



SOUTHERN UTAH UNIVERSITY
Policies and Procedures

Policy # 10.11

Date Approved:03/10/95

Date Amended:

Reviewed w/no Changes:

Office of Responsibility: VP Fin/VP Adv

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SUBJECT: FUNDRAISING POLICIES FOR CULTIVATION AND SOLICITATION OF GIFTS

- I. **PURPOSE:** To establish guidelines regarding fundraising activities for Southern Utah University.
- II. **POLICY:** As Southern Utah University launches a Capital Campaign to generate funding for the many projects under consideration for the near future, it is proposed that the University adopt a policy that will define the policies and procedures of all fundraising activity for the University.

All development activities conducted in behalf of Southern Utah University and its programs, and the solicitation of funds from various private and public individuals and entities should be carefully coordinated through the Development Office. University personnel and students should obtain written approval from the Development Office for all fundraising activities.

III. **INTRODUCTION:**

- A. As Southern Utah University contemplates its future growth needs for expansion of existing facilities and new construction demands, coupled with the need for continued academic excellence in the classroom, the existence of a working partnership between the Development Office, Administration, Colleges and Departments is essential. The keys to this partnership are information sharing and organization.
- B. To maximize Southern Utah University's fund raising efforts, the following policies and procedures are being proposed to enhance the likelihood of success of solicitations by SUU employees toward prospects and existing donors who receive numerous requests for funds. Coordination of managed solicitations will enhance relations and are in the best interest of the University. These policies and procedures apply to individuals, corporations, foundations, and private grants and contracts and include but are not limited to funding requests for:
1. annual giving letters
 2. deferred gifts
 3. endowments
 4. faculty development
 5. gifts-in-kind
 6. operating funds/unrestricted
 7. scholarships
 8. special projects and programs



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9. unrestricted gifts

C. Fund raising is encouraged by the administration to all Colleges and departments. To preserve the integrity and enhance the coordination of University fund raising efforts, the Development Office proposes that the University organize a steering committee consisting of three to five members to coordinate fund raising activities on the Southern Utah University campus who will clear prospects and donors for cultivation. This will also assist in more effectively coordinating the development and solicitation of funds in behalf of the university.

D. These policies and procedures will simplify the process by which the Development Office facilitates requests to identify, evaluate, and coordinate solicitations -- as authorized by the University administration.

IV. PROSPECT IDENTIFICATION & CULTIVATION:

A. The Development process consists of cultivation and solicitation activities. Cultivation activities include: invitations to student activities and events; special campus events; invitations to sporting events and pre-game receptions; invitations to performing arts productions; and campus mailings (mass letters, "Alumni News", etc).

Cultivation and solicitation will be coordinated under the direction of the steering committee organized by the Development Office.

1. Approved Priority - All requests for assistance in identifying private funding prospects should be guided by each College/Department's development priorities and the overall development priorities of SUU.

2. Advisement - The Development Office will receive lists of planned cultivation activities and the names of prospects/donors involved in these activities.

a. The Development Office requires all Departments to submit a list of individuals, corporations, or foundations they are now cultivating (or plan to cultivate).

(1) In the majority of cases, cultivation will be approved. However, on occasion (when a prospect has been



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cleared for solicitation by another College or Department) the Development Office may advise a College or Departments to abstain from all cultivation activities until the prospect has been cleared.

- b. Colleges/Departments who wish to initiate cultivation activities with a newly identified prospect must inform the Development Office and obtain permission to proceed.
- c. To assist the University in tracking University-wide cultivation activities, the Development Office requests submission of Contact Reports (may be obtained from the Development Office by calling Ext. 7775).

V. PROPOSAL & SOLICITATION REQUESTS:

- A. Project/Proposal Clearance Form - Please complete and submit a Project/Proposal Clearance Form from the Development Office professional staff prior to requesting assistance in proposal preparation or potential donor targeting. The office welcomes discussion of any and all requests. (The clearance form will be kept on file in the Development Office until the project or proposal is completed and the request funded or denied.)
- B. Steps for Submitting Proposals or Solicitation
 - 1. To promote coordination, copies of written proposals and/or solicitation letters should be attached to a Project/Proposal Clearance Form. These will be reviewed and cleared for use by the Development Office within 10 working days (if a form was turned in previously during an initial research stage, one need not be resubmitted).
 - 2. Proposals or letters requesting below \$5,000: A Project/Proposal Clearance Form should be submitted to the Development Office, with a list of names to whom the proposal or letter is being presented. This should be done, and approval received, before correspondence is mailed or hand-delivered. This process avoids simultaneous funding requests from numerous campus Departments and further coordinates the University's fund raising efforts. Please note: Proposals requesting under \$200.00 do not require clearance forms or approval of the Steering Committee.



