

Fundamentals: Prospect Research Basics

Go to pollev.com/APRA2022 to answer a couple of questions about yourself!

Your hosts



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Agenda

- Intro
- Privacy and ethics
- Basic principles
- Research resources
- Confirming identity
- Profiles
- Other research products
- Media monitoring
- Identifying new prospects
- Professional development resources

How long have you been doing prospect research?

1-6 months

7-18 months

more than 18 months

I'm not doing prospect
research yet

Do you come from a frontline fundraising background?

Yes

No

What is prospect research?

- **Prospect research** is a tactic utilized by nonprofit organizations of all sizes to learn more about the personal backgrounds, history of giving, wealth indicators, and philanthropic motivations of potential or already existing donors. This research is then used to evaluate a donor's ability to give as well as their personal affinity towards the organization.
- In simple terms, prospect research helps you find the best potential donors for your nonprofit's mission. (iWave)
- **Prospect identification and research:** discovering and evaluating prospective donors and their interests, relationships, inclination to give and philanthropic capacity to inform and support an organization's fundraising strategies and outreach efforts. (APRA)
- We're not talking about moves management or data analytics

Privacy and ethics

- Adhere to privacy laws
- Follow ethical guidelines
- Treat subjects with respect and dignity



Legal

- Federal legislation:
Personal Information Protection and Electronic Documents Act (PIPEDA) - collection, use, and disclosure of personal information in the course of commercial activities
- The Office of the Privacy Commissioner itself has stated that “[w]hether or not an organization operates on a non-profit basis is not conclusive in determining the application of the Act.”

PIPEDA

- Personal information: Information that can be used to identify, distinguish or contact a specific individual. This information would include opinions and beliefs, in addition to financial information, birthdates and other identifying data.
- Public Domain: Pertains to information that is accessible to the general public, such as telephone directories, and as such is excluded from the federal legislation if used for the purposes for which it was collected.

Personal information can be contained in:

- Profiles and associated documents
 - Meeting notes
 - Briefing notes
 - Strategy documents
- Constituent records
- Emails

Responsibilities

- Use safeguards proportional to the sensitivity of the information
- Be aware of how information is stored and disposed of
- Refer to your organization's privacy policy and/or privacy officer

PIPEDA again

Upon request, individuals must be informed of the existence, use and disclosure of all their personal information and be given access to that information



Ethical use of information

- Only use information that is appropriate to fundraising process
- Using verifiable and credible sources
- Source list
- Public sources + internal data = confidential

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Ethics in Social Media

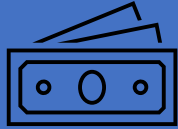
- APRA Professional Standards and Behaviours
 - Be honest about your identity and role when using social media in your work and do not unreasonably intrude on an individual's privacy through social media platforms.
 - Follow your organization's social media policies regarding the online interactions that are appropriate for your role.

Ethics in Social Media

- Things to consider when using social media for prospect research:
 - Use social media sites as a source but verify any information you find with other resources.
 - Don't just rely on one source or site for your information on a prospect.
 - Do not create fake profiles on social media platforms.

Capacity, Affinity, Linkage

Capacity



How much
money can
they donate?

