

## IV. FUND RAISING

### A. PURPOSE

This policy sets forth the procedures that AURA Centers and the AURA Corporate Office will follow in soliciting non-Federal funding for new activities within AURA's mission. This policy reflects the legal and contractual framework within which AURA operates as a non-profit and tax-exempt 501(c)(3) organization and a performer of Federally funded programs.

### B. GENERAL

1. Solicitation of non-Federal funding is strongly encouraged as an effective way of increasing AURA's ability to perform its mission, especially by enabling it to perform specific activities or projects within that mission for which Federal funding is not currently being provided or is not available or for which non-Federal contributions may be required;
2. To the extent practicable AURA will avoid competing with AURA's own member institutions for external funds;
3. When soliciting non-Federal funds AURA must be represented by the most senior AURA personnel. Fund raising activities are authorized for the President and Center Directors only. No delegation of this activity may be made without the permission of the AURA President;
4. Solicitation of non-Federal funds by Center Directors must be related to a specific project or activities such as a telescope, outreach activity, visitor center, etc. Such projects or activities shall be in accord with AURA's general mission and shall be separate and distinct from projects and activities currently being supported with Federal funding;
5. Solicitation of non-Federal funds by the President will be related to the mission of AURA and the advancement of astronomy in general; and,
6. All written solicitations or sponsorships must be reviewed and approved, in advance, by the President.

### C. PROCEDURES AND GUIDELINES

1. Before solicitation may begin in any particular state a registration statement must be filed with the appropriate agency of that state on behalf of the Corporate Office. The Uniform Registration Statement shall be used whenever it is accepted. The Corporate Office will take the lead in filing the registration statement with the support of the relevant Center Director(s);
2. Prospective donors may be advised that their contributions will be tax-deductible;
3. The costs of solicitation are chargeable to AURA's corporate funds only and shall not be charged to any Federal contract, grant, or cooperative agreement. Subject

to this guideline, fund raising may be performed within or outside of normal working hours including vacation or special leave time;

4. Accounting controls shall be established to ensure that the activities supported by non-Federal funding are not charged to Federally funded programs;
5. The donor may designate the funds received as “restricted” funds (dedicated to a specific project or purpose or to be spent in a particular manner) or “general purpose” funds (usable at the discretion of AURA for a variety of activities), according to the instruction of the donor. Restricted funds may not be received or used for purposes that contravene AURA’s non-discriminatory policies and obligations under Federal funding instruments. Record keeping of donor instructions shall be maintained; and,
6. If AURA wishes to participate in a Federal program that requires non-Federal contributions AURA will consult with the Federal agency involved to determine whether there are any specific additional requirements existing before soliciting non-Federal funds for this purpose.

#### D. COORDINATION

Coordination of fund raising activities by the Corporate Office is intended to ensure that these guidelines are properly implemented and that any conflicts with member institutions can be resolved.

1. The AURA President will mediate any conflicts between Centers and member institutions at the request of the Center Director or a member institution; and,
2. The AURA President must be informed in advance of any planned meeting, letter, or contact with a potential donor.

#### E. OVERSIGHT

The AURA Audit Committee will review all fund raising activities on a periodic basis. Such review is intended to ensure compliance with these policies, to amend these policies, and to recommend measures that will increase the success of AURA’s fund raising efforts.