DEVELOPMENT AND FUNDRAISING POLICY

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Development and Fundraising Policy

1 Preamble

As a pre-eminent university in Africa, driven by the pursuit of knowledge and innovation, with a unique institutional culture based upon the values the University espouses, the North-West University (NWU) has adopted this Development and Fundraising Policy on 18 September 2015.
This policy replaces any previous versions of a policy on this topic that may have been in existence at this university or any of its campuses in the past.

2 Purpose

The Development and Fundraising Policy aims at integrating this university's Development Strategy into a unified approach that facilitates collaboration and cooperation between internal stakeholders within an NWU fit-for-purpose fundraising model. This policy stipulates the minimum requirements for the NWU to meet professional standards in an increasingly competitive economic and funding environment in order to contribute to the strategic advancement of the NWU as a leading institution of higher education.

3 Scope of Application

This policy applies to all campuses, faculties, departments, units, centres, structures, staff, students and alumni of the NWU, but aims at regulating the generation of funds through donations and/or sponsorships income only. It henceforth does not apply to mandated agency funds, such as those funds, research grants or income contracts generated by agreements entered into with, for instance, the National Research Foundation (NRF), the Council for Scientific & Industrial Research (CSIR), the Department of Science & Technology (DST), etc.

The main NWU structure in overseeing the implementation of this policy and its accompanying guidelines is the Development & Alumni Relations Office at Institutional Advancement (IA).

4 Definitions

4.1 Development

The term Development is herein used within the context of the advancement of HE institutions. In line with best practice standards, the term is internationally recognised to represent the discipline or professional practice that focuses on mobilising resources for a university, regardless of what format such resources might take. It is therefore a synonym for the term "fundraising" and should not be interpreted to mean the growth, expansion or development of an individual, group, organisation or community as is generally used in either lay terminology or in other academic disciplines.

4.2 undraising Income

Fundraising income refers to income that is generated for the benefit of the NWU, other than the income that is obtained by means of government subsidies and student fees. Such income is most often generated through raising philanthropic donations and/or sponsorships, obtaining Broad-based Black Economic Empowerment (BBBEE) compliance or partnership funding, as well as by mobilising resources (in whatever form – cash, investments, services or goods in kind) in line with the resource needs and requirements of the NWU, but excludes investment funding for commercialisation and contract research income.

4.3 Donations and Sponsorships

Donations and sponsorships are differentiated between with regard to whether the funder requires a counter performance, such as a negotiated and agreed-upon level of advertising exposure (as in the case of sponsorships, which then does not qualify for an official tax exemption certificate) or where no counter performance is expected, as in the case of a philanthropic donation (and in which instance the donor does qualify for an 18A Tax Certificate).

4.4 Technology Transfer and Innovation Support Services Grants

Innovation, in the context of fundraising, refers to the advancement, encouragement and deployment into new business ventures of new business and technology ideas by employees or students of the NWU, and more specifically fundraising for such ideas and ventures from private industry in the form of grants, donations or Corporate Social Investment (CSI) spend.

4.5 Commercialisation Funding

Commercialisation, in the context of fundraising, means the exploitation of the NWU's intellectual property base by creating and incubating spin-off or spin-out businesses, and more specifically fundraising for such companies from private industry in the form of grants or donations. It may also include funding for an ideation or pre-incubation stage.

4.6 Engagement Income

The NWU follows an integrated approach to community engagement activities, for which funding is solicited from a variety of sources, such as philanthropic donations or CSI grants and which is allocated to be utilised for the purpose of engaged research, engaged teaching or for outreach initiatives. Such community engagement undertakings are always based on the principles of mutual benefit (that is, for the community and the University) and sustainable development (that is, not promoting dependency on the NWU).

Engagement income also includes income that is generated through the submission of NWU proposals in response to calls for proposals from the National Lotteries Commission (NLC). Such applications are centrally coordinated by the Engagement Office, and members of staff/students of the NWU are not allowed to submit individual/competing applications to the NLC.

5 Policy Statement

5.1 Rationale

It is in the best interest of the NWU for all role players to comply with the Development and Fundraising Policy that aims to facilitate the implementation of an integrated Development Strategy for the NWU as an institution. This policy is based on a number of principles that underpin the advancement of the NWU among all its internal and external stakeholders, while the rules and guidelines relevant to the policy aim to ensure that the NWU meets best practice standards in the HE sector. Ultimately, this policy regulates the solicitation of funding through generating a variety of fundraising income in order to meet the multiple needs of this institution, in accordance with the strategic priorities of its Institutional Plan (IP).