Affinity



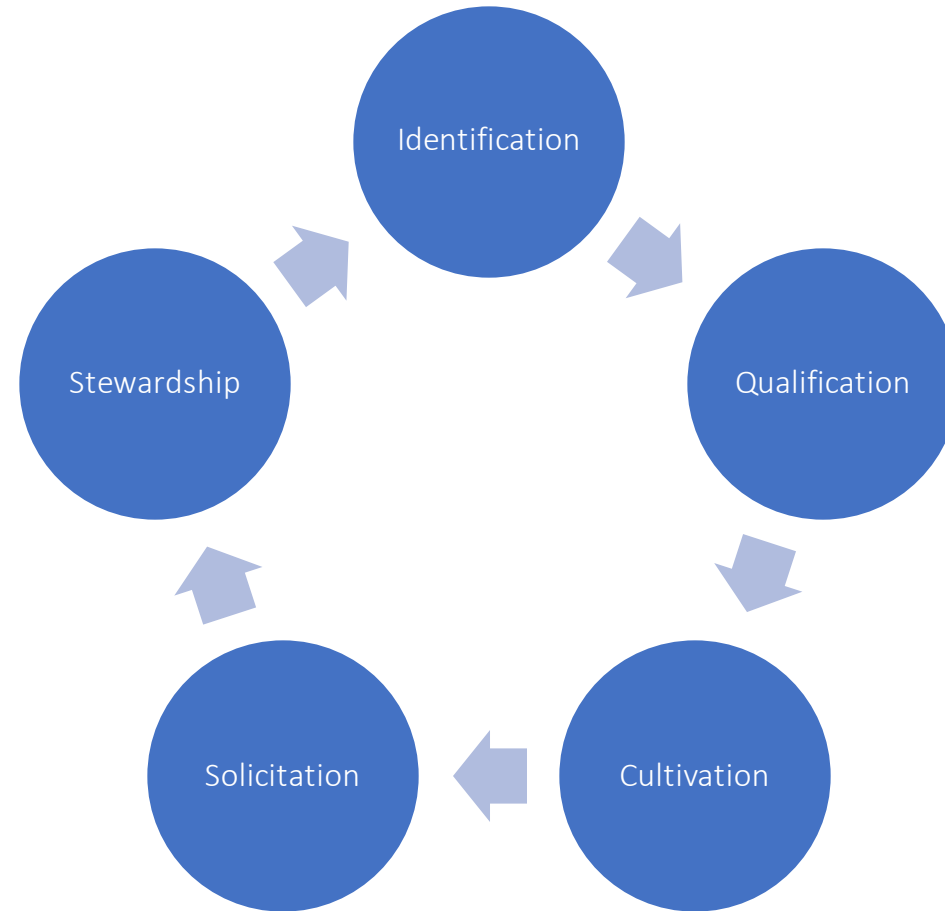
Do they care
about your
cause?

Linkage



Are they connected
to someone within
the organization?

Fundraising cycle



Research Resources

- Paid Resources:
 - We use iWavePRO, Wealth-X, and RelSci
 - Explore options that are best for your organization's needs and budget.
- Free Resources:
 - Access to reports for public companies, shareholder information, CRA T3010s, obituaries, and more.
 - Local public libraries and alma mater libraries.

SEDAR

- The System for Electronic Document Analysis and Retrieval (SEDAR) is a filing system for public company documents.
- To find information on public companies.
- Look for the management circular/proxy (published annually) for executive salaries/compensations & stock holding of directors.



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XBRL Voluntary Filing Program
Visit the [CSA's XBRL website](#) for information about XBRL and the voluntary program.
[Click here](#) for information about XBRL software and viewing XBRL financial statements.

SEARCH FOR COMPANY DOCUMENTS

Company Name GFL	Document Type Proxy Circular
Industry Group All	Date of Filing ... From: March 13 2022 To: September 13 2022
Sort documents by ... <input checked="" type="radio"/> Company Name <input type="radio"/> Document Type <input type="radio"/> Date of Filing	<input type="button" value="Search"/> <input type="button" value="Clear"/> <input type="button" value="SEARCH HELP"/>

Company Search: GFL
 Industry Group: All
 Document Selection: Proxy Circular

Sorted: By Issuer
 Date From: March 13 2022
 Date To: September 13 2022

Search results 1-4

Company Name	Date of Filing	Time of Filing	Document Type	File Format	File Size
GFL Environmental Inc.	Apr 12 2022	16:31:31 ET	Management information circular - English	PDF	2704 K
GFL Environmental Inc.	Apr 12 2022	16:31:31 ET	Management information circular - French	PDF	1760 K
GFL Environmental Inc.	Apr 14 2022	16:30:32 ET	Management information circular (amended) - English	PDF	2702 K
GFL Environmental Inc.	Apr 14 2022	16:30:32 ET	Management information circular (amended) - French	PDF	1800 K

Executive Compensation and Related Tables

Summary Compensation Table

The following table shows the compensation earned by, paid to, or awarded to the NEOs in Fiscal 2021 and Fiscal 2020.⁽¹⁾ As we became a reporting issuer during Fiscal 2020, in accordance with applicable securities laws, compensation information has not been presented with respect to years prior to Fiscal 2020.

