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Introduction

As advancement officers, we are stewards of the University's resources, the schools and units that we serve, and the relationships we develop on behalf of the University with alumni, friends and donors.

We aspire to a higher collective and individual level of fundraising achievement in the Honor the Future: The Campaign for the University of Virginia, believing that collaboration between schools and units will maximize philanthropic activity and lead to larger gifts.

We aspire to a higher level of donor-centric interactions by advancement staff across the University and its affiliated foundations in the current campaign, Honor the Future: The Campaign for the University of Virginia. We will understand our donors’ philanthropic goals and seek to fulfill them through the highest level, most meaningful gift opportunities at the University.

Guiding Principles for Prospect Management at UVA

1) We will hold ourselves accountable for moving donors towards deeper engagement and giving, and for generating trust and confidence in the University through strategic coordination of prospect relationships.

2) We will honor our donors’ multiple philanthropic interests across UVA and their individual preferences for philanthropic approaches.

3) We will model openness, trust and transparency in communicating with colleagues.

4) Our prospect management system and practices will be simple, clear, and easy to follow. Technology will facilitate efficiency, collaboration, and accountability among advancement staff.

5) Advancement officers who commit to those principles and bring wisdom and perspective from their relationship with a donor will be empowered to guide the participation and strategy of schools and units in the philanthropic relationship.

Authority of the Policy

Responsible Executive: Senior Vice President for Advancement
Responsible Office: University Advancement
Contact: Prospect Management & Research, dev-prospect@virginia.edu, 924-7165

Database of Record

1) The institutional database of record is Advance (an Ellucian product).

2) All UVA advancement personnel, including those employed by the University and by the University’s affiliated foundations, are responsible for documenting required elements of their advancement work on behalf of the University of Virginia in the database of record.

3) For more information regarding current data requirements, please refer to current materials regarding prospect management procedures on the Advancement Hub or contact the Prospect Management & Research (PMR) department.
Definitions (Frequently Used Terms)

1) **Advancement personnel** include development officers, engagement officers, and other staff who are responsible for alumni relations and engagement activities, including those employed directly by the University of Virginia and those employed by University-affiliated foundations.

2) **Contact reports** are official records of contacts with donors, alumni, volunteers, and prospects. They are filed after any meaningful phone, correspondence, or in-person contact that results in key information about the individual and their readiness or likelihood to make a gift or volunteer on behalf of the University.

   Contact report types and purposes are carefully defined in order to accurately track and document the history of communications and interactions with our constituents. For more information, refer to the definitions document in Appendix A.

3) **Development officers**, sometimes called **gift officers** or **fundraisers**, have responsibility for discovering, qualifying, cultivating, soliciting, and stewarding donors. They are responsible for **prospect management**, carrying a portfolio of prospects for whom they are expected to define and implement strategies to secure funding for priorities set by their director, dean, and/or University leader.

   - **Principal gift officers** focus their time on seven-figure gifts and higher, especially those of $5 million or more.
   - **Major gift officers** focus their time on securing six- and seven-figure gifts.
   - **Leadership annual giving or reunion giving officers** are primarily focused on securing annual, recurring gifts of $2,500 or more, though they may also pursue a limited number of major gifts.

4) **Discovery** is generally how we describe the work undertaken by development officers to develop the pipeline by moving potential prospects from Prospect Identification through Qualification and into Cultivation (see the **Prospect Stages** section for more info). Discovery efforts are measured through development officer contacts with prospects who have either never been visited by a development officer or have not been visited within the past three years. Discovery is not a stage, but a description of movement through the several (early) stages.

5) **Discovery Tasks** are a feature in Advance that will be used to manage qualification efforts across Grounds.

   a) **Tasked prospects** are unassigned constituents (i.e., potential prospects) that have been officially assigned to (or claimed by) a development officer in order to qualify the individual as a prospect. **This is not a prospect assignment.** The Discovery Task indicates that a development officer has been assigned the task of qualifying the prospect and provides a 90-day clearance to do so. Suspects should be qualified as prospects **before** being assigned to a development officer’s portfolio.

6) A **portfolio** refers to a set group of prospects and donors assigned to a development officer, with whom the development officer maintains formal philanthropic and volunteer relationships on behalf of the University and its related foundations.
7) A proposal is the written documentation of a formal solicitation. The term “proposal” also refers to forms in the database of record used to officially document the details of a solicitation (amounts, dates, purposes and assignments). Context is helpful, but this term is often used interchangeably with “solicitation” (see definition below).

8) Prospect management refers to the active movement of a prospect through the development cycle; the strategic movement of portfolio prospects through those stages, by a development officer; and the overall coordination of these relationships across the University.

   a) The Prospect Management Team (PMT) refers to the development officers assigned to the prospect, i.e., the Team Leader and any Team Member(s). (See the Development Officer Roles & Responsibilities section for more information describing the difference in these roles).

   b) Moves Management is a term commonly used within our profession to describe the intentional process of managing prospect and donor relationships. The system was created by David Dunlop, and it involves annual and ongoing planning of the strategies that will be employed to further a relationship with a prospect in order to reach the desired goal.

   c) Prospect Management & Research (PMR) is the department of University Advancement that is responsible for many of the procedural requirements and support services related to upholding this policy within (and for) the Advancement Community at the University of Virginia.

9) A solicitation is a direct request for a gift, whether delivered in person or by other means, in writing or verbally; the solicitation may be for a gift at any level, to be made via cash, pledge, property (in-kind), planned, and/or deferred commitment. Most major gift solicitations are supported through a formal, written proposal. Solicitations are tracked (and counted) via Proposal forms in Advance. Context is helpful, but this term is often used interchangeably with “proposal” (see Proposal definition, above).

10) Stage is a label used to describe a particular point in the relationship between the institution and a prospect. See the Prospect Stages section and Appendix B for more information.

11) Status is a label in the Proposal form (Advance) used to describe a particular point a proposal is at in the development process; it is also related to, but separate from, the prospect’s Stage. See Appendix C for more info.

Development Officer Roles & Responsibilities

All development officers are responsible for:

1) Upholding professional and ethical fundraising practices as articulated by AFP, CASE, AHP, and others. See Appendix I and Appendix J for more detail.

2) Playing an active role in moving all assigned prospects through the donor cycle appropriately.

3) Representing the University as well as their assigned school/unit in their work.
4) Following the communication expectations defined herein concerning donor contact.

5) Proactively coordinating prospect activity for assigned prospects by serving as Team Leader (TL) or Team Member (TM).

6) Reaching out to Team Leaders five business days prior to scheduling a visit or solicitation. This is true for development officers of any rank or tenure and includes notifying a team if you intend to ask a dean, faculty member, or volunteer to reach out to visit a prospect.

7) Updating Advance in a timely manner according to current institutional guidelines.

8) Lastly, it is important to note that very few prospects have more than one member on the team. The recommendations to limit portfolio size and only hold active prospect relationships in the portfolio will reduce the burden of coordinating prospect activity for Team Leaders and Team Members.

**Team Leader (“TL”)**

1) The Team Leader usually has the closest working relationship with the prospect and, in many cases, is the primary point of contact for the donor.

2) The Team Leader is responsible for managing the University's overall relationship with the donor or prospect, representing the full interests of the University, with the goal of maximizing the donor’s lifetime giving to the University.

3) The Team Leader is to represent the philanthropic interests of the donor in light of the overall strategic priorities of the University, schools and units. The Team Leader is to engage prospects by connecting them with appropriate university partners, areas, and activities. The Team Leader is to ensure that the prospect’s employment, relationships, and personal and professional contact information is kept up to date in Advance.

4) The Team Leader is to lead the Prospect Management Team, ensuring that the team is fully informed and in agreement regarding the status and strategy that will be followed for the prospect.

5) The Team Leader is to coordinate with the Prospect Management Team to develop and confirm a strategy and also to record the strategy in Advance as a Strategy Note. The Strategy Note should include information on the target ask; areas to be supported; key players, including volunteers, staff, deans, and other administrators; a timeline for solicitation; and key moves planned for the current fiscal year.

6) Prospect strategies shall be reviewed and confirmed at least once each year by the Team Leader and the Prospect Management Team. This review can occur via meeting, email, phone, or other forms of communication.

