



**University
of Victoria**

Office of the
President

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MEMO

Date: 27 October 2014

To: Members of the University of Victoria Community

From: Professor Jamie Cassels, QC
President and Vice-Chancellor

Re: Fundraising Priority Setting Guidelines for the 2015-2016 Fiscal Year

Those of you who attended my campus update presentation on 7 October will have noted that I referenced the increasingly important role philanthropy now plays and will continue to play in ensuring that the University of Victoria will provide a first class educational experience to our students and build on our research strengths.

To develop a culture of philanthropy at the University of Victoria, administrators, faculty and staff will need to work together to foster relationships with people who share a common understanding, appreciation and responsibility for the advancement of our university. To be more successful, we need to better align our fundraising priorities with our strategic, academic, research and capital priorities and inspire donors to invest in a successful organization with a strong sense of purpose to make the world a better place.

With these objectives in mind, I am pleased to introduce a more transparent and robust process for setting fundraising priorities. Guidelines and processes are only effective when used by all involved. Great ideas and leadership for successful fundraising efforts can be found throughout our university so I encourage you to use and share these guidelines widely.

Leaders across campus consider projects for inclusion as fundraising priorities, and as we do so, it is important for all of us to keep in mind the challenges and opportunities the University of Victoria will face in the years ahead as well as the academic and operational priorities we have set.

In particular, we need to maintain and build on the recruitment of excellent students who will flourish at our university and work to enhance their student experience. This requires enhanced scholarships and bursaries, more student housing, increased support for international students, and greater access, support and opportunities for Indigenous students. We are also aiming to expand experiential learning opportunities to all students through co-op, internships, work experience, community service learning, student mobility, engagement in research, field schools, etc.; to strengthen the integration of education and research; and to harness technological advances in support of our mission.

The University of Victoria's fundraising priorities must also foster our research, scholarship and creative activity, particularly in areas and clusters of strength. We will therefore seek funding for endowed or term chairs, professorships, graduate and post-doctoral fellowships, operational research support, partnerships, knowledge mobilization and community engagement.

I thank all of you who contributed to the development of these guidelines. I hope that our new priority-setting process will foster greater alignment and collaboration in our fundraising efforts and will guide our interactions with donors and partners, as we strive to make a substantial difference in the lives of our students, our university, our communities and society.

In the coming months, as we implement these new guidelines, we will have opportunities to assess their effectiveness under the leadership of Associate Vice-President Tom Zsolnay, who will also be happy to respond to any questions, comments or suggestions you may have. I look forward to working with you in this important area and to learning through this new process.



University
of Victoria

Fundraising Priority Setting Guidelines for 2015-2016 Fiscal Year

References

UVic Strategic Plan - *A Vision for the Future: Building on Excellence*

<http://www.uvic.ca/strategicplan/assets/docs/strategicplan.pdf>

UVic Academic Priorities and Plan

http://www.uvic.ca/vpacademic/assets/docs/2013_AcademicPrioritiesandPlan.pdf

UVic 2013/14 5-Year Capital Plan

<http://web.uvic.ca/vpfin/financialplanning/capitalplanning/FiveYearCapital%20Plan%202014%202015%20v3Gayle.pdf>

2014-2015 Planning & Budget Framework

http://www.uvic.ca/budgetplanning/assets/docs/PlanningBudgetFramework_March_2014.pdf

Fundraising and Gift Acceptance Policy (ER4105)

<http://www.uvic.ca/universitysecretary/assets/docs/policies/ER4105.pdf>

Capital Expenditures on Physical Plant Policy (FM5205)

http://www.uvic.ca/universitysecretary/assets/docs/policies/FM5205_1700_.pdf

External Research Funding Agreements Policy (RH8200)

http://www.uvic.ca/universitysecretary/assets/docs/policies/RH8200_1210_.pdf

Student Awards Policy (AC1130)

http://www.uvic.ca/universitysecretary/assets/docs/policies/AC1130_2310_.pdf

Policy for the Establishment of Endowed and Term Chairs and Professorships (AC1100)

<http://www.uvic.ca/universitysecretary/assets/docs/policies/AC1100.pdf>

24 October 2014

Introduction

As faculties and other academic and non-academic units undertake their planning for the 2015-2016 fiscal year, they should be considering what opportunities are available to engage individuals, businesses and foundations as partners through philanthropy. While doing so, leaders at all levels should keep in mind that these opportunities are not a means to fulfill budget gaps. Instead, these opportunities should be viewed as a means of fulfilling their mission while enhancing experiences for students, researchers and partners. Donors want to invest in successful organizations.

