



## **BOV #39 (2020) General Fundraising and Solicitation**

**Policy Title:** General Fundraising and Solicitation  
**Policy Type:** Board of Visitors  
**Policy Number:** BOV #39  
**Approval Date:** March 19, 2021  
**Responsible Office:** Office of University Advancement  
**Responsible Executive:** Vice President for University Advancement  
**Applies to:** University Community

### **POLICY STATEMENT**

The Office of University Advancement is responsible for the general areas of fundraising and support, and serves as a liaison with the Norfolk State University Foundation for development activities. Responsibilities of the Office of University Advancement include collaborating with faculty, staff, students, Deans, Vice Presidents, campus units, the NSU Foundation, and other related foundations (NSU Alumni Association (NSUAA), NSU Research and Innovation (NSURIF), and NSU Athletic Foundation), interested in enhancing or developing fundraising initiatives to provide the logistical support and coordination necessary to execute appropriate fundraising activities.

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## **BOV #39 (2020) General Fundraising and Solicitation**

### **DEFINITIONS**

- Proposal: Any solicitation that is either written or verbal to an individual, corporation or foundation. Proposals must be entered onto the proposal screen in Raiser's Edge.
- Prospect: Any individual, corporation or foundation with the willingness and the capacity to give or direct donations to Norfolk State University.
- Cultivation: Building relationships, engaging prospects and preparing to make a charitable ask.

### **CONTACT(S)**

The Office of University Advancement officially interprets this policy. The Office of University Advancement is responsible for obtaining approval for any revisions as required by BOV Policy # 01 (2014) *Creating and Maintaining Policies* through the appropriate governance structures. Questions regarding this policy should be directed to the Office of University Advancement.

### **STAKEHOLDER(S)**

For the purposes of this policy, stakeholders include, but are not limited to the members of the University Community and those external constituents with a vested interest in Norfolk State University.

### **POLICY CONTENT**

#### **Introduction**

The Norfolk State University General Fundraising and Solicitation Policy has been developed for the purpose of ensuring that all fundraising programs meet university priorities by providing:

- 1) Direction to avoid solicitations that are inconsistent with the University's mission or are not in the best interest of the University.
- 2) Direction to prevent multiple fundraising efforts from different entities within the University toward the same prospect.
- 3) Complete and accurate reporting of gifts and pledges.
- 4) Guidance for compliance with IRS regulations and acceptable business practices.
- 5) Guidance for persons involved in gift solicitation, recording, and management for Norfolk State University.

The General Fundraising and Solicitation Policy applies to all Norfolk State groups engaged in the solicitation and/or stewardship of charitable funds including but not limited to all faculty, staff, students, student organizations, coaches, volunteers, university-related foundations, and all other parties raising funds on behalf of Norfolk State University.



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### **Purpose**

Norfolk State's Office of University Advancement works to advance the financial resources necessary to carry out the mission of the University. The office develops various programs that promote donor engagement while building support for the priorities set by the President and Board of Visitors.

Several departments within University Advancement work cohesively to support each of the schools and colleges of the University. The team includes leadership gift officers, annual giving, prospect research, gifts and record management, donor relations, alumni relations, and special events.

### **Responsibilities**

The responsibilities of each department or employee of the University in connection with any University fundraising efforts are as follows:

- 1) Development officers, department heads and other University representatives involved in cultivation and solicitation must follow procedural clearances for fundraising. For purposes of this policy, department head is defined as a divisional Vice President, the Provost (or designee), Athletic Director, and/or an Academic Dean. All development officers, deans, vice presidents, senior officers, and faculty who are so involved must:
  - Read and understand the General Fundraising and Solicitation Policy and related policies
  - Route all funding inquiries to University Advancement
  - Report and route all pledges, checks and other monies to University Advancement Development Services promptly (See Gift Recording Form-Appendix B)
  - Understand and use gift and pledge recording forms and systems
  - Understand and use prospect tracking systems to maintain accurate and timely prospect communication status and tracking (See Interactions Notes Form-Appendix D)
  
- 2) Schools, Centers, Institutes, Libraries, and other Academic Units:
  - Director, Department Head, or Dean to communicate the General Fundraising and Solicitation Policy and related policies to faculty and staff (an annual distribution is recommended) and ensure compliance of the policy
  - Follow guidelines and procedures set forth in the Norfolk State University Fundraising Policy



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- 3) University
  - Recommendations for fundraising, gift policies and acceptance are the responsibility of University Advancement
  - Final responsibility for acceptance of all gifts rests with the University President
- 4) Norfolk State University Foundation (NSUF)
  - Valuation of gifts of tangible and real property
  - Liquidation of appreciated assets
  - Retention of appropriate gift agreements and documentation
- 5) University Advancement
  - Gift recording, gift accounting and pledge documentation
  - The identification, cultivation, solicitation, and stewardship of charitable gifts to Norfolk State University and/or its affiliated foundation(s)
  - Managing the process of solicitations by staff, volunteers, faculty, and others in accordance with approved gift policies
  - Managing the solicitation process and receipt of gifts in consonance with approved University fundraising priorities
  - Recommendations regarding the minimum funding levels and naming opportunities
  - Updating appendices to the General Fundraising and Solicitation Policy as necessary

### **Procedures**

The Vice President for University Advancement and the NSU Foundation are responsible for development and implementation of procedures that are consistent with this policy.

