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PD17

APRA'S 30TH ANNUAL CONFERENCE

PROSPECT DEVELOPMENT 2017

July 26-29, 2017 | Anaheim, CA

APRA'S 30TH ANNUAL CONFERENCE
PROSPECT DEVELOPMENT 2017

Building a Prospect Management Program: PRIMED for Success!

Pamela E. Lewis
Director of Research and Prospect Management

apra INSIGHT PHILANTHROPY RESULTS

PRIMED! For Success

Organizational Background and Needs

- 185,000 Alumni (3% are donors)
- Strategically engage current donors and prospects
- Expand the donor-base
- Professionalize the Advancement Operation

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Challenges	Opportunities
Same Number of Staff	Strategic Focus
Increased Responsibilities	Research Rehab
Young University	Streamline/Automate Processes
Institutional Culture	Standard Operating Procedures
No Accountability/Metrics	Generate Change/Earn Respect
Excessive Research Requests	Partners in Fundraising

PRIMED! For Success

Prospects – Researched, Identified, and Managed for Engaged Development!

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Prospects – Researched, Identified, and Managed for Engaged Development!

- **Holistic Approach** - Training, Prospect Research, Data Analysis, Knowledge Management, and Best Practices
- **Objective** - Identify, interpret, analyze and manage prospect information
- **Intended Outcome** - Facilitate prospect movement through the development engagement process

PRIMED!

- AWARE!
- WELL-INFORMED!
- WITH IT!
- CLUED-UP!

PRIMED! For Success

AWARE!

Know the prospects and the prospect pool composition.

PROSPECT RESEARCH

Portfolio Reviews and Analysis

Spreadsheets

DATA ANALYTICS

Automated Reports

Wealth Profiles

RELATIONSHIP MANAGEMENT

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WELL-INFORMED!

Knowledge of a prospect's significant life events, circumstances and capacity.

News Alerts

Relationship

PRIMED! For Success

CLUED-UP!

Prior to making a solicitation, request a complete research profile or review the wealth profile in the database.

Research

PROSPECT RESEARCH

Best Practices

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WITH IT!

Contact Reports, Next Steps and Strategy are documented in Advance.

Training

RELATIONSHIP MANAGEMENT

Best Practices

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GOALS, PLAN and PROCESSES

- Systematic prospect management plan
- Active and focused portfolios

Training and Support

Portfolio Analysis Annual	Portfolio Review Semi-Annual

Actionable Data and Information

PRIMED! With Training and Support

Monthly Scheduled Training and Support!

Research and Prospect Management Orientation	The Basic Prospect Research Boot Camp
2 Hours	**1 Hour**
▪ Required for new staff ▪ Prerequisite – basic database navigation and reporting training ▪ No portfolio assignments until completed ▪ Open to all staff ▪ Facilitated by the Director	▪ Optional attendance ▪ Continually Updated ▪ Facilitated by Research Staff

PRIMED! With Training and Support

Monthly Scheduled Training and Support!

Research and Prospect Management Orientation	The Basic Prospect Research Boot Camp
Topics Covered	
▪ Prospect Management Policy ▪ Prospect Assignment Policy ▪ Contact Report Guidelines ▪ Ask Policy and Procedures ▪ Research Requests Guidelines ▪ Prospect Strategy Notes ▪ Use of Next Steps in Advance ▪ Using the Alumni Gift Pyramid ▪ General questions and issues	▪ Advanced Google Searches ▪ Real Estate Valuation ▪ Insider Stock Trading ▪ Foundation Searches ▪ Library Research Databases • Foundation Directory • CareerShift • Mergent Intellect ▪ LinkedIn for Prospect Research

PRIMED! With Training and Support

Prospect Management Policy

PROSPECT MANAGEMENT SYSTEM

The Prospect Management System is comprised of the policies, processes, best practices and the ADVANCE Prospect Management module that support, direct, track and measure relationship building activities with prospects and donors.

The AVP for Advancement oversees and facilitates the system in coordination with the Director of Advancement Research and Prospect Management.

At the core of prospect management at Mason is the Prospect Management System. It will optimize the success of fundraising efforts by:

- Providing a framework that is readily understood and followed.
- Coordinating and documenting strategic approaches for the qualification, cultivation, solicitation and stewardship of prospects and donors via a single system.
- Ensuring prospects are engaged in conversations and activities that bring them closer to George Mason University so as to enhance the likelihood of a successful gift solicitation, while minimizing cross departmental and campus confusion regarding the timing, nature, and level of activity.
- Enabling comprehensive solicitations where prospects are asked to support the University in a manner that results in maximum benefit to the prospect and to Mason as a whole.
- Creating consistent management practices that foster accountability.
- Providing a historical record of prospect and donor interactions and activity.

GEORGE MASON UNIVERSITY
DEVELOPMENT AND ALUMNI RELATIONS
Prospect Management
Overview of Key Policy Elements

Purpose	• To provide protocols, guidelines and terms for consistent and efficient management of prospects and donors and to facilitate collaboration and communication among development officers
Scope	• Engaged volunteers and all prospects that have been identified as having the capacity and/or inclination to make a major or leadership gift to George Mason University
Principles of Prospect Management	• Commitment to long-term and meaningful prospect and donor-centric relationships that respect and value our supporters while recognizing the essential, vital and central role they have in our mission's success. • Prospect Management System • AVP for Advancement oversees and facilitates the process in coordination with the Director of Advancement Research and Prospect Management.
Roles	• Primary Prospect Manager (PPM) – Responsible for managing and advancing the overall relationship, strategy and stewardship activity for a prospect. • Secondary Prospect Manager (SPM) – Responsible for managing a specific strategy and solicitation for a prospect, or assisting the PPM in advancing the overall relationship. • Donor Relations Manager (DRM) – Responsible for managing the stewardship activity for donors.
Assignment	• Development Officers seeking to be PPM must request assignment from the Director of Advancement Research and Prospect Management. • Development Officers seeking to be SPM must request assignment from the Director of Advancement Research and notify the PPM of the request.
Prospect Portfolios	• Portfolio sizes for full-time development officers will be determined by the Dean and AVP of Development.
Guiding Principle	• Relationship building should be widely encouraged on the belief that, over time, deeper and more diverse relationships with George Mason University will yield greater philanthropic involvement. Required Protocols: • The PPM is responsible for coordinating prospect management initiatives for assigned prospects. • PPM will consult with the Director of Leadership Gifts as needed on leadership/principal gift level prospects.
Prospect Stages	• Prospect stages form the pathway through which a PPM develops and advances the prospect's relationship and moves a prospect toward making a gift. • Prospect stages are determined and documented by the PPM through the Prospect Stage on the Prospect Record. PPMs are responsible for continually reviewing and modifying the prospect stage. **Identification:** A personal qualifying contact has been made and the prospect is assigned to a ↓ **Qualification:** PPM/SPM conducts initial research and develops a strategic plan for the prospect ↓ **Cultivation:** On-going, strategic initiatives are executed; readiness to solicit is determined ↓ **Solicitation:** Ask strategies and proposal data are recorded in ADVANCE and solicitation is made ↓ **Stewardship:** Gift is closed, documented, acknowledged and recorded in ADVANCE ↓
Solicitation Protocol	• All SPMs must request clearance to solicit from the PPM, prior to solicitation. PPMs are expected to coordinate with SPMs on all cleared solicitations to ensure that no one solicitation competes with another.
Using ADVANCE	• All staff involved in managing or supporting the engagement, development, cultivation, solicitation or stewardship of prospects, donors and volunteers must document their fundraising activities in ADVANCE through the use of Contact Reports, Prospect Strategies, Asks and Next Steps.

