Best Practice in Prospect Management
Policies & Procedures

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Category: Prospect Development

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Description of Practice: Prospect management policies and procedures refer to an organization-wide strategy for building, advancing, and managing relationships and activity with your organization’s constituents (generally major gift donors and prospects).

Prospective Users of Practice: Gift Officers, Prospect Development, and Senior Leadership

Issue Addressed: A prospect management policy should be a “road map” that helps to inform key decisions that an organization makes regarding prospect assignments and subsequent movement of prospects through the stages of the development cycle.

Prospect management procedures should contain more detailed descriptions of the mechanics of tasks related to managing relationships with prospects and donors.

Desired Outcome:
Effective prospect management policies and procedures can:
- Drive collaboration within your organization
- Identify rules of order & standard operating procedures
- Allow you to project & predict outcomes, if your data is well-maintained.
AASP Recommendation: A policy should be vetted by a task force consisting of gift officers, donor relations, prospect development, advancement services, and senior leadership. As the policy is rolled out, it should be clear that it has been endorsed by senior leadership and that leadership holds staff accountable for comprehension and compliance with the policy and related metrics.

If rolling out for the first time, develop an implementation plan including training sessions and clear guidelines and expectations of gift officers. Once implemented, it should be reviewed and updated as necessary on an annual basis or as significant changes occur.

The policy should be no more than 12 pages in length, with an optional one-page overview that includes the basic information.

The procedure document can be more detailed, including screenshots from the database, forms and templates, and a glossary of key terms. It should be developed in partnership with your organization’s database training team or other colleagues from advancement services, as appropriate. Advancement services and prospect development should collaborate annually to review the procedure document and make necessary updates.

Key sections of the policy document should include:

I. Introduction
   a. Guiding Principles
   b. Database of Record
   c. Authority of Policy

II. Development Officers
    a. Roles and Responsibilities
    b. Portfolio Size
    c. Prospect Contact Guidelines, Unassigned Prospects
    d. Prospect Contact Guidelines, Assigned Prospects
    e. Conflicts and Appeals

III. Initial Prospect Assignment
     a. Assignment Criteria
     b. Storage of Assignment Data
     c. Frequency of Prospect Assignment

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V. Solicitations
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   c. Alignment by Prospect Stage
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VIII. Prospect and Pipeline-Focused Meetings
   a. Portfolio Reviews
   b. Prospect Strategy
   c. Solicitation Pipeline

IX. Metrics
   a. Visits
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   e. Other

X. XII. Privacy
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   b. Internal

XI. XIII. Definition of Key Terms

XII. Sample Prospect Management Reports

Sample Policies & Procedures/Resources:
Prospect Management

Goal

At The Ohio State University, we believe that effective prospect management enables us to raise more money. Successful prospect management creates loyal donors that will give again.

Guiding Principles

This policy is built around the following guiding principles:

• Effective prospect management is a team activity which involves Advancement, academic leadership, faculty, physicians, volunteers, and others. Openness and trust between colleagues are critical.

• Successful prospect management requires a commitment to understanding all of a prospect’s passions, values, connections, giving history, and more. Prospects have complex, multiple philanthropic interests that may evolve over time, and may or may not reflect the university area(s) with which they were originally affiliated.

• The very best donors have multiple points of engagement at the university. Prospect Managers, regardless of assignment or area, coordinate relationships with all relevant areas of the university and match the prospect’s philanthropic interests with institutional priorities and funding opportunities.

• All university staff use The Advancement System (TAS) to coordinate and document philanthropic relationships, including all qualification, cultivation, solicitation, and stewardship activities. Policies and procedures are clear, coordinated, and transparent.

University Values

Our prospect management program and our interactions with each other reflect our shared university values:

  Excellence
  Collaboration as One University
  Acting with Integrity and Personal Accountability
  Diversity in People and Ideas
  Change and Innovation
  Simplicity in Work
  Empathy and Compassion
  Leadership
Roles and Responsibilities

A. Prospect Manager

The Prospect Manager (PM) is the person most directly responsible for coordinating the relationship between a prospect and the university. At all times, the PM must take into account the prospect's interests and the needs of the university.

The Prospect Manager is responsible for:

- Engaging prospects by connecting them with appropriate university partners, areas, and activities
- Being knowledgeable about prospect interests and university priorities
- Collaborating with university partners based on the prospect’s passions and the university’s priorities
- Developing and executing thoughtful plans with strategic steps that result in successful solicitations
- Documenting interactions, plans, and outcomes in TAS for the benefit of the life-long university relationship
- Leading team meetings and strategy planning sessions where multiple interests or complex plans warrant
- Communicating regularly with assigned prospects and university partners

There is only one Prospect Manager assigned per Prospect.

B. Prospect Team

The PM will coordinate efforts of a prospect team comprised of additional front-line fundraisers, administrators, faculty, staff, and volunteers. These individuals work with the PM to cultivate the university’s lifelong relationship with the prospect. Secondary managers include fundraisers, administrators, faculty, staff, and volunteers assisting with solicitations, stewardship, research, and other activities.

There may be zero, one, or many secondary solicitors assigned in a prospect plan at any given time, and the individuals and roles represented may change over time. The PM is responsible for ensuring that all relevant partners are appropriately recorded.

Assignment

A. Initial Qualification and Assignment

Fundraisers may request to be assigned as Prospect Manager (PM) for an unassigned constituent by completing the following:

- Qualification of the constituent as a prospect for Ohio State
- Providing an initial strategy focused on obtaining a gift
- Documenting all qualification work

B. Qualification

Qualification is the process of confirming a constituent’s capacity, interest, and inclination to make a gift to Ohio State.
Qualification is most frequently accomplished through direct interaction with the constituent, but may also include information from peers, volunteers, or others with personal knowledge of the constituent’s capacity and inclination to give to Ohio State.

The preferred method of qualification is a completed Personally Scheduled Meeting (PSM) with the constituent. Other contact methods may be acceptable and will be reviewed on a case by case basis.

In some situations, it may be appropriate for one fundraiser to complete qualification work and then identify another fundraiser as PM (in the same or a different unit). This is likely when qualification identifies a strong prospect interest in a unit different from initial expectation and/or a better match is identified within the same unit.

C. Requesting Assignment

A formal request for assignment is submitted by completing the “Request prospect assignment” task in TAS. All qualification interactions must be documented in TAS prior to requesting assignment.

At the time of request, the fundraiser is expected to provide information including strategy, ratings, funding interests, and additional team assignments. This is in addition to the previously documented qualification work.

D. Referrals from Research, Physicians, Faculty, Volunteers, or Other University Staff

Leads provided by Prospect Research, as well as referrals from physicians, faculty, staff, or volunteers, need to be qualified by a fundraiser as described above.

E. Corporations and Foundations

In the event assignment is requested to an individual in a leadership position at an assigned corporation or foundation, the Corporate and Foundation Relations Office will be consulted to determine if this will create conflict. The same applies for requested assignment to organizations with assigned leaders.

F. Spouses and Domestic Partners

When a PM is assigned to a prospect, the default action is to link the prospect’s spouse or domestic partner in a prospect group and assign the group to that PM.

An exception may be made if the prospect and their spouse/domestic partner do not make giving decisions together. In this case, dual PM assignment (in which a PM manages the prospect and another PM manages the spouse/partner) may be warranted. Dual assignment can be requested directly from the Office of Prospect Development; senior leadership may be consulted before dual assignment is approved. When dual assignment is approved, each PM will be listed in a secondary role on the corresponding spouse/partner record.

Spouses who are alumni of different areas are not justification for dual assignment.

G. Prospect Manager Eligibility

Only personnel (specifically, Advancement Officers, Development Officers, or Stewardship Officers) who report directly or indirectly to the Senior Vice President for Advancement are eligible to be PM. Additional Advancement staff, academic leadership, faculty, physicians, volunteers, and others are critical to the success of
prospect management and may be formally assigned in other roles. Potential exceptions to these standards will be reviewed on a case-by-case basis and are approved by the Director of Prospect Development.

H. Assignment Transition

A transfer of assignment may occur when warranted by the prospect’s capacity or interests, or by staff changes within a unit.

Transfers can be made by notifying the Office of Prospect Development.

I. Departing Staff

When a departing staff member gives notice, the supervisor should immediately schedule a portfolio review with the departing staff member. In this review, existing assignments and high priority prospects and steps should be discussed and recommendations made about temporary or permanent transfers. Prospects suitable for dismissal from prospect management should also be identified.

The supervisor of the departing staff member is responsible for providing a list of recommended temporary and permanent reassignments and dismissals to the Office of Prospect Development by the date of the staff member’s departure. Recommendations will be reviewed by the Office of Prospect Development and the Office of the Senior Vice President, as appropriate, prior to reassignment.

J. Transparency of Assignment and Transfer

All new assignments and transfers will be included in a weekly list distributed to all Prospect Managers.

Prospect Plans

The PM is responsible for coordinating any and all prospect plans on the prospect record. Prospect plans contain a record of all steps, solicitations, and prospect team members involved in the prospect relationship.

Portfolio Standards

A. Portfolio Size

A standard portfolio for fundraisers should consist of up to 75 prospects to whom fundraisers are assigned as Prospect Manager (PM). This limit includes PM assignment to prospects in active and stewardship statuses, and prospects may be added or removed from the portfolio as long as the limit of 75 prospects is not exceeded.

Variances in portfolio size may be granted based on unit priorities, allocation of time spent fundraising, the level and maturity of prospects/donors, and program specialties (e.g., annual giving, gift planning, corporate and foundation relations, etc.) Requests for portfolio variances are reviewed by appropriate senior leadership.

B. Inactivity

Prospects without any documented significant contact in 12 months are considered unmanaged and will be removed from the PM’s portfolio. Significant contact is defined as documented interaction with contact methods of face to face or a personally scheduled meeting.
Active prospects (non-stewardship) that are not moved from one stage to another within 12 months are considered unmanaged and will be removed from the PM’s portfolio along with related plans and opportunities.

Prospects removed from a portfolio due to inactivity can be re-qualified at a later date according to normal standards and requirements.

Contact Protocols

Every staff member must file an interaction for any significant contact with a constituent in accordance with the Interaction Guidelines. Advancement staff members are responsible for ensuring that all significant contact from their faculty, deans and volunteers are documented in TAS.

A. Unassigned Constituents

Any fundraiser may contact unassigned constituents in order to assess their interest in a particular area and to begin the cultivation process. Fundraisers are responsible for reviewing a constituent’s Interactions page in TAS prior to initiating contact to determine if recent contact has been made and/or qualification work is already underway.

B. Assigned Prospects

A critical component of prospect management is strong, clear coordination of communication, strategy, and solicitation – a primary responsibility of the Prospect Manager (PM). To that end, the following contact protocols are in place for all assigned prospects.

It is every fundraiser’s responsibility to confirm assignment of any constituent in TAS prior to initiating contact. In all instances, a fundraiser must contact the PM prior to contacting an assigned prospect.

The PM is expected to respond to a contact request from another fundraiser in 2-5 business days. If there is no response in that time period, the matter may be resolved according to the Conflicts & Appeals section of this policy.

If a prospect initiates contact with a fundraiser that is not the PM, the contacted fundraiser should notify the PM as soon as possible after the contact (in addition to filing an interaction in TAS) and ensure that future interactions are coordinated.

The following exceptions do not require advance notification of the PM:

- Membership/program renewals such as Alumni Association, Buckeye Club, President’s Club, Wexner Center for the Arts, WOSU, etc.
- Athletics ticket renewals
- Board/committee meetings for existing appointments

The PM may determine that new contact is inappropriate when any of the following situations occur:

- An expected ask date in a documented prospect plan is within 90 days
- A formal solicitation has been made and response is pending
- The prospect has specified limited or no contact, due to life events and/or non-interest in programs (or, alternatively, the PM knows of life events that make contact inappropriate)
- The prospect has had frequent and recent interaction from the university in the last 3 months

The PM may determine that, even in these situations, contact is permitted.
Otherwise, any fundraiser may contact the prospect after first consulting the PM to ensure coordination of activities.

## Prospect Stages

Prospect stages form the pathway through which a PM develops and advances the prospect’s relationship with Ohio State and moves a prospect toward making a gift.

Prospects move through stages each time a new solicitation is desired. At times a prospect may skip stages depending on how the plan advances.

Prospects are typically expected to move through the stages within 18 months, although the Stewardship stage may last significantly longer. Variation around this timeframe may occur depending on the type of gift being solicited (e.g., annual gift, planned gift, principal gift) or the type of prospect (e.g., grateful patients, corporations, foundations).

