

Agenda



Strategic Planning Committee

December 14, 2015

9:45 a.m. EST/8:45 a.m. CST/7:45 a.m. MST/6:45 a.m. PST

Telephone Conference Call

Call-in number: 866-740-1260

Access code: 9256317

Committee Members	Lisa Shulman, MD, Chair; Kevin Goodno <i>ex officio</i> ; Jane Ransom <i>ex officio</i> ; Jeffrey Rosenfeld, MD; Martin Shenkman; Gordon Smith, MD; Ben Utecht
Staff	Suzi Sherman
Guests	Lela Diaz, Carter Companies

	AGENDA ITEM	PRESENTED BY
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00.00	<p>Welcome and review objectives for today's meeting</p> <ul style="list-style-type: none"> • Confirm meeting schedule • Strategic planning update • Launch philanthropic assessment • Discuss signature program idea 	Dr. Shulman
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00.05	<p>Review Strategic Planning Committee Calendar</p> <table border="1"> <thead> <tr> <th>DATE</th> <th>BOARD OF DIRECTORS</th> <th>STRATEGIC PLANNING COMMITTEE</th> </tr> </thead> <tbody> <tr> <td>12/14/15</td> <td></td> <td>8:45 a.m. CST</td> </tr> <tr> <td>12/17/15</td> <td>9:00 a.m. CST</td> <td></td> </tr> <tr> <td>1/11/16</td> <td></td> <td>8:45 a.m. CST</td> </tr> <tr> <td>1/21/16</td> <td>9:00 a.m. CST</td> <td></td> </tr> <tr> <td>2/8/16</td> <td></td> <td>8:45 a.m. CST</td> </tr> <tr> <td>2/18/16</td> <td>9:00 a.m. CST</td> <td></td> </tr> <tr> <td>3/14/16</td> <td></td> <td>8:45 a.m. CST</td> </tr> <tr> <td>3/18/16</td> <td>9:00 a.m. CST</td> <td></td> </tr> <tr> <td>4/11/16</td> <td></td> <td>8:45 a.m. CST</td> </tr> <tr> <td>4/17/16</td> <td>12:30 – 4:00 p.m. PST</td> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> • In-person Meeting (Feb. or Mar) 	DATE	BOARD OF DIRECTORS	STRATEGIC PLANNING COMMITTEE	12/14/15		8:45 a.m. CST	12/17/15	9:00 a.m. CST		1/11/16		8:45 a.m. CST	1/21/16	9:00 a.m. CST		2/8/16		8:45 a.m. CST	2/18/16	9:00 a.m. CST		3/14/16		8:45 a.m. CST	3/18/16	9:00 a.m. CST		4/11/16		8:45 a.m. CST	4/17/16	12:30 – 4:00 p.m. PST		Dr. Shulman
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00.10	<p>Update on Strategic Planning Activities</p> <ul style="list-style-type: none"> • <u>ABF Program/Funding Focus</u> <ul style="list-style-type: none"> ○ Progress of the Research Advisory Committee in defining a research funding agenda for the ABF • <u>Philanthropic Assessment</u> <ul style="list-style-type: none"> ○ Hiring of Carter Cos. ○ Beginning steps • <u>Business Model</u> <ul style="list-style-type: none"> ○ Henrichs & Associates interviews underway: <ul style="list-style-type: none"> ▪ AAN/ABF leadership & stakeholders ▪ Medical Research Foundations ▪ Voluntary Health Organizations • <u>Signature Program</u> <ul style="list-style-type: none"> ○ Emerging discussion 	Jane Ransom
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00.25	Philanthropic Assessment	Lela Diaz of Carter Companies
00.45	Signature Program idea for discussion	Jane Ransom & Ben Utecht
00.00	Adjourn	

American Brain Foundation
Strategic Planning Meeting Summary
November 5, 2015

Attendees: Jane Ransom; A. Gordon Smith, MD; Ben Utecht; Jeffrey Rosenfeld, MD; Martin Shenkman, CPA; Lisa Shulman, MD; Suzi Sherman

Excused: Kevin Goodno

Guests: Gail Thomason; Kathy Henrichs; Linda Hall

Purpose of Strategic Planning Committee

Members discussed and approved of the written purpose of the committee:

The purpose of the Strategic Planning Committee (SPC) is to develop, on behalf of and in consultation and collaboration with ABF Board, executive staff, and the broader ABF community, a five year strategic plan for the foundation. In doing so, the SPC will review and recommend revisions to the ABF's mission and vision as necessary, as well as identify key strategic goals and actions that the ABF should focus on over the next five years.

