



Draft Policy for Consultation

Donor Prospect Clearance Policy

Feedback can be sent to Policy@mun.ca

Purpose

To ensure the coordination and appropriate assignment of prospective donors

Scope

Applies to all members of the University community who have an interest in fundraising for Memorial University, including Separately Incorporated Entities (SIEs). The solicitation of sponsorships, including sponsored research funds, does not fall under the terms of this policy.

Definitions

Applicant — Head of a faculty/school/department/unit (including SIEs), ~~University employee or volunteer or specific staff member~~ who is requesting clearance to cultivate and solicit a charitable gift from a particular individual or organization on behalf of Memorial University of Newfoundland.

Clearance Period — The period of time for which a prospective donor is assigned to an Applicant for purposes of ~~cultivation and~~ solicitation.

Cultivation — A plan of activities undertaken to build a relationship with an assigned donor prospect for the ultimate goal of soliciting a philanthropic gift.

Database — Office of Development (OD) maintains a database that stores and tracks prospect information and clearance approval. Relevant information from the database is accessible to select Office of Development employees.

Donation — A charitable gift, according to Canada Revenue Agency guidelines.

Donor — An individual or organization who has made a charitable gift to Memorial University.

Major Gift — A gift **or pledge** of ten thousand dollars or more **in a single year payable over a period of up to five years.**

Project — The purpose for which funds are being solicited.

Prospect — An individual or organization capable of making a charitable gift to the University.

Prospect Clearance — An assigned opportunity for a faculty, school or unit to **cultivate solicit** a prospect without competing solicitation from other units during an approved time period. Clearance is required for **cultivation solicitation** of all gifts as described in this policy.

Relationship Management/Prospect Management — A focused process of major gift prospect identification, research, clearance, cultivation, solicitation, recognition and stewardship whereby enduring relationships with donors are nurtured in order to advance Memorial **University of Newfoundland.**

Solicitation — The current, accelerated, active interaction between a prospective donor and the University that has the expectation of leading to a successful funding request within the designated clearance period.

Solicitor — The individual or team of individuals assigned to directly ask the prospective donor for a gift.

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

Policy

It is the responsibility of the Executive Director of Development to ensure the coordinated assignment and management of donors and prospective donors and the maintenance of accurate and timely donor and prospective donor records for Memorial University of Newfoundland.

Any members or units of the University community who have an interest in fundraising activities on behalf of Memorial University of Newfoundland are required to contact the Executive Director of Development prior to contacting donor prospects with the intention to solicit gifts at the levels described in this policy.

In those cases where a prospective donor has made the initial inquiry about making a donation to the University or a member of the University, such information should be immediately conveyed to the Executive Director of Development so that professional guidance and stewardship can be provided.

All cultivation and solicitation must be cleared through the Executive Director of Development before any actions are undertaken. All solicitations must be subsequently coordinated by the [AA&D-Office of Development and Alumni Engagement](#) so that prospect records can be appropriately maintained.

Related Documents

Terms of Reference for the Prospect Clearance Committee
Donor Prospect Clearance form
Call Reports

Donor Prospect Clearance Policy: Related Documents and Procedures

Related Document:

- A. Terms of Reference for the Prospect Clearance Committee
- B. Donor Prospect Clearance Form
- C. Call Reports

Procedures

- D. Procedure for Donor Prospect Clearance
- E. Procedure to Apply for Donor Prospect Clearance
- F. Procedure to Request Reconsideration of Donor Prospect Approval Decision

A. Terms of Reference - The Donor Prospect Clearance Committee

Authority

The Donor Prospect Clearance Committee is established under the authority of **the Executive Director, Office of Development and Alumni Engagement, ~~Director of Alumni Affairs and Development~~** to match solicitors and projects in order to maximize philanthropic support for the University's greatest priorities.

Mandate and Responsibilities

The Committee has overall responsibility for reviewing all Donor Prospect Clearance submissions and for deciding on an appropriate course of action.

Its mandate is:

To apply the principles of Prospect Clearance specified in the Donor Prospect Clearance Policy and its related Procedures.

To decide on the best **prospect -and/or** relationship manager for a particular prospect or project.

To ensure all individuals who wish to solicit gifts on behalf of the University are subject to the same Donor Prospect Clearance process.

To be involved in the operational aspects of Donor Prospect Clearance, including resolution of competition for prospects.

To undertake periodic reviews using the Donor Prospect Clearance Procedures to meet the changing needs of prospects and projects.

To educate staff, volunteers and other stakeholders about the Donor Prospect Clearance Policy and its related procedures.

To coordinate major solicitations of prospective and existing donors.