<table>
<thead>
<tr>
<th>Stage</th>
<th>Purpose</th>
<th>Outcome</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plan Strategy</strong></td>
<td>To further engage, inform, or get to know the prospect via interactions that move the prospect toward the next stage.</td>
<td>Cultivation steps are developed and recorded in TAS plan. Interactions occur that move the prospect into active cultivation.</td>
<td>3 months</td>
</tr>
<tr>
<td><strong>Cultivation</strong></td>
<td>To deepen engagement and cultivation via substantive actions in order to further determine prospect interests and match them with institutional need (preliminary gift discussion). PM and partners determine if the prospect is ready to receive a proposal.</td>
<td>Interactions occur that move the prospect closer to solicitation. Clearance to solicit is requested if ask amount is $1M+ (in which case approval is required before next stage).</td>
<td>9 months</td>
</tr>
<tr>
<td><strong>Ready to Solicit</strong></td>
<td>To continue involvement with the prospect while preparing to formally solicit. Primary manager finalizes solicitation (solicitor, date, amount, designations, etc.)</td>
<td>Solicitation steps and opportunity data are recorded in TAS. Solicitation is made.</td>
<td>3 months</td>
</tr>
<tr>
<td><strong>Gift in Negotiation/Closure</strong></td>
<td>To continue to interact with the prospect to finalize the gift; revise gift details as needed.</td>
<td>Gift is closed, documented, and recorded in TAS.</td>
<td>3 months</td>
</tr>
<tr>
<td><strong>Stewardship</strong></td>
<td>PM ensures the gift is acknowledged and stewarded. PM determines donor's stewardship status.</td>
<td>PM retains assignment for donors with active prospect status; a new opportunity may be entered in TAS. A shift to a stewardship status may be appropriate, as indicated in Stewardship section of this policy.</td>
<td>3-5 years for future gift from donors with active status.</td>
</tr>
</tbody>
</table>
Clearance to Solicit

Any solicitation of $1M or more must be approved by the Office of the Senior Vice President for Advancement prior to soliciting the prospect. $1M+ opportunities will be reviewed every two weeks. If a gift discussion advances more quickly than anticipated and/or the original expected ask amount suddenly moves above $1M, the PM will notify the Office of the Senior Vice President as soon as possible.

Stewardship

Stewardship is the comprehensive effort to ensure donors experience high-quality interactions with Ohio State that reinforce the impact of their generosity and foster long-term engagement and ongoing investment. Stewardship sets the stage for future solicitation.

A. Stewardship Status

A prospect’s stewardship status is determined by the donor’s ability to make a gift in the future. The decision to move a prospect into a stewardship status can be made once a gift is received and the donor is not expected to immediately enter cultivation for the next gift.

**Active Stewardship Status** – Donors who have made a gift to Ohio State and retain the capacity/inclination to make another gift to Ohio State in 3-5 years.

**Legacy Stewardship Status** – Donors who are not likely to make another major gift to Ohio State; they may retain the capacity/inclination to make a future gift to Ohio State, but who are believed to not be in Active Stewardship Status.

The Prospect Manager (PM) is responsible for managing the prospect plan and notifying the Office of Prospect Development when a change in status is needed.

Movement from either stewardship status back to an active prospect status may occur when circumstances are suitable (i.e., there are clear indicators that a new gift conversation is appropriate).

B. Stewardship Requirements

For any donor in a stewardship status, the PM ensures:
- The prospect plan is actively managed and documented in TAS, with one or more appropriate future/pending stewardship steps.
- The donor is managed and contacted according to the standards of assigned prospects detailed elsewhere in this policy.

Accountability, Supervision, and Performance

Supervisors will use reports, including information about contact activity, portfolio composition, proposals submitted, and proposals closed, in order to evaluate the performance of fundraisers. Specific goals for fundraiser performance will be set by individual managers, based on job descriptions and organization metrics.

Supervisors are required to review their staff’s new and moving proposals at least quarterly to assure progress toward a gift decision.
Conflicts & Appeals

In all matters of assignment and activity coordination, common sense and courtesy shall be the prevailing guideline.

Any fundraiser may request a review of the following:
- Prospect Manager assignment
- Prohibition to contact or solicit
- Inactivation of records showing no contact or moves within 12 months
- Disagreements among fundraisers (or their volunteers or staff) regarding a specific donor or strategy

Where differences of opinion occur, staff members are expected to use the following process to resolve conflicts:
1. Contact and as needed meet with all interested parties to address and resolve the issue.
2. If consensus is not reached through this process, then the issue should be presented to the fundraiser’s supervisor, who will work with other relevant supervisors and the Director of Prospect Development to help facilitate a resolution.
3. If the conflict cannot be resolved in this fashion, the Director of Prospect Development will bring the conflict to senior leadership who will make the final determination.

Policy Management and Oversight

The Director of Prospect Development manages and administers current prospect management policies, procedures, and any future revisions on behalf of the Office of the Senior Vice President for Advancement.

Contact

For assistance in interpreting and applying this policy, please contact the Office of Prospect Development:

prospectdevelopment@osu.edu | 614.247.1535

Revised 2/16/2016 10:37 AM
Plan Steps and Interactions: Guidelines

What is the difference between a plan step and an interaction?

Plan steps and interactions are very similar. The major differences between them are who gets them, and where they are entered.

Plan steps are used for managed prospects. There are special data fields within steps that contain information specific to prospects; they are entered from within a prospect plan.

General interactions are used for constituents who are not managed prospects. They are entered from the constituent’s general interaction page.

What is a step/interaction?

An individualized and meaningful activity with any constituent in which new information is obtained and/or that moves Ohio State’s relationship forward (as it relates to giving, engagement, etc.) constitutes an interaction that should be filed in TAS.

Individualized means the activity was specific to the constituent, and not an event, form letter, or broad appeal.

Meaningful means the activity resulted in new knowledge about the constituent and/or relates to a strategy, gift conversation, gift negotiation or gift stewardship. When a colleague (or your future self) reads this they will get value from it.

How quickly should a step/interaction be filed?

All steps or interactions should be entered in TAS within one week of the activity.

On which records should I enter the step/interaction?

As noted above, plan steps are entered on the prospect record, from within a prospect plan. The best way for fundraisers to access plans and plan steps is from their fundraiser page.

General interactions for individuals should be entered from the constituent’s individual record. In cases where more than one constituent was involved in the activity, additional individuals should be listed under “Participants.” In most cases, there should not be multiple interactions filed for the same activity.

When entering a contact with a representative of an organization, enter the activity from the organization’s record. For example, if you met with Jane Doe to discuss Company X, file the interaction on Company X’s record and include Jane Doe as a participant.
What should NOT be filed in TAS as steps/interactions?

Events
Thank-you letters or form letters
Board, committee, and volunteer meetings
Group solicitations and appeals (to more than one individual, at any dollar level)
Cards and notes for holidays and special occasions
Random friendly encounters where nothing new is learned nor is the relationship advanced
Meetings with administrators, faculty, physicians, etc. that do not directly cover their personal philanthropy

There are special ways in TAS to track events and group communications:
- For events not managed by Advancement Events, email the Customer Service team at customerservice@ohiostatealumni.org for assistance in documenting attendance.
- For group communications, email bioupdate@osu.edu for assistance in documenting these contacts in TAS.

Specific Guidelines for Events, Suite Attendance, and Board/Committee Meetings

Any activity with 10 or more constituents should be documented as an event, not a step or interaction. This includes: events such as receptions and dinners; suite attendance at athletic events, concerts, or shows; or board/campaign committee, or volunteer meetings.

You may have a meaningful one-on-one conversation or stage movement with an attendee at an event. In this case, you should file an additional step or interaction for only that attendee on his/her record; the contact type that should be used is (by definition) Face-to-Face. Steps or interactions at events of any type are not Personally Scheduled Meetings.

What if there are multiple contactors?

Many steps and interactions will have multiple individuals representing OSU, such as DOs, deans, directors, volunteers, and other staff. In these situations, one single step/interaction should be filed with all additional personnel listed as additional contactors/solicitors.

All contactors are responsible for coordinating single entry of the step/interaction in TAS. (The primary/owner may add the interaction to TAS and others can review and make additions, if desired.)

Content Guidelines: Summary/Objective

Useful summaries explain purpose and/or outcome, who was visited by whom and where, and what was discussed. Date and contact methods are not necessary, as they are collected in another field. If an ask was made or a gift was presented, be sure that is clear in the title.

Examples of complete summaries include:
- Met with Logan and asked for $1M gift for cancer research support
- Dinner with Joe Steinmetz and OSU alumni to discuss fundraising for Ottoman and Turkish Studies
- Discussion and planning for event in Palm Beach hosted by Peter and Mary Jane
- Cultivation visit to determine interest in supporting Engineering programs
- Dr. Smith was asked and agreed to an $80K gift to support Ross HH Medical Director Fund
* Hosted Lois at KSA and CEG for facility tours
* Tony joined Drs. Abraham and Mazzaferri to hear an update on his gift to Cardiology
* Scott emailed with questions about draft of ME gift agreement

Examples of **incomplete summaries** include:
* Met for dinner
* PSM with Mark
* PSM lunch at Rusty Bucket
* Chicago trip
* Greeted during visit to basketball suite

**Content Guidelines: Comments**

The text should be concise and reflect the actual account of the contact. Steps and interactions should include not only a statement of purpose, but also a summary of what was learned.

Tips for creating useful contact report text:
* Lead with a concise summary statement such as “The purpose of the contact was....”
* Include a conclusion such as “The result of the contact was...” or “I learned...”
* Describe who was meeting with whom (including full names and titles), where the meeting took place and the purpose of the meeting.
* Describe the topics of discussion and what various participants contributed to the discussion.
* Note and account for donor likes, dislikes and statements regarding their affinity to Ohio State, political statements, passion statements along with information on key relationships and biographical updates.
* If an ask was made or answered, be sure to include the amount, designation(s), initial or formal response, anticipated response date, and timeline for follow-up.

* Describe qualifying information:
  * Family (members, size, structure, relatives, situations)
  * Assets (hard, soft, liquid, investments, properties)
  * Values (social, personal, other issue areas)
  * Advisors (personal or professional)
  * Motivations (projects, involvement, beat areas, experiences, passions)
  * Career Information (where, what and for how long)

End with your overall summary of the contact and next steps.

**Guidelines: Contact Methods**

**Attempt(s) to Contact**  One or more unsuccessful attempts to contact a prospect; may be a summary of attempts over multiple dates.

**Electronic**  Personal one-on-one electronic correspondence, such as email or text messages, where targeted and/or substantive information is exchanged beyond casual conversation.

**Face to Face**  A one-on-one interaction with the constituent; face to face interactions are unplanned and/or occur at events, meetings, etc.; substantive information is exchanged beyond casual conversation.
**Internal Meeting**

An internal meeting is held to discuss business and/or strategy related to a constituent and the constituent is not present.

**Letter**

Personal one-on-one correspondence used to distribute targeted information to the constituent.

**Personally Scheduled Meeting**

A personal meeting is deliberately scheduled and strategically planned with desired outcomes; it is intentionally initiated to deepen the university constituent relationship by evaluating interests or capacity, strengthening personal connectivity, or advancing the constituent toward a gift.

**Task**

Tasks track administrative steps related to the constituent that may not involve direct interaction with the constituent.

**Telephone**

An in-depth phone conversation where information worth recording and useful to moving the relationship forward is exchanged.

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**Ethics and Privacy**

Prospect and donor information may be considered public information and an individual could request to see the information contained on a constituent record. Therefore, discretion and common sense must be used when entering interactions and other information in TAS.

It is important to be factual, professional, and balanced in the approach and description of the activity. Interactions should only include information that will help advancement staff and representatives develop meaningful relationships with constituents.

Conjecture, personal opinion, and revealing intimate or private information are not to be a part of the constituent record. Interactions should not include health-protected information or potentially embarrassing details. Interactions should be crafted with discretion and sensitivity, always keeping the best interests of the constituent in mind. Consider how you’d feel if the constituent asked to see his/her own TAS record; are you comfortable with what they would read?

**Health Information**

Interactions should only include health information (1) when it has been relayed directly to the fundraiser by the constituents themselves and (2) when it is relevant to their interests and relationship to Ohio State. Even considering this general guidance, the fundraiser or staff member should use their own judgment and discretion as to what details, if any, should be documented. See the “Ethics and Donor Privacy” section elsewhere in this document.

HIPPA policies must be adhered to in all instances. If you have questions about HIPPA compliance or policy, please contact the Director of the Grateful Patient Program.

Revised: 12/16/2015 3:29:00 PM
Prospect Management Policy

Approved on December 4, 2014
Last revised on November 2, 2015

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Prospect Development
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Prospect Management Policy

Approved on December 4, 2014; last revised on November 2, 2015

1. Executive Summary

Prospect management is the planning, recording, and tracking of the progress of prospects through the continuous fundraising cycle of identification, qualification, cultivation, solicitation, and stewardship. A well-organized prospect management system provides a framework of operation that ensures an efficient and accountable fundraising effort.

Everyone who is involved in The Trust for Public Land’s fundraising effort is responsible for the maintenance of the prospect management system and how it relates to the database of record. Philanthropy staff are also expected to promote philanthropy industry and Trust for Public Land best practices when engaging non-Philanthropy staff and volunteer leaders in donor work.