Strategic Planning Process Flowchart

Jane Ransom discussed the flowchart outlining our strategic planning process, pointing out how the committee and full board will be consulted at critical issues. She reviewed what is happening currently with respect to each of the three critical issue planning areas:

- ABF Program/Funding Focus – The Research Advisory Committee has meetings coming up in December and January. They are working on a template for high-risk research funding. Dr. Griggs is attending a meeting of the AAN Science Committee in January to share the committee's tentative thoughts.
- Philanthropic Assessment – Staff is vetting proposals received in response to the ABF's RFP.
- Business Model - Henrichs & Associates will be conducting interviews with AAN/ABF leaders and with external organizations (other medical research foundations and voluntary health organizations) to determine best practices upon which to found the ABF's business model.

Committee members asked to review the Alford Group report which recommended the strategic planning now underway. Jane Ransom promised to distribute it after the meeting.

Meeting Schedule

Dr. Shulman would like the committee to meet once a month by conference call and also once in person in February or March. The ABF staff will be polling members to determine the meeting dates and times.

- In person meeting in early Feb
- Monthly conference calls

Problem Statement

The problem statement is only for internal use to make sure we agree on the problem we are trying to solve through strategic planning. Committee members suggested a bit more editing.

Business Model - Environmental Scan

Kathy Henrichs and Gail Thomason of Henrichs & Associates shared the list medical research foundations and voluntary health organizations they plan to interview as well as the list of questions they'll be using. It was suggested and agreed that they should add the American Brain Injury Association to the list.

American Brain Foundation
Summary of Research Advisory Committee Meeting of Dec. 7, 2015

Attendees: Robert Griggs, MD; Raymond Roos, MD; John Morris, MD; Ralph Sacco, MD; Jane Ransom (staff), Suzi Sherman (staff)

Excused: Merit Cudkowicz, MD, Carsten Bonnemann, MD; Ira Shoulson, MD; Shafali Jeste, MD

Dr. Griggs welcomed participants and led discussions on the following:

Status of ABF Strategic Planning

- ABF Program/Funding Focus
 - Determining the future research funding focus of the ABF is the work of the Research Advisory Committee in progress.
- Philanthropic Assessment
 - The ABF has hired a firm to conduct a feasibility study and recommend a fundraising strategy aligned with our vision and direction.
- Business Model
 - Henrichs & Associates has interviews underway in order to make recommendations for the ABF's future, self-sustaining business model. The interviewees include:
 - AAN/ABF leadership & stakeholders
 - Medical Research Foundations
 - Voluntary Health Organizations

Research Funding Hypothetical Scenarios

A menu of ABF research funding opportunities emerged from the last meeting:

- Supporting young investigators
 - Clinical Research Training Fellowships
- Prevention of specific diseases
 - Grants promoting the development of preventive measures for people at high risk
- High risk, patient-centered discovery of new treatments
 - Ground work for phase 1 Clinical Trials
- Brain as a whole
 - Grants to study common mechanisms of neurodegeneration and neurodevelopment

The committee discussed how to work with the above menu as a template when working with a high-wealth donor. Staff wonders whether we can have some proposed research projects "on the shelf" and ready for funding to discuss with donors. Committee members felt we must first understand a donor's interests and giving capacity and then convene experts to frame research projects with those factors in mind.