7) In complex cases, the Team Leader may convene the Prospect Management Team to discuss a plan; in more straightforward situations, the Team Leader may articulate a plan in Advance and ask the Prospect Management Team to review and respond as appropriate. Changes to the agreed-upon strategy or agreement for other staff to engage with the prospect must be communicated by the Team Leader to the Prospect Management Team.
8) To be assigned as a Team Leader, a development officer must have a documented active relationship with the prospective donor. A request with rationale for becoming the Team Leader must be submitted to the Prospect Management & Research department (dev-prospect@virginia.edu). Team Leader assignments will be evaluated based on documented donor interests, not simply a request for the assignment.

9) Team Leaders are expected to know and understand the policy and role responsibilities. By requesting Team Leader status, development officers are agreeing to uphold their responsibilities.

10) If a Team Leader no longer wishes to serve in the role, they are to notify the rest of the team and request a change of status so that others have an opportunity to request the Team Leader assignment.

Team Member (“TM”)

1) Team Members should have a documented relationship with or interest in the prospect. There shall be no more than one Team Member from each school or unit.

2) Team Members are to participate in prospect strategy development and implementation on behalf of the University, helping to maximize a donor’s lifetime giving to the University.

3) Team Members are to include the full Prospect Management Team in all significant communications regarding a prospect or donor, including any planned solicitations. Team Members are to document all prospect communication in Advance and ensure distribution of contact reports at the time they are filed.

4) Team Members are to alert the Team Leader of any desired change in strategy or request for a prospect team meeting.

5) Team Members are to leave a Prospect Management Team when their involvement with the prospect is completed or no longer appropriate. When leaving a team, they are to notify the Team Leader and the Director of Prospect Management & Research so that portfolio management issues can be addressed comprehensively.

Portfolio Size and Expectations

1) A major gift officer should not carry more than 125 household prospects in his / her portfolio. (A household may be an individual or an individual and his/her partner or spouse, meaning there may be more than 125 individuals.)

2) Annual giving and Reunions officers may carry up to 200 prospect households in their portfolio. When a major/principal gift officer is also on the Prospect Management Team, the annual giving officer should serve as Team Member rather than Team Leader in most circumstances.

3) Principal gift officers should ideally have portfolios representing 50 – 75 households.

4) It is important to be familiar with all relevant Advance records and read contact reports for the spouses of your assigned prospects. In some cases, it makes sense to be assigned to both spouses, with the understanding that each spouse may have a different Team Leader. (In such cases, extra effort should be taken to communicate across PMTs).
5) Development officers will conduct a minimum of one visit or significant communication annually with all prospects in their portfolio, and such interactions shall be recorded in a timely manner in Advance. On an annual basis, Prospect Management & Research will provide development officers and their supervisors with a list of donors and prospects in their portfolio who have not been visited in the last 12 months. If no action is taken within the next 90 days, Prospect Management & Research will remove the prospect from the development officer’s portfolio.

6) Supervisors will conduct at least one portfolio review each year with all development officers carrying a portfolio; generally, this should happen around the start of each fiscal year (Q1), as a part of normal annual goal-setting activities.

7) At a minimum, Prospect Management & Research will conduct a mid-year portfolio review / consultation in the early part of the third quarter (Q3). PM&R will provide consultation at the request of any gift officer throughout the year and may review any portfolio at any time if there are concerns related to this policy.

Prospect Contact Guidelines

It is the responsibility of all development officers to file complete and accurate contact reports in in a timely fashion for all meaningful contacts with constituents. This includes documentation of scheduling attempts, for the purposes of better coordinating efforts across Grounds.

Assigned Prospects

1) Once a prospect is assigned a Team Leader, any other development officers who wish to reach out to that prospect must communicate with the Team Leader five business days before the outreach occurs.
   a. It is every development officer’s responsibility to confirm assignment of any constituent prior to initiating contact.
   b. In very rare instances, HIPAA patient privacy law can supersede this practice where grateful patient prospects are concerned.

2) The Team Leader is a coordinator—not a gatekeeper—for any given donor or prospect. However, the Team Leader may determine that new contact is inappropriate when any of the following situations occur:
   a. An expected ask date in a documented prospect plan is within 90 days.
   b. A formal solicitation has been made and response is pending.
   c. The prospect has specified limited or no contact, due to life events and/or lack of interest in certain programs (or, alternatively, the Team Leader knows of life events that make contact inappropriate).
   d. The prospect has had frequent and recent interaction from the University in the last 90 days.
i. The Team Leader may also determine that, even in the above situations, contact is appropriate.

3) The Team Leader should respond to all requests/inquiries within two (2) business days.

a. The interested development officer should make every effort to contact the Team Leader (by e-mail and phone). However, if the Team Leader fails to respond within two business days, the development officer may proceed.

4) No prospect should receive an invitation to serve on a committee, advisory board, or other capacity without prior discussion with the Team Leader, who will in turn inform the Team.

a. In most cases, these are desirable activities, and the Team Leader should support the prospect’s additional involvement with the University.

5) Invitations to small events (typically planned for up to 20 people) should not be sent until the Team Leader is informed.

6) If unexpected proposal opportunities arise, the development officer must notify the Prospect Management Team immediately.

7) If a prospect contacts a development officer who is not the Team Leader, the contacted development officer should notify the Team Leader as soon as possible after the contact, file a contact report, and ensure that future interactions are coordinated.

Unassigned Prospects

1) Any development officer may contact unassigned constituents in order to assess their interest in a particular area and to begin the cultivation process as long as they are not already tasked to another officer. See Prospect Pipeline Development: Qualification of Prospects for more information.

b. Development officers are responsible for reviewing a constituent’s record prior to initiating contact to determine if recent contact has been made and/or qualification work is already underway (i.e., whether the individual has already been tasked to another development officer).

2) Outreach for prospective visits should be documented in a Contact Report (using the purpose code “Scheduling” so that other officers can clearly see that recent outreach has occurred.

3) If contact or attempted contact between a development officer and any tasked prospect has occurred within 90 days, no other development officer should attempt contact without asking the development officer who made the initial contact or attempt.

   c. After 90 days, there are no restrictions on who can reach out to the prospect, assuming he/she is still unassigned.

4) See the Prospect Pipeline Development: Qualification of Prospects section for details on the systematic qualification of unassigned prospects for the campaign.
Prospect and Portfolio Management

Prospect Stages

The prospect stages described below are used to track prospects through the entire development cycle. Accurate and timely staging of program prospects is the responsibility of each and every development officer.

Setting time limitations on stages helps ensure proper attention is paid to moving a prospect through the development cycle. In general, the maximum time in stages described below pertains to major gift prospects; in certain cases, shorter or longer terms may be appropriate (for annual giving and principal level prospects, accordingly).

In order to ensure effective movement of prospects through this cycle, Prospect Management & Research will send alerts to development officers and their supervisors identifying prospects who have exceeded the recommended time in stage. At that time, the development officer will have an opportunity to change the stage, drop the prospect from his/her portfolio or move the prospect into a disqualification status.

1) **Prospect Identification**: Denotes the identification of potential prospects. This stage identifies unassigned, unqualified prospect pool. Generally, some sort of tip, research or other information has been uncovered that leads us to believe the individual may be a prospect for UVA—or a specific unit at UVA-- (by virtue of capacity or interest, or both), but the prospect has not yet been qualified in person by a development officer. Individuals in this stage are sometimes called “suspects” or “potential prospects.” **Max time in stage: indefinite, if unassigned**; however, no prospects should be in a gift officer’s portfolio in this stage. See *Qualification Procedures* section for more information.

2) **Qualification**: A development officer is in the process of making a determination about whether the individual is a viable prospect. The DO is in the early stages of assessing the individual’s general philanthropic inclination (evinced by charitable giving anywhere), propensity (whether or not the individual is interested in the University or a specific unit), and the prospect’s capacity (or financial ability) to give at a certain level. **Max time in stage: 6 months**. See *Qualification Procedures* section for more information.

Once the prospect is qualified (or determined to be a prospect), the prospect stage moves to Cultivation.

3) **Cultivation**: The prospect is becoming involved and engaged at deeper levels; or, the prospect has moved out of stewardship into another cycle of intense cultivation for a new solicitation. Additional, more specific information is being gleaned by the development officer regarding the prospect’s area(s) of interest at UVA, as well as his or her inclination to give a specific gift to that area. **Max time in stage: 18 months**.