The role of relationship managers in prospect management:
- Maintain the organization’s relationship with prospects or manage the actions of others who have a relationship with prospects; maintain a dynamic and active portfolio
- Utilize the database of record to actively manage prospects, including establishing, driving, and implementing a comprehensive, donor-centric fundraising strategy to maximize prospects’ giving over time
- Qualify potential major gift prospects; communicate with Prospect Development regarding assigning Prospect Statuses to entities and whether gift capacity ratings for individuals could be adjusted based on qualification
- Ensure that all relevant prospect information is accurately recorded in the database of record in a timely manner
- Keep individual prospects in the Annual Giving program whenever reasonable and appropriate
- Adhere to The Trust for Public Land’s standards for briefing and contact reports

The role of supervisors in prospect management:
- Regularly review sunset reports with relationship managers to ensure that prospects are moving through the gift cycle in a timely manner, as well as other management reports
- Regularly review and have conversations with relationship managers regarding their portfolio size and composition
- Immediately inform Prospect Development of any expected staffing changes (departures and new hires) so that portfolio transitions can be planned in a timely manner

The role of Prospect Development in prospect management:
- Address Prospect Management Policy questions from Philanthropy staff
- Convene meetings of the Prospect Management Committee, as needed; support the Committee in fulfilling its responsibility for addressing any policy and process issues or conflicts and appeals
- Review all requests and update the database for primary relationship manager assignments, reassignments, and assignment removal; communicate all new primary relationship manager assignments to Philanthropy staff
- Review all requests for and make changes to Prospect Status in entity records; change Annual Giving Solicitation Status, as appropriate
- Manage portfolio transitions for departing relationship managers and newly hired relationship managers
- Regularly review sunset reports to ensure that prospects are moving through the gift cycle in a timely manner
- Identify major gift prospects who have the potential to be qualified by a relationship manager
- Collaborate with Philanthropy Services in designing the database user interface and prospect management reports

The role of Philanthropy Services in prospect management:
- Provide Philanthropy staff with access to, technical support for, and training on the database of record
- Collaborate with Prospect Development in designing the database user interface and prospect management reports; write and make available relevant reports
- Provide support for changing Annual Giving Solicitation Status, as appropriate
- Appropriately link gifts to opportunities at the “solicitation” stage
2. Introduction

2.1 Vision and Principles

It is a goal of Philanthropy to ensure that decisions about prospect management and solicitation are made in a collaborative and open environment and to ensure that donors’ philanthropic interests guide decision-making. Our responsibility as fundraising professionals is to learn about and respect our prospects’ philanthropic passions, to find the best possible match between prospects’ interests and organizational priorities, and to engage them as partners in philanthropy to further the mission of The Trust for Public Land.

A transparent prospect management process is essential to the success of The Trust for Public Land’s fundraising efforts. This can be accomplished with the full participation of staff across the organization. It is the responsibility of every relationship manager to accurately maintain all relationship data in a timely manner, including significant contacts, engagement or solicitation strategies, and proposals, in the relationship management database.

This policy was developed to ensure:
- Coordination and collaboration among fundraising offices
- Prospect and donor interests are represented completely and inform engagement and solicitation strategies
- Managed prospects and donors continue to move forward in the gift cycle
- Transparency of prospect assignments and solicitations
- Adoption of generally accepted best practices within the philanthropy profession

2.2 Database of Record

All Philanthropy staff must use ClearView to coordinate and document all prospect and donor relationships as well as any relevant assignment, cultivation, or solicitation information or pending opportunities.

Staff may request ClearView access and training from Philanthropy Services.

2.3 Authority of Policy

Senior Philanthropy Managers have convened to approve this policy. The approved policy and the rules therein are the “rules of order” for the management of prospects at The Trust for Public Land.

The Prospect Management Committee is the working group that reviews any policy or process issues. If needed, the Committee will recommend policy or process changes to Senior Philanthropy Managers for approval. Any issues that cannot be resolved by the Committee will be escalated to the Senior Vice President, Chief Philanthropy Officer.

Staff should direct policy questions to Prospect Development or to his or her supervisor.
3. Prospect and Donor Assignment

3.1 Prospect Management Committee

The Prospect Management Committee consists of the following staff:

- Division Directors of Philanthropy
- Director of Major Gifts
- Director of Philanthropy Operations
- Director of Prospect Development

The intent of the Prospect Management Committee is to address prospect assignments that are not obvious or are under debate. The Committee will meet as needed to address these assignments. The expectation is that many obvious assignments may take place following this policy, without the involvement of the Prospect Management Committee.

3.2 Assignment and Removal Processes

3.2 (a) Assignment Process

A primary relationship manager maintains the primary relationship with the prospect and/or manages the actions of other relationship managers who have a relationship with the prospect. All requests for primary relationship manager assignment must be made to Prospect Development and staff must fill out a form. Primary relationship managers will be assigned to records in ClearView at the overall entity level, rather than at the opportunity level.

Once a primary relationship manager is assigned to a prospect, he or she may add and edit opportunities as he or she sees fit. If additional relationship managers are interested in soliciting a prospect, they must coordinate with the primary relationship manager. The secondary relationship manager may add an opportunity only if he or she and the primary relationship manager have agreed upon the engagement and/or solicitation strategy. In instances of staff transition, relationship managers should contact Prospect Development if they wish to create an opportunity for a prospect who is assigned to a primary relationship manager who has departed the organization.

Relationship managers should not add opportunities to entity records without having first completed the process of being assigned as primary relationship manager at the entity level. In general, a relationship manager should have an active opportunity for a prospect if the relationship manager is assigned as primary relationship manager. An active opportunity is not required for prospects marked with a status of “permanent stewardship” or “key connector.”

In order to promote transparency, a report of all new primary relationship manager assignments will be sent to all Philanthropy staff at regular intervals.

Non-Philanthropy staff may be assigned as a natural partner in an opportunity as the relationship manager sees fit, but only Philanthropy relationship managers may be assigned as a primary relationship manager on an entity record or as the solicitor in an opportunity.

3.2 (b) Assignment Removal Process

Relationship managers may request to be removed as primary relationship manager at any time. Requests for removal of assignment should be made to Prospect Development.

Whenever possible, relationship managers should return individual prospects or donors to the Annual Giving program if they had been removed, especially if the relationship manager is discontinuing management of a donor. At the time of the request for assignment removal, relationship managers may also request a change to the Annual Giving Solicitation Status for that prospect.
### 3.2 (c) Assignment Criteria

The following prospect or donor assignment criteria are considered to be best practices at The Trust for Public Land. Relationship managers are expected to fully consider these criteria when making requests to be primary relationship manager or when considering the reassignment of prospects or donors to another relationship manager.

While many assignment scenarios will likely be covered in these criteria, the Prospect Management Committee recognizes that there may be atypical scenarios that might not fit neatly into any one category.

<table>
<thead>
<tr>
<th>Primary Assignment Consideration</th>
<th>Prospect Scenario</th>
</tr>
</thead>
</table>
| Regional Fundraiser              | • Geography (residence or business) is singly based in one region  
• Known philanthropy is primarily focused on prospect’s immediate region/state  
• Prospect has indicated interest in only one geographic region through: 1) interaction with staff/volunteers, or 2) giving to The Trust for Public Land  
• May manage corporations if the primary relationship is through an individual (e.g. CEO of the company) |
| Philanthropy Advisor OR Senior Philanthropy Manager | • Multiple homes in different geographies  
• Spends time in multiple geographies due to personal or business interests  
• Known philanthropy includes multiple gifts to national organizations or organizations in more than one geography  
• Prospect has indicated interest in unrestricted, organization-wide priorities (operating or programmatic) or multiple geographic areas through: 1) interaction with staff/volunteers, or 2) giving to The Trust for Public Land  
• Prospect has a principal level-gift capacity rating (1=$5MM+ or 2=$1MM to $5MM)  
• May manage corporations if the primary relationship is through an individual (e.g. CEO of the company) |
| Institutional Giving Director     | • Foundation and corporate prospects with interest in unrestricted, organization-wide priorities (operating or programmatic) or multiple geographic areas  
• Family foundations should be managed by individual fundraisers, unless a family foundation operates more like an independent foundation |
| Institutional Giving Manager      | • Foundation and corporate prospects with interest in only one geographic region or limited regions  
• Family foundations should be managed by individual fundraisers, unless a family foundation operates more like an independent foundation |
| Corporate Fundraiser              | • Corporate prospects with interest in unrestricted, organization-wide priorities (operating or programmatic) or multiple geographic areas |
| Planned Giving Fundraiser         | • Planned giving donors or self-identified planned giving prospects (especially if a prospect is in a region where we are not staffed)  
• These donors/prospects may continue to give annually, but are not prospects for major or stretch gifts beyond their annual gifts |

Other considerations that may guide staff in assignment decisions include, but are limited to:

- Professional, volunteer, and social affiliations
- Existing relationships/connections to staff or volunteers
- The portfolio size/composition of the relationship manager requesting assignment
3.2 (d) Assignment for Institutional Prospects

In general, when an institutional prospect has a number of entity records in ClearView for regional branches in addition to a main entity record in ClearView, the primary relationship manager who manages the overall relationship with that institutional prospect will also be assigned as primary relationship manager at the entity level for the regional branches in ClearView.

Regional fundraisers who have responsibility for cultivating the relationship with and soliciting a regional branch may add opportunities in the ClearView record for that regional branch after coordinating with the primary relationship manager for that institutional prospect.

The Prospect Management Committee recognizes that the relationship between the headquarters and regional branches of an institution or between a corporation and its corporate-sponsored foundation can be complex and varied. Relationship managers should, therefore, be prepared to demonstrate flexibility in how assignments at the overall entity level and at the opportunity level are handled should these assignments need to deviate from the usual practice.

3.3 Prospect Reassignment

3.3 (a) Mutually Agreed Upon, Fundraiser-Prompted Reassignment

Staff requesting the role of primary relationship manager for a prospect who has an existing primary relationship manager should make the request directly to the current primary relationship manager.

Staff who would like one of his or her prospects to be reassigned to a new primary relationship manager should make the request directly to the recommended new primary relationship manager, except in cases of staffing changes.

In either of the above cases, if both relationship managers agree to the reassignment, either of the relationship managers should make the request for reassignment to Prospect Development.

3.3 (b) Reassignment as a Result of Staffing Changes

A relationship manager who is leaving the organization or his or her supervisor should immediately inform Prospect Development of the expected departure. The relationship manager should meet with his or her supervisor and Prospect Development prior to his or her departure to discuss all active strategies and temporary or permanent reassignment recommendations.

Either Prospect Development or the departing relationship manager’s supervisor will communicate any recommendations for new relationship manager assignment to that relationship manager and his or her supervisor. Once the recommendations have been accepted, Prospect Development will make the appropriate assignment changes in ClearView.

Prospect Development will manage the transition of the remainder of the portfolio to the departing relationship manager’s successor. Supervisors should immediately inform Prospect Development of newly hired relationship managers.

If the focus or location of the position replacing the departing relationship manager’s position changes, Prospect Development will convene the appropriate staff to discuss reassignment of the full portfolio.

3.3 (c) Prospects Not Actively Managed

Sunset reports will be utilized by relationship managers, supervisors, and Prospect Development to identify prospects who remain in an opportunity stage for a time period exceeding the recommended amount of time in that stage (see Section 4.3, Opportunity Stages).
The same guideline applies to prospects who are assigned to primary relationship managers but have no active opportunity in their entity record (with the exception of those prospects marked “permanent stewardship” or “key connector”—see Section 4.4, Prospect Statuses for more information).

Those prospects whom relationship managers are not actively moving through stages within the recommended time frames or for whom there is no active opportunity may be subject to reassignment. While supervisors have ultimate oversight for relationship managers’ donor work and activity, it is expected that relationship managers and supervisors will fully consider any recommendations made by Prospect Development.

3.4 Conflicts and Appeals

In all matters of assignment and activity coordination, donor-centricity, common sense, and courtesy shall be the prevailing guidelines. Any relationship manager may request a review of the following:

- Primary relationship manager, natural partner (whether staff leader or volunteer leader), and additional solicitor assignment
- Prohibition to contact or solicit a prospect or donor
- Reassignment of prospects showing no contact or moves within 12 months

Where differences of opinion occur, Philanthropy staff are expected to use the following process to resolve conflicts:

1. Meet, as needed, with all interested parties to address and resolve the issue.
2. If consensus is not reached through this process, then the issue should be presented to the relationship managers’ supervisors, who will work with other relevant supervisors and the Director of Prospect Development to facilitate a resolution.
3. If the conflict cannot be resolved in this fashion, the relationship managers’ respective supervisors will bring the conflict to the Prospect Management Committee, which will make the final determination.

4. Prospect Management

4.1 Ideal Portfolio Size and Composition

The following portfolio size and composition recommendations include assignment to prospects and donors at all opportunity stages. Relationship managers should carefully consider the size and composition of their portfolio when requesting assignment to new prospects.

Prospects with the status “permanent stewardship” or “key connector” do not apply to portfolio size counts.

<table>
<thead>
<tr>
<th>Role</th>
<th>Portfolio Size</th>
<th>Stage</th>
<th>Number of Prospects and Donors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regional Fundraisers and Philanthropy Advisors</td>
<td>120-135</td>
<td>Qualification (A)</td>
<td>Experienced relationship managers: 40</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Newer relationship managers: 90</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Cultivating (B)</td>
<td>Experienced relationship managers: 40</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Newer relationship managers: 20</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Solicitation (C)</td>
<td>Experienced relationship managers: 20</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Newer relationship managers: 15</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Stewarding (D)</td>
<td>Experienced relationship managers: 20</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Newer relationship managers: 10</td>
</tr>
<tr>
<td>Institutional Giving Fundraisers (foundation and corporate)</td>
<td>50-75</td>
<td>Active prospects that need strategy: 40</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Propects/repeat donors that don’t require in-depth strategy: 35</td>
<td></td>
</tr>
<tr>
<td>Senior Philanthropy Managers</td>
<td>50</td>
<td>No additional guidelines</td>
<td></td>
</tr>
<tr>
<td>Planned Giving Fundraisers</td>
<td>No guidelines</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This confidential information is the property of The Trust for Public Land and shall not be distributed to unauthorized persons.
4.2 Opportunities
Relationship managers should use opportunities in ClearView to move prospects through the gift cycle and to manage proposals for prospects. Opportunities are tracked from the qualification and/or planning stages through the receipt of a gift. See Section 4.3, Opportunity Stages for more detailed information.