This policy particularly aims at clarifying the various roles and responsibilities of role players on institutional and campus-based levels in the generation, utilisation and reporting of such funding. It also provides a description of the NWU fit-for-purpose fundraising model, differentiates between the respective levels of fundraising projects and explains the processes for coordinating all NWU Development activities. While the rules relevant to this policy (contained in Addendum 1) explain each of the elements in the cycle of managing fundraising income, along with clarifying the relationships between the NWU and its benefactors, a set of guidelines are also provided to facilitate the construction of funding proposals (attached as Addendum 2).

5.2 General Principles

The following principles underpin the NWU Development and Fundraising Policy:
- **An Integrated Development Approach**: The NWU implements an integrated, holistic approach to the solicitation of funding for the NWU, aimed at optimising the generation and professional management of fundraising income by all relevant stakeholders within the institution. Such an approach serves to avoid duplication/confusion and prevents the risk of causing donor fatigue. It encourages close internal collaboration and efficient administration, and facilitates optimal stewardship of donor relations.
- **Strategic Advancement of the NWU**: The NWU Development Strategy advances the NWU and its wide variety of initiatives in a unified manner and to this end funding priorities are deduced from the NWU's IP. Accordingly, each campus designs and implements a Campus-based Development Strategy directly aligned with the priority focus areas of the respective Campus Plans (CPs).
- **Mandatory Project Registration and Approval**: No one is allowed to raise funding on behalf of the NWU without first registering the intended initiative/project with the relevant structure and obtaining approval to proceed.
- **Exemplary Proposal writing and Consistent Branding**: All project funding proposals that are to be submitted to prospective donors are drafted in accordance with a set of minimum requirements as contained in the NWU Proposal writing Guidelines and all funding applications are required to adhere to the stipulated NWU branding protocols.

- **Intelligent Prospect Research and Partnership Alignment**: The NWU prospect research approach takes into consideration the fact that both existing and potential donors might already have a multitude of relationships or interactions at various levels within the NWU. Furthermore, internal collaboration and frequent communication are essential elements to maximising donor support in a coherent manner. The IA Development & AR Office maintains the relevant, up-to-date donor information on a centralised database.
- **Leadership and the Solicitation of Funding/Acceptance of Unsolicited Gifts**: The solicitation of funding only takes place after consultation with the relevant structure. For Institutional Projects, the VC is considered to be the lead fundraiser, supported by the IA Development & AR Office. In the event of Campus-based Projects, the solicitation of funding for prioritised/approved projects is undertaken by the respective Campus Rectors and Campus Management teams, in collaboration with the relevant project leaders and the campus fundraising structures (including the Director: Marketing & Communication and the CFC). Unsolicited donations to the University are first considered by the relevant management structure before accepting the grant, and these structures may, at their discretion, decline to accept and consequently return a donation (in instances where, for example, the acceptance thereof might create a reputational risk for the institution).
- **Grant Agreements and Legal Compliance**: Only members of IM and Extended Campus Management teams are entitled to negotiate and enter into grant agreements. All memoranda of agreement or proposed funding contracts are first referred to the NWU Institutional Legal Services for advice and for designating the appropriate authority to sign the agreement in terms of the authorisation levels approved by Council.
- **Prompt Receipting, Formal Acknowledgement and Tax Certification**: All gifts to the NWU are promptly acknowledged and a formal receipt is issued without delay, while all monetary donations are deposited into a limited number of nominated NWU bank accounts only. Upon verification of the funds having been received, an 18A Tax Certificate is issued – the issuing of which is a centralised function that is undertaken by the Development Office in a prescribed format. Thereafter, the funds are transferred to the relevant cost centre.
- **Responsible Reporting and Accountability for Managing Funds**: Providing feedback to funders is considered an important aspect of meeting the NWU's contractually agreed funding obligations and of the professional nurturing of sustainable donor relations. Constructing the actual reports in accordance with the funder requirements and their timeous submission is the primary responsibility of each project leader. Likewise, project leaders are responsible and accountable for the actual implementation, monitoring and expenditure control, as well as for reporting of their funded projects. They are also directly liable for the consequences of any mismanagement of funds under their supervision.
- **Mutually Beneficial Stewardship Functions**: Building and maintaining excellent donor relations is considered to be a cornerstone of the NWU Development Strategy. The NWU's approach to stewardship encompasses three elements: formal acknowledgement, providing recognition and that of nurturing long-term, mutually beneficial relationships. In addition, public recognition is commensurate with the size or level of each grant. Once per annum, an NWU Donor Development Report is published by the Development Office, providing public recognition to the benefactors of the NWU, as well as promoting some of this institution's output/impact within its targeted and wider communities.
- **Negotiating Benefactor Naming Rights**: With regard to naming rights, each application is considered by the NWU on its own merits and at the sole discretion of IM, as stipulated by the relevant NWU Policy on Naming Rights. In general, naming rights of either physical or academic entities are reserved for the recognition of substantive financial contributions to the University – typically involving donations to the institution over an extended period of time.
- **NWU Development Database Management and Coherent Coordination of Development**: The NWU Development activities are recorded and managed on an integrated database, which is maintained and updated by the IA Development & AR Office, AC and the respective CFFs, while the integration of all Development activities is primarily facilitated through the synergising processes and reporting of the CFFs to AC, which in turn provides feedback to the BMC and IM committee meetings.