4) **Preparing to Solicit**: The development officer is approaching the time at which she or he intends to make a specific gift solicitation. Preparations are underway, proposals are in development, and the solicitation details are being planned. Generally, other significant actions should be put on “pause” until this solicitation reaches its ultimate status (accepted, declined or withdrawn). **Max time in stage: 12 months, with monthly reminders starting at or after 3 months**.
5) **Solicitation Open:** The prospect has been asked for a specific gift. The prospect’s response is pending, or details of the proposal are in negotiation. The process and proposal are not yet officially accepted, declined or withdrawn. **Max time in stage: 9 months, with monthly reminders starting at or after 3 months.**

6) **Stewardship:** The donor has agreed to make (and has documented) a gift or pledge, and the donor receives appropriate thanks and recognition. Normal stewardship activities may include keeping the donor informed regarding the impact of their gift(s) until they are ready to be qualified for and cultivated towards another gift or pledge. After an appropriate amount of time, preparations begin for the next cultivation cycle; when ready, stage will revert once again to Cultivation. **Max time in stage: 24 months, with quarterly review at or after 12 months.**

7) **Lifetime Stewardship:** The donor has made his or her ultimate gift to the University and will not be making any additional major gifts or pledges in his or her lifetime. All further contacts from UVA development community staff will appropriately steward past giving, but there will be no cultivation or solicitation of new major gifts. (Note that annual giving activities may continue, unless the donor indicates otherwise). **Max time in stage: indefinite. *Please contact PM&R when you believe the prospect is ready for this stage.***

**Portfolio Composition**

Each development officer is responsible for the overall management of his/her portfolio of prospects and should always have a balanced portfolio of prospects in various stages of the development cycle. Development officers should communicate regularly with their supervisors about prospect strategy, assignments, movement, etc.

Below is a general guideline for the makeup of an ideal portfolio after one year in a major gift officer role (this may vary, based on gift officer’s role, years of experience and tenure at UVA):

1) **Qualification:** 15% (or less) of a portfolio. A new prospect is identified and assessed for viability as a donor. If it is determined that the donor has gift potential, the donor should remain in the development officer’s portfolio and moved towards a solicitation accordingly. Generally, it is preferred that individuals be qualified as a prospect for a school or unit prior to being added to a portfolio. See **Qualification Procedures** section for more information.

2) **Cultivation and Preparing to Solicit:** 50% of a portfolio. This involves learning more about the prospect, informing the prospect about specific projects at the University, and stimulating interest in the people and programs of the University. Development officers are building relationships with the prospect and trying to involve him/her with the University. At all times Development Officers are encouraged to involve other faculty, staff, Deans, events, etc. in the cultivation process to ready the donor for solicitation.

3) **Solicitation:** 20% of a portfolio. A proposal strategy is developed by the development officer and the solicitation and outcome are documented.

4) **Stewardship / Lifetime Stewardship:** 15% of a portfolio. Prospects have made a gift and have been thanked. Development officers should have a plan for donors in this stage and assess their ability to make future gifts.
Prospect Pipeline Development: Qualification of Prospects

Maintaining a robust prospect pipeline is essential to good prospect management. For this reason, qualification activities are an important part of any development officer’s efforts.

Uncoordinated outreach to unassigned constituents by multiple development officers can be confusing for donors and prospects. This can be especially problematic in the University’s major markets. In order to mitigate these problems, University Advancement will host major market pipeline meetings to review lists of alumni and donors in that area who need to be qualified or re-engaged. Those meetings will allow for tasking of unmanaged prospects to particular development officers based on giving, affiliation, and referrals.

Under most circumstances, potential prospects should be qualified prior to making an official request for prospect assignment.

The following protocols have been established to help coordinate these efforts across Grounds:

1) Discovery Tasks (in Advance) will be used to track qualification efforts across Grounds. The intent of this new process is to:
   a) maximize discovery efforts across the community (i.e., qualify as many potential prospects as possible);
   b) avoid multiple calls or visits to a single prospect by multiple development officers; and
   c) give any development officer ample time to plan, coordinate and execute their qualification efforts.

2) Development officers who are assigned the task of qualifying specific individuals have priority to pursue those prospects.

3) The task-assigned development officer should be contacted prior to any other outreach by other Advancement personnel. The task may be transferred to the other gift officer, if appropriate.

4) Qualified prospects should be moved into a portfolio (or referred to another gift officer, as appropriate). Disqualification of potential prospects should be documented in Advance.

5) Discovery Task assignments may remain active for up to six months so that development officers have a reasonable timeframe in which to establish contact and make an initial visit.

6) After six months, Discovery Task assignments will expire automatically unless the gift officer requests a three-month extension. Inaction will result in the return of the potential prospect into the pool of open prospects.

7) Development officers may carry up to (but no more than) 100 Discovery Tasks at any given time.
Solicitations

Notification and Coordination

1) When a Team Member wishes to solicit a major gift from a prospect who has a Team Leader, s/he should contact the Team Leader prior to any gift conversation with the prospect to discuss how the timing of a solicitation will impact strategy.

2) If a development officer wishes to solicit a gift of $5 million or more from a prospect, they must notify the Vice President for Advancement about the planned solicitation to ensure the University President and the Senior Vice President of Advancement are aware of the solicitation and have an opportunity to review the proposal. Notification should occur with at least two weeks’ notice to allow the President adequate time to review and approve the proposal.

Solicitation Procedures (Proposals)

1) In order to enable accurate pipeline reporting, every planned major- or principal-level gift solicitation should be documented through a Proposal record in Advance. Consistent and early creation of proposals in the Planning stage allows for better coordination and institutional tracking for the campaign. It will also better enable managers to track solicitation progress for their units.

2) To be effective for these purposes, a proposal entry must include the following fields:
   a) Gift Type
   b) Status
   c) Unit
   d) Proposal Manager
   e) Campaign Code
   f) Anticipated Ask Amount (corresponds with Original in EverTrue)
   g) Anticipated Ask Date (corresponds with Original Date in EverTrue)
   h) Actual Ask Amount (corresponds with Current in EverTrue)
   i) Actual Ask Date (corresponds with Current Date in EverTrue)
   j) Actual Close Amount (corresponds with Funded in EverTrue)
   k) Actual Close Date (corresponds with Funded Date in EverTrue)
   l) Initial Contribution Amount (corresponds with Expected in EverTrue) (optional)
   m) Initial Contribution Date (corresponds with Expected Date in EverTrue) (optional)

3) Proposals may not stay in a Planning status for more than 12 months without justification from the Proposal Manager to his/her supervisor.

4) Proposals should not be in the Ask Made/Response Pending status for more than six months without justification from the Proposal Manager to his/her supervisor. It is worth seriously considering the viability (or not) of the proposal at this time.

5) Prospect Management & Research will email notifications to the Prospect Manager and their supervisor to facilitate these conversations when proposals meet these criteria.
Prospect Assignments

Initial Assignment

Prospect assignments will be made with attention to the prospect’s interests and in support of a cultivation strategy that is likely to result in the largest gift to the University, school and/or unit. See Appendix E for additional information on this subject.

Reassignment Scenarios

A donor-centric perspective will also inform prospect reassignment. Some common scenarios are outlined here:

1) No contact with the prospect within 12 months:

   a. On an annual basis, Prospect Management & Research will initiate reviews of activity in consultation with schools and units. Prospects may be considered for reassignment to a new Team Leader if a member of the assigned University, school or unit development office has not visited them within the fiscal year. Such reviews consider all contacts, including those submitted from other school/unit Advancement staff on the prospect team. Development officers are responsible for entering contact reports on behalf of school or unit executives, deans, faculty and/or board members that are relevant to the cultivation of the relationship with the prospect.

   b. Schools and units that have had the most engagement with a prospect, including but not limited to development officer visits, event attendance, board service and giving, are generally given preference for reassignment.

2) Development officer transitions, including leaving or joining UVA’s Advancement Community:

   a. Generally, the intent is to maintain the prospect’s relationship with the University and its constituent units as the prospect would want or expect. It is assumed that the prospect’s relationship is with the organization(s), not the individual gift officer(s).

   b. TL assignments will remain with that school / unit, as long as the relationship reflects the prospect’s primary interests and a gift officer from the unit is assigned for interim management (and ultimately a gift officer is assigned permanently within 12 months).

   c. In the event of staff departures, the departing gift officer’s manager will work with PM&R to determine how prospects are assigned within the school or unit team.

   d. Active relationships (under active cultivation or solicitation) should be transferred to other staff within the school/unit for interim management; unqualified or uncontacted prospects may be archived until a replacement is hired. This should happen within 30 days of the DO’s separation from a unit.

   e. Portfolios are archived until a new DO is in place. Once a new hire is made, Prospect Management & Research can provide a historical snapshot of the portfolio as it was constituted for the previous DO, if desired. This allows managers to review and select which prospects to reassign.
f. Supervisors are responsible for assigning prospect portfolios to their new development officers. Prospect Management & Research supports the selection of prospects, drawing from a pool of previously unassigned prospects and/or those who have not been actively engaged in the past fiscal year.

