

ADMINISTRATIVE GUIDELINES FOR CAMPUS ALUMNI ASSOCIATIONS
AND
CONSTITUENCY ALUMNI GROUPS

PART ONE: CAMPUS ALUMNI ASSOCIATIONS

I. OFFICIAL RECOGNITION OF A CAMPUS ALUMNI ASSOCIATION

- A. A Chancellor may recognize as the Campus Alumni Association a single campus-wide organization that has the following characteristics:
1. is organized and operated solely for the benefit of the University and its alumni;
 2. has as its purpose providing service and support to its members, the alumni of the campus, and to the University; and
 3. is the umbrella organization for the constituency alumni groups of the campus.
- B. An organization that desires to be recognized as the University-wide alumni association may be accorded such recognition by the President of the University under the terms and conditions of these guidelines and upon such other terms and conditions as the President may specify from time to time.
- C. The following nine campus alumni associations of the University of California were in existence and were operating in conformity with these Guidelines as of the date of issuance. By virtue of that fact, they are deemed to have been accorded de facto recognition as the Campus Alumni Associations by their respective Chancellors. (Listed in order of their founding dates):

California Alumni Association
1 Alumni House
University of California
Berkeley, California 94720-7520

Alumni Association of UCSF
745 Parnassus Avenue
University of California
San Francisco, CA 94143-0970

Cal Aggie Alumni Association
University of California
One Shields Avenue
University of California
Davis, California 95616-8517

UCLA Alumni Association
The Alumni Center
Box 951397
University of California
Los Angeles, CA 90095-1397

UCSB Alumni Association
University of California
Santa Barbara, CA 93106

UCR Alumni Association
3127 Hinderaker Hall
University of California
Riverside, CA 92521

UCSD Alumni Association
U Center 202-0083
9500 Gilman Drive
University of California
La Jolla, CA 92093-0083

UCI Alumni Association
Phineas Banning Alumni House
University of California
Irvine, CA 92697

UCSC Alumni Association
Carriage House
University of California
Santa Cruz, CA 95064

- D. Compliance with the University's Policy on Support Groups, Campus Foundations and Alumni Associations (hereinafter referred to as "the Policy"), and the Administrative Guidelines for Campus Alumni Associations (hereinafter referred to as "the Guidelines") is a condition of continued recognition. A copy of these guidelines will be given to all members of the Campus Alumni Association's governing board upon the issuance of these guidelines and whenever a new member of the governing board takes office.
- E. To obtain and maintain recognition, Campus Alumni Associations shall submit the following to the Chancellor (or designee) on an annual basis or otherwise as specified by the Chancellor:
1. A current list of officers, members of the Board of Directors (or other governing board) and the principal contact person for the organization;
 2. A statement of the organization's purpose and goals and/or enabling documents (i.e., bylaws, constitution, articles of incorporation or other governing document);
 3. A current roster of names and addresses of donors and members, unless such records are otherwise maintained by the University;
 4. A statement signed by the officers/representatives of the organization that the Board of Directors (or governing body) has read and formally voted that it will comply with the Policy and these Guidelines;
 5. For a separately incorporated, tax-exempt organization, a copy of the organization's most recent Internal Revenue Service Form 990 and annual financial statements;
 6. For a separately incorporated, tax-exempt organization, a list of the types of activities, including fundraising drives, the organization intends to undertake and how the organization intends to financially support these activities; and
 7. For a separately incorporated, tax-exempt organization, with accounts at any financial institution, subject to the approval requirements set forth in IV.G. below,

a list identifying all such accounts, including the institution's name and address, the organization's account numbers, and a statement signed by an appropriate officer or representative of the organization authorizing the University to obtain upon request from the financial institution information, records, or photocopies of transactions relating to the account(s).