Any request to undertake a fundraising program or to solicit private contributions should first be reviewed by the appropriate Department Head, Dean, or Vice President and then approved by the Office of the Vice President of University Advancement before any solicitation is made of a prospective donor. The request is made with the Solicitation Request Form (Appendix A) and should include the following elements:

1. Solicitor's contact information
2. Description of Project/Program
3. Budget
4. Fundraising goal or ask amount
5. Names and information for prospect(s)
6. Support needed from University Advancement
7. Sign off by the appropriate Department Head, Dean or Vice President



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The Office of University Advancement may provide the following support for approved fundraising programs, projects, or initiatives:

1. Research, training, guidance, and relevant materials to solicitors prior to contact with prospects
2. Identification of appropriate prospects(s) for the program or project; and with the formulation and implementation of an appropriate cultivation and solicitation strategy
3. Advancement professionals to participate in cultivation, solicitation, and stewardship visits/calls
4. Solicitation materials

The Office of University Advancement (in collaboration with Communications and Marketing) must approve all fundraising materials, including but not limited to pamphlets, brochures, posters, advertisements, letters, multi-media productions, etc. Brand uniformity and consistency is imperative as promotional materials are reflective of the image of Norfolk State University.

### **Individual or Group Solicitations**

All general or group solicitation of funds may not be undertaken by any school, broadcasting, athletic or academic department without the approval of the Vice President for University Advancement as set forth in the Norfolk State University General Fundraising and Solicitation Policy. In cases where the level of priority for a project is not clear, the Vice President for University Advancement or his/her designee will consult the Provost of the University and/or the appropriate Dean or divisional Vice President for clarification. Written approval is required using Solicitation Request Form (Appendix A).

Any approach outside of approved funding priorities, whether an individual, foundation, corporation, federation, association, or other donative/grant-making entities, must seek approval from the Vice President of University Advancement or his/her designated representative.

No fundraisers can be used on a public domain to promote a fundraising event without written approval from the Vice President for University Advancement. University Advancement will not authorize any fundraisers where affiliated funds are not directly dispersed from the donor to the NSU Foundation. Norfolk State University is not responsible for any personal fundraisers. Any such external fundraisers publicly promoted on behalf of the University are subject to legal ramifications. Written approval can be requested using Solicitation Request Form (Appendix A).

### **Gift Recording Policies**

To establish a gift there must be a total and irrevocable transfer of an asset. It is the expectation of Norfolk State University that every gift, since there is a transfer of an asset, will have a written acknowledgment issued by Development Services and Stewardship. Norfolk State University's



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Development Services and Stewardship will not make commitments to donors regarding tax reporting, preparation, or the determination of the value of gifts. All gifts, pledges, and bequest distributions to Norfolk State University will be recorded in compliance with IRS regulations and acceptable accounting practices. The process is reviewed periodically by the Vice President of University Advancement or by his/her designate.

### **Gift Acceptance Guidelines**

Restricted gifts should include language providing Norfolk State University with reasonable flexibility:

#### *Example*

“If at any time the Board of Visitors of Norfolk State University or the Board of Directors of the Norfolk State University Foundation determines that distributions from this fund are no longer appropriate for the purpose described in this Agreement, the Board(s) may use the distributions for such purposes as in its opinion will best further the objectives and welfare of Norfolk State University, bearing in mind the desires of the Donor as expressed in this Agreement.”

- Irrevocable gifts, such as trusts, managed by entities such as a bank or foundation outside of Norfolk State University will be accepted and valued in the same way as other gifts to the Norfolk State University Foundation. Such gifts will appear **once only** in the standard monthly reporting by the advancement office.
- No gift will be accepted that would constitute an undue burden on the University. It is the responsibility of development officers, and other University representatives involved in fundraising initiatives, to work in coordination with the offices of the Provost, Financial Aid, and Finance and Administration to meet this standard. University Advancement will attempt to reach resolution with a given donor, but gifts with the implication of imposing a burden on the University will be carefully examined, and those that cannot be resolved will be referred to the Gift Acceptance Committee for resolution. Examples of gifts that could impose an undue burden on the University include, but are not limited to:
  - Gifts of unmarketable securities;
  - Tangible property with restrictions on its use;
  - “Matching” requirements;
  - Commitment to continue a project after a gift has been terminated or exhausted;
  - Gifts toward construction projects that do not permit the University to fully fund the project, including planning design, construction, FF&E (furniture, fixtures and equipment), and ongoing maintenance and repairs;
  - Establishment of a permanent, interest-bearing (endowed) fund when the gift amount is not sufficient to carry out its specified purpose;



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- To finance and/or administer a project outside the routine functions of the University or outside its mission;
- Certain gifts of real estate
  
- Gifts that direct academic decision-making and are valued at \$1 million or more and impose a new obligation on Norfolk State University must be reviewed and accepted by the Vice President for University Advancement. The major gift officer or department head are required to submit the Special Gift Acceptance Form (Appendix C) to University Advancement for documentation of the philanthropic gift.

