PROSPECT MANAGEMENT AND TRACKING (PMAT)

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Executive Summary

Purpose

Essential to the Autry Museum fundraising goals is an effective prospect management and tracking process – Prospect Management and Tracking or 'PMAT", which serves as the primary development fundraising tool. Based on the concept of "Moves Management", PMAT assures that a strategically planned, tracked, and coordinated process is observed for all Autry donors and prospects.

Coordinated management of prospects is necessary to achieve Autry Museum goals. Through this orderly process of prospect identification, qualification, cultivation, solicitation, and stewardship, gift activity is both encouraged and increased, helping to maximize total contributions to the Autry. The Autry's financial future depends, in large part, upon the relationships that we build and nurture with individuals, corporations, and foundations. The cooperative and collegial team effort exemplified by a coordinated and strategic approach to both annual gift and major gift prospects will facilitate the development of these relationships.

PMAT Guidelines and Procedures are designed to facilitate the Autry’s fundraising objectives, and formalize the role of the Vice President of Development to set priorities for private development/fundraising opportunities, and reserve gift prospects for cultivation and solicitation for specific development/ fundraising goals.

It is imperative to the success of the Autry Museum fundraising efforts that all Development professionals, executive level staff, and other Autry staff and volunteers who are directly involved in development activities, participate in the Prospect Management and Tracking process.

Goals

- Gift activity is encouraged and increased and total contributions are maximized.
- Crucial information about donors is recorded for the future and the good of the institution.
- Coordinate efforts so that the right prospects are asked at the appropriate giving level for the strategically derived funding needs of the Autry and the Autry is spared the embarrassment of an uncoordinated and unprofessional approach with donors.
- Track and encourage the movement of prospects through the solicitation pipeline (i.e. identification, qualification, cultivation, solicitation and stewardship)
- List, rate and provide current status of all major gift prospects in one central location and through management reports which allows the association to forecast giving appropriately
- Assure that relationships with the Autry’s prospects are created and nurtured
- Protect the interests of both the prospects and Autry Museum by ensuring that cultivation/solicitation approaches recognize the prospect's expressed philanthropic priorities as well as the funding priorities of the Autry.
- Prevent simultaneous, multiple major gift solicitations while incorporating annual giving into the cultivation/ solicitation plan
- Ensure that the solicitation request is appropriate to the capability and circumstances of the prospect

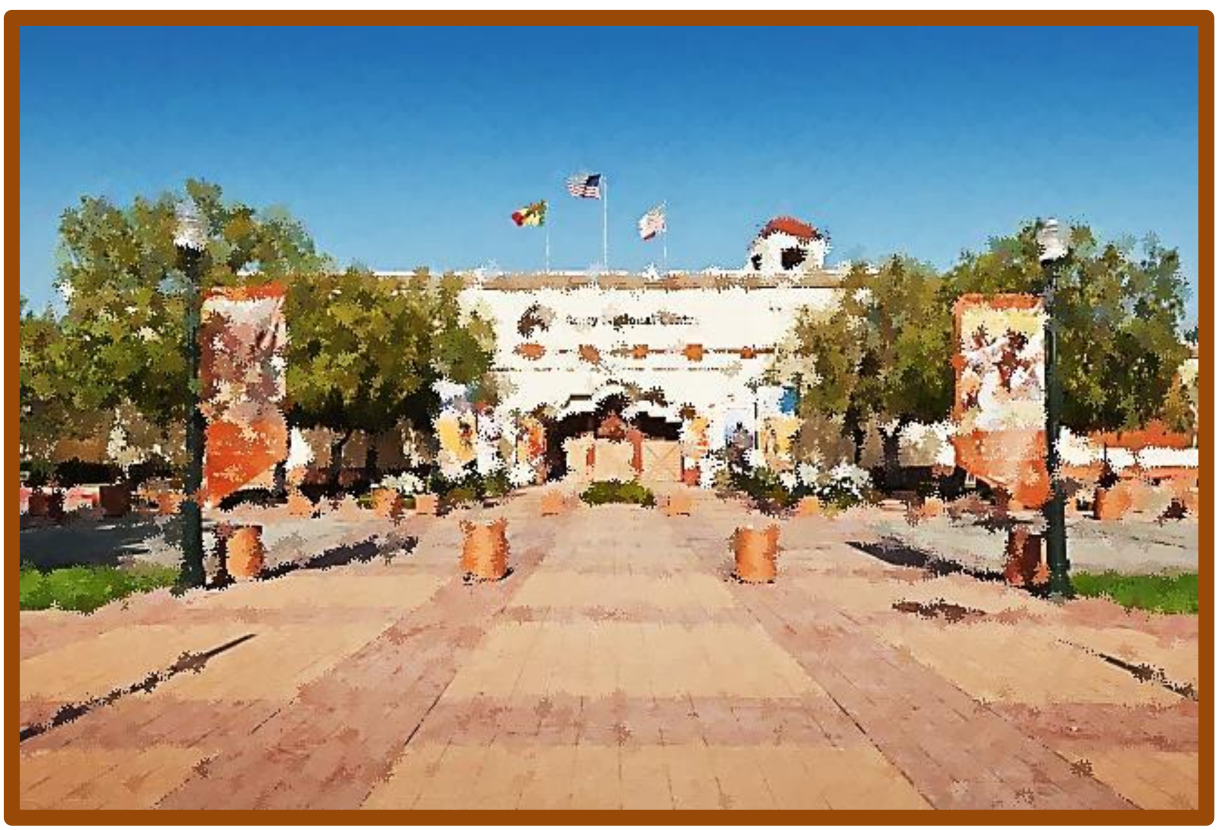
• Provide all executive level management staff and development professionals with current and accurate information on interactions with individual, corporation and foundation major gift prospects
• Provide appropriate executive level management with evaluation and performance tools to further manage staff fundraising efforts and progress