Previous Assignment Data

Previous assignment data will be archived in (not deleted from) the database. This information may be reviewed when re-assigning prospects to new development officers.

Prospect Strategy Meetings & Portfolio Reviews

Prospect Strategy

1) Team Leaders are required to set strategy on all team-assigned and principal prospects within their portfolio. The strategy should align the prospect’s philanthropic interests and capacity with clear next steps and timelines.

2) When a managed prospect has multiple areas of giving or engagement within the University, the Team Leader is responsible for understanding and cultivating the donor’s complete interests within the larger University setting, in addition to the school or unit the Team Leader represents.

3) It is possible, though unlikely, that the primary philanthropic interest for a donor resides in a unit outside that of the Team Leader. In these cases, the Team Leader is still responsible for setting cultivation and solicitation strategy for the donor or prospect that keeps the donor’s primary interests in mind.

4) The Team Leader is responsible for actively and regularly coordinating meetings or conversations with units and schools where the prospect has other relationships or giving, and for documenting a holistic, collaborative strategy in Advance.

5) Prospect Management & Research will flag managed prospects that have had no contact in 12 months so that the Team Leader can review the relationship and strategy. If no activity is established within the next 90 days, the prospect assignment will expire.

Portfolio Reviews

1) At a minimum, supervisors are expected to have annual portfolio reviews with development officers to ensure Team Leaders have active, documented, holistic strategies on all managed prospects. Normally this should happen as part of the fiscal year goal setting process.

2) Portfolio review meetings will emphasize moves management and cultivation strategy toward solicitation. They should include a systematic review of progress through prospect stages (i.e. discovery, qualification, cultivation, solicitation, stewardship). Development officers must appropriately document all planned solicitations as Proposals in Advance and update the Stage of those prospects to Preparing to Solicit.
3) Prospect Management & Research will also initiate an annual portfolio review, at the mid-year mark (usually early Q3).

4) Reviews and reassignments will also be conducted as needed throughout the year, in response to changed circumstances for the prospect and/or development officer.

5) Prospect Management & Research will proactively assist Team Leaders and their supervisors with idle prospect reminders and other relevant portfolio alerts.

6) Additional support for understanding these processes, techniques and best practices will be provided through professional trainings offered by the Advancement Community Learning (ACL) department in University Advancement.

**Recommended Metrics**

Supervisors are expected to meet annually with each gift officer in his/her school or unit to establish aggressive yet realistic annual goals for visits, solicitations, dollars raised, and any other metrics applicable to the school or unit.

In addition, each chief development officer is expected to set annual goals for his/her own activity and unit. These goals will be reviewed and approved by the Senior Vice President for Advancement. These goals should be recorded for monthly tracking purposes. Reports will be distributed by Advancement Business Intelligence to the Deans and chief development officers.

1) The Prospect Management Task Force will meet up to three times annually to assess and review the implementation of recommended metrics.

2) It is expected that a development officer in his/her first year would have metrics primarily associated with visits and qualification efforts.

3) For development officers who have tenure beyond one year, annual metrics should include: a dollar goal for closed solicitations (and an associated number of closed proposals to reach it); a dollar goal for solicitations made (and an associated number of proposals); and a visit goal (# of meaningful, in-person meetings with prospects).

4) Careful consideration should be given to the development officer’s role, tenure, portfolio quality, and any other relevant responsibilities associated with his/her position.

5) A recommended matrix of gift officer expectations is included in Appendix D.
Conflicts and Appeals

This oversight is functionally delegated to the Director of Prospect Management & Research.

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

Any development officer may raise a question about matters such as Team Leader assignment, discouragement from contacting or solicitation, inactivation of records showing no contact within 12 months, or disagreements about a specific donor or strategy. Generally, these matters can be discussed and resolved within the team. Where differences of opinion occur, development officers 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. All efforts to resolve the matter among peers should be explored first.

2) If consensus is not reached through this process, then the issue should be presented to the development officer’s supervisor. The supervisor will work with other relevant supervisors and may then ask the Director of Prospect Management & Research to help facilitate a resolution.

3) To assist in resolving conflicts, the Director of PM&R may ask to convene the Prospect Management Task Force (which has representation from across Grounds) to review the matter at hand, and to make a determination on the most appropriate resolution.

4) If the conflict cannot be resolved, the Prospect Management Task Force may refer the matter to the Senior Vice President of University Advancement (or his delegate), who will make the final decision.
Confidentiality & Ethics

Data Protection Requirements for the UVA Advancement Community

The University of Virginia’s data security and management policies apply to all Advancement personnel (i.e., both employees of the University and the University-affiliated foundations).

Upon hire, all Advancement personnel (both University Advancement and University-related Foundation staff) sign a non-disclosure agreement (NDA) prohibiting the dissemination or intentional exposure of Confidential Information (i.e., any and all data pertaining to alumni, donors and friends of the University).

This includes limitations on providing data or information to the following entities without prior authorization by a designated University official:

1) Any UVA employee not considered Advancement personnel (e.g., faculty, deans, other administrative personnel). A business case for access must be made; signed NDA required

2) Any non-employee (e.g., volunteers). Volunteer Non-disclosure Agreement is required

3) Any other third-party entity, such as consultants, data services, software companies. Review and approval by designated University official is required

4) Individuals requesting data under the Virginia Freedom of Information Act. FOIA requests must be directed to the University’s FOIA Officer in University Communications

Failure to abide by the NDA may result in disciplinary action under the policies of the University of Virginia and the Commonwealth of Virginia.

The designated University official (or Data Steward) responsible for reviewing requests to release advancement-related University data (in any form, and from any system) is the AVP for Advancement Operations; the AVP’s purview includes the review of contracts and other agreements that would result in the transmission of University data to any third party.

The University Advancement Technology Steering Committee, chaired by the AVP for Advancement Operations and with representation from affiliates across Grounds, is responsible for evaluating new products and tools for the Advancement Community, and makes recommendations to the VP for University Advancement regarding such investments.

Refer to the University of Virginia Advancement Privacy Statement (Appendix F), the current Staff Non-disclosure document (Appendix G) and the Volunteer Non-disclosure document (Appendix H).
Professional Standards

Members of the UVA Advancement Community are held to high professional standards by the University of Virginia, its constituents (alumni, parents, friends and patients), as well as our various professional organizations.

Additional information and guidance are available from:

  Council for Advancement in Support of Education (CASE) www.case.org
  Association of Fundraising Professionals (AFP) www.afpnet.org
  Association for Healthcare Philanthropy (AHP) www.ahp.org
  The Giving Institute (TGI) www.givinginstitute.org

Please also refer to the Donor Bill of Rights (Appendix I); and the CASE Principles of Practice (Appendix J) for more information.
APPENDICES
APPENDIX A: Contact Reports

Accurate documentation of the date, type, and purpose of your contacts with donors and prospects helps build a valuable history that will help you -- and the development officers who come after you -- to cultivate and steward individuals on behalf of the University of Virginia. Our goal is not to document every chance encounter with a prospect, but to accurately document meaningful interactions that move the relationship forward.

This tip sheet will help you understand two important aspects of contact reports: the type of contact and the purpose of the contact.