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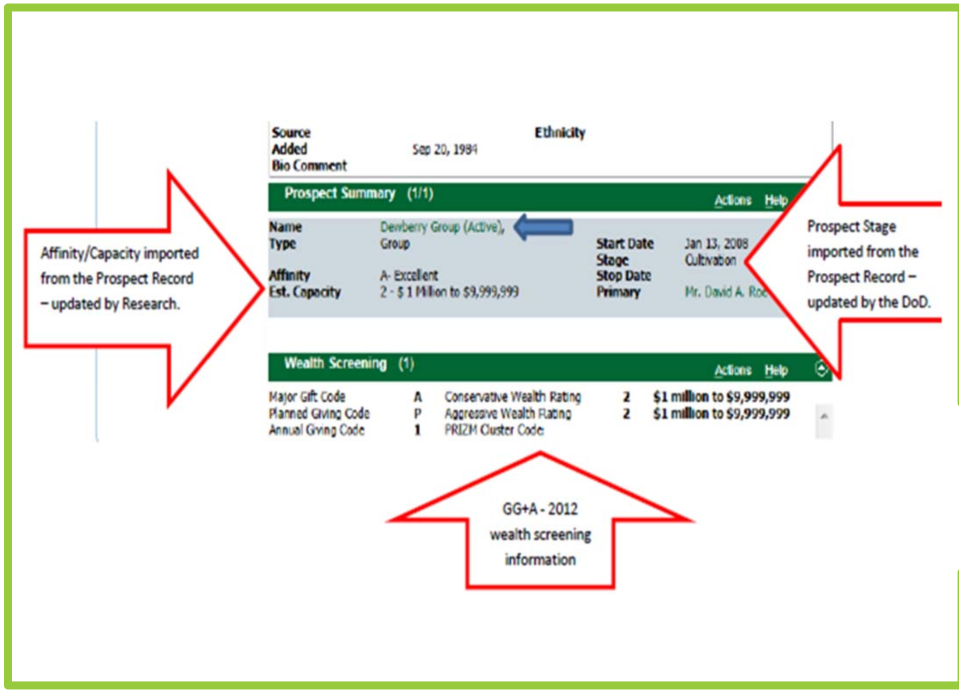
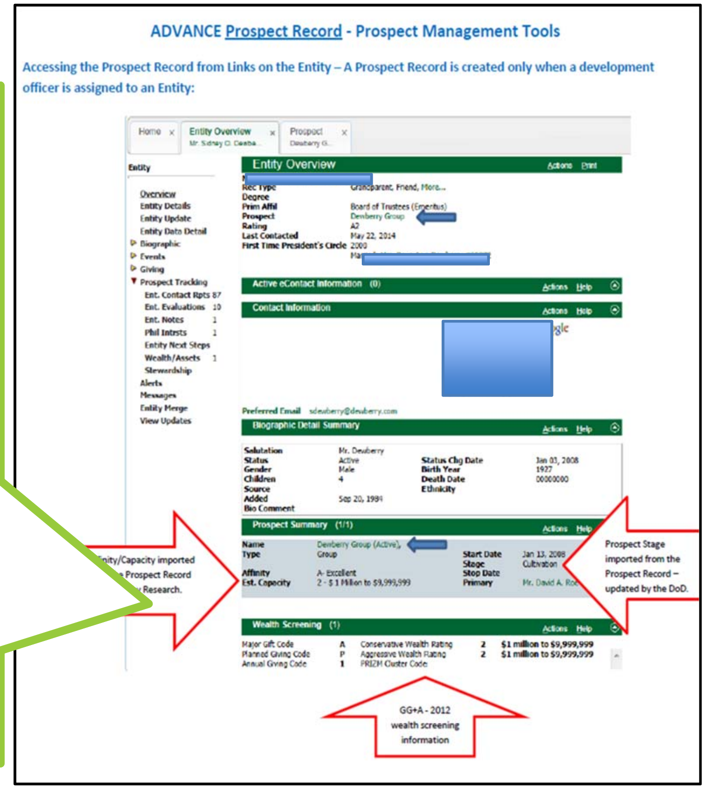
Advance Navigation Guides





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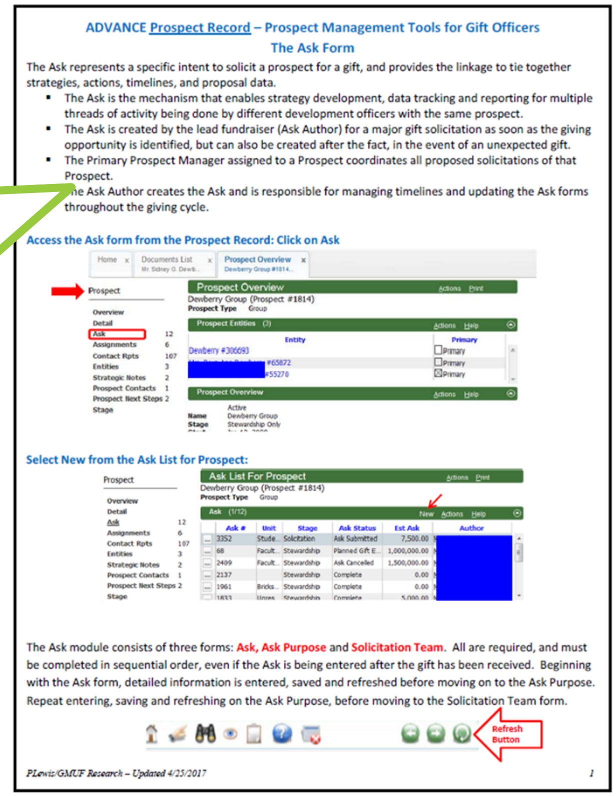
Ask Module Step-By-Step Guide

ADVANCE Prospect Record – Prospect Management Tools for Gift Officers

The Ask Form

The Ask represents a specific intent to solicit a prospect for a gift, and provides the linkage to tie together strategies, actions, timelines, and proposal data.

- The Ask is the mechanism that enables strategy development, data tracking and reporting for multiple threads of activity being done by different development officers with the same prospect.
- The Ask is created by the lead fundraiser (Ask Author) for a major gift solicitation as soon as the giving opportunity is identified, but can also be created after the fact, in the event of an unexpected gift.
- The Primary Prospect Manager assigned to a Prospect coordinates all proposed solicitations of that Prospect.
- The Ask Author creates the Ask and is responsible for managing timelines and updating the Ask forms throughout the giving cycle.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The Ask Author creates the Ask and is responsible for managing timelines and updating the Ask forms throughout the giving cycle.

Access the Ask form from the Prospect Record: Click on Ask

Select New from the Ask List for Prospect:

The Ask module consists of three forms: Ask, Ask Purpose and Solicitation Team. All are required, and must be completed in sequential order, even if the Ask is being entered after the gift has been received. Beginning with the Ask form, detailed information is entered, saved and refreshed before moving on to the Ask Purpose. Repeat entering, saving and refreshing on the Ask Purpose, before moving to the Solicitation Team form.

Refresh Button

PLewis/GMUF Research – Updated 4/25/2017 1

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Basic Prospect Research

GMUF Research

Resources Available Through Mason Library

http://library.gmu.edu

- Chronicle of Philanthropy
- Foundation Directory Online
- GuideStar
- LexisNexis Academic
- Mergent Intellect
- Washington Business Journal
- CareerShift

GO MASON

Where Do You Start?

- Check **Advance** for previous contact, address, giving history, wealth rating, relationships, correspondence, profiles, etc.
- **Google** is always a great place to start.
  - ❑ Useful Search Operators
  - ❑ Advanced Search
  - ❑ Google Alerts

"Research" during the discovery visit

- Note the location of real estate, both their primary home and any other properties they might mention.
- Note the kind of vehicles owned (cars, planes, boats, etc.), and other evidence of expensive hobbies and valuable collections.
- Come prepared with questions that will encourage the prospect to talk about their business affiliations, family, club memberships, vacation preferences, pastimes and philanthropic interests.
- After the visit, record your observations in detail in Advance. This helps focus and confirm later online research.

Philanthropy Search

The best way to identify philanthropic giving is an internet search on the prospect's name.