PMAT MANAGEMENT

The process of adding new prospects, potential prospects, and volunteers to PMAT is coordinated through the Senior Director of Development, Relationship Management & Data Sciences. The Senior Director of Development, Relationship Management & Data Sciences works under the supervision of the Vice President of Development to effectively coordinate and implement all reporting, analysis, coding, administration and processes related to PMAT. The Senior Director is charged with maintaining PMAT guidelines and procedures as well as training and guiding all appropriate staff in the use of PMAT-related systems, reports and processes.

PROSPECT CRITERIA FOR INCLUSION IN PMAT

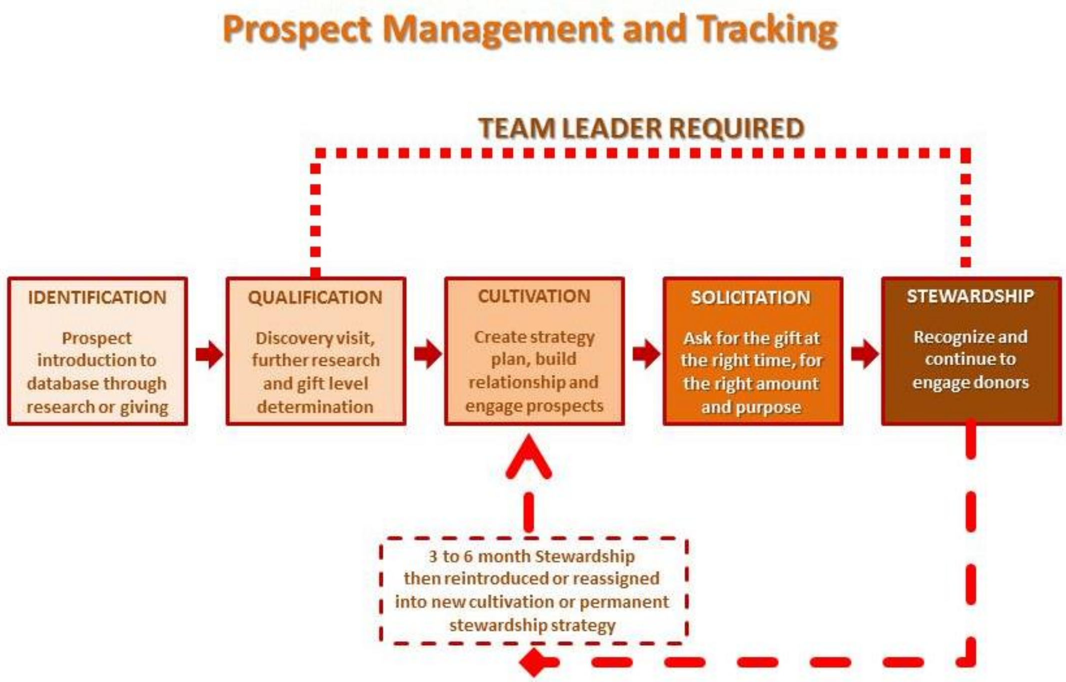
- All potential Annual Giving and Major Gift prospects must be housed within the ALTRU(Autry Museum's official donor, membership and prospect database).
- Annual giving prospects are individuals or organizations that have the potential to make an annual gift to the Autry at any giving level.
- Major Gift prospects must be identified and qualified to make a minimum gift of $25,000.
- Planned Giving prospects must be identified as Western Heritage members or qualified to be capable of creating a gift annuity, charitable remainder trust or other planned gift based on interaction with the development staff.