Staff may request training on opportunity management from Philanthropy Services.

4.3 Opportunity Stages
Refer to Addendum 10.3, Opportunity Stages Overview.

Relationship managers are encouraged to communicate with Prospect Development regarding whether the gift capacity rating for individual prospects could be adjusted based on relationship managers’ experience with prospects during qualification or at any other stage of relationship development.

Qualification (Stage A)
- Opportunities should remain in the “qualification” stage for no more than 6 months.
  - Industry best practices indicate that it will take approximately 13 telephone calls to yield one face-to-face appointment.
- Once initial contact has been made and an appointment has been scheduled, the relationship manager needs to qualify the prospect. The purpose of qualification, whether in-person or by telephone, is to confirm the prospect’s inclination to give to The Trust for Public Land, which gift opportunities may be of interest, as well as the prospect’s gift capacity.
  - Industry best practices indicate that it will take approximately 5 visits to yield one prospect.
- The relationship manager’s assessment during qualification will determine whether the opportunity may move to the next stage in the cycle.
- At this stage an automatic trigger will populate the Opportunity Outcome field with “in progress.”
- If the relationship manager determines that a prospect is either “not a prospect now” or “not a prospect ever,” he or she should contact Prospect Development (see Section 4.4, Prospect Statuses) and follow instructions for moving the opportunity to “closed.”
- Regional fundraisers and philanthropy advisors: Assuming a portfolio of 120-135 prospects, experienced relationship managers should have no more than 40 prospects in this stage; newer relationship managers should have no more than 20 prospects in this stage.

Cultivating (Stage B)
- Opportunities should remain in the “cultivating” stage for no more than 12 months.
  - Industry best practices indicate that it will take approximately 5-8 visits to yield one gift for first-time major donors, and 3-4 visits to yield one gift for repeat major donors.
- As the prospect and the relationship manager continue to meet, the relationship manager is carrying out a documented engagement strategy. Conversations with the prospect have become more specific and the relationship manager is determining the best solicitation proposal and team possible.
- At this stage an automatic trigger will populate the Opportunity Outcome field with “in progress.”
- Regional fundraisers and philanthropy advisors: Assuming a portfolio of 120-135 prospects, experienced relationship managers should have no more than 40 prospects in this stage; newer relationship managers should have no more than 20 prospects in this stage.
Solicitation (Stage C)

- Opportunities should remain in the “solicitation” stage for no more than 6 months.
  - Industry best practices indicate that it will take approximately 65 telephone calls and 35 cultivation touches to yield one gift (assumes every qualified prospect who is solicited makes a major gift to The Trust for Public Land).
- The relationship manager knows what areas within The Trust for Public Land the prospect wants to support and solicits the prospect. The solicitation may be made by a natural partner.
- At this stage an automatic trigger will populate the Opportunity Outcome field with “in progress.”
- If the solicitation was unsuccessful, the relationship manager should move the opportunity to “closed.” Once the opportunity is moved to “closed” an automatic trigger will update the Opportunity Outcome field to “declined.”
- Regional fundraisers and philanthropy advisors: Assuming a portfolio of 120-135 prospects, experienced relationship managers should have no more than 20 prospects in this stage; newer relationship managers should have no more than 15 prospects in this stage.

Stewarding (Stage D)

- Opportunities should remain in the “stewarding” stage for no more than 24 months, unless payments on pledges are expected to be made beyond 24 months.
- The gift has been made or the gift documentation has been received in writing.
- At this stage an automatic trigger will move the opportunity to “stewarding” and the Opportunity Outcome field to “accepted” once a gift or pledge has been linked.
- Regional fundraisers and philanthropy advisors: Assuming a portfolio of 120-135 prospects, experienced relationship managers should have no more than 20 prospects in this stage; newer relationship managers should have no more than 10 prospects in this stage.
- Prospects with the status “permanent stewardship” are exempt from this timeline.
  - See Section 4.4, Prospect Statuses for more information on permanent stewardship.
  - Any prospects in permanent stewardship who remain in a relationship manager’s portfolio will not be considered part of the relationship manager’s portfolio count.

Closed (Stage E)

- Once the gift and appropriate stewardship are complete, the relationship manager may move the opportunity to “closed.” The Opportunity Outcome field will remain at “accepted” since a gift or pledge has been linked to the opportunity.
- The relationship manager may open an opportunity for the next gift cycle, or he or she may choose to release the prospect.
- In appropriate cases, determine whether a prospect should be in permanent stewarding.
- If the solicitation was unsuccessful, the relationship manager should move the opportunity to “closed.” Once the opportunity is moved to “closed” an automatic trigger will update the Opportunity Outcome field to “declined.”
- If a relationship manager has disqualified the prospect, the relationship manager should move the opportunity to “closed” and update the Opportunity Outcome field to “disqualified.” The relationship manager should also contact Prospect Development regarding removing relationship manager assignment and whether the prospect should be considered “not a prospect now” or “not a prospect ever.”
- Whenever possible, relationship managers should return individual prospects or donors to the Annual Giving program, especially if the relationship manager is discontinuing management of a donor after the opportunity has been completed or the solicitation was unsuccessful. Relationship managers should review the Annual Giving Solicitation Status and make requests for changes to Philanthropy Services or Prospect Development, as appropriate.
4.4 Prospect Statuses

The ability to modify Prospect Status in ClearView is restricted to Prospect Development.

4.4 (a) Major Gift Suspect

- This status is used primarily by Prospect Development to identify those major gift suspects who have the potential to be qualified by but are not yet assigned to a relationship manager. Once assigned, this status will be removed.

4.4 (b) Permanent Stewardship

- A donor has made his or her ultimate gift to The Trust for Public Land and is expected to contribute annual gifts in perpetuity without potential for a major or stretch gift.
- These donors should continue to be assigned to and stewarded by a relationship manager if these donors require a certain level of attention by a particular relationship manager. Relationship managers may have active opportunities for annual gifts for donors with this status for solicitations being made by the relationship managers.
- Relationship managers should consider whether a donor in permanent stewardship may be stewarded solely by the Stewardship program, or whether the donor may be stewarded jointly by the relationship manager and the Stewardship program.
- These prospects will be marked as being in permanent stewardship by Prospect Development at the recommendation of relationship managers. If a relationship manager recommends that a donor’s “permanent stewardship” status be removed, the relationship manager should contact Prospect Development.
- Prospects with the status “permanent stewardship” do not apply to a relationship manager’s portfolio count.

4.4 (c) Key Connector

- Prospect is connector to major gift prospects or influential individuals and/or organizations. Prospect may be the family member or family foundation of a major gift prospect.
- Relationship managers may request that a prospect be marked as a “key connector.”
- If a relationship manager no longer wishes to manage a prospect marked “key connector,” the “key connector” status will be removed.
- Prospects with the status “key connector” do not apply to a relationship manager’s portfolio count.

4.4 (d) Not a Prospect Now (Disqualification) may be considered in two instances:

- (1) When a relationship manager determines that a prospect has no affinity for The Trust for Public Land and has indicated that he or she does not want to be engaged in a relationship with the organization at this time.
- (2) When a relationship manager is unable to successfully contact the prospect. Before a prospect is disqualified due to an inability to make contact, a staff member should attempt contact (via visit, volunteer outreach, personalized letter or email, or telephone) at least three times within a 6-month period.
- Relationship managers should notify Prospect Development that a prospect has been disqualified with a recommendation for a “revisit date” indicating when the prospect should be considered for reassignment, and providing the reason why the prospect was disqualified.
- Prospect Development will monitor those prospects who are due to be ‘revisited’ for qualification.

4.4 (e) Not a Prospect Ever (Inactivation) may be considered in two instances:

- (1) When a relationship manager determines through qualification that a prospect has no inclination to ever be engaged by The Trust for Public Land.
- (2) When a relationship manager deems it inadvisable for the organization to continue a relationship with or receive gifts from a prospect.
- Relationship managers should notify Prospect Development that a prospect has been deemed “not a prospect ever” and provide the reason why the prospect was disqualified.
- Prospect Development will update the Annual Giving Solicitation Status for the prospect accordingly.
4.5 Prospects and the Annual Giving Program

By default, and as best-practice, new prospect records will be coded to receive appropriate mailed letters and emails describing the work of The Trust for Public Land and how we make an impact. Exceptions include institutional records, some landowner records, and other special circumstances which are subject to review.

The ability to change Annual Giving Solicitation Status is restricted to Philanthropy Operations staff. Annual Giving Solicitation Status will only be changed if a donor-directed request has been made or if a prospect is in the “solicitation” stage and the request is made to Philanthropy Services or to Prospect Development by the relationship manager responsible for the solicitation.

See “Annual Giving Solicitation Statuses” in Section 9, Definition of Key Terms, for a list of status types.

5. Prospect Contact Guidelines

5.1 Unassigned Prospects

Any relationship manager may contact unassigned prospects in order to assess their interest in a particular area and to begin the cultivation process. Relationship managers are responsible for reviewing the actions and contact reports in a prospect’s ClearView record prior to initiating contact to determine if prior contact has been made and/or qualification work is underway by another relationship manager.

Prospects without documented significant contact for 12 months are considered unmanaged and may be subject to reassignment. If a contact report has been entered within the last 12 months, it is the responsibility of the interested parties to coordinate appropriate, donor-centric next steps for contact with the unassigned prospect.

5.2 Assigned Prospects

A critical component of prospect management is strong, clear coordination of communication, strategy, and solicitation – all responsibilities of the primary relationship manager. To that end, the following contact protocols are in place for all assigned prospects.

It is every relationship manager’s responsibility to check whether a prospect is assigned in ClearView prior to initiating contact. In all instances, a relationship manager must contact the primary relationship manager prior to contacting an assigned prospect. The primary relationship manager is expected to respond at the earliest possible convenience. In instances of staff transition, relationship managers should contact Prospect Development if they wish to contact a prospect who is assigned to a primary relationship manager who has departed the organization.

If a prospect initiates contact with a relationship manager who is not the primary relationship manager, the contacted relationship manager should notify the primary relationship manager as soon as possible after the contact (in addition to filing an action in ClearView) and ensure that future interactions are coordinated.

The following exceptions do not require advance notification of the primary relationship manager:

- Membership/program renewals (giving societies, invitations to Conservation Champions benefits, etc.)
- Event-related inquiries (RSVP, seating questions)
- Board/committee meetings for existing appointments

The primary relationship manager may determine that contact by another relationship manager is inappropriate when any of the following situations occur:

- A projected date is scheduled within 90 days and is documented in ClearView
- A formal solicitation has been made and a response is pending
Prospect Management Policy

5.3 Contact and Briefing Reports

Contact reports should record all interactions with a prospect that move forward the relationship between the prospect and The Trust for Public Land (as it relates to giving, engagement, etc.). Active moves versus passive actions are outlined below:

1. Active:
   a. Customized and oriented to prospects
   b. Usually meetings and telephone calls, whether with the relationship manager or other Trust for Public Land staff or volunteers
   c. Require a contact report

2. Passive:
   a. Contacts that do not contribute directly to a solicitation
   b. Usually mailings and emails
   c. Unintentional meeting/contact or contact in a group setting
   d. Do not require a contact report

3. Recording Data Points:
   ▪ Relationship managers are expected to use the contact report template (available as Addendum 10.4), briefing report template (available as Addendum 10.5), or briefing and contact report template (available as Addendum 10.6) to record significant interactions with prospects that result in active movement.
   ▪ In order to promote Philanthropy-wide consistency and professionalism, relationship managers are expected to use the briefing report template when briefing any cultivation or solicitation team (including Senior Leadership Team members, volunteer leaders, or other staff).
   ▪ Relationship managers are expected to file briefing reports and/or contact reports in ClearView within 10 business days of the contact.

6. Principal Gift Solicitations

For solicitations of $1 million or more relationship managers should engage a senior strategist in the solicitation strategy; this could be through a strategy meeting, email exchange regarding a documented solicitation strategy or proposal, or other appropriate means.

A senior strategist is a Senior Philanthropy Manager or a Philanthropy Advisor. The purpose of engaging a senior strategist is to ensure that relationship managers have necessary organizational resources and support to increase the chances for solicitation success.

7. Planned Gift Solicitations

For solicitations that incorporate both an outright and a planned giving component or that are completely planned giving in nature, relationship managers should engage the Director of Planned Giving in the solicitation strategy; this could be through a strategy meeting, email exchange regarding a documented solicitation strategy or proposal, or other appropriate means.

The purpose of engaging the Director of Planned Giving is to ensure that relationship managers have the grounding that they need in order to have a productive and successful conversation with prospects, particularly as it relates to the planned giving element of the gift.
8. Confidentiality of Prospect Data

Prospects and donors have the right to see the information contained in their own entity record. Therefore, discretion and common sense must be used when entering interactions and other information in ClearView.

It is important to be factual, professional, and balanced in the approach and description of prospect activity. Interactions should only include information that will help Philanthropy staff and Trust for Public Land leadership develop meaningful relationships with prospects and donors.

Conjecture, personal opinion, and revealing intimate or private information should not be included in entity records. Interactions should never include health, personally private, or potentially embarrassing information.

