Designing a Training Manual for Annual Fund Personal Solicitations at the University of Miami

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Define Phase

Introduction

The University of Miami Annual Fund is a year by year source of funding for student scholarships, academic initiatives, and other pressing educational needs. . The main objective of the Annual Fund is to generate operating revenues for the University through donations from alumni, parents, students and friends of the University. One of the ways the Annual Fund generates revenue is via personal solicitations whereby fundraisers target prospects that have the capacity and affinity to give at least $1000 dollars. The prospect is then moved through the prospect management cycle as follows:

1. *Identify* - the prospect is identified and assigned to one of three Regional Directors, the Director of Leadership Giving or the Executive Director of the Annual Fund.
2. *Qualify* – preliminary research is done to ensure the prospect has the capacity (financial ability) and affinity (relationship to the University of Miami) to give at a leadership ($1000+) level.
3. *Cultivate* – the fundraiser builds a relationship with the prospect by inviting them to events, taking them to lunch, getting them involved.
4. *Solicit* – the fundraiser makes an ask for a donation at the leadership level to the University of Miami.
5. *Stewardship* – the donor is thanked and a relationship is maintained until the cycle begins again.

Business Case

Why do the highest project at all?

The Annual Fund project should be conducted to satisfy of the wishes of the President and the Vice-President to increase the number of Annual Fund leadership gifts to the University of Miami as well as increase alumni participation.

Why do the highest priority project now?

The University of Miami is closing in on the end of its billion dollar Momentum Campaign whose goal has just been extended by $250 million. Also the Vice-President for Advancement has created three new positions for Regional Directors to raise funds via personal solicitation, however there is no training manual for them to be taught on.

What are the consequences of not doing the highest priority project?

The consequences of not doing the Annual Fund project would be a failure to maximize the Annual Fund annual giving and participation.

What business objectives are supported by the highest priority project?

The Annual Fund Project is strongly related to the “Improve the national ranking of the University”, “Improve student experiences” and “Improve interdisciplinary research” presidential objectives.

Opportunity statement

The current state of the Annual Fund at the University of Miami is one who is near the end of a fundraising campaign that has just been extended. Currently the Annual Fund has 17% alumni participation, meaning 17% of alumni have given in the last year. Out of 118,000 alumni there are 87,000 who have not given in the last 10 years or not given at all. Those 87,000 non-donors represent the greatest opportunity to increase the alumni participation number. As well, three new Regional Directors have been hired and there is no training manual in place.

The desired state of the Annual Fund is one with alumni participation above 20%. Ideally there will be a training manual in place for the Regional Directors regarding personal solicitations to help them reach the 20% mark.

Initial Project Objective

To use the 6 Six Sigma invention and innovation model to study the 'Voices of the Customer' (customer requirements) to create a detailed, training manual for the personal solicitation process in the Annual Fund at the University of Miami.

Multi-Generational Product Plan (MGPP)

The MGPP is a method that is used to help focus the project in light of all of the constraints placed upon it. This plan is a way to view the "entire picture" in that it does not concern itself with the details, but instead addresses the more significant tactical and strategic issues at hand. Table 5 illustrates the three types of MGPP categories.

Generation	MGPP Generation 1	MGPP Generation 2	MGPP Generation 3
Vision	Stop bleeding in existing markets	Take offensive action by filling unmet needs of existing markets	Take leadership in new markets
Product/Service Generations	Improved or less expensive existing features	New major features	New products or services or processes
Product/Service Technologies and Platforms	Current technology	Current technology with relevant technological enhancements if needed	Current technology, and development of new technologies if possible

In the Annual Fund Personal Solicitations Project we will create a new system for prioritizing and assigning donor prospects at the University of Miami. It will be a concentrated effort on the existing market of potential donors. The project will use existing as well as incorporate new technologies to create the new prospect prioritization system. As such, the project is a Generation 3 project and will be treated accordingly through the remainder of the project.

In Scope

- Surveying of alumni
- Surveying of staff
- Making appointments with prospects
- Doing research on prospects
- Opening the meeting
- Listening skills
- Persuasion
- Body language and non-verbal communication
- Closing the deal

Out of Scope

- Creating lists of potential prospects
- Creating reports
- Stewardship (thanking the prospect)
- Telemarketing
- Direct Mail

Project Plan

Task	Resp.	Month										
		Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec
Pre-DMADV												
Define	RM											
Measure	RM											
Analyze	RM											
Design	RM											
Validate	RM											

Document Control System

- All documents will be dated
- All meetings/interviews will be documented and dated
- All documents will be saved in Rick's Global Shares directory in a folder named '6 Sigma Project
- All documents will be assigned control numbers and there will be a master document to keep track of what document each control number is responsible for

Benefits of the Six Sigma Project

Soft Benefits

- Improving morale
- To make team members feel involved by getting their input
- Increased internal communication
- Increased customer satisfaction

Hard Benefits

- Improve amount of funds generated by personal solicitations by 50%. In FY '06, $87,034 was generated by personal solicitations. This would translate into an increase

Finalized project objective

To create a personal solicitation manual that will improve the knowledge and productivity of the three new Regional Directors of the Annual Fund to help increase alumni participation from 17% to 20% as well as increase the funds raised by the Annual Fund by 30% by May 31st, 2008.

FMEA

Risk Elements	Failure Mode	Likelihood of Occurrence	Severity	Likelihood of Detection	RPN	Action	Likelihood of Occurrence	Severity	Likelihood of detection	RPN
Lack of adoption	Training manual is not used	3	5	3	45	Effective training on use of manual	1	5	3	15
Decreased morale	Employees do not buy in to manual	3	3	3	27	Involve employees in process	1	3	1	3
Unclear requirements	Poor manual design	3	1	3	9	Strong planning effort	1	1	3	3
Poor definition of the project	Not enough information to create an optimized design	3	5	5	75	Spend more time with process owner	1	3	3	9
Interaction between new and existing process	Conflict	3	1	3	9	Get a good understanding of old process and benefits of using new process	1	1	1	1
Busy and distant process owner	Hard to get all process information needed	5	5	1	25	Educate them on benefits of using new process	1	3	1	3

Measure Phase – Personal Solicitations

(1) Market Segmentation

The Annual Fund at the University of Miami segments its markets as follows:

	Renewal	First Time Donor Renewals	Reactivation	Long Lapsed Donors	Non-Donors
Young Alumni	x	x	x		x
General Annual Fund	x	x	x	x	x
President's Circle	x		x		
Reunions	x		x	x	x
Young Alumni PC Protégé	x	x	x		

Definitions

Renewal – Donor who gave last year, may also have given previously

First time donor renewals – Donors who gave for the first time ever last year

Reactivation – Donor who did not give last year but gave within the last 10 years

Lapsed Donors – Donor whose last gift was more than 10 years ago

Non-Donors – Those who have never given or gave more than 10 years ago

Young Alumni – Those who have graduated within the last 10 years

President's Circle – Anyone who has given $1,000 to the University of Miami in the current year

Reunions – 5th, 10th, 25th, 30th and 50th reunion classes are celebrated each year. These people are taken out of their regular market segment for their reunion year but put back the year after.

Young Alumni President's Circle Protégé – Young Alumni who have given at least $500

General Annual Fund - Those who do not fall within Young Alumni, President's Circle, Reunions or Young Alumni President's Circle Protégé.

For the purposes of this project we have decided to focus on the non-donors segment which also includes long-lapsed donors (have not given in the last 10 years). Currently out of 118,000 living alumni there are 87,000 who fall into the non-donor category. We will further split this segment up into Young Alumni (graduated within the last 10 years) and General Annual Fund (graduated more than 10 years ago).

(2) Personal Interviews/Affinity Diagram to Identify Focus Points

30 personal interviews were conducted with non-donors, 15 with the Young Alumni market segment (graduated within the last 10 years) and 15 with alumni in the General Annual Fund market segment (graduated more than 10 years ago).

After the interviews were finished an affinity diagram was completed to come up with focus points to be used in a Kano survey.

Affinity Diagram Theme (Focus Point)	Driving Issue	CTQ
Unfamiliarity with Annual Fund	Information	Ability to learn more about what the Annual Fund represents, where the money goes, possible tax incentives of giving and ability to earmark gifts.
Overall UM experience	UM Experience	Total UM experience including quality of education/classmates/administration/facilities and improvement of the institution through the years.
Pooling of small gifts	Financial	People who aren't in a great financial position don't realize small gifts make a difference when pooled together.
Ease of Giving to Annual Fund	Giving Ease	Ease, speed and simplicity of giving to Annual Fund.
Support of Athletics at UM	Athletics	The success and image of UM's athletic teams
School Ranking/Value of Degree	School Ranking	UM's performance in national rankings
High cost of tuition	Expensive	High cost of tuition affects giving to Annual Fund
Suntan U	Quality of the institution	Changing the perception to older alumni that UM is not that same Suntan U that they remember

(3) Kano survey to Identify Cognitive Images

The following Kano survey was distributed to employees in the Alumni Relations Office

Instructions

This survey asks multiple choice questions in sets of three. For each potential feature of the training manual there are three questions: the first deals with how you would feel if the feature is present, the second deals with how you would feel if the feature is absent and the third deals with how much more in donations you could raise from potential donors with the feature. Do not be distracted with the order of the standard answers. Simply select the answer that seems most appropriate to you for the question being answered

Feature	How would you feel if this feature is present in the UM development model?	How would you feel if this feature is absent in the UM development model?	How much more in donations could you raise from potential donors with this feature?
UM has a high national ranking	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
Potential donors know: (1) the purpose of the Annual Fund, (2) how their donations are being used, (3) possible tax incentives of giving, and (4) about earmarking gifts?	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
Potential donors had a positive experience at the University of Miami (including quality of education/classmates/administration/ facilities and improvement of the institution through the years).	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
It is easier, quicker and more effortless for potential donors to give to the Annual Fund.	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
UM's athletic teams are successful and have a positive image.	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
Being able to communicate to alumni who are not in an optimal financial position (still repaying student loans or otherwise) that their small gift to the Annual Fund can still make a difference.	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
Figuring out a way to counter the perceived notion from alumni that they don't want to give b/c they already paid a lot to attend UM	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )
Demonstrating to alumni that UM is not the same 'Suntan U' that they attended, that the school is much better now.	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	I like it that way ( ) It must be that way ( ) I am neutral ( ) I can live with it that way ( ) I dislike it that way ( )	0% ( ) 10% ( ) 20% ( ) 30% ( ) 40% or more ( )

The results of the survey were as follows:

Feature	Kano Quality Category	Kano Cost Category	Strategy
UM has a high national ranking	M=8 O=7 A=1 (Must-be)	0% 0 10% 11 20% 1 30% 2 40% or more 2 (Uniform)	Expected by the market and can create a competitive advantage.
Potential donors know: (1) the purpose of the Annual Fund, (2) how their donations are being used, (3) possible tax incentives of giving, and (4) about earmarking gifts?	M=13 O=2 A=1 (Must-be)	0% 0 10% 5 20% 6 30% 3 40% or more 2 (Uniform)	Expected by the market and can create a competitive advantage.
Potential donors had a positive experience at the University of Miami (including quality of education/classmates/administration/ facilities and improvement of the institution through the years).	O=9 M=4 I=2 A=1 (One-dimensional)	0% 2 10% 4 20% 7 30% 2 40% or more 1 (Uniform)	Satisfaction is proportional to performance and this feature can create a competitive advantage.
It is easier, quicker and more effortless for potential donors to give to the Annual Fund.	M=6 O=4 I=4 A=2 (Must-be)	0% 3 10% 5 20% 4 30% 4 40% or more 0 (Uniform)	Expected by the market and can create a competitive advantage.
UM's athletic teams are successful and have a positive image.	O=7 I=6 A=2 M=1 (One-dimensional)	0% 5 10% 9 20% 1 30% 0 40% or more 1 (Triangular)	Satisfaction is proportional to performance, can be used to develop new features.
Being able to communicate to alumni who are not in an optimal financial position (still repaying student loans or otherwise) that their small gift to the Annual Fund can still make a difference.	M=10 O=4 A=1 I=1 (Must-be)	0% 0 10% 10 20% 1 30% 4 40% or more 1 (Uniform)	Expected by the market and can create a competitive advantage.
Figuring out a way to counter the perceived notion from alumni that they don't want to give b/c they already paid a lot to attend UM	M=8 O=5 A=2 I=1 (Must-be)	0% 2 10% 7 20% 3 30% 4 40% or more 0 (Uniform)	Expected by the market and can create a competitive advantage.
Demonstrating to alumni that UM is not the same 'Suntan U' that they attended, that the school is much better now.	M=5 O=4 I=4 A=2 R=1 (Must-be)	0% 8 10% 7 20% 1 30% 0 40% or more 0 (J-shaped)	Expected by the market, can be used to improve existing products.

