GUIDING PRINCIPLES FOR PROSPECT MANAGEMENT

Guiding Principle 1: Current cash and pledges are the first and primary focus of the Development Enterprise for Clemson University. Because of this focus the Principal Gift and Major Giving scores are the first focus area for enterprise over the Planned Giving and Annual Giving scores.

Guiding Principle 2: Principal Gift Tier 1 prospects will be managed, in conjunction with the Research Team, by the Principal Gifts Committee at Clemson University.

Guiding Principle 3: Principal Gift Tier 2-4 prospects will be managed, in conjunction with the Research Team, by the University Development Team and the Athletics Team. Additionally, the Major Giving rating 700+ will be managed by the University Development Team and the Athletics team. Proposals of 7 figures or more must go through the Principal Gifts Process.

Guiding Principle 4: The Gift and Estate Planning Team will work with all prospects in the database through their direct mail/electronic communications. When a constituent reaches out to a member of the Gift and Estate Planning Team as a result of these communications, the Gift and Estate Planning Team will follow up with the constituent (if unassigned). If a prospect who reaches out is currently assigned, a PG officer will work in conjunction with the assigned DO to develop the right strategy to work as a team to solicit the planned gift within the current prospect strategy in place. The Planned Giving Team will work with prospects who are 700+ on their Planned Gift score but are under 700 in their MG score. Additional criteria for portfolio management: any individual with a CU-Overall Rating of 9 – 18 who is unassigned, age 50-75, alumni or former student, 10 years of giving, giving of $1,000 or more, and who is not already a Legacy member or has established a planned gift.

Guiding Principle 5: The Annual Giving Team will work with prospects in the database through their mass appeals. The Annual Giving Team will manage the specific target solicitation strategies for those prospects that have an Annual Giving score of 700+ and/or their Target Gift Range is between $1 and $2500 annually.
PROSPECT ASSIGNMENTS

One Manager will be assigned to each prospect with the assignment of additional Team Members as appropriate. These relationships are assigned to achieve the highest level of coordination and strategic cooperation among any and all interested constituencies, and are subject to change periodically as relationships change, staff turnover occurs, or a prospect’s interest’s change.

Primary Manager
The Primary Manager is the individual assigned the chief responsibility for managing the relationship including cultivation, solicitation, and stewardship, with a prospective donor. The Primary Manager should be the development officer who has the most established relationship with the prospect. This does not necessarily mean the constituency from which the prospect graduated nor the recipient of the donation.

Affiliated Primary Manager
The Affiliated Primary Manager is an assignment used to track spousal assignments as well as organizational connections. This assignment type will have the same rights and responsibilities as the Primary Manager. If you request to be assigned as Primary Manager to an individual and his/her spouse has a record in RE, we will automatically assign the development officer to the spouse as Affiliated Primary Manager. If a development officer requests to be assigned to an organization, it will be the development officer’s responsibility to let Research know who the individuals are that should receive the Affiliated Primary Manager assignment.

Team Member
Team Members represent other constituencies in which the prospective donor is interested. The Team Members will work together with the Manager to develop the best strategy to engage the prospective donor and maximize the potential gift.
ASSIGNMENT & PROSPECT MANAGEMENT POLICY

Primary Manager/Team

• The Primary Manager is the individual assigned the chief responsibility for managing the relationship including the cultivation, solicitation, and stewardship of a prospect. The Primary Manager should be the development officer who has the most established relationship or the potential for the best relationship with the prospect. This does not necessarily mean the constituency from which the prospect graduated nor the recipient of the donation.

• An assignment will not be made until the development officer has a face to face meeting with the prospect and can provide sufficient support for the assignment request via a contact report. Annual Giving development officers will be required to have a significant contact in place of the face to face meeting and provide sufficient support for the assignment request via a contact report. The contact must have been made within 1 year prior to the assignment request.

• Prospect Research can proactively assign prospects to a development officer's portfolio in situations where there is not a face to face visit recorded on the prospect's record.

