



UODO AND CENTRAL UNIVERSITY CLEARANCE PROCESS

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The aim of this document is to provide University Development Professionals with a guide to the complete clearance request process. DARS users within the University Development Office or a department or faculty should abide by the following procedures below when requesting clearance to approach a College/PPH-managed prospect (DARS Relationship Manager).

Collegiate University protocols relating to relationship management and clearance can be viewed in the August 2014 **Relationship Management Protocols** document.

1) DARS prerequisites for submitting a formal clearance request to a College/PPH

Before a formal clearance request can be submitted for a College-managed prospect, the following criteria should be met in DARS:

- The prospect must have a **Constituent** record and be assigned the **Prospect** constituency
- The prospect should have a **UO Relationship Lead** and **Prospect Manager** assigned (the default Prospect Manager for a new prospect is the Development Director at the College/PPH)
- The prospect must have a **Prospect Plan** created where the requesting Central University fundraiser is assigned as the **Primary Manager**

Note: If another staff member or participant in the prospect plan (e.g. Secondary Manager) adds the clearance request the following points should be noted:

- i) The request will be viewed by the College as coming from the Primary Manager
- ii) The response and accompanying notes from the College will always be addressed to the Primary Manager (unless otherwise stated)
- iii) The clearance will only appear recorded in the system for the Primary Manager

Is 'internal' informal clearance required first?

If the requesting fundraiser is not the **UO Relationship Lead** for the prospect, it is best practice that they first receive **internal** clearance from the current **UO Relationship Lead** before requesting clearance from the College/PPH. This is an informal process – contact the current **UO Relationship Lead** fundraiser. Internal clearance can be recorded by adding a **Plan Step** with a **Stage** of 'Relationship Lead clearance' marked *Completed* or *Declined*.

There are occasions where, on agreement, the requesting fundraiser will take over the role of **UO Relationship Lead** for the prospect. Please add an **end date** to the existing **UO Relationship Lead's** name when assigning a new fundraiser to this role – a prospect should only have a single current **UO Relationship Lead** assigned in DARS.

2) Adding a clearance request through a Prospect Plan Step

In order to request clearance a fundraiser is required to add a **Plan Step** into their Prospect Plan as described below:

IMPORTANT - If the clearance request Step does not fulfil each of these criteria it may **NOT** be picked up in weekly querying for new requests and thus may **NOT** be submitted to the college/PPH.

Plan Step FIELDS:

Objective This free text field should provide a very brief description of what the Step is for e.g. 'Requesting clearance for scholarships'

Step Owner Add the Prospect Manager as Step Owner (typically the Development Director at the College/PPH). **Note: the default Owner when adding a new plan step in DARS is the Plan Primary Manager, which needs to be changed**

To access a list of current default College Clearance Owners run the query:
SYSW-CLEA-SMM-Default Clearance Owners at Colleges/PPHs

Stage Select '**Clearance to approach**' (this enters steps into the clearance system)
Note: only use this Stage for dedicated clearance requests - never for other steps within a prospect plan e.g. those noting correspondence with the College/PPH

Status This must be set to 'Planned'
Note: under no circumstances should the Step Status be set to 'Pending' or 'Completed' when adding a new clearance request - the Clearance Coordinator manages this subsequent step status flow once the request is submitted

Expected Date Set to the date this clearance request Step is added
Note: forward-dating a clearance step has no function in the system – the request will be sent to the College/PPH in the week it is added

Step Comment Paste the **Plan Narrative** text (see below) into the Step Comment field
The Step Comment is NOT sent to the college with the request – it is used to retain and archive the request note when the Plan Narrative is updated

Plan Narrative ****This constitutes the request note sent to the College/PPH****

The Plan Narrative text **is sent to the College** as the basis for the request and should include:

- a brief description of the overall prospecting objectives and the nature of the approach
- the anticipated timing of the approach (which should be within the next three months)
- the names of other individuals involved in the proposed relationship e.g. VC, an academic

3) Progression of submitted clearance requests

New Clearance requests submitted as described in section 2 will be processed weekly at UODO. The Step Status will be updated from 'Planned' to 'Pending' by the Clearance Coordinator when the request is sent to the Prospect Manager at the College/PPH.

Note: If the request Step Status has not progressed to 'Pending' within **one week** the step may not be completed correctly and thus may not be coming through to the system – **review the step data before contacting the Clearance Coordinator**

4) Tracking clearance requests in DARS

Fundraisers can track the progress of their clearance requests in DARS in several ways:

- The **Fundraiser** page 'Clearance Requests' tab displays the complete clearance pipeline for that fundraiser – from newly entered 'Planned' requests and those 'Pending' at the College/PPH, to those with a response received (the data columns are sortable)
- To review clearance for a selected prospect enter the **Plan** containing the clearance request to view updates to the step – view response notes in the Step Documentation
- Use DARS query to review any clearance data required

5) Reviewing responses to clearance requests

When a College/PPH responds to a request, the response and accompanying note from the Prospect Manager (where applicable) will be recorded directly in DARS:

- If the Clearance request is **accepted** – the Step **Status** will be set to '**Completed**'
- If the Clearance request is **rejected** or **deferred** – the Step **Status** will be set to '**Declined**'

Note: The background *Step Response* section records whether a 'Declined' response is rejected or **deferred** (the latter indicating that the Prospect Manager has stated they will reconsider the request, or asked for it to be resubmitted, at a future date)

Fundraisers should always check the Clearance Step **Documentation** tab to review any instructions and notes from the College/PPH Prospect Manager accompanying their response. Response notes provide additional instructions or useful information to assist the approach, or a reason for declined clearance requests (see the **Relationship Management Protocols**)

APPENDIX: Out-of-system clearance requests

IMPORTANT - Fundraisers should always forward details of clearance responses receive directly from the College (out-of-system) to the Clearance Coordinator – responses recorded in DARS by other staff **are not officially recorded in the system** until processed by the Clearance Coordinator.

Out-of-system requests require considerably more processing time than those which come through the system. College development staff prefer that they receive requests via the single weekly system for their administrative purposes – **this also ensures that requests are recorded in DARS**

If you require further information on relationship management procedures in DARS please contact the Clearance Coordinator, Sami Marjanen, at: ***prospectclearance@devoff.ox.ac.uk***