5.3 The NWU Fit-for-Purpose Fundraising Model

This NWU fundraising model takes into consideration the complexities of a large institution that is required to function in an integrated manner, simultaneously operating at institutional and campus levels. To this end, the fundraising approach is designed as a fit-for-purpose model that suits the unique requirements of the NWU as a whole, while synergising the various fundraising attempts in alignment with the institution's overall strategy or IP.

5.3.1 Internal Stakeholders

The following stakeholders jointly fulfil an important role in implementing the Development function at the NWU:

- the Vice-Chancellor (VC) – in person as lead fundraiser, along with the Office of the VC
- IA: Development and Alumni Relations Office
- Campus Rectors and Campus Management teams
- Marketing & Communications Directors at campuses
- Campus-based Fundraising Coordinators and Alumni Officers
- Faculty-based project leaders at each campus
- Campus-based student representative bodies (such as SRCs)
- IO: Research, Innovation and Technology
- the NWU Community Development Trust (NWU CDT)
- IO: Community Engagement Office
- The Technology Transfer and Innovation Support Services Office (TTIS)
- IO: Finance Department
- IO: International Office
- NWU Board of Donors
- NWU Alumni Association and Executive Committee of the Convocation.

5.3.2 Beneficiaries of the NWU Fundraising Model

The beneficiaries of this important function at the NWU include:

- the various academic, research and outreach projects that are funded by benefactors
- the project leaders and their students
- end beneficiaries in communities/communities of interest where projects or development initiatives are implemented
- the sponsors and funders who make grants to the NWU
- the NWU as an institution, both in terms of its financial and sustainability gains, as well as with regard to advancing the institution and its reputation as a leading HE institution.

5.4 Differentiation between Two Levels of Projects

The fundraising model differentiates as follows between two levels of projects that are undertaken by the NWU:

5.4.1 Institutional Projects

The following Institutional Projects are the responsibility of the IA Development & AR Office, supported by the NWU CDT, the Community Engagement Office and the TTIS Office:

- **Endowment-building** – facilitated mainly through mechanisms such as a bequests programme, undesignated endowment gifts, student affinity cards, alumni giving, etc.
- **Institutional Flagship Projects** – institution-wide, major (or so-called "flagship") projects that have been prioritised as NWU projects, directly aligned with the NWU's IP and its concurrent resource requirements.
- **Institution-wide Engagement Projects** – sustainable development initiatives, engagement services and community development projects such as those facilitated by the NWU CDT that have a triple bottom line impact (supported by research activities) and that involve or benefit all three campuses and their respective beneficiaries.
- **Institutional Technology Transfer & Innovation/Commercialisation Projects** – initiatives by the Institutional TTIS Office to promote commercialisation and innovation, such as the establishment, incubation and provision of fund-seeking assistance for internal corporate ventures, spin-off or spin-out enterprises.

5.4.2 Campus-based Projects

The following Campus-based Projects are the responsibility of campus-based fundraising structures:

- **Prioritised and Approved Campus-specific Projects** – those initiatives that have been approved by the Campus Fundraising Forums (CFFs)/Campus Management and which are directly in line with campus operational strategies and priorities, thus qualifying to receive the support services of the Campus Fundraising Coordinators (CFCs).
- **Individual/Departmental Projects** – those projects registered with the CFFs, but not deemed to be prioritised and for which campus-based project leaders themselves are responsible (without direct support or resources being provided by the CFCs).
- **Student-initiated Projects** – internal/campus-focused or community-directed initiatives or projects at each campus for which the student body or their representatives take responsibility directly (and that still need to be registered with the CFFs, but without receiving direct support from the campus-based fundraising structures).

- **Faculty Technology Transfer, Innovation Support and Commercialisation Projects** – initiatives by campus and faculty innovation structures to promote commercialisation and innovation, such as the establishment, incubation and provision of fund-seeking assistance for internal corporate ventures, spin-off enterprises or student-owned enterprises.