Contact Report Type

Contact type helps describe the various methods and venues in which we make contact. It is important to accurately document the type of contact. Here is a description of contact types:

<table>
<thead>
<tr>
<th>Contact Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visit</td>
<td>An intentional, usually private, in-person contact between a development officer (DO) and a prospect, made by appointment, and usually for the purpose of qualifying, cultivating, soliciting, or stewarding the individual.</td>
</tr>
<tr>
<td>Virtual Visit</td>
<td>An intentional, usually private, in-person contact between a development officer (DO) and a prospect, made in lieu of a visit via phone or video conferencing tools (such as Zoom, Skype or other media), made by appointment, and usually for the purpose of qualifying, cultivating, soliciting, or stewarding the individual.</td>
</tr>
<tr>
<td>Phone Call</td>
<td>Contact by phone; may be for any purpose, including cultivation, solicitation, or stewardship. This is not for tracking phonathon solicitations.</td>
</tr>
<tr>
<td>Email</td>
<td>Direct contact via email; may be for any purpose, including cultivation, solicitation, or stewardship. This is not for tracking mass emails.</td>
</tr>
<tr>
<td>Correspondence</td>
<td>Written (often mailed) contact, may be for any purpose, including cultivation, solicitation, or stewardship.</td>
</tr>
<tr>
<td>Meeting</td>
<td>A noteworthy contact between a DO and prospect made at a meeting with another purpose (e.g., at a board meeting, event planning meeting), made intentionally or incidentally, and which is peripheral to individual qualification, cultivation, solicitation, or stewardship; or Documentation of a meeting about a prospect with a third party (e.g., a key faculty member or other development officer); these contact reports are usually documented with the purpose “Strategy” (see Contact Report Purpose section for definitions).</td>
</tr>
</tbody>
</table>
Event

A noteworthy contact between a DO and prospect at an event (e.g., at a reception, dinner, cocktail party, sporting event), made intentionally or incidentally, and which is peripheral to direct individual qualification, cultivation, solicitation, or stewardship.

Meeting and Event contact reports allow us to document those meaningful conversations that sometimes take place during the course of an event or meeting that has another primary focus or purpose. Note, however that we are not tracking event and meeting attendance through Contact Reports; we have various event management platforms for this purpose. Meeting and event contact types should only be used when meaningful interactions helpful to the overall record of qualification, cultivation, solicitation, and stewardship are made during the course of a meeting or at an event.

Contact Report Purpose

It is important to accurately document the purpose of your contacts. Contact purposes are often related to the prospect’s stage in Advance, but there are also a few more task-specific contact purposes available. You can also link solicitation contact reports directly to existing proposals within the contact report form in Advance. Here is a description of our contact purposes:

<table>
<thead>
<tr>
<th>Contact Purpose</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scheduling</td>
<td>Identifies your attempts to obtain a visit with a prospect (usually via phone call or email). Provides an effective way to communicate that scheduling attempts are being made (and hopefully avoiding simultaneous requests for the prospect’s time by multiple UVA representatives). Good for showing history of attempts to reach an individual, archiving this information in the system will also help us to avoid wasting time on uninterested individuals.</td>
</tr>
<tr>
<td>Prospect Identification</td>
<td>Some sort of tip, research or other information has been uncovered that leads us to believe the individual may be a prospect for UVA (by virtue of capacity or interest, or both), but the prospect has not yet been qualified in person by a development officer. Individuals in this stage are called “suspects” or “potential prospects.”</td>
</tr>
<tr>
<td>Qualification</td>
<td>You are making a determination about whether the individual is actually a prospect. You are in the early stages of assessing the individual’s propensity (i.e., whether or not the individual is in fact a prospect for the University or a specific unit) and their capacity (or ability) to give at a certain level. Once you are sure the individual is a prospect, the prospect’s stage and your discussions shift to Cultivation.</td>
</tr>
<tr>
<td>Cultivation</td>
<td>You are engaged in meaningful conversations about affinity, interests, ability and willingness to make a gift to the University (or a specific area within the University).</td>
</tr>
</tbody>
</table>
Solicitation
You have clearly asked the prospect to make a gift -- this can be any level or type (annual fund, major gift, principal gift, planned gift), as long as it was a personal ask. This is NOT to be used for mass appeals. Solicitation contacts should also have a corresponding PROPOSAL documented in Advance, and the proposal can be linked to this contact report.

Solicitation Follow-Up
This purpose clearly designates your follow up contact after you have made a formal solicitation; usually characterized by efforts to address final details or get documentation and closure on the gift.

Solicitation Assist
This documents a supporting contact by someone who was not the primary solicitor; often another development officer or volunteer who has a relationship with the prospect, and who is assisting with the closure of a gift.

Stewardship
This is the thanking phase of the donor cycle; Stewardship contacts show development officers’ efforts to properly thank the donor for their gift.

Strategy
This is used for documenting Meetings with other development staff members, faculty, physicians, or key volunteers to discuss the strategy for approaching or cultivating a specific prospect.

Goals
At this time, the only contact type for which we set formal goals is Visit, as visits are an indicator that can be helpful in evaluating a gift officer’s efforts, especially if solicitation and closed proposal goals are not met. Visit goals are determined by you and your manager and are updated annually for reporting purposes.

Meeting, Event, Correspondence, Email and Phone Call contact types are included in the monthly “All Activity by Purpose” report. This allows us to capture valuable information regarding cultivation, solicitation and stewardship work achieved through contacts other than visits and can be helpful for you and your supervisor.

We have no plans at this time to set formal goals for contact types other than visits; and there are no specific institutional goals established related to contact report purposes. However, your manager may have goals for you that differ from the institutional goals.

Reminder: It is important to get a clear picture of how we accomplish our work. Accurate characterization of the contact type and purpose are very important to understanding our business.
Contact Reports: What to Include

“Anything important to understanding the relationship.”

Contact reports should contain any information that may be important or give insight into a prospect’s capability or probability of supporting the campaign or program initiative. Any significant correspondence or communication between a development officer and a prospect should be documented. Judging significance is up to the development officer and should be considered anything that a development officer now or in the future would consider useful in the cultivation of that particular prospect (i.e., personal information, career information, any changes in personal or professional status).

Depending on the stage of your prospect, a good contact report may contain:

Personal history (e.g., why the prospect chose the University of Virginia);

What kind of experience he/she had as a student; favorite professors;

How his UVa experience compared to his graduate or undergraduate school experience;

What activities she participated in while at the University;

How many (and which) other relatives have attended the University;

How often he or she visits the University;

Feelings about the University, including: opinions about in-state vs. out-of-state enrollment and ratios; tuition; endowment; athletics; entrance requirements; the honor system; whether his / her children are interested in UVa and have they applied, been accepted or rejected; interests in specific programs (e.g., Athletics, Jefferson Scholars, etc.); projected growth of the University;

Information about the prospect’s profession, perceived success, visible signs of wealth (e.g., neighborhood, furnishings, art collections, automobiles, jewelry);

References to other charitable interests and areas of financial support or volunteerism;

Accurate description of reactions, comments or concerns related to gift discussions.

All complete contact reports must contain:

Full recounting of the relevant aspects of the meeting in the Text field;

Accurate, informative summary of the contact report in the Description field;

Accurate characterization of the Visit Type, Purpose and Date (see Contact Report tip sheets for definitions)
**Best practice tip:** You may find it helpful to write out your full contact report Text before trying to summarize your thoughts for the Description field. Description examples follow:

<table>
<thead>
<tr>
<th>INCOMPLETE</th>
<th>COMPLETE</th>
</tr>
</thead>
<tbody>
<tr>
<td>thanks</td>
<td>thank you for continuing annual support; discussion to qualify MG potential</td>
</tr>
<tr>
<td>visit</td>
<td>qualification visit; discussion of interests at UVa and other organizations</td>
</tr>
<tr>
<td>discussion</td>
<td>discussion of overall philanthropic priorities</td>
</tr>
<tr>
<td>phone call</td>
<td>follow up to answer questions from last visit</td>
</tr>
<tr>
<td>ask</td>
<td>asked for major gift commitment; rec'd annual gift check</td>
</tr>
<tr>
<td>MG</td>
<td>follow up to solicitation; donor agreed to major gift pledge over 5Y</td>
</tr>
<tr>
<td>lunch on 5/11/08</td>
<td>delivered memorandum of agreement</td>
</tr>
</tbody>
</table>

**IMPORTANT!! Contact reports SHOULD NOT contain:**

Health information of the prospect (or their relatives or other acquaintances), even if they disclosed it to you; this includes diagnoses, prognoses, etc.;

Any other protected health information (under HIPAA rules);

Personally identifiable information (e.g., credit card numbers, social security numbers, etc.)

Unprofessional, personal judgments of the prospect’s character, attire, opinions, etc.;

Unnecessary details that would be considered irrelevant to the advancement business relationship between the prospect and the University and / or its affiliated organizations (UAOs).

**Best practices:**

Conclude your contact report with a “Next Steps” statement, including any suggestions for you or the next development officer about how to move the prospect further along the cultivation / solicitation process.

Entering your “Next Steps” statement as a Task in Advance Web will put the task on your home page and help you to track your follow-up. Tasks can also be transferred to the next DO if the prospect assignment shifts, which facilitates smoother relationship transitions.
APPENDIX B: Prospect Movement Through the Donor Cycle

Development officers (DOs) are accountable for moving prospects through the donor cycle in a timely fashion and for updating the program stage for each prospect in Advance. This is necessary to keep the overall prospect stage up to date; enables everyone on the prospect management team to know where you (and your program) are in the development cycle; enables senior development officers and University leaders to better predict the pipeline of potential gifts; and is part of how we measure fundraiser performance.