- F. The following privileges may be granted by the Chancellor to a recognized Campus Alumni Association:
 - 1. Use of the name and unofficial seal of the University;
 - 2. Use of University space, equipment, administrative services and staff in performance of an Association's recognized activities; and
 - 3. Use of the University's investment and legal services, subject respectively to approval by the Treasurer and the General Counsel of The Regents.
- G. Under the authority of the Chancellor, recognized Campus Alumni Associations may be assigned the responsibility of ensuring that all geographical and special interest chapters of the central alumni association as well as recognized Constituency Alumni Groups (defined in Part Two, following) are in compliance with the Policy and these Guidelines.
- H. Recognition of Campus Alumni Associations agreeing to these Guidelines and meeting the criteria set forth herein shall not be withdrawn or denied by the Chancellor except for non-compliance with these Guidelines.

II. ORGANIZATION OF CAMPUS ALUMNI ASSOCIATIONS

- A. Campus Alumni Associations are currently organized and operated either as (a) administrative units of the University and/or (b) as separately organized and operated California nonprofit, public benefit corporations. All separately incorporated Campus Alumni Associations shall obtain and maintain status as tax-exempt organizations under state and federal corporate and tax laws.
- B. The Chancellor or an individual designated by the Chancellor shall be an ex officio member of the governing board.
- C. Chancellors are responsible for determining that Campus Alumni Associations, whether or not separately incorporated, are in compliance with the Policy and these Guidelines and have authority to require Campus Alumni Associations to

provide written evidence of compliance.

- D. Chancellors may establish additional written campus policies, guidelines and delegations governing Campus Alumni Associations consistent with the Policy and these Guidelines, as deemed necessary. Copies of such policies, guidelines, delegations and any amendments thereto shall be forwarded promptly upon their issuance to the President and all affected entities.
- E. A Campus Alumni Association shall comply with University policies pertaining to use of the University's name and seal and related delegations of authority.

III. FUNDRAISING BY CAMPUS ALUMNI ASSOCIATIONS

- A. Fundraising campaigns proposed by a Campus Alumni Association shall be approved in advance in writing by the Chancellor or designee, the President, or The Regents as provided in pertinent University or campus policies and delegations of authority. The solicitations of annual or life membership dues do not require such advance approval and are not to be construed as “fundraising” within the meaning of these Guidelines. All fundraising campaigns shall be coordinated through the campus development office. Alumni Associations may accept gifts, provided they abide by the investment policies found in IV.E. of these guidelines. Campus Alumni Associations should acknowledge and thank donors who have made gifts for their benefit.
- B. A Campus Alumni Association shall advise donors that any restrictive terms and conditions attached to gifts for the University are subject to University approval.
- C. All gifts for the benefit of a Campus Alumni Association shall be reported by the campus or the Campus Foundation to the Chancellor.
- D. University Policies Affecting Alumni Associations
 - 1. Among University policies relating to fundraising campaigns and solicitation and acceptance of gifts, grants and contracts, the following documents also apply to Campus Alumni Associations and shall be observed:
 - a. Presidential Delegation of Authority -- To Approve and Conduct Fundraising Campaigns; May 26, 1994 (DA 2018).

- b. Presidential Delegation of Authority -- Policy to Permit Use of the University's Name; May 3, 1985 (DA 0864).
- c. Presidential Delegation of Authority -- Policy to Permit Use of the Unofficial Seal; May 3, 1985 (DA 0865).
- d. Presidential Delegation of Authority -- To Solicit and Accept Gifts; March 23, 1994 (DA 2011).
- e. Presidential Policy -- Policy on the Requirements to Submit Proposals and to Receive Awards for Grants and Contracts through the University; December 15, 1994.

IV. FINANCIAL ACTIVITIES OF CAMPUS ALUMNI ASSOCIATIONS

- A. Financial Control: In the case of a Campus Alumni Association that is organized and operated administratively as a unit of the University, all University financial control policies and procedures shall be followed.

For a separately incorporated Campus Alumni Association, financial activities shall be administered and reported to its board in accordance with prudent business practices, generally accepted accounting principles and these Guidelines.