The objective of the priority setting process is to ensure that the agreed-to fundraising priorities align with the university's strategic, academic and capital plans and build on UVic's known academic and research strengths. Setting priorities also ensures that unit priorities, once approved, become institutional priorities and that resources can be aligned to ensure achievement of fundraising goals and best use of resources.

The process outlined in this document does not replace any existing policies or procedures in effect at the University of Victoria. Relevant policies, including those listed as references on the cover page, should be consulted as appropriate.

Fundraising Priority Setting Process

Academic and non-academic leaders should consider opportunities for philanthropic support as they develop their annual plans. Unit leaders may design their own process within their units to develop their priorities and are encouraged to do so in a manner that is consistent with these guidelines; is transparent; and allows departments/schools/centres and, where appropriate, individual researchers to provide input.

Unit leaders are responsible for the development of fundraising priorities within their units. They must work with development staff and other stakeholders to ensure that their priorities will be attractive to donors and can be supported by the university's budgets and capital plans.

Development staff, including Development Officers assigned to a faculty or the Director of Fund Development where no Development Officer is assigned, will support unit leaders in determining whether identified fundraising priorities align with donor interests and are in fact well suited to form part of a fundraising case for support. Development staff are also to support unit leaders by ensuring appropriate consultation with other stakeholders (e.g., discussion with AVP Finance & Operations on approvals of capital projects).

Once unit leaders have selected their projects and determined their priorities, these should be forwarded through normal administrative channels to their respective Vice-President no later than 2 February 2015.

The Vice-Presidents will review the proposals, seek additional input from stakeholders as they deem necessary and submit their recommendations to the Vice-President External Relations for consolidation. At the February meetings of the Council of Research Centre Directors, Deans' Council and Integrated Planning Committee, the consolidated list of fundraising priorities will be presented for discussion. The

purpose of these discussions will be to ensure that unit leaders are aware of priorities across the institution and to look for opportunities for synergies between projects that may have been missed.

The Provost and the Vice-President External Relations will then make recommendations to the President, through Executive Council, on the final list of projects for fundraising based on the guidelines outlined in this document.

The list of approved fundraising priorities will be shared broadly to ensure transparency. Once the final list has been issued development staff will prepare their work plans and set fundraising objectives for the fiscal year.

Although this process is designed to confirm the 2015-16 priorities, unit leaders should forecast on a rolling three year basis and include expected priorities for the 2016-17 and 2017-18 fiscal years. Objectives for the years beyond 2015-16 can be adjusted in next year's priority setting cycle.

Proposals

The template under Annex B is to be used to assist in addressing consistently the criteria for selecting projects for fundraising and to help set priorities. Proposals will address the criteria and include a brief description of:

- The scope of the project;
- The links to the University and/or unit's strategic, academic, research and/or capital plans;
- The benefits it will bring UVic, its students and researchers and to society;
- The resources needed to launch the project;
- The resources needed to sustain the project on a continuous basis;
- The timelines for implementation of the project; and
- The potential sources of funding.

Selection Criteria

As unit leaders consider projects to include as fundraising priorities, they are asked to consider how the identified priorities align with the four key elements of successful fundraising – Case, Leadership, Prospects, and Plan:

- **Case for Support**
 - The goals to be achieved and how they align with the University and unit's **strategic plan, academic plan, research plan** and **capital plan**.
 - Whether the proposed projects truly advance the discovery, creation and dissemination of ideas and knowledge and/or prepare students for successful careers and citizenship.
 - Whether similar or related projects already exist at UVic or elsewhere and how the project compliments or competes with these.
 - The resources (both human and financial) needed to carry out the proposed projects and the source of these resources both at start up and for the long haul.
 - The long-term effects of each project and the quality and breadth of impact on the University of Victoria and the wider community.

