



# Advancement Systems and Policies

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16 November 2023

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# Structuring University Advancement

- Executive Director of Advancement reporting to the VC
  - Development (Fundraising)
  - Communications and Marketing
  - Alumni Relations
  - Government Relations



## Role of the Vice Chancellor

- Accountable to Council
- Is responsible for resourcing the institution
- Leads Advancement/Development
- Chairs prioritisation committee
- Social leader – externally facing
  - Positions the institution
  - Leads fundraising
  - Builds the institution's safety net
- Champions the Advancement/Development office

# Structuring the Development Office

## Director of Development

### Fundraising team (external relationships)

- Major donors
- Annual giving
- Planned Giving

### Donor Relations

- Stewardship
- Recognition
- Events (together with Comms, Marketing and PR)
- Oversight of reporting

### Advancement services

- Internal client services
  - Engagement with faculty
  - Assistance with proposal writing
  - Assistance with prioritisation system
- Prospect Research
- Database and IT
- Gift processing
- Advancement finances (Advancement office expenditure, purchasing, etc)

# Capacity of Institutional Advancement Managing Expectations

- Is it fully equipped?
- Donor research capacity?
- Alumni Relations?
- Data management?
- Positioned correctly?

# Systems and policies in relation to Advancement

- Need for OA/Development to be positioned for maximum effectiveness
- Need for faculty communication to ensure prioritised projects receive attention
- Need for a mandate for the OA/Development as to institutional priorities
- Need for communications and marketing to be aligned with advancement
- Need for collaboration to measure all third-stream income
- Specific policies required : eg donor recognition; gift acceptance; fundraising ethics

# Positioning of Advancement Office and Role of Exec Director

In relation to

- The Vice Chancellor and leadership team
- Council and its strategy and finance sub-committees
- The Foundation
- Finance Office

# A Mandate for the Advancement Unit

- AO cannot raise funds for all projects on its own
- Prioritisation has to be managed and system devised
- Process to make this work – prioritisation committee under VC leadership
- AO to be mandated to assist with specific prioritised projects



# Advancement committee to provide mandate

- Standing committee of the University
- Instituted by the Vice Chancellor
- Purpose to identify, review and endorse institutional level projects
- Review new projects from faculty
- Assign priority category to each project to determine the level of support from the OA

# Prioritisation Process

- Prioritisation has to be managed and system devised
- Process to make this work – prioritisation committee under VC leadership
- On-going engagement with faculty
- Submission of faculty proposals to committee through Development office :
  - Alignment with institutional purpose and strategy
  - Dealing with conflictual projects
  - Timing
  - Grading system for Advancement – degree of fundraising support
- Sign off process

Advancement challenge  
of working with Faculty  
– expectations

Advancement cannot  
do all fundraising

Leadership and faculty  
provide depth and  
knowledge of  
programmes and  
projects

**Faculty relationships with  
Advancement team**

## Faculty and Advancement team

Can leadership and faculty  
fundraise?

Fundraising training for faculty  
and staff (including induction)

Recognition of fundraising  
achievements by faculty

# Internal client relationships Advancement and faculty



- Regular consultation
- Assistance with submission to university prioritisation committee
- Assistance with proposals and budgeting if required
- Support for donor research and campaign/fundraising efforts
- Tracking fundraising processes and donor income
- Oversight of donor and financial stewardship
- Opening doors to potential donors
- Trouble shooting

# Role of Faculty Fundraisers

- Alignment with OA
- Messaging to dovetail with University communications and OA
- Prospect clearance
- Accountability and Transparency



## Prospect Clearance : Multiple university constituencies

- Avoiding duplication
- Avoiding clashing approaches to the same donor
- Prevents donor fatigue
- AO knows the institutional scope of fundraising
- Enables AO to track progress



# Fundraising by quasi-independent units

How are these governed?

Who is accountable for the funds?

Prospect clearance?

Who signs contracts?

How are they tracked?

How is stewardship ensured?



# Stewardship

A light gray silhouette of a mountain range with several peaks and valleys, spanning the width of the slide below the main title.

Stewardship  
of Donors

Stewardship  
of Funds

Donor  
Recognition

# Donor Stewardship

Maintenance of  
relationships

More cost effective  
to keep a donor than  
to find a new one

# Stewardship of funding

- Efficient gift processing
- 18A tax certificates
- Ensuring funds go into the correct cost centre timeously
- Ensuring funds are used as agreed with the donor
- Follow up with donor on pledges
- Financial reporting in line with contracts
- Avoiding reputational risk

# Stewardship : Oversight of Advancement Office

- AO needs to know what funds are in and what contracts signed
- AO oversees thanking, 18A tax certificates, donor recognition and reporting
- Recorded in common data base
- AO holds donations bank account
- AO ensures relationships are sustained

# Fundraising policies

- University donor recognition policy
- University gift acceptance policy
- University fundraising ethics policy.