MOVES MANAGEMENT AND THE SOLICITATION PIPELINE

PMAT utilizes a "Moves Management" design to track the process by which a prospect is identified, qualified, cultivated, and finally solicited to make a gift to the institution. Each "Move" or stage is defined within the PMAT framework through specifically coded stages. Within each stage, there are "contacts" or actions that move the prospect towards the next stage in PMAT.

1) STAGES



a) **Identification:** This stage is considered the entry point to the PMAT process and can be initiated either by a development staff, research or other methods of identification. A prospect is considered identified when research or initial contact demonstrates the potential (capacity) to make a major gift to the Autry Museum.

b) **Qualification:** A prospect moves to this stage once a development professional is assigned to be the lead in handling the prospect. It is the duty of the development professional to make the initial substantive contacts with the prospect to gauge the prospect's inclination or propensity (qualification) to make a gift. If it is determined that the prospect is not a candidate for a gift, the status code changes to "Disqualified", followed by release of assignment from PMAT.

c) **Cultivation:** This stage marks the entry into the solicitation pipeline. Once a prospect is considered *qualified* to make a gift, the development professional must create a **STRATEGY PLAN** for solicitation. A strategy plan defines the actions the development professional plans to complete in order to cultivate the prospect for a gift. This plan is flexible and can be modified throughout the cultivation of the prospect. The plan also defines the amount of the solicitation and date by which the development professional will make the solicitation. Based on the date of the potential solicitation, the prospect status changes to "CULTIVATION - Solicitation within 6 months", "CULTIVATION - Solicitation within 12 months", or "CULTIVATION - Solicitation within 18 months". When the date is more than 18 months away, the status defaults to "CULTIVATION - Solicitation within 18 months".

d) **Solicitation:** Entry into this stage is determined when an action has resulted in the solicitation of the prospect. If the prospect does not immediately accept or reply to the solicitation the prospect stays in this stage until the development professional receives either an acceptance or rejection. During this time, the prospect status changes to "SOLICITATION ". If the prospect rejects the solicitation, the development professional must decide whether to reintroduce the prospect into the solicitation pipeline or request that s/he is released from further management of the prospect.

e) **Stewardship:** A prospect enters this stage once the solicitation has been accepted. The prospect status changes to either "STEWARDSHIP - Perpetual" or "STEWARDSHIP - Interim". A donor is in perpetual stewardship if his/her gift represents an estate gift or the Autry knows that s/he has made a final/ultimate gift. If the prospect has the potential to make another gift in the future, s/he is in interim stewardship, and is reintroduced into the cultivation stage of the solicitation pipeline after a three to six month period.

2) **STEPS/INTERACTIONS (Contact Reports) –** Steps/interactions within PMAT are based on the universal fundraising concept of prospect contact reports. Thus, a steps/interaction (contact report) is an account of specific and substantive contact made by the Autry Museum with a donor or prospect that is determined to be important enough to remain within the donor or prospects contact history. A steps/interaction is data records uniquely coded with the appropriate textual information that move prospects through the PMAT stages within the database. Steps/interactions are entered for any significant contact that provides the Autry with valuable information to assist in the identification, qualification, and cultivation of a prospect for a gift. This information also drives statistical, performance and tracking based reporting within PMAT. It is the responsibility of the prospect's lead development professional to see that all significant contact with the prospect or donor is recorded within the same week with an action item in the PMAT system.

