



Fundraising Requirements Checklist

ACFID Code of Conduct

May 2009

What is the Fundraising Requirements Checklist?

This easy-to-use Checklist is a tool for Signatories to assess their compliance with the ACFID Code of Conduct fundraising requirements.

To complete this Checklist it is essential to have a copy of the latest ACFID Code of Conduct and its Guidance Document, available at www.acfid.asn.au. The Guidance Document provides practical suggestions for Signatories to implement the Code in their guidelines, policies and practices.

Code Clause	Compliance Indicator	Compliant
2.1	Due respect to beneficiaries	
<i>In all its activities and particularly its communications to the public, the organisation will accord due respect to the dignity, values, history, religion, and culture of the people with whom it works consistent with principles of basic human rights.</i>		
	The organisations public communication materials accord due respect to the dignity, values, history, religion, and culture of the people with whom it works consistent with principles of basic human rights.	<input type="checkbox"/>
	A clear process and practice is in place to ensure that staff regularly assess the organisations public communication materials.	<input type="checkbox"/>
2.5	No denigration of other agencies	
<i>The organisation will conduct itself in ways that do not denigrate other agencies, or make misleading or false public statements regarding other agencies.</i>		
Communication by Signatories regarding another agency must:		
	• be factual	<input type="checkbox"/>
	• not mislead	<input type="checkbox"/>
	• not be made with the intention of creating a self benefit	<input type="checkbox"/>
2.6	Child Protection	
<i>The organisation will have policies and procedures to promote the safety and well being of all children accessing their services and programs, particularly to minimize the risk of abuse of children.</i>		
	The organisation has a Child Protection policy.	<input type="checkbox"/>
	The Child Protection policy is tailored to the organisation.	<input type="checkbox"/>
	The Child Protection policy covers:	<input type="checkbox"/>
	• use of images and personal information for promotion, fundraising and development education	<input type="checkbox"/>
For more detailed information on Child Protection compliance requirements, see page 11 of the ACFID Code of Conduct Guidance Document and the Guidelines for the Development of a Child Protection Policy. www.acfid.asn.au/code-of-conduct		
2.7	No Strings Attached	
<i>Funds and other resources designated for the purpose of aid and development will be used only for those purposes and will not be used to promote a particular religious adherence or to support a political party, or to promote a candidate or organisation affiliated to a political party.</i>		

2.7 cont'd	
The organisation has a policy or guidelines, approved by the governing body, that indicates how its aid and development program is separated from its other organisational activities.	<input type="checkbox"/>
Documented arrangements are in place and available with all implementing organisations that reflect the principles of this clause.	<input type="checkbox"/>
Documented monitoring practices are in place and available to ensure implementing organisations compliance with the principles of this clause.	<input type="checkbox"/>
Where its objectives include the funding and management of non-development activities, the Signatory can demonstrate the independence of aid and development activities from other organisational activities.	<input type="checkbox"/>
Program beneficiaries are clearly informed of the distinction and independence of activities, and that they are not reliant upon each other.	<input type="checkbox"/>
Where funding is invited for the general objectives of the organisation, the agency must have clear policies/procedures in place to ensure the allocation of funding is as per what the funding invitation promises or implies.	<input type="checkbox"/>
Where promotional, fundraising or educational material contains references to aid and development activities and other organisational activities, the separation of programs must be clearly articulated.	<input type="checkbox"/>
In Annual Reports, Signatories must clearly state how their aid and development activities are differentiated from their activities for other purposes.	<input type="checkbox"/>
If the statement of mission and aims of the organisation includes non-aid and development aspiration, associated with that statement Signatories must provide an explanation of how they maintain the independence of their aid and development activities from their other organisational activities.	<input type="checkbox"/>
In all fundraising solicitations that include references to aid and development, donors are given the opportunity to contribute to aid and development activities <u>specifically</u> .	<input type="checkbox"/>
Code of Conduct Summary Financial reports should clearly disaggregate aid and development activities from other organisational activities.	<input type="checkbox"/>
Appropriate allocation of funds requirements continues until all funds are fully expended.	<input type="checkbox"/>
For definitions, examples of non-compliance and further explanation of Clause 2.7 "No Strings Attached" see page 12 of the ACFID Code of Conduct Guidance Document. www.acfid.asn.au/code-of-conduct	
3.5	Open and accurate disclosure of information
<i>The governing body will commit the organisation to open and accurate disclosure of information concerning its goals, programs, finances and governance. Due regard will be given to the human rights and personal safety of staff, partners and aid recipients, legal requirements regarding privacy and confidentiality, proprietary information and personnel matters.</i>	
Open and accurate disclosure is demonstrated through the production and distribution of an annual report, newsletters and/or a website	<input type="checkbox"/>
4.1	Annual Report
<i>An annual report is to be produced and made available to the organisations own members, supporters and members of the public upon request.</i>	
The annual report is to contain (at a minimum):	
• a statement of the organisation's goals or purposes	<input type="checkbox"/>
• a summary of overall program activities by country or region	<input type="checkbox"/>
• a list of the names <u>and</u> qualifications of the Governing Body, as well as those who served at any time during the reporting period.	<input type="checkbox"/>
• financial reports using the Code of Conduct Summary Financial Report format	<input type="checkbox"/>