9. Definition of Key Terms

**Annual Giving Solicitation Statuses:**

- MAIL – Mail Program
  - Eligible for all Annual Giving solicitations (mail and email)
- TRMS – Temporarily Remove from Mail Solicitation
  - A relationship manager is engaged in the solicitation of the prospect; no Annual Giving solicitations will be sent
- DNS – Do Not Solicit
  - A donor has informed us that he or she would not like to receive Annual Giving solicitations; no Annual Giving solicitations will be sent
  - This status applies to organizational records and some landowner records
- MSO – Mail Solicit Only
  - This will mark records eligible for mail solicitation efforts but remove them from any email solicitations
- SLYE – Solicit Year-End Only
  - A donor has informed us that he or she would like to receive Annual Giving solicitations only at calendar-year-end or once each year
- EM – Email Solicit Only
  - A donor has informed us that he or she would like to receive Annual Giving solicitations only via email
- ESYE – Email Solicit Year-End Only
  - A donor has informed us that he or she would like to receive Annual Giving solicitations only at calendar-year-end or once each year AND just via email
- LMS – Limited Mail Solicitation
  - A donor has informed us that he or she would receive fewer Annual Giving solicitations
  - This will limit the donor’s Annual Giving solicitations to campaigns such as Renewal, Calendar, and the Year-End Match
- CHMP – Conservation Champions Solicitation Only
  - This code will make the entity eligible for three high value solicitation mailings per year.

**ClearView:** The official Trust for Public Land philanthropy database of record for biographical, relationship, and giving information about philanthropy entities.

**Engagement Strategy:** This is a plan of how you might secure an initial meeting and draw the prospect closer to the organization. It is likely to evolve as the dynamics of the relationship between the prospect and the organization change over time.
Entity: A person or an organization for which biographical and giving information is recorded and stored in ClearView.

Experienced Relationship Manager: 5+ years of experience in major gift fundraising and/or has met or exceeded goals for 2+ years and/or has 2+ years of tenure at The Trust for Public Land.

Major Gift Prospect: A prospect with a Research or Screened Gift Capacity Rating of $100,000 or more.

Opportunity: A proposal managed and maintained in ClearView for the purpose of soliciting a donor for a gift to The Trust for Public Land. Opportunities are tracked from the qualification and/or planning stages through the receipt of a gift resulting from that solicitation.

Opportunity Stages:
- Qualification (A)
  - The relationship manager has met with the prospect and confirmed his or her interest in supporting The Trust for Public Land, or this is a previous Trust for Public Land donor with whom the relationship manager is familiar. The relationship manager is developing an engagement strategy for a new solicitation(s).
- Cultivating (B)
  - The relationship manager is carrying out a documented engagement strategy and conversations with the prospect have become more specific as the relationship manager determines the best solicitation proposal and team possible.
- Solicitation (C)
  - The relationship manager solicits the prospect or manages the solicitation via a natural partner.
- Stewarding (D)
  - The donor has provided the funds or made a written commitment (pledge) for a gift. This stage includes acknowledgment, reporting, recognition, and all related follow-up specific to this gift.
- Closed (E)
  - The gift and appropriate stewardship are complete, or the solicitation was unsuccessful, or the relationship manager has disqualified the prospect.

Philanthropy Advisor: Another term for Major Gift Officer.

Principal Gift: A gift or pledge of $1 million or more.

Principal Gift Prospect: A prospect with a Research or Screened Gift Capacity Rating of $1 million or more.

Prospect: One or more entities (e.g. an individual, household, family, or organization) for whom a strategy is developed and relationship information is tracked, typically with the purpose of cultivating towards a gift.

Prospect Management: The planning, recording, and tracking of relationship development between a prospect and The Trust for Public Land as the prospect moves through the gift cycle.

Prospect Statuses:
- Major Gift Suspect
  - This status is used primarily by Prospect Development to identify those major gift suspects who have the potential to be qualified by but are not yet assigned to a relationship manager. Once assigned, this status will be removed.
- Permanent Stewardship
  - A donor has made his or her ultimate gift to The Trust for Public Land and is expected to contribute annual gifts in perpetuity without potential for a major or stretch gift. Donor has low/no potential for receiving a gift proposal from a relationship manager.
Prospect Management Policy

Key Connector
- The prospect is a connector to major gift prospects or influential individuals and/or organizations. Prospect may be the family member of or family foundation for a major gift prospect.

Not a Prospect Now (Disqualification)
- The prospect may be interested in The Trust for Public Land but is not prepared to review a proposal in the short-term (reasons include he or she is over-committed, has business distractions, there is a family illness, etc.).

Not a Prospect Ever (Inactivation)
- The prospect is not interested in funding The Trust for Public Land’s work.

Prospect Strategy: A comprehensive strategy, developed by the primary relationship manager in coordination with the natural partner and any additional solicitors, that considers multiple interests and all forms of giving (annual, major, unrestricted, regional, programmatic, planned, etc.) to maximize the prospect’s giving.

Regional Fundraiser: Director of Philanthropy, Associate Director of Philanthropy, or Engagement Officer

Relationship Manager: Frontline fundraiser who manages and maintains the organization’s relationship with the prospect and coordinates the actions of other staff and volunteers who have relationships with the prospect. There can only be one primary relationship manager on each entity record.

Research Gift Capacity Rating (aka Validated Gift Capacity Rating): An estimation of the total amount that an individual prospect could give over a five-year period. It is based on publicly-available information about personal wealth, assets, and philanthropy, and may be surmised by information about career history or family wealth. This rating is provided by Prospect Development.

Screened Gift Capacity Rating (aka WealthEngine Gift Capacity Rating): Electronic wealth screening is the process by which wealth information is collected from financial and biographical data sources in order to develop a gift capacity rating for individual prospects. Prospects are assessed via a number of data sources and appended with information that seems to be a likely match.

Senior Leadership Team: Consists of the most senior leaders at the organization (President & CEO, Chief Philanthropy Officer, Division Directors, Chief Marketing Officer, General Counsel, Chief Financial Officer, Director of City Park Development, Director of Conservation Strategies, and Chief of Staff).

Senior Philanthropy Manager: Member of the Senior Philanthropy Managers group (e.g. Chief Philanthropy Officer, Division Director of Philanthropy, Director of Major Gifts, Senior Campaign Strategist, Director of Planned Giving, etc.)

Senior Strategist: A Senior Philanthropy Manager or Philanthropy Advisor.

Solicitor: Another term for relationship manager.

Staff Leader (Natural Partner): A staff person at The Trust for Public Land (e.g. Senior Leadership Team member, state director, program lead, and/or project manager) who, in coordination with the relationship manager, contributes to the overall relationship with the prospect by driving an organization-wide cultivation and solicitation strategy.

Volunteer Leader (Natural Partner): A volunteer leader (e.g. national board member, advisory board member) at The Trust for Public Land who, in coordination with the relationship manager, contributes to the overall relationship with the prospect by driving an organization-wide cultivation and solicitation strategy.
10. Addenda

This section includes the following addenda:

- **10.1 Opportunity Management Guidelines**

- **10.2 Overview of Prospect Management Reports**

- **10.3 Opportunity Stages Overview:** A simplified one-page overview of the five opportunity stages in ClearView. This overview is also available as a separate document.

- **10.4 Contact Report Template:** The standard contact report template that all relationship managers should use to document active moves for prospects and donors. Contact reports should be filed in ClearView within 10 business days of the contact. This template is also available as a separate document.

- **10.5 Briefing and Contact Report Template:** The standard briefing template that all relationship managers should use to brief a cultivation or solicitation team. These teams could include other Philanthropy staff, members of Senior Leadership Team, program or project staff, or volunteer leaders. Briefing and contact reports should be filed in ClearView within 10 business days of the contact. This template is also available as a separate document.
  
  - A contact report section is included in the template to facilitate the combined documentation of a briefing and the contact report that results from that meeting with the prospect.
10.1 Opportunity Management Guidelines

The Opportunity module in ClearView is intended to track specific gift opportunities and proposals, not all giving activity with a prospect or donor. Philanthropy staff must adhere to the following guidelines when creating and managing opportunities in the database.

- Opportunities should be opened by a relationship manager when a solicitation is planned by the relationship manager or another Trust for Public Land leader or volunteer.

- Opportunities should not be opened if a relationship manager has no intention of qualifying, cultivating, and personally soliciting a donor or prospect.

- Opportunities should not be created on records assigned to another primary relationship manager without approval from that primary relationship manager.

- The Projected/Solicited Amount field should never be $0. This figure may be updated at any time. The amount in this field in the Solicitation stage is recorded as the Requested Amount.

- Future year projections are not required for opportunities. However, the future year fields in an opportunity may be utilized to note anticipated annual gifts.

- Gifts will not be linked to opportunities without clear evidence of a personal solicitation.
  - Solicitation documentation (proposal, personal appeal) or actions (phone, visit, solicitation) must be in the database for a gift to be linked.
  - Opportunities should never be created retroactively in response to receipt of an un-solicited gift or a gift that was solicited by the Annual Giving program.

- The Annual Giving and Conservation Champions program forecasts and tracks revenue from donors they solicit. Opportunities need not be used to track gifts from these donors. Total giving from donors is tracked in other reports.

- Opportunities are not intended to create or track budgets and have no implications for The Trust for Public Land’s budget planning. Division Directors of Philanthropy and National and Divisional Finance Directors can support relationship managers in forecasting and budgeting annual philanthropy goals.
10.2 Overview of Prospect Management Reports

- **[New] Relationship Manager Dashboard Report:** Displays count of prospects by stage, average amount of time prospects remain in that stage, and breaks out prospects by other criteria.

- **[New] Primary Relationship Manager Assignments Report:** Displays the prospects for whom you are assigned as primary relationship manager.

- **[New] Sunset Report:** Helps identify prospects who remain in an opportunity stage for time periods exceeding the recommended amount of time in that stage. These reports should be reviewed by relationship managers and supervisors on a regular basis. Prospect Development may also regularly review these reports to ensure that prospects are being moved through the gift cycle.

- **[New] Relationship Manager Assignment Change Report:** A report of all new and changed primary relationship manager assignments that Prospect Development sends to all Philanthropy staff at regular intervals.

- **Pipeline Report for Excel by Relationship Manager:** Displays opportunities by opportunity owner/solicitor with information about the opportunities and some information about the giving history of prospects.

- **Completed Action Report:** Displays completed actions by action owner/solicitor and completed action date range; can be exported to Excel.

- **Open Action Report:** Displays open actions by action owner/solicitor and open action date range; can be exported to Excel.

- **Pipeline by Appeal with Next Step:** Displays active opportunities by designation/appeal; includes the next action associated with each opportunity; can be exported to Excel.

- **Pipeline Parameter Report:** Displays active opportunities by opportunity owner/solicitor, opportunity status, other solicitor, staff leader (natural partner), volunteer leader (natural partner), and state; can be exported as a PDF file.

- **Portfolio Projection Report:** Displays opportunities from a 5-year planning perspective; includes designation/appeal information for the opportunities and displays gifts linked to opportunities in the current fiscal year; can be exported as a PDF file or to Excel.

- **Relationship Manager Opportunity Report:** Displays opportunities by opportunity owner/solicitor and includes count of discovery visits, total visits, and other actions linked to those opportunities; can filter report by stage; can be exported as a PDF file or to Excel.

- **Relationship Manager Progress Reports:**
  - The **Relationship Manager Monthly Progress Report** reflects information for the prior month. For each relationship manager, it lists the total portfolio count and total number of opportunities at the “qualification” stage; activity metrics (including visits and solicitations); and value of all asked, projected, and booked solicitations.
  - The **Relationship Manager Quarterly Progress Report** contains the same information as the monthly progress report, but reflects cumulative information from the start of the fiscal year on a quarterly basis.

- **Relationship Manager Visit Summary by Date:** Displays count of visits by relationship manager and by month within a date range; counts all visits regardless of whether they are associated with an opportunity if the relationship manager is listed as the action owner on the visit action; can be exported as a PDF file or to Excel.
## Opportunity Stages Overview

<table>
<thead>
<tr>
<th>Stage</th>
<th>Qualification</th>
<th>Cultivating</th>
<th>Solicitation</th>
<th>Stewarding</th>
<th>Closed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Per Stage</td>
<td></td>
<td>Within 6 months</td>
<td>Within 12 months</td>
<td>Within 6 months</td>
<td>Within 24 months</td>
</tr>
<tr>
<td>Cumulative</td>
<td></td>
<td>6 months</td>
<td>18 months</td>
<td>24 months</td>
<td>48 months</td>
</tr>
<tr>
<td>-</td>
<td>Schedule appointment to confirm inclination to give, gift capacity, and which gift opportunities may be of interest</td>
<td>Continue to meet with prospect</td>
<td>You know what areas within The Trust for Public Land the prospect wishes to support</td>
<td>Donor has provided the funds for a gift or made a written pledge</td>
<td>Gift and appropriate stewardship are complete</td>
</tr>
<tr>
<td></td>
<td>Determine whether the opportunity may move to the next stage in the cycle OR</td>
<td>Develop documented engagement strategy</td>
<td>You solicit the prospect or manage the solicitation by a natural partner</td>
<td>For pledges, keep opportunity at “stewarding” until all payments are made</td>
<td>Open opportunity for the next gift cycle OR release prospect</td>
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<tr>
<td></td>
<td>Determine if prospect is “Not a Prospect Now” or “Not a Prospect Ever” (see instructions for moving opportunity to “closed”)</td>
<td>Determine the best solicitation proposal and team possible</td>
<td>Opportunity Outcome field automatically populated with “in progress”</td>
<td>Keep opportunity at “stewarding” until all stewarding actions are complete</td>
<td>In appropriate cases, determine whether prospect should be in permanent stewarding OR</td>
</tr>
<tr>
<td></td>
<td>Opportunity Outcome field automatically populated with “in progress”</td>
<td>Opportunity Outcome field automatically populated with “in progress”</td>
<td>If solicitation was unsuccessful, move opportunity to “closed” and an automatic trigger will update the Opportunity Outcome field to “declined”</td>
<td>Once a gift or pledge has been linked, an automatic trigger will move the opportunity to “stewarding” and the Opportunity Outcome field to “declined”</td>
<td>Prospect has been disqualified and the opportunity is no longer valid; update Opportunity Outcome field to “disqualified”</td>
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<tr>
<td>Potential Activity Levels</td>
<td></td>
<td></td>
<td></td>
<td>For any of the above cases, return prospect to the Annual Giving program, as appropriate</td>
<td></td>
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</table>