The Committee is guided by:

Donor Prospect Clearance Policy

Naming Opportunity Policy

Gift Acceptance Policy

Solicitation of Gifts Policy

Canada Revenue Agency

Guidelines for Charities and Giving

<https://www.canada.ca/en/services/taxes/charities.html> <http://www.cra-are.gc.ca/tx/chrts/menu-eng.html>

Any other legal requirements

Membership

The membership of the Donor Prospect Clearance Committee ensures that input regarding the University's mission and its fundraising priorities are coupled with the best advice of professional fundraisers to maximize fundraising success.

Specifically, the Donor Prospect Clearance Committee consists of:

- The Executive Director of Development (The Chair)
- The Associate Director of Development
- The Campaign Director (when applicable)
- Development Officers
- Representative from the Grenfell Campus
- Representative from the Marine Institute
- Representative from Labrador Campus
- [Manager of Prospect Research and](#) Prospect Research Officers
- Manager, Donor Relations and Stewardship

Operations

The Chair receives Donor Prospect Clearance requested either through forms submitted through email to the Manager of Prospect Research or through the Donor/Alumni Database (for ~~IdD~~ Development staff). Applicants are notified of the date of meetings wherein their proposal will be reviewed.

Once a decision has been rendered, the Applicant will be advised normally within one week of the Committee's meeting.

~~Clearance will normally be denied~~ [Typical reasons for clearance to be denied include](#) when the prospective donor:

- is in the process of deciding on another current University proposal;
- has been cleared for solicitation to another University applicant;
- has indicated a desire not to be solicited at this time;
- has recently made a major contribution or pledge, in which case clearance may be approved later;
- is known to be involved in activity that is not aligned with the mission, values and strategic plan of the University (~~as determined by the Board of Regents~~);
- or, when the project may jeopardize a future gift.

B. Donor Prospect Clearance Form

Request for Donor Prospect Clearance Form	
Requestor's Name:	
Requested Name for Donor Prospect Clearance:	Proposed Ask Amount:
Campus/Faculty/School/Unit:	
Requestor's Email:	Requestor's Phone:
Name of Proposed Project/Fundraising Initiative:	
Description of Project/Initiative (Where possible please include plans for sustainability where applicable. Please attach page if more room is needed.)	
University Approval of Project (typically at the decanal level): <input type="checkbox"/> Yes (please attach approval) <input type="checkbox"/> No	
Total project/initiative cost and leverage: What's the estimated overall cost of this initiative (if infrastructure please indicate if the estimate is notional or fully costed)? If you have a budget, please attach it. Include any opportunities for the funding to leverage additional funds.	
If there is a difference between the project cost and the solicitation amount is there a plan in place to fund the difference? <input type="checkbox"/> Yes (please note other sources of funding confirmed) <input type="checkbox"/> No	
Project Timelines:	
Solicitation Strategy/Rationale/Prospect Relationship to Unit:	
Please return form and any additional documents to the Manager of Prospect Research at giving@mun.ca	

C. Call Reports

Recommend removing as any non-development staff assignments will have a development professional who will work with the submitter and ensure action notes are entered into the database

D. Procedure for Donor Prospect Clearance

1. When to Obtain Donor Prospect Clearance

Any person, unit or University entity wishing to solicit prospective donors, on behalf of Memorial University, for a philanthropic gift valued at \$1,000 or more during a major campaign or for \$5,000 outside of a campaign, must submit the names of the prospects (whether individuals, foundations, corporations or other organizations), and apply to AA&Dthe Office of Development and Alumni Engagement via the Donor Prospect Clearance Form for clearance to proceed with cultivation and solicitation. See Gift Acceptance policy.

In addition, solicitation of groups of 100 or more individuals for any gift amount (e.g., professional associations) must be cleared in order to avoid multiple solicitations of the same individuals.

Academic and non-academic leadership, or any faculty member, staff member or volunteer Deans, Directors, Heads of Departments etc. involved in fundraising initiatives will regularly consult with members of the development division within the Office of Developmentthe Office of Development and Alumni Engagement.

No one may make commitments to donors on behalf of the University without due authorization and/or without first consulting with the Office of Development and Alumni Engagement.

2. The Donor Prospect Clearance Process

Requests for Prospect Clearance may be submitted at any time using the Donor Prospect Clearance form and forwarded to the designated contact indicated on the form, in accordance with the Procedure to Apply for Donor Prospect Clearance.

Submissions will be reviewed regularly by the Donor Prospect Clearance Committee. Consideration will be given to the number of clearances granted to each individual to ensure solicitations occur in an appropriate timeframe with appropriate supports. who will assign a maximum of 20 prospects to an Applicant, typically for a 180 day period. The Prospect Clearance Committee will also assign a Development/~~Campaign~~ staff member as liaison to Applicants at that time, if the Applicant is not a Development/~~Campaign~~ Sstaff member. Being assigned more than 20 prospects will require the Executive Director's approval.

