



**Australian  
Clinical  
Trials  
Alliance**

# **Fundraising strategy: guidance for CTNs**

**August 2021**

# TABLE OF CONTENTS

Purpose of this document	3
The role of ACTA in developing the Fundraising Strategy	3
Acknowledgements	3
Use of this document	3
Disclaimer	3
Abbreviations	3
Overview	4
Definition of philanthropic research grants	4
What CTN functions can be funded by philanthropic grants?	4
Channels for philanthropic grants	4
The legal environment for philanthropic grants	4
Tips for making philanthropic grant applications	5
Useful tips for approaching trusts or foundations	5
Useful tips for approaching corporate sponsors for research grants	6
Useful tips for approaching individual philanthropists for research grants	6
Useful tips for community fundraising	6
Fundraising and research partnerships	7
Philanthropic partnerships	7
Community business partnerships	7
Commercial partnerships	7
Fundraising plan template example	8

## PURPOSE OF THIS DOCUMENT

This document will assist Clinical Trial Networks (CTNs) to establish and coordinate their fundraising strategy and activities. The document focuses on how CTNs can seek philanthropic support for their research from charitable trusts and foundations, corporations, and individual philanthropists. This document does not include information on grant seeking from nationally competitive, peer-reviewed public funding sources such as the National Health and Medical Research Council (NHMRC) and the Australian Research Council (ARC). It also doesn't focus on community fundraising.

## THE ROLE OF ACTA IN DEVELOPING THE FUNDRAISING STRATEGY

The Australian Clinical Trials Alliance (ACTA) is providing advice to assist CTNs in developing their fundraising strategy and associated activities. The generic advice provided by ACTA should be considered and applied by each CTN, taking into account, the specific requirements of the CTN as well as State or Territory laws and regulations.

## ACKNOWLEDGEMENTS

ACTA acknowledge the contributions of CTN members and members of ACTA's Efficient and Effective CTNs Reference Group in the preparation, development, and review of this document. We would like to thank Research Australia for the *Giving to Health and Medical Research: Research Australia Philanthropy Toolkit* document, which provided material for development of this guidance document.

## USE OF THIS DOCUMENT

ACTA encourages the use of all materials listed on its website ([www.clinicaltrialsalliance.org.au](http://www.clinicaltrialsalliance.org.au)) in the pursuit of improving the clinical trials enterprise. ACTA requests that the following acknowledgement is included in any CTN authorship and publication guidelines that are developed and documented using knowledge gained from this document:

"[Name of CTN] acknowledges the contribution of ACTA to the development of communication processes within our network (reference: *Fundraising strategy: guidance for CTNs*)".

## DISCLAIMER

The information in this document is for general guidance only. ACTA does not make any representations or warranties (expressed or implied) as to the accuracy, currency or authenticity of the information provided.

## ABBREVIATIONS

<b>ACTA</b>	Australian Clinical Trials Alliance
<b>CTN</b>	Clinical Trial Network
<b>NHMRC</b>	National Health and Medical Research Council
<b>ARC</b>	Australian Research Council

## OVERVIEW

Many organisations are caught on a fundraising treadmill. This is often characterised by a focus on research projects and not relationships, a lack of a formal fundraising plan, the absence of in-house fundraising staff or expertise and/or a lack of targeted donor cultivation. This guidance document will discuss the alternative sources for your CTN's research grants in the form of philanthropic grants.

The critical success factors for fundraising are:

1. A sense of urgency
2. Involvement of senior leadership
3. Whole of organisation commitment
4. Fundraising based on the CTN's identity, mission, and history
5. Continuous active engagement with donors
6. Robust business and financial plans.

## DEFINITION OF PHILANTHROPIC RESEARCH GRANTS

The definition of a philanthropic grant is a gift to a CTN that does not confer partial or full ownership of the deliverable, financial benefit, or control to the funder in return for the funding. The CTN fully owns the grant once it is received however a funder may specify how they would like the funds allocated (e.g. for a specific project or equipment). A grant is not considered to be philanthropic if it involves the following or meets any of the following criteria:

- Contractual relationship
- Exclusive information
- Exclusive publication
- Consultancy inclusion
- IP rights
- Other forms of financial benefit
- Funder control.