### In This Stage...

- ~13 calls to yield one face-to-face appointment
- ~5 visits to yield one prospect
- 3 to 8 visits to yield one gift from a major gift donor
- ~65 telephone calls and ~35 cultivation touches to yield one gift

### Portfolio Composition

For regional fundraisers and philanthropy advisors; assuming a portfolio size of 120-135

<table>
<thead>
<tr>
<th>Portfolio Composition</th>
<th>Experienced RMs: 40</th>
<th>Experienced RMs: 40</th>
<th>Experienced RMs: 20</th>
<th>Experienced RMs: 20</th>
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<tr>
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<td>Newer RMs: 90</td>
<td>Newer RMs: 20</td>
<td>Newer RMs: 15</td>
<td>Newer RMs: 10</td>
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</table>

(excluding permanent stewardship)
Prospect Name:

Prospect ID #:

Report Submitted by:

Report Distributed to:

Contact Details

Method of Contact (meeting or phone call):

Date:

Location:

Participants (name and title):

- 
- 
- 

Contact Report and Follow-Up

Opportunity Stage Prior to Contact:
Opportunity Stage as a Result of Contact:

Purpose of Contact:
- 
- 

Contact Summary:
- 
- 
- 

Key Information Conveyed to Prospect:
- 
- 
- 

Significant Takeaways Resulting from Contact:
- 
- 
- 

Next Steps:
- 
-
Meeting Information

Date and Time:

Location:

Participants (name and title):

Meeting Background and Purpose

Goals/Desired Outcomes:

Talking Points:

Trust for Public Land Relationship

Primary Relationship Manager:

Gift History:

Recent Contact Highlights:

Relationships/Connections:
<table>
<thead>
<tr>
<th>Prospect Background</th>
</tr>
</thead>
</table>

**Contact Information:**
- 
- 

**Background Information:**
- 
- 

**Other Philanthropy and Affiliation Highlights:**
- 
- 

**Other Considerations:**
- 
- 

Meeting Information

Date and Time:

Location:

Participants (name and title):

Meeting Background and Purpose

Goals/Desired Outcomes:

Talking Points:

Trust for Public Land Relationship

Primary Relationship Manager:

Gift History:

Recent Contact Highlights:

Relationships/Connections:
Prospect Background

Contact Information:


Background Information:


Other Philanthropy and Affiliation Highlights:


Other Considerations:


Contact Report and Follow-Up

Report Distributed to:


Opportunity Stage Prior to Contact:
Opportunity Stage as a Result of Contact:

Contact Summary:


Key Information Conveyed to Prospect:


Significant Takeaways Resulting from Contact:


Next Steps:


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<th>Policy Version</th>
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<th>Modifications</th>
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<tr>
<td>1</td>
<td>8.18.2008</td>
<td>Policies governing use of program prospect added</td>
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<tr>
<td>2</td>
<td>2.25.2009</td>
<td>Incorporation of prospect management policies for Corporate and Foundation Relations</td>
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<tr>
<td>3</td>
<td>8.17.2009</td>
<td>Incorporation of additions and revisions related to APMI Phase 4 roll out and householding policy</td>
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<tr>
<td>4</td>
<td>10.14.2009</td>
<td>Incorporation of revised policies regarding proposal entry and prospect stage assignments</td>
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<tr>
<td>5</td>
<td>7.26.2010</td>
<td>Inclusion of enhanced clearance/assignment request policies</td>
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<td>10.4.2011</td>
<td>Reviewed and updated prior to November 2011 transition to CATracks</td>
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<td>7</td>
<td>2.23.2012</td>
<td>Updated to include addition of Proposal Ask Date and revised proposal policies; volunteer assignments and policies; enhanced explanation of contact reports vs. notes</td>
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<td>8</td>
<td>7.10.2012</td>
<td>Updated to incorporate policies for allowing Program Record and Program Prospect Manager assignments to be created and maintained by select ARD staff members outside of Prospect Management; also incorporates the renaming of proposal-level assignments as Proposal Manager and Proposal Assist</td>
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<td>9</td>
<td>10.1.2012</td>
<td>Updated to incorporate change of Prime Officer assignment type to University Liaison</td>
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<td>10</td>
<td>7.18.2013</td>
<td>Updated to incorporate policy clarifications concerning team pools; 90-day contact rule; responsibilities of Proposal Managers vs. Proposal Assists; stricter policy for allowing Prospect Manager assignment; stricter policy for requesting capacity evaluations from Research</td>
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<td>Updated to include changes to the proposal purpose window in CATracks, changing the Granted field to be renamed Anticipated Commitment.</td>
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<td>12</td>
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<td>Inclusion of policy for handling unresponsive prospects</td>
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<td>13</td>
<td>10.20.2015</td>
<td>Inclusion of policy for recording university overall strategies</td>
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<tr>
<td>14</td>
<td>6.24.2016</td>
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Prospect Records  
Program Prospect Records
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PROSPECT MANAGEMENT POLICIES
Office of Alumni Relations & Development

PROSPECT IDENTIFICATION

Prospects are defined as any entity in CATracks with either an evaluation supplied by Research or a University Overall Rating (UoR) supplied by a gift officer (see “Glossary” for definitions of research evaluations and UoRs). An entity with either an evaluation or rating is also referred to as “qualified.”

Prospects are identified primarily in one of two ways, either by the Research team or by fundraising staff.

Prospects identified by Research:
- Research analyst decides to evaluate an entity due to information found through proactive research
- Performs research in various online and print sources to collect wealth information and estimate gift capacity
- Enters capacity evaluation in CATracks
- Prospect Management pushes newly identified prospects out via New Leads Report (see “Reporting”) and creates prospect record and prospect program(s)
- Prospect is assigned to team pool based on assignment criteria and becomes available for assignment to prospect managers upon request

Requesting Capacity Evaluations from Research:
- Prospects are eligible for evaluation by Research if they do not have 1.) an existing capacity evaluation less than 5 years old OR 2.) a University Overall Rating less than 5 years old
- Exceptions to the above will only be granted if the requestor provides compelling evidence of new information that would substantially impact a prospect’s capacity (e.g. the prospect is named an insider of a publicly-traded company; there is a change in the prospect’s published net worth)
- Requests for capacity evaluations should be sent to ard-research@listserv.it.northwestern.edu. To expedite requests, the requestor should include details about when the information is needed, how it will be used, and any other facts about the prospect(s) that may assist the assigned Research staff member in completing the request

Prospects identified by fundraising staff:
- Gift officer makes qualifying visit
- Visit results in ability to establish a UoR
- Gift officer asks Prospect Management to create a prospect record
- Once prospect record is created, the gift officer assigns a UoR and requests assignment to appropriate prospect manager, team pool and program(s)

PROSPECT AND PROGRAM PROSPECT RECORDS

Prospect management information related to an individual’s overall relationship to Northwestern and to specific fundraising units within the University is recorded in his/her prospect and program records.
[Note: Due to changing definitions over time, the number of individuals in CATracks who have prospect records does not represent the number of prospects in ARD’s prospect pipeline. Only entities with active prospect records are counted as part of the prospect pipeline.]

Prospect records may only be created by Prospect Management and are done so after an individual has been qualified. Program records may be created and maintained by select ARD staff with appropriate CATracks security rights and are used to track information related to the school(s)/unit(s) that will be benefiting from the ultimate solicitation of the prospect.

**Prospect Records**
Prospect records are used to track information regarding the team and/or person responsible for managing the prospect’s overall relationship with Northwestern. Data at the prospect level is maintained by Prospect Management staff only.

**Information Tracked at the Prospect Level:**
- Prospect Start and Stop Dates
- Prospect Type (Individual, Corporation, Foundation, etc.)
- Prospect Manager, Other Relationship and Reunion Assignments
- Team Assignment
- Stage
- Active/Inactive Status
- Househelded Entities

**Program Prospect Records**
Program prospect records offer a second layer of prospect management detail, and are used to track prospect management information specific to the fundraising unit that will benefit from the ultimate solicitation. Most data at the program level is maintained by the prospect manager and program-level assigned officers.

Program prospect records are created by request once an officer has identified a prospect’s giving interest(s). Select ARD staff with appropriate CATracks security rights may create and inactivate program records. Notification that a program record has been created or inactivated should be sent via e-mail to prospectmgmt@northwestern.edu so that a record of the change can be logged in the OSS (Operation Support System).

A program type of TBD exists for use in cases where the program is not yet known. Program Prospect Manager assignments may be made on TBD programs in certain situations; however, these will come under regular review by Prospect Management and may be removed at its discretion if sufficient activity toward identifying a program has not occurred.

**Information Tracked at the Program Prospect Level:**
- Program Area
- Program Start and Stop Dates
- Program Prospect Manager; Annual Fund, Gift Planning, Alumni Relations and Other Program Relationship Assignments; Proposal Assigned and Other Proposal Relationship Assignments
- Proposals
• University Overall and Program Ratings
• University Overall and Program Strategies
• Program Tasks (aka Next Steps)
• Active/Inactive Status

HOUSEHOLDING

To increase the accuracy of reporting and cleanliness of prospect management data, Prospect Management treats individual entities whose CATracks records are linked by spouse or domestic partner relationships as a single prospect unit with one shared prospect record. This prospect record will be named for the couple (e.g. John and Joan Smith) and will indicate which entity is considered to be the primary prospect, using the “Entities” window within the prospect record.

To determine primary prospect status, Prospect Management will adhere to the following criteria:

• If one entity has a prospect record and the other does not, the entity with the existing prospect record is the primary prospect by default

If both entities have existing prospect records or neither entity has a prospect record, primary prospect designation will be assigned as follows:

• University trustees are primary prospects by default
• If only one entity is assigned to a Prospect Manager – entity with Prospect Manager assignment is primary prospect
• If both entities are assigned to Prospect Managers or neither are assigned to Prospect Managers, but only one has a history of either active or inactive proposals – entity with proposal history is primary prospect
• If both entities have proposal histories but only one has currently active proposals – entity with active proposals is primary prospect
• If both entities have active proposals but only one has a contact report of type “visit” – entity with visit contact report(s) is primary prospect
• If both entities have visit contact reports but only one has an active strategy – entity with active strategy is primary prospect
• If both entities have active strategies but only one has other future dated next steps – entity with next steps is primary prospect
• If both entities have next steps but only one is an alum – alum is primary prospect
• If both entities are alums but only one has a giving affiliation – entity with giving affiliation is primary prospect
• If both entities have giving affiliations but only one is qualified – qualified entity is primary prospect

All other scenarios will be reviewed on a case-by-case basis by Prospect Management and/or the appropriate gift officer(s) for primary prospect designation.
Primary prospect designation does not refer to the “importance” of one individual over another in a householded couple. Primary prospect designation simply indicates where the combined prospect record will “live.”

When householding prospects, Prospect Management will inactivate the prospect record of the entity not designated primary, along with any existing program records, assignments and proposals. *Data will not be deleted from the system.*

**Householding and Programs**

All policies governing program record creation and maintenance apply to householded prospects—program records will be created only within the primary prospect’s CATracks record.

**Separating Previously Householded Prospects**

If it is determined that householded prospects should permanently be treated separately from one another (due to divorce, separation, etc.), a duplicate prospect record will be created for the non-primary prospect, and information specific to both prospects will thenceforward be recorded only in their respective prospect records. An explanation detailing why and when the split occurred should be recorded in both records as an entity note.

**Householding and Deceased Prospects**

In cases where the deceased member of the householded couple is the non-primary prospect, the prospect record will simply be renamed for the surviving individual only, and no other changes will be made. (Ex. “John and Joan Smith” would become “John Smith”)

In cases where the deceased member of the householded couple is the primary prospect, primary status will be switched to the surviving individual’s prospect record, and the record will be renamed for the surviving prospect.

**ASSIGNMENTS AND CLEARANCE**

Requests for assignment should be sent to Prospect Management via its request e-mail address: prospectmgmt@northwestern.edu. Prospect Management uses Footprints as its system for tracking requests. A requestor will receive an e-mail generated by Footprints confirming receipt of the request and a confirmation that the request has been completed. The standard turn-around for most requests is 3 business days. Larger requests may take longer. Prospect Management reserves the right to deny assignments if deemed appropriate.

