Policy Framework for Anyone Undertaking Fundraising Activities
At McMaster University

The *McMaster University Statement on Donations* clearly states: “McMaster University is grateful for the generous support from private donors – individuals, corporations, foundations and friends of the University, who help support our mission.” McMaster University is committed to maintaining the integrity of our longstanding relationships with our donors, and has put a number of practices in place to meet this objective, including the endorsement of the “McMaster Accountability Statement to Our Donors” by the University Board of Governors which is included below:

At McMaster, philanthropy is a tradition of giving and sharing that is integral to the maintenance and enhancement of the quality of education both today and in the future. To ensure that McMaster University, as a vehicle for donors’ philanthropy, merits the respect, trust and confidence of the University’s alumni and friends, we declare that all donors and prospective donors have the following rights:

1. To be fully informed, upon request, of McMaster’s mission and vision, and the way in which the gift will become an integral part of fulfilling both the mission and vision while also meeting the intent of the donor.
2. To be fully advised, upon request, of the membership of the various boards and committees which govern McMaster and to expect the Board of Governors to exercise prudent judgment in its stewardship responsibilities.
3. To be provided with, upon request, a copy of McMaster’s most recent annual report, financial statements and investment policies as approved by the Board of Governors.
4. To be assured that their donations and all forms of charitable gifts are used effectively for the purposes as specified by the donor, or, where such purposes are no longer practicable or appropriate, that the University promises to use the gift in a manner consonant with the intention of the donor and the spirit in which the gift was given.
5. To be given appropriate acknowledgement and recognition for their generosity.
6. To expect that their request for anonymity is strictly observed.
7. To expect that all information about their donation or intended donation is handled with professionalism, respect and confidentiality and in a manner equal to and ideally, above that required by law.
8. To be provided with prompt, truthful and forthright answers about any aspect of their gift.
9. To be informed whether those seeking donations are volunteers or employees of McMaster University.
10. To have the opportunity for their names to be removed from mailing lists that the University may intend to share.
The intent of this document is to highlight all applicable policies and practices for anyone carrying out fundraising activity on behalf of McMaster University. Specifically, this document should serve as a reference for all outside of the formal University Advancement team who carry out fundraising activity for a specific faculty or department.

**University Policies that apply:**
The following policies have been approved by the University Board of Governors and provide clarity and directions on integral fundraising processes. These policies are updated regularly and all individuals involved in fundraising activity on behalf of McMaster must adhere to them.

**Clearance Policy:**
The purpose of a Clearance Policy is to optimize and ensure the coordination of McMaster’s fundraising efforts by ensuring that asks are made to donors that will ensure the most appropriate match of donor interests and University priorities, and maximize their giving to the University. This includes any University events related to fundraising. A series of uncoordinated asks to the same donor by different individuals in a single institution is the most undermining threat to successful donor-centred fundraising. The Clearance Policy protects against this problem. The policy can be found here.

**Gift Acceptance Policy:**
This policy has been established to guide decisions about the acceptability of gifts and to outline the types of gifts that McMaster University will and will not accept. The policy can be found here.

**Charitable Giving Policy:**
This policy outlines the processes and responsibilities for all fundraising activity at McMaster University, including fundraising priorities and adherence to Canada Revenue Agency guidelines with respect to charitable giving. The policy can be found here.

**Naming Policy:**
The naming of physical space and academic entities is a well-established custom at McMaster University. Naming provides meaningful opportunities for the recognition of outstanding contributions by those who serve as inspiration for future generations of students, graduates and members of the McMaster community. This policy governs naming opportunities at McMaster University. In addition, naming thresholds are in place and must be adhered to when discussion recognition with donors. The policy can be found here.

**Execution of Instruments Policy:**
The purpose of this policy is to designate clearly which persons are authorized to sign deeds, transfers, assignments, contracts, obligations, agreements or documents on behalf of the University upon approval by the appropriate body or official of the University. These include all documents related to the University receiving money, to the purchase or lease of goods and services and to agreements having no financial commitment. As per the policy, the Vice President, University Advancement needs to sign off on the documentation. The policy can be found here. (see page 8, section D)
**Fundraiser Principles:**
Individuals carrying out fundraising activity at McMaster play a role as ambassadors for the University, and the following principles should guide their behavior:

1. As a key member of the University’s advancement team, fundraisers are asked to make a positive commitment to University Advancement’s **mission, vision and values & principles.** (see Appendix 1)

2. As an important member of the advancement team, fundraisers are expected to make a significant contribution towards achieving University Advancement’s Key Success Factors. (see Appendix 1)

3. Fundraisers are an essential part of the larger University advancement team and will need to coordinate their activities so as to maximize department results and support University Advancement’s goal to be the best Advancement operation in the industry.