## WHAT CTN FUNCTIONS CAN BE FUNDED BY PHILANTHROPIC GRANTS?

Philanthropic grants can fund the following CTN functions:

- Long-term funding of CTN operational activities
- Capacity building and career development activities
- Funding for proof-of concept studies
- Funding for research areas that have specific interest or low community impact, such as rare diseases
- Top-ups for government grants for such functions as buying research related equipment or hiring staff
- Full or partial equipment purchases.

## CHANNELS FOR PHILANTHROPIC GRANTS

Philanthropic grants can be channeled through the following:

- Trusts and foundations
- Corporate support initiatives
- Individual philanthropists
- General community.

## THE LEGAL ENVIRONMENT FOR PHILANTHROPIC GRANTS

The fundraising laws vary across all Australian States and Territories. The requirements for permits or licenses differ in each state. CTNs who have a presence in all States and Territories may need to seek permission from seven different fundraising regulators. Careful understanding of relevant State or Territory legal requirements is essential to avoid punitive noncompliance costs. If a CTN is involved in community fundraising activities, it will need to comply with the Australian Consumer Law.

# TIPS FOR MAKING PHILANTHROPIC GRANT APPLICATIONS

There are seven steps that a CTN must follow to successfully secure philanthropic funding or donations. This section will discuss these seven steps, and then provide a series of useful tips for approaching different philanthropic organisations, groups and individuals.