**Assignment Types**

Prospect Manager: ARD staff member responsible for managing the university overall relationship with a prospect

- Maintain university overall strategy and rating
- Monitor program-level data
- Coordinate all other assigned officers
- Monitor proposals to ensure accuracy
University Liaison: Non-ARD NU staff or faculty member who is significantly involved in the cultivation and/or solicitation of a prospect (most commonly used for University President and deans)

- Works in conjunction with the Prospect Manager on any cultivation, solicitation or stewardship activities, as applicable
- May not make changes to CATracks prospect data without clearance from Prospect Manager

Other Relationship: NU staff member(s) or volunteers who have a vested interest in staying informed about the relationship between NU and a prospect, but do not function as the Prospect Manager

- Works in conjunction with the Prospect Manager on any cultivation, solicitation or stewardship activities, as applicable
- May not make changes to CATracks prospect data without clearance from Prospect Manager

Reunions Officer: Reunion staff member responsible for managing reunion activities for the duration of a prospect’s reunion year

- Works in conjunction with Prospect Manager
- May not make changes to CATracks prospect data without clearance from Prospect Manager

Program Prospect Manager: ARD staff member responsible for managing the program-specific relationship with a prospect

- Maintain program-level data
- Only one Program Prospect Manager may be assigned to a given program

Annual Fund, Gift Planning, Alumni Relations and Other Program Relationship Assignments: ARD staff members who collaborate with the Program Prospect Manager in ensuring that specific fundraising teams are represented during the cultivation and solicitation of a prospect

- Multiple assignments of these types may exist for a single program
- May not make changes to a prospect’s program record without permission from Program Prospect Manager

Proposal Manager: ARD staff member responsible for managing the actual solicitation of a prospect

- Proposals may have only one Proposal Manager
- May not make changes to proposal data without permission from Prospect Manager

Proposal Assist: Any other NU staff or faculty member who provides assistance in managing a solicitation

- Proposals may have multiple Proposal Assist assignments
- May not make changes to proposal data

Proposal Managers vs. Proposal Assists

Officers are allowed to assign/unassign themselves as Proposal Managers and Proposal Assists. To determine which role best applies on any given solicitation, refer to the following list that identifies the primary steps involved in soliciting and closing a gift. The officer who is responsible for most or all of these steps qualifies as Proposal Manager; other officers who are involved in one or more of these steps qualify as Proposal Assists:

- Identify donor’s philanthropic interests as they relate to Northwestern and develop strategy that will lead to a major gift solicitation
• Compose (all or significant portions of) the proposal and manage the process
• Solicit the donor (i.e. be present in the room to make the ask)
• Develop and facilitate engagement strategy including meeting logistics for multiple interactions between the prospective donor and NU president/deans/faculty/staff/gift officers in preparation for the ask
• Prepare the Gift Details Form for a gift agreement and manage the process from start to finish including relevant edits in the negotiation process
• Follow up with the prospective donor and/or his/her financial planners on all relevant gift negotiations
• Provide expert support for solicitation and giving strategies or vehicles (e.g. split interest gift illustrations, contact with an attorney or financial planner, etc.)

Team Pools
The purpose of team pools is to align prospects with the team best positioned to begin discovery and cultivation work based on the prospect’s demonstrated affinities, capacity/inclination, geographic location, etc. Team pool assignments are always suggestions only. They should not be viewed as protected barriers, and a prospect in one team pool is not “off limits” to an officer working on another team. In the spirit of collaboration, officers are asked to communicate freely across teams when making outreach to prospects; however, as long as a prospect is unmanaged, an officer does not need permission before attempting contact, regardless of what team the prospect is assigned to.

Volunteer Management
A set of assignment types exists for the purpose of tracking NU volunteers and the ARD staff member(s) managing those volunteers. These assignments are maintained at the entity level rather than the prospect level and are the only assignments that may be added or removed by fundraising staff rather than Prospect Management.

Volunteer Manager: ARD staff member responsible for managing a volunteer or volunteer solicitor; will frequently be different from the Prospect Manager

Volunteer Solicitor: Individual (usually an NU prospect or alum) who is acting as a volunteer for ARD with the express intention of asking for a gift

Volunteer: Individual (usually and NU prospect or alum) who is acting as a volunteer for ARD’s fundraising engagement efforts, but who will not be asking for a gift

Assignment Criteria
When determining appropriate initial team assignment, Prospect Management adheres to the following criteria:

For individual prospects rated/evaluated at $100K+
• Parent prospects are assigned to the Parents Fund Team

Prospects are assigned to undergraduate and professional school fundraising teams or nonalum programs (Athletics, Library, Block Museum, Student Life & Scholarships, Centers & Institutes) in the following cases:
Prospect has a single degree and no giving history
Prospect is a nonalum donor with a primary giving affiliation that corresponds to an undergraduate or professional school or a nonalum program
Prospect has a single degree and a giving affiliation that match
Single-interest prospects for undergraduate schools or units who live in the NY or West Coast metro regions are assigned to the NY and West Coast Metro Teams, respectively. Single-interest prospects for Kellogg, Feinberg or Law are assigned to those teams, respectively, regardless of geographic location.

Prospects are assigned to the central Major Gifts Team in the following cases:
- Prospect has multiple degrees, regardless of giving history
- Prospect has either a single or multiple degrees and a giving affiliation that differ
- Prospects are a married couple where both spouses are alums of different schools
- Prospect is a nonalum donor whose majority of gifts have been to an area that does not correspond to a specific school/unit
- Prospect is a nonalum donor who does not have a primary giving affiliation
- If prospect meets any of the above criteria but lives in the NY or West Coast metro areas, he/she is assigned to the NY Metro Team or West Coast Metro Team, respectively

For individual prospects rated/evaluated below $100K
- Assignment criteria mirror those listed above with NULC substituted for Major Gifts
- Prospects rated/evaluated below $10K are automatically placed in stage disqualification and their prospect records are inactivated

All corporate and foundation prospects are sent to the Office of Corporate Relations (OCR) and Office of Foundation Relations (OFR), respectively, for review. Assignment of corporate or foundation prospects to any team other than OCR and OFR will be allowed only after consent of OCR or OFR, as appropriate.

Prospect Management retains the right to determine assignments at its discretion.

**ARD Clearance Policy**
Prospect Manager assignments will only be granted when 1.) evidence of substantive contact between the prospect and the requesting officer is documented as a contact report in CATracks and 2.) the prospect has a UoR or the requesting officer is able to supply a UoR at the time of request. Once prospects are assigned to Prospect Managers, ARD asks that any other officers who wish to make outreach to assigned prospects have conversations with the Prospect Manager before the outreach occurs.

When making outreach to unmanaged prospects, ARD officers are asked to observe a 90-day rule. If contact or attempted contact between an officer and a prospect has occurred within 90 days, no other officer should attempt contact. Once 90 days has expired, there are no restrictions on who can make outreach to the prospect, assuming he/she is unmanaged. Again, in the interest of collaboration, officers should always read contact reports before approaching a prospect and touch base with other officers as appropriate.

For this reason, it is essential that contact reports be entered in real time as contact occurs.
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Requesting Assignments
All assignments with the exception of Program Prospect Manager, Proposal Manager, Proposal Assist, Volunteer Manager, Volunteer Solicitor and Volunteer may only be made by Prospect Management staff. Requests for assignment to corporate or foundation prospects must continue to be cleared through the Offices of Corporate and Foundation Relations, respectively. Prospect Management retains the right to reject assignment requests that do not comply with documented policy or adhere to ARD’s desired culture of collaboration and partnership.

Prospect Management will distribute a monthly Prospect Manager Assignments Report to all ARD gift officers and support staff listing Prospect Manager assignments made during that month. The report will include affinity information such as degrees and giving affiliation so that gift officers may use it to ensure that prospects with an affinity to their team/program are being handled effectively.

Conflict Resolution

- In cases where a dispute arises over an assignment, Prospect Management will attempt to settle the dispute directly with the parties involved
- If attempts to resolve a dispute directly are unsuccessful, Prospect Management reserves the right to make assignment decisions that are donor centric and in line with existing policy
- Prospect Management may also take assignment disputes to the PMAC (Prospect Management Advisory Committee) or other governing body

All assignment requests should be sent in writing to prospectmgmt@northwestern.edu and should cc all appropriate parties as outlined in the guidelines above.

OFFICER QUALIFICATION AND REFERRALS

An officer qualification and referral process is in place to ensure that newly-identified prospects are being assessed by front-line fundraising staff for their likelihood to make a major gift ($100K+) during the course of a multi-year campaign. After each qualifying visit, the qualifying officer is asked to confirm that the prospect is either likely or unlikely to make a major gift during campaign and to record that information in CATTracks as outlined below to ensure that the prospect is routed appropriately.

Definition of a Qualifying Visit
To meet the definition of a qualifying visit, the visit must be with a prospect who meets one or more of the following criteria:

1. does not have a UoR
2. has never been visited by ARD staff
3. has a UoR that was entered five or more years ago

A prospect may be qualified multiple times if he/she has gone “stale” (i.e. the previous qualification took place five or more years ago). However, a gift officer may not receive credit for qualifying the same prospect multiple times.
Recording Qualifications in CATracks
After a qualifying visit, the qualifying officer will enter a UoR that records the estimated amount ARD can expect to receive from the prospect during campaign. It is understood that these ratings may be entered based on a minimum amount of information about the prospect and will in many cases be broad estimates initially, but it is essential that a UoR be entered after every qualifying visit. If the qualifying officer feels that the prospect is likely to make a major gift during campaign, he/she should select a UoR range at or above the $100K level. If the qualifying officer feels that the prospect is unlikely to make a major gift during campaign, he/she should select a UOR range below the $100K level.

The UoR must be accompanied by the date of the qualification visit, the name of the qualifying officer and the rationale for the rating level. If one or more UoRs already exists in the prospect’s record, the qualifying officer should inactivate all previous ratings before entering a new one. A new UoR should be entered even if the giving range selected matches that of a previous rating. A qualifying officer should always enter a new rating rather than change an existing one.

A contact report capturing the substance of the qualifying visit should be entered with a purpose of “qualification,” and the date of the report should match the date of the corresponding UoR.

Officer Qualification Report
Once a month, a report will be distributed by Prospect Management to all front-line fundraising and support staff that contains a list of prospects who have received new UoRs as a result of qualification visits. This report will contain each prospect’s name, UoR, date of UoR, qualifying officer and rating rationale, as well as a suggested affinity pool that will be automatically assigned using the same rationale used to assign prospects via the New Leads process and a gift planning flag that will indicate instances where the prospect meets a predetermined set of criteria suggesting a potential interest in making a planned gift to NU. Prospects who appear on this report will be placed in stage “officer qualified” and will remain in that stage until they are assigned to a Prospect Manager.

If a qualifying officer would like to suggest a newly-qualified prospect to a particular team and/or officer, he/she may do so by contacting that officer or team director directly, or by contacting Prospect Management.

The group of prospects assigned to the “officer qualified” stage will be available to all ARD officers for cultivation and assignment into portfolios. Any officer may also use affinity pool information in combination with the “officer qualified” stage category to find already-qualified prospects who may have a primary interest in his/her fundraising area.

Disqualifying Prospects
If at any time during the qualification or cultivation process a qualifying visit an officer determines that a prospect is unlikely to give a gift of any moment to NU during his/her lifetime, a UoR and contact report should be entered following the policies above and a request should be sent to Prospect Management (prospectmgmt@northwestern.edu) asking for the prospect to be assigned to stage disqualified. Prospect Management will inactivate the prospect records of anyone placed in this stage, and they will no longer be available for assignment into portfolios. Prospects may be moved out of the disqualification stage at any time if an officer feels that circumstances warrant.
Reviewing Officer Qualified Pool
Prospect Management will distribute a quarterly report containing a list of prospects who are in the “officer qualified” stage, along with UoR, affinity pool and officer visit/contact information. This will provide a tool for regularly reviewing officer-qualified prospects and identifying highly-rated prospects who are not receiving attention from ARD officers.

PORTFOLIO MANAGEMENT

Portfolio Size Guidelines (ranges refer to the number of *householded* prospect units in a portfolio, not the number of individual entities)

- NULC Officer:  N/A
- Major Gift/Metro Area Officer:  60-75
- School/Unit Officer:  60-75
- Corporation/Foundation Officer:  100-120
- Team Director:  35-50
- VP/AVP:  25-40

Activity/Data Tracked
The following data is mandatory upon taking Prospect Manager assignment, and is used by Prospect Management for reporting purposes and for assessing the quality of individual officer portfolios.

University Overall Strategy
- Required for any assigned prospect qualified at $1M or higher
- A prospect may have only one active strategy at a time
- Prospect Managers are responsible for maintaining the accuracy of strategy data for prospects assigned to them
- Strategies should not be entered or changed without the approval of assigned Prospect Managers
- Though strategies are required only for assigned $1M+ prospects, they may be entered for any active prospect
- A strategy is a one or two-sentence narrative summary of the comprehensive fundraising goal for a prospect and should include:
  - Total amount ARD is soliciting
  - Timeline of solicitation(s)
  - Area(s) of the University the solicitation(s) will support
  - Two or three high-level milestones that need to occur in order to realize ARD’s solicitation goals
- A sample strategy should read like this: *Steward past giving and continue to engage through leadership roles on the Block Board of Advisors to determine specific area of interest within Block (possibly endowing a curator position). Solicit for $5M toward the Block in FY16.*
- The active strategy for a given prospect will appear on the Prospect Summary of the Entity Overview screen, as well as on prospect cards and strategy-related BI query items. Only
strategies with a status other than Closed or Cancelled qualify as active. A strategy is considered active:
  o If it is the only one on the prospect record that is not closed or cancelled.
  o If it has the furthest future-dated Scheduled Date (when more than one strategy exists with a status other than Closed or Cancelled).
  o If it has the most recent Scheduled Date (when more than one strategy exists with a status other than Closed or Cancelled and none of them have a future-dated Scheduled Date).
  o If there are multiple strategies in an active status, and none have a Scheduled Date, the one most recently modified is considered to be active.