5.5 Role Differentiation: Institutional Advancement and Campus-based Fundraising Structures

In general, the roles of the IA Development & Alumni Relations Office and the campus-based fundraising structures are distinguished as follows:

5.5.1 IA Development & Alumni Relations

The IA Development & AR Office is responsible for the design of an integrated NWU Development & AR Strategy in line with the NWU's IP; the implementation of fundraising activities related to NWU Institutional Projects; the development of policies/internal systems and ensuring institutional compliance thereto; provision of institutional guidelines and specialised services (such as those of prospect research and proposal writing skills) to relevant projects; centralised grant receipting and issuing of taxation certificates; fundraising aimed at institutional endowment-building, mobilising resources for institutional flagship projects, institution-wide engagement and technology transfer/innovation support/ commercialisation projects (in collaboration with the NWU CDT and TTIS); monitoring progress and reporting to donors on these funded initiatives; implementing institutional or major donor recognition/stewardship activities and facilitating the coordination and integration of all Development and AR processes.

5.5.2 Campus-based Fundraising Structures

The Campus-based fundraising structures are responsible for the implementation of NWU Development policies, strategies and guidelines; design of Campus-based Development & AR Strategies in line with Campus Plans (CPs); the implementation of fundraising activities related to Campus-based Projects; the provision of fundraising services (such as prospect research and proposal writing skills) to campus-based project leaders; fundraising for prioritised/approved campus-based projects; registration of individual/departmental, student-initiated and faculty-based technology transfer/innovation support & commercialisation projects; monitoring progress, reporting to donors and managing these donor relations; coordination of all campus-based Development and AR giving activities, as well as participating in the relevant institutional coordinating structures.

In both instances, the actual project leaders are directly involved in the varied activities of these respective processes.

5.6 Coordination and Integration of NWU Development Activities

Coordination of these two levels is facilitated through the following mechanisms:

At campus level, the coordination is facilitated by the CFFs, which at institutional level feed into the monthly Advancement Committee (AC) meetings, which in turn feed into the Branding Marketing and Communication Committee (BMC) and IM committee meetings.

In addition, all structures are required to implement and to enforce the NWU Development and Fundraising Policy and its associated guidelines.

6 Rules

The rules regulating the specific aspects of the Development and Fundraising Policy are attached to this policy as **Addendum 1**. The rules relate to the practical aspects of the following Development processes:

6.1   Design of an Integrated NWU Development Strategy
6.2   Registration of Projects
6.3   Structuring of Funding Proposals and NWU Branding Requirements
6.4   Conducting Prospect Research
6.5   Solicitation of Funding
6.6   Entering into Grant Agreements
6.7   Receipting Grants and their Tax Certification
6.8   Compliance with Reporting Requirements and the Monitoring of Funded Projects
6.9   Providing Donor Recognition, Undertaking Stewardship Activities, Negotiating Naming Rights and Academic Chairs
6.10   Managing the Development Process: Development Structures and Institutional Coordination.

7   Guidelines

Guidelines for the construction of funding proposals in the correct NWU format are attached to this policy as **Addendum 2**.

Development and Fundraising Policy

NWU Rules related to the Development and Fundraising Policy

The following rules regulate the process of implementing Development activities and generating fundraising income at the NWU. These rules aim at providing the guidelines, directions or procedures to optimise the generation and professional management of fundraising income by all relevant stakeholders within the institution. They also include an outline of the processes and structures that facilitate the integration of the University's Development strategies and hence assist in coordinating the various NWU fundraising activities.

The guidelines furthermore aim at avoiding duplication, confusion and preventing the risk of causing donor fatigue. It encourages close internal collaboration and efficient administration, as well as facilitates optimal stewardship of donor relations.

1 Designing an Integrated Development Strategy

It is imperative for the Development, fundraising and resource mobilisation activities of the NWU to be integrated into a holistic strategy that advances the University and its wide variety of initiatives in a unified manner. To this end, the Institutional Advancement (IA) Development Strategy and its funding priorities are deduced from the NWU's Institutional Plan (IP). It follows that the said strategy is directly aligned with the term of office of each 5-year IP cycle and that its performance or attaining the targets/goals/milestones is continuously monitored by Institutional Management (IM) as part of assessing and managing one of the crucial strategic output areas of the institution.

The prioritised strategic areas of the IP thus directly determine the resource requirements and the major Development focus areas, including the endowment-building initiatives, the major (or "flagship") NWU projects, the institution-wide engagement activities and institutional technology transfer/ innovation/commercialisation projects. These undertakings represent the major Institutional Projects – each with a defined financial target – for which funds are raised or resources are mobilised.

Along similar lines, each campus, through the collaboration between its Campus Management structure and the relevant Campus Fundraising Forum (CFF) – taking into consideration the NWU's overall Development Strategy and the specific campus' own funding priorities – proceeds to design and implement a Campus-based Development Strategy, directly aligned with the Campus Plan (CP). Such plan defines the Campus-based Projects, incorporating the campus' prioritised/approved strategic projects, the individual/departmental projects, student-initiated income-generating activities and faculty-based technology transfer/ innovation/commercialisation projects.

