

St. Norbert College



Prospect Research Policies and Procedures

Acknowledgements:

**The University of Ottawa, University Relations, Advancement Services
Prospect Management Procedures**

Association of Professional Researchers for Advancement (APRA)

California State Polytechnic University, Pomona

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I. The Strategic Role of Research in Development

The role of research is essential at each stage of the development process: identification, verification, cultivation, solicitation and stewardship. Researchers are the development officers on the front line of information management.

Advancement researchers must work in concert with front-line fundraisers, each applying unique and vital sets of skills, to fulfill the missions of the organizations for which they work. Researchers must understand the key concepts, terms and tools of philanthropy. They must understand the range of resources available to them, and apply those resources in an organized and purposeful manner. Researchers need training, tools (computers and access to information), involvement in fund-raising discussions, and continued professional continuing education.

Researchers must be involved in key discussions regarding funding needs for campaigns and other priorities, in planning sessions and in meetings involving strategic discourse. By participating in such settings, researchers support effective decision-making by providing relevant information and informed analysis. Given appropriate access and support, researchers provide key information that ensures successful solicitations.

II. Prospect Management – Growing in Importance

Prospect Management is the art and science of using what we know (or believe) to shape how we track and build and maintain relationships with (potential) donors to fulfill the philanthropic interest of the donor.

Prospect Management targets resources in the right place. We need to have “shared control” getting away from top-down management. We are an accountability tool, identify, prioritize and track.

Prospect Management has a dual mission, to achieve the largest possible gifts in the most efficient manner and to create joyful donors who have the best possible philanthropic experience.

Prospect Management will interact with Major Gift Fundraisers, Prospect Research and Advancement Services and will need to know:

- a. Status of donor pool
- b. Status of individual fundraiser portfolios
- c. Details of an individual donor and their relationship to our organization
- d. Be a communications tool

III. St. Norbert College Prospect Research Policies

Research is the process of identifying and evaluating prospects; that is its fundamental responsibility. The research function encompasses several types of activities. The most basic is the search for information. Researchers gather data from many sources, with every effort made to assure its completeness, accuracy, and currency. Public sources can provide some of the data, but researchers must spend the time and energy to seek out other sources for some types of information.

Research is:

- Reactive-by responding with accuracy and timeliness to requests from front-line fund raisers and others who have direct contact with our organizations' donors and prospects. To prepare for visits, to prepare for events or when more information is needed for purposes of development, cultivation and solicitation strategies.
- Proactive (creative)-identifying new prospects and suggesting effective strategy that will help keep the prospect pool growing and active. Identify constituents who can increase their giving.
- Managing-establishing research goals, pacing the workload, and responding well to urgent needs while keeping an orderly flow of research going.
- Refinement-reducing great quantities of information into readable, understandable, concise reports pertinent to the organization.

1. Prospect Research

- a. Research and compile prospect profiles on individuals, corporations, organizations and foundations as requested by Development Officer's (DO's) and Advancement staff. The role of research is essential at each stage of the development process: identification, verification, cultivation, solicitation and stewardship.
 - Level One Report-basic report usually done with information on-site for an average of 1-3 hours of research.
 - Level Two Report-requires outside resources and can be an average of 1-2 days of research.
 - Level Three Report-requires outside resources and can be an average of 2-4 days of research.
- b. Assist DO's in determining gift level when requested.
- c. Provide on-going research in print and electronic publications for news related to prospects.
- d. Find and distribute information of general interest to College Advancement.
- e. Identify new "leads" through print and electronic media and database research.
- f. Researcher must be involved in key discussions regarding funding needs and determinations (for campaigns and other priorities), in planning sessions and in meetings involving strategic discourse. By participating in such settings, researchers support effective decision-making by providing relevant information and informed analysis. Advancement researchers must work in concert with front-line fundraisers.

2. Information Management

- a. Maintain accurate hard copy information on prospects.
- b. Facilitate input of contact reports to central files.
- c. Provide prospect management summary reports to Director of Advancement Services.

