



FUND GUIDELINES

Charles B. Smith - Wilfred Kaplan Academic Freedom Fund

I. Primary Purpose:

The AAUP exists to facilitate a more effective cooperation among teachers and research scholars in universities and colleges, and in professional schools of similar grade, for the promotion of the interests of higher education and research, and in general to increase the usefulness and advance the standards, ideals, and welfare of the profession. The AAUP Foundation is organized exclusively for such educational and charitable purposes as shall qualify it for exemption from federal taxation under section 501(c)(3) of the Internal Revenue Code, including, but not limited to, establishing and supporting principles of academic freedom and the quality of higher education in a free and democratic society; and shall be operated exclusively, to promote the charitable and educational functions of the AAUP.

The Charles B. Smith - Wilfred Kaplan Academic Freedom Fund (Smith-Kaplan Academic Freedom Fund) is a restricted fund that furthers such education and charitable purposes by fostering an understanding of the meaning and value of academic freedom and intellectual freedom, among faculty, students, staff, and the general public as an essential condition for the advancement of truth, within institutions of higher learning.

II. Guidelines for Smith-Kaplan Academic Freedom Fund Funding

A. The purposes for which expenditures may be made from the Fund are:

1. The Funds must be used for the purpose of fostering an understanding of the meaning and value of academic freedom and intellectual freedom, among faculty, students, staff, and the general public as an essential condition for the advancement of truth, within institutions of higher learning. For this purpose, academic freedom includes but is not limited to the freedom of professors, instructors, researchers, and students to teach, study, and pursue knowledge and research and engage in extramural communication without constraint on non-academic grounds, whether that takes the form of censorship, discipline, or other interference by entities or individuals inside or outside of the university. Intellectual freedom includes the freedom of all members of society to hold, receive, develop and disseminate information and ideas without undue

restriction, and includes e.g., freedoms of opinion and belief, speech, expression, and publication;

2. Notwithstanding the foregoing, the Funds **may not** be used to support the University of Michigan's annual Davis, Markert, Nickerson Lecture on Academic & Intellectual Freedom, or any similar lecture organized by the University of Michigan Senate Advisory Committee on University Affairs;

B. In furtherance of the above purposes Smith-Kaplan Academic Freedom Fund may be used for:

1. Financial support for research projects and general investigations relating to academic freedom, and for publication of the results;

2. Financial support of efforts to reach a larger public in reference to the meaning and value of academic freedom through all available media of communication;

3. Financial support for the activities of the AAUP Committee A on Academic Freedom and Tenure;

4. Financial assistance is available to the AAUP consistent with the purposes defined in Section II. A.; and

5. Others related to those listed above to be determined by the Board of Directors of the AAUP Foundation (the "Board").

III. Governance of Fund:

A. The Smith-Kaplan Academic Freedom Fund is administered by a Grants Committee of at least three people, including AAUP members and the Chair of AAUP's Committee A on Academic Freedom and Tenure as an *ex officio* voting member of the Grants Committee. The Foundation President appoints the members of the Smith-Kaplan Academic Freedom Fund Grants Committee. Members of the Grants Committee serve for three-year terms, subject to renewal. The Board determines the policies which shall govern the Fund and provides for the administration of the fund by the Executive Director. The AAUP Foundation Guidelines must be followed.

B. Requests for assistance are submitted to and reviewed by the Executive Director, or his or her designee, and approved by a majority vote of the Grants Committee. The Board, in its sole discretion, may remove grantmaking authority from the Grants Committee; and it may modify any grant decision if, in the Board's discretion, such

decision making is inconsistent with and does not support or benefit the supporting organization structure between AAUP and the Foundation.

C. The Board is committed to bringing the Fund to the attention of all who are eligible. To achieve that goal, the Board and staff will actively publicize the Fund.

D. Members of the Grants Committee or the Board will recuse themselves from debate or decision on any case in which the Grants Committee or Board member or member of his or her family has a financial interest in the outcome in accordance with AAUP Foundation Conflicts-of-Interest Policy.

E. If at any time a Grants Committee member or a Board member is unsure as to whether a conflict (as defined in III. E. above and in accordance with AAUP Foundation Conflicts-of-Interest Policy) might exist, that Grants Committee member or Board member shall raise the issue with the rest of the Board and the Board shall determine by majority vote whether the member in question is required to recuse him or herself from debate and decision on the case.

F. The Smith-Kaplan Academic Freedom Fund is a restricted fund, and contributions to the Fund may not be used for any AAUP Foundation purposes other than providing the assistance specified by the Fund. All contributions are considered as independent of other financial operations of AAUP and AAUP Foundation and are controlled through separate accounting from the AAUP Foundation.