The approach outlined above aims at both integrating the institutional and campus-based plans, as well as emphasises the strategic impact and the important contribution that the Development function makes to advancement of the NWU.

2 Registration of Projects

No individual is allowed to mobilise resources or raise funding on behalf of the NWU without first registering the intended initiative or project with the relevant structure and obtaining approval to proceed.

In the event of Institutional Projects, the registration and approval of prioritised projects is the responsibility of the Advancement Committee (AC), while at campus level, this function is fulfilled by the respective CFFs. In both instances, the responsible structure retains a register of approved fund-seeking projects/initiatives. Such register records the following minimum information relevant to the project: the project title, project approval number, date initiated, name of the project leader, his/her contact details, the relevant entity/section/unit/campus/faculty/department/centre, its cost centre number, the project budget, the actual and prospective funders involved in the project, their contributions/tranches paid (by value and date), the reporting requirements (or due dates for submitting reports), recognition agreements and relationship maintenance activities.

3 Structuring of Funding Proposals and NWU Branding Requirements

All NWU project funding proposals/presentations that are submitted or disseminated to external stakeholders and prospective donors are drafted in accordance with a set of minimum requirements as stipulated by the proposal writing guidelines, contained in Annexure 2 to the NWU Development and Fundraising Policy. These guidelines aim at setting professional standards in a highly competitive economic/funding environment and ensuring that the credibility of the institution is promoted through the quality of information and documentation presented to external audiences.

In addition, proposals are required to adhere to the branding protocols of the NWU, as contained in the NWU Corporate Identity Manual (available on the University's intranet). A folder that has specifically been designed for this purpose is to be used for the "packaging" and presentation of all funding proposals.

4 Prospect Research

The NWU prospect research approach takes into consideration the fact that both existing and potential donors might already have a multitude of relationships or interactions at various levels within the NWU. Furthermore, internal collaboration and frequent communication are essential elements to maximising donor support in a coherent manner.

For Institutional Projects, the IA Development & AR Office is directly responsible for identifying prospective sources of funding and matching the University's funding needs and projects with the funding/grant making criteria of the potential funder(s). The Development Office maintains the relevant information in this regard on a centralised database. Each contact with or visit to any existing/prospective funding partner is recorded and constantly updated on the database.

In the event of Campus-based Projects and their fundraising, the CFCs are responsible for this function in collaboration with the various campus-based project leaders. The IA Development & AR Office does, however, provide assistance to campuses upon request. The AC and CFF meetings are utilised to ensure that funders are not confused by receiving a multitude of "competing" applications from various applicants within the NWU (thus preventing duplication or donor fatigue), to strategise around approaching pre-identified funders, to establish the existence of pre-existing relationships/affiliation with the University, to provide each other with information and potential leads or news on calls for proposals and the latest grant making developments, etc. as well as to report back on existing relationships with funders.

5 Solicitation of Funding

The solicitation of (or asking for) funding and resources does not take place in a poorly planned manner by a multiplicity of approaches to the same funder and hence donors are not approached without prior consultation with the relevant structure – respectively the CFF/CFC or AC/Director: Development & AR, depending on the level of the project.

For Institutional Projects, the Vice-Chancellor (VC) is considered to be the lead fundraiser and – supported by IM and specifically the Director: Development & AR – these prioritised NWU projects are promoted to targeted funders, often as part of a presentation and/or during planned visits by the prospective donors to the University. Several other role players, such as members of Council, the Board of Donors, IM and IA, as well as the relevant project leader(s) most often also participate in this process.

For the purpose of raising undesignated funds or soliciting contributions to the endowment fund of the NWU, the Development & AR Office at IA will strategise carefully in order to ensure the implementation of a coherent approach that safeguards the NWU stakeholders against confusion or perceived competition.

In the event of Campus-based Projects, the solicitation of funding for prioritised/approved projects is undertaken by the respective Campus Rectors and Campus Management teams, in collaboration with the relevant project leaders/academic staff and the local campus fundraising structure (including the Director: Marketing & Communications and the CFC). Individual campus/departmental projects registered with the CFF remain the responsibility of project leaders themselves. Likewise, student representative bodies conduct their own solicitation once their projects have been approved by the CFF.

Unsolicited donations to the NWU will first be considered by the relevant structure (AC or the relevant CFF) before accepting the grant, whether the gift may be in cash or in kind. These structures may, at their discretion, decline to accept and consequently return a donation (in instances where, for example, the source of the funding is unknown or the acceptance thereof might create a reputational risk for the NWU).