Name and Principal Position	Year	Salary (\$)	Share-Based Awards (\$) ⁽²⁾	Option-Based Awards ⁽³⁾	Non-equity Incentive Plan Compensation (\$)			All Other Compensation (\$) ⁽⁶⁾	Total Compensation (\$)
					Annual incentive plan ⁽⁴⁾	Long-term incentive plans	Pension Value (\$) ⁽⁵⁾		
Patrick Dovigi <i>President and Chief Executive Officer</i>	2021	1,973,298	–	31,518,243	4,015,440	–	–	3,925,898	41,432,879
	2020	2,027,342	–	26,566,553	5,428,988	–	–	3,285,639	37,308,522
Luke Pelosi <i>Executive Vice President and Chief Financial Officer</i>	2021	822,527	–	6,857,758	1,673,750	–	–	88,658	9,442,693
	2020	834,748	536,812	2,225,866	1,503,771	–	–	–	5,101,197
Greg Yorston <i>Executive Vice President and Chief Operating Officer, Solid Waste</i>	2021	831,380	–	4,438,796	1,673,750	–	–	–	6,943,925
	2020	845,993	897,907	890,346	1,503,771	–	–	–	4,138,017
Mindy Gilbert <i>Executive Vice President and Chief Legal Officer</i>	2021	537,921	428,792	3,447,021	1,082,400	–	–	–	5,496,134
	2020	516,395	944,284	445,173	726,264	–	–	–	2,632,116
Elizabeth Joy Grahek <i>Executive Vice President, Strategic Initiatives</i>	2021	440,728	500,603	2,805,996	886,830	–	–	–	4,634,158
	2020	423,166	1,131,021	–	595,041	–	–	–	2,149,228

Canada Revenue Agency (CRA)

- Search for a charitable foundation by name to view information in their T3010s.
- View a charity's contact information, general activities, names of directors/trustees, financial information, grants.
- Not useful for foundation prospecting, but helpful when doing research on corporations with foundations, and individuals with family foundations.

Our Favourite Research Resources

Paid Subscriptions		
Name	Description	Link
iWave PRO	Career information, corporate directorships, charitable donations, charitable board service, real estate, political giving, SEC filings, and relationship data.	https://pro.iwave.com/
Wealth-X	Wealth-X provides you with access to unique intelligence on the world's wealthiest individuals - learn more about wealthx data and wealth x reports.	https://login.wealthx.com/
RelSci	Relationship mapping and tool to identify network connection to PMCF volunteers.	https://www.relsci.com/
Individual		
Name	Description	Link
<i>Real Estate</i>		
Canada411	Can use reverse phone look up and confirm current address information.	www.canada411.ca
Zocasa.com	Allows you to search for current listing prices of comparable or nearby properties if you are unable to find the actual assessed value of a prospects' real estate holdings. Requires creating a free account.	www.zocasa.com
PRIZM® Environics	Geographic, demographic and psychographic data with authoritative data from marketing and media sources to classify Canada's neighbourhoods into 67 unique lifestyle types. Great for getting a sense of your prospect's neighbourhood, lifestyle, and wealth, when you can't find concrete information.	http://www.environicsanalytics.ca/prizm5
<i>Career and Biographical Information</i>		
College of Physicians and Surgeons of Ontario	For confirming if someone is a medical doctor and their speciality.	http://www.cpso.on.ca/public-register/all-doctors-search
Law Society of Upper Canada	For confirming if someone is a lawyer and their speciality.	http://www2.lsuc.on.ca/LawyerParalegalDirectory/index.jsp
FP (Financial Post) Advisor	Includes directory of directors, listing of corporate directors of public companies, offers basic information. Accessible through the Toronto Public Library.	http://www.torontopubliclibrary.ca/databases/#alphaIndex-F
Canada's Rich 100	The definitive Canadian Business Magazine ranking of Canada's 100 Richest People and families. For basic information helpful in prospecting. Has not been updated since 2017.	https://www.canadianbusiness.com/lists-and-rankings/richest-people/100-richest-canadians-complete-list/
Globe and Mail Report on Business	Helpful for piecing together career history for higher profile individuals.	https://www.theglobeandmail.com/business/report-on-business/

Breakout session!

- What has been your biggest challenge?



Confirming identity

- Who is your subject?
- How can you confirm that the info you include in your profile is connected to right identity?