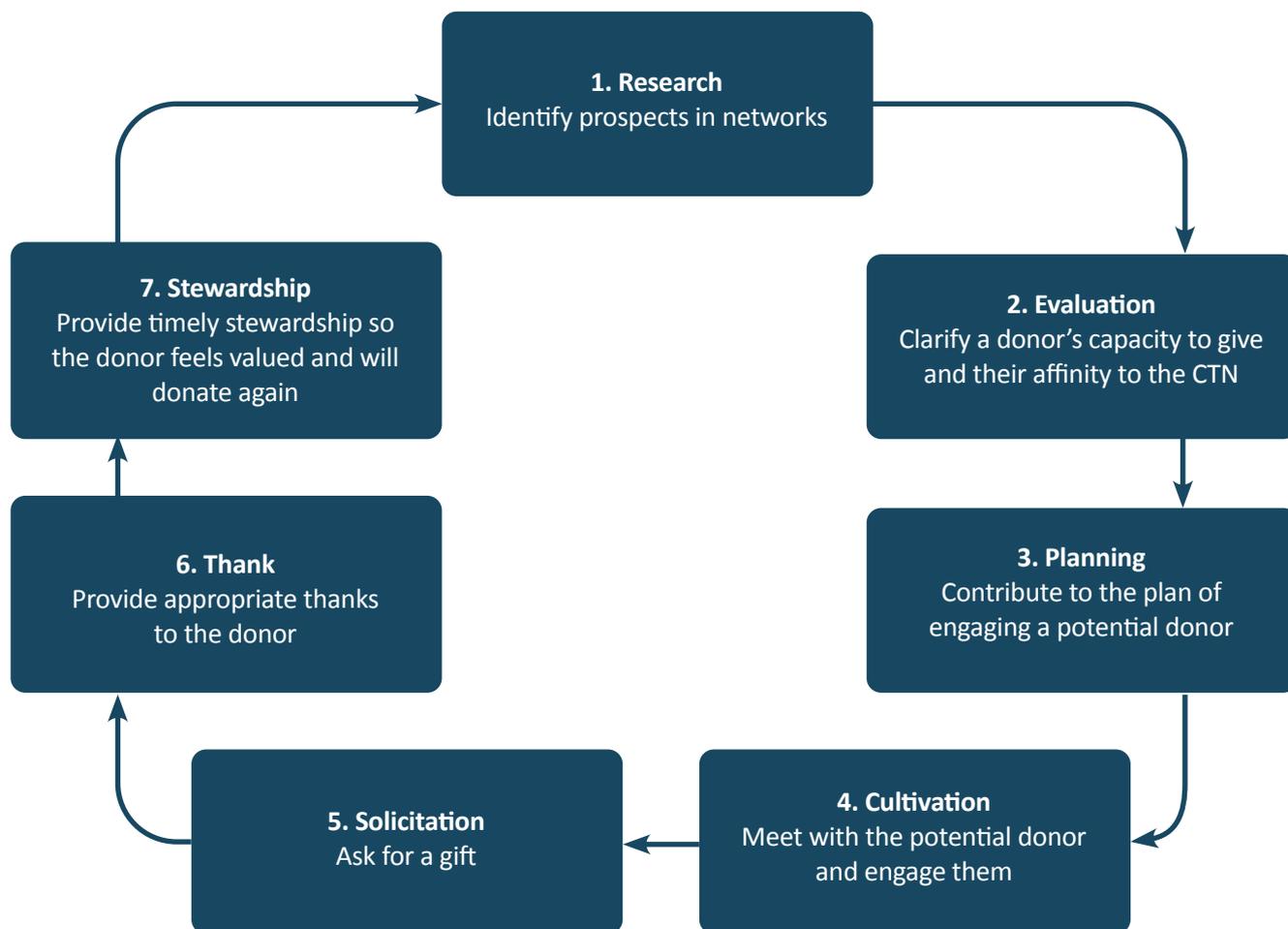


Figure 1: Steps to secure philanthropic funding

## USEFUL TIPS FOR APPROACHING TRUSTS OR FOUNDATIONS

- Research and identify all potential trusts and foundations. Lists are available online, including at <https://www.fpmagazine.com.au/category/philanthropy> and <http://www.foundationsearch.com/australasia>
- Check whether the CTN is eligible to apply for support before approaching a trust or foundation
- Pay attention to the guidelines provided by the targeted trust or foundation. Contact the trust or foundation to clarify anything that is unclear
- Focus on the key healthcare issues and community benefits. Trusts and foundations are not motivated by free publicity or return on investments
- Some foundations may not accept unsolicited applications. CTNs may need to find different ways of gaining their attention by:
  - > Including them in mailing lists for site tours, information events, annual reports, or newsletters
  - > Asking other funders to make an introduction or connection with a foundation
  - > Working with a CTN's development office to identify existing relationships with foundations or trusts
  - > Using a business case model to approach the foundation or trust

- Use plain English. Applications may be assessed by people with little or no scientific experience
- Assist early career researchers to make individual applications for specific fellowships or scholarships that are funded by trusts or foundations
- Request funding for equipment and other infrastructure for funded research projects
- Conduct regular checks on trust and foundation websites for funding opportunity openings
- Register CTN details on trust and foundation websites to receive email grant alerts and updates.

### **USEFUL TIPS FOR APPROACHING CORPORATE SPONSORS FOR RESEARCH GRANTS**

- Ensure that a CTN follows rules concerning eligible and ineligible corporate donors (e.g. a CTN may not accept donations from tobacco, alcohol or gaming corporations)
- Build strong relationships with corporate donors
- Determine if the corporate donor support is channeled through corporate philanthropy or corporate sponsorship and fully understand the obligations that apply to each of these relationships.

### **USEFUL TIPS FOR APPROACHING INDIVIDUAL PHILANTHROPISTS FOR RESEARCH GRANTS**

- Individual philanthropists tend to be very private individuals, they are identifiable through research networks as well as careful search of media sources
- End of financial year may be the most opportune time to approach an individual philanthropist
- A good knowledge of an individual philanthropists' interests, habits and life experiences is essential to building a relationship.