(4) Quality Function Deployment

Quality function deployment was done to translate cognitive images into CTQs.

Quality Function Deployment for Annual Fund																
			CTQ 1	CTQ 2	CTQ 3	CTQ 4				CTQ 5	CTQ 6	CTQ 7		CTQ 8	CTQ 9	CTQ 10
	Kano Category	Weights	Dollars raised for Annual Fund per year	% Alumni Participation	Improved Ranking in US News and World Reports	Donors understand function/intent of Annual Fund	Donors understand how their Annual Fund gifts are being used to improve UM	Donors educated on tax incentives of giving to Annual Fund at UM	Donors understand that they can earmark gifts	Donor's overall UM experience was excellent	Overall giving process is fast and straightforward	Rankings of UM's football, basketball and baseball teams	Graduation Rates of UM's athletes	Donors understand that small gifts are very important	Persuading alums to give even though they think they paid a lot to attend UM	Proving to older alumni that the school has changed for the better since they graduated
Customer Needs																
UM has a high national ranking	Must Be	0.125			9	0	3	0	0	3	0	3	3	3	3	
Potential donors know: (1) the purpose of the Annual Fund, (2) how their donations are being used, (3) possible tax incentives of giving, and (4) about earmarking gifts?	Must Be	0.125			0	9	9	9	9	3	3	3	3	3	9	
Potential donors had a positive experience at the University of Miami	One-dimensional	0.125			3	0	0	0	3	9	0	3	0	0	3	
It is easier, quicker and more effortless for potential donors to give to the Annual Fund.	Must Be	0.125			0	3	0	0	0	0	9	0	0	0	0	
UM's athletic teams are successful and have a positive image.	One-dimensional	0.125			3	0	3	0	3	0	0	9	9	0	0	
Being able to communicate to alumni who are not in an optimal financial position (still repaying student loans or otherwise) that their small gift to the Annual Fund can still make a difference.	Must Be	0.125			0	3	3	3	3	0	3	0	0	9	0	
Figuring out a way to counter the perceived notion from alumni that they don't want to give b/c they already paid a lot to attend UM	Must Be	0.125			0	3	3	3	0	3	0	0	0	3	9	
Demonstrating to alumni that UM is not the same 'Suntan U' that they attended, that the school is much better now.	Must Be	0.125			3	0	3	0	3	0	0	0	3	0	3	
Total					2.25	2.25	3	1.875	2.63	2.25	1.875	2.25	2.25	2.25	3.375	2.2

(5) <u>Operational Definitions of CTQs</u>

CTQ #1: Dollars raised by the Annual Fund per year

Criteria: Dollars raised per year

Test: Calculate the number of dollars raised by the Annual Fund this fiscal year

Decision: If the amount of funds raised this fiscal year is greater than the amount of funds raised last fiscal year the dollars raised is improved.

CTQ #2: Alumni Participation (%)

Criteria: Get the number of alumni who gave this fiscal year and the total number of alumni for this fiscal year.

Test: Divide the number of alumni who gave this fiscal year by the total number of alumni for this fiscal year.

Decision: If this years alumni participation (%) is greater than last years number than alumni participation has improved.

CTQ #3: Improved Ranking in US News and World Reports

Criteria: UM's ranking in US News and World Reports

Test: Compare this year's national ranking with last year's national ranking.

Decision: If this year's national ranking is improved over last year's national ranking the ranking is improved.

CTQ #2a: Donors understand function/intent of Annual Fund

Criteria: A donor is considered to understand the function/intent of the Annual Fund if their answers to <u>all</u> of the following questions are yes:

1. Do you know that the Annual Fund is a year by year fundraising campaign for operating funds for the University of Miami? (Y/N)
2. Do you know that the money can be spent as soon as it comes in? (Y/N)
3. Do you know that an Annual Fund gift is between $1-$15,000? (Y/N)

Test: Select a particular donor and ask the above three questions.

Decision: If the answer to all of the questions is Yes, then the donor understands the function/intent of the Annual Fund. If the answer to any of the questions is No, then the donor does not understand the function/intent of the Annual Fund.

CTQ #2b: Donors understand how their Annual Fund gifts are being used to improve UM

Criteria: A donor is considered to understand how their gifts are being used to improve UM if their answer the following question is yes:

1. Do you know how the Annual Fund uses the money it receives from donors like yourself? (Y/N)

Test: Select a particular donor and ask the above question.

Decision: If the answer to the above question is Yes, then the donor understands how Annual Fund gifts are being used to improve UM. If the answer to the above question is No, then the donor does not understand how Annual Fund gifts are being used to improve UM

CTQ #2c: Donors educated on tax incentives of giving to the Annual Fund at UM

Criteria: A donor is considered to be educated on tax incentives of giving to UM if their answer the following question is yes:

1. Do you fully understand the tax incentives of giving to the Annual Fund at UM? (Y/N)

Test: Select a particular donor and ask the above question.

Decision: If the answer to the above question is Yes, then the donor understands the tax incentives of giving to the Annual Fund at UM. If the answer to the above question is No, then the donor does not understand the tax incentives of giving to the Annual Fund at UM.

CTQ #2d: Donors understand that they can earmark gifts

Criteria: A donor is considered to understand that they can earmark their Annual Fund gifts to areas they feel are important if their answer to the following question is yes:

1. Do you fully understand that you can earmark your Annual Fund gift to an area that you feel is important? (Y/N)

Test: Select a particular donor and ask the above question.

Decision: If the answer to the above question is Yes, then the donor understands that they can earmark their Annual Fund gifts to areas they feel are important. If the answer to the above question is No, then the donor does not understand that they can earmark their Annual Fund gifts to areas they feel are important

CTQ #3: Donor is satisfied with overall UM experience

Criteria: A donor is satisfied with their overall UM experience if their answers to all of the following questions are yes:

1. Are you satisfied with the quality of education you received at UM? (Y/N)
2. Are you satisfied with the quality of the classmates you had while at UM? (Y/N)
3. Are you satisfied with the quality of the administration while you were at UM? (Y/N)
4. Are you satisfied with the quality of the facilities while you were at UM? (Y/N)

Test: Select a particular donor and ask the above questions.

Decision: If the answer to all of the questions is Yes, then the donor is satisfied with their overall UM experience If the answer to any of the questions is No, then the donor does not understand the function/intent of the Annual Fund.

CTQ #4: Overall giving process is fast and straightforward

Criteria: The overall giving process is fast and straightforward if a donor's answer to the following question is yes:

1. Do you believe the process of giving to the Annual Fund is fast and straightforward? (Y/N)

Test: Select a particular donor and ask the above question.

Decision: If the answer to the above question is Yes, then the overall giving process is fast and straightforward. If the answer to the above question is No, then the overall giving process is not fast and straightforward

CTQ #5a: High Rankings of UM's football, basketball and baseball teams

Criteria: UM's football, baseball and basketball teams are ranked in the top 25 in the Associated Press (AP) poll.

Test: Look up ranking in AP poll

Decision: If they are ranked in the top 25 of the AP poll they are deemed highly ranked.

CTQ #5b: High Graduation Rates of UM's athletes

Criteria: % of UM athletes that graduate with a degree.

Test: Look up the graduation rate (%) of UM athletes.

Decision: If the graduation rate (%) of UM athletes is greater than or equal to the NCAA average then UM athletes have a high graduation rate. If the graduation rate is less than the NCAA average then UM athletes do not have a high graduation rate.

CTQ #6: Donors understand that small gifts are very important

Criteria: A donor is considered to understand that small gifts are very important if their answer to the following question is yes:

1. Do you understand that the Annual Fund relies on gifts of all sizes and that small gifts are important because they can be pooled together to make a difference? (Y/N)

Test: Select a particular donor and ask the above question.

Decision: If the answer to the above question is Yes, then a donor is considered to understand that small gifts are very important. If the answer to the above question is No, then a donor is considered not to understand that small gifts are very important

CTQ #7: Persuading alums to give even though they think they paid a lot to attend UM

Criteria: A donor has been persuaded to give to UM even though they think they paid a lot to go to UM if their answer to the following question is yes:

1. Do you give to UM even though you believe you paid a lot to attend the University?

Test: Select a particular donor and ask the above question.

Decision: If the answer to the above question is yes, then the donor has been persuaded to give to the Annual Fund even though they believed they paid a lot to attend UM. If the answer to the above question is No, then the donor has not been persuaded to give to the Annual Fund due to the fact they believe they already paid a lot to attend UM.

CTQ #8: Proving to older alumni that the school has changed for the better since they graduated

Criteria: A donor is considered to understand that the school has changed for the better since they graduated if their answers to the following questions are yes:

1. Do you think the school has changed for the better since you graduated? (Y/N)
2. Do you still see the school as ‘Suntan U’? (Y/N)

Test: Select a particular donor and ask the above questions.

Decision: If the answer to all of the questions is Yes, then the donor understands that the school has changed for the better since they graduated. If the answer to any of the questions is No, then the donor does not understand that the school has changed for the better since they graduated.

Analyze Phase – Personal Solicitations

The analyze phase will contain the following:

1. The current flowchart for the Personal Solicitation process.
2. Best practices from industry will be studied to generate multiple alternate high level flowcharts for the Personal Solicitation process. These flowcharts will be compared and adapted to the University of Miami's Annual Fund operations.
3. A Pugh matrix will be used to select the 2 highest ranked alternative design concepts for further testing and development.
4. The stakeholders (Alumni Relations staff) of the design concepts will be surveyed to obtain their feedback on the best concept.
5. The risks of the "best" design concept will be assessed using Failure Modes and Effects Analysis (FMEA).

I – Personal Solicitations

Staff involved: Executive Director of the Annual Fund and Director of the President's Circle, Annual Fund

Personal solicitations for the purposes of this project will be defined as either face to face or telephone requests for donations to the Annual Fund at the University of Miami.

The flowcharts for Victoria Champion and Scott Siegel are presented below. Their new flowcharts will be identical as the new process will be standardized for both of them.