4. Fundraisers, as representatives of the University, are expected to conduct themselves in ways that reflect positively on their Department, University Advancement and McMaster University as a whole.

5. As University professionals, fundraisers are expected to work collaboratively with the University Advancement team to increase the level of participation and giving from alumni, students, faculty, staff and friends of McMaster University.

6. As University professionals, fundraisers are expected to adhere to McMaster University and University Advancement policies, procedures and accepted practices.

7. As University professionals, fundraisers are expected to stay current on trends and best practices regarding the Advancement profession.

The following forms are required to be signed and returned to Trish Chant-Sehl, Director of Administration for University Advancement (Gilmour Hall 205, ext. 20893) by anyone undertaking fundraising activities:

- Secure Handling of Credit Card Information
- UA Confidentiality
- UA Consulting/Freelance
- Attestation of the **Policy Framework for Anyone Undertaking Fundraising Activities at McMaster University**

These forms provide protection for both the employee/volunteer and the University, and reinforce the institutional value placed on confidentiality and integrity, and can be downloaded from our website at: [http://alumni.os.mcmaster.ca/s/1439/index2.aspx?sid=1439&gid=1&pgid=922](http://alumni.os.mcmaster.ca/s/1439/index2.aspx?sid=1439&gid=1&pgid=922)
Steps Toward Soliciting a Gift/Sponsorship:

1. Complete and submit potential donor (prospect) form which has been signed by a senior academic officer.
   a. Wait for clearance approval prior to proceeding to contact the prospect/potential donor.

2. Keep a record of any contact with donors/prospects.
   a. This includes telephone calls, emails, letters, personal visits, etc.
   b. Following every personal visit or gift ask, submit via email, a contact report (template attached) to the academic leader; Mary Williams, Vice President, University Advancement; and the appropriate UA contact.

3. Proposals:
   a. For gifts of $50,000 or higher, the “Guidelines for McMaster University Philanthropic Proposals over $50,000” must be followed. Please contact Andrea Farquhar, AVP, Public and Government Relations at ext. 23658, for further information on this process.

4. Gift acceptance and documentation:
   a. Prior to accepting a gift to McMaster University, please ensure it complies with the Gift Acceptance policy; if there are any questions ensure you contact a member of the central UA team for clarification. Please contact the team in Advancement Services at ext. 24576.
   b. Some gifts may require other forms of gift documentation, such as a gift agreement. Please contact Susan Rankin, Director Stewardship & Donor Relations at ext. 27666, to enquire about any additional requirements.
UNIVERSITY ADVANCEMENT:

Vision

To ensure McMaster University has the resources and reputation to attract, develop and retain the best students, staff and faculty, enabling the University to achieve its mission.

Mission

University Advancement is accountable for creating a dynamic environment for strong public support and private support for McMaster University through an innovative and integrated program for the University community, our alumni and the public.

Values & Principles

To guide our work in pursuit of achieving our vision and mission, University Advancement has adopted key values and principles. They are:

- Integrity
- Quality
- Respect
- Service
- Strategy
- Teamwork

Key Success Factors

University Advancement contributes to McMaster’s vision of international distinction for creativity, innovation and excellence through integrated, ethical, and responsive advancement programs that nurture and sustain strong relationships within and beyond the University.

Our key success factors guide our activities and represent the goals against which we measure our accomplishments. We support the pursuit of knowledge by:

- **Enhancing McMaster’s reputation for excellence** – through outstanding media and alumni relations, communications, marketing, government relations and stewardship

- **Fostering effective external and internal relationships** – through strong partnerships and effective government, community and alumni relations, and through strong and successful programs, events and services, locally, nationally and internationally

- **Expanding and stewarding public and private support** – through a comprehensive range of development programs for domestic and international donors, that achieve an annual goal of $21.5 million in new revenue and $6 million in gift expectancies