Confirming identity

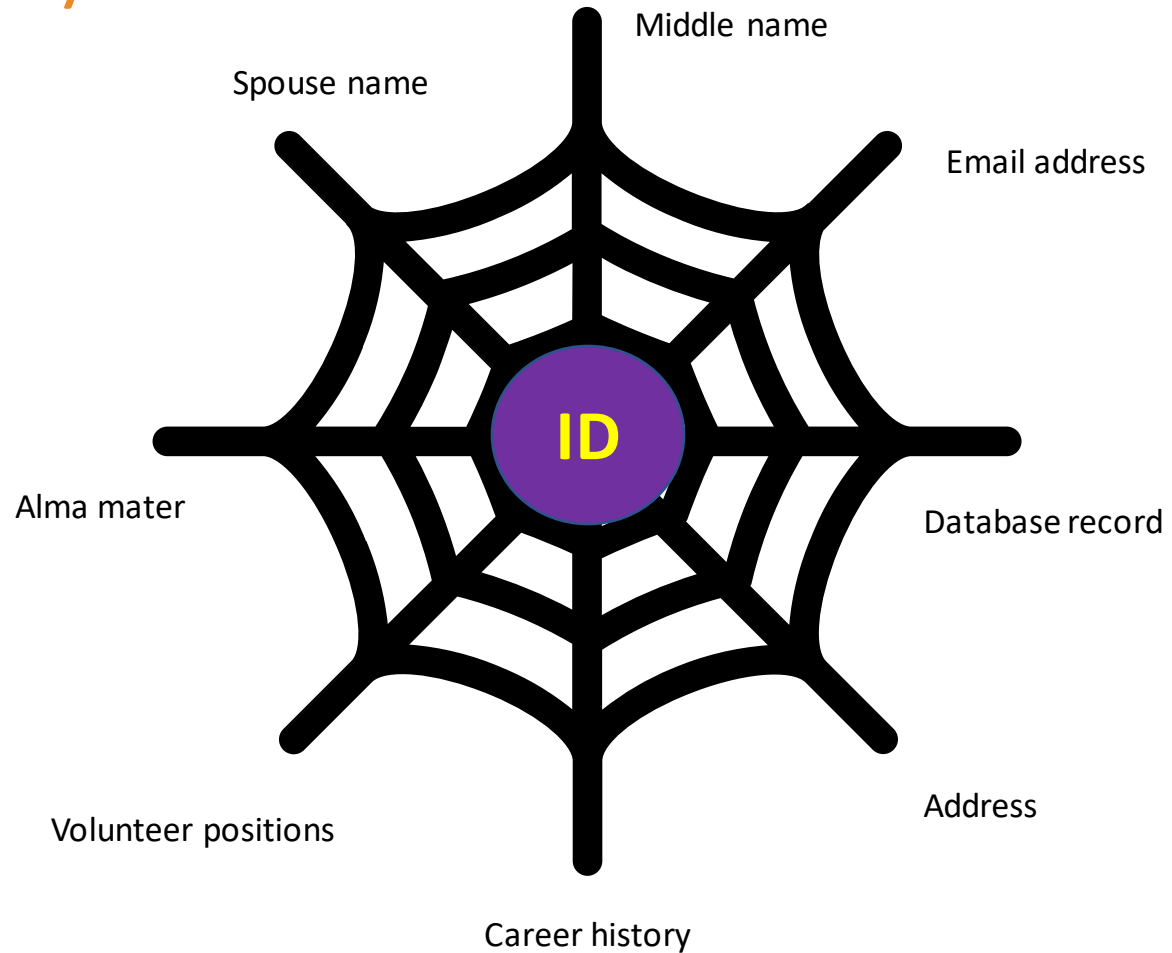
Who are you researching? Profile requests should always include identifying information

- Full name
- Where they work
- Spouse name
- Address
- Database record
- Email address



Confirming identity

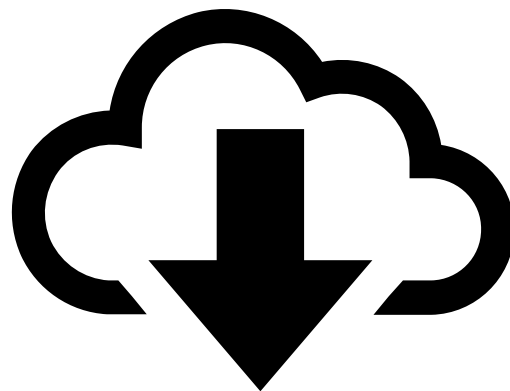
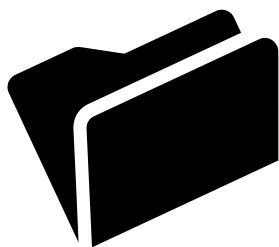
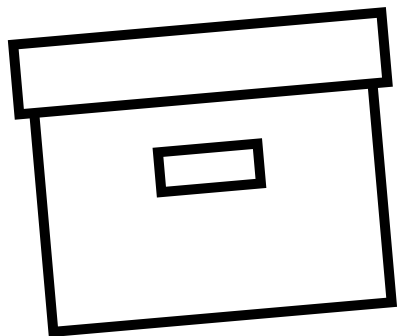
- Each piece of information needs to be connected to that identity