Focus your Google search by limiting your results to websites of institutions or nonprofit organizations, where donor lists and annual reports are most likely to appear.

- ❑ "sid and reva dewberry" site:edu
- ❑ "sid and reva dewberry" site:org

Donor lists and annual reports often appear as pdf files, so another way to focus your search is by using the Google Advanced Search to limit your results to pdf files.

A general Google search, without limiting, may also find major gifts that might have merited a press release or mention in a newspaper article.

PRIMED! With Research

Research Request Policy and Guidelines

Types of Research:

- **Basic Research for Qualifying** (Primary residence address and phone, employment title, giving history, and involvement at Mason)
  - **Prospect_Detail Report** – A self-serve ORBIS report, the Prospect_Detail provides a summary of an Entity's information in Advance to include addresses, employment, giving, and most recent Contact Reports and Asks. To run the report, login to ORBIS -> Documents -> Public Folders -> BI Prospect Tracking Reports -> Prospect_Detail. Enter the Entity's Advance ID number with leading zeros to equal 10 digits. This report can also be run from a saved list of multiple IDs.
- **Complete Profile for Solicitation** (Basic and family, employment history, affiliations, wealth research, and philanthropy) – Requires a substantive contact report and Ask to be documented in Advance.
- **Specific Research** (Focuses on a specific area, i.e. philanthropy, wealth, board service, etc.)
  - Updated Address/Employment
  - Wealth Profile
  - Philanthropic Information
- **Update for Solicitation** (Update of a research profile completed more than two years ago)
- **Other** (Corporate profile or Suspect List for specific project)

NOTE: A complete profile should only be requested when a prospect is going to be solicited for a major gift. Exceptions can be made for extenuating circumstances at the discretion of the Director of Research and Prospect Management.

Wealth Profile

Research Request Policy and Guidelines

The Research Department in the Office of Advancement and Alumni Relations serves as a partner in development and alumni engagement by creating and sharing knowledge to mobilize successful donor and alumni relationships that advance the fundraising mission of the University. An art and not a science, advance prospect research requires specific skills and training, along with the ability to collect, evaluate, analyze, organize, package and disseminate publicly available information in a way that maximizes its usefulness and enables accurate and educated decision-making.

The Director of Research and Prospect Management is responsible for managing and assigning research requests among the Research Department staff. To facilitate timeliness and quality of service, requests for research should be submitted through the **JIRA system**.

Types of Research:

- **Basic Research for Qualifying** (Primary residence address and phone, employment title, giving history, and involvement at Mason)
  - **Prospect_Detail Report** – A self-serve ORBIS report, the Prospect_Detail provides a summary of an Entity's information in Advance to include addresses, employment, giving, and most recent Contact Reports and Asks. To run the report, login to ORBIS -> Documents -> Public Folders -> BI Prospect Tracking Reports -> Prospect_Detail. Enter the Entity's Advance ID number with leading zeros to equal 10 digits. This report can also be run from a saved list of multiple IDs.
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- **Update for Solicitation** (Update of a research profile completed more than two years ago)
- **Other** (Corporate profile or Suspect List for specific project)

NOTE: A complete profile should only be requested when a prospect is going to be solicited for a major gift. Exceptions can be made for extenuating circumstances at the discretion of the Director of Research and Prospect Management.

Tips for Requesting Research:

- **Tailor your research request to just the information you need to know.** If you only need an estimate of a donor's philanthropic capacity, or to know where they or their spouse are civically or philanthropically involved – just ask for that piece of information. Then come back later for more detailed information when you are ready to make the solicitation.
- **Include what you already know about the prospect in the JIRA ticket.** By the time a request for any non-basic research is made, there should have already been a visit. Sharing what you know can cut out minutes (and sometimes hours) of a researcher's time. If the researcher is building on information rather than looking for what you've already found, it helps the re-searcher return better information.
- **Be an informed consumer** – Know what you're asking for. Research is a manual process, and it takes time to find, verify, synthesize and write up a research report. If the formats we currently have don't meet your needs, let us know what would work better for you.

Response Time:

Industry averages for the amount of time it takes to do top-quality research are as follows:

- Complete Profile 8 – 10 hours
- Basic Profile 2 – 4 hours
- Event Bios 1 – 2 hours per name/couple
- Suspects List 20-30 hours

Depending on the prospect, the actual time to conduct research and write the profile could be much longer or much less than the averages above. The current workload impacts the completion of a request.

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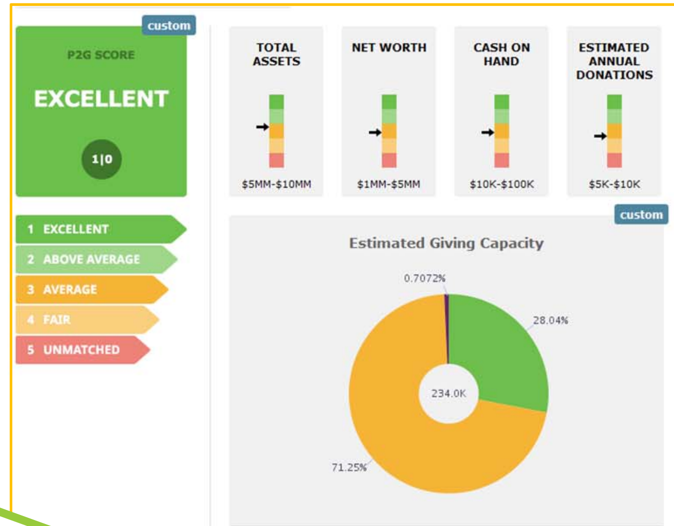
Wealth Profile

Wealth Summary

Gift Capacity Range: custom	$200K - $300K
Gift Capacity Rating: custom	16
Influence:	4
Planned Giving	
Bequest:	N
Annuity:	0
Trust:	0
Inclination Affiliation:	Older w/ Moderate Political Support
Inclination Giving:	Giving Data Not Provided
Board Member:	No
Income:	$100K-$250K
Pension:	Unable to rate
Real Estate	
Total Value:	$2MM-$5MM
Properties:	11



EGC Breakdown	Actual Values	Calculated Values
Income Component	$187,499.50	$65,624.82
Real Estate Component	$3,334,900	$166,745
Stock Component	$0	$0
Pension Component	$0	$0
Giving Component	$1,654.91	$1,654.91
Estimated Giving Capacity		$234,024.73

Note: The Estimated Giving Capacity is calculated over a 5-year period.

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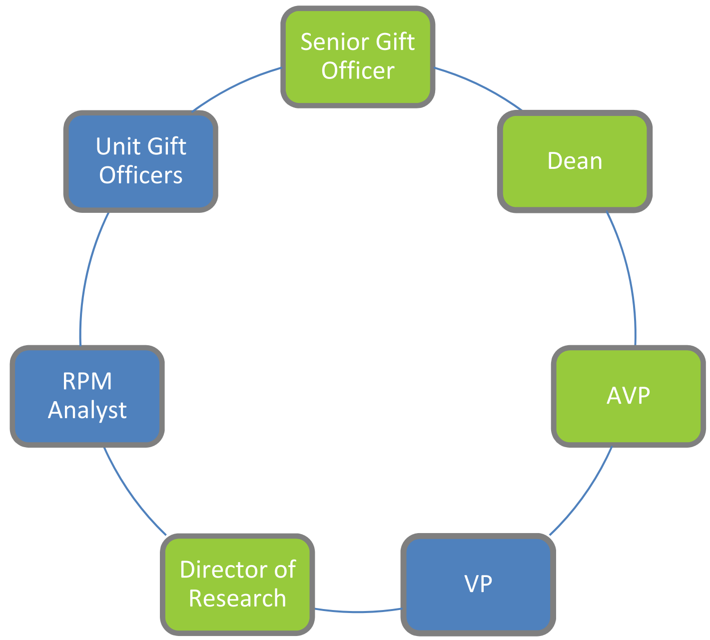
ANNUAL PORTFOLIO ANALYSIS

WHO ATTENDS?



