

## TEMPLATE

### Ethics Policy and Procedures Statement for \_\_\_\_\_ Adopted (date)

#### Code of Ethics

The following policies and procedures are built on the basic principles of trust and respect. Researchers at \_\_\_\_ are committed to building and upholding strong relationships between constituents and \_\_\_\_, fostering good stewardship of resources, and working towards the greater good of society.

#### Fundamental principles

(Adapted from the Association of Professional Research for Advancement (APRA) Statement of Ethics.)

##### Honesty

- We will be truthful regarding our identity and the purpose of our work.

##### Relevance

- We will seek and record only information that is relevant and appropriate to the fundraising work at \_\_\_\_.

##### Confidentiality

- We will work to protect constituent information in all forms (oral, electronic, magnetic, and print).

##### Accuracy

- We will strive to accurately record all constituent related information.

##### Fairness

- We will strive to analyze and record information without prejudice or bias.

##### Accountability

- We will accept responsibility for our actions and be accountable to those who place their trust in us and \_\_\_\_.

#### Policies and Practices

*In addition to the suggested practices stated in the APRA Statement of Ethics (see <http://www.aprahome.org>) we will follow these additional policies and practices:*

##### Collection of constituent related information

- All information will be collected in a legal manner.
- A good faith effort will be made to collect and store information that is verifiable.
- We will be honest in identifying our jobs, our employers, and ourselves.
- We will collect only information of value to the development process.
- We will respect the wishes of the person being researched.
- Whenever possible, we will use second party sources (such as on-line databases) for public documents such as SEC forms, property and stock holdings, and court documents.
- Based on personal research, it is known that certain public documents are sensitive to some constituents and the use of them for fund-raising purposes may strain relationships between the individual and \_\_\_\_.  
Recognizing this fact and to lessen the chance for strained relations, when public documents are not available from second parties, staff will:
  1. Determine the need for the document in conjunction with fundraising staff;
  2. Clarify the risk of constituent knowledge of the research; and,
  3. With approval, proceed to secure the documents from public sources, concealing neither individual nor institutional identity.

### **Constituent information storage**

- We will store information relevant and appropriate to help build relationships with constituents, including correspondence, contact reports, information about gifts, and self-disclosed estate plan documents. Materials that may be likely to undermine the relationship will not be stored.
- Routine file maintenance of duplicate documents will be done as time permits. To provide a complete picture of the relationship between the donor/prospect and \_\_\_\_, files will not be routinely purged.
- Constituent related documents would be shredded if not needed. Staff will be responsible for managing electronic files as determined by institutional policy.
- Research staff will work with contact report authors to insure content is truthful and could be read by the constituent without danger of impairing the relationship.
- We will use sensible security to protect information stored in hard files.
- We will use passwords and other software security measures to limit access to electronic constituent files to the appropriate staff members.
- Special efforts such as file annotation, concealment of phone numbers, etc. will be used to protect the identity of anonymous donors.

### **Access to constituent information**

- All individuals with access to constituent files must sign a confidentiality statement.
- Paper files:
  - Paper files will be accessible to the President, Vice President, Development staff, and Alumni Office staff. Volunteers do not have access to the files.
  - Files may be checked out by signing a checkout card.
  - No files may be removed from the building.
  - Any copies made of file materials must be stamped Confidential Copy.
- Electronic files:
  - Constituent files must be password protected.
  - Access limited to the President, Vice President, Development staff, and Alumni Office staff. Volunteers do not have access.
  - Ability to enter and maintain data will be limited to data entry and gift entry staff.
- Constituents have the right to view their own paper and electronic files.
- In order to do their jobs, volunteers will have access to constituent names, phone numbers, affiliation, and published gift range information.
- Information from published donor reports and affiliation may be shared with colleagues from other institutions.

### **Dissemination of constituent information**

- All constituent information should be marked with a confidentiality statement.
- Directory information may be shared. Staff will ask, "What is necessary?" and may provide basic gift information about large gifts.
- Constituent information access will be provided on a scaled basis from limited (for external requests) to full access (for internal requests). If there are questions, the constituent will be consulted before information is released to external outlets.
- A written signed agreement will be in place before constituent data is released to outside vendors requiring that no information will be retained, stored, or shared by the vendor.
- Data reports may be provided to internal staff for visits, events, evaluation, and tracking. Volunteers may receive limited information reports, providing them with the information they need to do their jobs.
- PDF versions of reports may be e-mailed within the institution to prevent alteration of constituent information.