Prospect Management

Responsible Executive: Scott Biddy, Vice Chancellor, University Relations
Responsible Office: Prospect Development, University Relations
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Policy Statement

To maximize philanthropic support of the campus, all units at the University of California, Berkeley will follow standard practices for engagement with prospective donors. Donor interactions will be recorded in the campus’s official advancement database, the Campuswide Alumni/Development System (CADS). A relationship manager will be assigned to coordinate and communicate plans, activities, and outcomes, and to monitor and facilitate moves. A relationship manager will be required and assigned only under any one of the following conditions:

- A multiple-interest prospective donor requests a single point of contact.
- The relationship is not progressing.
- A prospective donor is designated as University Signature or Emerging University Signature.

In addition, University Relations will assign a relationship strategist to develop and implement a consolidated strategy for engaging a University Signature prospective donor. University Relations will provide strategic services for University Signature and Emerging University Signature relationships.

Scope of Policy

This policy affects:
- Development officers
- Deans, directors, and department heads
- Faculty and staff soliciting on behalf of the campus
- Development and alumni relations staff
Why We Have This Policy

The campus’s prospective donors have diverse philanthropic interests and significant fundraising occurs throughout the University at the departmental, school, and college levels. The Prospect Management Policy is intended to support local fundraising efforts while communicating an integrated message to prospective donors exploring multiple philanthropic interests and opportunities.

The policy has three main objectives. The first is to build lasting relationships with prospective donors and encourage repeat donations. The second is to ensure that campus prospective donors receive well-planned solicitations that maximize their gifts. The third is to maintain a collaborative, informed, professional fundraising process. Toward those ends, the policy introduces a number of concepts: the prospect portfolio; readiness stages; University Signature relationships; Emerging University Signature relationships; relationship strategists; and relationship managers.

Procedures

The Prospect Management Policy focuses on prospective donors in active portfolios.

An active portfolio consists of an appropriate program-based number of prospective donors with gift capacity ratings who are being moved through the solicitation cycle, as reflected by readiness stages, strategies, planned solicitations, and contacts in CADS.

Development officers work with Prospect Development to establish a portfolio of potential donors who may have an interest in their program and giving opportunities.

Development officers communicate planned activities with their development colleagues across the campus who are also developing and maintaining relationships with shared prospective donors. Development officers record progress in CADS as they develop relationships with their prospective donors and disseminate the details to campus development colleagues who have active relationships with the prospective donor. Prospect Development provides additional research to inform strategy decisions and identifies new prospective donors to move into portfolios.

Using a moves-management methodology, Prospect Development helps ensure that portfolios are balanced with prospective donors at various readiness stages. In addition, Prospect Development assesses the availability and accuracy of gift target amounts and dates, which are essential for a healthy gift pipeline, and assists development officers in tracking and reporting progress toward their goals. University Relations, on behalf of the Chancellor, evaluates progress toward campaign goals.

When a donor makes a gift, the donor is included in stewardship activities at a level appropriate to the gift.
The Prospective Donor Pool

To help development officers focus their attention on the most likely prospective donors from the broader constituency, Prospect Development rates prospective donors according to two categories: gift capacity and inclination. Prospective donors are further segmented by their readiness to give.

**Gift Capacity Rating**
Prospective donors are assigned a gift capacity rating that reflects an estimation of overall capacity to give to any nonprofit organization over a five-year period.

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**Inclination Rating**
Prospective donors are assigned an inclination rating that reflects overall interest in giving to the campus.

**High** – The prospective donor is currently very interested in giving to the campus.

**Moderate** – The prospective donor is interested in giving to the campus but may require more cultivation or an opportunity that is a better fit for personal philanthropic interests.

**Low** – The prospective donor is currently not likely to make a gift to campus but this does not preclude future opportunities if a stronger or more involved relationship can be established.

**None** – The individual is currently disaffected or has no known connection to campus.

**Unknown** – The prospective donor’s interest in giving to campus is not yet assessed.
Gift Planning Prospects
The Office of Gift Planning in University Relations maintains the list of gift planning prospects.