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ANNUAL PORTFOLIO ANALYSIS

PURPOSE
and
GOALS

- Portfolio Segmentation
- Portfolio Coverage
- Identify Top Prospects
- Prospect Assignment
- Prospect Stage
- Stagnant Prospects
- Recommendations
- Update Bio

PRIMED! With Data

ANNUAL PORTFOLIO ANALYSIS

High Capacity/High Engagement (HC/HE) (Giving or Substantive Contact in past 2 years)	High Capacity/Low Engagement (HC/LE) (No Giving or Substantive Contact in past 2 years)
• Prospect 1 • Prospect 2 • Prospect 3 • Prospect 4	• Prospect 1 • Prospect 2 • Prospect 3
Low Capacity/High Engagement (LC/HE) (Substantive Contact in past 2 years)	**Low Capacity/Low Engagement (LC/LE)**
• Prospect 1 • Prospect 2	• N/A

Key Terms:
High Capacity = $25,000 or more estimated capacity, defined by Screening, Research or Gift Officer, over a 5-year period.
Low Capacity = Less than $25,000 estimated gift capacity over a five-year period.
Giving = $1,000 or more in past two years or lifetime giving of more than $25,000.
Substantive Contact = Personal Visit.

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ANNUAL PORTFOLIO ANALYSIS

Total Prospects: 248
Number of Gift Officers: 4

Capacity ratings for all assigned prospects are verified by the Research Team

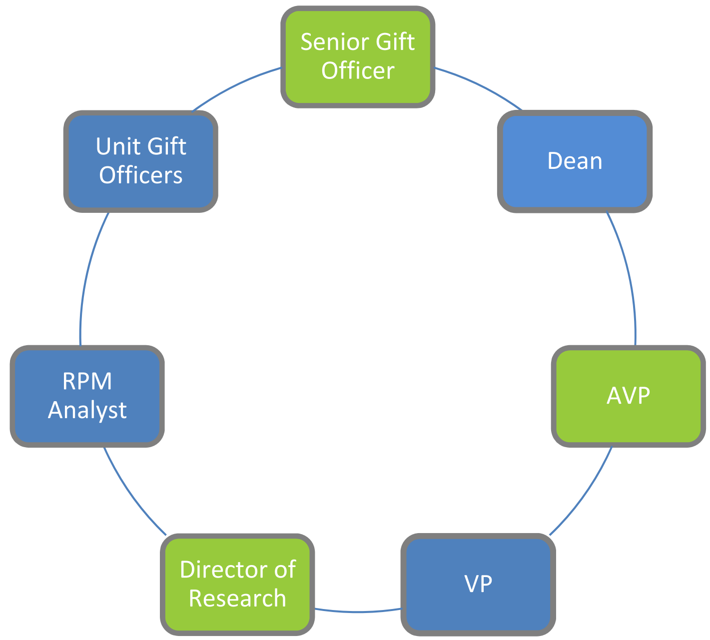
High Capacity – High Engagement (HC/HE) (Giving and/or substantive contact in 2 years)			High Capacity – Low Engagement (HC/LE) (No giving or substantive contact in 2 years)		
$1 M+	5	2%	$1 M+	1	>1%
$250K - $1 M	8	3%	$250K - $1 M	7	3%
$100K - $250K	33	13%	$100K - $250K	34	34%
$25K - $100K	48	19%	$25K - $100K	66	27%
Total	94	38%	Total	108	44%
Low Capacity – High Engagement (LC/HE) (Giving and/or substantive contact in 2 years)			**Low Capacity – Low Engagement (LC/LE) (No giving or substantive contact in 2 years)**		
<$25K	9	4%	<$25K	13	5%
Corporations/Foundations – Active (Giving and/or substantive contact in 2 years)			**Corporations/Foundations – Inactive (No giving or substantive contact in 2 years)**		
N/A	18	7%	N/A	6	2%

More detailed reports include prospect info:
1. Name
2. Total giving
3. Last contact
4. Stage

PRIMED! For Success

SEMI-ANNUAL PORTFOLIO ANALYSIS

WHO ATTENDS?



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SEMI-ANNUAL PORTFOLIO ANALYSIS

PURPOSE
and
GOALS

PRIMED! With Data

Portfolio Evaluations for Officers

Total $ Raised from Asks : $2,144,454.8

Total $ Raised from Asks in last 12 months : $889,500

Primary Prospects (Primary Major Prospects: 44)	48
Secondary Prospects	11
Total Prospects	59

	# of Primary	Primary Prospects' Donation History: Amount of Gifts/Pledges by Prospects FY16	FY17	Number of Gifts/Pledges by Prospects FY16	FY17	Primary Prospects' Ask Information: # of Open Asks	Total Estimated Ask Amounts	Total Actual Ask Amount	# of Asks Projected to Close in FY17	Ask Amount Projected to Close in FY17	Ask Amount Projected to Close in FY18	Primarys' CRs': Visits & Phone Calls (past 12 mths)
More than $10M												
$1 million to $9,999,999	3	$11,000	$60,736	4	4	2	$1,050,000	$1,050,000	1	$50,000	$1,000,000	9
$250,000 to $999,999	9	$20,000	$7,000	10	13	2	$125,000	$25,000			$25,000	7
$100,000 to $249,999	13	$124,795	$44,806	24	30	4	$750,000	$750,000	1	$10,000	$740,000	13
$25,000 to $99,999	10	$11,100	$14,584	12	18							1
$10,000 to $24,999	1	$10,000	$55,000	2	2							2
Not Yet Rated	12	$70,400	$65,000	15	17	5	$530,000	$530,000	3	$25,000	$505,000	9
Total:	48	$247,295	$247,125.79	67	84	13	$2,455,000	$2,355,000	5	$85,000	$2,270,000	41

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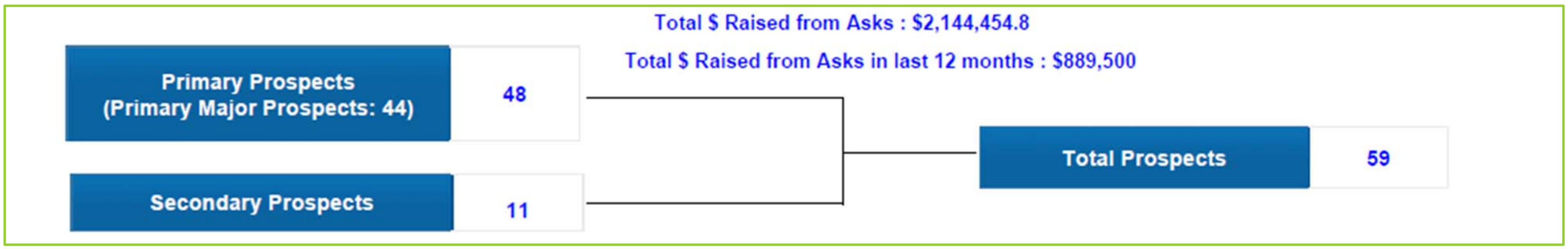
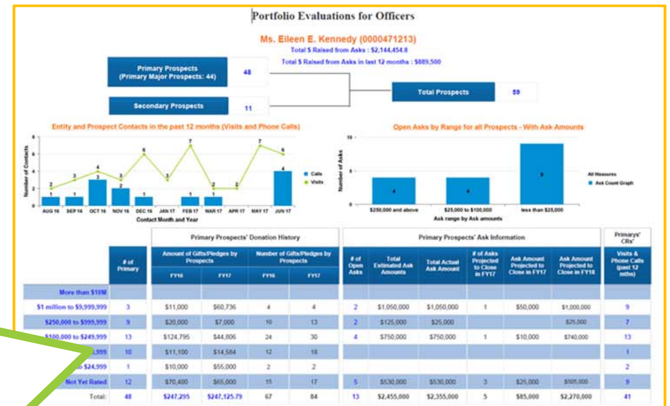
Portfolio Evaluation Report for Officers