1. Current Flowcharts

Executive Director of the Annual Fund
Current Personal Solicitation Process Flowchart

Benchmarks Annual Fund trends and analyzes past performance

↓

Develop Annual Strategies

↓

Sets performance metrics

↓

Identifies prospects from list - people who have given $500+ in last 5 years

↓

Sets up appointments or makes phone call

↓

Does not visits non-donors unless really qualified

↓

Sends letter to confirm visit

↓

Prepares for meeting (call) - what school/college did they graduate from, take information with her from school/college, takes Annual Fund material

↓

Talk to them, thanks them for support

↓

Listens to them, they usually talk about themselves, then they ask her what's up? They know why she is there

↓

She tells them what's going on with the U, Shalala, alumni benefits etc, needs of the U

↓

Invites them to event if one is coming up

↓

Asks for gift

↓

Thanks them

Director of the President's Circle, Annual Fund
Current Personal Solicitation Process Flowchart

Looks at different lists of prospects, usually targets people with high net worth plus high consecutive giving and/or small to mid-range total giving who are either assigned to him or unassigned

↓

Uses different strategy depending on who they are, goal is to get them to join the President's Circle

↓

Sends email, letter or phone call to get appointment with the prospect

↓

Either meets with them individually or in small groups, calls them or sees them at an event

↓

Tries to find out what their giving and giving capacity is as well as their interests and whether they want to volunteer

↓

Goes over "talking points" with the prospect

- Value of their UM degree
- UM trying to break into Top 50 institutions
- Alumni Benefits & ways to get involved
- Continue cycle of giving
- Your tuition was paid by alumni
- Do you know how important your gift is?

↓

Asks them for gift and also to join President's Circle

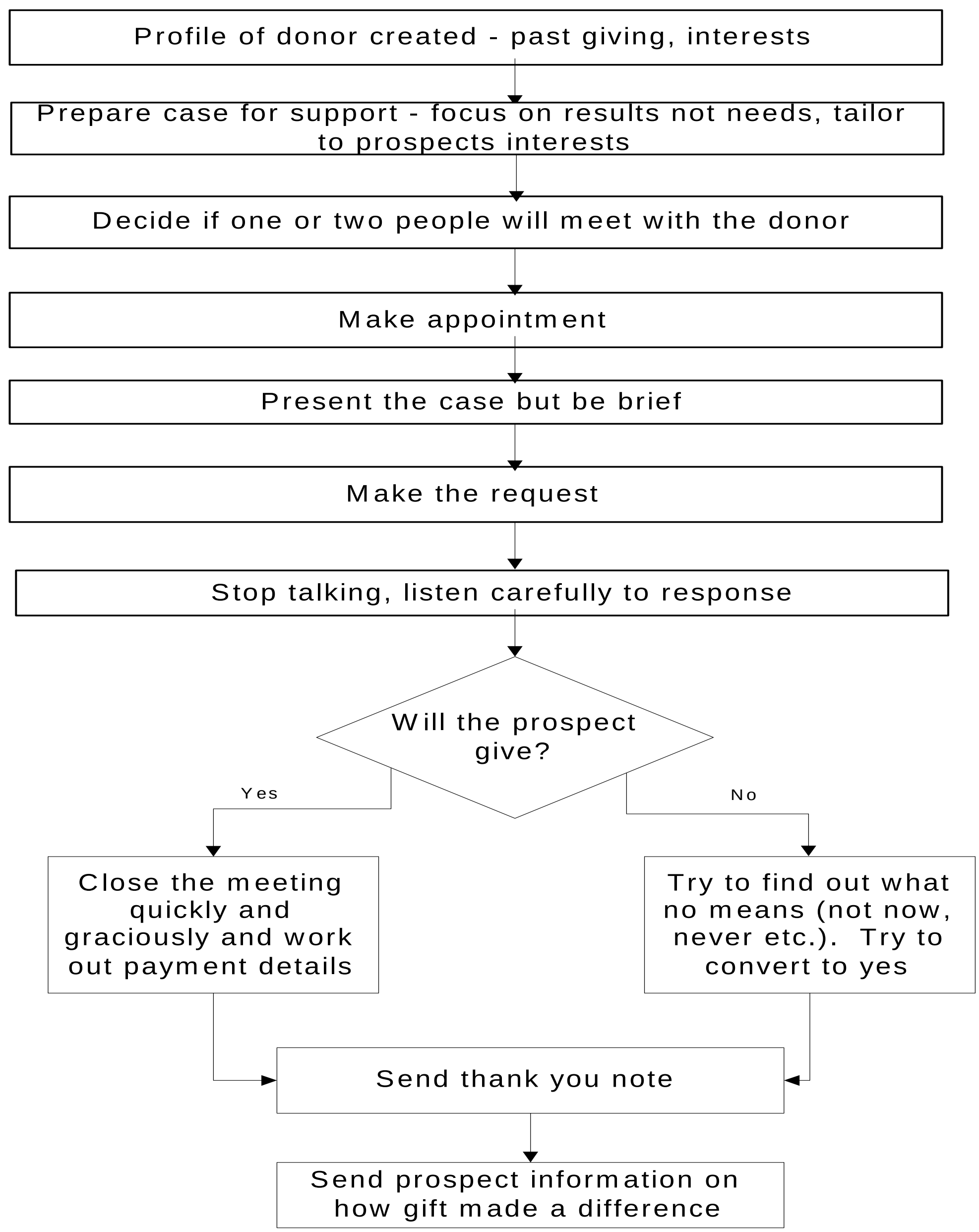
↓

Thanks them if they have given

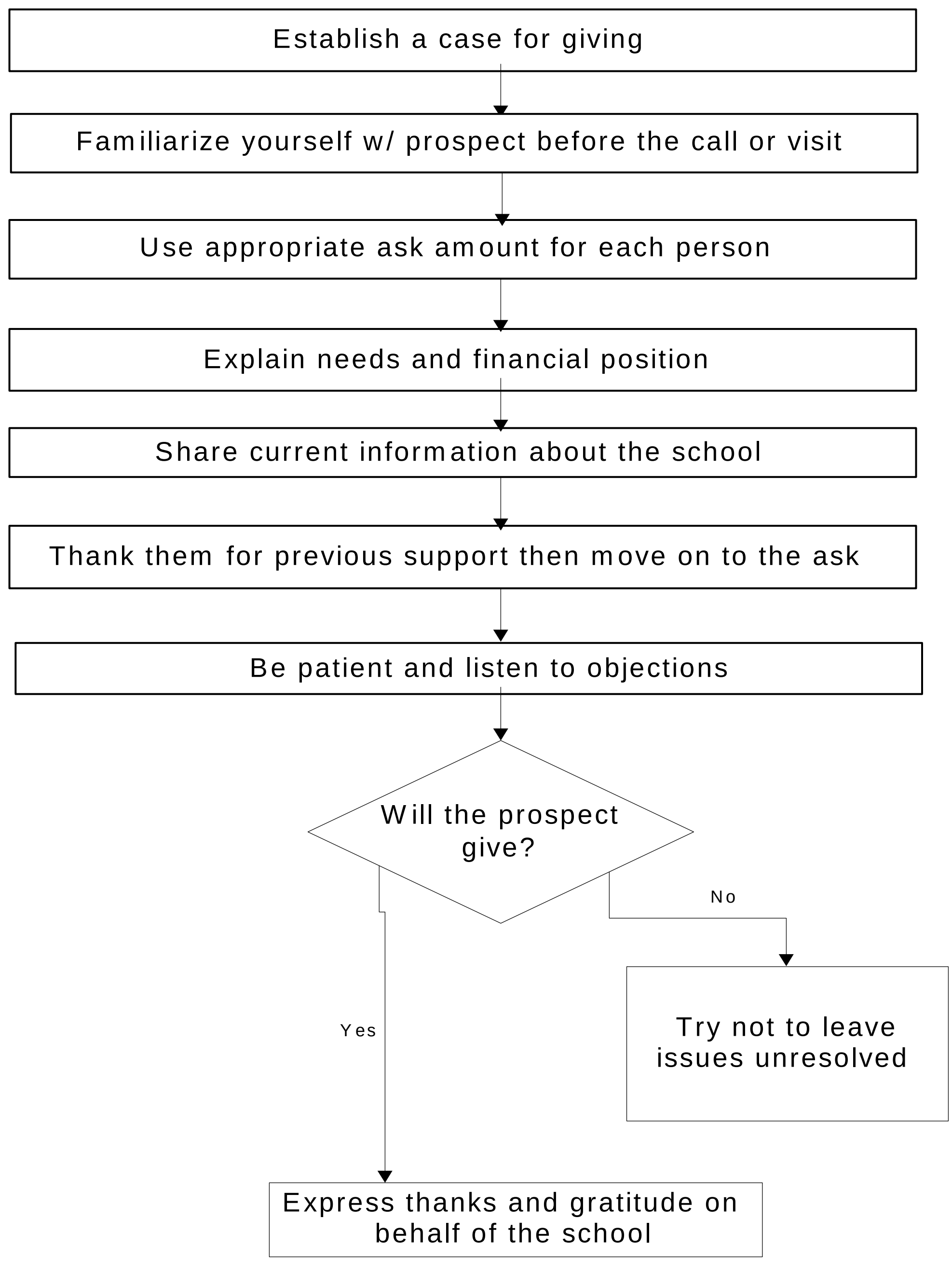
2. *Best Practice Flowcharts from Industry*

The flowcharts below were identified by benchmarking best practices from industry as well as industry literature in order to identify a more efficient and effective personal solicitation process for the Annual Fund at the University of Miami.

<u>Alternative Design #1 – Western Michigan University</u>



Alternative Design #2 – Choate Rosemary Hall Prep School



Alternative Design #3 – from The Art and Science of Personal Solicitation by Kent E. Dove