### **EDUCATION AND COMPLIANCE**

The Office of University Advancement will annually review and update the General Fundraising and Solicitation Policy and carry out appropriate actions to ensure compliance within the department. University Advancement staff affiliated with development services and fundraising will be required to participate in a mandatory training to review the General Fundraising and Solicitation Policy via in person meeting or Zoom. Participants are required to sign a NSU General Fundraising and Solicitation Policy Acknowledgment Form that will be kept on file by their respective supervisor.

As necessary, the Office of University Advancement will educate and train all University department heads and appropriate audiences on the General Fundraising and Solicitation policy's content using virtual or face to face learning sessions.

Policy Compliance and Violations:

The Office of University Advancement will ensure conformity of the requirements of this policy. Violations of this policy will be reported to and addressed by the Vice President of University Advancement annually.

### **PUBLICATION**

This Policy shall be widely published or distributed to the University community. To ensure timely publication and distribution thereof, the Responsible Office shall make every effort to:

- Communicate the policy in writing, electronically or otherwise, to the University community within 14 days of Board approval;
- Submit the Policy for inclusion in the online Policy Library within 14 days of Board approval;



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- Post the Policy on the Board's Website; and
- Direct appropriate offices to educate and train all stakeholders and appropriate audiences on the Policy's content, as necessary.

Failure to satisfy procedural requirements does not invalidate this Policy.

### **REVIEW SCHEDULE**

- Next Scheduled Review: 02/11/2024
- Approval by, date: Board of Visitors, 03/19/2021
- Revision History: 5/20/2014
- Supersedes: 51-002 University Policy on General Fundraising and Solicitation

### **RELATED DOCUMENTS**

There are no related documents associated with this policy.

### **FORMS**

See Appendix





**Solicitation Request Form Appendix A**

Department: \_\_\_\_\_ Date: \_\_\_\_\_

Lead Solicitor: \_\_\_\_\_ Title: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Description of the Project/Program/Fundraiser/Solicitation: \_\_\_\_\_

\_\_\_\_\_

Program Budget: \_\_\_\_\_

Prospect Name (individual, corporation or foundation): \_\_\_\_\_

Solicitation Request Amount: \_\_\_\_\_

Government grant:  Yes  No

Support needed from University Advancement:      Yes      No

If yes, in what capacity (please check the following that apply):

	Research, training, guidance and relevant materials to solicitors prior to contact with prospects.
	Identification of appropriate prospect(s) for the program or project; formulation and implementation of appropriate cultivation and solicitation strategy.
	Advancement professionals to participate in cultivation, solicitation, and stewardship calls and visits.
	Review and suggestions for solicitation materials.

\_\_\_\_\_  
Department Head/Dean/Vice President Name (Print)

\_\_\_\_\_  
Department Head/Dean/Vice President Name (Signature)

\_\_\_\_\_  
Date

\_\_\_\_\_  
University Advancement (Signature)

\_\_\_\_\_  
Date



## Gift Recording Form Appendix B

Please complete this form when submitting any gifts to University Advancement

Name of person submitting gift: \_\_\_\_\_

Email: \_\_\_\_\_

Department: \_\_\_\_\_

Date Received from Donor: \_\_\_\_\_

Gift type:  Cash     Check     Credit Card     Other: \_\_\_\_\_

Donor Name: \_\_\_\_\_

Donor Address: \_\_\_\_\_

Gift Amount: \_\_\_\_\_

Gift Designation: \_\_\_\_\_

\*All donors will be recognized for their gift based on the date the gift was made and the agreement for the total pledge amount.

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Received by UA: \_\_\_\_\_

Date: \_\_\_\_\_



## Special Gift Acceptance Form Appendix C

Department: \_\_\_\_\_

Date: \_\_\_\_\_

Lead Solicitor: \_\_\_\_\_

Title: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

- 
- This gift will impact the direction of academic decision-making policies
  - This gift is equal to or greater than one-million dollars and will impose a new obligation on Norfolk State University

Donor Name: \_\_\_\_\_

Donor Address: \_\_\_\_\_

Gift Amount: \_\_\_\_\_

Gift Date: \_\_\_\_\_

Terms and Conditions of gift acceptance and any University impact: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Department Head/Dean/Vice President Name (Print)

\_\_\_\_\_  
Department Head/Dean/Vice President Name (Signature)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Vice President of University Advancement or his/her designee (Signature)

\_\_\_\_\_  
Date



## Norfolk State University

### Donor/Prospect Interaction Notes - Appendix D

(All interactions with current and potential donors must be documented)

**Call / Meeting** (circle one) with: Dr./Mr./Mrs./Ms. \_\_\_\_\_

of: \_\_\_\_\_ Date: \_\_\_\_\_

Faculty/Staff Contact: \_\_\_\_\_

#### Call/Meeting Purpose:

- 

#### Call/Meeting Notes:

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Follow up action required: \_\_\_\_\_

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