- **Leadership**
 - The availability of project champions, both internally and externally, willing to work to secure funding from potential partners and to see the project through to completion.
- **Prospective Donors**
 - The attractiveness of individual projects to potential donors and whether prospective donors have been identified with an interest in investing in specific projects.
 - How the outcomes of each initiative can be measured and reported on to donors to demonstrate stewardship of their investments.
- **Plan**
 - The overall scope and cost of the project and whether it can be funded solely by donor investment or if other sources of funding are needed and available.
 - Whether the fundraising target for a specific project and for the unit as a whole are realistic enough to be achievable, yet challenging enough to require some effort.
 - Whether a sense of urgency can be developed around the project to build momentum that assures that fundraising goals are met in a timely manner.

Priority Rating

Proposals should also include a proposed priority rating based on a combination of each project importance and potential attractiveness to donors as follows:

- **A** – Top priority with fully dedicated fundraising effort. Typically given to a project that is of a high importance and for which potential donors have been identified.
- **B** – Priority for which some fundraising resources are allocated. Typically given to a project that is of high importance, has potential to be attractive to donors, but for which specific potential donors are not identified.
- **C** – Priority to be discussed with appropriate prospects only when they self-identify. Typically assigned to a project that is not of high importance, but nonetheless provides a value added and is attractive to donors.
- **D** – No time/resources allocated to finding prospects. Typically assigned to a project that has little or no potential to attract donors. These priorities must still be vetted for approval in the same manner as those given a higher rating to be included as priorities.

Examples of Projects for Inclusion

The following are examples of projects that could be considered for fundraising. It is by no means an exhaustive list and is intended to provide examples of projects and other stakeholders or policies that should be considered before inclusion as a fundraising priority. Unit leaders must ensure that projects are properly costed, that the sources of all funds are identified and if the university will incur costs as the project proceeds, that these costs have been preapproved through the budgeting process.

- Fellowships, scholarships, bursaries and other financial awards. The establishment of student awards is governed by policy AC1130 and managed by the Student Awards and Financial Aid Office (SAFA) and the Faculty of Graduate Studies. New awards are approved by both Senate (upon recommendation of the Senate Committee on Awards) and the Board of Governors.

Before creating new awards either SAFA or the Faculty of Graduate Studies, as appropriate, must be consulted.

- Chairs and Professorships. The establishment of endowed and term chairs and professorships are established in accordance with policy AC1100. Establishment of chairs and professorships must be approved by the Vice-President Academic and Provost (VPAC). Approval will only be given if full funding has been secured from both external and internal sources as approved by the VPAC.
- Conferences and Lecture Series. Approval of conferences and lecture series can be made at the unit level, but consideration should be taken to ensure that all costs associated with establishing these and the human resources and logistics required to organize them have been considered.
- Research. Policy RH8200 sets out the criteria for the establishment of research funding agreements. The Vice-President Research will normally approve research funding agreements with the support of the requisite director, chair and faculty dean. The Office of the Vice-President Research and Office of Research Services should be consulted prior to including research related projects as fundraising priorities.
- Physical Plant. The Program for Capital Expenditures and Physical Plant forms the University's 5-year capital plan and is approved by the Board of Governors on recommendation from the President. Fundraising priorities that involve major capital renovations or new buildings should therefore first be included in the 5-year capital plan. Before equipment is included the cost of acquiring the equipment, its operations and maintenance and any renovations that may be required should also be provided for. Unit leaders should seek the advice of the relevant offices in finance and operations before including major equipment or capital in the objectives.

