements

1. All Mass Solicitation communications must include the following data elements:

Elements for inclusion in Mass Solicitation communication address field:

- Name

- Address
- Gift/Membership system ID number
- Class year(s) if alumnus/alumna/student

Elements for inclusion in Mass Solicitation communication:

- Ask for contribution
- Identify the school, department, or unit name

Include the following additional elements for Gift Mass Solicitation communication:

- Purpose (for Gifts, tied to fund number on Remittance Device)
- Fund type

2. All Mass Solicitation Remittance Devices must include the following data elements:

- Name
- Address
- Phone number
- E-mail address
- Gift/Membership System ID number of primary donor/member
- Class year(s) if alumnus/alumna/student
- Payee (i.e., Make checks payable to “The UCLA Foundation,” “UCLA Alumni Association”, “The Regents of the University of California”, or the 501(c)(3) entity as appropriate)
- Amount options, suggested amounts, check box(s)
- Lockbox address
- Appeal Code(s)
- Biographic update elements (Attachment A)
- Credit card option with credit card type, credit card number, expiration (mo/yr), and name on card
- Automated Clearing House (ACH) option copy (Attachment B)
- Phone contact at UCLA (i.e., originating office)
- Website address for on-line payment option, if available

Additional elements required for Gift Mass Solicitation Remittance Devices:

- Pledge schedule
- Gift of securities copy (Attachment B)
- Matching Gift copy (Attachment B)
- Estate plan copy (Attachment B)
- Disclosure statements (Attachment C)

- If Benefits are offered:
 - Fair market value of Benefits
 - Option to decline Benefits
 - Premium Code(s)
- Fund name(s) and fund number(s)
- Giving Levels
- “This is a joint gift” check box

Additional elements required for alumni membership Mass Solicitation Remittance Devices:

- Alumni membership categories
- Option to decline inclusion in the Alumni Directory
- Premium Code(s)

Optional element

- Return or reply by date

Note that address fields on Remittances will be preprinted with available data from the gift/membership system.

C. Exceptions to Policy

Exceptions to this policy may be proposed and will be reviewed on a case-by-case basis in accordance with the following criteria. Such exceptions may include changes in selective information elements, disclosure language (unless mandated by law or UCOP policy), and strict use of Remit templates. The exception process allows for two types of exemptions, a *standing exemption* or a *one-time exemption*, based on the following criteria:

- To qualify for a *standing exemption* the following condition applies:
If the Mass Solicitation has an ongoing distinctive requirement which is recurring and where the specific application of the policy would not be appropriate, a standing exemption may be granted.
- To qualify for a *one-time exemption* the following condition applies:
If the Mass Solicitation is out of compliance due to a specific requirement that occurs on a limited or one-time basis, a one-time exemption may be granted.

The request for exceptions and the authorization of exemptions follow the same management signature approvals as for Mass Solicitations (see section IV.A, above). Standing exemptions will be reviewed annually to ensure the continued appropriateness of the exception. All other exceptions will be reviewed on an individual basis in connection with the solicitation approval process.

Submission Requirements:

1. Identify the name of the Mass Solicitation where exception would apply;
2. Identify the type of exemption being requested, standing or one-time;
3. Describe the exception and rationale (e.g., impact if exception is not granted and justification for standing exemption);
4. Identify who is submitting the request, name, title and department;
5. Attach supporting documentation, as required (e.g., modified Remit).

V. ATTACHMENTS

- A. Biographic Update Elements on Remittance Cards
- B. Copy Language for Gift Mass Solicitations and Alumni Association Memberships
- C. Disclosure Statements
- D. Sample Gift and Membership Solicitation Remittance Templates

Issuing Officer

/s/ Michael C. Eicher

Vice Chancellor, External Affairs

**Questions concerning this policy or procedure should be referred to
the Responsible Department listed at the top of this document.**

ATTACHMENT A

Biographic Update Elements on Remittance Cards

Following is a list of elements to be included in the biographic update section of the remittance card:

- Name
- Address, both home and business
- Telephone numbers, both home and business
- E-mail addresses, both home and business
- Preference boxes for address, telephone numbers, and e-mail addresses
- Birth date

For gift solicitations also include:

- Marital status
- Name of spouse/partner
- If spouse/partner UCLA alumnus/alumna, name at graduation, class year(s)

ATTACHMENT B

Copy Language for Gift Mass Solicitations and Alumni Association Memberships**Copy Language - Gifts**

- **Automated Clearing House (ACH) option copy for contributions to The UCLA Foundation:**
Automatic Payment Plan Agreement: I hereby authorize The UCLA Foundation (Company ID# 95-2250801) to initiate monthly debit entries for my remaining payments and (credit) adjustments for any debit entries in error to my designated checking or credit card account. This authority is to remain in effect until the balance has been fulfilled or until the Bank receives written notification from me of its termination in such time and in such manner to afford the Bank reasonable opportunity to act.