PROSPECT ASSIGNMENT, EVALUATION AND STRATEGY SESSIONS

1) **Team Leader** (ALTRU: Prospect Manager on constituent record) **-** A Team Leader is the development professional who will be accountable to executive management for the movement of a prospect through the PMAT stages -- qualification, cultivation, solicitation, and stewardship. S/he will build a solicitation **STRATEGY PLAN** as well as enlist team members (ALTRU: Participants) for assistance and guidance during the solicitation process. Under the general supervision of the Vice President for Development, the Team Leader works with Senior Director of Relationship Management to plan and

implement effective cultivation and solicitation strategies, and works to maximize the prospect's gift potential for the Autry. The Team Leader chairs team meetings where appropriate, tracks progress, prompts action, and maintains key records and information on his/her assigned prospects in the database through PMATS. The Team Leader is responsible for conveying the essence of the PMAT guidelines and procedures to appropriate board member, staff, and volunteers, in order to avoid well-intentioned but unauthorized solicitation efforts.

a) Assignment of Team Leader

i) *Research-Based New Prospects* – The Senior Director of Development, Relationship Management & Data Sciences provides the Vice President of Development with a list of individuals who have been identified as having the capacity to make a gift. This list includes individual's possible areas of connection to the Autry. The VP decides if team leadership should be taken. After team leadership is determined, the development staff codes the assignment in the ALTRU (donor/prospect database) appropriately.

ii) *Development professional-identified Prospects*- A list of individuals for Financial Development staff requested for Team Leadership will be reviewed periodically by the Vice President of Development. A volunteer, curator, etc. may have identified these individuals as gift prospects. Following rationale and discussion, the assignment is made and qualification can begin.

iii) *Requesting Team Leadership* - To request Team Leadership, the development professional must send an email to the Senior Director of Development, Relationship Management & Data Sciences and the Vice President of Development. The email should contain the rationale or background to validate the request. All requested Team Leader assignments to the VP of Development will be review and approved by the VP who makes the final determination. The final TL assignment list is distributed by the Senior Director of Development, Relationship Management & Data Sciences to all development staff periodically.

(1) Corporate or Foundation: Development staff, and other administrators wishing to make contact with foundations or corporations must first contact Vice President of Development for information on current Autry relationships, funding guidelines and priorities.

iv) *Requesting a change in Team Leadership "Hand offs"*- Once a prospect has been *qualified by* the Team Leader, it may become necessary to "hand off' the prospect to the appropriate development area where the philanthropic needs of the prospect and the Autry are best matched. To request a change in Team Leadership, the development professional must send an email to the Senior Director of Development, Relationship Management & Data Sciences and the Vice President of Development. The email must contain the rationale or background to validate the request.

v) *Release from Team Leadership* - To release a prospect from Team Leadership the development professional must send an email to the Senior Director of Development, Relationship Management, & Data Sciences and the Vice President of Development. The email must contain the rationale or background to validate the request.

2) **Team Member (ALTRU: Participant)** - A Team Member is a development professional, Autry staff, board member or volunteer with contributing responsibility for the cultivation and solicitation of a major gift prospect. Team Members may include other appropriate individuals who bring knowledge of the prospect to the process. The Team Member activities and participation in the solicitation process are coordinated and supervised by the Team Leader.

   a) *Assignment of Team Member* - To request Team Membership, development professional must send an email to the Senior Director of Development, Relationship Management & Data Sciences and the Vice President of Development. The email must contain the rationale or background to validate the request.

3) **PMAT Meeting (Development Strategy Session)** - PMAT Meetings are held monthly and are chaired by the VP of Development and managed by the Senior Director of Development, Relationship Management, & Data Sciences. All development staff and approved PMAT participants are required to attend these monthly meetings. A PMAT meeting may serve to: train development staff in some aspect of portfolio evaluation, disseminate research-based new prospects, clear requests for release of a prospect assignment and clearance of Team Leader solicitation goal and strategies, etc. The agenda is created by the Senior Director of Development, Relationship Management, & Data Sciences under the direction VP of Development. Any additional materials, topics of discussions, etc. are coordinated through the Senior Director of Development, Relationship Management, & Data Sciences. In the interest of confidentiality of prospect information and solicitation status information, PMATS meetings are open only to fundraising-related personnel.