The committee also discussed:

- Challenges and opportunities in partnering with other organizations
- Whether or not we should be in the business of funding awards which are administratively challenging for the AAN
- Whether we should focus less on endowed funds for research in favor of pass-through funding

Presentation at the Science Committee

Dr. Griggs will meet with the Science Committee in January to share the thinking of the ABF Research Advisory Committee. The committee hopes to have clarified:

- The purposes of some of the future fellowships being considered by the AAN
- Whether the ABF's role will be to purely fund the AANI and the implications if that is not the case



PHILANTHROPIC ASSESSMENT

Background Information

Prepared for

American Brain Foundation



December 2015

GOALS OF THE PHILANTHROPIC ASSESSMENT

- To determine fundraising potential within various revenue channels.
- To test the Case Summary among various constituents and determine which elements are most appealing to the different audiences.
- To create a sense of ownership among key constituents by seeking their opinions and input on the proposed fundraising plans.
- To develop an initial fundraising plan.
- To identify major gift prospects.
- To identify fundraising leadership prospects.
- To help establish or reinforce a culture of philanthropy.
- To assess the public perception of ABF.
- To establish early momentum.

INFORMATION REQUEST

- 1) Samples of annual appeals from the last 12 months
- 2) Board Giving for the past five years
- 3) Report that shows overall giving for the last five completed years or fiscal years, broken down by constituent group (e.g., board, staff, individual, corporation, foundation)
- 4) Report that shows overall giving for the last five years or fiscal years, broken down by appeal type (e.g., annual fund, special event, etc.)
- 5) Descriptions or printed materials describing all giving clubs/societies including sponsorship opportunities.
- 6) Budgets or final analysis document for all special events completed in the last three years. Please indicate for each event: Number of years the event has been run and, do the expenses include or exclude staff time?
- 7) Brochure or samples of recent planned giving communications
- 8) Current organization chart for development and for departments that interact with development including the Association.
- 9) Current development budget (Please indicate on the document the cumulative dollar amount of the organization budget)
- 10) Current job descriptions (as they are – please do not take time to revise them)
- 11) Policy and procedure manual or documents for all policies that relate to development (e.g., gift acceptance, gift processing, endowment, naming and recognition, etc.)
- 12) Current annual development plan and/or statement of goals
- 13) Statistical and demographic reports from the Web Site that includes data pertaining to unique users, site traffic, site traffic for top 20 pages, sources of traffic, etc.
- 14) A document that lists specific efforts to direct users to a webpage or pages and any data pertaining to expected or actual results.
- 15) Any documents or plans (from any area of operation) that break down how you are tracking contacts or how folks are finding you.
- 16) The Social Network plan or planning documents.

- 17) A list of all forms of social media currently deployed. Include a brief statement about why each was selected.
- 18) Any reports/tracking in use that shows measurement of social media users or specific goals.
- 19) A report that describes the demographics of your current database. Average giving, total donors, and most current gift totals.
- 20) Any reports or informal tracking used that identifies major gift prospects, solicitor, goals and results. Some organizations call this a "MOVES Management Report."
- 21) Any existing documents or analysis that will help us to understand the current major gift prospect pool.
- 22) Mailing authorization number from the Post Office and confirm direct marketing return address. Confirm mailing identification number.

STUDY WORKPLAN

	December				January				February				March			
1. Develop and present work plan <ul style="list-style-type: none"> • Share Resource Guide • Review available background materials • Request additional information 																
2. Document and background review <ul style="list-style-type: none"> • Review and analyze requested data and documents 																
3. Develop initial case summary <ul style="list-style-type: none"> • Draft outcome-based case summary with emotional lead • Review draft case summary with ABF leadership 																
4. Schedule and prepare for interviews <ul style="list-style-type: none"> • Finalize interview list • Schedule interviews • Determine if a web-based survey should be conducted 																
5. Develop test mailing campaign <ul style="list-style-type: none"> • Conduct 5 tests through the mail and the magazine 																
6. Conduct interviews <ul style="list-style-type: none"> • Conduct 20 interviews • ABF leaders, board members and those closest to ABF to be done in December • Conduct survey (if applicable) 																
7. Identify top 50 donor prospects <ul style="list-style-type: none"> • Collaborate with ABF leadership to identify top 50 prospects 																
8. Develop recommendations, draft fundraising plan, timeframes and budget <ul style="list-style-type: none"> • Synthesize and analyze background review • Synthesize and analyze interview results • Prepare recommendations, draft fundraising strategy, timeframes and budget 																
9. Develop additional fundraising strategy elements <ul style="list-style-type: none"> • Develop gift acceptance policy and naming opportunities • Establish a prospect review and research effort 																

