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<b>Name:</b>	<b>Prospect Clearance Policy</b>
<b>Policy Number:</b>	10-1001
<b>Origin:</b>	Development Office
<b>Approved:</b>	2016-AUG-03
<b>Issuing Authority:</b>	Executive Management Group
<b>Responsibility:</b>	Associate Vice President – External Affairs
<b>Revision Date(s):</b>	N/A
<b>Effective Date:</b>	2016-OCT-01

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## 1. Purpose:

The purpose of this policy is to ensure that donor prospects and solicitations are managed according to donor interests, prior giving history, established relationships, and the University's strategic priorities. It is also the purpose of this policy to increase the effectiveness and efficiency of the University's resources in raising funds through a coordinated approach to fundraising in an effort to maximize the professionalism with which donors are approached and to avoid creating a strain on donors with multiple, uncoordinated requests.

## 2. Definitions:

Prospect management is the formal system of determining who can engage a particular prospect, what timeframe would be appropriate for this engagement, and what the request will be. It also encompasses the necessary data collection and coding to ensure there is institutional memory for the relationships that are built with prospects and donors.

Prospect means any person or entity that has given or may want to give a charitable gift to the University.

Gift includes cash, gifts in kind, sponsorships, foundation grants and deferred gifts (including legacy gifts such as bequests), but excludes contract research funding.

A Prospect Clearance Policy is used to define the procedures that staff/faculty/students/volunteers will follow before initiating any contact with a donor or potential donor. Under a prospect clearance system, a single department is responsible for reviewing, coordinating, and approving the solicitation of any prospective or current donor.

Clearance Period is the period of time for which a prospective donor is assigned to an Applicant for purposes of cultivation and stewardship.

Sponsorship is the provision of financial support in exchange for marketing/promotional or other benefits to the contributor.

### **3. Scope:**

This policy applies to the University community: faculty, staff, students, volunteers and Board members, and contracted fundraising consultants fundraising on behalf of Saint Mary's University for both cash and in-kind gifts over \$1,000, and sponsorships. It does not apply to research grant proposals or agreements with government or other public agencies.

### **4. Responsibilities:**

#### External Affairs

The External Affairs Office is responsible for final oversight of the Prospect Clearance Policy system, procedures and decisions.

For the purpose of building engagement and soliciting support, External Affairs is the owner of all information relating to direct interaction with prospective and confirmed donors; and the steward of all information relating to interaction between academic and administrative departments with prospective and confirmed donors.

#### Development Office

The Development Office manages and implements all philanthropic activities relating to the University's strategic priorities and, when possible, supports other philanthropic enterprise on campus. The Office oversees all University donor contact and is responsible for:

- All matters relating to fundraising for any purpose
- Coordinating the fundraising efforts of the University community
- Administering all gifts to maintain the charitable status of the University
- Acknowledging gifts to the donor
- Maintaining and building relationships with donors
- Communicating with the University community and all constituents and stakeholders, including alumni, to foster relationship building and stewardship

#### Advancement Services

Advancement Services is responsible for the processing and tracking of all gifts and donor information into the Advancement Database the production and tracking of charitable tax receipts. Advancement Services also assists in the production of acknowledgements of gifts under \$1000 and for the production of reports, to support the work of Development. Additionally, Advancement Services is responsible for maintaining the currency and integrity of the information in the database system.

Advancement Services will maintain a database that lists prospects, the authorized contacts, the projects for which these prospects are being cultivated, and the end date of the clearance approval. Information from this database is accessible to appropriate officers of the University. In addition, a database is maintained that catalogues the donor contacts that have been made to each prospect, the results of these visits, etc. It is required that all contacts with prospects be documented through submission of regular Call Reports and updates.

## Alumni Office

The Alumni Office is responsible for contacting, engaging, and updating records with former Saint Mary's students. The Alumni Office offers support and benefits to Saint Mary's alumni, organizes such events as the annual alumni golf tournament, Homecoming, and Chapter events; and publishes *Maroon & White*, the University's alumni magazine, and electronic newsletter.