Confirming identity

- Your database might have bad information in it
- For common names, you might need more corroboration to confirm that it's the right identity
- Be careful of multiple generations with the same name!!
- Not all sources can be trusted. *You* must verify.

Profiles



What to include in a profile

- Contact info
 - Include your database ID number for their record
 - A photo, too, if you can
- History with your institution
 - giving, participation, volunteering, interactions, relationships (to board, volunteer or staff member), analytics ratings
- Career
 - Current and past, corporate boards
- Wealth indicators
 - Real estate, public disclosures (salary and equity), capital events, net worth (if available), lifestyle
- Community volunteerism
 - Current and past

What to include in a profile

- Philanthropic giving
 - Family foundation? Are you able to find details on their biggest gifts?
- Family
 - Family wealth? Dependent children? Divorce?
- Connection to your cause
 - Do they support/ volunteer with similar orgs? Expressed interest in the purpose?
- Corporate information
 - Do they own or control a company? Include some info about that company.
- Metadata
 - When compiled, by whom, for whom, sources

Profile template

The Princess Margaret
Cancer Foundation UHN

[NAME]
Prepared for:
Date:

SUMMARY

CONTACT INFORMATION

LOOKUP ID	XXXXXX
HOME ADDRESS	XXXXXX
WORK ADDRESS	XXXXXX

GIVING TO THE PMCF

BACKGROUND

CAREER HISTORY

EDUCATION

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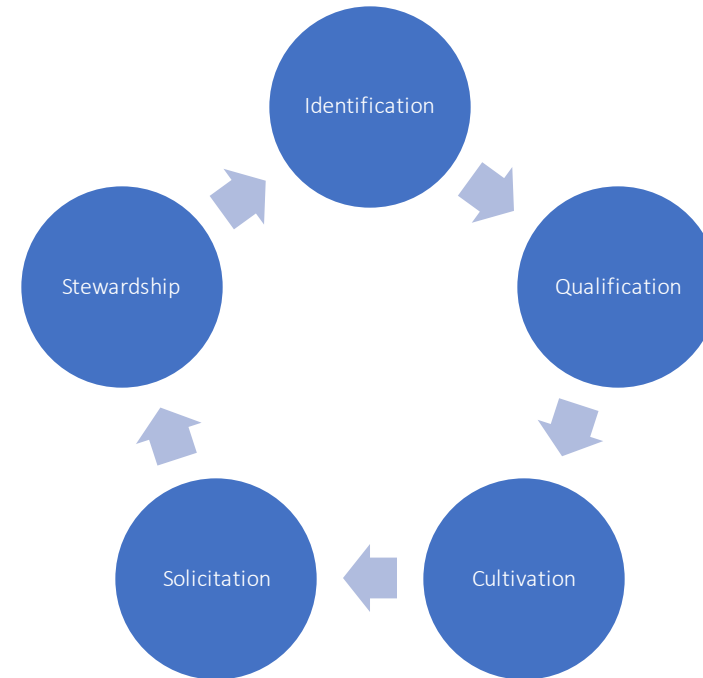
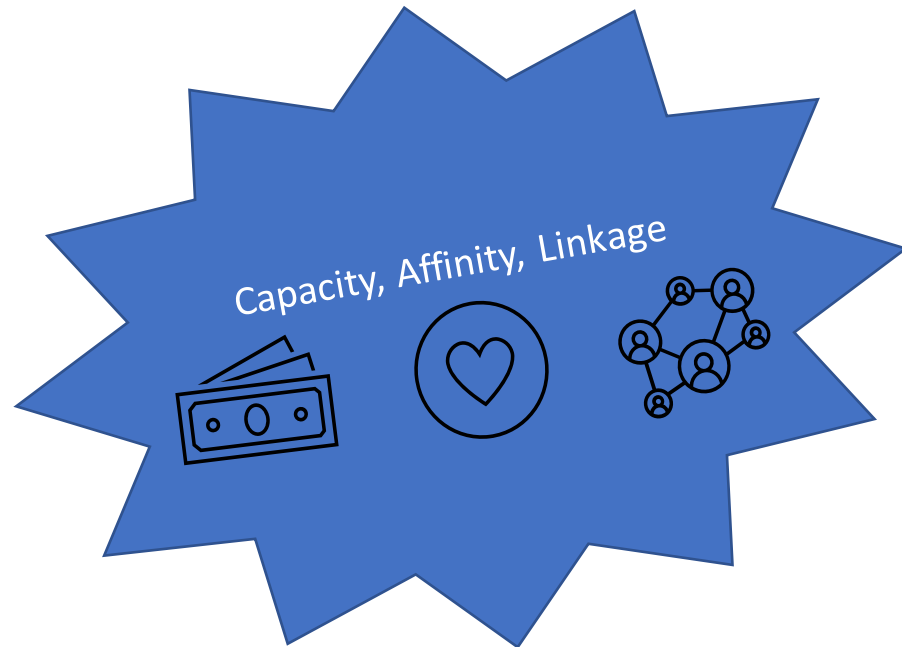
Use "styles" in Microsoft Word to be able to navigate through long profiles quickly