The seven prospect stages are:

Prospect Identification: The prospect is new, has only been identified; some sort of tip, research or other information has been uncovered that leads us to believe the individual may be a prospect for UVA --or a specific unit at UVA-- (by virtue of capacity or interest, or both), but the prospect has not yet been qualified in person by a development officer. Individuals in this stage are sometimes called “suspects” or “potential prospects.”

Qualification: A development officer is in the process of making a determination about whether the individual is a viable prospect. The DO is in the early stages of assessing the individual's propensity (i.e., whether or not the individual is interested in the University or a specific unit) and the prospect's capacity (or financial ability) to give at a certain level. Once the prospect is qualified (or determined to be a prospect), the prospect’s stage moves to Cultivation.

Cultivation: The prospect is becoming involved and engaged at deeper levels; or, the prospect has moved out of stewardship into another cycle of intense cultivation for a new solicitation. Additional, more specific information is being gleaned by the development officer regarding the prospect’s area(s) of interest at UVA, as well as his or her inclination to give a specific gift to that area.

Preparing to Solicit: The development officer is approaching the time at which she or he intends to make a specific gift solicitation. Preparations are underway, proposals are in development, and the solicitation details are being planned.

Solicitation Open: The prospect has been asked for a specific gift. The prospect’s response is pending, or details of the proposal are in negotiation. The process and proposal are not yet officially closed.

Stewardship: The donor has agreed to make (and has documented) a gift or pledge, and the donor receives appropriate thanks and recognition. After an appropriate amount of time at this stage, preparations begin for the next cultivation cycle; when ready, stage will revert once again to Cultivation.

Lifetime Stewardship: The donor has made his or her ultimate gift to the University and will not be making any additional major gifts or pledges in his or her lifetime. All further contacts from UVA development community staff will be to appropriately steward past giving, but not to cultivate or solicit new major gifts. (Note that annual giving activities may continue, unless the donor indicates otherwise).
APPENDIX C: Proposals (or Solicitations)

Solicitations are documented in Advance Web as part of the overall prospect tracking process. Development officers (DOs) are responsible for keeping the status of their proposals up to date in Advance Web. Please note that updating the proposal status in Advance Web does not automatically change your program prospect’s stage; DOs are also responsible for updating program prospect stages based on their activity with those prospects. Refer to the chart on the following page for guidance regarding the relationship and associated timing of changes to the proposal status and the prospect’s stage. Proposal status options follow:

**Planning**

Development officer is documenting intent to ask. There should be a reasonably accurate anticipated ask date, anticipated ask amount, and a specific funding purpose. Program prospect stage will be changed to “Cultivation” if the planned solicitation is more than 90 days away, or “Preparing to Solicit” if within 90 days. Specify this information in the Stage field on your proposal.

**Ask Made / Response Pending**

Development officer is ready to make a solicitation. Development officer notifies the team (i.e., Relationship Manager, Relationship Members), and updates the proposal record (no sooner than 48 hours prior to the ask) to include actual ask date and actual ask amount. Program prospect stage will be changed to “Solicitation Open.”

After the prospect makes a decision about the proposal, the next possible proposal statuses are: Accepted, Declined, or Withdrawn. Once the proposal reaches one of these final statuses, the proposal is deactivated by the development officer. (Deactivation does not impact monthly and annual proposal reporting; date ranges --not active status-- are used for proposal activity reporting).

**Accepted**

Prospect has accepted the proposal; the solicitation process is finished. Development officer has all required paperwork to give to Gift Accounting to book the gift. Development officer notifies the team, updates “Granted Amount” and “Granted Date,” and deactivates the proposal and proposal assignments. Program prospect stage will be changed to “Stewardship.”

**Declined**

Prospect has declined the proposal. Development officer notifies the team and deactivates the proposal and proposal assignments. Program prospect stage will be changed to “Cultivation,” unless otherwise requested by the development officer.

**Withdrawn**

Development officer has decided to withdraw (or not present) the proposal. Development officer notifies the team and deactivates the proposal and proposal assignments. Program prospect stage will be changed to “Cultivation,” unless otherwise requested by the development officer.
<table>
<thead>
<tr>
<th>If Proposal Status is:</th>
<th>Prospect’s Stage will be changed to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning</td>
<td>Cultivation, or</td>
</tr>
<tr>
<td></td>
<td>Preparing to Solicit</td>
</tr>
<tr>
<td></td>
<td>(Best practice: move to “Preparing to Solicit” within 90 days of ask)</td>
</tr>
<tr>
<td>Ask Made / Response Pending</td>
<td>Solicitation Open</td>
</tr>
<tr>
<td></td>
<td>(Best practice: move to “Solicitation Open” 48 hours prior to ask)</td>
</tr>
<tr>
<td>Accepted</td>
<td>Stewardship</td>
</tr>
<tr>
<td></td>
<td>(Best practice: As soon as gift intent is documented)</td>
</tr>
<tr>
<td>Declined</td>
<td>Cultivation</td>
</tr>
<tr>
<td></td>
<td>(Unless otherwise specified)</td>
</tr>
<tr>
<td>Withdrawn</td>
<td>Cultivation</td>
</tr>
<tr>
<td></td>
<td>(Unless otherwise specified)</td>
</tr>
</tbody>
</table>

A reminder regarding the staging of your Program Prospects without proposals:

The Prospect Development department is responsible for making prospect assignments in the database of record, but development officers are responsible for maintaining timely and accurate stage changes for their program prospects, whether there are active proposals or not.
## APPENDIX D: Development Officer Accountability

**Effective 9/1/14—Reviewed Annually**

<table>
<thead>
<tr>
<th>Accountability</th>
<th>Principal Gifts / Gift Planning(^{(1)})</th>
<th>Major Gift Directors(^{(1)})</th>
<th>Major Gift Officers(^{(1)})</th>
<th>Senior Reunions/Parents Gift Officers(^{(1)})</th>
<th>Reunions/Arts Gift Officers(^{(1)})</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commitments raised per year (from personal solicitations) (^{(2)})</td>
<td>$3M to $5M+</td>
<td>$2M to $3M+</td>
<td>$1M to $2M+</td>
<td>$500K to $1M+</td>
<td>$200K to $500K+</td>
</tr>
<tr>
<td>Number of Commitments Closed ($100K+) (^{(2)})</td>
<td>16+ Annually</td>
<td>11+ Annually</td>
<td>7+ Annually</td>
<td>2+ Annually</td>
<td>1+ Annually</td>
</tr>
<tr>
<td>Major Gift solicitations delivered ($100K+) (^{(2,3)})</td>
<td>30+ Annually</td>
<td>24+ Annually</td>
<td>18+ Annually</td>
<td>5+ Annually</td>
<td>4+ Annually</td>
</tr>
<tr>
<td>Annual Gift Solicitations Delivered ($5K +) (^{(3)})</td>
<td>5+ Annually</td>
<td>5+ Annually</td>
<td>10+ Annually</td>
<td>20+ Annually</td>
<td>30+ Annually</td>
</tr>
<tr>
<td>Goal Setting Prospects Solicited (^{(3)})</td>
<td>65%</td>
<td>65%</td>
<td>60%</td>
<td>55%</td>
<td>50%</td>
</tr>
<tr>
<td>Minimum Scheduled Visits (^{(3,4,5)})</td>
<td>10+ Monthly</td>
<td>12+ Monthly</td>
<td>15+ Monthly</td>
<td>8+ Monthly</td>
<td>8+ Monthly</td>
</tr>
<tr>
<td>Discovery Visits (^{(6)})</td>
<td>15%</td>
<td>15%</td>
<td>20%</td>
<td>20%</td>
<td>30%</td>
</tr>
<tr>
<td>Two Team Specific Metrics, selected by manager</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1) After 12-month tenure in position  
2) Using current campaign counting standards  
3) Includes solicitations conducted via mail, e-mail and phone that are documented—reference definition for a solicitation.  
4) Only contact reports filed within 10 business days following appointment to qualify—expense reports will not be processed until all contact reports are completed.  
5) Directors/managers may disqualify visits if deemed to be without substance  
6) Discovery Visits are defined as visits with potential donors that have not been visited by the University in three years or more.
APPENDIX E: Prospect Assignment

This information is provided for insights into the process of selecting and assigning prospects, in general. Both development officers and development researchers have a role in identifying, qualifying and recommending prospect assignments. Leads may come from a researcher to a development officer; or a development officer may uncover a prospect on their own and request a team assignment. The Prospect Management & Research department in University Advancement is responsible for facilitating decision-making around prospect assignments and for creating prospect assignments in Advance. This section discusses the main criteria used in evaluating prospects for initial assignment. Throughout, our desire is to be as donor centric as possible.