PRIMED! With Data

Portfolio Evaluation Report for Officers

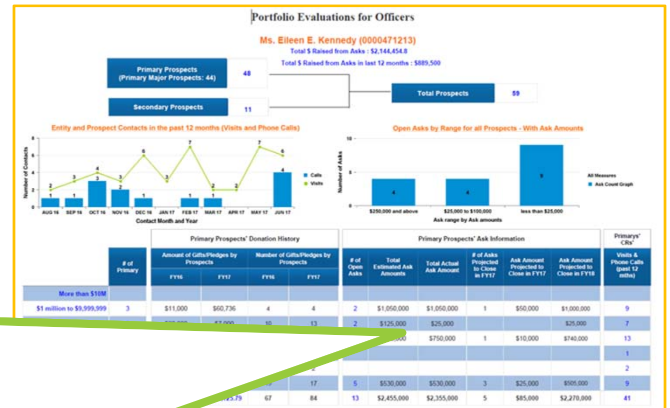
	# of Primary	Primary Prospects' Donation History: Amount of Gifts/Pledges by Prospects FY16	FY17	Number of Gifts/Pledges by Prospects FY16	FY17
More than $10M					
$1 million to $9,999,999	3	$11,000	$60,736	4	4
$250,000 to $999,999	9	$20,000	$7,000	10	13
$100,000 to $249,999	13	$124,795	$44,806	24	30
$25,000 to $99,999	10	$11,100	$14,584	12	18
$10,000 to $24,999	1	$10,000	$55,000	2	2
Not Yet Rated	12	$70,400	$65,000	15	17
Total:	48	$247,295	$247,125.79	67	84



PRIMED! With Data

Portfolio Evaluation Report for Officers

Primary Prospects' Ask Information						Primarys' CRs'
# of Open Asks	Total Estimated Ask Amounts	Total Actual Ask Amount	# of Asks Projected to Close in FY17	Ask Amount Projected to Close in FY17	Ask Amount Projected to Close in FY18	Visits & Phone Calls (past 12 mths)
2	$1,050,000	$1,050,000	1	$50,000	$1,000,000	9
2	$125,000	$25,000			$25,000	7
4	$750,000	$750,000	1	$10,000	$740,000	13
						1
						2
5	$530,000	$530,000	3	$25,000	$505,000	9
13	$2,455,000	$2,355,000	5	$85,000	$2,270,000	41



PRIMED! With Data

Alumni Gift Pyramid

Count of Alumni rated 25K and higher: 11,820

School of Business

EN Gift Capacity Estimate	# of Alumni	# Assigned	FY2017 Gifts	FY2017 Amount	FY2018 Gifts	FY2018 Amount	Liftetime(Cash and Hard Credit)	Total Giving Estimate	% of Alumni
$1 million to $9,999,999	32	9	2	$2,025.00	0		$136,523.00	$32,000,000	0.27%
$250,000 to $999,999	704	29	51	$220,640.44	2	$130.00	$1,601,805.84	$176,000,000	5.96%
$100,000 to $249,999	2,814	75	234	$323,792.77	5	$725.00	$2,127,658.18	$281,400,000	23.81%
$25,000 to $99,999	8,270	37	564	$187,838.13	23	$4,070.13	$1,764,533.57	$206,750,000	69.97%
Totals	**11,820**	**150**	**851**	**$734,296.34**	**30**	**$4,925.13**	**$5,630,520.59**	**$696,150,000**	**100%**

PRIMED! With Data

Alumni Gift Pyramid

ALUMNI BY SCHOOL

Last Run on: 7/5/17

Counts 34

Bio ID	Rating	Name Preferred	Address Preferred	Email Address	Likelihood	Lifetime Giving	Last Gift Date	Last Contact Date	Primary Staff
0000011876	E2	[redacted]	[redacted]	[redacted]	Low	$550.00	12/29/89		None Assigned
0000012746	C2	[redacted]	[redacted]	[redacted]	High	$101,500.00	6/30/12	9/28/16	Mrs. Eleanor C. Weis
0000013862	E2	[redacted]	[redacted]	[redacted]	Low	$35.00	3/31/89	6/9/17	None Assigned
0000016894	E2	[redacted]	[redacted]	[redacted]	None	$0.00			None Assigned
0000023012	E2	[redacted]	[redacted]	[redacted]	None	$0.00			None Assigned
0000024650	E2	[redacted]	[redacted]	[redacted]	None	$0.00		6/20/17	Mr. Brock L. Field
0000029445	E2	[redacted]	[redacted]	[redacted]	None	$0.00			None Assigned
0000033364	E2	[redacted]	[redacted]	[redacted]	None	$0.00			None Assigned
0000039967	D2	[redacted]	[redacted]	[redacted]		$215.00	4/6/17		None Assigned

Alumni Gift Pyramid

ni rated 25K and higher: 16,528

anities and Social Sciences

	# of Alumni	# Assigned	Total Giving Estimate	% of Alumni
More than $10 million	1		$10,000,000	0.01%
$1 million to $9,999,999	34	2	$34,000,000	0.21%
$250,000 to $999,999	863	33	$215,750,000	5.22%
$100,000 to $249,999	3,512	86	$351,200,000	21.25%
$25,000 to $99,999	12,118	114	$302,950,000	73.32%
Totals	16,528	235	$913,900,000	100%

PRIMED! With Data

Alumni Gift Pyramid

Likelihood	Lifetime Giving	Last Gift Date	Last Contact Date
Low	$550.00	12/29/89	
High	$101,500.00	6/30/12	9/28/16
Low	$35.00	3/31/89	6/9/17
None	$0.00		
None	$0.00		
None	$0.00		6/20/17
None	$0.00		

PRIMED! With Information

The Prospector Newsletter

GEORGE MASON UNIVERSITY

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THE PROSPECTOR

The Newsletter for Research and Prospect Management at Mason

In this issue:

- PRIMED for Success
- PRIMED with Training and Support
- PRIMED with Data
- PRIMED for Action
- PRIMED with Best Practices

PRIMED for Success

Prospects—Researched, Identified and Managed for Engaged Development

Aware, well-informed, clued-up and with it—all are synonyms for PRIMED, our theme for FY2017. The role of research and prospect management is to assist the Advancement effort by identifying, interpreting, analyzing and managing prospect information that both facilitates an understanding of fundraising capacity, and helps secure philanthropic support for the University.

PRIMED with Training and Support

Prospects—Researched, Identified and Managed for Engaged Development

New in FY17!
Monthly Training and Support!
Research and Prospect Management Orientation (RPM) & The Basic Prospect Research Boot Camp (BPR)

RPM Orientation (2-3:30pm, Merten Hall 2702)

- August 24th
- September 21st
- October 19th
- November 16th
- December 6th

What's covered in Orientation?

1. Prospect Management Policy
2. Prospect Assignment Policy
3. Contact Report Guidelines
4. Ask Guidelines and Procedures
5. Research Requests Guidelines
6. Prospect Strategy Note Guidelines
7. Use of Next Steps
8. Using the Alumni Gift Pyramid in ORBIS

BPR Boot Camp (2-3:00pm, Merten Hall 2702)

- August 30th
- September 27th
- October 25th
- November 22th
- December 13th

What's covered in Boot Camp?

1. Advanced Google Searches
2. Real Estate Valuation
3. Insider Stock Trading
4. Review of Library Databases for Research
5. Using LinkedIn for Prospect Research

New employees are required to attend the orientation, and current employees with questions or in need of a refresher on using Advance for prospect management are welcome in any session.

Please contact Subriena Persaud at spersau4@gmu.edu to sign up for the Orientation or the Boot Camp.

August 2016

GEORGE MASON UNIVERSITY

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PRIMED for Success

Prospects—Researched, Identified and Managed for Engaged Development

Are you PRIMED?