3. Research
 - a. To request research on individuals, corporation or foundations, the Profile Request Form must be complete. (Located on Advancement Services Web Site) Researcher needs to know what level of profile is being requested, full name of prospect, and when the profile is due.
 - b. Research will follow the Association of Prospect Researchers for Advancement (APRA) Code of Ethics.
 - c. Resource List available to researcher (Located on Advancement Services Web Site).
 - d. Checklist of Prospect Research Resources used for a profile (Located on Advancement Services Web Site).
 - e. Research files will be reviewed periodically for currency of information.
4. Policy of Obtaining and Releasing Information
 - a. Obtaining Information
The Prospect Researcher will gather public information on prospects from a number of sources including electronic databases, the Internet, hard copy references, the prospect's place of employment, the county recorder's officer, the courts and other public agencies. When contacting outside agencies, staff should identify themselves as St. Norbert College employees.
 - b. Releasing Information Within the St. Norbert College Community
The Prospect Research files are open to all Development Officers and to other authorized college faculty or staff by arrangement.
Information on prospects is considered confidential and is available to authorized college staff, faculty and volunteers on a need-to-know basis only.
5. Releasing Information to Donors
The college is required to allow individuals to review the information in their files. When this information is requested by a donor/prospect, the donor's request will be brought to the attention of the Director of Advancement Services. Staff will explain that it will take time to gather the files (both hard copy and in central database) and will arrange a convenient time for the individual to view or receive a copy of the records. The donor will be shown all files and records kept on him/her in the central files.
6. Policy on Confidentiality
Individuals who have authorized access to college advancement files shall be briefed on the importance of confidentiality. They will be asked to sign a Confidentiality Agreement, found on the Advancement Services Web page.
7. Current Trends and Professional Development
Stay current on trends by joining the PRSPT-L Listserv at PRSPCT-L-subscribe-request@CHARITYCHANNEL.COM and joining the local APRA-WI and APRA International. Attend as many workshops, symposiums and conferences as the budget and your workload allow.

IV. Prospect Research Profile Procedures

1. Identify Prospect
 - a. From a request (reactive research)
 - b. From proactive prospect research you've done in newspapers and magazines, the Web or from personal referrals.

2. In Banner-My Reports, run Profile of a Person or Profile of a Company
 - a. IA-Profile for person profile
 - b. IA-Company/Organization Profile
 - a. Report will give you family, address, job, corporation, and gift information.

3. Pull paper file if person/company is a constituent.
 - a. Read through, especially contact reports.
 - b. Look for old profiles for background information.

4. To find latest information on an individual/company
 - a. Google name
 - b. Lexis-Nexis (SNC Library Web site)
 - c. ZoomInfo.com

5. AlumniFinder.com report will give you property ownership, work information, watercraft and FAA certifications, voter registration, possible associates, and possible relatives (with contact information). (Pay site)

6. See Profile Research List for other sites available. Also check out aprahome.org and lambresearch.com for other research sites.

7. Pull up new profile template.
 - a. Fill in information that you found from your research.
 - b. Include a photo if we have it on file.
 - c. Include your summary at the end, is this a good prospect? Include "Known Assets" Analysis if you've done it.

V. Code of Ethics

Advancement researchers must balance an individual's right to privacy with the needs of their institutions to collect, analyze, record, maintain, use, and disseminate information. This balance is not always easy to maintain. To guide researchers, the following ethical principles apply:

1. Fundamental Principles

- a. Confidentiality-Confidential information about constituents (donors and non-donors), as well as confidential information of the institutions in oral form or on electronic, magnetic, or print media are protected in order to foster a trusting relationship between the constituent and the institution. This means that the information is not available for anyone except development professionals, and their agents, to see.
- b. Accuracy-Advancement researchers shall record all data accurately. Such information shall include attribution. Data analyses and their by-products should be without personal prejudices or biases.
- c. Relevance-Advancement researchers shall seek and record only information that is relevant to the cultivation, solicitation, and/or stewardship strategy with the prospect.
- d. Self-responsibility-Advancement researchers often play a significant role in developing and monitoring advancement department policies on information storage and confidentiality. It is important that advancement researchers lead by example. First, advancement researchers should develop clear policies and procedures for the prospect research department on the collection, storage, and distribution of constituent information and analysis. Second, when possible, advancement researchers should advocate for the development and adoption of institution wide ethics guidelines and privacy policies that are at least as complete as the APRA Statement of Ethics.
- e. Honesty-Advancement researchers shall be truthful with regard to their identities and purpose, and the identity of their institutions during the course of their work.
- f. Conflict of Interest