6 Entering into Grant Agreements

Only members of IM and Extended Campus Management teams are entitled to negotiate and enter into a grant agreement with a funder on behalf of the NWU. All memoranda of agreement or funding contracts,

proposed by a potential funder to be entered into between the sponsor and the University, are always first referred to the NWU Institutional Legal Services for input/advice/recommendations/approval and designating the appropriate authority to sign the proposed agreement in accordance with the authorisation levels that was approved by Council.

Only members of staff in the position of Dean of a Faculty or Director of a Centre and more senior positions may sign such funding contracts.

7 Receipting Grants and their Tax Certification

Donations to the NWU are made in a variety of formats: cash, donations-in-kind, pledges, property, endowments, insurance policies, bequests, etc. All gifts are promptly acknowledged and a formal receipt is issued without any delay, but not later than seven (7) working days from the actual receipt of such funding.

All monetary donations made to the NWU are deposited into a limited number of nominated NWU banking accounts only and donors are requested to provide the relevant project leader with a bank confirmation of the deposit/transfer of the funds, who in turn will then liaise with the Finance Department in this regard. Upon verification by the Finance Department of the funds having been received, the processing and issuing of an 18A Tax Certificate is next attended to. The issuing of these certificates is a centralised function, undertaken by the Development & AR Office in the prescribed format based on a voucher template. The funds are then transferred by the Finance Department to the relevant entity (cost centre) number.

In order to qualify for such a tax certificate, the donation to the NWU has to be free of conditions or benefit to the funder (that is, a donation made out of sheer disinterested benevolence) – for example, nominated bursaries or scholarships do not qualify.

8 Reporting Requirements and Monitoring of Funded Projects

Reporting requirements and providing feedback to funders are important aspects of both meeting the NWU's contractually agreed funding obligations, as well as of the maintenance and professional nurturing of sustainable donor relations.

Constructing the actual reports in accordance with the funder requirements or grant agreement stipulations and their timeous submission remain the primary responsibility of each project leader. However, the University, through the two structures of AC and the relevant CFFs, tracks and traces the submission of progress reports as part of the process of managing the current grants under their jurisdiction.

Project leaders remain responsible and accountable for the actual implementation, monitoring, reporting and expenditure control of their funded projects and are directly liable for the consequences of any mismanagement of funds under their supervision.

9 Donor Recognition, Stewardship, Naming Rights and Academic Chairs

Building and maintaining excellent donor relations is considered to represent a cornerstone of the NWU Development Strategy. The NWU's approach to stewardship encompasses three elements: formal acknowledgement, providing recognition, and nurturing long-term, mutually beneficial relationships.

Accompanying the issuing of tax certificates, each donation to the NWU is formally acknowledged in writing, along with appropriate appreciation being shared. Apart from the actual project leader submitting a personalised "thank you" letter to the funder, the following grading system applies:

- contributions to the NWU flagship project(s) are acknowledged by a letter that is signed by the VC;
- grants to the campus-based priority projects are acknowledged by the relevant Campus Rector;
- donations to departmental projects are acknowledged by the relevant project leader and/or Dean;
- any grant to the NWU in excess of R1 million, regardless of its intended utilisation, is acknowledged by a letter directly from and originally signed by the VC.

In addition, public recognition is commensurate with the size or level of the grant made and is furthermore provided to donors in accordance with the stipulations of the relevant grant agreement(s), during donor visits to the University and specifically during donor recognition events, organised by the Development & AR Office from time to time for the specific purpose of showcasing the NWU's output, to sustain relationships, as well as to encourage increased giving and instilling confidence in sponsors. Recognition may also take the form of issuing a certificate of appreciation, recognition in publications (such as annual reports), erecting a plaque in honour of the donor, etc. Special recognition to longstanding supporters of the NWU who have contributed in excess of R1 million is also being designed in the form of the NWU Chancellor's Award.

With regard to naming rights, each application is considered by the NWU on its own merits and at the sole discretion of IM as stipulated by the relevant NWU Policy on Naming Rights. In general, naming rights of either physical or academic entities are reserved for the recognition of substantive contributions to the NWU – typically involving donations to this institution over an extended period of time. In order to qualify for naming

rights on a building, a donor has to contribute no less than 50% of the construction costs of the planned building (or 50% of the current market value of an existing building) and, in addition, has to agree to establishing an endowed investment that will contribute to the maintenance of the building in the future. Contributions equal to less than 50% of the construction costs do qualify for naming rights of a part of a facility within a building (such as, for example, a laboratory within a Science building).

With regard to establishing a named academic Chair, the value of the donation is determined in consultation with the sponsor. However, these rights are only awarded where the donation comprehensively covers the remuneration (salary and benefits) of the incumbent, as well as a mutually agreed contribution to support the research activities of the Chair, for a period of no shorter than three (3) years.