Direct Indicators of Interest by Individuals

1) Giving history is primary in determining prospect assignment, as it is the best expression of the donor's interest(s).

2) If the donor gives to multiple schools or programs, priority goes to the unit of greatest giving.

3) We also consider recent and significant changes in long-term giving trends. For example, if a donor made annual gifts to School #1 for ten years, then stopped, and has been giving to School #2 for the past three years, we would give the primary assignment to School #2.

4) Volunteer activity: We would give primary assignment to a school or program if a prospect is a board member or unit-level campaign volunteer.

5) If there is no giving or volunteer history, we look for the prospect’s own statements about their philanthropic interests and priorities, as documented in contact reports. Asking “What are your philanthropic priorities?” is a powerful qualification question for any development officer.

6) If a prospect or donor requests to work with just one specific school, program or development officer, we must honor that request. Assignments will be modified accordingly, and preferences for contact noted in Advance via contact report, omit codes and/or system alerts.
Indirect Indicators of Interest

Where there is no giving and no direct indication from a prospect regarding philanthropic interest(s), assignment priority will be determined on a case-by-case basis, taking the following criteria into consideration:

1) Affiliation(s):
   a. Alumni (degree school). In the case of multiple-degree alumni where interests are unknown, one development officer will be assigned the task of qualifying the prospect’s interests, which will determine prospect assignment.
   b. Student activities. Includes, but is not limited to, sports and clubs.
   c. Volunteer activities. Most volunteers are also donors, but especially if there is no giving history, this is worth exploring in qualification.
   d. Parents (current or past). In the absence of giving, priority goes to the school of the UVA child (student or alumnus/a).
   e. Faculty & Staff (current or past). Prospect assignments for current UVA faculty and staff will be made on a very limited basis. Faculty and staff contact reports should be written and vetted with care and special attention to confidentiality. While it is important to indicate gift conversations and volunteer engagement, remember that faculty and staff may have access to the database and may have strong relationships with others using the database.

2) Current professional or personal interests
   a. Some individuals develop different interests over time than what our “Affiliations” model might suggest, and the donor’s current interests may supersede their past affiliations. For example, an alum who later becomes a technology entrepreneur may have current interests that are more related to their business sector than the school they graduated from.

3) Event attendance
   a. Patterns are most helpful. Development events are ranked higher than engagement or “all-comers” events for assessing potential giving interest(s).

4) Other engagement
   a. Again, patterns of recent behavior are important. This alone is not a very strong predictor of future giving, but engagement often does lead to deeper commitment.
5) Other referrals

   a. Prospect leads provided by donors, alumni, faculty, healthcare professionals, and other friends of the University are valuable, but require in-person qualification by a development officer. We recommend this qualification work be completed, and viability of the prospect’s interest determined, prior to assignment.

6) Other philanthropy

   a. If giving to other organizations is known, this can inform us of the prospect’s general philanthropic capacity and interests; and this information may be helpful in identifying similar programs of interest to the prospect at UVA.

   b. While it is helpful to know that an individual expresses some kind of philanthropic behavior or interest(s), it is also worth noting that some donors do not wish to dilute their giving across similar programs at different organizations. In those cases, investigation of other/different interests may be more fruitful.
APPENDIX F: UVA Advancement Privacy Statement

Introduction

The University of Virginia Office of Advancement is committed to supporting the privacy of students, alumni, and friends of the University of Virginia (UVA). This Privacy Statement describes how we handle and use the personal information we collect about our alumni, friends and donors.

Personal information we collect

While the specific information varies by individual, in the course of our regular business related to alumni engagement and development we may collect, use, store and transfer the kind of information described below:

1. Contact information – home and business addresses, phone numbers, email addresses and social media contact information
2. Demographic information – names, gender, birth and death dates, race and ethnicity
3. Student information obtained from UVA’s institutional records – degrees, majors, activities, clubs, sports participation, awards and other university affiliations
4. Employment information – job titles, company names and industry information
5. Family information – names and birth dates of spouse or partner, children and other familial relationships
6. Alumni information – event attendance, volunteer interests, committee and board participation, awards and honors, and other organizational affiliations
7. Donor information – gift transactions, cumulative giving history, wealth assessment information, and indicators of interests in giving to particular areas
8. Analytical information – aggregated information related to web visitor activity and email marketing actions

How we collect personal information

We collect information from a variety of sources. A significant portion of the information we maintain is information provided directly to us by individuals through giving activities, event registrations and direct communications with us. Personal data from alumni and students of the University of Virginia is transferred from the student records system to the institution’s advancement database. The information we collect about individuals may also be supplemented by additional data obtained through targeted internet searches and third party sources, such as the National Change of Address (NCOA) database; subscription information services (such as LexisNexis, iWave, DonorSearch, ResearchPoint and WealthX); and social media sites (such as LinkedIn, Facebook and Twitter).
How we use personal information

We use personal information for a number of legitimate purposes, as necessary to support the University of Virginia and its mission. Specifically, we use your personal information to:

1. keep you informed about UVA news, events and alumni activities;
2. provide access to an online account in HoosOnline, services such as UVA Alumni email forwarding for life, alumni networking directory and research libraries;
3. fundraise for particular UVA schools, initiatives or programs;
4. send information about volunteer activities and invitations to UVA events in your area;
5. perform administrative tasks, and for internal record keeping purposes;
6. conduct surveys (primarily focused on alumni satisfaction, giving preferences and interests, to understand our constituent base, target our communications and inform our fundraising strategy); and
7. create and analyze aggregated, anonymized information about our students, alumni, friends and donors for statistical research purposes in support of our educational mission.

If you have concerns about these uses of personal data or how we communicate with you, please see the section captioned “Additional Information and Assistance” below. We will be responsive to all requests to modify communication and contact preferences.

When we share your personal information

To perform the functions listed above, it may be necessary to share your personal information with staff, volunteers and student workers. All individuals performing professional or volunteer functions in support of the advancement endeavors of the University of Virginia are informed regarding the appropriate handling of confidential information (i.e., your personal information) and are required to sign a non-disclosure agreement.

We may also share your personal information with third parties under contract with us to perform certain data management, data analysis, data enhancement or other consulting activities in support of our operations, including but not limited to: Sales Force Marketing Cloud, EverTrue, Ellucian, iModules, Overture (Snavely), ResearchPoint (Blackbaud) and Grenzebach Glier + Associates. In these instances, contracts are reviewed and evaluated so that all matters of data security and confidentiality meet the specifications required by the University of Virginia.

How your information is stored and secured

To prevent unauthorized access, maintain data accuracy and ensure the correct use of information, we have put in place appropriate physical, electronic and managerial procedures to safeguard and secure the information we collect online, consistent with the policies of the University and with the laws and regulations of the Commonwealth of Virginia.

How long we keep your personal information

We consider the University of Virginia’s relationship with its alumni, donors and other stakeholders to be lifelong. If you decide that you no longer wish to receive communications from the University, we will adjust our communications to the level you desire and will make every effort to honor that request until you tell us otherwise.
Rights of Individuals in the European Economic Area

Under the General Data Protection Regulation (GDPR), individuals in the European Economic Area (EEA) have the right in certain circumstances to

1. access their personal information;
2. correct or erase information;
3. restrict processing;
4. request data portability, i.e., to request that we provide certain personal data that we process in a machine-readable format;
5. object to certain types of uses, including communications, direct marketing or profiling; and
6. lodge complaints with their national or regional data protection authority.

If you wish to exercise these rights, we request an opportunity to discuss with you any concerns you may have. Please see the section captioned “Additional Information and Assistance” below for who to contact. To protect the personal information we hold, we may also request further information to verify your identity when exercising these rights. Upon a request to erase information, we may maintain a core set of personal data to ensure we do not contact you inadvertently in the future, as well as any information necessary for archival purposes. We may also need to retain some financial information for legal purposes, including compliance with the United States Internal Revenue Service (IRS). In the event of an actual or threatened legal claim, we may retain your information for purposes of establishing, defending against or exercising our rights with respect to such claim.

