

---

**California State University Maritime Academy  
California Maritime Academy Foundation, Inc.**

---

**VOLUME:** Policy  
**NUMBER:** UA-01-007

---

**TITLE:** Prospect Management Program  
**DIVISION:** University Advancement  
**DEPARTMENT:** University Wide

---

- I. The Prospect Management Program (PMP) is intended to:
- A. Ensure major donor prospects are engaged in conversations and activities that bring them closer to the California State University Maritime Academy (CSUM) to enhance the likelihood of a successful major gift solicitation, while minimizing cross departmental and campus confusion as to the timing, nature, and level of any such solicitation;
  - B. Avoid prospect confusion with multiple solicitations from CSUM (solicitations will be defined as any ask for a gift or sponsorship of events/programs- e.g. athletics, student clubs, etc.);
  - C. Bring order to the sometimes-unpredictable process of qualifying, cultivating, soliciting, and stewarding major gift prospects and donors by requiring communication and coordination between fundraisers (SEE NOTE AT THE END OF POLICY) in their activities;
  - D. Maintain focus on individual major gift development and increase amounts raised for CSUM;
  - E. Provide a framework of procedures that are readily understood and followed by **ALL** those who perform major gift fundraising work on behalf of CSUM- whether California Maritime Academy Foundation (CMAF) members, members of the Presidents and Campaign Cabinets, volunteers, fundraisers, deans, alumni associations, sponsored program and extend learning, or faculty.
- II. Principles of PMP
- A. **Fundraising is donor driven.** It is a donors interest, not individual or unit projects and agendas, that dictates how fundraisers interact with that donor, with each other, and how conflicts among fundraisers are resolved.
  - B. Systems to support fundraising maximize support for CSUM and not a particular unit.
  - C. Simplicity of operation, with limited paperwork requirements, will infuse the system.
  - D. Conduct is collegial at all times.
  - E. Good communications and adherence to the rules by all members of the CSUM community is required.
  - F. Unresolved conflict on assignments or strategy should be brought to the attention of the Vice President of University Advancement (VPUA).
- III. Procedures
- A. **Individual** prospects/donors, corporations and private foundation may be assigned for contact management to fundraisers upon review and approval of a completed **Request for Prospect Assignment** form. This form will be available online.
  - B. For **assignment purposes** a major gift prospect is, in the judgment of the requestor, capable of making a major gift of \$2,000+ in a single gift and/or a five-year pledge of \$10,000 or more. Assignments will be made based on the potential of a prospect to develop into the major gift category or provide critical assistance in connecting with major prospects.

- C. A **demonstrated connection** with the prospect must be defined in the strategy plan portion of the request for assignment. This may be face-to-face contact, referral by a volunteer or staff member, extensive phone/e-mail/correspondence contact or a special interaction – perhaps initiated by the prospect – with the fundraiser, dean/director, or faculty member.
  - D. All **substantive** contacts with prospects, by all members of the CSUM community, are to be **recorded in a contact tracking** report filed within ten working days after the visit through the Raisers Edge software program. Contact reports will be entered directly by gift officers or via e-mail or copy of correspondence to the University Advancement data entry staff and VPUA or an appropriate staff liaison. Appropriate distribution of contact information is the responsibility of the individual making the contact (e.g. cabinet members, deans, unit directors of an alum’s graduation unit, faculty) or other authorized designees.
    - 1. A meaningful/substantive contact motivates a prospect to consider an outcome you have discussed with them.
    - 2. Substantive contacts include conversation which moves a prospect forward to a gift, a staff visit, e-mail, correspondence, unit members and/or alumni staff in which active stewardship, cultivation, or solicitation of an individual has taken place.
    - 3. Non-meaningful contacts, such as birthday/holiday cards or calls should only be reported if they significantly advance the prospect relationship by creating an opportunity for an ongoing dialog regarding CSUM. Contacts of this level can be entered in Raisers Edge under activity.
  - E. Contact reports shall also be required when significant new information is learned as a result of the contact - i.e. program interests, gift asks, address change, employment change, marital status, inheritance, family disputes, etc. Contact reports will be required from gift officers to receive reimbursement for a prospect visit/contact.
  - F. Prospect assignments are **reviewed regularly for progress** in moving prospects from cultivation to solicitation to stewardship stages. Review of progress is a key component in evaluation of fundraiser performance and program success.
- IV. Categories of assignments – When prospects are requested for assignment, the fundraiser or other requestor must request a category of assignment. The categories are as follows.
- A. C.L.I.P. – Continuous Lifetime Involvement Program (See details on C.L.I.P.)
    - 1. Potential future major gift prospects will be assigned to C.L.I.P.
    - 2. This category is intended for assignment starting, if appropriate, as early as the freshmen level of college and anywhere in the age continuum that the initial contact is made.
  - B. Identification
    - 1. Pro-active research is identifying suspects who have significant giving potential.
    - 2. All assignments need a qualifying visit to determine interest and involvement for future prospect assignment. As a matter of routine, due to limited staffing, research cannot be conducted on all potential prospects prior to the first visit.
  - C. Cultivation
    - 1. Cultivation is important in the early stages of relationship building, but also applies to individuals in the process of making gifts over time.
    - 2. The performance standard for maintaining a cultivation assignment is a minimum of **at least two substantive interactive contacts** (not birthday or holiday cards) **in any 12-month period.**
    - 3. Interactive contacts/moves are defined as including but are not limited to: staff visits, stewarding previous gifts, thank you, events, sports events, golf, music, dinners, lunches, faculty visits, and volunteer visits.
    - 4. Contacts shall not be limited to one type of move for all prospects - i.e. events only.

