PREAMBLE

As committed volunteers, staff and faculty at the University of Washington, it is our intent as we seek to enhance community ties and increase private support to provide the best possible experience for alumni and friends working with University of Washington representatives. Our goal is to match donor interests with University of Washington priorities, providing optimal benefits to both parties. We continually endeavor to provide a fulfilling philanthropic experience to our alumni and friends.

CONFIDENTIALITY

Donor information is the common property of the University and is subject to public disclosure laws. Therefore, discretion must be used when entering contact report and other donor-related information.

GUIDING PRINCIPLE

All Advancement personnel involved in personally cultivating or soliciting donors must use the Prospect Management and Tracking System (PMATS) in Advance to document their fund-raising activities, including all personal contacts and interactions.

GUIDELINES FOR PERSONAL CONTACT AND SOLICITATION

1. All prospective donors are open for cultivation by any and all University fundraisers. Any fundraiser may call on a prospective donor in order to assess their interest in a particular campus, school, college or program and to begin the cultivation process. Prior to a first contact, a courtesy email must be sent to the Relationship Manager (if any is assigned) to let them know that cultivation is taking place.

Exception: Principal Gift Prospects (PGPs) may not be contacted for any purpose without the express prior authorization of the Relationship Manager (RM) and the Principal Gifts office. Relationships between PGPs and fundraising units that are ongoing do not need daily confirmation, rather, the RM and the Principal Gifts office should be informed of strategy progress via regular updates.
GUIDELINES FOR PERSONAL CONTACT AND SOLICITATION (CONTINUED)

2. No staff member (fundraiser or other) may contact a prospective donor while there is an active “No Contact Zone” alert on the donor’s Advance record. Such alerts are not automatically assigned, but may be requested by the soliciting fundraiser to be placed on the record for 30 days prior to the submission of a major gift proposal, and/or 30 days after such submission. Alerts expire automatically.

3. Every staff member (fundraiser or other) must file a contact report for any significant contact with a donor or potential donor. All contact reports must be submitted within two weeks of the contact. All Advancement staff members are responsible for obtaining and recording contact information from their faculty, deans and volunteers.

4. All prospective donors must have a contact report on record before a proposal may be opened. Proposals and Relationship Manager assignment requests will not be honored until a contact report is on file. Proposals should be opened when an ask of $25,000 or more is anticipated within the next two years.

5. Prior approval must be received from the Relationship Manager before a fundraiser may solicit a gift of $25,000 or more (see ICA seat-related exception below). The Relationship Manager has the right to deny any solicitation they feel is not appropriate for the donor, while taking into account both the donor’s and the University’s needs (see appeals process below).
   - With the exception of PGP, any donor may be solicited anytime for gifts of less than $25,000. All contacts surrounding this type of solicitation are still required to be filed as contact reports, and other policies still apply, such as sending courtesy emails to the relationship manager before first contact, respecting alerts, etc.
   - With the exception of PGPs, seat-related gifts for athletics (ICA) may be pursued at any time, without prior approval or permission. ICA gifts that are not seat-related are subject to the above rules.

6. All proposals showing no activity (as measured by contact reports) during a 12-month period will be inactivated by a monthly sunsetting process.

ROLES AND RESPONSIBILITIES

Prospect Records
Prospect records are distinct from donor/entity records in Advance, and are only created when a major gift solicitation is planned, or the entity is determined to have capacity to make a major gift.
ROLES AND RESPONSIBILITIES (CONTINUED)

All assignments reside on the prospect record, and, therefore, a fundraiser may not be assigned (as Relationship Manager, e.g.) on a non-prospect. Contact reports, by contrast, may be filed on any entity in Advance.

Relationship Manager
The Relationship Manager has responsibility to care for and develop the overall relationship between the prospect and the University. At all times, the Relationship Manager must take into account the prospect’s wishes and the overall strategies and needs of the University. To that end, the Relationship Manager must:

- Read all contact reports, notes and tasks regularly for those prospects for whom they are Relationship Manager
- Keep the lines of communication open with all fundraisers and other staff who work with the prospect
- See that all relevant information is recorded on Advance regarding the prospect and all activities related to the prospect
- Decide in the best interest of the prospect and the University which solicitations should be pursued and when; keeping the pipeline moving while ensuring that solicitations are in the prospect’s best interest
- Reach out to all interested parties to create a UW-wide strategy on the prospect

There is only one Relationship Manager (RM) for each prospect.

Every prospect does not have a Relationship Manager. A fundraiser is assigned as RM when they open a proposal on a prospect without an RM. A fundraiser may also request to become the RM for a prospect without an active proposal if they have a strong current relationship. If the prospect currently has an RM, any fundraiser may contact the current RM to request that the RM assignment be transferred to them. If the existing RM agrees, the new RM sends the request to Relationship Management, copying the existing RM (see appeals process below).

A period of 12 months without contact will cause the Relationship Manager assignment to sunset and be inactivated.

Exception: Principal Gift Prospects (PGPs) will be assigned RM by the PGP team in consultation with fundraisers that work with the prospect. RM assignments on PGPs do not sunset.
ROLES AND RESPONSIBILITIES (CONTINUED)

**Responsible for Ask**
The fundraiser who is Responsible for Ask on a proposal will work to move a specific solicitation forward. To that end, the staff member Responsible for Ask must:

- File all relevant information regarding their solicitation efforts in Advance, including contact reports, proposal stage movement, ask amount, ask date, and benefiting areas
- Keep the lines of communication open with the Relationship Manager for that prospect
- Seek permission to solicit the gift from the Relationship Manager (for any gift above $25,000)

When a prospect has multiple proposal records (one for each solicitation), each proposal record may have a different staff member who is Responsible for Ask. The fundraiser Responsible for Ask is responsible for moving that specific proposal through to its completion. Any given proposal may have multiple fundraisers assigned as Responsible for Ask; all fundraisers receive full credit for the proposal.

A period of 12 months without contact will cause the Responsible for Ask assignment to sunset and be inactivated, along with the proposal.

**Unit Staff**
Any fundraiser may be assigned to any prospect as Unit Staff, provided their unit (college, school, division, or organization) considers the prospect to be a potential major gift donor to their unit. The Unit Staff assignment is used to build the fundraiser’s portfolio with prospects that they may solicit for major gifts.

A fundraiser is automatically assigned as Unit Staff when they are assigned as RM or Responsible for Ask. Unit Staff assignments do not sunset.

A fundraiser may be assigned as Unit Staff and mark the prospect as part of their “Core Portfolio.” A Core Prospect is one that a fundraiser plans to solicit for a significant gift during the next campaign.

**Interested Staff**
Centrally-based fundraisers may be assigned to any prospect as Interested Staff, as a means of tracking prospects in a particular region, for example. Interested Staff assignments are not considered part of a fundraiser’s portfolio.
ACCOUNTABILITY

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

Chief Advancement Officers are required to review their staff’s new and moving proposals at least quarterly to assure progress toward a gift decision.

APPEALS

Any fundraiser may dispute the following with the Associate Vice President, Constituency Programs:

- Relationship Manager assignment
- Prohibition to solicit
- Inactivation of records showing no contact within 12 months
- Disagreements among fundraisers (or their volunteers or staff) regarding a specific donor or solicitation record

The Associate Vice President, Constituency Programs will, in conjunction with the Associate Vice President, Individual Giving Programs, the Associate Vice President and Chief Advancement Officer, UW Medicine, and the Vice President for University Advancement as appropriate, provide mediation and final rulings.

CONTACT

For assistance in interpreting and applying this policy, contact the Relationship Management office at tracking@uw.edu.