- The results of gift planning discussions are recorded in CADS and communicated to all campus development officers who have an active relationship with the prospective donor.
- The Office of Gift Planning uses the gift planning codes on the prospect and proposal records to indicate when prospective donors are gift planning prospects.
- The Office of Gift Planning is responsible for maintaining gift planning proposals in CADS.

Corporate and Foundation Prospects
The Corporate and Foundation Relations (CFR) office in University Relations maintains the list of corporate and foundation prospects.

- The CFR Office records contacts and strategies for corporate and foundation prospects in CADS.
- The CFR Office is responsible for maintaining proposals for corporations and foundations in CADS.

Readiness Stages
Prospective donors are assigned a readiness stage that indicates how close they are to receiving a solicitation for a gift. Development officers request readiness stages through the relationship manager, when one is assigned, or through Prospect Development, after communicating plans to colleagues also engaged with the prospective donor.

Qualification (QU) – The development officer is qualifying the prospective donor’s interest in giving opportunities as well as the prospective donor’s giving capacity.

- Term limit: Six months.
- The development officer may request an extension of the readiness stage by exception and with sufficient justification. The extension rationale must be documented in CADS and communicated to all campus development colleagues who have an active relationship with the prospective donor.
- Multiple fundraising programs may qualify a prospective donor simultaneously.
- The development officer must communicate planned activities to all campus development colleagues who have an active relationship with the prospective donor.
- The development officer is expected to record contacts in CADS and notify all campus development colleagues who have the prospective donor within their portfolios.

Cultivation (CU) – Interest in the development officer’s program has been qualified and the prospective donor is being engaged at deeper levels.

- Term limit: None.
Multiple fundraising programs may cultivate the prospective donor simultaneously.
- The development officer must communicate planned activities to all campus development colleagues who have an active relationship with the prospective donor.
- The development officer is expected to record contacts and strategies in CADS and notify all campus development colleagues who have the prospective donor within their portfolios.

Prospect Development audits activity by development officers with prospective donors at this readiness stage in their portfolios. If no activity is recorded within one year, Prospect Development will remove the prospective donor from the development officer’s portfolio. The development officer will receive one advance notification prior to the removal.

Proposal Development (PD) – Initial gift discussions are taking place between the development officer, the solicitor or volunteers, and the prospective donor.

- Term limit: None.
- Multiple fundraising programs may be working on separate or shared proposals simultaneously.
- The development officer must communicate planned activities to all campus development colleagues who have an active relationship with the prospective donor.
- The development officer is expected to record contacts, strategies, and planned solicitation information in CADS and notify all campus development colleagues who have the prospective donor within their portfolios.
- Prospect Development audits activity by development officers with prospective donors at this readiness stage in their portfolios. If no activity is recorded within one year, Prospect Development will remove the prospective donor from the development officer’s portfolio. The development officer will receive one advance notification prior to the removal.
- Planned ask amounts and dates are included in the campus gift pipeline report.

Solicitation in Progress (SP) – The development officer or solicitor has made an ask or will make an ask within the next three months.

- Term limit: Three months.
- The development officer may request an extension of the readiness stage by exception and with sufficient justification. The extension rationale must be documented in CADS and communicated to all campus development colleagues who have an active relationship with the prospective donor.
- Only one fundraising program can have a prospective donor at this readiness stage at one time, unless programs are working together on a proposal, or an organization accepts multiple proposals for discrete program areas.
- Requests for a Solicitation in Progress readiness stage for a University Signature prospective donor must be approved by the relationship strategist.
- Other development officers must discuss with the development officer at this readiness stage (and with the relationship manager if one is assigned) and agree in advance to any planned activities involving a prospective donor with a Solicitation in Progress readiness stage.
The development officer is expected to record the results of the solicitation in CADS and notify all campus development colleagues who have the prospective donor within their portfolios.

- Ask amounts and dates are included in the campus gift pipeline report and are used to give credit to development officers.
- As a courtesy to all development officers involved, Prospect Development will distribute a notification that a Solicitation in Progress readiness stage has been assigned.