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3. Proposals or letters requesting \$5,000 and above: A Project/Proposal Clearance Form should be submitted to the Development Office. This should be done, clearance received, and a Solicitation Action Plan prepared before any contact for solicitation is made with a prospect. This process allows for the preparation of accurate and organized strategic steps in major gift fund raising. The Director of Development welcomes discussion of any major gift request and will assist in developing a strategy for procuring a gift.
4. Proposals or letters requesting \$15,000 and above: A Project/Proposal Clearance Form should be submitted to the Development Office and must be approved by the President of the University.

- C. Submission Deadline - To complete the research and review process, drafts of proposals should be submitted to the Development Office ten working days prior to a planned solicitation. In the majority of cases requests to approach a prospect will be granted or denied within two to five working days.

Drafts of direct-mail solicitation letters and other proposals should be submitted to the Director of Development, who will assist with editing and setting up solicitation schedules.

The Development Office will assist in editing proposals or letters requiring additional revisions.

- D. Dual Submissions - Although there are exceptions, the majority of corporate and foundation prospects commonly state that only one funding request at a time may be submitted for consideration. Should conflicts occur due to competing requests, submission to a corporation or foundation will be determined by the Steering Committee.

VI. NAME CLEARANCE POLICY PROCEDURES:

- A. Name Clearance Form - Colleges/Departments wishing to contact local, regional, or national prospects and/or SUU donors for solicitation, should complete the Name Clearance Form and submit it to the Development Office. Some examples of solicitation activities are: private lunch/dinner with a dean or faculty member in a specific area of interest; a visit on the prospect's "turf" to determine interest or render advice; special invitation



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for a private tour of the college or department; and giving expensive items of interest to the prospect.

B. Established Relationships - When requesting name clearance a College/Department should have:

1. an established relationship with a prospect
2. planned cultivation activities in place
3. a targeted area of prospect interest
4. an estimated target date for solicitation

Note: When more than one College/Department has a relationship with a prospect, the name clearance decision will be determined by the Steering Committee and will be based upon the University's overall development priorities.

C. Prospect/Donor Clearance - A prospect or donor name will be checked against Development Office records to determine if a prospect is currently ready (appropriate cultivation taken place) and cleared for solicitation by the Steering Committee. The following policies apply:

1. If a prospect or donor is currently approved for another college or department, they will be cleared at a later date.
2. If a prospect or donor is not currently designated for another solicitation, they may be approved for solicitation.
3. If a prospect or donor is on the University's Protected List (cultivation or solicitation assigned to the University's Protected List includes individuals or companies that are to be contacted or solicited by the President only), additional solicitation requests will generally be denied.

D. Direct Mail/Group Solicitations

1. Colleges/Departments wishing to contact a group of prospects should attach a list to the Name Clearance Form. Prospect/Donor clearance (procedure #3 above) will then apply.



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2. Colleges/Departments wishing to solicit in person (with or without a written proposal) or by direct mail, a list of targeted prospects should be attached to a Project/Proposal Clearance Form.

E. Canvassing - Canvassing Cedar City area businesses in person, by telephone or by mail should not occur. This type of fund raising may produce a negative reaction toward Southern Utah University. Canvassing activities should be limited to patrons or constituents, for example, Alumni, club members, etc., where the University has an established association.

F. Time Frame - A prospect will generally be cleared for a College/Department for 60-120 days before being released from clearance.

Prior to releasing clearance, the Development Office will contact the applicable college, or department to ascertain their progress. An area will then be informed in writing if clearance has been released to another.

Southern Utah University
Development Office
Project/Proposal Clearance Form

Instructions: Please complete and send to Mr. Marlo Jensen at AD 303B.

Date of Request:

Requested By:

College/Department:

Mail Code:

Telephone Extension:

Purpose of Project:

Amount to be requested:

Type of Support:

(e.g. program, operating, endowment, scholarship)

Name(s) of Potential Targets for Funding (if applicable)

Approval:

REQUIRED SIGNATURES DATE

Dept. Chair/or immediate Supervisor
DEAN/ or Appropriate Vice President

FOR STEERING COMMITTEE OFFICE USE ONLY! (Applicable Signature)

Steering Committee Chair

Southern Utah University
Development Office
Name Clearance Form

Instructions: This form is to be submitted prior to cultivation activities or solicitation. Please complete and send to Mr. Marlo Jensen, AD 303B. The Development Office will respond to you in an expeditious manner.

Date Submitted:

Requested By:
College/Department:

Mail Code: Telephone Extension:

Prospective Donor(s): (attach list
if necessary)

Planned Solicitor(s):

Fund Raising Purpose:
(e.g. program, operation, endowment, scholarship)

Type of Support:

Method of Solicitation: Personal Telephone Direct Mail

Time Frame (weeks/months): Solicitation Amount:

Development Office Use Only

The name clearance requested for is:

Approved Denied Needs Further Study

Reasons for study or denial

Steering Committee Chair

Southern Utah University
Cultivation Activity Contact Report

Prospect Name:

Staff Responsibility:

Location of visit:

Contacted by:

Date of contact:

Duration of visit:

Purpose of visit:

Results of contact (Discussion items):

Action to be taken by whom & target date (Mo/Yr):

SUU Contact

Date