DATE: November 27, 1985

To : Vice Presidents; Deans of Schools, Research, Graduate Studies and Student Affairs; Department Chairs; and Directors of Centers, Institutes, Programs and Libraries

FROM : James N. Rosse
Vice President and Provost

SUBJECT: FUNDRAISING APPROVALS AND PRIORITIES

This policy memorandum supersedes that of January 4, 1985. It sets forth the steps required to obtain fundraising approval for development activities. It also describes the way in which those activities are assigned priorities for development support by the Provost with the advice of the Development Priorities Committee.

In the case of every fundraising activity, clearance to approach and solicit specific prospective donors is required. The assignment of access to such donors, including instances in which several projects might appeal to a potential donor, rests with the Vice President for Development.

The aim of these procedures is to establish a systematic and orderly approach to private funding sources, to maximize support from them, and to assure that support is directed toward the University's most important requirements.

APPLICABILITY

These procedures apply whenever approval is sought to raise gifts and grants (including gifts in kind) from individuals, foundations, and corporations for any purpose including teaching and research programs, curriculum and faculty development projects, fellowships and scholarships, postdoctoral programs, endowed and term chairs or junior billets, visiting faculty, equipment, conferences, libraries, and other similar purposes. These procedures also apply whenever approval is sought to form fundraising support groups.

Exceptions to this requirement:

(1) Faculty Research -- Proposals by individual faculty members for sponsored projects, as defined in the Faculty Handbook and the Sponsored Projects Manual, do not need the prior approval of the Provost. They are automatically assigned Special Priority (see below). Sponsored research proposals must be submitted to external agencies in accordance with the procedures set forth in the Sponsored Projects Manual which specify that all proposals to non-governmental funding sources require prior consultation with the Development Office.

Proposals by individual faculty members for gifts supporting research projects which pursue a specific line of inquiry and are not a part of general support for a center or institute are also assigned Special Priority upon receipt of a proposal in the Provost's Office.

(2) Facilities -- Requests for approval to raise funds for facilities projects are handled as a part of the facilities planning process. Such needs and proposals are first reviewed in the Provost's Office. Approval of a building project will include a careful

consideration of potential funding sources. Major new construction and renovation projects will be assigned a fundraising priority by the Provost after careful consultation with the Office of Development about those sources.

Any proposal to raise funds not falling within one of these exceptions must be approved by the Provost by means of the process described below.

INITIATION

Faculty members, department chairs, directors, and deans seeking fundraising approval for specific projects should use a Request for Fundraising Approval and Priority form. These forms are available from the Office of Management and Budget, Building 310, or from school development officers. The school dean or, outside of schools, the cognizant administrative officer will review and endorse each request prior to forwarding it to the Provost and will include a recommendation of the priority to be assigned to the proposal.

PROVOSTIAL REVIEW

Using the following criteria and based on the advice from the Development Priorities Committee, the Provost will assign a priority to all proposals:

1. Academic justification -- How closely does the proposal relate to the academic plans of the department, the school, and the University?

2. Budgetary impact -- Would funding the proposal by means of gifts offset existing demands on general funds budgets? Would the proposal require general funds support, cost sharing, or other immediate financial obligations? Would the proposal place future financial obligations on the University once the gift or grant funds have expired?

3. Fundraising potential -- How many prospective donors exist for the proposal and to what extent would it compete with others already under consideration by such donors?

After weighing these factors the Provost, in consultation with the Development Priorities Committee, will either assign one of the fundraising priorities defined below or return the request without approval. The designation of a priority determines the level of effort expected from the Development staff. Such priority designations will also assure that donors are presented with the University's most important academic projects.

FUNDRAISING PRIORITIES

Standard Priority -- Fundraising for projects with this priority must be in the form of specific proposals to particular prospective donors. Development activity will be permitted only on a noncompetitive basis, and Development Office support will be limited to reviewing access to the identified donors.

Special Priority -- Fundraising for such projects will proceed on a noncompetitive "target of opportunity" basis. Prospective donors likely to give only for this special purpose will be identified by the sponsor of the proposal. The Development Office will initiate further activity and provide assistance in identifying additional prospective donors.

High Priority -- Funds for projects awarded this priority will be sought by the Development Office with all its available resources. That Office will employ its knowledge of prospective donors with relevant interests who are not already being solicited for projects designated as Maximum. The Development Office will also identify and solicit the prospects for High Priority projects and will enlist volunteers and faculty support as needed.

Maximum Priority -- Such projects have the highest fundraising priority. The Development Office will make every effort to identify and solicit prospective donors for them. The project sponsor as well as the President, the Provost, and other University officers will work actively with the Development Office to meet the fundraising goals set for the project. Fewer than a dozen of such projects are anticipated to exist at any time. In view of the importance of this designation and the limited number of projects holding it, frequent reviews of such projects will be undertaken.

DEVELOPMENT ACTION AND REVIEW

After a proposal has been approved and assigned a priority, the Provost will send a description of the project to the Office of the Vice President for Development for distribution to the fundraising staff. At the discretion of the Vice President for Development, a fundraising coordinator for the project may be appointed.

The Development Office will periodically review its list of approved and rated projects in order to recommend changes to the Provost based on fundraising results.