- B. State General Funds: State General Funds shall not be transferred to a separately incorporated tax-exempt Campus Alumni Association. Payments for value received are permitted but gifts or unrestricted grants are not.
- C. Reports of Expenditures: Within 180 days of the close of each fiscal year, a separately incorporated tax-exempt Campus Alumni Association shall submit to the Chancellor and the President a detailed report comparing budgeted to actual expenditures by fund source. Upon request, a separately incorporated tax-exempt Campus Alumni Association shall submit through the Chancellor to the President, within 30 days of such request, a detailed financial report.
- D. Bonding and Insurance: For a separately incorporated tax-exempt Campus Alumni Association, the governing board shall make an express determination of the appropriateness, necessity and amounts of any bonds for officers and staff members. General liability and directors' and officers' liability insurance also shall be obtained in amounts determined annually by the governing board to be reasonable, appropriate and necessary.

E. Investment of Endowments: Endowments held for the benefit of Campus Alumni Associations shall be invested either (1) through the Office of the Treasurer of the Regents, or (2) with permission of the Chancellor, through the Campus Foundation.

F. Funds for Support of University Departments: Restricted funds received or unrestricted funds (including investment payout) allocated for support of University departments or programs shall be transferred at least annually to the University (unless otherwise provided by the Chancellor), administered in accordance with University policies, and expended from University department or program accounts.

Contracts, grants, clinical trials or specific research projects funded by external sponsors must be entered into directly by the University and the research sponsor, not through a Campus Alumni Association. Gifts designated for a specific research project or a specific researcher, or otherwise intended to support research activities, may be made only to The Regents or the Campus Foundation and must conform to applicable University policies and procedures. This process will enable the University to comply with the State of California Political Reform Act requiring disclosure by the faculty member of any financial interest in the donor. A Campus Alumni Association may not be used as a vehicle to avoid such requirements.

G. Bank Accounts: Only the following expenditures for separately incorporated tax-exempt Campus Alumni Association activities may be made from such accounts:

1. Payments for goods and services including salaries of staff, but only when the Campus Alumni Association has its own staff and does not use University employees in that capacity, provided such goods and services are in connection with official activities of the separately incorporated tax-exempt Campus Alumni Association;
2. Payments for audit, tax preparation, or legal fees;
3. Payments to donors to refund contributions as permitted by law, or to return overpayments pursuant to a donor's request;
4. Payments to other organizations of donations or other remittances made in error;

5. Transfers to the University or the Campus Foundation; and
 6. Legally appropriate payments from its bank account to support ballot measures clearly beneficial to the University, as described in Section IV, P below, and endorsed by The Regents.
- H. Disbursements: All disbursements on behalf of a separately incorporated tax-exempt Campus Alumni Association shall be approved by a duly appointed Campus Alumni Association officer. The governing board of the separately incorporated tax-exempt Campus Alumni Association shall specify an amount beyond which checks must bear the signatures of two persons designated by that governing board.
- I. Financial Statements: Financial statements and expenditures by a separately incorporated tax-exempt Campus Alumni Association shall be in accordance with pertinent University policies and guidelines or explicitly written Campus Alumni Association policies, with detailed budgets approved by the Campus Alumni Association's governing board.
- J. Payments to University Employees: A Campus Alumni Association shall not (a) directly or indirectly employ, (b) supplement the salary of, or (c) provide any consulting fees, loans, or perquisites to University employees outside of established University of California personnel policies and practices, including the University policy concerning senior management automobiles. Campus Alumni Associations may establish a gift fund with The Regents from which University employees may receive payments in accordance with University personnel policies, procedures and practices.
- K. Payments to Trustees: Except for reimbursement for expenses incurred on its behalf, a Campus Alumni Association shall not pay any salaries, consulting fees, loans, or perquisites to a Campus Alumni Association trustee, director, officer, or volunteer without the Chancellor's prior written approval, with copies to the President.
- L. Deposit of Gifts to the University: University funds or gifts payable to The Regents or to any other University entity shall not be deposited with or transferred to a separately incorporated tax-exempt Campus Alumni Association.
- M. Solicitation Literature: When a fundraising campaign has been approved by the Chancellor, a separately incorporated tax-exempt Campus Alumni Association's solicitation literature shall make it clear when gifts are to be made payable to the

Campus Alumni Association. Each separately incorporated tax-exempt Campus Alumni Association shall develop a procedure to document when gifts intended for it have erroneously been made payable to a University entity and, when such documentation is possible, the University may issue an exchange check to a Campus Alumni Association.

