

## **Approval of Projects and Programs Involving Development Office Fundraising June 2010**

Princeton encourages faculty and senior staff to pursue new initiatives and opportunities that will advance the quality of instruction, enhance intellectual resources, and/or contribute to knowledge. Such projects may require funding beyond what is available through the University budget. To support external funding efforts, the University will review and prioritize projects, and, in many cases, assist in their success by making available the resources of Princeton's Development Office.

This document describes the process by which projects and programs targeted to individual and institutional donors are prioritized, and the corresponding levels of support fundraising efforts will receive.<sup>1</sup> The process's main purpose is to ensure that externally funded initiatives are of high quality and serve the University's mission. It also ensures that the University's fundraising resources are allocated in the most effective way possible and that requests to potential donors bear the University's endorsement.

Directors of programs or departments wishing to undertake a program-related fundraising project should prepare an initial proposal to be submitted to the Provost or Executive Vice President for review and prioritization in relation to the University's mission.<sup>2</sup> Proposals affecting the University's academic programs must be approved by the Academic Planning Group before being considered for fundraising approval. The following are guidelines for submitting fundraising proposals for review and prioritization.

Proposals should be brief (no more than three pages) and include the following information:

- 1. Department/Program:** Name of department/program submitting proposal.
- 2. Internal Sponsor:** Name of faculty member or administrator who will serve as project sponsor/principal investigator and work with the Office of Development.
- 3. Project Description/Objectives:** Describe the project's main components and objectives, explain what distinguishes this project from others at Princeton or elsewhere, and explain how the project will be evaluated. Identify key faculty or senior staff involved in the project.
- 4. Resources Needed/Project Budget:** Describe the resources needed to accomplish project objectives, and provide a project budget, including the type of support sought (i.e., term funds, endowment funds, capital needs) for each component.

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<sup>1</sup> Please note that sponsored research proposals to government agencies are not subject to the process described in this document and should be submitted to the Office of Research Project Administration (ORPA). Proposals to corporations and foundations that involve contractual agreements, deliverables, or sub-contracts to non-Princeton entities, or include overhead or intellectual property rights need to be sent to ORPA for compliance review and processed through the COEUS system and also sent to the Office of Corporate and Foundation Relations (CFR) for relationship management of the institutional donor and for stewardship and grant management activities. All other proposals to corporations and foundations should be submitted through CFR. Where fundraising will include term funding, the Office of Development and CFR may need to coordinate their efforts. See: <http://www.princeton.edu/main/research/dean/> for more information.

<sup>2</sup> Programs from academic departments or direct reports to the Provost should submit proposals to the Provost. Programs from non-academic departments or direct reports to the Executive Vice President should submit proposals to the Executive Vice President.

**5. Internal Project Support:** Identify any funding available for the project from within the program, department, or elsewhere within the University, and provide appropriate evidence of such support (e.g., letter from department chair).

**6. External Funding Sources:** If possible, identify any prospective external donor(s) who are likely funders of the project (do not approach these sources until review and prioritization are complete).

**7. Project Timetable:** Provide the estimated start and completion dates for the project.

The Provost, Vice President for Finance and Treasurer, Executive Vice President, and Vice President for Development will review proposals and seek advice from other interested parties as appropriate. Based upon this review, a recommendation as to priority and feasibility will be made to the President. The President's decision regarding the fundraising priority of the proposed project will be communicated to the principal investigator, department chair, dean, program director, the Development Office, and others.

The following fundraising priority categories describe the levels of support the University and the Office of Development generally provide to fundraising initiatives sponsored by Princeton administrators, faculty, or groups:

**High Priority:** The program or project is of the highest importance to the University.

- ***Full development effort:*** The Office of Development will provide dedicated prospect research and strategy as well as staff consulting and travel. Development will also develop marketing materials for the program or project and will support faculty and volunteer participation in the fundraising effort.
- ***Prospective donors:*** all University capital gift prospects.

**Opportunity:** The University has determined that active, centrally managed fundraising for the program or project is not appropriate, although departmental or program level fundraising activities are encouraged.

- ***Selective development effort:*** The Office of Development may approve or encourage an approach to particular prospects because of their special interest in the program or project. The Office of Development must be kept informed of all fundraising activity and all approaches must be cleared in advance with the project manager in the Office of Development; no prospects may be approached who are prospects for higher priority needs.
- ***Prospective donors:*** usually a special-interest constituency of non-alumni donors; often a foundation or corporate prospect with interests that do not overlap with higher priority projects.

**Under Study:** The University is reviewing whether the program or project is consistent with current University academic planning priorities. Until approved, fundraising for the activity is discouraged.

- ***Development effort:*** The Office of Development will provide no substantive fundraising consulting or assistance until the program or project is approved.
- ***Prospective donors:*** none.

The fundraising priority level that is assigned to a proposal does not ensure its success. Rather, success will depend upon the project's marketability and feasibility, the donor resources identified, and other factors. For additional information, contact Laurie Russen, Associate Director of Development Priorities, at 8-5374, or [lrussen@princeton.edu](mailto:lrussen@princeton.edu).

## FUNDRAISING REVIEW FOR PROGRAMS

**Proposal:**

Submit to Provost or Executive Vice President\* for preliminary vetting and discussion among Provost, Vice President for Finance and Treasurer, Executive Vice President, and Vice President for Development



**Review/Recommendation:**

Program Review as needed



**Decision and Priority:**

President  
Provost  
Vice President for Finance and Treasurer  
Executive Vice President  
Vice President for Development



**Communication:**

Principal Investigator  
Chair/Dean/Program  
Director  
Office of Development  
Others as needed

\* Programs from academic departments or direct reports to the Provost should submit proposals to the Provost. Programs from non-academic departments or direct reports to the Executive Vice President should submit proposals to the Executive Vice President.