

# **FUNDRAISING AND CHARITABLE SOLICITATION COMPLIANCE POLICY**

*Preserving Heritage. Building Opportunity. Organizing Community Engagement.*

|                       |                                                                                                                                         |
|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| <b>Policy Number</b>  | HOA-POL-012                                                                                                                             |
| <b>Effective Date</b> | Upon Board Adoption                                                                                                                     |
| <b>Approved By</b>    | Board of Directors                                                                                                                      |
| <b>Applies To</b>     | Directors, officers, committees, advisory members, volunteers, employees, contractors, partners, and program participants as applicable |

## **Purpose**

This Policy ensures that fundraising and charitable solicitation by Heritage & Opportunity Alliance, Inc. are truthful, documented, compliant, and protective of public trust.

## **Scope**

This Policy applies to donations, sponsorships, grants, online giving, crowdfunding, events, raffles if lawful, merchandise tied to charitable fundraising, donor appeals, social media asks, corporate asks, public campaigns, and in-kind solicitations.

## **Compliance Before Solicitation**

Before public fundraising or broad sponsorship solicitation, the corporation shall review applicable charitable solicitation registration requirements, including Florida requirements, and maintain required filings or exemptions as applicable.

Fundraising materials shall accurately describe the corporation's legal and tax status, including whether 501(c)(3) recognition is pending or approved.

## **Truthful Solicitation**

No person may misrepresent how funds will be used, whether donations are tax-deductible, whether a partner has endorsed the effort, whether a grant is secured, whether an event is approved, or whether the corporation has legal authority it does not have.

## **Restricted Appeals**

If funds are raised for a specific project, program, youth activity, mural, class, resource clinic, scholarship, gift card, restricted purpose, or partner effort, the restriction must be documented and tracked.

Restricted funds shall not be used for unrelated purposes unless allowed by donor agreement, grant terms, or law and approved by the Board.

## **Receipts and Acknowledgments**

Donor acknowledgments shall be accurate and timely. Acknowledgments for in-kind gifts shall describe the item but shall not provide inflated value. Quid-pro-quo benefits must be handled accurately when required.

## **Fundraising by Others**

No committee, volunteer, partner, team, advisory group, or third party may raise funds using the corporation's name, logo, EIN, donation links, or public credibility without written approval.

## **Cash and Event Fundraising**

Cash collections must follow financial controls. Event proceeds must be counted by two persons when practical, documented, deposited promptly, and reconciled to event records.

## Heritage & Opportunity Alliance, Inc.

### Records

The Secretary, Treasurer, or other Board-authorized records officer shall maintain records created under this Policy according to the Records Retention and Document Control Policy.

Records may include approvals, disclosures, invoices, receipts, reports, correspondence, minutes, incident reports, releases, agreements, restricted-fund logs, or other supporting documents.

### Violations

Violations of this Policy may result in corrective action, reassignment, removal from a committee or volunteer role, termination of a contract, repayment, report to the Board, or other action permitted by law and organizational policy.

Retaliation against a person who raises a good-faith concern is prohibited.

### Review and Amendment

This Policy may be reviewed at least annually and may be amended by the Board of Directors. The Board may adopt more detailed procedures, forms, checklists, and approval schedules consistent with this Policy.

### Board Adoption

This Policy is adopted by the Board of Directors and remains in effect until amended, replaced, or rescinded by the Board.

| Board Chair / President | Secretary        |
|-------------------------|------------------|
| Name: _____             | Name: _____      |
| Signature: _____        | Signature: _____ |
| Date: _____             | Date: _____      |