If you provide information directly to the University of Virginia from the European Economic Area, by doing so you acknowledge that we will transfer your personal information outside of the EEA to the United States. You understand that the current laws and regulations of the United States may not provide the same level of protection as the data and privacy laws and regulations of the EEA. For transfers from the European Economic Area to our United States affiliate, pursuant to Article 46 of the General Data Protection Regulation, we use Standard Contractual Clauses.

You are under no statutory or contractual obligation to provide any personal data to us (other than personal data provided in connection with your status as a student of the University of Virginia).

Changes to this Policy

The University of Virginia reserves the right to change its privacy policies from time to time. Any such changes will be posted on the University’s web site and any changes relevant to this Privacy Statement will be incorporated into this document, with an edit date clearly indicated.

Additional Information and Assistance

If you have any questions or concerns about this Privacy Statement and/or how we process personal information or would like to exercise any of the legal rights described above, please contact Julie Featherstone at jaf2vk@virginia.edu.
APPENDIX G: Staff Non-disclosure & Confidentiality Agreement

This non-disclosure agreement applies to all University Advancement and affiliated Foundation staff (a.k.a., “Advancement personnel”) as well as other University personnel who have a business need to access confidential, advancement-related information (“Confidential Information”) in the course of their work. Failure to abide by this agreement may result in disciplinary action under the policies of the University of Virginia and the Commonwealth of Virginia.

For the purposes of this Agreement, “Confidential Information” shall consist of:

- Personally identifiable information, in any form, about faculty, employees, students, donors and potential donors to the University of Virginia or the University-related Foundations;
- Information about the University’s internal planning;
- Information about giving or approach strategies;
- Methods of analyzing University needs and selecting potential donors; and
- Data exempt from the public release provisions of the Virginia Freedom of Information Act.

The designated University official (or Data Steward) with ultimate responsibility is the AVP for Advancement Operations. For more information about data privacy, please read the UVA Advancement Privacy Statement.

In general, prospect or donor information obtained by Advancement personnel (or other University personnel) as a function of employment should not be shared outside of the normal course of business, and access to systems and records is limited to business-related circumstances. Systems, data and other records are not to be accessed for casual browsing of donor information.

There are certain circumstances in which non-employees may obtain permission to access certain information; non-employees must first read and sign a non-disclosure agreement and are generally not given any system access. Anticipated ways in which information about the University of Virginia’s advancement program, donors and prospects may be shared with non-employees of the University are as follows:

Personally identifiable information about faculty, employees, students, donors and potential donors

Volunteers are sometimes provided with information regarding donors and prospects to assist them in their volunteer role. Such information may include lists of names, contact info (e.g., addresses and phone numbers), giving interests, gift club memberships, ratings and other relevant information including, but not limited to, those found in the “Volunteer Briefing.” Personal financial information (e.g., ratings, giving details) should not be provided to non-employees. Volunteers must sign the Volunteer Non-disclosure Agreement.

From time to time, the University will transmit data to third parties (usually private businesses or consultants) who provide essential services, such as: data cleansing; data analysis; and other software, tools or services that enhance the University’s ability to achieve advancement objectives. Generally, the University Advancement Technology Steering Committee will evaluate new products and tools for the Advancement Community and make recommendations to the VP for University Advancement regarding such investments. In the event that a third party service is being considered by any school, program, unit or affiliated foundation that would result in the transmission of the University of Virginia’s advancement data, a request must be directed to the AVP of Advancement Operations prior to the finalization of contracts that would commit said transmission of data to the third party. In these circumstances,
contract language will be reviewed and edited to ensure non-disclosure, privacy and other data management issues meet the University’s standards.

- Information about giving & approach strategies, methods of analyzing University needs, and selecting potential donors
- Information about program structure, systems and strategies is often presented at professional conferences and shared among professional colleagues. This information would be general in nature, not specific to a particular donor, unless presented in case study form with a name change and data masking to protect the donor’s privacy.
- “Information about the University’s internal planning…” would not be included in this general category and would in any event be available only to those involved in planning at the highest levels.
- Descriptive information may be shared with volunteers to provide more complete understanding of their role within the "big picture" of the organization and to permit them to articulate informed answers to prospect or donor questions.
- Data which is exempt from the public release provisions of the Virginia Freedom of Information Act (FOIA)

In the event that a request is made under the purview of FOIA, the recipient of the request shall not directly provide the data requested but should immediately contact the University’s FOIA Officer. Additional information regarding your responsibilities regarding FOIA requests can be found on the University Communications website.

I have read, understand and agree that:

Absent written authorization to the contrary, public dissemination of Confidential Information is solely the prerogative of designated University officials;

I will not disseminate, except as expressly authorized in writing by designated University officials, any information that is defined in this agreement as Confidential Information;

I will not make any unauthorized copies of or disclose Confidential Information maintained in and by the University of Virginia during the course of my employment, or following my employment;

I will not alter or destroy any Confidential Information contained in files maintained in and by the University of Virginia without authorization, and will use my best efforts to protect against inadvertent alteration or destruction of data;

I will not access or use Confidential Information maintained in and by the University of Virginia for any purpose other than the completion of my work assignments; and

The University of Virginia places its trust in me, and any violation of this Agreement may result in disciplinary action under the policies of the University of Virginia and the Commonwealth of Virginia.

Electronic signatures will be required & compiled annually, starting in FY19: https://hub.advancement.virginia.edu/form/nda
APPENDIX H: Volunteer Non-disclosure & Confidentiality Agreement

The following information about the University of Virginia’s fundraising and alumni engagement programs (i.e., “advancement programs”), its donors, prospects, alumni and / or friends, shall not be shared in any way without expressed consent of the University’s Data Steward:

- Personally identifiable information about faculty, employees, students, parents
- Information on donors and prospects, such as:
  - Lists of names, addresses and phone numbers
  - Giving interests
  - Gift club membership
  - Giving categories and other relevant materials
  - Giving history and interests
  - Strategic information about the cultivation or solicitation plans for any person

As a volunteer representing the University of Virginia, I understand and agree to the following:

- I will not share this information outside of the circle of University Advancement or University-affiliated Foundation employees and volunteers acting on behalf of the University of Virginia’s advancement programs.
- I will ensure the information I receive is kept safe and secure from any unauthorized access, which includes preventing access to my computer files, paper files, or other media which may contain University of Virginia data.
- I am provided with this information in strict confidence to enable me to perform my functions as a volunteer.
- When my status as a volunteer becomes inactive, I will destroy all electronic copies and shred all paper copies of the data I have received.

I have read and understood this agreement:

______________________________  ______________________
Signature                                Date

______________________________  ______________________
PRINT Name                               School or Unit of Volunteer Affiliation

______________________________
Address, City, ST Zip

Electronic NDA will be used starting in FY19; direct volunteers to this site (no login required):
https://hub.advancement.virginia.edu/form/nda-volunteer
PHILANTHROPY is based on voluntary action for the common good. It is a tradition of giving and sharing that is primary to the quality of life. To assure that philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the not-for-profit organizations and causes they are asked to support, we declare that all donors have these rights:

I
To be informed of the organization’s mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.

II
To be informed of the identity of those serving on the organization’s governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.

III
To have access to the organization’s most recent financial statements.

IV
To be assured their gifts will be used for the purposes for which they were given.

V
To receive appropriate acknowledgement and recognition.

VI
To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.

VII
To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.

VIII
To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.

IX
To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.

X
To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.
Principles of Practice

CASE has developed or endorsed the following ethical standards and principles of practice.

**General**
- CASE Statement of Ethics
- CASE Statement on the Management of Conflicts of Interest
- Declaración de Ética Profesional de CASE (Spanish PDF)
- Independent Sector Statement of Values and Code of Ethics for Nonprofit and Philanthropic Organizations (PDF)

**Alumni Relations**
- Principles of Practice for Alumni Relations Professionals at Educational Institutions
- CASE Guidelines for Alumni Relations Professionals on Establishing Vendor Relationships

**Communications and Marketing**
- Principles of Practice for Communications and Marketing Professionals at Educational Institutions

**Fundraising**
- Donor Bill of Rights
- Principles of Practice for Fundraising Professionals at Educational Institutions
- Principles of Practice: Fundraising Standards in European Educational Institutions
- CASE Statements on Compensation for Fundraising Performance
- CASE Europe: Ethical Principles Behind the Acceptance of Gifts

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