For ACH option copy for contributions to The Regents of the University of California, Support Groups with 501(c)(3) status and other entities, contact the departmental development officer.
- **Matching gift copy:**
In addition to my personal gift, I have enclosed a matching gift form.
- **Gift of securities copy:**
Please contact the securities coordinator at (310) 794-3434 for detailed transfer instructions.
- **Estate plan copy:**
Please send me information on how I can include UCLA in my estate plan.

Copy Language - UCLA Alumni Association Memberships

- **ACH option copy for contributions to the UCLA Alumni Association:**
Automatic Payment Plan Agreement: I hereby authorize the UCLA Alumni Association (Company ID# 95-2286986) to initiate monthly debit entries for my remaining payments and (credit) adjustments for any debit entries in error to my designated checking or credit card account. This authority is to remain in effect until the balance has been fulfilled or until the Bank receives written notification from me of its termination in such time and in such manner to afford the Bank reasonable opportunity to act.
- **Opting out of the UCLA Alumni Association directory:**
Members are automatically included in the Online Alumni Directory unless they ask to be excluded.

Please exclude the following from my preferred listing (check below):

- Address
- E-mail
- Phone
- Graduation Year

Please exclude me from the Directory

ATTACHMENT C**Disclosure Statements****Standard Disclosure Statements**

The following statements must appear on all solicitations for gifts to The UCLA Foundation:

- **Privacy Notice:**

The 1977 California Information Practices Act requires UCLA to inform individuals asked to supply information about themselves of the following: UCLA is requesting this information to update the general resource files of its External Affairs Department. Furnishing the information is strictly voluntary and will be maintained confidentially. The information may be used by other University departments in the regular course of business but will not be disseminated to others except if required by law. You have the right to review your own data file. Inquiries should be forwarded to Assistant Vice Chancellor - Finance and Information Management, External Affairs, 10920 Wilshire Blvd. 9th floor, Los Angeles, CA 90024-6511.

- **Donor's Consent to Use Personal Information:**

The University is grateful for the support it receives from alumni, parents, and friends. One of the ways we express our thanks is by listing the names of donors in web-based and/or print publications. Should you wish that your name not appear as a donor, please notify us if you have not already done so.

- **Fiduciary Responsibility of The UCLA Foundation:**

The UCLA Foundation is a California non-profit, public benefit corporation organized for the purpose of encouraging voluntary private gifts, trusts and bequests for the benefit of the UCLA campus. Responsibility for governance of The Foundation, including investments, is vested in its Board of Directors.

- **Recovery of Operating Costs From Private Gifts:**

As is customary with universities and other non-profit organizations across the country, a one-time gift fee is applied to all gifts to provide essential support necessary to UCLA's overall operation. The fee is currently 6.5%.

- **Fundraising Permit**

"In compliance with the Charitable Solicitation Ordinance in the City of Los Angeles (L.A. Municipal Code Article 4, Section 44), The UCLA Foundation's permit is on file with the City of Los Angeles"

Other Disclosure Statements

- **Endowed Funds** - The following statement must appear on all solicitations for endowed gifts to The UCLA Foundation:

The Chancellor may, from time to time, authorize The UCLA Foundation to return all or a portion of the fund's spendable income to fund principal in order to protect the real value of fund principal, or if spendable income substantially exceeds real current need, or if other compelling circumstances warrant the addition of spendable income to fund principal. In the event the fund does not reach the endowment minimum; or the program ceases to exist at UCLA, the campus school or department will utilize the proceeds from the fund in an area and manner as closely related as possible to the original intent and purposes for which the fund was established.

- **HIPAA** - The following statement must appear on all solicitations for the health sciences to ensure compliance with the Health Insurance Portability and Accountability Act (HIPAA):

If you do not want to receive further fundraising communications from (name of program or department), please contact:

(Name of program or dept), c/o UCLA Medical Sciences Development, 10945 Le Conte Avenue, Suite 3132, Los Angeles, CA, 90095-1784

- **CAN-SPAM** - The following statement must appear on all electronic solicitations to ensure compliance with the CAN-SPAM Act of 2003 (Controlling the Assault of Non-Solicited Pornography and Marketing):

To unsubscribe: This e-mail was sent to you because you are a valued friend of UCLA. If you do not want to receive further fundraising communications from this specific solicitation, simply [click here](#).