### **USEFUL TIPS FOR COMMUNITY FUNDRAISING**

- CTNs must apply for fundraising authorisation from appropriate authorities
- Ensure that the CTNs community fundraising policy or guideline is accessible to the general community
- Ensure all community fundraisers comply with relevant State and Commonwealth laws
- Have an endorsement process for fundraising campaigns
- Sharing patient stories is very effective.

# FUNDRAISING AND RESEARCH PARTNERSHIPS

Philanthropic donations have the potential to develop into long term partnerships between the donor and CTN. There are many different types of partnerships that may arise from philanthropic donations. This section will discuss the common partnerships between CTNs and donors.

## PHILANTHROPIC PARTNERSHIPS

These partnerships create synergies between philanthropic donors and research networks and aim to use research to achieve mutually agreed outcomes beyond research projects. These partnerships may include patients, policy makers and frontline clinicians. There are many examples of philanthropic partnerships in Australia and New Zealand. Examples include the following:

- The National Foundation for Medical Research and Innovation partnerships in cancer, cardiovascular, asthma, allergies, and eye diseases
- The Apex foundation partnership with the Children's Cancer Institute.

## COMMUNITY BUSINESS PARTNERSHIPS

Some businesses may partner with a CTN as part of their corporate social responsibility activity. Important issues to consider when entering into a community business partnership include the following:

- Transparency of agendas and expectations
- Clearly defined scope of partnership activities
- Mutual respect
- Free flow of information
- Clearly defined measurement and evaluation tools
- Flexibility
- Clear understanding of taxation requirements
- A well-planned exit strategy.

An example of a successful community business partnership is the Suncorp and Queensland Institute of Medical Research (QIMR) through the SunWise public awareness program.

## COMMERCIAL PARTNERSHIPS

Commercial partnerships involve a CTN or Clinical Trial Coordinating Centre and an industry partner. It is important that clear arrangements for governance, funding relationships, commercialisation and management of intellectual property are put in place before such partnerships commence. An example of a commercial partnership is the Peter MacCallum Pfizer Translational Oncology Research Collaboration. This partnership commenced in 2008 when Pharmaceutical company Pfizer, committed \$15 million to support cancer drug development at the Peter MacCallum Cancer Centre.

# FUNDRAISING PLAN TEMPLATE EXAMPLE

<b>1. Cover page</b>	Include your organisational name, year of the plan and revision date.
<b>2. Background</b>	Briefly describe your organisational context and any current funding constraints or challenges. Outline your organisation’s strategic plan. List your funding requirements. Describe your current funding sources.
<b>3. Goals and objectives</b>	Outline your fundraising goals. These may be annual or quarterly fundraising targets. List your fundraising objectives. Examples: i. Develop a system for cultivating and maintaining communication with donors and prospects. ii. Expand a network of prospective donors. iii. Develop a sustainable fundraising network to meet organisational goals.
<b>4. Assumptions</b>	This section will outline all the assumptions that were considered when making this plan. Examples: i. The CTN has developed a network of donors and supporters over the years. ii. Availability of opportunities for government grants will narrow in the coming years. iii. The organisation’s board is committed to expanding the funding streams.
<b>5. Fundraising infrastructure</b>	Describe your existing infrastructure for fundraising. This may include items such as staff, databases for potential donors, websites, and branding materials. The anticipated infrastructure needs for fundraising will also be discussed. This section will also outline the anticipated fundraising costs and timeframes.
<b>6. Grant prospect plan</b>	This section will discuss anticipated grant sources.
<b>7. Donor communication and cultivation</b>	Describe how your organisation communicates/or will communicate with potential donors and the strategies that will be used to convert prospective donors into actual donors. This section should also discuss how donors will be recognised and acknowledged.
<b>8. Fundraising tactics</b>	This final section will detail how the fundraising will be done. This will include tactics for improving the prospects of gaining government and philanthropic grants as well as community fundraising.



**Australian  
Clinical  
Trials  
Alliance**

[www.clinicaltrialsalliance.org.au](http://www.clinicaltrialsalliance.org.au)

ACTA gratefully acknowledges operational funding from the Australian Government's Medical Research Future Fund