Profile template (examples)

- APRA Canada – Anatomy of basic research profiles
- Donor Search – Perfect your prospect profile templates
- The Helen Brown Group – Elements of a full prospect research profile

Types of research products

- Have a conversation to understand what is actually required in that circumstance



Types of research products

Other research products - "lighter" options

- Qualification/quick notes
- Chart of event attendees
- Shorter bios
- Screening projects
- Canned reports from a database (eg iWave or Wealth-X)

Types of research products

Other research products - "heavier" options

- Environmental scans
- Due diligence reports
- Fundraising trends
- Relationship map

Request form

- Who is the subject of the profile?
- Who is asking for the profile?
- New profile or update?
- What is the deadline?
- Database ID
- Known information on the subject
- Specific info they are looking for

Breakout session

- What is one little win that you've had that you're proud of?

Media Monitoring for Prospect Research

- Monitor and communicate news, events and issues that may impact the Foundation and/or philanthropic environment (Sunnybrook Foundation job posting)
- Five W's and H

What and who?

- Internal: related directly to your organization
 - Donors, prospects, board members
 - Appointments, business in the news, awards, obituaries, gift announcements
- External: industry and sector news outside your organization
 - Philanthropic environment, trends
 - Your specific sector
 - Similar organizations
 - Big gifts, new campaigns, board appointments
 - General economic trends



Where? Sources

- Local and national newspapers and media outlets
 - Globe and Mail, Toronto Star, National Post
 - CTV, CBC, Global
- What's happening in your city?
- Business section: who's making money, who's losing money
- Obituaries

Where? Sources

- Imagine Canada, The Philanthropist Journal, The Chronicle of Philanthropy
- KCI Major Gift News!
- Google Alerts
- Twitter, LinkedIn, etc.
- Magazines
 - Toronto Life
 - Macleans
 - Canadian Business

Desjardins Group

GIFT:
\$1,000,000

RECIPIENT:
**Université du Québec en
Abitibi-Témiscamingue**

CITY:
Rouyn-Noranda

PROVINCE:
QC

Donation will support three socioeconomic development programs. \$500,000 will go toward the continued activities of the previously named Desjardins Chair in Small Community Development; \$250,000 will go to the Réseau des fermes, a specialized network for organic field crop farmers; and \$250,000 will go to the Interdisciplinary clinic for teaching and research in healthcare and psychosocial services.

August 2022

princess margaret cancer

As-it-happens update · October 18, 2022

NEWS

[Lack of global regulatory coordination for cancer clinical trials costs 1.5 million lives a year ...](#)

Yahoo Finance

The Bloomberg New Economy International Cancer Coalition says ... at the **Princess Margaret Cancer Centre** and a past president of the UICC.

[f](#) [t](#) [Flag as irrelevant](#)

[Queen went to street party with Margaret and no one recognised the royal sisters - The Mirror](#)

The Mirror

Queen Elizabeth II and **Princess Margaret** enjoyed a close relationship together, as pictured here around 1942 (. Image: Getty Images).

[f](#) [t](#) [Flag as irrelevant](#)

Why?