	December				January				February				March	
10. Present final fundraising plan														
• Preliminary presentation to select group of ABF leaders														
• Final plan to larger group of ABF leaders														



Lela Diaz

Executive Vice President

Lela has extensive experience in international fundraising including major gifts and campaigns with an excellent track record of success. Partnering with volunteers, staff and donors to accomplish mission critical fundraising objectives around the world.

Lela joined Bob Carter Companies in 2012 and became Vice President and Partner in 2014. She leads the companies work overseas, which has included the Education Above All Foundation, an initiative of Her Highness Sheika Moza Bint Nasser of Qatar, University of Monterey Mexico, Direct Relief International, The US Mexico Foundation and the Wahdwani Initiative for Sustainable Healthcare in India. Lela also has played a key role on the Maryland Food Bank, Big Sur Land Trust, Stevenson School and the Knoxville Museum of Art.

Before joining Bob Carter Companies, Lela most recently served as the Senior Associate Director of Philanthropy with the Nature Conservancy– Illinois Field Office. In this role she was responsible for developing significant support for global conservation priorities while helping to restart a development program.

Prior to joining The Nature Conservancy, Lela helped develop the Strategic Gifts Initiative at Feeding America for the \$500 million Campaign for a Hunger Free America directed to individuals and family foundations capable of considering gift commitments of \$1 million or more. The initiative closed \$15.1 million in gift commitments in its first full year. Lela was personally responsible for \$4.5 million of this result.

Additionally, Lela has served as campaign counsel to a variety of non-profit organizations around the country, including the San Francisco Opera, Northwestern Memorial Hospital and Viewpoint School in Calabasas. Lela has also held positions at Access Living in Chicago where she completed an \$18 million campaign 2 years ahead of schedule and at American Red Cross as a disaster relief coordinator and CPR instructor.

Lela is committed to giving back to the sector and is currently serving as Chair of mentorship committee for AFP, Greater Los Angeles. She earned a Bachelor of Arts degree from the University of Southern California and a Masters Certificate from Loyola of Chicago in the Advanced Study of Philanthropy. Lela is currently based out of Los Angeles but has also resided in San Jose, Costa Rica and London, England.



Company Overview

Bob Carter Companies LLC, dba Carter was co-founded by Bob Carter and Steve Higgins. Since being established in 2011, Carter has assembled some of the nation's most experienced and respected fundraising professionals to assist organizations in maximizing their philanthropic potential. Our dynamic team approach provides our partners and the core "partner-team" with subject-matter experts in all aspects of fundraising and philanthropy. Each partner has access to our subject matter experts in addition to their core team. In addition to our vast individual and collective experience in fundraising, we also provide subject matter experts in the following areas:

Planned giving
Analytics
Board governance

Strategic planning
Marketing & communications
Financial modeling

Unparalleled experience

Our team has over 300 years of combined experience developing philanthropy in the arts, conservation, healthcare, education, human services, humanitarian aid and international sectors. We know the challenges you face, and together, we'll find the right solution.

A proven record of results

Strategic planning and a deep knowledge of organizational structure are keys to successful annual programs, major gifts, planned gifts, grants and fundraising related to capital and endowment campaigns. Our results speak for themselves.

Partners for the future

We do not have clients, we have partners. Our team members are handpicked to meet your organization's unique goals and needs. We listen, we understand and we collaborate. In doing so, we build relationships that go the distance and make meaningful impacts across the world.

Creative Solutions. Sound practices.

We believe in doing things the right way, not the easy way. In the competitive world of fundraising, we bring creativity and passion to every project and the expertise needed to bring your vision to life.