# Ethical Responsibilities to funders and partners

- Compliance
- Professional relationships
- Access to information including financial reports
- Appropriate acknowledgement and recognition
- Monitoring and reporting

# Public benefit funding received by universities : Responsibilities

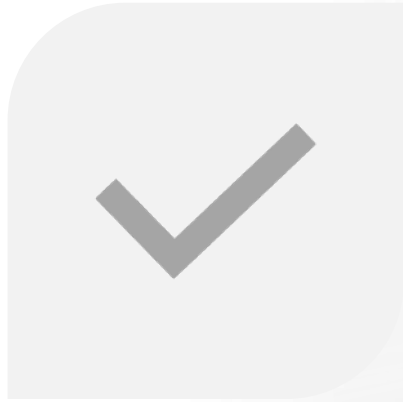
Issue of what  
constitutes a  
donation and  
which grants  
receive 18A  
benefits

Expenditure is  
in the public  
interest

To be used  
solely for the  
stated  
objectives

No personal  
gain enjoyed by  
any person  
including the  
funders and  
recipients

# Risks associated with non-compliance



**REPUTATIONAL**



**FINANCIAL**

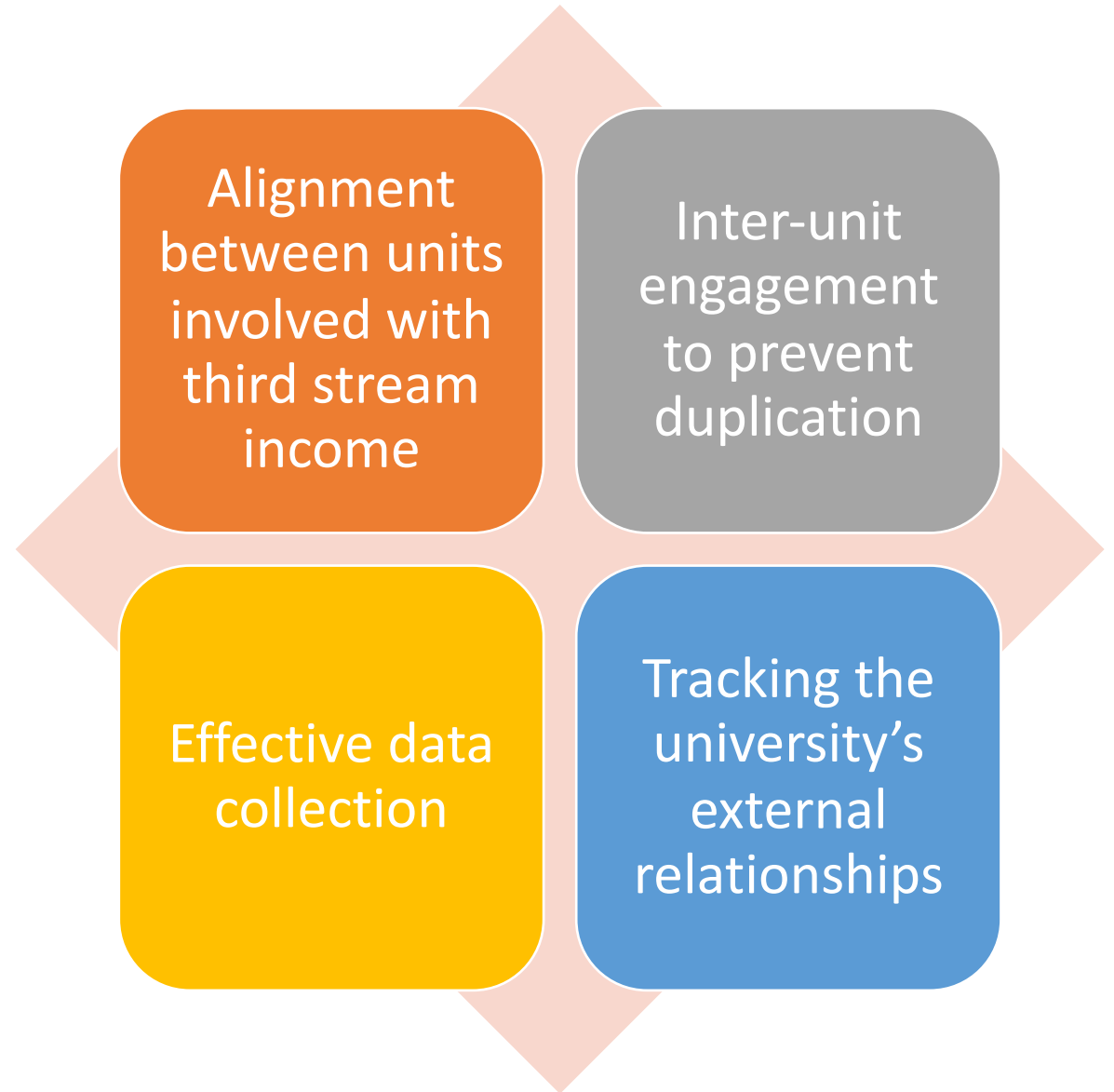


**LEGAL**





# Advancement, Grants and Contracts and Research



- Students as future alumni (student experience from first day to first destination after graduating)
- Alumni programmes
- Convocation
- Data base linked to fundraising for campaigns
- Association with Development, Comms and Marketing

Implementation of  
effective alumni  
relations  
programme

- Role of the VC
- Positioning of Advancement in the institution
- Mandate for Advancement Office (prioritisation)
- Advancement and faculty links
- Stewardship of Donors
- Data Management
- Fundraising policy
- Ethical responsibilities to partners

## Summary