The Applicant will inform the assigned Development staff member of any activities involving assigned prospects during the clearance period and the results of these

~~activities. Meetings with Applicants and assigned Development staff will be held regularly to review cultivation/solicitation progress on assigned prospects.~~

Requests for new/second Donor Prospect Clearance for donors already cleared for a period of time will be considered on a case-by-case basis, with the understanding that generally only one clearance at a time will be approved.

3. Clearance Period

Applicants will be notified of the decision of the Prospect Clearance Committee normally within one week of the meeting in which the submission is considered. In the case of a favourable decision, the Applicant will be advised of the duration for which clearance has been granted and the projects for which a donor may be solicited (typically for a period of not more than 180 days). ~~If, as a result of the original cultivation or solicitation, the donor indicates a preference for other projects, the Applicant is required to notify the assigned Development staff member so that a solicitation targeted to the donor's stated preference can be constructed.~~ Upon expiration of the Clearance Period, or if the Applicant has been unsuccessful in securing a donation commitment, the prospective donor will be returned to the prospect pool.

4. Reporting and tracking progress of donor cultivation and solicitation

The Applicant will inform the assigned development staff member of any activities involving assigned prospects during the clearance period and the results of these activities.

If, as a result of the original cultivation or solicitation, the donor indicates a preference for other projects, the Applicant is required to notify the assigned development staff member so that a solicitation strategy targeted to the donor's stated preference can be constructed.

The applicant will inform the assigned development staff member of any activities involving the assigned prospect(s) during the clearance period. The development staff member will assist in solicitation strategy. Meetings with Applicants and assigned development staff will be held regularly to review cultivation/solicitation progress on assigned prospects. The assigned development staff will and ensure activity is properly documented in the donor database.

~~A catalogue of the contacts that have been made with each prospect and the results of these contacts is maintained in the OD database. It is expected that all individuals working with cleared prospects will report on activity through regular submission of action reports and updates.~~

5. Requests for Extension of the Clearance Period

At the end of the Clearance Period, a request for an extension of Prospect Clearance may be submitted to the Prospect Clearance Committee. The decision to grant an extension, and the duration of any extension, will be assessed based upon the cultivation progress that has been made, or the status of discussions with the prospective donor. Typically, the extension would be for 3 months. In addition, the Prospect Clearance Committee, in extenuating circumstances, may need to change the status of any Prospect Clearance after consultation with appropriate parties.

E. Procedure to Apply for Donor Prospect Clearance

Suggest omitting this section as it is a guideline section outlined in the Donor Prospect Clearance Form (move to Office of Development and Alumni Engagement webpage)

~~The Development staff will facilitate the provision of appropriate background information and content for each request prior to its review by the Donor Prospect Clearance Committee. Before any prospective donor can be cleared to be approached, the Applicant must complete the Donor Prospect Clearance form and ensure that the following criteria are met:~~

~~1. Project Approval~~

~~Before an Applicant can seek approval of a prospective donor from the Prospect Clearance Committee, the Applicant's project must be approved by an appropriate member of (e.g., Dean, Vice-President, President) senior administration. Applicants should first approach the Head of their faculty, school or unit before submission to the Prospect Clearance Committee. Written approval of the proposed project must be included as part of the application for Prospect Clearance.~~

~~2. Project Definition~~

~~The Applicant seeking Prospect Clearance must provide an outline of the project/purpose for which funds will be solicited.~~

~~3. Identification of Funding Level~~

~~The Applicant shall demonstrate the total potential funding requirements of the project, the solicitation goal for the prospect and the time period for the particular project.~~

~~4. Provision of Rationale for Requesting Assignment of Specified Prospects~~

~~The Applicant must provide a rationale for why the prospect should be a good fit with the specific project, including any prior history or connections with the prospect or other reasons this prospect would consider the project to be a high priority. Applicants uncertain as to which potential prospects to approach should contact the Office of Development prior to formal submission for Prospect Clearance.~~

~~5. Provision of Cultivation/Solicitation Strategy~~

~~When submitting prospect names for clearance, the Applicant must provide an anticipated cultivation/solicitation strategy including actions and timeline, intended solicitor(s) and proposed solicitation amounts.~~

~~The Applicant must also describe the specific method of solicitation (e.g., proposal, in person, by mail, by phone, other). If the Applicant is uncertain as to the appropriate strategy, Development staff will assist with establishing a strategy.~~

~~6. Requests for Extension of the Clearance Period~~

~~To extend the clearance period, the Applicant must submit another Donor Prospect Clearance form to the Prospect Clearance Committee, indicating activity accomplished in the first 180 days and a rationale for the extension. A revised strategy and timeline(s) should be included.~~

F. Procedure to Request Reconsideration of Donor Prospect Approval Decision

Applicants with new information or changed circumstances may request, in writing, reconsideration by the Donor Prospect Clearance Committee, normally within one month of when the new information becomes available or when the circumstances change. Please resubmit the Donor Prospect Clearance Form indicating the new information or changed circumstances.