   a) **Solicitation Goal and Strategy Plan Clearance:** The Senior Director of Development, Relationship Management, & Data Sciences will provide reports of solicitations pending and cleared information as well as reports that demonstrate changes to solicitation goals or strategies entered by Team Leader. The reports are discussed and the VP of Development clears changes. **The VP reviews all major gift proposals for solicitations of $10,000 or more prior to solicitation. The appropriate representative from development staff should also review all proposals that include a planned giving component. The VP of Development must review all formal proposals to tribal entities, corporations, corporate foundations and foundations including family foundations prior to submission.**

4) **Prospect Overview Meeting (Individual Development Professional Strategy Session)** - Prospect Overview Meeting (POM) is held on regular basis and is set by the Senior Director of Development, Relationship Management, & Data Sciences. The Senior Director of Development, Relationship Management, & Data Sciences serves as chair of these meetings. Meeting participants include the development professional and the VP of Development if necessary. The purpose of a POM is to review movement and strategies on prospects that are within six-months of solicitation and have a gift potential. The Senior Director of Development, Relationship Management, & Data Sciences provides the required materials and prospect reports to be discussed during the meeting. Any additional materials, topics of discussions, etc. are coordinated through Senior Director of Development, Relationship Management, & Data Sciences.

PROSPECT PORTFOLIO

1) **Activity level -** Each development professional (and fundraising staff who report to them) will be responsible for a minimum of ***<u>40 steps/interactions per month</u>*** with individuals and organizations (corporations, foundations, etc.). **Steps/interactions** will move a prospect from attention to interest to desire to action, and represent steps that penetrate the consciousness of the prospect regarding the Autry or a giving opportunity.

   a) Although subject to the goal setting process, it is expected that each development professional will manage an appropriate number of prospects. The Prospect Portfolio should consist of a balance of prospects in the qualification, cultivation, solicitation, and stewardship phases. The number of prospects within the qualification stage for each Team Leader will be dependent on the need of the program or goals set. As a general guideline, a Team Leader is expected to have 150 to 200 qualified prospects within the solicitation pipeline (i.e. cultivation, solicitation, stewardship).

   a) Steps/interactions will be with already qualified prospects (team leadership requested/approved) or those in the process of becoming qualified or disqualified. If you are out sick or using leave, for each day of absence two moves will be subtracted from the minimum number of required moves per month. If you have a medical appointment, moves will not be subtracted from the total. Exceptions must be approved in writing in advance. If a position description or assigned duties require additional duties outside the routine tasks associated with a major gift officer, the monthly minimum will be adjusted accordingly with the VP of Development.

   b) As it is the responsibility of development professional to determine what gets entered as an step/interaction, we offer clarification on:

2) **Definition of steps/interactions (contact reports):**

   a) A step/interaction that *"moves"* a prospective donor closer to making a gift, a renewed gift or an upgraded gift. Each **STRATEGY PLAN** for a prospect will contain cultivation, solicitation and stewardship step/interaction.

   b) Accounts of specific and substantive contacts made with a donor or prospect *important enough to remain within the donor or prospect's contact history with the Autry.*

   c) Significant contact information that identifies, qualifies, cultivates, solicits and/or stewards a prospect/donor.

   d) **Examples may include, but are not limited to:**
   i)Personal visits by staff member(s) (Development staff, board member, or other staff) to determine linkage, ability and interest of the prospect/donor (qualification), cultivation, solicitation or stewardship