5. Cultivation assignment is given for one year. If no substantive contacts are recorded in that time period, assignment is reevaluated.
  6. Multiple gift officers and staff may be assigned to a prospect for cultivation but only one assignment for solicitation may occur at any time.
- D. Solicitation
1. This category is requested as the relationship progresses toward making a proposal or ask.
  2. The assignment is good for 6 months, and may be extended given the appropriate need and further contact with donor/prospect is required to meet the donor's intent.
  3. **Only one solicitation clearance per prospect will be assigned.**
- E. Stewardship
1. Stewardship provide donors with continued thanks and attention. All donors to CSUM should receive stewardship as an end to itself and as the beginning of the next gift cycle.
  2. This category is especially important for “planned gift” donors – those who have a documented bequest or irrevocable deferred gift (no matter how small) in place.
  3. It is a special alert to the existence of a planned gift and can serve as a category for donors who are ill, frail, and/or desire little or no contact.
  4. Good judgment must be exercised in placing people in this category – for example a 35 year old with a documented bequest for CSUM probably should not be in the category but involved in active cultivation for the next gift.
  5. A minimum of **at least two substantive contacts** per year is required per assignee.
  6. More than one fundraiser may be assigned for stewardship to a donor.
- F. VPUA will monitor the standards of performance.
- V. Multiple unit assignments/Primary Manager
- A. Some prospects will be assigned to more than one fundraiser. In circumstances where this occurs, (generally because the *donor* has broad interests at CSUM) a **Primary Manager (PRIME)** will be assigned. Only fundraising professionals may be assigned as PRIME.
  - B. The PRIME process is initiated whenever a **second request** for assignment to the same individual is made.
  - C. The request for PRIME assignment will be made to the VPUA. The VPUA will determine who is best suited, among the assigned fundraisers, to manage the relationship. The requester must demonstrate the strength or nature of the connection to the prospect.
    1. It must be recognized that relationships can be fluid and that PRIME assignment can change as needed to reflect this.
    2. The PRIME role entails:
      - a. Responsibility for maximizing a prospect’s institutional advancement potential.
      - b. Serving as a central communications link to the prospect and assigned fundraisers.
      - c. Facilitating unit contact with the prospect – this may consist of providing introductions, arranging a meeting with their unit or other unit or CSUM administrators.
      - d. While a PRIME is not expected to deliver and discuss others’ proposals with a prospect, depending on the donor relationship, it may be appropriate, on occasion, to do so.
      - e. The PRIME is expected to develop an overall donor strategy reflecting all assigned unit goals and objectives as appropriate to the donor.
      - f. To facilitate section V. -C. 2. e., each fundraiser is expected to develop his/her own strategy, and review with the PRIME.

- g. Each assigned fundraiser is expected to file their own contact report and copy all assigned staff within 10 working days of the contact.
  - D. In instances where discretion is required in decision-making and where there are multiple assignment interests, the VPUA has final decision authority regarding PRIME assignment.
- VI. Professional conduct - PRIME assignment introduces one of the most critical aspects of the PMP system: **COMMUNICATION**.
  - A. Since demonstrated connection is required for any assignment to be made, and if the individual in question is already assigned to another fundraiser, there is an obligation to consult with the assigned officer regarding the nature of additional proposed contacts.
  - B. There is no “ownership” of prospects since the prospects will decide for themselves what they wish to support, but there is “professional courtesy” in maintaining above-board relationships with peers in evaluating the donor's interest.
  - C. It makes fundraising business sense to consult with one another, as prospects will quickly become uneasy with relationships and multiple solicitations, if it appears the fundraising staff is not coordinating with each other.
  - D. There will be contacts that are made and recorded in Raisers Edge where the individual is not assigned in PMP. While these prospects are available for any fundraiser to contact, it is always wise to converse with the fundraiser who has recorded contacts or has a unit affinity, as there may be a specific reason why the individual has not been requested for assignment.
- VII. Major Gift prospect clearance/assignment process for an individual
  - A. Prospect identified.
  - B. Any existing system and file information is reviewed.
  - C. If the prospect is unassigned initial contact **MUST** be made with prospect to ascertain interest. If the prospect is assigned, check with any assigned staff **BEFORE** scheduling a meeting.
  - D. Before requesting assignment, a strategy plan should be developed working with or reviewed by the VPUA. If others are assigned to the prospect, evidence of communication must be documented so that strategies are coordinated **BEFORE** requesting additional assignment. No strategy plan is required for qualifying assignments.
  - E. The strategy plan portion must be completed on the Request for Assignment form (SEE PAGE 7 and 8.)
  - F. Request for assignment reviewed by the VPUA and additional information is gathered.
  - G. Request and strategy e-mailed to appropriate staff for review and response.
    - 1. Other staff assigned
  - H. With input from staff the request is:
    - 1. Approved for assignment
    - 2. Assignment or level of assignment pended
    - 3. Denied assignment with reason for denial.
  - I. Monthly assignments with action plans and dates of next steps will be mailed in spreadsheet format to all fundraisers.
  - K. Solicitation is granted for a six-month period.
  - L. In the event there is an urgent need to discuss prospect assignment or level of assignment the VPUA will review.
- VIII. Major Gift Prospect Management Meetings - Meetings shall be held monthly to review prospect assignments, to share prospect information, discuss fundraising questions and practices, review the results of the most recent meetings with donor visits.
- IX. The California State University Maritime Academy President will on many occasions work directly with key prospects to request major or transformative institutional gifts. It is critical that contact reports