• Team Members will be assigned for the cultivation of the prospect and will work together with the Primary Manager to develop the strategy to engage the prospect and maximize the potential gift.

• It is the responsibility of the Primary Manager to involve other constituency development officers if the prospect indicates multiple interests.

• A development officer may not be assigned as a Team Member unless a Primary Manager is already in place.

• If a development officer inadvertently meets, visits, or is contacted by someone else's prospect (e.g. through a volunteer), the development officer should be diligent after the fact and inform the Primary Manager about the visit within one week.

• If a development officer is not assigned to a prospect and wishes to contact that entity, the development officer must discuss potential contact with the Primary Manager. Anything unresolved should be further discussed with the Director of Development & Alumni Affairs.

• Team Members should keep the Primary Manager informed regarding all cultivation activities with the prospect. All solicitations should be coordinated with the Primary Manager.

• If two development officers request assignment simultaneously, the development officers will be instructed to determine which should be the Primary Manager. If conflict occurs, the Director of Development & Alumni Affairs should be involved. Research is not responsible for settling debates.

• In all situations the Primary Manager should make a concerted effort to work with the Team Members so all interests are taken into account. Communication is the key. By fostering an open environment in which each development officer feels comfortable sharing his/her strategy/cultivation plans, we will alleviate mistrust and the desire to hoard prospects.

• Primary Solicitor is the Development Officer who will receive Primary Credit for the proposal. In most cases, the Primary Manager and the Primary Solicitor will be the same person. In some cases, the Primary Solicitor is a temporary relationship between a prospect and a development officer who is not the Primary Manager, but wishes to cultivate the prospect for a one-time gift with the approval of the designated Primary Manager. When this occurs, the Primary Manager will determine the degree of autonomy, and what responsibilities the Primary Solicitor will temporarily hold.
**Portfolio Size Policy**

- Each development officer should maintain a portfolio of no more than 150 managed prospects which will include no more than 50 corporations and foundations.
- The rule of 50 corporations and foundations does not apply to any member of the Corporate and Foundation Relations team.
- This group of prospective donors will be a fluid list and will consist of entities currently in cultivation or recently solicited and will include only Primary Manager assignments.
- Additional Primary Manager assignments will not be made if a development officer has reached the limit.
- No limit has been placed on Team Member assignments.
- Should the Primary Manager leave, the portfolio will stay with the development officer’s position until the vacant position is filled assuming the same level development officer is hired. Another officer from the same constituency will have the opportunity to temporarily take over the relationship to ensure a smooth transition, rather than automatically passing it along to a team member. Research will make a determination by discussing reassignment with the departing Primary Manager, the existing Team Members or the Leadership Team (if necessary).
- If the Primary Manager requests to be unassigned and there are Team Members assigned, it is the responsibility of the Primary Manager to suggest a replacement.
- If a prospect is currently assigned to a Primary Manager who has no recorded contacts and another development officer has recorded contacts and wishes to be assigned as Primary Manager, the unassigned development officer must contact the Primary Manager to request approval for the assignment change.

**Corporations and Foundations**

- Both individual and corporate interests need to be taken into account when working with an individual who holds a key position within a corporation.
- Corporate and Foundation Relations Team development officers and constituency development officers must work closely to ensure that all university interests are taken into consideration when cultivating and soliciting a corporation or foundation. It is not mandatory that a Corporate and Foundation Relations Team development officer accompany a constituency development officer each time a contact occurs, but they should do so whenever appropriate.
- Corporate and Foundation Relations Team development officers’ interest is university-wide. They will take all interests into consideration when overseeing the solicitation process.
- Contact reports submitted for a key individual within a corporation or foundation should be copied to the corporation/foundation record as task/other.
- Corporate and foundation prospect assignments will be reviewed by the Sr. Director of Development for Corporate and Foundation Relations in conjunction with the Office of Prospect Research.
Gift Planning