- ☑ Aware—Know your prospects and your prospect pool composition.
- ☑ Well-informed—Knowledgeable about a prospect's significant life events and/or circumstances and capacity.
- ☑ Clued-up—Prior to making an ask, request research and check out the prospect's wealth profile in the Documents section of Advance.
- ☑ With it—Contacts, Next Steps and Strategy for moving a prospect toward solicitation are documented in Advance.

PRIMED with Training and Support

Prospects—Researched, Identified and Managed for Engaged Development

New Dates—2017 Monthly Training and Support!
Research and Prospect Management Orientation (RPM)
The Basic Prospect Research Boot Camp (BPR)

RPM Orientation (2-4:00pm, Merten Hall 2702)

- February 21st
- March 14th
- April 25th
- May 24th
- June 13th

Orientation Topics

1. Prospect Management Policy
2. Prospect Assignment Policy
3. Contact Report Guidelines
4. Ask Guidelines and Procedures
5. Research Requests Guidelines
6. Prospect Strategy Note Guidelines
7. Use of Next Steps
8. Using the Alumni Gift Pyramid in ORBIS
9. General questions and issues

BPR Boot Camp (2-3:00pm, Merten Hall 2702)

- February 15th
- March 15th
- April 19th
- May 17th
- June 21st

Boot Camp Topics

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2. Real Estate Valuation
3. Insider Stock Trading
4. Review of Library Databases for Research
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January 2017

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PRIMED for Success

Prospects—Researched, Identified and Managed for Engaged Development

New Wealth Screen Ratings!

- ☑ Aware—New Wealth Ratings can be viewed in Advance on the Entity Overview.
- ☑ Well-informed—The new ratings have been verified for most assigned prospects. Capacity estimates indicate total charitable giving capacity over a five-year period.
- ☑ Clued-up—Many ratings have changed since the last screening, both are viewable on the Entity Overview in Advance or via reporting.
- ☑ With it—Use the new ratings to determine or adjust prospect strategy.

PRIMED with Training and Support

Prospects—Researched, Identified and Managed for Engaged Development

2017 Monthly Training and Support!
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6. Prospect Strategy Note Guidelines
7. Use of Next Steps
8. The Alumni Gift Pyramid in ORBIS
9. Officer Evaluation Report

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May 2017

PRIMED! With Information

The Prospector – A Body of Knowledge

PRIMED for Success

Prospects—Researched, Identified and Managed for Engaged Development

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PRIMED for Success

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PRIMED for Success

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PRIMED! With Information

The Prospector Newsletter

THE PROSPECTOR

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The Newsletter for Research and Prospect Management at Mason

PRIMED with Data

Prospects—Researched, Identified and Managed for Engaged Development

A systematic prospect management plan is essential to major gift fundraising. To support active and focused portfolios, the **Annual Prospect Portfolio Analysis** and a **Semi-Annual Portfolio Review** will be introduced in FY17.

Annual Portfolio Analysis—Primary focus is on prospect pool segmentation by capacity and engagement. The goal is that the majority of prospects in a portfolio are categorized as HC/HE (See example below).

High Capacity/High Engagement (HC/HE) (Giving or Substantive Contact in past 2 years)	High Capacity/Low Engagement (HC/LE) (No Giving or Substantive Contact in past 2 years)
• Prospect 1 • Prospect 2 • Prospect 3 • Prospect 4	• Prospect 1 • Prospect 2 • Prospect 3
Low Capacity/High Engagement (LC/HE) (Substantive Contact in past 2 years)	**Low Capacity/Low Engagement (LC/LE)**
• Prospect 1 • Prospect 2	• N/A

Key Terms:
High Capacity = $25,000 or more estimated capacity, defined by Screening, Research or Gift Officer, over a 5-year period.
Low Capacity = Less than $25,000 estimated gift capacity over a five-year period.
Giving = $1,000 or more in past two years or lifetime giving of more than $25,000.
Substantive Contact = Personal Visit.

Annual Portfolio Analysis—Proposed Purpose and Outcomes:

1. Portfolio Coverage
2. Assess Prospect Assignment
3. Assess Prospect Stage
4. Identify Top Tier Prospects
5. Evaluate Stagnant Prospects
6. Prospect Recommendations
7. Update Address and Employment

"I have an in-depth background in research and analysis, which means I like Googling."

August 2016 Page 2

THE PROSPECTOR

FASTER FARTHER THE CAMPAIGN FOR GEORGE MASON UNIVERSITY

The Newsletter for Research and Prospect Management at Mason

PRIMED with Research

Financial Capacity and Likelihood Ratings

Mason has approximately 72,000 donors and prospective donors that Marts and Lundy perceived as capable of making a gift of $25,000 or more, paid over a five-year period. This group was segmented, by likelihood to give, into High, Medium and Low categories, using modeled affinity scores from screening, manual assessment of top prospects, and prior giving to Mason. A "Non-Donor" category was added to account for the 26,391 entities at this capacity level that have no prior giving history with Mason. This process resulted in the assessment of 2,301 (3%) Mason donors and prospects as having a High Likelihood to make a gift to Mason. The table below shows the capacity ratings within each likelihood segment.

CAPACITY	HIGH Likelihood	MEDIUM Likelihood	LOW Likelihood	Non-Donors	Total Prospects
$50M+	1	0	1	1	3
$25M-$50M	0	0	0	4	4
$10M-$25M	4	1	1	10	16
$5M-$10M	2	1	4	12	19
$1M-$5M	19	8	12	35	74
$250K-$1M	101	39	156	147	443
$100K-$250K	509	258	1,823	597	3,187
$25K-$100K	1,665	2,627	38,708	25,585	68,585
Total	2,301	2,934	40,705	26,391	72,331

Risk Adjustment Process

After sorting the prospects into capacity and likelihood sub-segments, the numbers were "adjusted for risk". A likelihood percentage was applied that reflects the percentage of individuals in each sub-segment who will make a gift at their capacity levels. By multiplying the number in each likelihood sub-segment by the appropriate likelihood percentage (risk-adjusting), it was determined that a "fictional" risk-adjusted prospect pool of 1,556 donors and prospects will give at their capacity level. The table below shows the different risk-adjusted percentages applied to capacity segments, above and below $1 million, in each likelihood sub-segment.

CAPACITY	HIGH Likelihood	MEDIUM Likelihood	LOW Likelihood	Non-Donors	Total Prospects/ Gifts
Prospects Identified By Segment	2,301	2,934	40,705	26,391	72,331
>$1Million	30% / 8 gifts	20% / 2 gifts	2.5% / 1 gift	.5% / 1 gift	12 gifts
$25,000 to $1Million	25% / 569 gifts	15% / 439 gifts	1% / 406 gifts	.5% / 131 gifts	1544 gifts
Risk-Adjusted # by Segment	577 gifts	441 gifts	407 gifts	132 gifts	1556 gifts

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THE PROSPECTOR

FASTER FARTHER THE CAMPAIGN FOR GEORGE MASON UNIVERSITY

The Newsletter for Research and Prospect Management at Mason

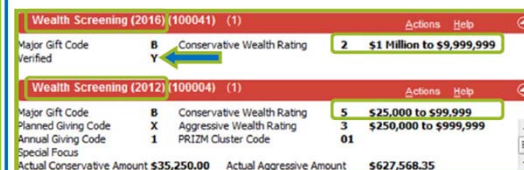
PRIMED with Research

Aware and Well-Informed! — Wealth Screen Ratings Updated and Verified

New Wealth Ratings can be viewed in Advance on the Entity Overview. The Major Gift Code, which is equal to Affinity, is an analysis of the relationship with a prospect, encompassing a formula that includes how RECENTLY the prospect has given, how FREQUENTLY the prospect has given, and the total amount of MONEY given. On a scale of A - E, A is the highest rating and indicates the greatest likelihood of continued giving.