- Getting pertinent information to fundraisers in a timely manner
- Is this something a donor would like to hear about?
- Is this something a donor could ask about?



When and How?

- Daily? Weekly?
- Links to articles? Excerpts? Full-Text?

Hi all,

Below are some articles of interest:

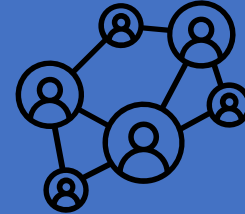
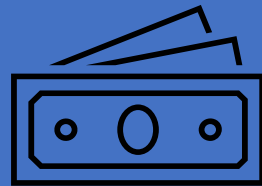
- [Top Specialized Hospitals - Oncology \(newsweek.com\)](#)
 - Princess Margaret is ranked #9 on Newsweek's World's Best Specialized Hospitals 2023
- United Way Greater Toronto Major Individual Giving Cabinet | The Globe and Mail (attached)
 - Cabinet listing
- [Research in non-Hodgkin lymphoma is changing the outlook and quality of life for patients | The Star](#)
 - Dr. John Kuruvilla quoted
- Immunotherapy a treatment for skin cancer? | The National Post (attached)
 - Almost two-thirds of patients with a common form of skin cancer had their tumours nearly or fully erased after being administered immunotherapy before surgery, according to a pilot study that may lead to changes in the standard of care for millions of people.

Best,
Meg

Identifying New Major Gift Prospects

Must tie in with capacity, affinity and linkage

Capacity, Affinity, Linkage



Event Participants and Peer-to-Peer Donations



- Do they give to a current major donor's event and/or team?
- Do they have the capacity for a major gift?
- Clear linkage with the potential to have capacity or affinity



Internal

- Screening mid-level donors
- Your volunteers
 - leverage relationships with foundations or corporate boards they sit on.
- Have affinity with the potential to have capacity and/or linkage

Donors Who Support Similar Causes



- Akin to your organization
- Scanning high level donors in annual reports or major gift tiers online
- This group has capacity and affinity

Interactive

- What are some other ideas for identifying new prospects?

Pipeline Process for New Prospects

- Determine what works best for your organization and your time management.
 - Could be a set meeting (weekly/bi-weekly/quarterly) or an e-mail process
 - Identifying new prospects takes time
- Communicate with your team
 - Are they looking for a specific number?
 - Quality over quantity

Selling the Prospect

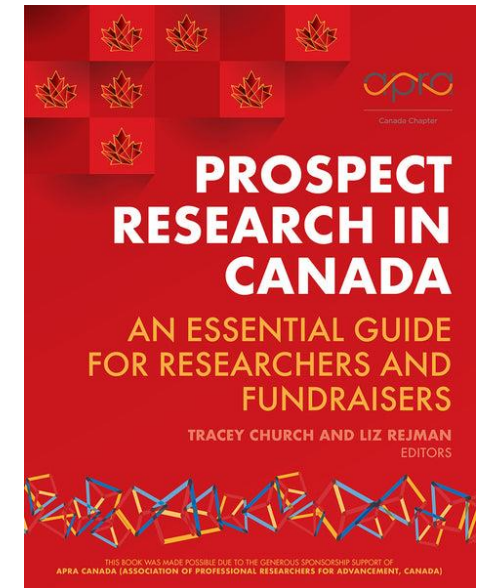
- Clearly explain the Capacity, Affinity and Linkage of the prospect
 - What made you chose this prospect?
 - How would they fit into an existing pipeline?
- Want to make them more enticing and interesting to a donor manager

New Prospect Tracking

- Important for you and the database
 - Your work is valuable and important
 - Database is up to date
- Keep track of all the prospects you bring forward and who they are assigned to
 - Metrics to understand the value you provide to the organization

Other resources for professional development

- Apra Canada and Apra International
 - Body of Knowledge
 - Free and paid webinars
 - Apra Canada mentoring program
 - Events
 - PRSPCT-L listserv (TBD)



- *Prospect Research in Canada: An Essential Guide for Researchers and Fundraisers* edited by Tracey Church and Liz Rejman

Other resources for professional development

- LinkedIn groups and connections
 - Apra and Apra Canada
 - International Prospect Research Network
 - Freelance Prospect Research Network
- The Helen Brown Group
- Prospect Research Institute
- Coursera: Fundraising and Development Specialization from University of California, Davis

Thank you!