Get list of prospects

Do preliminary research before calling

Call to set appointment

Confirm in writing, send easy to read info. about plans with letter

Identify possible projects they may support

Document needs/benefits of project, prepare presentation

Opening - how to open, engage, put at ease

Questioning - Keep attention, deepen involvement

Listening, understand their position

Presenting - Talking points

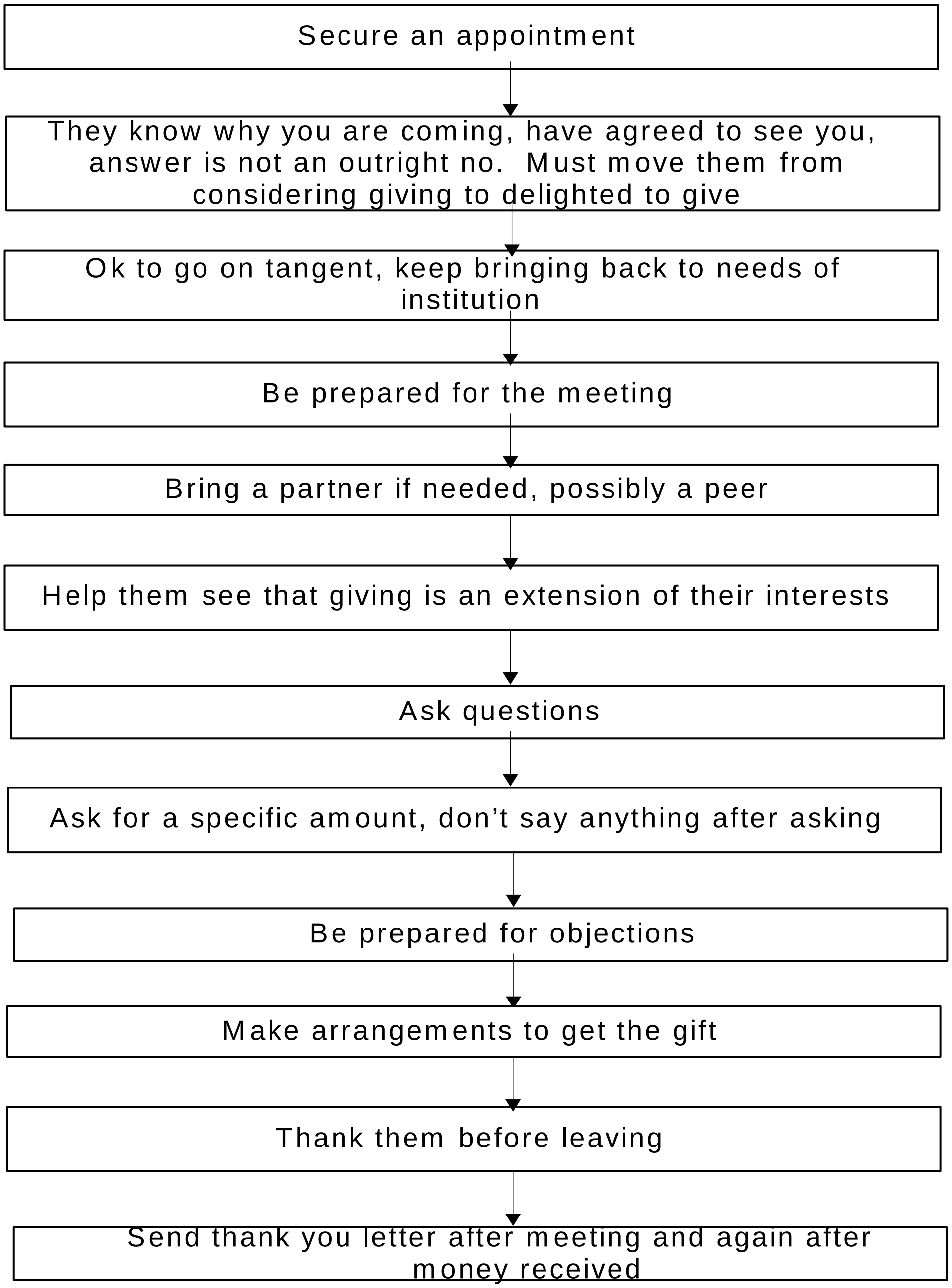
Overcoming objections

Ask for Gift

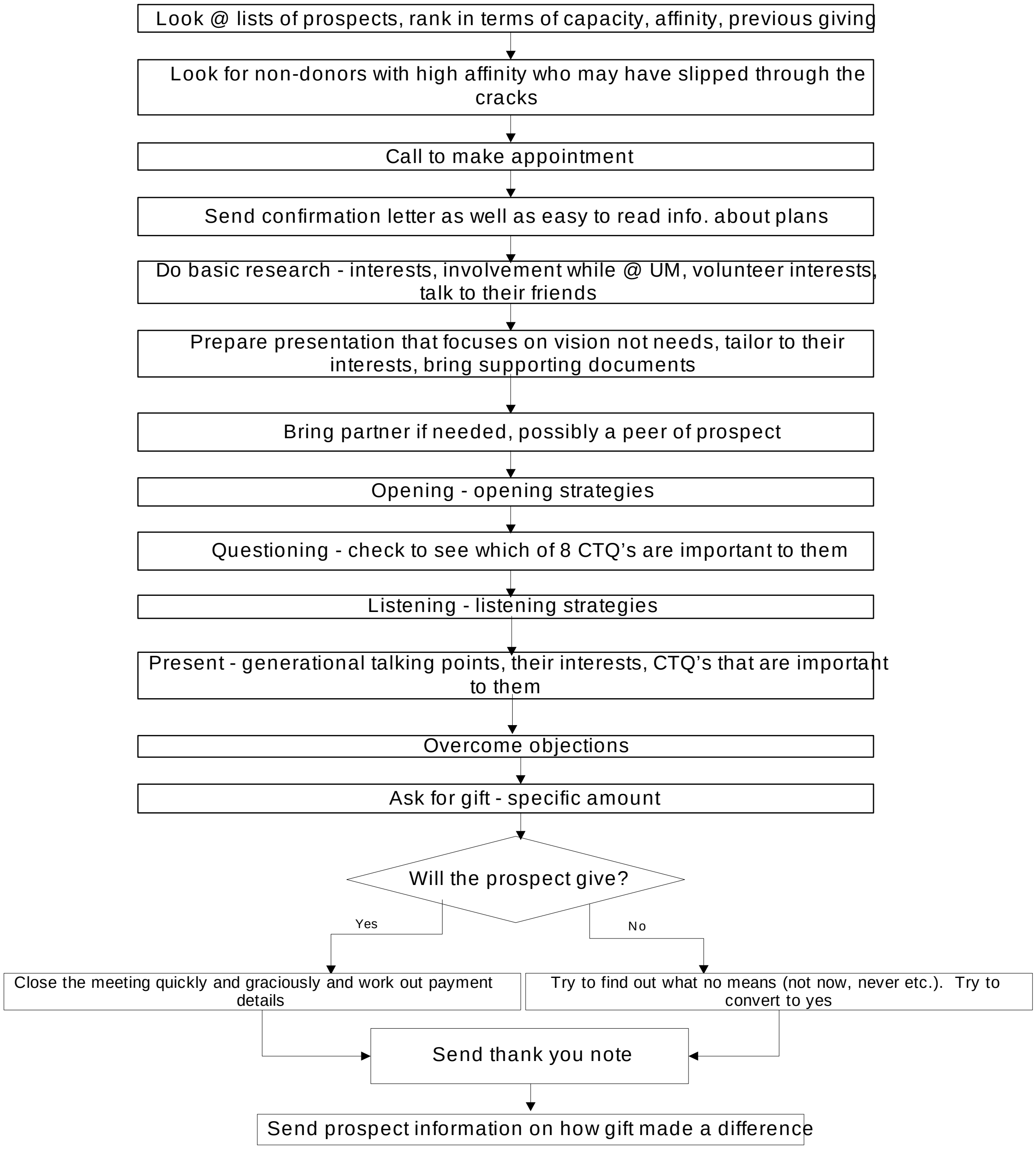
Thank prospect with letter

Document and summarize report of visit for future

Alternative Design #4 – from The Fine Art of Asking for the Gift by Kim Klein (Grassroots Fundraising Journal



Alternative Design #5 – Best-in-class flowchart which combines sections from current process, alternative designs 1-4 and other best practices from industry



3. Pugh Matrix to select 2 best alternative design concepts.

A Pugh matrix was used to select the “best” two design concepts. Column 1 lists the criteria for assessing the alternative high level design concepts shown in Columns 2 through 7. Column 1 lists the summary statistic categories for each alternative design concept at the bottom of the table. Column 2 is intentionally left blank because it is the standard or baseline design concept with which all the other design concepts are ranked in respect to each of the design criteria. Columns 3 through 7 list the rankings and summary statistics for each design concept. The cells in Columns 3 through 7 relating to the design criteria (rows) are assigned a plus (+), a same (S), or a minus (-) ranking in respect to the baseline design concept shown in Column 2. A plus (+) indicates that the alternative design concept in question is superior to the baseline concept in respect to the design criteria in question. A same (S) indicates that the alternative design concept in question is similar to the baseline concept in respect to the design criteria in question. A minus (-) indicates that the alternative design concept is inferior to the baseline concept in respect to the design criteria in question. Next the cells in columns 3 through 7 are summarized.

Clearly, Alternative Design 5 (in column 7) is the best alternative high level design concept with 7 positives and 1 same. Alternative Design 2 is the second best with 2 positives and 0 negatives.

Criteria to Evaluate Concepts	**Baseline Concept**	**Alternative Design 1 (WMU)**	**Alternative Design 2 (Choate Prep)**	**Alternative Design 3 (The Art & Science..)**	**Alternative Design 4 (Fine Art of Asking)**	**Alternative Design 5 (Best-in-class)**
Looks at customer needs/wants (Utilizes 8 CTQ's)	All concepts are evaluated in respect to the baseline concept	S	S	S	S	+
Effect of concept on organizations strategy		S	S	+	S	+
Uses capacity, previous giving to rank donors		S	-	-	-	+
Focuses on results of giving not needs of institution		+	-	-	+	+
Looks at affinity with organization to predict inclination		S	S	S	S	+
Uses generational talking points		S	S	S	S	+
Prepared for the meeting		S	S	S	S	S
Objection handling		+	+	+	+	+
Sum of "+"s		2	1	2	2	7
Sum of "-"s		0	2	2	1	0
Sum of "S"s		6	5	4	5	1

4. Stakeholders surveyed on best alternative design

The stakeholders were met with and they agreed that alternative design is #5 (Best-in-class). They were given the opportunity to add or delete anything from the flowchart and a few minor changes were made.

5. Assessment of risks associated with best alternative design using FMEA

Risk Elements	Failure Mode	Likelihood of Occurrence	Severity	Likelihood of Detection	RPN	Action	Likelihood of Occurrence	Severity	Likelihood of Detection	RPN
Prospect not interested in case being made by solicitor	Will not give	7	8	1	56	Do research beforehand to find projects they are likely to support	1	8	1	8
Prospect has objections to giving	Will not give	8	9	1	72	Objection handling strategies devised	1	8	1	8
Prospect does not want to hear about needs and Annual Fund goals	Will not give	9	9	8	648	Focus on vision and what money will be used for	1	8	2	16
Ask prospect for wrong amount of money	Fail to maximize the gift	9	8	10	720	Create model to ask for the proper amount	2	8	5	80
When a prospect says 'no' does it mean never or just not today?	Possibility of future gifts	7	8	7	392	Question to ask the prospect to figure out what 'no' means	2	2	2	8
Not satisfying prospects needs	Will not give	9	9	7	567	Create a mechanism for the solicitor to be able to figure out which of the 8 CTQ's are important to the prospect	1	2	3	6

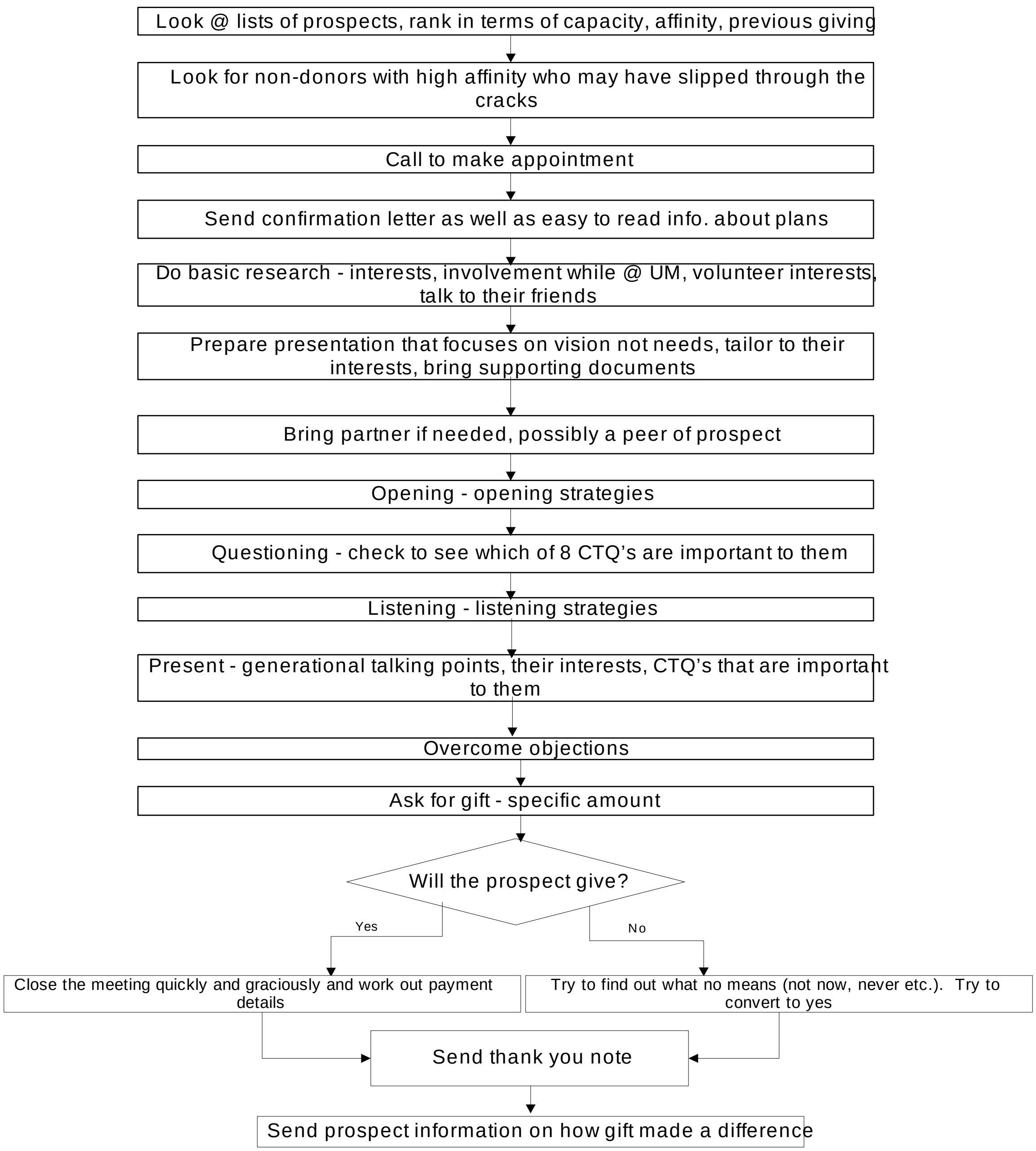
IV - Optimize the Total Life Cycle Cost of the Design

The total life cycle cost of the design is zero as all the research and design will be done by the Black Belt.