Providing a real-time analysis of rating changes since the last screening in 2012, both 2016 and 2012 ratings are accessible on the Entity Overview. The graphic below shows how the ratings are displayed. The 2016 screening analyzed only a prospect's connection to Mason (Major Gift Code) and the prospect's total estimated charitable capacity to make a gift to any organization over a five-year period (Conservative Wealth Rating). Most ratings for assigned prospects have been verified by Research, indicated by the "Y" next to the word Verified.

The example below reflects a change in estimated giving capacity for this prospect from $25,000 - $100,000 in 2012 to $1 Million - $10 Million in 2016. Ratings on the overview cannot be changed.



Ratings on the Prospect Detail screen, shown below, should reflect the most accurate rating and are easily updated by Research staff. These ratings are also viewable from the Entity Overview in the Prospect Summary and are reflected in reports on assigned prospects.

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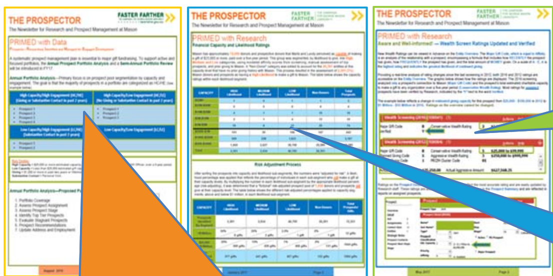
The Prospector – A Body of Knowledge



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• Prospect 1 • Prospect 2	• N/A

Wealth Screening (2016) (100041) (1) Actions Help

Major Gift Code	B	Conservative Wealth Rating	2 $1 Million to $9,999,999
Verified	Y		

Wealth Screening (2012) (100004) (1) Actions Help

Major Gift Code	B	Conservative Wealth Rating	5 $25,000 to $99,999
Planned Giving Code	X	Aggressive Wealth Rating	3 $250,000 to $999,999
Annual Giving Code	1	PRIZM Cluster Code	01
Special Focus			
Actual Conservative Amount	$35,250.00	Actual Aggressive Amount	$627,568.35

PRIMED with Research

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PRIMED! With Solutions and Best Practices

THE PROSPECTOR

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PRIMED with Best Practices

Prospects—Researched, Identified and Managed for Engaged Development

Contact Reports

Contact reports demonstrate that a prospect is being moved along the development cycle, is being stewarded or is actively engaged in his/her volunteer role. Substantive contacts are also used as a measurement of the depth of the relationship between a development officer and a prospect.

What is a Substantive Contact?

- Almost always is intentional (planned), has a clear purpose, and motivates a prospect to consider an outcome (e.g. a visit, gift, board service, etc.)
- Includes conversations that further the prospect's commitment, involvement or interest in Mason, or which broadens the prospect manager's knowledge of the prospect's interests, capacity, inclination and/or readiness to make a gift.
- Ideally, should result in a move (e.g. qualification, strategy development or stage change).
- Leads to a next step or steps with the prospect.
- Primarily visits and telephone calls, but can include electronic communication (e.g. e-mail), and written correspondence.

Elements of a Substantive Contact Report

The substantive contact report elements include the prospect's relationship with Mason, biographical and financial information, and the development officer's feedback on ratings. Not every contact will include all of these elements—use as a guideline only. A Next Step with the next planned contact date should also be created.

Mason Relationship

- Feelings about education at Mason
- Areas of philanthropic interest at Mason
- Willingness to serve on a committee
- Relationships with other influential alumni
- Consideration of a major gift

Biographical and Financial Information (Update appropriate areas of ADVANCE)

- Employment/Address/Phone Changes or Email Updates - Use Entity Update to submit changes
- External Philanthropy/Board Service - Record Information in Philanthropic Interest on the Entity Record
- Real Estate/Salary/Stock - Record Information in Wealth/Assets on the Entity Record

Feedback on Ratings

The ratings in Advance are estimated and based on the prospect's overall philanthropic capacity to make gifts to any organization they choose. The Gift Officer knows the prospect best, and can provide information specific to Mason:

- Capacity—What size gift is the prospect likely to give to Mason over a five-year period.
- Affinity—How connected is the prospect to Mason?

Reporting from ORBIS on Contact Reports

A number of ORBIS reports provide information on contact reports entered in Advance. To locate these reports, go to the Public Folders, select BI Officer Activity Reports. The following reports are available:

1. Contact Reports by Officer—Lists all Contact Reports by the selected Officer, includes the following options:
   - ⇒ Contact Reports by the Officer of a specific Contact Type
   - ⇒ Contact Reports by the Officer on a Prospect with a specific Gift Capacity Rating
   - ⇒ Contact Reports by the Officer for a specific Contact Date range
2. Contact Reports on Primary Prospects by Officer—Lists all Contact Reports for the Primary Prospects of the selected Officer.

For questions about Reporting, contact Saurabh Deshmukh (sdeshmu2@gmu.edu) or Ajit Gokaraju (agokaraj@gmu.edu)

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THE PROSPECTOR

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PRIMED with Solutions

Answers to Real Questions

1. Question—I'm in the process of "scrubbing" my portfolio. I have about 20 prospects that I have determined are not viable and would like to be unassigned. Do I request that through JIRA?
   Answer: Multiple assignment or unassignment requests can be made on one JIRA ticket. Enter the names and entity IDs of each prospect into the description field of one JIRA ticket, with the message "Remove Assignment".
2. Question—I have about 25 alumni on whom I will be doing qualification visits. Is there a way to add them to my portfolio so that I can more efficiently "manage" them?
   Answer: These entities can be assigned with the stage of "Qualification". Submit one JIRA ticket with the names and entity IDs to request assignment. Enter message "Assign with Stage of Qualification". Assignment at this stage demonstrates portfolio/pipeline development activity. A preliminary prospect strategy should be documented within three months of the assignment, which is evaluated/reviewed on a regular basis.
3. Question—I would like to have a "wealth profile" done on multiple entities. My preliminary research indicates there is capacity to make a major gift. How do I request the profiles?
   Answer: A wealth profile can be run fairly quickly on any prospect. Submit one JIRA ticket, listing the names and entity IDs in the description field. Enter message "Wealth Profile Request". Turnaround time on these requests normally range from 1-2 business days, depending on other priorities. Please limit names to 15 per request.
4. Question—How does an alumni receive "soft credit" for a gift that he/she brought to Mason through his/her corporate affiliation?
   Answer: "Bringing in a gift" does not qualify for soft credit. Donors are recognized for gifts made with their own money (check, credit card, stock, gift–in-kind, family foundation or donor advised fund). For corporate gifts, if the person is an owner/partner in the company they can receive soft (recognition) credit for the company's gift. Recognition credit is also given for a matching gift from their company. Facilitating a gift is not counted in Advance or in alumni giving totals because the person didn't give Mason anything. In these instances, CASE and US News Reporting standards are even stricter– Alumni who give through family foundations, donor advised funds or as owners of companies are not counted in CASE or US News reporting of alumni participation.

12-Month Prospect Portfolio Analysis — Update

Schools/ Units	Total Prospects	High Engaged (HE)	Low Engaged (LE)
Unit #1	160	125 / 78%	35 / 22%
Unit #2	55	31 / 56%	24 / 44%
Unit #3	240	205 / 85%	35 / 15%
Unit #4	148	127 / 86%	21 / 14%
Unit #5	76	42 / 55%	34 / 45%
Unit #6	248	121 / 49%	127 / 51%
Total	927	651 / 70%	276 / 30%

Six unit portfolio analyses have been conducted, to date, with the Unit Dean and Gift Officer(s), and Senior Staff.

The Portfolio Capacity Engagement Analysis Report is available in the Campaign Research Reports folder in ORBIS.