• Both current and future gift interests need to be taken into account when working with a prospect.
• Gift Planning development officers and constituency development officers must work closely to ensure that all interests are covered. It is not mandatory that a Gift Planning development officer accompany a constituency development officer each time a contact occurs, but they should do so whenever appropriate.
• Gift Planning development officers’ interest is university-wide. They will take all interests into consideration when overseeing the solicitation process.
• Constituents who have self-identified through direct mail response, telemarketing or other means of communication that have either a) already included Clemson in their estate plans, or b) would consider including Clemson in their estate plans will be evaluated by a member of the Gift Planning Team.
• The Primary Manager is responsible for keeping the Gift Planning Office informed on contacts where “future gifts” or “gift planning instruments” are discussed.
• Contact reports submitted for a prospect where “future gifts” or “gift planning instruments” are discussed, should be copied to the Gift Planning Office.
• If someone other than a member of the Gift Planning Team is already assigned as the Primary Manager for one of these constituents, the Primary Manager will be responsible for coordinating a solicitation strategy with a member of the Gift Planning Team, and keeping the Gift Planning Team in close communication on gift progress. The Gift Planning Team will support other development officers with solicitation strategy meetings, printed materials, gift illustrations, and will accompany the Development Officer on a visit if warranted.
• In the case of multiple interests in a prospect assignment, The Senior Director of Principal Gifts and Gift and Estate Planning will collaborate and discuss with leadership to ensure that the best assignment is made for a successful outcome.

University Initiatives & Athletics

• University Initiatives development officers’ interest is university-wide. They will take all interests into consideration when overseeing the solicitation process.
• Athletics development officers should have access to prospects who are also being cultivated by an academic constituency or who have yet to be discovered by a college.
• The development officer representing the college from which the prospect graduated does not have to be informed prior to the assignment.

Attempted Appointments

• All attempts at making appointments with prospective donors should be entered in RE as a task/other. Entering this information will make it possible to track the number of attempts to connect with prospective donors.
Call Pending
• If you have identified a prospect and that entity is unassigned, you may enter a Call Pending in RE.
• Call Pending is used to alert other development staff that you plan to make contact with an unassigned prospect.
• The Call Pending should be treated as an assignment during this temporary period.
• A contact report should be entered as soon as contact is made.
• If the entity is a major gift prospect, assignment should be requested.
• Call Pendings are valid for 6 weeks. If no contact report has been entered after 6 weeks and no assignment has been made, a different development officer may enter a Call Pending and make contact with the prospect.
• A development officer may only enter two call pendings on a prospect’s record during a 12 month period.

Solicitation Clearance
• All solicitations of $100,000 and above must be submitted for solicitation clearance.
• Requests should be received 6 to 9 months prior to solicitation not to exceed 12 months.
• A request must include a strategy/cultivation plan recorded in the notes section of the proposal.
• Any proposal at the $100,000 and above level that is not cleared will be excluded from a development officer’s proposal totals.

Sunsetting
• Assignments of Primary Managed prospects will expire after 12 months if no face to face meeting has been recorded in RE by the Primary Manager or another development officer in the same unit.
• Development officers and administrative assistants will receive notice at the beginning of each month outlining which assignments are scheduled to sunset.
• Development officers will have until the last business day of the month to file a contact report in RE.
• Appeals to retain management of prospects will be considered on an individual basis and will require a defined time limit.
• All appeals to retain management of prospects should be sent to missy@clemson.edu by the 15th day of the month.
• The appeals will be reviewed by the Sr. Director of Advancement Services, Director of Prospect Research, and the Leadership Team member from the requestor’s area.

Proactive Leads
• Proactive leads are unassigned prospects with the potential to be annual or major gift donors.
• Development officers will receive proactive leads from the Research Office on a periodic basis.
• The prospect’s bio data and wealth information have been confirmed by the Research Office team.
• The proactive lead carries the same rights and responsibilities as a call pending.