- When entering a strategy in CATracks, use the following guidelines for completing available fields:
  o **TASK**: University Overall Strategy
  o **STATUS**: Select the appropriate status; active statuses are those other than Closed or Cancelled
  o **SCHEDULED**: Date through which the strategy is to be considered valid; date past which the strategy needs to be reviewed and possibly reevaluated
  o **COMPLETED**: Date on which the strategy became inactive; only to be entered when strategies are changed to Closed or Cancelled
  o **DESCRIPTION**: Narrative summary of strategy
  o **RESPONSIBLE**: ARD staff member responsible for managing the strategy (most usually the Prospect Manager)
  o **RESPONSIBLE OFFICE**: Team on which the responsible ARD staff member works

University Overall Rating
- Mandatory before Prospect Manager assignment will be granted
- Should be updated as needed
- Should incorporate any existing program ratings – NOTE: UoRs should never be lower than program ratings
- Ratings must consist of a giving range, author, date and rationale
- UoRs “trump” any existing research evaluations

Proposals
- Maintained and coordinated by Prospect Manager
- Mandatory for any face-to-face solicitation (excluding annual gift solicitations) scheduled to occur in the next 12-14 months *
- A complete proposal includes:
  o **GIFT TYPE**: Outright, bequest, etc.
  o **PROPOSAL STATUS**: Anticipated; submitted; letter of inquiry submitted (for use by Corporate and Foundation Relations); approved by donor; deferred by prospect; deferred by officer; declined; funded; withdrawn
  o **PROBABILITY**: Likelihood that a solicitation anticipated amount will be received in its entirety; high = 90% likelihood, medium = 75% likelihood, low = 50% likelihood, unlikely = 25% or less likelihood
  o **START DATE**: When the proposal is entered
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- **ASK DATE**: Anticipated date of solicitation; to be adjusted on an on-going basis as a solicitation nears and updated with the actual ask date once the solicitation occurs
- **CLOSE DATE**: Anticipated date that a gift will be received; to be adjusted on an on-going basis as a solicitation occurs; to be updated when a proposal status is changed to funded (gift recorded in CATracks), declined (prospect said “no”) or withdrawn (removed voluntarily by proposal manager)
- **PLANNED ASK**: Proposal amount initially planned on as of start date
- **ASK**: Current ask amount (may be the same as Planned Ask)
- **ANTICIPATED COMMITMENT**: Actual commitment value expected
- **ANTICIPATED FY CASH**: Cash amount expected within current fiscal year
- **PAYMENT SCHEDULE**: Number of years over which payments on a commitment will be received
- **PROPOSAL MANAGER**: Individual responsible for managing the solicitation (may be different from Prospect Manager)
- **PROGRAM**: Area of the university/type of project the gift will be used to support;
- **PROGRAM ASK**: Required when there is more than one program, Program Ask is the amount of the proposal that will be asked for one specific program; this amount should be filled out for each separate program when a proposal will be submitted for more than one program
- **PROGRAM ANTICIPATED COMMITMENT**: Required when there is more than one program, Program Anticipated Commitment is the actual commitment value expected for one specific program; this amount should be filled out for each separate program when a gift is expected to be split between programs

Proposals may not be “Submitted” or “Approved by Donor” status for more than 180 days without a justification offered by the Proposal Manager to his/her supervising officer. Prospect Management will facilitate these conversations by providing regular updates as proposals meet these criteria.

*For NULC prospects, any solicitation of $25K or more scheduled within the next 12-14 months must be entered as a proposal. All other Annual Fund solicitations are tracked in the “Appeals” section of CATRACKS and are not dealt with as part of the Prospect Management system.*

**Program Rating**
- Amount of a prospect’s total overall giving expected to be directed to any one program area
- A complete program rating includes giving range, author, date and rationale

Additional data fields at the program level are optional and for use by individual teams at their discretion. These include:
- Classification
- Tasks
- Priority

**Prospect Stages**
The prospect life cycle is broken into six primary stages: Discovery, Officer Qualified, Cultivation, Solicitation, Cultivation/Stewardship and Permanent Stewardship. All prospects fall into one of these stages; a prospect can be in only one stage at a time.
Prospects are assigned to stages automatically based on existing data points as described below. Prospect Managers retain the right to decide that a prospect belongs in a stage that differs from the one assigned by the automated process. Requests to have stages manually changed should be sent to Prospect Management.

- **Discovery** = Prospects with no Prospect Manager and no UoR or current (entered within 5 years) UoR
- **Officer Qualified** = Prospects with no Prospect Manager that have a current (entered within 5 years) UoR
- **Cultivation** = Prospects with a Prospect Manager but who do not have an active proposal of status “Proposal Submitted,” “Letter of Inquiry Submitted” or “Approved by Donor.”
- **Solicitation** = Any prospect with an active proposal that has a status of “Proposal Submitted,” “Letter of Inquiry Submitted” or “Approved by Donor”
- **Cultivation/Stewardship** = Prospects who have cumulative lifetime giving of $100K+ and have made a single gift of at least $25K in the last 10 years and who do not meet the criteria to be in active solicitation
- **Permanent Stewardship** = Prospects who have been identified by Prospect Management or gift officers as *permanent stewardship only*; prospects are assigned to this stage manually

**Disqualification**
Prospects rated at the under $10K giving level are automatically assigned to the disqualification stage, and their prospect records are inactivated. Prospects may also be manually placed in Disqualification at any time by request.

Disqualified prospects are reviewed periodically by Prospect Management and, depending on the reason for disqualification, may be moved back into the active prospect pool if reason warrants.

**Contact Reports and Notes**
Contact reports are records of unique, substantive conversations with prospects that advance ARD’s relationship with them or otherwise help ARD form a more comprehensive sense of a prospect’s feelings about NU. Examples of interactions that should be recorded as contact reports include:

- In-person visits
- Conversations that occur at events
- Gift discussions (whether in person, via phone or e-mail)
- E-mail correspondence that contains the kind of information an officer would learn in a face-to-face or visit or via a phone conversation

Notes are intended to capture generalized touches or information about prospects that does not significantly advance ARD’s relationship with them. Examples of interactions that should be recorded as notes include:

- Thank you notes as follow up to meetings
- Gift acknowledgements
- Holiday greetings
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- Invitations to/attendance at events
- Conversations or correspondence leading up to a visit whose primary purpose is to plan logistics
- General biographical information, especially when not received directly from the prospect

### UNRESPONSIVE PROSPECTS

#### PURPOSE OF POLICY
1. Define “unresponsive” as it applies to prospects in ARD
2. Provide gift officers an option for flagging unresponsive prospects in CATracks
3. Explain how and when unresponsive prospects will be reviewed for possible revision of their unresponsive status

#### DEFINITION OF UNRESPONSIVE
Prospects may be considered to be unresponsive if an officer has made 4-5 approaches in a 12-18 month period with no reply from the prospect(s). An approach includes all of the administrative activity involved in pursuing an appointment, and may include a number and variety of individual “touches.” For example, 2 pre-approach emails followed by 2 voice mails in an effort to secure an appointment would count as 1 single approach.

Prospects who do reply to approaches but decline meetings may or may not fall into the category of unresponsive if they decline 4-5 meetings in a 12-18 month period without volunteering any information about if or when they may be willing to meet. Officers are free to use their judgement about whether or not to treat these prospects in the same way as the truly unresponsive as defined above.

#### CODING OF UNRESPONSIVE PROSPECTS
When a gift officer has determined that a prospect is unresponsive, he/she can submit a request to Prospect Management via prospectmgmt@northwestern.edu asking that the prospect be coded as unresponsive. Prospect Management will assign the team code of “unresponsive” and will enter a University Overall Strategy that includes the name of the officer who made the determination and the target date for next review of the prospect.

Prospects assigned to the unresponsive team code cannot be simultaneously assigned to another team and can easily be filtered out of reports so that they do not continue to appear on lists of viable prospects. However, their prospect records will remain active and other officers may approach them after coordinating with the officer who originally made the unresponsive determination to learn context that could be helpful in a re-approach.

#### REVIEW OF UNRESPONSIVE PROSPECTS
All prospects with an unresponsive team code will have a corresponding University Overall Strategy with a target date of 3 years from the time the unresponsive code was applied. Prospect Management will distribute annually a list of prospects whose target dates expire during that fiscal year. Prospects will not automatically be removed from the unresponsive pool. Rather, they will remain in the pool until an officer succeeds in establishing a contact or ARD has other reason to believe that the prospect should no longer be considered to be unresponsive.
REPORTING

All Prospect Management reports are saved in S:\Prospect Management Reports.

**Prospect Pipeline Report**
- Frequency: monthly
- Provides breakdown of prospect pool by qualification levels and assignment status
- Can be run at the university overall or program level

**Monthly Proposal Report**
- Frequency: monthly
- Contains a list of proposals that are scheduled to be solicited or scheduled to close that month

**New Leads Report**
- Frequency: monthly
- Includes all unassigned entities who have been evaluated by Research in the past month (since the last report was run)
- Prospects are suggested to teams based on assignment criteria

**Officer Qualified Report**
- Frequency: monthly
- Includes all unmanaged prospects who have received qualifying visits and ratings from a gift officer in the past month (since the last report was run)
- Prospects are suggested to teams based on assignment criteria

PROSPECT MANAGEMENT FOR CORPORATIONS AND FOUNDATIONS

Prospect Management as it applies to the Office of Corporate Relations (OCR) and the Office of Foundation Relations (OFR) adheres to the policies as previously outlined, with the slight modifications listed below.

**Assignments**
- Requests for assignment on all corporate and foundation prospects must be cleared by the directors of OCR and OFR, respectively.
- Corporate and foundation prospects directly managed by OCR and OFR are assigned to those teams, respectively. Prospect Manager assignment should be taken only on those corporate and foundation prospects who are actively being cultivated toward a near-term gift, with the remainder assigned to the OCR and OFR team pools.
- Corporate and foundation prospects directly managed by other teams are assigned to those teams, as appropriate. The same policy governing Prospect Manager assignment applies.
- To increase ease of tracking, and to allow ARD staff to pull lists of corporate and foundation prospects regardless of team assignment, Prospect Management will assign all corporate and foundation prospects a Major Prospect Code of either “Corporate Prospect” or “Foundation Prospect,” accordingly. OCR and OFR can use these codes to review prospect management
activity on all corporate and foundation prospects without having to assume direct Prospect Manager responsibility.
Glossary

Contact Report: Record of a unique, substantive conversation with a prospect that advances ARD’s relationship with him/her or otherwise helps ARD form a more comprehensive sense of his/her feelings about NU.

Degree Affiliation: Applies to the degree school with which a prospect has the closest affinity (also: preferred degree)

Disqualification/Disqualified: Prospect stage reserved for prospects who are deemed either incapable or unwilling to give a gift of any size to NU during their lifetime

Giving Affiliation: Applies to the NU program with which a prospect has a demonstrated affinity as evidenced by giving – exists if 75% of total cumulative giving over $1,000 has gone to any one unit within the University

Notes: Intended to capture generalized touches or information about prospects that does not significantly advance ARD’s relationship with them

Other Relationship: Assignment type given to the NU staff member(s) who have a vested interest in staying informed about the relationship between NU and a prospect, but do not function as the Prospect Manager

Portfolio: Group of prospects for whom an officer is prospect manager

Program: Fundraising unit that will benefit from the ultimate solicitation of a prospect

Program Priority: Priority (high, medium, low) of a prospect for a specific program

Program Prospect Manager: Assignment type given to the ARD staff member responsible for managing the program-specific relationship with a prospect

Program Rating: Cumulative giving total a specific NU unit expects to receive from a prospect during the course of a multi-year campaign; assigned by Program Prospect Manager or Prospect Manager

Program Strategy: Written statement indicating the near-term (fiscal year) approach in moving a prospect towards a solicitation for a specific fundraising unit

Proposal: Record of a planned gift solicitation

Proposal Assist: Assignment type given to the ARD staff member who provides support to the Proposal Manager in the solicitation of a prospect. Proposals may have multiple Proposal Assists.

Proposal Manager: Assignment type given to the ARD staff member responsible for managing the actual solicitation of a prospect. A proposal may have only one Proposal Manager.
Proposal Purpose: Used to indicate the broad grouping of fundraising initiatives that best describes the general proposed institutional use of a gift received via a planned solicitation (e.g. chairs, lectures)

Prospect: An entity in CATracks who has been assigned either a Research evaluation or an officer rating (also known as “qualified”)

Prospect Manager: Assignment type given to the ARD staff member responsible for managing the university overall relationship with a prospect

Research Evaluation: 3-5 year major gift capacity based on publicly available wealth indicators, applied by Research staff

Reunion Assignment: Assignment type given to members of ARD’s central Reunions team for the duration of a specific reunion year

Tasks: Scheduled next steps with a prospect at either the prospect or program level

Team Assignment: Assignment type given to a prospect or suspect to indicate which fundraising unit may be best suited to begin the discovery and cultivation work with a prospect

Team Pool: All prospects and suspects assigned to a given fundraising team

University Liaison: Non-ARD Northwestern staff or faculty member who has significant involvement in the cultivation and/or solicitation of a prospect (most commonly used for University President and deans)

University Overall Rating: Cumulative giving total NU overall expects to receive from a prospect during the course of a multi-year campaign; assigned by Prospect Manager

University Overall Strategy: Written statement indicating the near-term (fiscal year) overall approach in moving a prospect towards a solicitation