V - Develop a Process Model for the Best Design

The process models for the best design will be the best flowchart for personal solicitations. In the Design phase each part of each of the flowcharts will be examined and we will determine how to best accomplish what needs to be done to maximize each part.

i. Personal Solicitations Process Model



Design Phase – Personal Solicitations

In the Design phase each part of each of the best practice flowchart will be examined and we will determine how to best accomplish what needs to be done to maximize each part.

The following parts of the personal solicitation process have been identified as those that will be designed:

1. Research checklist project
    - Create a research checklist that the fundraisers can complete before meeting with a donor (input into presentation model project)
2. Appointment process project
    - Create process to make appointments to see prospects
    - Create pre-meeting solicitation packages to be sent before meeting
    - Create data/tracking plan to measure success
3. Presentation model project (preparation)
    - Pre-Presentation Strategy form
    - Create opening strategies to put prospect at ease, Non-verbal communication, Recognition of temperament styles
    - Create model for listening strategies
    - Persuasion techniques
    - Closing techniques
    - Create specific objection handling strategies

After completing a large amount of research the following best practice training manual was created.

Annual Fund Personal Solicitations Training Manual for Fundraisers

Table of Contents

1. *Performing research on the prospect*

Objective
To get a clear understanding of the prospect's financial capacity and affinity to the University of Miami for the purposes of soliciting an Annual Fund gift of $1,000+ as well as getting them involved in activities surrounding UM.

How to get a research report on the prospect
Log into the AIM Annual Fund Research Report and enter the C# of your prospect and click 'View Report".

The Annual Fund Research Report will look like the following example:

PROSPECT RESEARCH REPORT

DEMOGRAPHIC INFORMATION

Name: John Smith
C#: C00463552
Address: 123 Ibis Lane, Miami FL 33156
Geographic Club Code: CGBL

Degree and Grad Year: BBA '91
School/College: School of Business
Market Segment: Young Alumnus

AFFINITY TO GIVE

Giving History: Gave 10+ years ago or Have never given
Amount given if gave 10+ years ago: $5000
Fraternity / Sorority member: Y
Alumni volunteer Y
Iron Arrow N
Alumni Club member: Miami
Hurricane Club member: Y
UM Board member (any board): Y

# of events attended at UM: 5
Affinity Rating (1-8, 8 being highest affinity): 4

CAPACITY TO GIVE

Estimated household income: $125,000
Real Estate: $900,000
Owns own business: N
Direct mail responder: Y

OTHER

Interests: <fundraiser fills this in>
Relationships of note: <fundraiser fills this in>
Google search results: <fundraiser fills this in>

RECOMMENDATION (circle one)

Personal solicitation prospect
Telemarketing prospect
Direct Mail prospect

AREA PROSPECT MOST LIKELY TO GIVE TO (circle one)

School/College	Athletics
Scholarships	Alumni Center
Fraternity/Sorority	Student Affairs
Other, specify:________________________	

2. *Securing the appointment*

a. The appointment making process

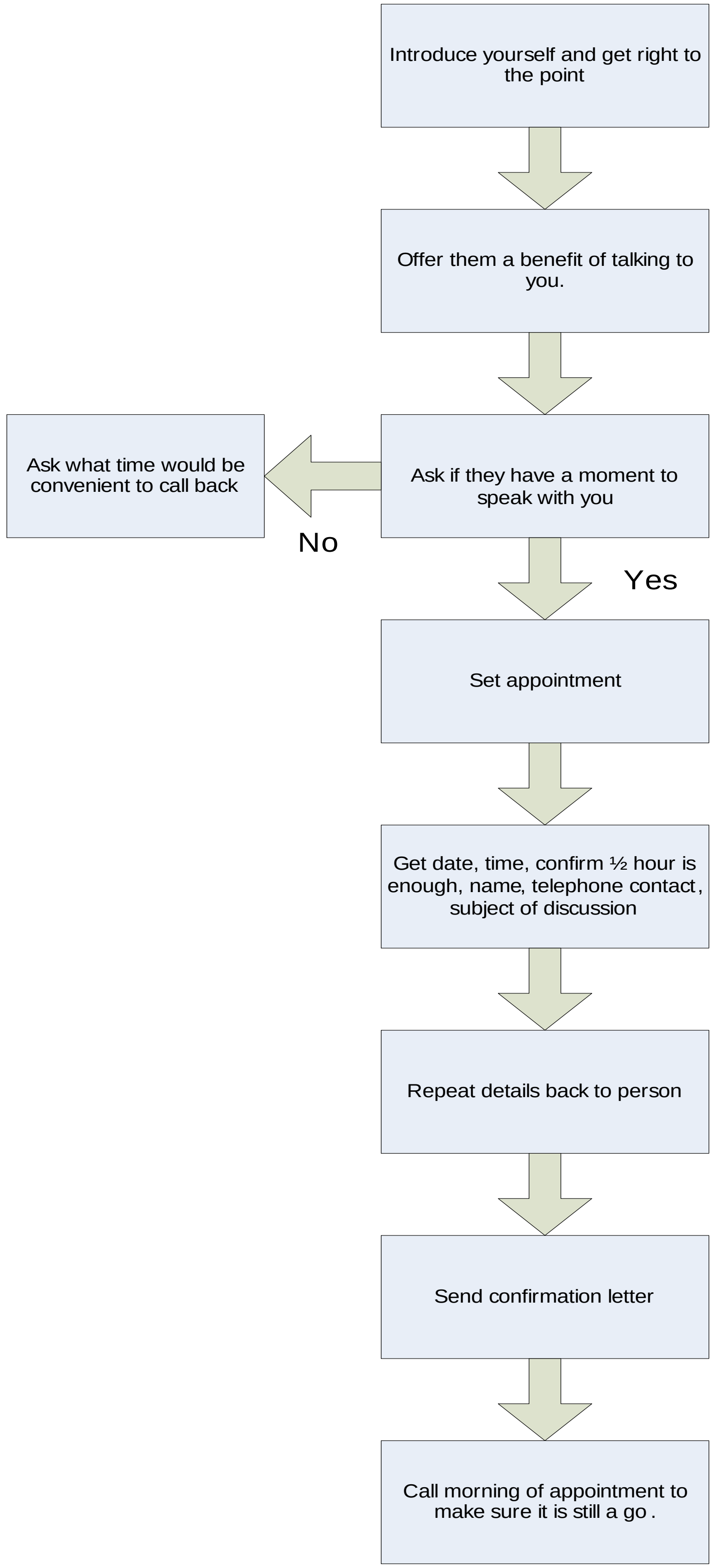
i. **Send information** package to prospect to prime them for the call or make face-to-face appointment. (x days ahead of the call)

ii. Person who has the **best contact** with the prospect should make the appointment (Annual Fund solicitor, alumni volunteer, faculty or staff member etc.)

iii. **The Call** - Script should be created but caller must speak from the heart in a natural tone rather than read the script word for word.

1. **Introduce yourself** and get right to the point that you would like to meet with them regarding giving to UM
2. **Offer them a benefit of talking to you**. For example "I'd like to discuss how you can become a part of President Shalala's vision for UM"
3. **Follow that up** by asking "Do you have a moment to speak to me?" If yes set appointment, if no ask what day and time would be convenient for you to call back and continue your conversation.
4. Accomplish your goal by **setting up a meeting**. Suggest sitting down together to discuss the options at this point. The following are the questions you need to ask anyone who agrees to make an appointment:
   i. Day
   ii. Date
   iii. Time
   iv. Confirm 30 minutes is enough time (set aside 1 hour)
   v. Name
   vi. Telephone Contact
   vii. Subject of discussion
5. Once you have this information, when finalizing the appointment, **repeat the details** back to the person.
   EXAMPLE: "Mrs. Smith, we'll see you on Tuesday, 1st May at 11.30am"
6. Send a **confirmation letter** and call the morning of the appointment to make sure it is still a go.
7. **Complete form** to keep track of 'hit rate' on AIM
   - The number of phone calls each rep makes (X)
   - The number of call backs that need to be made from today's activity (X)
   - The number of times screened out by secretaries (X)
   - The number of times sellers are put into voice mail.(X)
   - Number of people who give three "No's" (X)
   - The number of appointments set (Y)

<u>**Personal Solicitation Appointment Making Process**</u>



b. Complete AIM form to keep track of appointment "hit rate"

i. Encrypted ID of prospect called
ii. Approximate time called
iii. Phone answered (Y/N)
iv. Call back needed (Y/N)
v. Screened out by secretary (Y/N)
vi. Put into voice mail (Y/N)
vii. Person gave caller three "No's"
viii. Appointment set (Y/N)

3. *Meeting with the prospect*

a. Complete Pre-Presentation Strategy Form

The Pre-Presentation Strategy Form will be completed prior to your meeting with the prospect after successfully completing research on the prospect and securing an appointment with the prospect.

Numerous interviews face to face interviews were conducted with alumni non-donors. From these discussions eight critical to quality characteristics came up as important issues to them in the giving process. Your prospect may consider some or all of these characteristics when deciding whether or not to give to UM. It is your job to figure out which ones apply before and during the meeting to 'close the deal'. If you are able to have an idea of those elements that are most important to the prospect before meeting with them your chances of success will rise dramatically.