	a signed audit report (auditor clearly identified) on the summary financial statements <u>and</u> full financial reports.	<input type="checkbox"/>
4.2	Truthful fundraising	
<i>Fundraising solicitations will be truthful, will accurately describe the organisation's identity, purpose, programs, and needs and will only make claims which the organisation can fulfill. There will be no material omissions or exaggerations of fact, no use of misleading photographs, nor any other communication which would tend to create a false impression or misunderstanding.</i>		
Fundraising solicitations will:		
	<ul style="list-style-type: none"> accurately identify the organisation's name, Australian Business Number, address and purpose/primary function 	<input type="checkbox"/>
	<ul style="list-style-type: none"> clearly and accurately state why the donations are being collected and what the they will be used for 	<input type="checkbox"/>
	<ul style="list-style-type: none"> not exaggerate or mislead what a donors response will achieve or the extent of the need 	<input type="checkbox"/>
	<ul style="list-style-type: none"> accurately portray intended recipients, their situations and the potential solutions 	<input type="checkbox"/>
	<ul style="list-style-type: none"> not leave potential donors feeling that their failure to respond to the solicitation will have greater consequences than the reality of the situation. 	<input type="checkbox"/>
4.3	Donor rights relating to the Privacy Act 1988	
<i>In all fundraising activities initiated or authorized by it, the organisation will have policies (consistent with the Privacy Act 1988) set up to protect donors' rights to:</i>		
<ul style="list-style-type: none"> have their names deleted from mailing lists; have their names deleted from mailing lists the organisation may intend to share; be informed whether those seeking donations are volunteers, paid staff or agents of the organisation; be informed about the causes for which funds are being raised; get information on the application of their donation; and be able to identify collectors and have documentation confirming the bona fides of the organisation. 		
All Signatories will have policies (consistent with the Privacy Act 1988) in place to protect donors' rights, which include:		
	<ul style="list-style-type: none"> 'opt out' clauses are included in relevant solicitations 	<input type="checkbox"/>
	procedures are in place to ensure that requests for removal of names from mailing lists are acted upon	<input type="checkbox"/>
	<ul style="list-style-type: none"> collection staff wear authorised identification which clearly identifies the organisation and whether the collectors are volunteers or staff members. 	<input type="checkbox"/>
	The purpose of the solicitation is clearly stated on fundraising material (see also Clause 5.5)	<input type="checkbox"/>
	<ul style="list-style-type: none"> Financial and program reporting on all appeals in the annual report 	<input type="checkbox"/>
	Policies and procedures are in place to ensure all collectors, and the organisation, are clearly identified at the collection point.	<input type="checkbox"/>
4.4	Third party fundraising	
<i>The organisation will be responsible for all fundraising activities outsourced to a third party and will put all such contracts and agreements in writing.</i>		
Signatoy organisations are responsible for all fundraising activities outsourced to a third party and will ensure that:		
	<ul style="list-style-type: none"> All contract with third party fundriasers are in writing 	<input type="checkbox"/>
	<ul style="list-style-type: none"> All contracts with third party fundraisers clearly state the expectations, responsibility and obligations of each party 	<input type="checkbox"/>
5.5	Donor promise	
<i>Donations shall be used as promised or implied in fundraising appeals or as requested by the donor. When funding is invited form the general public for a specific purpose, the Organisation shall have a plan for handling any excess and shall make this known as part of the appeal. Organisations shall substantiate upon request, that their application of funds is in accordance with donor intent or request.</i>		
All Signatories must ensure the:		
	<ul style="list-style-type: none"> availability of financial records that allow for fundraising claims to be substantiated 	<input type="checkbox"/>

	<ul style="list-style-type: none"> inclusion of information on what any excess funds will be used for in the appeal invitation 	<input type="checkbox"/>
	<ul style="list-style-type: none"> availability of financial records that allow for the application of funds to be substantiated. 	<input type="checkbox"/>
5.6	Reporting Ratios	
<i>The use of ratios in publications shall at all times be accompanied by a note explaining how these have been determined.</i>		
	If ratios (such as the percentage of funds raised which are spent on administration costs) are used a note must accompany them explaining how they have been calculated.	<input type="checkbox"/>
6.2	Professional conduct	
<i>The organisation's expectations of its employees' and volunteers' professional conduct shall be clearly communicated and consistent with the requirements of the ACFID Code of Conduct.</i>		
	Employees and volunteers are aware of the standards of behaviour and professional conduct that they are required to adhere to as representative of their agency.	<input type="checkbox"/>