Back of Basic Gift Remittance Card

Please help us update your information:

Name: _____ **Preferred Address** Position/Title: _____
 Address: _____ Home Business Company Name: _____
 _____ Company Address: _____
Preferred E-mail
 Home Phone: _____ Business Phone: _____
 Home E-mail: _____ Home Business Business E-mail: _____
 Date of Birth: ___ / ___ / ___ Marital Status: _____

Please help us update your spouse/partner's information:

Is spouse/partner a UCLA alumnus? Yes No
 Name of spouse/partner: _____ Name at graduation: _____ Class year: _____

Privacy Notice: The 1977 California Information Practices Act requires UCLA to inform individuals asked to supply information about themselves of the following: UCLA is requesting this information to update the general resource files of its External Affairs Department. Furnishing the information is strictly voluntary and will be maintained confidentially. The information may be used by other University departments in the regular course of business but will not be disseminated to others except if required by law. You have the right to review your own data file. Inquiries should be forwarded to Assistant Vice Chancellor - Finance and Information Management, External Affairs, 10920 Wilshire Blvd. 9th Floor, Los Angeles, CA 90024-6511. **Donor's Consent to Use Personal Information:** The University is grateful for the support it receives from alumni, parents, and friends. One of the ways we express our thanks is by listing the names of donors in Web-based and/or print publications. Should you wish that your name not appear as a donor, please notify us if you have not already done so. **Fiduciary Responsibility of The UCLA Foundation:** The UCLA Foundation is a California non-profit, public benefit corporation organized for the purpose of encouraging voluntary private gifts, trusts and bequests for the benefit of the UCLA campus. Responsibility for governance of The Foundation, including investments, is vested in its Board of Directors. **Recovery of Operating Costs From Private Gifts:** As is customary with universities and other non-profit organizations across the country, a one-time gift fee is applied to all gifts to provide essential support necessary to UCLA's overall operation. The fee is currently 6.5%. **Automatic Payment Plan Agreement:** I hereby authorize The UCLA Foundation (Company ID# 95-2250801) to initiate monthly debit entries for my remaining payments and (credit) adjustments for any debit entries in error to my designated checking or credit card account. This authority is to remain in effect until the balance has been fulfilled or until the Bank receives written notification from me of its termination in such time and in such manner to afford Bank reasonable opportunity to act.

This is a basic gift remittance card for The UCLA Foundation with one fund and multiple payment options.

Other remit templates will allow for solicitations with giving to:

- Multiple funds
- Benefits (acceptance/decline)
- Memorial /honorary tributes
- Endowed funds
- Medical Sciences (HIPAA disclosures)
- Multi-year

BASIC MEMBERSHIP REMITTANCE CARD

Front of Membership Remittance Card

Membership Options (choose one):

- (LM) **Life Membership:** \$495 (paid in full)
- (PL) **Life Membership Easy Payment Plan:** Pay \$55 now as an initial down payment, then have \$27.50 per month deducted from your checking or credit card account for 18 months – a total cost of \$550
 Authorization signature: _____ Date: _____
- (AM) **Annual Membership:** \$45

Method of Payment I prefer to pay with my (choose one):

- Check:** Please make check payable to the UCLA Alumni Association.
- Credit Card:** VISA MasterCard American Express Discover
 Credit Card #: _____
 Expiration (mm/yy): _____
 Name on card (please print): _____

To join online, visit www.UCLAumni.net.

Please update my contact information (make changes on reverse).

(Advance ID)	
Josephine Bruin '76	(Phone Number)
1234 Westwood Blvd.	(E-mail address)
Los Angeles, CA 90024	

Please send payment and this completed form in the enclosed envelope to: UCLA Alumni Association, Box 512625, Los Angeles, CA 90051-0625 (**Do Not Send Cash**). For information, please call: Members Services at 800- or 310-UCLAumni (825-2586).

Thank you for joining the UCLA Alumni Association.

Back of Membership Remittance Card

Please help us update your information:

Name: _____ **Preferred Address** Position/Title: _____
 Home Address: _____ Home Business Company Name: _____
 _____ Company Address: _____
 Home Phone: _____ **Preferred E-mail** Business Phone: _____
 Home E-mail: _____ Home Business Business E-mail: _____
 Date of Birth: ____ / ____ / ____ Marital Status: _____

Please help us update your spouse/partner's information:

Is Spouse/Partner a UCLA Alumnus? Yes No
 Name of Spouse/Partner: _____ Name at Graduation: _____ Class Year: _____

Online Directory: Members are automatically included in our Online Alumni Directory unless they ask to be excluded.

Please exclude the following from my listing (check below):

(XA) Home Address (XE) Home E-Mail (XB) Business Information
 (XP) Home Phone (XG) Graduation Year

(XT) Please exclude me from the Directory.

Automatic Payment Plan Agreement: I hereby authorize the UCLA Alumni Association (Company ID# 95-2286986) to initiate monthly debit entries for my remaining payments and (credit) adjustments for any debit entries in error to my designated checking or credit card account. This authority is to remain in effect until the balance has been fulfilled or until the Bank receives written notification from me of its termination in such time and in such manner to afford the Bank reasonable opportunity to act.

This is a basic membership remittance card for The Alumni Association solicitation for Alumni and Friends.

Other remittance templates will allow for solicitation of:

- Students
- Alumni class year