Advancement researchers should be careful to avoid conflicts of interest. Prospect research consultants should have explicit policies that outline how they will deal with conflicts of interest between clients. Advancement researchers who are employed full-time for an institution and also perform consulting services should be certain that the consulting services do not represent a conflict of interest with their primary employer.

2. Standards of Practice

- a. Collection
 1. collection of information should be done lawfully, respecting applicable laws and institutional policies.
 2. Advancement researchers should be experts on the reliability of sources (print, electronic, and otherwise), as well as the sources utilized by third parties to gather information on their behalf.
 3. Advancement researchers should not evade or avoid questions about their affiliations or purpose when requesting information in person, over the phone, electronically, or in writing. It is recommended that requests for public information be made on institutional stationary and that these requests clearly identify the requestor.
 4. Advancement researchers should use the usual and customary methods of payment or reimbursement for products or services purchased on behalf of their institutions.
 5. Advancement researchers who are employed full-time for an institution and also perform consulting services should develop clear understandings with their primary employers about the use of the employers financial and human resources.

b. Recording and Maintenance

1. Advancement researchers shall present information in an objective and factual manner; note attribution, and clearly identify information that is conjecture or analysis. Where there is conflicting information, advancement researchers should objectively present the multiple versions and state any reason for preferring one version to another.
2. Advancement researchers should develop security measures to protect the constituent information to which they have access from access by unauthorized persons. When possible, these measures should include locking offices and/or file cabinets and secure and frequently changed passwords to electronic databases. Advancement researchers should also advocate institution-wide policies that promote the careful handling of constituent information so that constituent privacy is protected. The use of constituent databases over a wireless Internet connection is not recommended.
3. Where advancement researchers are also responsible for donor giving records and their maintenance, they should develop security measures to provide very limited access to the giving records of anonymous donors. Access to these records should be limited to only those staff that need the information to successfully cultivate, solicit, or steward said donor.
4. Where there is no existing case law which outlines clearly the rights of a donor in accessing advancement files (paper and/or electronic), advancement researchers should work with their institutions legal counsel to develop an institution specific policy regarding this access. This policy should be put in writing, approved by the President/CEO, and distributed to any advancement professionals who might field a request for such access.
5. When electronic or paper documents pertaining to constituents must be disposed, they should be disposed in a fashion which lessens the danger of a privacy breach. Shredding of paper documents is recommended

c. Use and Distribution

1. Researchers shall adhere to all applicable laws, as well as to institutional policies, regarding the use and distribution of confidential constituent information. Careful consideration should be given to the use of electronic mail and faxes for the delivery of constituent information.
2. Constituent information is the property of the institution for which it was collected and shall not be given to persons other than those who are involved with the cultivation or solicitation effort or those who need that information in the performance of their duties for that institution.
3. Constituent information for one institution shall not be taken to another institution.
4. Research documents containing constituent information that is to be used outside research offices shall be clearly marked *confidential.*
5. Vendors, consultants, and other external entities shall understand and agree to comply with the institution's confidentiality policies before gaining access to institutional data.
6. Advancement researchers, with the assistance of institutional counsel and the advancement chief officer, should develop policies that address the sharing of directory information on their constituents with other institutions. Constituent requests to withhold directory information should be respected in all cases.