The form will be available for download from the AIM Personal Solicitations web page and will look as follows:

Pre-Presentation Strategy Form
1. What is your vision for this prospect and where do you see it going?
2. The following 'Critical to Quality' elements may be important to this prospect (check those which apply) ☐ CTQ #1 - UM has a high national ranking ☐ CTQ #2 - Potential donors know: (1) the purpose of the Annual Fund, (2) how their donations are being used, (3) possible tax incentives of giving, and (4) about earmarking gifts? ☐ CTQ #3 - Potential donors had a positive experience at the University of Miami (including quality of education/classmates/administration/facilities and improvement of the institution through the years). ☐ CTQ #4 - It is easier, quicker and more effortless for potential donors to give to the Annual Fund. ☐ CTQ #5 – UM's athletic teams are successful and have a positive image. ☐ CTQ#6 - Being able to communicate to alumni who are not in an optimal financial position (still repaying student loans or otherwise) that their small gift to the Annual Fund can still make a difference. ☐ CTQ #7 - Figuring out a way to counter the perceived notion from alumni that they don't want to give b/c they already paid a lot to attend UM ☐ CTQ #8 – Some alumni have been disconnected with the University so it is important to be able to demonstrate to alumni that UM is not the same 'Suntan U' that they attended, that the school is much better now.
3. Based on research and presentation preparation, these are the three choices I will give the prospect in terms of designating their gift: i. ii. iii.

b. Opening the meeting

Opening is a time to exchange pleasantries and engage in meaningful interaction not directly related with the purpose of the visit.

There are 5 universally common themes for opening discussions that are tried and true:

1. The weather
2. Family and friends
3. Business associates, acquaintances, or situations
4. Current events – international, national, local, sports, business, social, cultural
5. Golf

Your primary goal in opening is to put the prospect at ease, build rapport and engage them. It is CRITICAL that you involve the prospect in what you are saying. One of the best ways to do this is to ask them questions and having them talk about their favorite topic – themselves!

Do not talk *to* the prospect, talk *with* the prospect. The key is to involve the prospect, involve them and above all talk about their accomplishments.

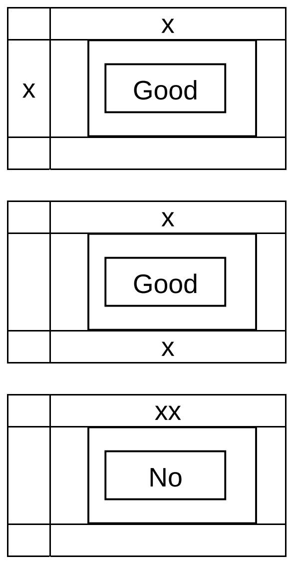
Make your opening as dynamic and engaging as possible.

c. Non-verbal communication

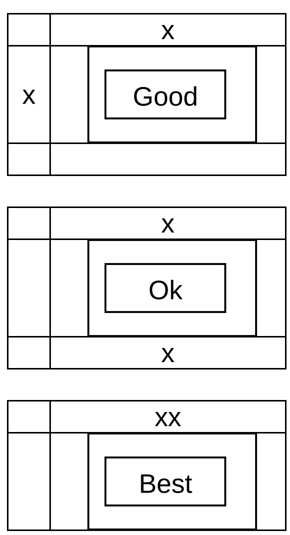
A very important yet overlooked part of the solicitation process is proxemics which can be defined as "the measurable distances between people as they interacted". During your personal solicitation you want the prospect to be as comfortable as possible in your presence. Study the diagrams below to learn where you should sit or stand in different circumstances.

Proxemics - Where to sit:

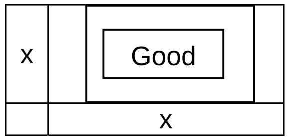
Rectangular tables, if you seek conversation:

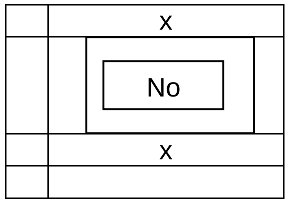


Rectangular tables, if you seek cooperation::



Square tables, if you seek conversation or cooperation::





Proxemics - Where to stand (Informal space):

- Men influencing men - 3ft to 6 ft range
- Women influencing women – 1.5 ft to 4 ft range
- Women influencing men – 1.5 ft to 4 ft range
- Men influencing women - 2 ft to 8 ft (depending on feedback)

Using touch in persuasion

Touch, when done properly can also be used effectively in personal solicitations. Study the rules below to learn how to use touch more effectively.

Men by Men	**Women by Women**
Hand	Hands
Shoulder	Forearm
Forearm	Upper arm
Upper arm	Knee
Women by Men	**Men by Women**
Hands	Virtually entire body
Forearm	

- Use touch right before your key point
- Take pointer finger and middle finger and touch forearm of prospect
- Hold for one to three seconds while looking at him or her in the eye and ask for agreement
- If it was effective the first time the exact repetition will most likely trigger a positive response when asking for the donation

d. Recognition of Temperament Styles

People fall into one of 4 categories: aggressive (worker), expressive (talker), passive (watcher) or analytical (thinker). During your next presentation, make an effort to identify the temperament style you are presenting to and use as many of these emotionally charged words as possible.

Aggressive (worker)	**Expressive (talker)**	**Passive (watcher)**	**Analytical (thinker)**
• *Control*	• *Fun*	• *Support*	• *Safe*
• *Flexibility*	• *Entertaining*	• *Service*	• *Scientific*
• *Work*	• *Creative*	• *Family*	• *Proven*
• *Bottom line*	• *Friendly*	• *Harmony*	• *Value*
• *Power*	• *Simple*	• *Dependable*	• *Learn*
• *Challenge*	• *Incredible*	• *Caring*	• *Guaranteed*
• *Speed*	• *Exclusive*	• *Cooperation*	• *Save*
• *Money*	• *Improved*	• *Helpful*	• *Bargain*
• *Functional*	• *Prestige*	• *Easy*	• *Economical*
• *Results*	• *New*	• *Sincere*	• *Quality*
• *Goals*	• *Ultimate*	• *Love*	• *Logical*
• *Options*	• *Spontaneous*	• *Kindness*	• *Reliable*
• *Quickly*	• *Exciting*	• *Concern*	• *Accurate*
• *Freedom*	• *Enjoyable*	• *Considerate*	• *Perfect*
• *Immediately*	• *Cash*	• *Gentle*	• *Security*
	• *Adventure*	• *Relationship*	• *Precise*
			• *Efficient*

e. Listening Techniques

Part #1 – Listening Strategies

1. Be aware of your choices in the conversation

The following chart shows a series of choices that you face in conversation starting with the most basic: whether to talk or listen. Your mission is to identify, and support, your goals for having this particular conversation in the first place:

You talk.	**Do you focus?**	**No.** Say what comes to mind. **Yes.** Take a moment to structure what you are going to say. Decide how much detail to go into. If you are going to say a lot, it will help both you and your listener(s) to briefly summarize what you plan to say and list your sub-points first. If you aren't certain what structure works best, try clarifying before you start.
	Do you clarify?	**No.** Use your best guess about what's important to them and what they already know. (But beware of rambling and pedantry.) **Yes.** Ask whether they want to hear what you want to say. (If someone starts looking uninterested or upset while you are talking, try clarifying.)
You listen.	**Do you listen attentively?**	**Yes.** Take steps to minimize distractions. Think and react, verbally and using body language, to help synchronize yourself with the person talking. **No.** You can either… …**half listen**, and think about or do something else at the same time, with the risk that you will offend them and/or miss part of what they are saying; or …**ask to reschedule** the conversation to a better time for listening.

a. Talk or listen

Never assume you should talk more. Although it's counterintuitive to many people, in leadership, customer relationship building, negotiating, and virtually every other vital business function, skillful listening is often more valuable than talking.

You can ask. If you aren't sure whether to talk or listen, you can always ask them which they would prefer, whether they would like to talk or listen to something you are ready to say. (This is the subject of clarifying, below.)

Make an effort to share the floor. If you think you have been talking too much, you can make an effort to give them a turn by asking them a non-leading question, then listening attentively to their answer.

When the conversation lags, refocus. If they aren't talking, and you don't know what to say next, but your goals for the conversation haven't been reached yet, there are two safe ways to continue. First, you can simply ask the other person what else they want to say about the topic being discussed. Second, you can propose to talk more about a relevant topic, and ask them if they want to talk with you about it.

b. Focus or clarify

To be most effective, take a moment to plan before you speak. Have you a mental outline of what you are going to say, including the point you are going to make and any background you need to fill in.

Before you speak you may choose to **focus** what you are going to say, by using an appropriate structure and an appropriate level of detail. How much or how little do you need to say to accomplish the purposes of this conversation (for example, exchanging information, developing your relationship, building motivation)?

You may also decide to **clarify** what topics and background are important to your listeners before going ahead. It's worth remembering that people use the word "rambling" to describe someone who talks about things that aren't important, and the word "pedant" to describe someone who lectures them about something they already know. Also keep in mind that many people feel threatened or embarrassed if you assume that they know something that they don't

<u>Part #2 – How to Listen</u>

1. Total listening

Rogers and Farson (1979) describe active listening as 'an important way to bring about changes in people.' They recommend three activities:

- *Listen for total meaning*: Listen both for content and also for the underlying emotions.
- *Respond to feelings*: Sometimes the real message is in the emotion rather than the surface content. In such cases, you should respond to the emotional message.
- *Note all the cues*: Not all communication is verbal, so watch for the non-verbal messages.

2. Leave your ego at the door, let them have the limelight

If you assert your own position at every opening in a conversation you will eliminate many of the potential benefits of listening. In particular, people you are talking with will not feel respected by you, their thinking and brainstorming will be inhibited, and they may even withhold important information out of caution--or out of anger.

Wait until they finish making their points before you speak. Don't interrupt, even to agree with them, and don't jump in with your own suggestions before they explain what they have already done, plan to do, or have thought about doing. This includes being aware enough to stop yourself from doing any of the following:

- making critical or judgmental faces or sounds;
- trying to "fix" their problem with a quick suggestion;
- interrogating them to make them answer a question you have about their situation;
- trying to cheer them up or tell them things aren't so bad;
- criticizing them for getting into their situation;
- telling them what you would do or have done in the past.

All of these responses interrupt what they are saying or change the direction of the conversation before they have an opportunity to get to their point. The first thing people bring up when they have something to say often ISN'T the central point they will eventually make, whether they know it or not. Listening carefully for a while first gives the talker and the listener both a chance to develop an understanding about what exactly the issue is.

3. Do not multi-task, give them your full attention

By not multi-tasking you:

- Will listen to everything they say
- Will gain valuable verbal cues about their intent, confidence level and commitment level
- They will know you are giving them your full attention

4. Recap and repeat

Excellent listeners practice and are adept at recapping the facts and level of importance in just a few words. By repeating or recapping what they say every so often you show them that you are paying attention and are in tune with what they are saying.

5. "Connect" with them by using connecting words

At points in the conversation where it may help use words that show you are connecting with what they are saying, such as "uh huh", "OK", "yeah", "I get it", etc.

6. Body Language Do’s and Dont’s

Do:

- Sit up straight, and lean slightly forward in your chair. In addition to projecting interest and engagement in the interaction, aligning your body's position to that of the interviewer's shows admiration and agreement.
- Show your enthusiasm by keeping an interested expression. Nod and make positive gestures in moderation to avoid looking like a bobble head.
- Establish a comfortable amount of personal space between you and the interviewer. Invading personal space (anything more than 20 inches) could make the interviewer feel uncomfortable and take the focus away from your conversation.
- Limit your application of colognes and perfumes. Invading aromas can arouse allergies. Being the candidate that gave the interviewer a headache isn't going to do anything in your favor.
- If you have more than one person interviewing you at once, make sure you briefly address both people with your gaze (without looking like a tennis spectator) and return your attention to the person who has asked you a question.
- Interruptions can happen. If they do, refrain from staring at your interviewer while they address their immediate business and motion your willingness to leave if they need privacy.
- Stand up and smile even if you are on a phone solicitation. Standing increases your level of alertness and allows you to become more engaged in the conversation.