**Gift Stewardship (GS)** – A gift has been made and the donor receives appropriate stewardship to prepare for cultivation of the next gift.

- Term limit: None. Movement back into the solicitation cycle is at the discretion of development officers and is based on their evaluation of the donor’s readiness to be re-solicited.
- More than one fundraising program may be at this readiness stage simultaneously.
- The development officer is expected to record ongoing activities with the donor in CADS and notify all campus development colleagues who have an active relationship with the donor.
- Prospect Development audits activity by development officers who have donors at this readiness stage in their portfolios. If no activity is recorded within one year, Prospect Development will remove the donor from the development officer’s portfolio. The development officer will receive one advance notification prior to the removal. The donor may be assigned to the University Relations Stewardship portfolio.

**Donor Stewardship (DS)** – The donor’s ultimate gift to the unit or campus has been made and will be stewarded appropriately on an ongoing basis.

- Term limit: None.
- More than one fundraising program may be at this readiness stage simultaneously.
- The development officer is expected to record ongoing activities with the donor in CADS and notify all campus development colleagues who have an active relationship with the donor.
- Prospect Development audits activity by development officers who have donors at this readiness stage in their portfolios. If no activity is recorded within one year, Prospect Development will remove the donor from the development officer’s portfolio. The development officer will receive one advance notification prior to the removal. The donor may be assigned to the University Relations Stewardship portfolio.

**Turned Down (TD)** – The ask has been turned down by the prospect.

- Term limit: N/A
- When an ask has been turned down the proposal will be inactivated.
Canceled (CN) – Gift discussions with the prospect have stopped.

- Term limit: N/A
- Canceled proposals will be inactivated.
- Reasons for canceling a proposal include: development officer has left the unit/university, removing a prospect from a portfolio due to inactivity, etc.
- This stage is used on for proposals that have not reached solicitation. For proposals that have reached the solicitation state, Turned Down (TD), Gift Stewardship (GS), or Donor Stewardship (DS) are to be used.

Disqualified (DQ) – A prospective donor is disqualified as a prospect.

- Term limit: N/A
- Proposals coded as disqualified will be in inactivated.
- Reasons for coding a proposal as disqualified include: the prospect has no capacity to give a gift (i.e. bankruptcy), prospect has told the development officer they have no wish for any contact from the unit/university, etc.
- This stage is used on for proposals that have not reached solicitation. For proposals that have reached the solicitation state, Turned Down (TD), Gift Stewardship (GS), or Donor Stewardship (DS) are to be used.
- The reason for disqualification will be recorded in CADS.

Responsibilities

Development Officers, Deans, Directors, and Faculty:
- Each development officer maintains an active portfolio of prospective donors with up-to-date readiness stages. Deans, directors, and faculty soliciting gifts on behalf of the University work within established portfolios with designated development officers. Program directors for multi-disciplinary initiatives may establish portfolios.
- Communicate plans, strategies, activities, and general information.
- Record cultivation and stewardship activities and planned solicitation information.
- Collaborate on strategies for prospective donors who have multiple relationships to the campus.
- Act as relationship managers for designated prospective donors.

Prospect Development, University Relations:
- Administers the moves management program established through the Prospect Management Policy and procedures.
- Defines and maintains campus gift capacity and inclination ratings and readiness stages.
- Assists development officers in building and maintaining active portfolios.
- Identifies prospective donors and assists in assigning to development officers’ portfolios.
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- Assesses activity between development officers and prospective donors in their portfolios and reports and follows up with development officers.
- Provides tools and reports to facilitate communication and coordination, including performance, analysis, and gift pipeline reporting.
- Identifies prospective donors who require a relationship strategist and/or a relationship manager and recommends a process for their assignment to the appropriate parties.

Vice Chancellor, University Relations:
- The vice chancellor or designee is the relationship strategist for the campus’s University Signature Relationships.
- The vice chancellor or designee facilitates prospective donor relationships with the Chancellor, ensuring development of a coordinated approach to a campuswide strategy.
- The vice chancellor or designee serves as the final arbiter of disagreements regarding prospective donor assignment, readiness to solicit, strategy, and relationship manager assignment.