- N. Gift Fees: If charges against gifts or payout therefrom are to be made for costs of administering a gift to the Campus Alumni Association, the Campus Alumni Association shall include in its literature a statement to that effect. Such charges shall be approved by the Chancellor and the Campus Alumni Association's governing board, and the nature of such charges shall be disclosed in the Campus Alumni Association's audited financial statement.
- O. Report to Registry of Charitable Trusts: Complete copies of the separately tax-exempt incorporated Campus Alumni Association's full report to the State Registry of Charitable Trusts shall be provided each year by the Campus Alumni Association to the Chancellor, at the time the report is filed with the State Registry of Charitable Trusts, if any such filing is required by the State Registry of Charitable Trusts.
- P. Political Activities: No substantial part (as those terms are used pursuant to the Internal Revenue Code and Regulations) of the activities of a Campus Alumni Association shall attempt to influence legislation, or participate or intervene in any political campaign in support of or opposition to legislation. No part of those activities may be on behalf of any candidate for public office. However, advocacy on behalf of the University is permitted if it is consistent with the legislative, budgetary and electoral objectives of the University, endorsed by The Regents, pursued in coordination with the Chancellor and the President of the University, consistent with applicable state law, the Internal Revenue Code and Regulations, and in accordance with the Articles and Bylaws of the Campus Alumni Association.
- Q. Conflicts of Interest: Business transactions involving the Campus Alumni Association and the personal or business affairs of a trustee, director, officer, or staff member shall be approved in advance by the governing board. In addition, trustees, directors, officers and staff members of a Campus Alumni Association shall disqualify themselves from making, participating in making, or in any way attempting to use their official positions to influence a decision in which they have or would have a financial interest, as defined by University policy.
- R. Acceptance of Gifts: No director, trustee, officer, or staff member of a Campus

Alumni Association shall accept from any source any gift or gratuity that is offered or reasonably appears to be offered because of the position held by the individual with the Campus Alumni Association.

Gift or gratuity means any payment received to the extent that consideration of equal or greater value is not given. It does not include informational material, such as books, reports, calendars, or other unsolicited promotional material. A gift does not include modest entertainment expenditures, such as a meal or refreshments, in connection with meetings, conferences, or public ceremonies, or home hospitality. This provision applies to the individual and does not apply to gifts offered to or by a Campus Alumni Association as an organization.

- S. Services to Constituency Alumni Groups: With the approval of the Chancellor, a Campus Alumni Association may provide to officially recognized constituency alumni groups the following, subject to the same conditions pertaining to the Campus Alumni Association: cash management, disbursement, and accounting stewardship; gift reporting; and, in appropriate cases, coverage under the Campus Alumni Association's insurance policies, inclusion in the Campus Alumni Association's financial statements, external audits and tax reporting, or use of the Campus Alumni Association's tax identification number.

V. AUDIT OF CAMPUS ALUMNI ASSOCIATIONS

- A. A Campus Alumni Association shall upon request permit the President and the Chancellor (or designee, including the campus Internal Audit Office) to inspect and audit its books and records, as well as those of its financial institution(s) as relates to the Campus Alumni Association's account(s). In addition, a Campus Alumni Association shall permit the University Auditor and the campus Internal Audit Office to review directly all bank account records.
- B. The governing body of a separately incorporated tax-exempt Campus Alumni Association that had gross annual revenues less than \$500,000 shall provide a copy of the organization's annual IRS Form 990 and financial statements to the Chancellor (or designee) within 180 days of the end of the fiscal year.
- C. The governing body of a separately incorporated tax-exempt Campus Alumni Association that had gross annual revenues between \$500,000 and \$1 million shall contract and pay for an annual review of its financial statements prepared by a reputable independent accounting firm acceptable to the University. Such review shall be completed within 180 days of the end of the fiscal year.