Don't:

- Rub the back of your head or neck. Even if you really do just have a cramp in your neck, these gestures make you look disinterested.
- Rub or touch your nose. This suggests that you're not being completely honest, and it's gross.
- Sit with your armed folded across your chest. You'll appear unfriendly and disengaged.
- Cross your legs and idly shake one over the other. It's distracting and shows how uncomfortable you are.
- Lean your body towards the door. You'll appear ready to make a mad dash for the door.
- Slouch back in your seat. This will make you appear disinterested and unprepared.
- Stare back blankly. This is a look people naturally adapt when they are trying to distance themselves.

<u>Part #3 – Asking the right questions</u>

1. **Re-stating and non-leading questions**

   The simplest way to ask a question without derailing someone who is right in the middle of saying something is to restate what the talker just said, then make a non-leading request for more information.

   Examples of non-leading questions:
   - What do you think about this?
   - What would **you** do about this?
   - What's most important about this?

- **Situations to use non-leading questions**

  - the prospect stops talking before you think they've really finished;
  - the prospect changes the subject;
  - the prospect keeps repeating themselves;
  - the prospect presents options without recommending one in particular;
  - the prospect doesn't offer, but you want their opinion;
  - the prospect looks upset, but doesn't volunteer why.

- **Understanding where they are coming from**

  When the prospect you are listening to uses a new or unfamiliar word or phrase, it's important get clarification quickly. Listening with clarity makes a difference both to your understanding of what is being said and the talker's experience of being listened to.

- **Asking questions to see which "critical to quality" characteristics apply to them**

  In the face to face interviews conducted with alumni non-donors 8 critical to quality characteristics came up as important issues to them in the giving process. Your prospect may consider some or all of these characteristics when deciding whether or not to give to UM. It is your job to figure out which ones apply before and during the meeting to 'close the deal'. The 8 'critical to quality' characteristics are as follows:
  - UM has a high national ranking (ie. US News & World Reports)
  - Potential donors know: (1) the purpose of the Annual Fund, (2) how their donations are being used, (3) possible tax incentives of giving, and (4) about earmarking gifts?

- Potential donors had a positive experience at the University of Miami (including quality of education/classmates/administration/facilities and improvement of the institution through the years).
- Potential donors had a positive experience at the University of Miami (including quality of education/classmates/administration/facilities and improvement of the institution through the years).
- UM's athletic teams are successful and have a positive image.
- Being able to communicate to alumni who are not in an optimal financial position (still repaying student loans or otherwise) that their small gift to the Annual Fund can still make a difference.
- Figuring out a way to counter the perceived notion from alumni that they don't want to give because they already paid a lot to attend UM

  Some alumni have been disconnected with the University so it is important to be able to demonstrate to alumni that UM is not the same 'Suntan U' that they attended, that the school is much better now.

f. Persuasion Techniques

Due to the usefulness of influence, persuasion techniques have been studied and observed since ancient times, but social psychologists began formally studying these techniques early in the 20th-century. The goal of persuasion is to *convince* the prospect to internalize the persuasive argument (to give to the Annual Fund) and *adopt* this new attitude as a part of their core belief system.

This section is broken up into seven parts: power words, time-pressuring techniques, credibility, secrets, future pacing, hypnotic language patterns and other techniques.

Your challenge will be to learn how to figure out which of the following persuasion techniques will work best on the prospect you are meeting with.

1. Power words

a. The name

The most powerful word on the face of the earth is our own name!

Studies have shown that using a person's first name at the very beginning or end of a sentence, the likelihood of persuading that person is *drastically* increased!

Calling a person "Mr. Johnson" or "Mrs. Smith" makes you come across as a pitchman, the effect is negligible and often hurts the presentation.

b. Please and thank you

We were taught when we were young that we will get something if we say 'Please' and once we have it to say 'Thank you'. Therefore when those words are used in communication they carry a high impact.

For example:

"Thanks for seeing me today Michael" or
"Please give my proposal every consideration, Nancy"

c. Because

Ellen Langer, a Harvard social psychologist, performed a fascinating experiment in 1977. She asked a favor of people waiting in line to use the library's copy machine.

When she asked, "Excuse me, I have five pages. May I use the machine, *because* I am in a rush?" 94 percent let her move ahead in line!

When the request was phrased without those last five words only 60% let her move ahead in line.

When she asked "Excuse me, I have five pages. May I use the machine *because* I have to make some copies" 93 percent let her move ahead with no other reason than because!

Using the word *because* is very powerful in the persuasion process!

2. Time-pressuring techniques

Some people are slow at making decisions on whether or not to give so it is important to move this process along. Nonprofits are very good at using time-pressure techniques. Many times they send the message that if you don't contribute now that deaths of young children, adults and even the environment can occur. If you give today, everything will be ok, but tomorrow may be too late.

This may be a little extreme for our purposes but you get the point. Your message may be that President Shalala is moving ahead with her initiatives at warp speed and the money is needed now for her to accomplish her vision.

Other time pressuring techniques may include:

- End of calendar year for income tax purposes
- End of fiscal year for alumni participation purposes

3. Credibility

Credibility is in the eye of the prospect, never tell them more than they can believe. The persuasion law that relates to credibility is the "law of friends". The law of friends states *"When someone asks you to do something and you perceive that person to have your best interests in mind, and /or you would like him to have your best interests in mind, you are strongly motivated to fulfill that request"*

Some other interesting points regarding credibility are:

- You may want to point out a negative aspect of why they may not give and then give them a reason why that may not be true. You will disarm them from trying to find negatives, letting them focus on benefits. For example you can say, *"Our market research has shown that many people do not give because they don't realize that they can specify a specific area t give to. However we have been trying to do a better job of marketing the different areas to which they can give."* – pulling out a list of different giving opportunities and highlighting ones they may be interesting in based on your research on the prospect.
- Being precise is also very important. Instead of saying roughly 2 million was used for scholarships last year you should give the exact amount, 1.89 million was used for scholarships last year. People may question the 2 million but 1.89 million sounds exact and would not be questioned thus adding to your credibility.
- Written documentation coming from objective parties is also very important to gain credibility. Getting testimonials or references from alumni who have given and who have nothing to gain from the transaction is a HUGE credibility booster. Also, testimonials from students who have benefited helps tug at their heartstrings.
- Another disarming technique is the following, telling them that whether or not they give is ok with you. It's either going to make a big difference to them or it isn't, if it is they should give if not they shouldn't. This is a completely disarming technique which will bring all of their defenses down and they will perceive you as a professional and credible person.
- The importance of the solicitor giving themselves. It is hard to ask someone to give if you have not made a donation yourself!

4. Secrets

People LOVE secrets, it is human nature. When you share a secret with a prospect it earns you a degree of trust from which you can build upon.

For example:
- “I shouldn’t be telling you this but………..”
- “Between you and I…….”
- “Off the record, I think you should know……..”

These type of statements are telling your prospect that you don’t mind confiding in them which often generates reciprocal behavior and open up the lines of communication.

5. Future pacing (also known as ‘Assuming the Gift’

A good fundraiser is always closing. Future pacing involves making statements which assume your prospect is going to give. If they agree to this you should try to close right away instead of talking too much and putting skepticism into their mind.

For example:
- “If you like giving to this area would you also be interested in giving to another similar area?”

6. Hypnotic language patterns

a. Might and maybe

Might and maybe are used to soften the persuasion process. People do not like to hear demanding words because it makes them feel like they are taking orders which they resent. Using might and maybe helps persuade people in a more gentle and effective way.

For example:
- “You might want to consider giving to one of these areas”
- “Maybe you’d like to increase the amount you gave last year?”
- “You might want to consider giving to the new facilities project at Athletics”

b. Assumption of the obvious

When we give people credit for knowing something that they do not they usually do not correct us. They will let us believe they are smarter than they really are. You may have even had this happen to you, think about it.

By integrating this technique into the persuasion process in a very elegant manner we are giving ourselves a nice little advantage over the prospect.

For example:

- "I am sure you already know how many students will benefit from your gift."
- "You probably already know how much of a difference your gift will make to the School of Music."

c. The truth

Prospects want to know if you are being truthful with them. If you believe the same things they do, they will assume you are telling the truth. So the idea here is to get the person to say "Yes, yes, yes, yes, yes" and then ask them for what you want.

For example:

- I know you were involved in students affairs as a student – "Yes"
- I am sure you will agree this is a very important area at UM – "Yes"
- You probably know that many of the programs and facilities you enjoyed as a student were paid for by alumni such as yourself – "Yes"

(and therefore)

- You might want to give to student affairs at UM so current students can enjoy the activities you did.

7. Other techniques

a. Ask Levels (also known as "Door in the face")

You make a request that is at the highest capacity level of the prospect. If they give you win, if not you can ask for a gift at the next giving level that they are more likely to accept.

For example, "Will you donate $5000 to the new Alumni Center?" (response is no)
"Well then how about $1000, then what level would be most comfortable for you?"

b. Repetition principle

If something happens often enough, I will eventually be persuaded

Use friendly repetition to create familiarity and hence liking. Use it to help the other person remember the things you want them to remember. And whilst you are at it, associate the repetition with a trigger that can re-stimulate good feelings.

Some people have a greater or lesser number of times something needs to happen for them to be convinced. Find out this number by discussing with them times in the past when they became convinced.

c. Using evidence

Evidence is a great persuader and when used with care can be a big boost to your fundraising efforts:

Evidence is beneficial when:

- It is simple and easy to understand
- The prospect does not know you thus limiting your credibility
- It is information the prospect does not know
- It confirms their own perceptions/feelings
- The prospect is rigid and thus persuaded highly by facts

d. Authority principle

Know as much about UM and the Annual Fund as possible, become an expert! People defer to experts for advice and studies have shown that people tend to look for visual cues -- dress, title, status, gadgets -- as principles of authority.

For example, a study showed people are 350 percent more likely to follow someone wearing a business suit across a busy street than someone wearing a construction uniform.

f. Consensus principle

A public relations firm completed a study in 2003 that found 68 percent of respondents said a person similar to them would be most credible. This number tripled in 2006. And, many was found to be better than one.

Testimonials of many similar prospects helps build consensus with donors.

e. Likeability principle (People give to people!)

People give to organizations and people that they like. It is very important to come across as likeable and probably even more important that you come across as liking them!

Finding similarities, offering praise, asking about loved ones, showing up early just to talk about life are all great ways to use this principle.

g. Closing the Deal!

One of the most important stages of personal solicitations is C*losing the Deal*, which is the actions taken by the fundraiser to gain agreement to give to the Annual Fund. There are many closing techniques in fundraising, which are prescribed actions that fundraisers take to persuade the prospect to make the necessary commitment.

However, before Closing the Deal you must look for signs that the prospect is ready for you to close such as:

- They slow the pace of the conversation down. The prospect is likely rationalizing or making their final analysis of their giving decision.

- They speed the pace of the conversation up. The prospect is very excited and wants to give now.

- They suddenly start asking lots of questions. The prospect asks questions about things that interest them.

- They ask general questions about giving. They already know where they want to give as you have talked about specifics. Now they want to find out about giving in general: how to give, when etc.

As soon as you have identified one of the above signs that the prospect is ready to close you must choose the closing technique that you feel is appropriate for that situation.

Some popular techniques used successfully by fundraisers and salespeople alike are the following:

Just ask

Your meeting with the prospect is going well very well, it is time to make your move, so just ask! And remember to ask high. "Mrs. Smith, can I count on your contribution of XXX to the Annual Fund?"

Prospect does the closing

In this case the meeting is going well, the prospect is engaged and they end up asking you how much you need from them.

The either-or close

The meeting has gone well but you don't think the prospect will give today, in this case give them an option. "Mr Jones can I count on a gift from you today or should we expect to see a check from you *next week*?"

3 options for the fundraiser: next week, end of calendar year or end of fiscal year. In this case you will have to make a judgment call on which of the three is appropriate for that given situation.