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THE PROSPECTOR

FASTER FARTHER | THE CAMPAIGN FOR GEORGE MASON UNIVERSITY

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PRIMED with Solutions and Best Practices

Answers to Real Questions

1. Question—What does it mean when I receive the message that a wealth profile has been uploaded to the entity record?
   Answer: When a prospect is assigned, a *WealthEngine* wealth profile is uploaded to the document section of the entity record. The profile serves as another piece of information to assess a prospect's capacity and general propensity to give. It is uploaded by the Research team to the documents section of Advance. The wealth profile filename will always begin with WE.
2. Question—When do I enter an Ask on a Prospect?
   Answer: Asks are only accessible from the Prospect record. An Ask should be entered when a DoD has identified a Prospect for cultivation or solicitation of a major gift. The Ask can be revised or edited at any stage of the donor engagement cycle. Next Steps can also be linked to an Ask to organize and plan engagement and activity.
3. Question—Where can I find a list of Asks for all of my assigned Prospects?
   Answer: From the Advance Home Page go to the My Asks Pipeline form, which displays Asks in columns by Stage. Numbers in the Planned column link to the Ask Details table which displays Asks in the planning stages. Numbers in the In Process column link to Asks in solicitation. Asks without a Projected Close Date will not display in the counts. Asks with a Status of Planned Gift Expected are also excluded from the counts. The ORBIS report, Asks by Officer, provides a list of Asks entered by a DoD on all prospects regardless of assignment.
4. Question—What do I do to ensure I get credit for an Ask, and enter others who are involved in the solicitation?
   Answer: The Ask includes three writable forms. The first form has the details of the Ask and must be saved to access the second form. The second form is the Ask Purpose, where the Funding Priority, Unit and Estimated Ask Amount are entered. After the second form is saved, access to the third form, Solicitation Team, is opened and the Ask Author and Solicitor can be entered. The Ask Author creates the Ask and is responsible for managing timelines and entering updates on the Ask form throughout the giving cycle. The Solicitor is the person who actually makes the Ask and can be added later or changed from Type Staff or Volunteer. There can only be one Ask Author, and one Solicitor, but multiple DoDs can be added as Staff to give credit to others involved in the solicitation.
5. Question—When do I change the stage on an Ask?
   Answer: Gift strategies are driven by Stages on the Ask. When an Ask is in the Qualification or Cultivation Stage, only the Estimated Ask field can be populated with a dollar amount. When Stage is changed to Solicitation, the Ask Amount field is accessible and required. When Status on the Ask is changed to Ask Declined or Complete, the Stage must be updated to Stewardship and a Stop Date is required.
6. Question—How does a gift get linked to an Ask and show up as a transaction on the Ask menu?
   Answer: Once an Ask is Complete (A gift is secured and the gift amount is entered on the Ask form, along with a Stop Date), the Ask ID is entered on the gift deposit form and sent to the Gifts Processing Department. When the gift is booked, it will be linked to the Ask and will then appear under Transactions on the Ask menu.

Pamela Lewis, Director of Research and Prospect Management
Forrest George, Research Analyst
Subriena Persaud, Research Analyst
Email: devrsch@gmu.edu

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PRIMED! With Solutions and Best Practices

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The substantive contact elements include the prospect's **relationship** with Mason, **biographical and financial information**, and the development officer's **feedback** on ratings.

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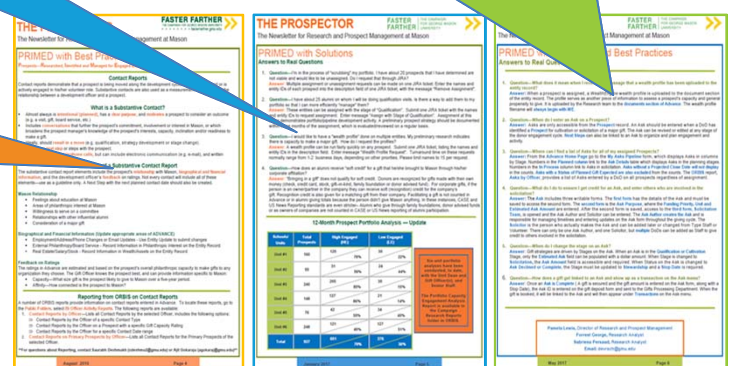
2. Where can I find a list of Asks for all of my assigned Prospects?
3. When do I change the stage on an Ask?



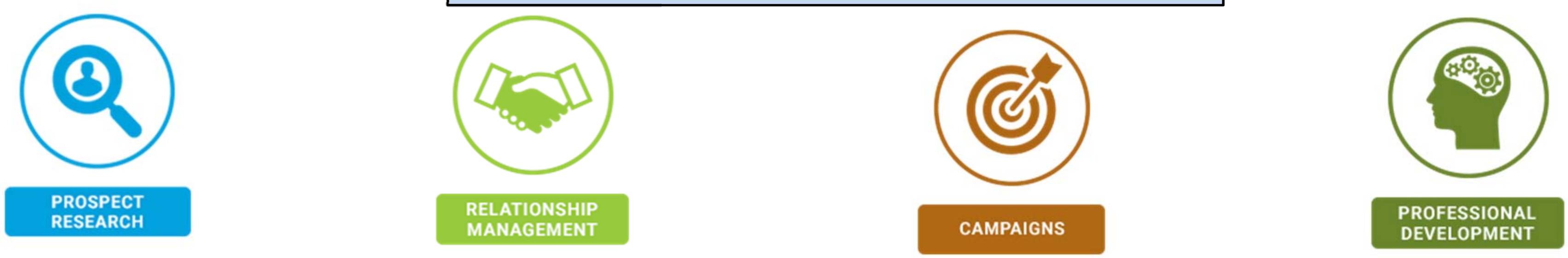
PRIMED! For Success

BRINGING IT ALL TOGETHER

Training and Support

Portfolio Analysis Annual	Portfolio Review Semi-Annual

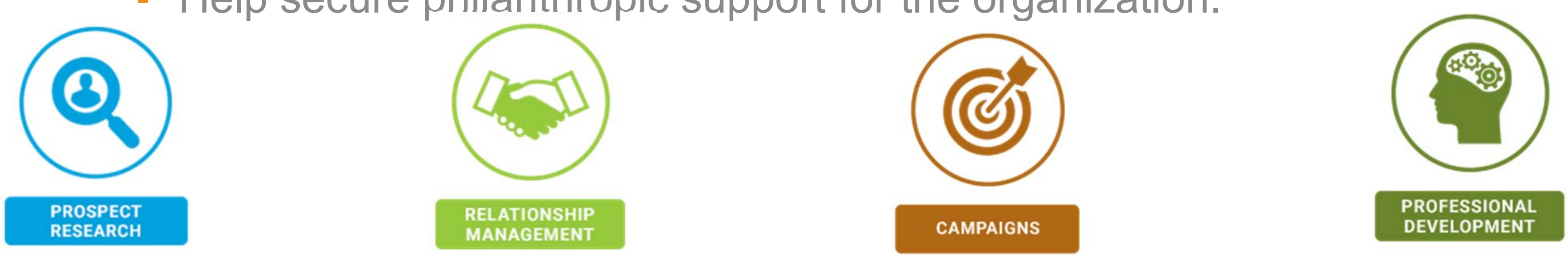
Actionable Data and Information



PRIMED! For Success

BRINGING IT ALL TOGETHER!

- Holistic Methodology – A full, complete and well-rounded foundation on which to prepare for a campaign, facilitate relationship building, and develop professionally.
  - Identify, interpret, analyze and manage prospect information.
  - Facilitate an understanding of engagement and fundraising capacity.
  - Help secure philanthropic support for the organization.



PRIMED! For Success

BRINGING IT ALL TOGETHER!

- Holistic Methodology – Enabled the “Big Idea” of PRIMED For Success!
  - Stakeholder Mindset – Gift Officers and Senior Leaders
  - Focused on High Interest and High Influence
- Ability to Sustain
  - Maintain commitment, enthusiasm, momentum and credibility
  - Deliver results – stakeholders need to experience something good along the way
  - Adjust as necessary
  - Day to Day management
  - Grow your network of support

Thank You!

Please complete your session evaluations.

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