Once per annum, an NWU Donor Development Report is published by the Development & AR Office, providing feedback to the NWU's donor community, promoting some of the institution's output and providing public recognition to the benefactors of the NWU.

10 Managing the Development Process: Development Structures and Coordination

The NWU manages its Development activities on an integrated database, which is maintained and updated by AC and the respective CFFs. These structures ensure that the information captured within the system is utilised for this purpose only and hence they will not provide the details of the NWU's sponsors to any third parties. The database records the details of both current and prospective funders, as well as minutes the interaction and contact between the NWU and its sponsors. It also serves to manage the reporting to donors and includes facilities to analyse the donor base, as well as the prospective market for generating fundraising income.

Coordination is mostly facilitated through the processes and reporting of the CFFs to AC, which in turn provides feedback to IM committee meetings. The CFFs are constituted by the following members: the Director: Marketing & Communications, the CFCs and the campus-based AR Officers, while AC is constituted by the Executive Director: IA, the Director: Development & AR, the Directors: Marketing & Communications at each campus, representatives from the CFFs and campus-based AR functions, representatives from IA Development & AR, as well as the North-West University Community Development Trust (NWU CDT) and the Technology Transfer and Innovation Support Services Office (TTIS). The committees meet at monthly intervals.

While each structure follows its own agenda for their respective meetings, the following matters are typically discussed and considered by them: consideration of new applications and registration of approved projects, progress made with current projects that seek funding and financial target achievement levels, strategies for identifying or approaching prospective funders and managing the risk of duplication/donor fatigue, matching funder requirements to NWU projects and needs, new funding opportunities/calls-for-proposals, deadlines for submission of applications, monitoring of current projects and provision of feedback to funders, donor recognition, funding administration, tax certification, acknowledgement/recognition and general donor stewardship activities.

Development and Fundraising Policy

NWU Guidelines for Proposal writing

Internal stakeholders at the North-West University (NWU) who intend to draft a funding application that will be employed to mobilise funding or resources for their respective projects/initiatives, should follow the guidelines below in constructing a grant proposal. Once drafted, project leaders should obtain input/support/assistance from the relevant Campus Fundraising Coordinators (CFCs) at campuses, or the Development & AR Office at IA (depending on the level of the project at hand) in order to assist with editing the draft proposal and packaging of the documentation in the required NWU branding format.

Applicants are advised to first establish whether the prospective donor requires funding applications to be submitted in either a prescribed format or for an application form/template to be completed. In the absence thereof, the following guidelines should assist applicants in the drafting of a grant application. While the style of each author might well differ from one to the next, authors are reminded not to plagiarise the content of any other publication and to provide recognition for all sources utilised in the application.

In addition to the guidelines for proposal writing provided below, it is also advised that prospective applicants should establish whether a potential donor might require a draft paper to be submitted first, prior to forwarding a full proposal. Such a draft paper is typically prepared as a "short form" or summary of the proposed application (normally not exceeding two pages in length) and is used to assess the level of alignment between the applicant's proposal and the prospective donor's interest or grant-making focus area. Draft papers should, in essence, follow the same structure as outlined below (refer to points 4 to 10 in particular), but should succinctly summarise the respective topics within a short paragraph each in order to remain within the two-page requirement.

1 Branding

All formal NWU proposals are to be branded correctly, contained and presented in an NWU folder specifically designed for this purpose.

2 Cover Page
All NWU funding proposals will have a cover page inside the folder, containing the following information:

- title of the project
- name and contact details of the project leader
- the campus/division/faculty/centre/unit where the project does/will reside
- date of submission
- name(s) of the specific sponsor(s) to whom the proposal is submitted.

A table of contents is only required if the proposal should be a lengthy document (exceeding 10 pages).

3 Executive Summary

An Executive Summary is analogous to the abstract of an academic publication – it succinctly summarises the entire proposal (and all of its most significant elements, including the grant value requested) in no longer than one single A4 page. Even though this element of the document is positioned in the front of the submission, it is written last and should make a strong case for supporting the intended project, as well as align the topic under discussion with the grant making focus area(s) of the funder.

4 Standard Introduction and Context

Every NWU funding proposal has a "standard" introduction that aims at providing the desired context for the promotion of the particular project/initiative requiring sponsorship. Such introduction, drafted (and reviewed annually) by the Development & AR Office includes reference to the NWU's history, some vital institutional statistics/campus-related information, promotes its credibility as a leading Higher Education (HE) institution in the country, alludes to some recent achievements and specifically focuses on its current institutional strategic priorities, as defined by the Institutional Plan (IP).

The purpose here is to advance the reputation of this institution and to create an appropriate context for the specific application under consideration.