Associate Vice Chancellor, University Relations:
- Serves as the chief development officer for the campus.
- Directs University Relations fundraising and operational support programs, which provide coordination and expertise to campus units in specialized areas to maximize philanthropy based on a donor-centric model.
- Oversees activity between the University Signature and Emerging University Signature prospective donors and campus representatives.
- Has day-to-day responsibility for the administration of the Prospect Management Policy.
Gift officers enter substantive moves and contact reports into CADS. Gift officers communicate planned activities, collaborate on strategies, and coordinate with other gift officers who have shared prospective donors within their active portfolios, and communicate with the relationship manager, when one is assigned. Gift officers request readiness stages through Prospect Development.
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Glossary

Active Relationship: A relationship between a campus representative and a prospective donor intended to move the prospective donor to increased involvement with the campus and/or unit leading to a gift. Active relationships, for the purpose of this policy, are those that have been documented through the timely recording of substantive moves in CADS contact reports.

Campuswide Alumni/Development System (CADS): The official database that houses all information required for the implementation of this policy, and from which reporting to assess campaign progress and inform planning is derived.

Campus Unit: A department, office, program, institute, center, project, or other academic or administrative entity that is part of the University of California, Berkeley.

Campuswide Policy: A set of principles and procedures intended to govern actions affecting a broad range of the campus community. A policy is considered campuswide if it has an impact on individuals in control units beyond that of the Responsible Executive or is of broad campus interest. Policies restricted to the Academic Senate, or to department or unit operations, are not considered campuswide policies.

Constituency: Constituencies vary widely across the campus due to the diverse nature of the many independent fundraising programs, but may include alumni, donors, parents, members, ticket holders, event and performance attendees, individuals with a demonstrated interest in a specific area, and corporations and foundations with applicable giving guidelines. The Prospect Management Policy supports a fundraising environment where prospective donors are part of a “constituency” when there is an identifiable and documented potential interest in the school, college, department, unit, or program.

Contact Report: Information recorded in CADS of any activity or contact involving development officers, deans, directors, faculty, or volunteers with a prospective donor that results in, or is intended to result in, moving the prospective donor toward a gift or determines that the individual is not a prospective donor. In addition, contact reports are filed with results of qualification calls and proposal results, detailing the reasons for turndowns or why the individual is not considered a current prospective donor. See also Substantive Move.

Development: Fundraising through donations to the campus.
Development Officer: Any campus employee with direct responsibilities for fundraising. Deans, directors, and faculty work with development officers to record fundraising goals and activities. Also known as fundraiser.

Donor: An individual who has made a gift to the campus.

Emerging University Signature: A group of prospective donors with $2M+ gift capacity and active relationships with one or more campus units, who have not yet reached the University Signature level. All Emerging University Signature prospective donors are assigned relationship managers.

Gift: A contribution to the University that is intended as a donation and is bestowed voluntarily and without expectation of tangible compensation. Normally gifts are awarded irrevocably. *Restricted* gifts come with conditions attached, usually requiring that the gift go to a specific campus program or project. *Unrestricted* gifts come with no conditions attached.

Gift Capacity Rating: The scale used to indicate the estimated total philanthropic potential of a prospective donor over a period of five years.

Gift Pipeline: Campuswide, unit-based, and development-officer-specific reports that show all outstanding solicitations with amounts and dates, along with actual gifts received. Used for evaluating campaign progress, projections, and resource planning.

Inclination Rating: An assessment of a prospective donor’s overall interest in giving to the campus.

Moves Management: A system of regular periodic review of portfolios to ensure that newly identified prospective donors are moved into portfolios for qualification, that the information recorded in CADS reflects regular activity with the prospective donors, that prospective donors are moved through the readiness stages as appropriate, and that they are removed from portfolios when determined not to be viable prospective donors by the development officer or they have turned down proposals and/or refused future solicitations, or if no activity has been recorded in CADS during the specified period.