VI. A Donor Bill of Rights

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:

1. 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.
2. 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.
3. To have access to the organization's most recent financial statements.
4. To be assured their gifts will be used for the purposes for which they were given.
5. To receive appropriate acknowledgment and recognition.
6. To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.
7. To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.
8. To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.
9. To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.
10. To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

DEVELOPED BY

- * American Association of Fund Raising Counsel (AAFRC)
- * Association of Fund Raising Professionals (AFP)
- * Association for Healthcare Philanthropy (AHP)
- * Council for Advancement and Support of Education (CASE)

VII. Appendix

- A. Sample Profile of a Company
- B. Sample Profile of a Person – Level 1
- C. Sample Profile of a Person – Level 2
- D. Sample Profile of a Person – Level 3
- E. Profile Research List

Profile of a Company

Company Profile of:

ID Number:

Prepared for:

Prepared by:

Date:

Address:

Web Site:

Company History:

Personnel/Officers:

Corporate Philanthropy:

Services/Products:

Financial Information:

Gift History:

Advancement Services
Furthering the Mission

Confidential Report: The information contained in this profile has been compiled from available public and internal resources that are believed to be accurate. This document contains only relevant material that is current as of the date listed at the top of the document. This profile is not intended for public distribution or for publication, but is intended to provide background information for the reader and should be considered confidential. All changes or updates to this profile should be directed to the Development Research Office. If this is a copy and you are done with it please shred this document after using it.

Profile of a Person-Level 1

Profile of:

Relationship:

Date of Birth:

Age:

ID Number:

Prepared for:

Prepared by:

Date:

Addresses: Home:

Work:

Gift History:

Summary:

Advancement Services
Furthering the Mission

Confidential Report: The information contained in this profile has been compiled from available public and internal resources that are believed to be accurate. This document contains only relevant material that is current as of the date listed at the top of the document. This profile is not intended for public distribution or for publication, but is intended to provide background information for the reader and should be considered confidential. All changes or updates to this profile should be directed to the Development Research Office. If this is a copy and you are done with it please shred this document after using it.

Profile of a Person-Level 2

Profile of:

Relationship:

Date of Birth:

Age:

ID Number:

Prepared for:

Prepared by:

Date:

Addresses: Home:

Work:

Family:

Spouse:

DOB:

Age:

Children:

Career History:

Gift History:

Summary:

Advancement Services
Furthering the Mission

Confidential Report: The information contained in this profile has been compiled from available public and internal resources that are believed to be accurate. This document contains only relevant material that is current as of the date listed at the top of the document. This profile is not intended for public distribution or for publication, but is intended to provide background information for the reader and should be considered confidential. All changes or updates to this profile should be directed to the Development Research Office. If this is a copy and you are done with it please shred this document after using it.

Profile of a Person-Level 3

Profile of:

Relationship:

Date of Birth:

Age:

ID Number:

Prepared for:

Prepared by:

Date:

Addresses: Home:

Work:

Family: Spouse:

DOB:

Age:

Children:

Education:

Career History:

Affiliations:

Civic:

Corporate:

Avocations:

Financial Information:

Home:

Stocks:

Other:

Gift History:

Summary:

Advancement Services
Furthering the Mission

Confidential Report: The information contained in this profile has been compiled from available public and internal resources that are believed to be accurate. This document contains only relevant material that is current as of the date listed at the top of the document. This profile is not intended for public distribution or for publication, but is intended to provide background information for the reader and should be considered confidential. All changes or updates to this profile should be directed to the Development Research Office. If this is a copy and you are done with it please shred this document after using it.

PROFILE RESEARCH LIST

- PAPER FILE
- COMPUTER FILE

BASIC SEARCH

- www.google.com

PHONE & ADDRESS

- www.switchboard.com
- info@argali.com
- people.yahoo.com
- www.cnada411.com

INFORMATION SOURCES

- www.50statesonline.org
- www.veritasinfo.com
- www.usps.com
- www.pac-info.com
- www.timeanddate.com
- www.familysearch.org
- www.refdesk.com
- www.wisinfo.com

REAL ESTATE/ASSESSMENT

- www.homegain.com
- www.netronline.com
- domainia.com
- www.co.brown.wi.us/land
- realestate.yahoo.com
- www.ci.mil.wi.us
- www.dataquick.com
- www.firstam.com
- www.pulawski.com