be reviewed, that assignments be adhered to, and that the institution develops a strong culture of fundraiser and volunteer prospect management.

**NOTE:** “Fundraisers”, for the purpose of this policy, are defined as all those involved in raising funds for Cal Maritime. This includes advancement and athletics fundraising staff as well as the CMAF Board Members, CSUM faculty, deans, volunteers, and university staff.

**HISTORY:** MARCH 2012

**REVISION:**

**CALIFORNIA STATE UNIVERSITY MARITIME ACADEMY  
REQUEST FOR PROSPECT ASSIGNMENT AND OR PROJECT CLEARANCE**

**PURPOSE:** Cultivation \_\_\_\_\_ Solicitation \_\_\_\_\_ Stewardship \_\_\_\_\_

Note: STRATEGY PLAN REQUIRED for all requests – complete page 2 of this form

Requested by: \_\_\_\_\_ Today's Date \_\_\_\_\_

School/Dept/Program \_\_\_\_\_

Are you requesting to be Primary Manager? \_\_\_\_\_ Yes \_\_\_\_\_ No.  
(Primary Manager applicable ONLY for prospects with multiple assignments.)

**PROSPECT INFORMATION – Individual OR corporation/Foundation (select ONE per form)**

INDIVIDUAL

Name \_\_\_\_\_ Spouse \_\_\_\_\_

ID# \_\_\_\_\_ ID# \_\_\_\_\_

Degree/School \_\_\_\_\_ Degree/School \_\_\_\_\_

Home Address \_\_\_\_\_

CORPORATION FOUNDATION

Corporation/Foundation Name \_\_\_\_\_ ID# \_\_\_\_\_

Address \_\_\_\_\_

**OTHER GIFT OFFICERS ASSIGNED:**

\_\_\_\_\_

\*\*\*\*TO BE COMPLETED BY ADVANCEMENT SERVICES\*\*\*\*

**OTHER ASSIGNMENTS/PROJECTS**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

APPROVAL: \_\_\_\_\_ Approved \_\_\_\_\_ Denied \_\_\_\_\_ Pending \_\_\_\_\_ DATE: \_\_\_\_\_

E-MAIL SENT TO: \_\_\_\_\_

COMMENTS: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_

Vice President for University Advancement

**CALIFORNIA STATE UNIVERSITY MARITIME ACADEMY  
REQUEST FOR PROSPECT ASSIGNMENT/PROJECT CLEARANCE**

**STRATEGY PLAN**

Solicitation Amount \$ \_\_\_\_\_ Expected Solicitation Date \_\_\_\_\_  
(Only if requesting solicitation)

Funding Objective \_\_\_\_\_  
(Recipient unit/dept./special program)

Summary of Objectives and Next Steps (brief description of linkage/ability/interest with 12-24 month summary of actions planned and considered.):

---

Points to consider when requesting prospect assignment

- A strategy plan MUST be completed when requesting assignment. If others are assigned to the prospect, evidence of communication must be documented so that strategies are coordinated BEFORE requesting assignment.
- Assignment of a Primary Manager is applicable only for prospects with multiple assignments. Processing of a second fundraisers PMP request to a prospect will include a discussion of appropriate Primary Manager assignment.
- Submission of a PMP request to be Primary Manager shall include evidence of face-to-face contact by the requester, this holds for any level of assignment request. However, face-to-face contacts may be impractical prior to making assignments – i.e. a NY prospect where substantive phone calls have taken place.
- Primary manager is responsible for maximizing a prospect’s institutional advancement potential and serves as communication center for a prospect where multiple fundraising staff are assigned.
- Fundraisers other than the Primary Manager may not initiate cultivation or solicitation contact with a prospect without the knowledge and concurrence of the Primary Manager. Conversely, any prospect NOT assigned is available to be contacted by any fundraiser.
- If a request for assignment is not complete, it will be returned with an explanatory note.