- D. The governing body of a separately incorporated tax-exempt Campus Alumni Association that had gross annual revenues in excess of \$1 million shall contract and pay for an annual audit for such fiscal year. The audit shall:
1. be conducted by a reputable independent accounting firm;
 2. include an opinion on the financial statements of the Campus Alumni Association prepared in accordance with generally accepted accounting principles as applicable to the nature of the Campus Alumni Association;
 3. if applicable, include a supplementary statement that nothing came to the attention of the auditors that causes them to believe that the Campus Alumni Association was not in compliance with the Policy and these Guidelines, noncompliance with which could have a material effect on the Campus Alumni Association's financial statements for the fiscal year;
 4. include a management letter addressed to the appropriate members of the Campus Alumni Association's governing body conveying audit findings and recommendations, including management's response to the findings and recommendations;
 5. include written communications with the Campus Alumni Association's governing body pursuant to auditing standards; and
 6. be completed within 180 days of the end of the fiscal year.

PART TWO: CONSTITUENCY ALUMNI GROUPS

I. RECOGNITION OF CONSTITUENCY ALUMNI GROUPS

- A. A Chancellor may recognize as a Constituency Alumni Group an organization that has the following characteristics:
1. is organized and operated solely for the benefit of the University and the alumni of a school, college, department, or other campus administrative or academic units (the "constituent units"); and

2. has as its purpose providing service and support to its members, the alumni of a constituent unit, and to that unit.
- B. A request for recognition will be denied when the Chancellor or designee determines that:
1. an organization does not serve the best interests of the University;
 2. recognition of an organization is not consistent with campus priorities and programs; and/or
 3. an organization does not meet the required terms of recognition.
- C. The President, Chancellor or designee may grant privileges to a recognized constituency alumni group, including authorization to use the name of the University, a campus, or the institutional unit involved, and to use space, equipment, and staff support in the performance of its recognized support activities. Without such authorization, no group may:
1. represent itself as raising funds or otherwise providing support on behalf of or for the benefit of the University, or any part of it;
 2. use the name of the University or any of its campuses, facilities, or programs, either expressly or by implication in connection with such activities; or
 3. use University facilities, equipment, or personnel in connection with such activities.
- D. The President or the Chancellor (or designee), as appropriate, will notify in writing a responsible officer of each constituency alumni group that compliance with the Policy and these Guidelines is a continuing condition of recognition. A written acknowledgment of that condition is required from a constituency alumni group officer authorized to commit the constituency alumni group.
- E. Chancellors have the authority to take reasonable steps to ensure that all recognized constituency alumni groups are in compliance with the University's Policy and these Guidelines. The Chancellor may designate a Campus Alumni Association or another campus entity as having that responsibility. For initial recognition, a constituency alumni group must submit the following to the Campus Alumni Association or Chancellor's designee:

1. A current list of officers, members of the Board of Directors (if any) and the principal contact person for the organization;
 2. A statement of the organization's purpose and goals and/or enabling documents (i.e., bylaws, constitution, articles of incorporation or other governing document);
 3. A current roster of names and addresses of donors and members, unless such records are otherwise maintained by the University;
 4. A statement signed by the officers/representatives of the organization stating that the Board of Directors (or the governing body) has read and formally voted that it will comply with the Policy and these Guidelines;
 5. For a tax-exempt organization with an external bank account, a copy of the organization's most recent Internal Revenue Service Form 990 and annual financial statements; and
 6. A list of the types of activities, including fundraising and membership drives, the organization intends to undertake and how the organization intends to financially support these activities.
- F. For continued recognition, a constituency alumni group shall submit the following to the Campus Alumni Association or to the Chancellor's designee on an annual basis:
1. An updated list of officers, members of the Board of Directors (if any) and the principal contact person for the organization;
 2. Any changes to the organization's structure, purpose and goals, and/or enabling documents (i.e., bylaws, constitution, articles of incorporation or other governing document);
 3. An updated roster of names and addresses of donors and members, upon request of the Chancellor (or designee);
 4. A statement signed by the officers/representatives of the organization stating that the Board of Directors (or the governing body) has read and formally voted that it will continue to comply with the Policy and these Guidelines;