INVESTIGATION

- birthdaydatabase.com
- www.marquiswhoswho.com
- www.crimetime.com/online.html
- www.wdfi.org
- www.biography.com
- www.internet-prospector.org
- badger.state.wi.us
- www.alumnifinder.com
- www.zoominfo.com/Search/

Name: _____

Date: _____

Time: _____

LIBRARIES

- www.uwgb.edu/library
- www.co.brown.wi.us/library
- www.executivelibrary.com
- www.uwm.edu/library

FINANCIAL INFORMATION

- finance.yahoo.com
- www.forbes.com
- www.dnb.com
- www.sec.gov/edgar/searchedgar/webusers.htm
- www.hoovers.com
- http://web.lexis-nexis.com/universe
- www.wsj.com
- www.reportgallery.com/index.htm
- www.tenkwizard.com
- www.mergerstat.com
- www.tray.com
- www.secinfo.com
- www.vfinance.com
- www.fundrace.org
- www.freeEDGAR.com

SALARY/WAGES

- www.career.vt.edu
- www.salary.com
- careers.wsj.com
- jobstar.org
- www.ecomponline.com

PEOPLE SEARCH - OCCUPATION

- firms.findlaw.com -Lawyers
- www.wisbar.org-Lawyers
- www.martindale.com-Lawyers
- www.ada.org-Dentist
- www.ama-assn.org-Doctor
- www.avweb.com/database/airman/index.html
- www.grz.com/p/air.pl

COMPANY RESEARCH

- www.thomasregister.com
- www.bizjournals.com
- www.corporateinformation.com
- www.thecorporatelibrary.com
- www.businessweek.com
- www.companiesonline.com
- www.researchmagazine.com
- www.businesswire.com
- www.thestandard.com
- biz.yahoo.com/edu
- www.marketwatch.com

PHILANTHROPY

- www.philanthropy.com
- women-philanthropy.org
- www.philanthropyroundtable.org
- www.philanthropy-journal.org
- www.opensecrets.org
- www.afpnet.org
- www.donorseries.com

FOUNDATIONS

- www.fdncenter.org
- www.guidestar.com
- www.marquette.edu/library
- www.cof.org
- www.charityvillage.com
- www.fundsnet.com
- www.innonet.org
- grantsdirect.com
- www.nonprofit.about.com
- www.hhs.gov/grantsnet

OBITUARY SITES

- obits.rootsweb.com
- www.ancestry.com
- www.arrangeonline.com
- www.obitcentral.com
- www.familysearch.org
- www.legacy.com
- finagrave.com

NEWS ONLINE

- www.infonews.com
- www.newspage.com
- www.newpaper.com
- www.jsonline.com
- search.abcnews.go.com/index.html
- www.foxnews.com
- www.nytimes.com
- www.titletown.org
- www.ashwaubenon.com
- www.bellevue-wi.com
- ci.de-per.wi.us
- www.wisinfo.com/postcrescent/index.html
- www.greenbaypressgazette.com
- www.village.howard.wi.us
- www.suamico.org
- www.thebusinessnews.com

GOVERNMENT AGENCIES

- www.fec.gov
- www.census.gov
- www.loc.gov
- firstgov.gov
- www.wdfl.org
- www.searchsystems.net
- ccap.courts.state.wi.us/gone.html
- www.legis.state.wi.us

BOOKS/DIRECTORIES

- www.aafrc.org
- www.aprahome.org/connections.htm
- www.nptimes.com
- www.pnnonline.org
- www.contributionsmagazine.com
- www.stevensoninc.com

PROSPECT SITES

- www.uvm.edu/~prospect/index
- www.resourceshelf.com
- indorgs.virginia.edu/portico/home
- www.prospectinfo.com
- www.minerandassociates.com
- www.searchengineshowdown.com
- www.m-w.com
- www.hyperdictionary.com
- www.aprahome.org
- www.afpnet.org
- ProspectL- yahoo groups listserv
- www.allianceonline.org
- www.compasspoint.org
- www.lambresearch.com
- www.freeprint.com/gary/direct.htm
- www.internet-prospector.org
- pubweb.nwu.edu/~440/bookmark.html
- waltmanassociates.com