ii)Museum and ARC tours
iii)Personal meeting with a volunteer or staff member to finalize cultivation or solicitation plans for a prospect
iv)Working with a prospect/donor toward a gift commitment at an event via a significant conversation and learning critical information about the prospect/donor and the gift target
v)Telephone calls that foster interest or advance commitment
vi)Personalized correspondence that conveys significant information about a proposed program, past/future gift or formally requests a gift
vii)Face-to-face solicitation
viii)Personalized acknowledgement note for a gift
ix)Personal note following a visit re-stating critical information, confirming a next step and building a closer relationship with the Autry
x)Personal visit to deliver a “thank you” gift (stewardship)
xi)Pre-scheduled telephone conference calls that yield enough interest to begin turning a “suspect” into a prospect or determining no interest by the individual
xii)Telephone calls that are two-way and confirm scheduling a visit
xiii)Personal invitation to participate in a high level/specialized focus group
xiv)Personalized invitation to serve on an advisory board
xv)Mailing Autry marketing materials with tabbed pages and a personal note concerning special interest of the prospect
xvi)A get-well card with a personal note after learning of a health challenge
xvii)A sympathy card with a personal note after learning of a loss
xviii)A birthday card with a personalized note related to a prospect/donor’s giving or special interest at the Autry
xix)A new program brochure with a personal note related to a prospect/donor’s special interest at the Autry
xx)Personal note of congratulations after learning of a promotion/special recognition or media article
xxi)Significant conversation at an event/advisory board meeting if critical information is learned concerning the prospect and the gift target
xxii)Significant e-mail exchange if the information
xxiii)An anniversary card celebrating the date of an initial gift to the Autry with a personal note
xxiv)A stewardship report reporting how gift funds were spent and the difference the gift made
xxv)A solicitation letter/proposal
xxvi)Sending a draft major gift proposal to the VP of Development or other staff members for review/approval

e) **Examples of step/interaction that will *not* be counted:**

i) Information about *you and the prospect/donor* and not about the Autry and the person
ii) Telephone tag message left by the prospect in response to voicemail left by staff
iii) Saw Ms. Smith at movie theatre and asked her to sit with me
iv) Called Mr. Jones to confirm meeting
v) Meeting agendas/minutes mailed routinely to participants
vi) Casual contact at an event without significant two-way interaction with a prospect
vii) Telephone conversations not related to advancing the gift process
viii) E-mail exchanges unrelated to the gift process
ix) A casual “dropping by “ is not a move unless it is considered a strategic decision

f) **Note:** Although some steps/interactions will not count toward the monthly minimum, we encourage entering information into the data system about an individual/organization not on your PMAT list that might prove critical to the Autry in the future.

3) **Targets for face-to-face visits for suspects, qualified prospects and past/current donors:**

   a) **16 per month (4 per week average) – Minimum required**
   b) **18 per month (4.5 per week average) – Exceeds standards**
   c) **20 per month (5 per week average) – Exceptional**

4) **Clarification:**
   i) Visit purposes include qualification, cultivation, solicitation and stewardship with assigned prospects (team leadership) or those in the process of being qualified.
   ii) Visits can be the major gift officer alone with the prospect/donor and/or also include additional members of the team (program director, board member, curator, volunteer, natural partner, etc.).
   iii) Visits can be clustered to occur any time during the month.
   iv) Meetings with an employee, board member, friend or other natural partner of the prospect or donor for purposes of planning strategy, discussing gift potential, developing a meeting script will count as a visit and have a visit action entered into the system under the prospect/donor's record
   v) With an eye to maximizing time and resources, prescheduled conference calls of at least 30-minutes to qualify individuals/companies located out of the region prior to scheduling a face-to-face meeting will count as a visit. Once a prospect is qualified, prescheduled conference calls can also count as a visit if significant information about the individual or a target gift is obtained.
   vi) Casual contact at events/social functions will not count as a visit.
   vii) Multiple action entries for one visit will count as one toward the visit minimum (Example: Talking with the CEO of a firm and a spouse at an event and entering actions for (1) the corporation, (2) the corporate foundation, (3) the spouse and (4) the individual.

5) **Deadlines for step/interaction "Contact Report" data entry into Donor/Prospect Database**

   a) **WEEKLY REPORT:** Development will provide VP of Development every Monday of calendar year with a complete report of all steps/interactions entered between Monday and Sunday of the previous week.
      i) Steps/interactions "Contact Reports" shall be entered no later than 8pm on Sunday of each week of the calendar year.
      ii) Only those entered on time will be counted towards weekly performance reviews.

   b) **MONTHLY REPORT:** Development will provide VP of Development with a monthly summary report of all steps/interactions entered for the previous month on the first day of each month.
      i) This monthly report will be used by VP of Development to judge performance by Development staff.
      ii) Steps/Actions "Contact Report" shall be entered no later than 8pm on last day of each month of the calendar year.
      iii) Only those entered on time will be counted towards monthly performance reviews.