5   Project Background

The first challenge for the project leader/author of the proposal is to introduce the project that is seeking funds or resources, directly in alignment with the strategic objectives of the NWU, so as to position the application strategically.

Thereafter, background information or the history of the project is briefly described, including any relevant information/data specific to the particular application (related to the particular faculty/department/centre/unit), including previous achievements or awards and future strategies or focus areas.

6   The Statement of Need

This part of the proposal focuses on the actual need, problem or opportunity to be addressed by the proposed project or intervention. It concentrates attention particularly on the beneficiaries (their geographic location, profile and needs) – in several categories (if relevant – e.g. students, staff, academic/research output, and beneficiaries in communities served by the University) and the rationale or motivation for introducing the envisaged intervention.

7   Project Description

The project description is devoted to an exploration of the intervention to be introduced – it hence addresses the question as to how the problem described in the previous paragraph(s) will be addressed and thus typically contains the bulk of the proposal. It also describes the exact outcomes, the implementation methodology, duration and practical action plans, responsible parties and target dates for completion. Reference is also made to the staff, students and/or service providers who are involved during implementation, the administration of the project, its monitoring and evaluation (internally or externally undertaken), the expected results/outcomes/impact and intended reporting mechanisms to funding partners.

Providing feedback to donors and reporting to them regularly often includes both narrative and financial reporting/auditing of the project's finances. It also clarifies who the major role players will be in any partnerships, joint ventures or industry-based collaborations. This part of the proposal should end with the envisaged exit strategy for the project.

The emphasis should remain on the outcomes/results/benefits/impact of the proposed intervention.

8   Resource Requirements and Budget Projections

One of the most important elements of any proposal relates to its budget. Professional proposals indicate both income (resources already obtained/pledged to the project) and expenditure. It is advisable to indicate any contribution made by the NWU to the project (even if only a contribution in kind), prior to asking external parties for a contribution. Expenditure should be presented as identifiable/detailed line items and should include direct expenses, human resources costs and administration/overhead expenses.

Project leaders should take particular care to ensure that the proposed budget is accurate, free of any discrepancies and precisely calculated. Should the project budget involve capital expenses, quotations should be included and provision should also be made for inflation/escalation of costs, particularly when the project will be implemented over a number of years (as is often the case with construction projects). Any proprietary/intellectual/copy rights are also clarified here.

This part of the proposal should demonstrate that the project is both cost-effective (by calculating and indicating, for example, the cost-benefit ratio) and financially viable, and that it addresses the important issue of future sustainability (beyond the funder's involvement). In the interest of transparency, any current or previous funders of the project should be disclosed to the prospective funder(s).

9   Benefits to Donors

The request for funding or other resources (the quantification of the budget) should immediately be followed by presenting the projected benefits to the funder. These might have to be negotiated, but could include marketing exposure, public recognition, naming rights and partnership opportunities.

At a bare minimum, prospective funders should be reminded of the taxation benefits and Broad-based Black Economic Empowerment (BBBEE) scorecard points (where relevant) available to funders of the University. Care should, however, be taken not to mislead prospective funders with regard to benefits, just as it is important not to commit the NWU unrealistically or beyond the authority of the applicant.

10 Conclusion

A well-planned funding proposal ends by focusing on the potential benefits – for all parties involved, including the funder(s), the NWU and the end beneficiaries or relevant community. Successful proposals should also end with a "punch line" that manages to link the proposed project most directly to the funding focus area(s) or strategic mission of the funder (that is, they manage to vividly illustrate the alignment or "matching" between the parties).

Applicants should also create a sense of urgency by, for example, making reference to the intended start-up time or launch of the initiative, etc. in order to solicit a timeous response.

11 Visual Representations and Annexures

While the inclusion of visual representations – including charts, diagrams, tables, maps, milestone indicators, etc. are all encouraged in order to keep the reader interested and to visually highlight important points, the body of the proposal should not be cluttered by addenda – these belong as annexures at the end of the proposal and could include a wide variety of supporting information, from newspaper clippings or photographs and previous evaluation results/reports to letters of referral/endorsement, etc. However, the content thereof should not overshadow the written body of the actual proposal.

A standard set of NWU documents and certificates are furthermore available (also in electronic format) that will be supplied to donors upon request.

12 Covering Letter

NWU project leaders and fundraising staff should steer clear of submitting "generic" proposals that have not been edited to align the application with the funding focus areas and specific requirements of the particular donor being approached. To this end, each proposal submitted must be accompanied by an originally signed letter on a formal letterhead of the University, addressed to a specific person (by name), sharing appreciation for the opportunity of submitting the application and indicating the applicant's intention to follow up the submission in due course, thus laying the foundation for building a long-term relationship between the parties.