Moves Management Program: A program managed by Prospect Development in University Relations to ensure that every development officer maintains an active, manageable sized portfolio of the best prospective donors, and that gift pipeline and contact information is recorded and communicated through CADS. In addition, the program’s reporting tools enable development officers and senior staff to assess progress toward campaign goals.

Multiple-Interest Prospective Donor: A prospective donor who has more than one campus interest as determined by a number of factors, including philanthropic activity, degree area, and personal interests.
Portfolio: A list of prospective donors, defined by capacity ratings, giving relationships, and indications of interests, whom the particular development officer is actively engaging in activities intended to result in gifts. A prospective donor may appear in the portfolios of multiple fundraisers and remain there based on assessment of contacts recorded in CADS. The size of the portfolio is dependent on the development officer’s specific set of responsibilities and is determined by each program. As a guide, development officers with no other responsibilities will have a portfolio of around 125 prospective donors at various stages of the solicitation cycle.

Procedures: The actions necessary to carry out a policy.

Prospective Donor: Prospective donors are those alumni, parents, friends, students, and supporters, including corporations and foundations, who are thought to have the capacity and interest to make a gift to the University.

Readiness Stage: An indicator of a prospective donor’s position in the solicitation cycle. The stages are Identification, Qualification, Cultivation, Proposal Development, Solicitation in Progress, Gift Stewardship, Donor Stewardship, and Gift Planning.

Relationship Manager: The development officer assigned to coordinate campuswide activities to engage the prospective donor, communicate plans and outcomes with campus fundraising colleagues, and to monitor and facilitate moves. Relationship managers are assigned only to prospective donors who meet criteria detailed in the policy.

Relationship Strategist: Vice Chancellor for University Relations or Associate Vice Chancellor for University Relations assigned to University Signature prospective donors to develop and implement consolidated strategies for engaging these prospective donors and facilitate the relationship with the Chancellor. Only University Signature prospective donors are assigned relationship strategists.

Responsible Executive: The Chancellor or campus official responsible for developing campuswide policies within a broad area of jurisdiction, usually referred to as a control unit.

Responsible Office: The office(s) that develops and administers a particular campuswide policy, and that is accountable for the policy’s accuracy, interpretation, and updating.

Solicitation: The strategies and process used by development officers to ask prospective donors for a gift to the campus.

Solicitation Cycle: The process of identifying potential donors and strategically moving them through established phases of progress toward a gift. Ideally, this begins with instilling the idea of giving during the student experience, following up with annual solicitation to alumni, identifying alumni and friends who have capacity and interest in making larger gifts to the University, qualifying their capacity and areas of interest,
cultivating them through conversations, providing opportunities for interactions in campus programs and events, strategizing and developing proposals that match the donors’ interests to campus programs and giving opportunities, soliciting for a gift, providing for ongoing donor stewardship upon receipt of a gift, and returning the donor to cultivation at the appropriate time when they may be ready and able to make additional gifts. Also called the fundraising cycle.

**Solicitor:** The individual who asks for a gift from a prospective donor. A solicitor may be a development officer, faculty or staff member, or volunteer.

**Strategy:** Plans for developing the relationship with prospective donors that incorporate the prospective donors’ philanthropic interests and optimizes their giving to campus. Includes establishing a relationship manager, when necessary, and determining a solicitor.

**Substantive Move:** Any contact with a donor intended to advance the relationship toward a gift.

**System of Record:** A system formally designated and used to provide official campus information for reporting and other purposes. See also Campuswide Alumni/Development System (CADS).

**University Signature:** A small group of prospective donors who, because of significant philanthropic capacity or the ability to influence substantial gifts, may be cultivated at the highest level by the Chancellor, deans, directors, and other senior management. All University Signature prospective donors must have an assigned relationship strategist and relationship manager. University Relations will provide strategic services to the relationship strategist, relationship manager, and development officers actively cultivating and stewarding University Signature prospective donors.

**Volunteer:** Individuals not employed by the University who voluntarily offer their time, talents, and efforts to assist the campus in achieving its goals.