Out of Sequence Approvals

There may be occasions when a project that is well suited to support from a private donor is identified after the priority setting process is complete. Given that there has to be some flexibility in the process to ensure that opportunities are not missed these priorities can be put forward but the same diligence outlined in this document must still be applied. Approval authority for these projects will be in line with those set out in the Fundraising Gift Acceptance Policy.

Summary

Unit leaders should identify their fundraising priorities as part of their overall planning process and ensure that priorities align with their and the university's strategic, academic, research and capital plans. Unit leaders must work with development staff to ensure that fundraising priorities align with donor interests to produce realistic goals. Unit leaders must also ensure that other stakeholders on campus are involved in the priority setting process and that all appropriate approvals are given for projects prior to identifying them as fundraising priorities.

Attachments

Annex A – Process and Timeline for Identifying Fundraising Priorities for 2015-16

Annex B – Template for Submitting Projects for approval as Fundraising Priorities

Process and Timeline for Identifying Fundraising Priorities for 2015-16

	Activities	Date
1.	Development and approval of guidelines In consultation with Integrated Planning, Provost, VPER and AVPAD develop the general guidelines for establishing fundraising priorities based on strategic (integrated plan), academic, research and infrastructure plans. The guidelines include: <ul style="list-style-type: none"> • Project selection criteria • Types of projects to be considered • Resource/capital constraints • Timelines The executive approves the guidelines.	Oct 2014
2.	Issuing of guidelines Guidelines are issued by the President, through the Provost and VPER, to Deans/units/development officers.	Oct 2014
3.	Priority setting at the faculty and unit level Using their own planning process and working with development officers and the Director of Fund Development, faculties/units develop a prioritized list of projects for fundraising in consultation with relevant leaders in research, finance & operations, external relations, etc.) . A rating is recommended for each project based on the guidelines and the criteria: <ul style="list-style-type: none"> • A – top priority with fully dedicated fundraising effort • B – priority for which some fundraising resources are allocated • C – will discuss with appropriate prospects only when they self-identify • D – not a priority at this time with no time/resources allocated to finding prospects 	Nov 2014- 5 Jan 2015
4.	Submission of priorities by faculties and units to their respective Vice-Presidents Priorities and ratings are submitted to the Vice-Presidents for initial review before February 2, 2015. The Vice Presidents forward the list of fundraising priorities for their divisions to the Vice-President External Relations by February 9 th . With the support of AVPAD and other supporting staff, submissions are reviewed and consolidated.	2 Feb 2015
5.	Presentation and discussion of priorities Consolidated priorities are presented to Dean’s Council, Integrated Planning and the Research Advisory Group for discussion.	Mid-Feb 2015
6.	Final review by Provost and VPER and approval by executive Following the meetings, Provost and VPER finalize priorities to be approved by the President (through the Executive meeting of March 3, 2015)	3 Mar 2015
7.	Priorities presented to the Board of Governors. Priorities submitted to Board of Governors on 16 March 2015 for information at the end-March board meeting.	16 March 2015
8.	Detailed work plans are developed. Based on priorities, development staff finalize detailed fundraising work plans and goals.	To be completed by end-Mar 2015

Fundraising Projects Proposal – Submitted by

Project Name		Project Description			Proposed Priority Rating (A, B, C or D)
Project Fundraising Goal	2015-16 Goal	2016-17 Goal	2017-18 Goal	Future Years Goal	

1. Describe goals of the project and how it links to strategic, academic, research and/or capital plans

2. What are the impacts of this project on UVic, regionally, nationally, internationally?

3. Are you aware of similar or related projects at other post-secondary or research institutions? If Yes, how is this project different or complementary?

4. What resources (e.g., human and financial) are needed to carry out this project? What is the source(s) of these resources?

5. In addition to start-up costs, outline operating costs and sources to maintaining the project, if any.

6. Who are the internal and external champions that support this project?

7. Name specific donors that have been identified that may support this project. In addition to specific donors, are there other prospective donors that may be interested in supporting this project?

8. How will success/progress be measured, and can progress be reported to donors?

9. Additional comments/remarks