## Faculties and Administrative Departments

The University acknowledges that faculties, departments, clubs, societies, associations and organized groups within the University may have an interest in fundraising activities. It is the responsibility of these groups to determine their priorities and to ensure that their fundraising requests are approved by the Department Chair or Director and by the Dean or Vice-President and, once approved, forwarded to the Director of Development for prospect clearance and approval.

### **5. Policy:**

All fundraising and requests for sponsorships must be approved through the fundraising request approval process. See Section 6.

Decisions regarding the setting of fundraising priorities are the responsibility of the President and Vice-Presidents in consultation with the Associate Vice-President – External Affairs.

### **General Procedures**

- a) While members of the University community are encouraged to cultivate potential donors, no person shall solicit donations on behalf of the University unless authorized to do so by the Development Office. The Development Office will establish that the approach and the amount of the gift being sought are appropriate.
- b) Contact with current and potential donors is not to be undertaken without the knowledge and approval of Development.
- c) In cases where a prospective donor approaches a member of the University community, such information must be communicated to the Director of Development.
- d) Draft fundraising materials such as brochures and letters must be reviewed and approved by the Director of Development prior to production or distribution.
- e) The University's name may not be used directly or by association to fundraise for any purpose, without authorization from the Director of Development.

### **6. Fundraising Request Approval Process**

All fundraising requests must be submitted in writing for approval using the [Prospect Clearance Form](#). **Fundraising requests will be reviewed and a response given within 48 hours of the request being submitted.** All requests from faculties or departments must be approved by the appropriate Department Chair or Director and by the Dean or Vice-President and, once approved, forwarded to the Director of Development for prospect clearance and approval. All requests from groups, clubs, associations, societies and other similar organizations must be approved by the president/chair of the organization.

Requests will be reviewed by the Director of Development. Decisions will fall into one of the following four categories:

- a) A fundraising request is included in the University's Annual Strategic Fundraising Plan, and the Director of Development approves the request:
  - In this circumstance, the Development Office and the originating office involved will jointly plan the fundraising activities to be undertaken, and Development Office staff will be responsible for the fundraising effort.
- b) A fundraising request is NOT included in the University's Annual Strategic Fundraising Plan, but is approved by the Director of Development:
  - In this circumstance, the fundraising activity becomes the responsibility of the originating office in liaison with Development.
- c) The Request is deferred for future consideration.
- d) The Request is denied. Clearance shall be denied where the potential donor:
  - has a current proposal from the university;
  - has been cleared or is in the process of being cleared for solicitation for another priority, and the decision is to pursue that other priority;
  - has indicated that they are not accepting proposals at the present time;
  - recently made a major gift or pledge, in which case clearance may be given at a later time.

## **7. Policy Exceptions**

The following instances do not require prospect clearance:

- a) Student societies, organizations, and athletic teams holding fundraisers that exclusively target faculty, staff, and students, such as bake sales, raffles, and the sale of t-shirts, are exempt from this policy.
- b) Sponsorships under \$1,000.00 do not require clearance, but notification must be submitted to the Development Office in order to maintain accurate records on donors and appropriate relationships with sponsors

NOTE:

**Student-led fundraisers that involve the solicitation of donors external to the university, including board members, alumni, parents, friends, and businesses, are not exempt from this policy. Student societies and organizations wishing to organize such fundraisers must first consult with the Development Office. Similarly, athletic teams holding fundraisers that involve the solicitation of donors external to the university must first consult with the Director of Athletics and the Development Office.**

## **8. Tax Receipts and Gift Acceptance**

Advancement Services, in coordination with Development, is solely responsible for issuing charitable tax receipts for all charitable gifts received by the University, in compliance with the requirements of the Income Tax Act, and in accordance with the procedures established by the University. See Gift Acceptance Policy (currently under review) for more details.