5. For a tax-exempt organization with an external bank account, a statement of revenues and expenses (and net income) for the last fiscal year and a copy of the organization's annual Internal Revenue Service Form 990 and financial statements; and
 6. For approval by the President, the Chancellor, or the Chancellor's designee, an annual plan of fundraising, membership drives and other activities for the ensuing fiscal year and how the organization will financially support these activities.
- G. If a constituency alumni group does not comply with these Guidelines, the Campus Alumni Association or the Chancellor's designee shall by written notice require the constituency alumni group to comply within 90 days or recognition as a constituency alumni group will be withdrawn.
1. In the event the group fails to comply within the time period specified by the Chancellor (or designee) upon recommendation of the Campus Alumni Association, the Chancellor may withdraw the constituency alumni group's official recognition and take all necessary actions in that regard. In appropriate circumstances, the Chancellor may extend the period for compliance when action to remedy noncompliance is in progress.
 2. Upon withdrawal of recognition, the assets of the constituency alumni group shall be transferred to the parent alumni association, The Regents of the University of California or the Campus Foundation, as designated by the Chancellor, for purposes consistent with the terms of individual gifts and purposes of the constituency alumni group. In the event the constituency alumni group fails within a reasonable time period under the circumstances to transfer its assets, the General Counsel of the Regents shall take such legal action as may be necessary to compel transfer.

II. ORGANIZATION OF CONSTITUENCY ALUMNI GROUPS

- A. A constituency alumni group shall be organized and operated administratively as a unit of the University. A new constituency alumni group may not be separately organized and incorporated. A constituency alumni group must be sponsored by or registered with a Campus Alumni Association or the Chancellor's designated representative. All University of California policies and procedures regarding financial control, including these Guidelines, shall apply to such organizations. A constituency alumni group shall be organized and at all times operate so that

contributions to it or to the University or the Campus Foundation shall be deemed tax deductible charitable contributions under relevant provisions of state and federal tax law.

- B. Each constituency alumni group's enabling documents shall include a clause providing that in the event of dissolution, its assets shall be distributed to the parent alumni association, The Regents of the University of California or to the Campus Foundation, provided that The Regents and/or the Campus Foundation remain a qualified charitable organization under relevant state and federal income tax laws.
- C. A constituency alumni group representing a school, college, department or other academic or administrative unit shall secure the sponsorship of the school, college, department or other academic or administrative unit involved. The administrative head of the sponsoring unit shall serve as an ex officio member of the governing board of the constituency alumni group and of any executive or similar committee empowered to act for the governing board of the constituency alumni group.

III. FUNDRAISING BY CONSTITUENCY ALUMNI GROUPS

Fundraising activities of constituency alumni groups are governed by the guidelines applicable to Campus Alumni Associations as set forth in Part One, Section III, above.

IV. FINANCIAL ACTIVITIES OF CONSTITUENCY ALUMNI GROUPS

Financial activities of constituency alumni groups are governed by the guidelines applicable to Campus Alumni Associations as set forth in Part One, Section IV, above.

V. AUDIT OF CONSTITUENCY ALUMNI GROUPS

The audit requirements of constituency alumni groups are governed by the guidelines applicable to Campus Alumni Associations as set forth in Part One, Section V, above.

PART THREE: WAIVER OF PROVISIONS OF GUIDELINES BY PRESIDENT

For good cause and to address circumstances particular to a campus, Chancellors may request that the President waive some provisions of these Guidelines for a particular group or groups on that campus. Such waiver shall be in writing and shall specify the reasons for the waiver. Any waiver will be subject to such terms and conditions as deemed advisable by the President.