Half-nelson close

You find out what is important to the prospect then you use this to emphasize the vision UM has for this area. He will contribute if he and UM see eye to eye. For example, "Mr. Jones, what would you like to know about the School of Business that would help you make up your mind on contributing?" (Note: This is where your knowledge of what is going on is paramount) Perhaps you find out the prospect is interested in Entrepreneurship, you can then educate them on the Annual Business Plan competition at the School of Business and suggest that they may want to give there.

The follow-up close

With respect to someone who is still unsure about giving a follow-up letter stating the facts in the areas of his/her giving interest may just sway them. "Now that you have information on how the money will be used, can we count on your contribution?"

The 3rd party reference

Be able to list people the prospect knows who support UM, this links back to the credibility persuasion technique. You may even get one of them to contact the prospect themselves to help solidify their position.

The lost gift revisited

After what appears to be the final rejection, question the prospect as to why you have failed. In short, ask the prospect why he will not support you.

When Closing the Deal there are some definite Do's and Don'ts you must be keep in mind.

Do's of Closing

- Relax. You've been through worse than this.
- Research your prospect. Know his/her "hot buttons."

- Do your homework. Know what's going on at UM
- Be optimistic, aggressive, sincere and excited about UM.
- Be convincing. You must believe in yourself first.
- Ask for a specific amount
- Express urgency in receiving the contribution.
- Make a second, third, fourth appeal.
- Make your own contribution first.
- Always say "thank you" in a timely manner.

Don'ts of Closing

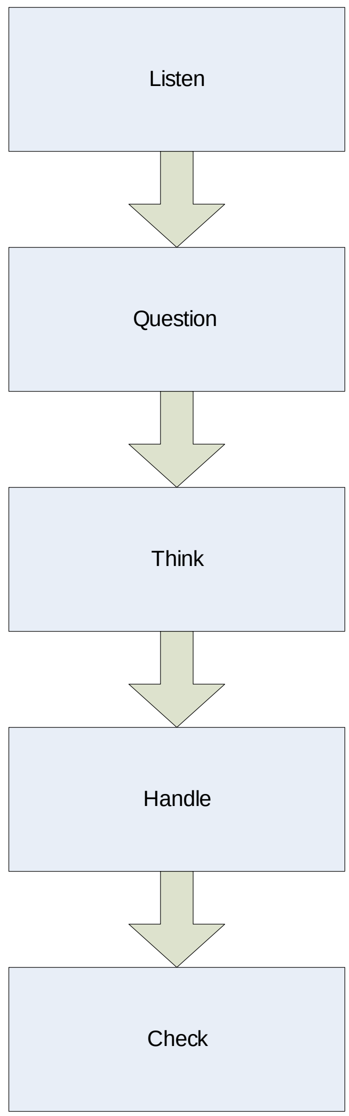
- Don't be late for your appointment.
- Don't empathize with your prospect.
- Don't be argumentative. Remember, you're a guest.
- Don't leave empty-handed; at least ask for the names of additional prospects they may know
- Don't forget to say "thank you."

Some other very important points relating to closing the Deal include:

- After you have asked the closing question be quiet! Don't fidget, be calm and quiet. There is no pressure like silence!
- If your prospect speaks first and agrees to give, stop and close the sale. The more you talk the more likely there is room to screw up and make him reconsider.

h. Handling Objections

When a fundraiser talks about UM, talks about a benefit of giving or uses a personal solicitation closing technique, their prospect may well respond in the negative sense, giving excuses or otherwise heading away from the donation. The response to this is to handle these objections by using the following objection handling process which will be explained below:



Step #1 – Listen

- Stop and listen, interrupting may bring more objection
- Use active listening skills learned in the Listening Skills section
- What they are telling you will help you eventually get $ from them, so listen!

Step #2 – Question

- Ask questions to show you are interested and to gather more information
- Watch their body language to see how they are feeling
- Do not give them the 3rd degree, it may turn them off completely
- If you don't think asking questions are necessary don't ask any

Step #3 – Think

- Before rushing into the objection handling techniques you will use below first think about which ones will work in this situation
- By taking a little time to think you are also showing them that you are taking their objection seriously

Step #4 – Handle the objection

- Use the objection handling technique you think will work best
- If one of the one's below does not seem to be appropriate you may have to make up your own. Don't try to fit a square peg into a round hole. Many of the same objections will come from your prospects, they are also listed below with possible responses, study them!

Step #5 – Check to see if your technique worked

- Verify whether or not your objection handling technique worked
- Ask if they have any more questions

The following objection handling techniques may be used to handle the objection (Step #4 from above)

Boomerang

When someone objects, turn around what they say to prove them wrong. By using what they say, you are saying that they are right, then you add your part which then by association is right.

For example, tuition is high, “You are correct, however compared to other selective universities our tuition could be considered a good buy”.

Objection chunking

This involves taking a higher or lower viewpoint. Taking a different perspective has a dual effect, first of reframing to create a different attention and a new understanding, and secondly of distracting from what might be a difficult issue to resolve.

For example, UM is still known as Suntan U, “*UM is a university that while in a tropical climate has become a top ranking university.”*

Conditional close

The Conditional Close uses the Exchange principle to build a social agreement that if I solve your problem, you will give to UM.

For example, problem is being able to designate, “Since you are able to give to certain areas at the School of Business can I count on you to give?”

Curiosity

When they declare that they do not want to give, act curious.

Do not just ask 'Why??', but express a curious interest that says 'how interesting - I wonder why'. Getting the objection out before they leave then gives you one last shot to keep them there. Even if they still leave, it also lets you know why you failed to sell to them today and so improve your fundraising skills. When you are non-threatening and not in 'closing mode' they may well relent and give you the information you need.

For example, *“I know you don't want to give today, but before I go, could you explain your reason?”*

Deflection

A way to avoid handling an objection is to deflect it. Listen to it and understand it but then carry on as if nothing happened and say you will come back to it later. Perhaps you won't have to, give an excuse that you need to talk to someone or get more information.

For example, "*Good point. Can I come back to that later?...thanks...Now what I was saying was...*"

Feel, felt, found

Empathize with them, telling them you know how they feel. Then tell them about someone you know who felt the same way. The next step is to tell them how that person gave to UM despite having those concerns and found out their concerns were not so bad after all.

For example, countering the argument that UM is still Suntan U.

"I understand how you feel about that. Many others have felt the same way. They have found that since coming back to campus and learning more about UM is that it has completely changed since those days."

Humor

When they object do not respond with anger and frustration, sometimes it is best to diffuse the situation with humor.

For example, "*Oh no! What will we do! (smiling)*

Justification

Rather than fight the objection, justify why it is reasonable. When people object, they often are saying that what you are offering is somehow unfair or wrong. If you can subsequently show that it is fair and reasonable, then they no longer have reason to object.

For example, "I understand your concern regarding the Hurricane Club per seat donation, however the level of pricing is similar to other ACC schools that we are competing with."

Pre-empting

Tell them about a possible objection before they object. Then handle the objection so it cannot be brought up again. Make the objection rather weak and the handling rather strong.

For example, “You might find $5000 is a lot of money but spread over 5 years it really is manageable, plus it is fully tax deductible!”

Pushback

a. Do not accept the objection if factual information is missing.

For example, if they object to giving due to the fact that the football program does not take academics seriously you can respond by saying, “Actually the football team graduates 80% of their players which ranks in the top 10% in the NCAA. They are expected to attend study hall 8 hours per week.”

b. Accept objection, acknowledge a mistake was made, tell how it was corrected and refocus attention to mission of securing a donation.

For example, “We realize the football brawl was a huge mistake, however the individuals involved were disciplined and new policies and procedures have been implemented to prevent such an event from happening in the future.”

Reframing

This involves reframing their objection as something other than a ‘no’. You can reframe the objection by turning it around or reframing as a misunderstanding that is your fault because you did not explain it properly.

For example, “I can see how what I said did not make sense, let me rephrase it.”

Reprioritize

When they have a priority which is stopping them from giving to you, find ways of changing the priority. Explore the criteria they are using to decide. Probe to find how important each criterion is. Appeal to their values, which include a system of prioritization. Reframe their arguments so they naturally change priority. At the same time or alternatively, increase other priorities that will lead to them giving to UM.

For example, “I realize your children are in school and that should be your top priority, but we’d still like you to make a contribution to UM that you are comfortable with.”

There are many common objections to giving to the Annual Fund. Study the most common objections below as well as different successful responses so you will be ready.

“I cannot afford to give”

- I completely understand, what is not important is the amount you give but that you are participating.
- Every gift counts and together they add up to make a difference.

“Too much money is used for advertising and administrative expenses”

- Every dollar you give goes to where you designate it.

“I worked and paid for my school, why can’t these students do the same?”

- Many of them do but that does not cover the full cost as tuition has risen significantly in the last 4 years.

“I am not happy with UM…”

- I am sorry to hear that, part of my job is to communicate your concern to the appropriate people at UM. Can you tell me what the problem is? Giving to the areas you would like to see improved is the most constructive way to help UM improve!
- One reason we need your support is that it gives some flexibility to address the very problems caused by tight budgets.

“I give to other things”

- We are glad to hear you support other causes, and we don’t want to take your support away from them. But we would love to have you support UM as well.
- Perhaps under your circumstances a gift of XXX would be better.

"UM does not need my money, they have nice facilities already"

- It is easy to overestimate how affluent a school may look.
- Tuition does not cover all the costs associated with running a university.
- Tuition only covers X amount of costs, we rely on alumni like you to cover the balance.

"I already gave this year"

- Our fiscal year runs from June 1st- May 31st, we are in a new fiscal year.
- If you want we can delay your payment until the calendar year.

"I'm still paying back my student loans"

- Loans definitely add up, the Annual Fund gives money for scholarships and grants to deserving students.
- I can appreciate you are paying off your loan. However a small gift would still go a long way.

"My children are in college and I am spending a lot of money for that"

- We realize your children's education is your priority, as it should be.
- The size of your gift is not important, your participation is what we want.

Verify / Validate Phase – Personal Solicitations

Introduction
The intent of the Verify Phase is to facilitate buy-in of process owners, to design a control and transition plan, and to close the DMADV project.

It should be noted that conventionally, a prototype would be built for pilot tests. In this case the prototype is the final product and any changes that become warranted will have to be done by the supervisor of the fundraisers who are using the manual. These warranted changes will be determined by the on-going controls that are discussed below and in general feedback from the stakeholder group.

Process Owner Buy-In
To facilitate buy-in, the DMADV team has worked in close contact with the process owner and other stakeholders throughout the project and received their input all along. This solidifies confidence in the team's efforts and should mitigate the risk of process owner not buying in.

Transitional Controls
- A table of contents of the outline of this project has been developed in the Design Phase. This table of contents should act as a guide to the different processes that were part of the overall design of the Personal Solicitations manual.

Ongoing Controls
The Executive Director of the Annual Fund, who is also the process champion, will be responsible for training all fundraisers via the Personal Solicitation manual. The manual will be dispersed to all current fundraisers and all fundraisers who join the Annual Fund in the future. It will also be loaded onto their laptops so they may have access to it while they are on the road.

It is very important that the fundraisers keep in mind the 8 Critical to Quality characteristics that came out of this project and to apply the ones they deem applicable to their prospects.

The final part of the verify phase is to maintain communication between the team champion and the process owner. These lines of communication will alleviate any confusion or other unforeseen problems that inevitably develop. It will ensure that the conceptual design is not compromised by outside forces and entropy.

This concludes the project. This process will now be turned over to the process owner with control plans for future PDSA cycles and the team will now disband, celebrate their success, and take on other projects.

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